

County Offices  
Newland  
Lincoln  
LN1 1YL

26 August 2016

**Executive**

A meeting of the Executive will be held on **Tuesday, 6 September 2016** in **Committee Room One, County Offices, Newland, Lincoln LN1 1YL** at **10.30 am** for the transaction of business set out on the attached Agenda.

Yours sincerely



Tony McArdle  
Chief Executive

**Membership of the Executive**  
**(8 Members of the Council)**

Councillor M J Hill OBE, Executive Councillor for Governance, Communications, Commissioning, Finance and Property (Leader of the Council)

Councillor Mrs P A Bradwell, Executive Councillor for Adult Care, Health and Children's Services (Deputy Leader)

Councillor C J Davie, Executive Councillor for Development

Councillor R G Davies, Executive Councillor for Highways, Transport and IT

Councillor R A Shore, Executive Councillor for Waste and Recycling

Councillor Mrs S Woolley, Executive Councillor for NHS Liaison and Community Engagement

Councillor C N Worth, Executive Councillor for Culture and Emergency Services

Councillor B Young, Executive Councillor for Community Safety and People Management



**EXECUTIVE AGENDA  
TUESDAY, 6 SEPTEMBER 2016**

Item	Title	Forward Plan Decision Reference	Pages
1	<b>Apologies for Absence</b>		
2	<b>Declarations of Councillors' Interests</b>		
3	<b>Announcements by the Leader, Executive Councillors and Executive Directors</b>		
4	<b>Minutes of the meeting of the Executive held on 5 July 2016</b>		5 - 8
<b>KEY DECISIONS - ITEMS TO BE RESOLVED BY THE EXECUTIVE</b>			
5	<b>Fire and Rescue Integrated Risk Management Planning - Results of Consultation 2016/17</b> <i>(To receive a report from the Acting Chief Fire Officer, which presents the results of Lincolnshire Fire and Rescue's Integrated Risk Management Planning (IRMP) consultation for 2016/17)</i>	<b>I010919</b>	9 - 86
6	<b>Review of Financial Performance 2015/16</b> <i>(To receive a report from the Executive Director of Finance and Public Protection, which describes the Council's financial performance in 2015/16; identifies and explains variances from the Council's revenue and capital budgets; makes proposals on the carry forward of over and under spendings into the current financial year; and reports Prudential and Financial Performance Indicators for 2015/16)</i>	<b>I010797</b>	87 - 126
7	<b>Budget Update - Efficiency Strategy and Plan plus Flexible Use of Capital Receipts</b> <i>(To receive a report from the Executive Director for Finance and Public Protection, which seeks approval of recommendations to full Council for the adoption and publication of the Efficiency Plan for the purposes of applying for a four year settlement and the Council's Flexible Use of Capital Receipts Strategy for 2016/17)</i>	<b>I011877</b>	127 - 136
8	<b>Adoption of the Lincolnshire Permit Scheme</b> <i>(To receive a report from the Executive Director of Environment and Economy, which sets out the detail for the proposed adoption of a Lincolnshire County Council Permit Scheme under the Traffic Management Act 2004)</i>	<b>I011793</b>	137 - 284

**NON KEY DECISIONS - ITEMS TO BE RESOLVED BY THE EXECUTIVE**

- |           |  |                |           |
|-----------|--|----------------|-----------|
| <b>9</b>  | <b>Unaccompanied Asylum Seeking Children - National UASC Transfer Protocol 2016/2017</b><br><i>(To receive a report from the Executive Director of Children's Services, which seeks approval of the entering into by the Council of a voluntary arrangement for the transfer to the Council from other local authorities the responsibility for unaccompanied asylum seeking children on the basis of a regional model of dispersal)</i> | <b>I011798</b> | 285 - 296 |
| <b>10</b> | <b>Council Business Plan 2016/2017 Performance Report, Quarter One (Q1)</b><br><i>(To receive a report from the Chief Information and Commissioning Officer, which presents an overview of performance for Q1 against the Council Business Plan)</i>   | <b>I012044</b> | 297 - 324 |
| <b>11</b> | <b>Appointment to the County Councils Network</b><br><i>(To receive a report from the Executive Director of Environment and Economy, which requests the Executive to make an appointment change to the County Councils Network)</i>  | <b>I012061</b> | 325 - 326 |

**Democratic Services Officer Contact Details**

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**Please Note:** for more information about any of the following please contact the Democratic Services Officer responsible for servicing this meeting

- Business of the meeting
- Any special arrangements
- Copies of reports

Contact details set out above.

All papers for council meetings are available on:  
[www.lincolnshire.gov.uk/committeerecords](http://www.lincolnshire.gov.uk/committeerecords)



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**PRESENT: COUNCILLOR M J HILL OBE (LEADER OF THE COUNCIL)**

Councillors Mrs P A Bradwell (Executive Councillor for Adult Care, Health and Children's Services) (Deputy Leader), C J Davie (Executive Councillor for Development), R G Davies (Executive Councillor for Highways, Transport and IT), Mrs S Woolley (Executive Councillor for NHS Liaison and Community Engagement), C N Worth (Executive Councillor for Culture and Emergency Services) and B Young (Executive Councillor for Community Safety and People Management).

Councillors: P J O'Connor (Chairman of the Overview and Scrutiny Management Committee) was in attendance.

Officers in attendance:-

Tony McArdle (Chief Executive), Debbie Barnes (Executive Director, Children's Services), Miriam Binsztok (Commissioning Officer), Glen Garrod (Executive Director, Adult Social Services), Cheryl Hall (Democratic Services Officer), Judith Hetherington Smith (Chief Information and Commissioning Officer), Dr Tony Hill (Executive Director of Public Health Lincolnshire), Andrew McLean (Service Manager Commissioning), Pete Moore (Executive Director, Finance and Community Safety), James Sharples (Senior Project Manager), Nigel West (Head of Democratic Services and Statutory Scrutiny Officer) and Richard Wills (Executive Director, Environment and Economy).

**8 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors R A Shore (Executive Councillor for Waste and Recycling) and Mrs A M Newton.

**9 DECLARATIONS OF COUNCILLORS' INTERESTS**

There were no declarations of interest made at this point in the meeting.

**10 ANNOUNCEMENTS BY THE LEADER, EXECUTIVE COUNCILLORS AND EXECUTIVE DIRECTORS**

There were no announcements.

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11 MINUTES OF THE MEETING OF THE EXECUTIVE HELD ON 7 JUNE 2016

RESOLVED

That the minutes of the Executive held on 7 June 2016 be agreed and signed by the Chairman as a correct record.

12 DEVELOPING A MODEL FOR THE CHARGING OF LCC SERVICES TO SCHOOLS

Consideration was given to a report from the Executive Director for Children's Services, which sought approval to support the development of a common approach to the recovery of costs where schools, academies and other education organisations in Lincolnshire access services delivered by Lincolnshire County Council.

The Executive Councillor responsible for Children's Services introduced the report to the Executive and in doing so, highlighted that the proposal would simplify the process of access services and would provide a single source of information for schools.

The Senior Project Manager advised that the approach would involve exploring opportunities to provide a single comprehensive source of information and access for schools, academies and other organisations to receive all of the services they need. Lincolnshire County Council services in scope of cost recovery would be reviewed periodically to ensure each offer was comprehensive, with clear benefits with an agreed cost structure for each support package. The services would be offered into a digital form similar to an 'E-commerce' environment. It was also noted that the terms and conditions and the formula used would be standardised to ensure the full recovery of costs for service activities.

The Overview and Scrutiny Management Committee had considered a report on Developing a Model for the Charging of LCC Services to Schools at its meeting on 30 June 2016. The Chairman of the Overview and Scrutiny Management Committee highlighted that the Committee's comments had been circulated and made particular reference to the Committee having given qualified support for the proposals, on the basis that the Committee would have wanted more information in the report, particularly on costings. It was noted that the Committee had requested to see a further report, outlining the costs of services provided, at a future meeting.

Members were provided with an opportunity to ask questions, where the following points were noted: -

- Members were assured that the true cost of services, including overheads, would be charged. It was highlighted that the County Council could not charge market rate as it would be unlawful for the Council to make a profit on such services. It should also avoid state aiding academies;
- The charging template had been devised with in collaboration with corporate finance to ensure the true cost was recouped;

- Members were assured that none of the chargeable services could compromise safeguarding arrangements. Further to this it was noted that the County Council and all education providers had a statutory obligation to ensure children and young people were safeguarded;
- Small schools would be encouraged to collaborate with other schools in purchasing services to ensure affordability and best value for money;
- The uptake of services, and the viability of services, would be reviewed at the end of each full term (3 times per year), with the first review being January 2017;
- The next stage in the process would be for each service area to develop service models, which would be scrutinised by finance and commissioning to ensure that any proposed charges were accurate;
- In relation to 'Education Support – Free School Meal Eligibility Checking Service for Schools', the officers stated that the indicative charge would be £3.52 per eligible pupil, with no charge made to the school for those pupils not to be eligible for free school meals. Members challenged whether this figure would in fact recoup the true cost to Lincolnshire County Council. It was therefore suggested that this was revisited to ensure accuracy.

#### RESOLVED

That the Executive:

- (1) Notes the support services currently provided by LCC to maintained schools and Academies set out in Part 4 of Appendix A for which LCC charges and will continue to charge.
- (2) Notes the support services currently provided by LCC to maintained schools and Academies set out in Part 3 of Appendix A for which LCC does not charge and does not propose to charge.
- (3) Approves in principle charging schools, Academies and other education organisations for discretionary services provided by LCC on a cost recovery basis.
- (4) Approves in relation to the new and existing support services set out in Parts 1 and 2 of Appendix A, that from 1 September 2016, LCC recover the cost of the provision of such services from schools, Academies and other education organisations through appropriate charging mechanisms to be developed for each such service.
- (5) Approves in relation to all support services to schools the development of a single source of information and access to services including by way of digital access similar to an e-commerce environment.
- (6) Approves that authority be delegated to the relevant Chief Officer, in consultation with the relevant Executive Councillor, for each service area to approve the amount and recovery mechanism appropriate to each service set out in Parts 1 and 2 of Appendix A and the offering of further

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discretionary services to schools, Academies and other education organisations and the amount and cost recovery mechanism appropriate to each such service.

(7) Approves that authority be delegated to the Executive Director of Children's Services in consultation with the Executive Councillor responsible for Children's Services to approve the final form of the proposed single source of information and access to LCC support services.

(8) Approves the making of a flat rate charge of £6,500 for standard conversions to schools that choose to convert to academy status to cover officer time and legal charges incurred by LCC.

The meeting closed at 11.00 am.



**Open Report on behalf of Nick Borrill, Acting Chief Fire Officer**

Report to:	<b>Executive</b>
Date:	<b>06 September 2016</b>
Subject:	<b>Fire and Rescue Integrated Risk Management Planning - Results of Consultation 2016/17</b>
Decision Reference:	<b>I010919</b>
Key decision?	<b>Yes</b>

**Summary:**

The purpose of the report is to present the results of Lincolnshire Fire and Rescue's Integrated Risk Management Planning (IRMP) consultation for 2016/17. This year the Service consulted on the following proposals:

- A new IRMP Baseline Document for 2016 – 2020
- A potential savings option based on crewing changes at Lincoln South
- A reduction in the number of Rescue Support Units (RSU)
- The permanent relocation of an Aerial Ladder Platform to Boston
- Further development of the Joint Ambulance Conveyance Project
- The introduction of a cost recovery process for attendance to Unwanted Fire Signals
- Service Priorities for 2016/17

The consultation lasted for a period of 11 weeks and was made available, predominantly electronically, to a wide range of stakeholders including staff, partners, representative bodies and members of the community. A total of 322 feedback forms were received along with 22 separate written responses. In addition, a 5,337 signature petition against cuts to the fire service was submitted to the County Council along with an e-petition containing 417 names and 38 comments. The Service received one alternative savings option proposal from the Fire Brigades Union (FBU) for consideration.

**Recommendations:**

That Executive approve the following:

1. The new IRMP Baseline Document 2016 – 2020 in the form attached at Appendix A.
2. The proposal (as described in the IRMP Consultation Document at Appendix B) for changes at the Lincoln South fire station not be implemented.

3. That the number of RSUs is not reduced at this time and options for alternative delivery of the RSU capability and potentially other specialist provision is considered. If appropriate this should be included in a future IRMP consultation.
4. The permanent relocation of an Aerial Ladder Platform to Boston.
5. Further development of the Joint Ambulance Conveyance Project. This includes maintaining the existing 3 locations and extending to another 5 assuming appropriate funding can be secured.
6. The introduction of a cost recovery process for attendance at Unwanted Fire Signals.
7. The Service priorities for 2016/17.
8. Delegation to the Chief Fire Officer in consultation with the Executive Councillor for Culture and Emergency Services of authority to take all decisions necessary to give effect to the above decisions.

#### **Alternatives Considered:**

During the consultation process, the Service received submissions from the public, staff and the representative bodies. In particular, the FBU presented a response that contained a number of issues for consideration. We reviewed this constructive feedback and recognised merit in exploring further. As a result we invited the FBU to explore with us a range of service delivery options.

A Joint Working Group was established to review these options, which has concluded with the development of a revised management proposal incorporating the findings of the group.

The revised proposal maintains a twenty four hour fire station within the City of Lincoln which will be crewed by 20 operational firefighters across 4 watches. It addresses the principal concerns raised during the consultation period around proposal 2, enabling current mobilisation times to be maintained at the Lincoln South fire station. The proposal includes changes to the duty systems at the other wholetime fire stations across the County and, to ensure resilience, is supported by changes to the duty systems of other staff groups. This has the overall effect of reducing wholetime duty system firefighter posts across the service by 12 compared with the 13 envisaged in the original proposal. It has been achieved through significant negotiation involving revised terms and conditions for staff.

It should be noted that under the proposed arrangements, fire engines crewed by wholetime duty personnel will respond to incidents with a crew of four on most occasions. Whilst this may limit the initial options available to the incident commander prior to the arrival of additional resources, crews are trained to operate to a safe system of work. The proposal requires the continued support of

the second fire engines at these locations and our network of (on-call) retained duty system crewed fire stations.

The staffing and operational changes necessary to implement the revised proposal can be effected under existing delegated powers. It is therefore proposed to make these changes and not to proceed with the original proposal set out in the IRMP consultation document.

The revised proposal, which provides an effective, efficient and balanced approach to service delivery, has been carefully considered against both the Service's requirements and the necessity to meet the savings target.

### **Reasons for Recommendations:**

1. The IRMP Baseline Document is an integral part of the Service's overall risk management planning process and will provide the foundation for effective planning to the year 2020
2. The changes to Lincoln South as set out in the Alternatives Considered section will enable the savings target to be met with the least impact on front line service delivery, no additional capital expenditure and no adverse effect on the delivery of the Blue Light Collaboration Project. As a result it is not proposed that the changes set out in the IRMP Consultation Document are proceeded with.
3. Disposition of specialist resources such as those carried on the RSU can be reviewed in light of comments received and potential changes to national resources to ensure the most appropriate future delivery option
4. Basing the Aerial Ladder Platform at Boston will improve the geographical cover across the County
5. Continuing the Joint Ambulance Conveyance Project and increasing the number of fire stations with Fire Ambulances will help reduce the impact of cardiovascular related emergencies
6. A cost recovery process for attendance at Unwanted Fire Signals will help to free up resources to deal with real emergencies, encourage businesses to take responsibility for the correct installation and maintenance of fire alarm systems and help to reduce the financial burden on the Fire Service
7. Agreement of the annual Service priorities ensures the Service and members of the community have clarity on the key safety outcomes the Service is trying to achieve over the next 12 months

## **1. Background**

The annual IRMP Consultation Document is the mechanism by which the Service consults on any new proposals which could impact on service delivery. It also provides an opportunity to feedback on progress from previous consultations. Key proposals included in the 2016/17 consultation were:

- A new IRMP Baseline Document for 2016 – 2020

- A potential savings option based on crewing changes at Lincoln South
- A reduction in the number of Rescue Support Units
- The permanent relocation of an Aerial Ladder Platform to Boston
- Further Development of the Joint Ambulance Conveyance Project
- The introduction of a cost recovery process for attendance to Unwanted Fire Signals
- Service Priorities for 2016/17

Each of these proposals is more fully described in the IRMP Consultation Document at Appendix B.

The consultation period lasted for 11 weeks and closed on the 16 May 2016. Stakeholders consulted included Lincolnshire Fire and Rescue (LFR) staff, representative bodies, partners and members of the public. Key methods of consultation included:

- Staff briefings
- Four public briefings (conducted at 3 locations)
- Lincolnshire Fire and Rescue website (1,849 visitors)
- Formal media briefings and interviews (BBC Radio Lincolnshire, Lincs FM, BBC Look North, ITV News, Lincolnshire Echo, The Lincolnite)
- Social media
- E-mail distribution to County councillors, District and Parish councils (via LALC), Involving Lincs and Healthwatch Lincolnshire

The consultation was formally considered at the Lincolnshire County Council (LCC) Community and Public Safety Scrutiny committee on 9<sup>th</sup> March 16. Key points from the meeting are included at Appendix C. It was also considered by Lincoln City Council Community Leadership Scrutiny Committee on 12<sup>th</sup> May 16. Comments from both committees are incorporated in this report as appropriate.

There was a good level of local media coverage around the consultation (10 stories in local papers, 11 mentions on the radio, 25 online stories and 5 TV mentions). Details will be available at [www.lincolnshire.gov.uk/lfr](http://www.lincolnshire.gov.uk/lfr). The proposals, particularly around the proposed savings option, were also drawn to the public's attention through activities undertaken by the 'Save Lincoln South Fire Station' campaign and the FBU. This included a:

- Public demonstration by the FBU outside the LCC offices on 20 May 2016
- Public demonstration by the FBU on Lincoln High Street on 9 April 2016
- Public demonstration at the site of the Lincoln public briefing on 11 April 2016

An e-petition on the LCC Website 'Save Lincoln South Fire Station' was supported with 417 signatures and 38 comments. The petition listed the following demands of the Council:

- No to Lincoln South Fire Station switching to Day Crewed meaning increased response times
- No to the loss of 1 Rescue Support Unit.

- No to the permanent move of the Aerial Ladder Platform to Boston from Skegness

A similar paper petition, led by the FBU and supported with 5,337 signatures, was submitted to the meeting of full Council on 20 May 2016 and referred to the Executive Councillor for Fire and Rescue. The Executive Councillor has decided to refer it to the Executive so it can be considered as part of this report prior to the Executive making their final decision on the recommended proposals. A transcript of the speech made by the spokesperson presenting the petition at Council is attached at Appendix D.

Of the responses received, respondents reported that they had heard about the consultation via the following means:

Fire and Rescue website	24%
Social Media	28%
Newspaper/ Radio	42%
Direct contact by Email	6%

There were also a small number of comments within the questionnaires that suggested other sources.

## 2. Feedback on Consultation

An improved level of feedback was received this year with a good number of responses. 77% of respondents provided their postcode. Of those, 71% were in Lincoln and surrounding villages, 7% in the Grantham area and less than 1% in the Skegness area. Most areas of the County were not well represented. This may relate to the relative proximity of the issues raised. The small percentage of representations from the Skegness and surrounding area was surprising given the nature of proposal 4 (location of the Aerial ladder Platform).

The following is a demographic breakdown of responses received:

Member of Staff	16%
Member of the Public	72%
County Councillor	1%
District Councillor	1%
Parish Councillor	<1%
Public Sector Organisation	4%
Other	3%
Did not state	3%

Feedback on each of the main proposals is shown below. Given the number of individual comments these have been themed and a response provided as appropriate. The response aims to clarify some of the issues raised without replicating the detailed information presented in the main IRMP Consultation Document. Individual survey comments will be available at [www.lincolnshire.gov.uk/lfr](http://www.lincolnshire.gov.uk/lfr).

a. **Proposal 1 - Agree the IRMP Baseline Document 2016 – 2020**

The purpose of the IRMP Baseline Document is to outline Lincolnshire Fire and Rescue’s assessment of key risks and the strategies it will adopt to mitigate those risks. It is a core document covering at least a 3 year time span and is linked to the Service’s vision for the year 2020.

The consultation question was: *How do you feel about the proposed IRMP Baseline Document for 2016 – 2020?*

Of the 322 responses received the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
8%	22%	22%	48%

Key comments relating to this proposal focussed on the following themes:

- The budget reduction does not reflect growth in the County and therefore increases risk
- The scale and concurrency does not reflect the type of scenarios that could occur simultaneously
- Concerns for those living on the fringes of the County
- Concerns relating to cuts and consultation as a whole rather than the IRMP Baseline Document
- Concern that the document is written in terms that the public will not understand and does not specify how it will address risks
- Acknowledgement that it balances service delivery against risks

*Response:*

While responses to this proposal were, on the whole, unsupportive (70%) the result, evident from associated comments, appears to have been significantly influenced by the frustration around proposal 2 (the savings option) and the general financial and political climate rather than focusing on the Baseline Document itself. There was, however, some recognition of the balanced approach proposed and support for the document.

Concern was expressed around support for the communities on the fringes of the County although it is believed our more detailed planning and distribution of appliances and equipment takes account of this as far as is reasonably possible. Over recent years capability has been improved across all fire engines to ensure that our communities receive the best initial response possible in a timely manner. Clearly it is not cost effective to increase the number of specialist supporting vehicles and as such we aim to locate these at strategic points to best support response to risks across the County. It is also worthy of note that specialist supporting vehicles exist in our neighbouring counties and these are utilised where required. In planning the location of our resources we take the location of these vehicles into consideration.

Some concern was expressed around the reduction in budgets against a growing County and correlated this to an increase in risk. We accept that the proposal to change the Lincoln South duty system to the Lincoln Crewing System presents some increase in risk. However, we have little option than to work within the budget provided and believe this proposal represents the least impact on service delivery given the constraints imposed. The Council has made representation to Government in respect to reduced funding and has had some success in securing additional money. However, given the savings that must still be made the fire service is still expected to contribute.

Some comments were received around the style of the document and how it addressed the risks. It is important to recognise this is a strategic document and balance the ease of understanding against ensuring that there is sufficient detail. We believe that the document contains sufficient detail to be meaningful without over complicating matters. By way of example, to provide the breadth of scenarios that might reflect scale and concurrency as suggested would require a significant amount of detail and would not be overly helpful to most readers. In respect to further detail around how risks are addressed, this is covered in supporting Service Planning documents.

From the feedback, it is not clear whether the purpose of the document was fully understood with many of the comments received relating to the other proposals. The Baseline Document is a strategic document covering key risks and our general approach to reducing those risks. In light of this, it is recommended that this proposal is approved.

**b. Proposal 2 – Identify Potential Savings Options.**

Lincolnshire Fire and Rescue has a savings target of £0.308m in 2016/17 and total anticipated savings of £1.67m over the next 3 years. It is proposed that around 60% of the total savings will be delivered through internal restructures, changes to the way in which we deliver our Control capability and the reduction of some of our prevention and operational support activities.

In order to find the remaining savings we have had to consider a number of potential measures which will impact on the way we deliver our front line service. Given the lead time to implement some of the potential options, we have had to consult on these now. Other options will need to be considered in due course, and an appropriate consultation undertaken, once our final savings target has been confirmed. In defining these options the aim is to:

- minimise the impact on front line service delivery as far as possible
- maintain a balanced delivery of service across our 3 core areas of activity, namely: prevention, protection and response

The proposal we consulted on this year to support anticipated savings was to change the wholetime crewing system at Lincoln South fire station. This would see the wholetime crew at Lincoln South moving onto the Lincolnshire Crewing System. This would comprise 2 shifts and a total of 11 firefighters with wholetime firefighters being available on the fire station during the day and available 'on call'

within 5 minutes at night. It would still mean the fire engine is crewed with wholetime firefighters round-the-clock; the key difference is that they would be providing on-call cover at night. Suitable accommodation would need to be provided to support this option.

The consultation question was: *How do you feel about our proposals to change the duty system at Lincoln South fire station?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
6%	12%	7%	75%

Key comments relating to this proposal focussed on the following themes:

- General dissatisfaction with the proposal
- Concern that Lincoln fire cover needs to be maintained as it is a growing city with high rise, historic buildings and increasing congestion. Suggestion that the Council should use reserves to maintain the fire service
- Concern over increased response times to fires, Road Traffic Collisions (RTCs) and high risk premises such as hospitals
- Belief that the proposal places firefighters at greater risk
- Concern over lack of support from politicians (local and MPs) and that the public's views will not be listened to
- Concern that there were no options presented that can maintain the response standards
- Concern that Lincoln will be the only City without a round the clock response
- Belief that the proposal places an unreasonable burden on firefighter's families and that there is no alternative duty system for people that cannot work the Lincolnshire Crewing System
- Concerns over rest periods for firefighters on the Lincolnshire Crewing System. Belief that managers should be reduced and frontline services maintained
- Concern that congestion will prevent firefighters from getting to the station in 5 minutes and around the suitability of housing in the South Park area
- Belief that the proposal will cause increased staff sickness, low morale and diversity in the workforce
- Belief that Lincolnshire Crewing System will be overstretched in Lincoln
- Last year Lincoln South was quoted as mitigating risk in North Lincoln, how will that control measure be replaced
- Concerns over the effect on surrounding villages when their fire engines are not available
- Concern that no alternative options have been offered and the belief that there must be a better way of making the required savings such as: reducing managers, reducing bureaucracy, removing Lincoln based RDS crews, reducing 5 watches of 4, placing watch managers back on fire engines
- A better option than closing fire stations
- Need to align the fire service with a reducing risk profile and affordability



*Response:*

Whilst there was some acceptance that the proposal was reasonable in the difficult financial circumstances, the majority of responses (82%) were not in favour of the proposal.

Those dissatisfied clearly do not wish to accept slower response times, believing that this will lead to lost lives in both fires and road traffic collisions. Whilst loss of life is often not linked to attendance times it is accepted that a slower response may affect survivability on some occasions. It also follows that response to surrounding villages not supported by another fire station will likewise be affected.

A number of suggestions were offered in respect to saving money without the need to affect Lincoln South response times, such as cutting bureaucracy, reducing managers or other services such as PCSOs and traffic wardens. Senior manager numbers have already been significantly reduced and other measures within the Service's remit already made. Further cuts in other areas would affect the service provided in other ways which could have a greater affect than the proposal identified. Some suggestions made are not within our control and others, such as removing Lincoln's second fire engine, would have an adverse effect on resilience and mobilisation of specialist vehicles such as the Lincoln Aerial Ladder Platform. It would also not deliver the savings required. The Lincoln second fire engine has an average response time of 5 minutes 30 seconds.

Frustration was displayed due to not offering a range of options, as was the case last year, or providing the detail of cost savings being made by implementing the proposal. The difficulty with offering a range of options is that, given previous rounds of savings, the options are now very limited and other options that could have been suggested would have led to a significant reduction in service delivery. Alternative crewing options are equally problematic as there are limited options that can be implemented without agreement with the FBU, which cannot be guaranteed. The suggested approach of returning watch managers to ride fire engines may appear, on the surface, to resolve the savings issue. However, what it does not consider is the detrimental effects to managing the Service that this action would bring about, thereby resolving one issue and creating another.

Staff at Lincoln South Fire Station raised a number of concerns around the duty system being proposed in respect to the effect on their lives. Whilst the points raised are acknowledged, the duty system is in place at 7 other stations and operates effectively with some of the concerns being voiced not having materialised at the other 7 stations. Many of the concerns relate to the family friendliness of the duty system and this is a matter for each individual. For some it would be more problematic than others and it is likely that for some staff it will cause serious difficulties. The point raised around there no longer being an alternative duty system, whilst true, is to some extent a moot point, as the demand for transfer to the wholetime duty system has invariably exceeded demand, effectively meaning that those working the Lincoln crewing system have likewise had no real alternative. Further, on the point around diversity, in our recent wholetime recruitment campaign we did not encounter difficulties attracting female

applicants and have twice as many female firefighters working the Lincolnshire Crewing System than we have across both Lincoln stations.

Concerns raised over not consulting officers are unfounded. Whilst it is true that not all staff were engaged before the formal consultation was launched, all managers at Group Manager level and above were aware of the options being considered and able to contribute alternative suggestions prior to the consultation being made public. All staff have had the opportunity to provide comment as part of the formal consultation process.

Concerns raised over Lincoln being a growing city with historic and high rise buildings are noted as are the issues of traffic congestion. However, despite a slight increase recently, the longer term trend is that of reducing numbers of incidents. Improvements in building standards, technological advancements, highest ever ownership of smoke alarms and improving safety standards in vehicles have all played their part in driving this reduction along with many years of community and fire safety interventions. The increase in the number of homes does not appear to be driving an increase in risk or response although this will continue to be monitored. Further concern has been raised over premises such as hospitals and the effect these proposals will have on safety and evacuation. Hospitals have a high level of safety built in when constructed and have trained staff well versed in what to do in the event of a fire. Whilst occasionally fires do occur in hospitals, they are the subject of regulation and are required to conduct risk assessments and take appropriate control measures for any significant risk. Any increase in risk identified by this proposal must be addressed by the Trust. This is also the case for other businesses.

A point was raised around last year's IRMP proposal in respect to Lincoln South offsetting the change to the duty system at Lincoln North fire station. Clearly if the Lincoln South proposal is accepted this will not be possible and this will be less effective as a control measure. This is acknowledged in our acceptance that the proposal will lead to an increase in risk.

A further point was raised in respect to the response maps that were published further to last year's IRMP consultation with the suggestion that these should have been revisited in this consultation. For ease of use the response map already assumes an average turn out time of 2 minutes for all the wholtime stations, including the two Lincoln stations, which takes into account the slightly quicker times during the day and slower times at night (associated with the Lincolnshire Crewing stations). In reality using the slightly different night/day times makes little difference on the drive time map. This means that should this proposal be taken forward there would be no change to the existing response map.

A number of requests were received relating to how the Lincoln Crewing System works. For clarity, the system requires fire fighters to work a rotating pattern of 4 days on 4 days off, 4 days on 4 days off followed by 5 days on 3 days off. Between the hours of 07.30 and 18.30 fire fighters are required to be at their place of work. After 18.30 fire fighters working the system and on duty are required to provide close availability either in the accommodation provided by the Service or in their own accommodation. In the event of an emergency call, personnel are

required to respond to the fire station within 4 minutes and 30 seconds. Those personnel who choose to live locally are free to spend their on-call time at home providing they maintain their availability. Those who choose not to live locally are offered provided accommodation close to the station which consists of 6 en-suite bedrooms, a communal kitchen, a lounge area and conservatory. During the evening time those who use Service accommodation are free to invite their families to spend time with them in the provided accommodation. The system provides enough flexibility for firefighters to either live within the catchment area or utilise the provided accommodation at no costs to themselves. Concern over congestion affecting the ability for firefighters to respond in a timely fashion has been considered. Our experience is that generally there is little congestion between the hours of 18:30 and 07:30 in the area where firefighters might wish to reside.

A range of comments were made around whether the Lincolnshire Crewing System was an appropriate crewing system for Lincoln South given the greater number of calls attended. Reference has also been made to safety, in respect to crews becoming over tired and drivers of fire engines being expected to work excessive hours and thus putting the public at risk whilst attending incidents. We believe that the number of calls attended by Lincoln South is not excessive and the Service has standard measures in place to ensure that crews do not pose a risk to themselves or others by becoming overly tired.

Comments have been logged that suggest that the Council should utilise its reserves to support maintaining the fire service. The Council's current financial strategy is to maintain the general reserve within a range of 2.5% to 3.5% of the Council's total budget. On an annual basis the Council reviews the financial risks it is facing when considering the level at which general reserves should be set at. This review was considered by the Overview and Scrutiny Management Committee in January 2016 and identified risks in excess of the 3.5% upper limit. The general reserve is meant for emergencies only, rather than meeting the costs of day to day expenditure. The Council have also set aside funding in the Financial Volatility Reserve to help smooth the effect of funding reductions in 2016/17 and future financial periods. The Financial Volatility Reserve has been drawn on heavily both last year and in the current year to support the Council's budget. Whilst the Council has not published its budget for 2017/18 and beyond it is expected that the remaining funding from that reserve will be exhausted next year in generally supporting the Council's budget. Unfortunately, the use of reserves is only time limited and does not prevent the need to make the significant budget savings.

To meet the Service's savings target the original intention, assuming the proposal was agreed, was to implement the changes by summer 2017. However, in light of developments around the Blue Light Collaboration project it is unlikely this timeframe could be met. This would impact directly on the Service's ability to meet its current savings profile.

Given the above comments and the viability of the alternative proposal presented, which is more fully described in the Alternatives Considered section of this Report, it is recommended that proposal 2, as currently described, is not taken forward.

**c. Proposal 3 – Reduce the number of Rescue Support Units**

At present the Service has 2 Rescue Support Units (RSU) serving the County. These vehicles are mobilised to provide additional support for more complex incidents including Breathing Apparatus, Chemical Decontamination and Road Traffic Collisions. The vehicles are currently located at our Grantham and Lincoln North fire stations. Given the utilisation rate and the fact that some of the specialist equipment on the RSU is now available on front line fire engines, it is considered that only one RSU is now required in the Service.

This proposal would see the number of RSUs within the Service reduced to one. The intent would be to locate the remaining RSU within the County to ensure maximum operational effectiveness.

The consultation question was: *At present we have 2 Rescue Support Units (RSU) which are mobilised to support more complex incidents. These are located at Grantham and North Lincoln fire stations. This proposal would see the number of RSUs reduced from 2 to 1 and relocated to ensure operational efficiency and effectiveness. How do you feel about this proposal?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
10%	21%	22%	47%

Key comments relating to this proposal focussed on the following themes:

- Concern that there will be an increase in travel distance and therefore response times which will increase risk to life
- Suggestion to continue to maintain 2 RSUs due to concerns over resilience, should 2 incidents occur simultaneously
- Concern that the proposed location is not where it will be most used
- How can reducing to 1 RSU improve efficiency & effectiveness
- Relocate centrally at Sleaford
- Local risks suggest there is a need for an RSU at Grantham
- Misconception over what the RSU is for and that it is available for national deployment
- Consider replacing both with more appropriate or better equipped alternative
- The RSUs need to be better equipped
- Is there a requirement for any at all if most equipment is now available on fire engines
- Support but give crews losing the RSU another capability instead

*Response:*

There was a good range of responses to this question, some displaying support, but most in opposition (69%). There was also a degree of confusion around the purpose of the RSU. For clarity, the RSU is a support vehicle providing additional or specialist equipment to assist firefighters to resolve more complex or less

common incidents. The RSUs are always mobilised to support one or more fire engines at an incident and not mobilised alone. The main areas supported are:

- Road traffic collisions
- Animal Rescue
- Water Rescue
- Hazardous materials and environmental protection
- Breathing apparatus support

A number of respondents cited operational risks and felt that the presence of these risks justified maintaining both RSUs. Some felt that more equipment should be placed on the vehicles in order to justify or increase their use and others felt that both should be replaced with a more appropriate alternative.

Since the introduction of the RSUs a number of enhancements have taken place across the Service and these enhancements have had the effect of reducing the rate of utilisation of the vehicles. In 2014/15 the RSUs were mobilised to a total of 74 incidents. Of these, the vehicle only attended on 57% of occasions and equipment carried on these vehicles was only utilised on 25 occasions. The enhancements referred to above include:

- The introduction of heavy rescue equipment at Sleaford
- The upgrade of hydraulic rescue equipment on all first line fire engines
- The introduction of swift water rescue teams at Boston, Gainsborough, Lincoln, Louth, Sleaford and Spalding
- The introduction of animal rescue equipment at Corby Glen, Lincoln, Louth, Sleaford and Spalding
- The Introduction of rope rescue teams at Skegness and Sleaford
- The introduction of a mass decontamination facility at Lincoln

There was clear concern over how one RSU could be considered as a resilient arrangement and what would happen where 2 were required to be mobilised simultaneously when only one remained. There was also a concern that if the RSU was deployed nationally that there would be no resource remaining within the County. In respect to these concerns it is clear that one unit is less resilient than two but in light of the above enhancements and rates of utilisation the likelihood is low and similar capability exists in our bordering fire services which can be mobilised into the County when required.

A further concern surrounded turnout times particularly in the Grantham area if the proposals were to be put in place with a belief that this would put lives at risk. Again, the RSU is a supporting vehicle and fire crews will be in attendance and conducting early intervention whilst awaiting arrival of that support.

In light of potential changes to national assets (ie Incident Response Unit<sup>1</sup>) and the comments received, it is recommended that this proposal is not taken forward at this time. The disposition of specialist resources, including those carried on the

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<sup>1</sup> The Incident Response Unit provides facilities for mass decontamination, firefighter decontamination, gas tight suits and re-clothing packs .

RSU, will be further reviewed when more details around specialist national assets are available.

**d. Proposal 4 – Aerial Ladder Platform Permanently Stationed at Boston**

In June 2013 we replaced our 3 ageing Hydraulic Platforms with 2 Aerial Ladder Platforms (ALP). As part of that change it was agreed that one of the ALPs would be located at Lincoln South fire station with the second located at Boston during the winter and Skegness during the summer.

Given that there is little evidence to support the perceived greater risk in the Skegness area during the summer months, this proposal would see the second ALP being permanently located at Boston. It is believed this will provide more equitable and improved geographical cover across the County. It would also reduce training costs as it would only be necessary to provide training to firefighters at 2 fire stations rather than the current 3.

The consultation question was: *In 2013 we replaced 3 Hydraulic Platforms with 2 Aerial Ladder Platforms (ALP) and agreed that one would be located at Boston during the winter and Skegness during the summer. This proposal would see this ALP being permanently located at Boston providing improved geographical cover. How do you feel about this proposal?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
15%	34%	19%	32%

Key comments relating to this proposal focussed on the following themes:

- Belief that the proposal will risk lives in Skegness during the summer
- Hotel risk justifies keeping the ALP at Skegness in the summer
- Concerns over rescuing people from higher floors of hotels etc
- Concern over the ability to crew all year round at Boston and provide relief crews when required
- Concern for staff morale at the station where the ALP is no longer based
- Lack of understanding around the proposal including the misconception that the proposal is around cost savings or reducing the ALPs to one
- Belief that we should maintain 3 ALPs
- Proposal makes sense as Boston is more central
- Training will be improved by leaving the ALP in one place
- Need to keep under review in case of future demographic changes

*Response:*

Almost a half of respondents (49%) supported relocating the ALP to improve geographical cover, many clearly identifying the benefit to the County as a whole. Some questioned the reason for locating the ALP at Boston. The reason for this was explained in the earlier IRMP consultation (when considering reducing from 3 hydraulic platforms to 2 ALPs) which considered the risk and locations of other

high reach appliances in neighbouring Fire and Rescue service areas. A drive time mapping exercise was completed to evidence that this historic location remained appropriate. This exercise has been reviewed and Boston remains an appropriate location.

It was clear, however, there remains a belief there is an increased risk in the Skegness area during summer months due to the number of hotels and increased population and the proposal will therefore increase risk to life during that period. Whilst there is an increased population and the hotels will have higher occupancy levels over this period, it does not follow that the risk to occupants in hotels is significantly increased. There is a key difference between the levels of safety that are built into hotel premises when compared to dwellings and other holiday accommodation such as caravans. Hotels are designed to allow residents to escape in case of fire using the protected exit routes provided and are installed with fire warning systems to alert occupants in the early stages of a fire. This supports their safe evacuation. A campaign in the Skegness area over a period of 2 years focused on bringing the fire warning systems in hotels up to modern standards and this campaign saw major improvements in the protection afforded as some hotels had previously been fitted only with basic equipment. Our local fire safety officers also continue to audit the standards of hotels in the area and, whilst not having found any significant issues, have the power to resolve concerns should they be identified. This has helped maintain the risk in hotels at an acceptable level and supports the fact there have been no requirements to use an ALP to perform rescues from hotels since their introduction. In respect to the summer months, during 15/16 the ALP was mobilised to Skegness on 2 occasions whereas it was mobilised to Boston on 4 occasions.

A further theme involved concern over the ability to crew the ALP at Boston. Clearly it is important that sufficient skilled operators are available and we will endeavour to ensure that there are sufficient personnel and that they are appropriately trained.

Given the comments received, the current level of risk and the potential improvement in geographic cover it is recommended that this proposal is approved. As with all our response capabilities we will continue to keep the location of the ALP under review to reflect any demographic changes and consequent change in risk.

**e. Proposal 5 – Further Develop the Joint Ambulance Conveyance Project**

Designed to improve patient care through enhanced ambulance provision, this innovative joint project involving Lincolnshire Fire and Rescue, East Midlands Ambulance Service (EMAS) and Lincolnshire Integrated Voluntary Emergency Service (LIVES) has demonstrated how closer integration between partners can help improve services to the local community in a cost effective way. The 12 month pilot, which has run from 3 fire stations around the County, has delivered significant benefits to a range of stakeholders.

Given its success and, assuming appropriate health funding can be identified, our proposal is that the Joint Ambulance Conveyance Project (JACP) continues to

operate from the 3 existing locations and is further expanded to 5 other fire stations around the County. The location of the additional fire stations would be selected on the basis of EMAS' priorities and the availability of the (on-call) retained duty system firefighters to undertake this activity.

The consultation question was: *How do you feel about our proposal for the Joint Ambulance Conveyance Project to continue to operate from the 3 existing locations, and to expand it to 5 other fire stations around the County?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
30%	37%	14%	19%

Key comments relating to this proposal focussed on the following themes:

- Unconditional support
- Support, as seen as a way of improving patient outcomes
- Support, as seen to improve stretched ambulance Services
- Support for increasing the mobilising criteria for the service
- Support where it helps to maintain the fire service
- Support provided it is not funded through cuts to fire cover
- Preference for a better funded ambulance service
- Concern that fire and ambulance services are not receiving sufficient government funding
- Concerns that the fire service is propping up or diluting the ambulance service and supporting EMAS targets
- Concerns over reductions in local fire cover whilst conducting this activity
- Concerns that fire service cannot crew fire engines let alone ambulances
- Concern that merging services will confuse public and staff
- Concern, as would not want firefighters when in need of an ambulance
- Misconception that firefighters will be performing a paramedic's role
- Concern over care standards. Training needs to be high quality, tested and maintained
- Concern that the proposal will increase training costs
- What will happen if no funding is secured
- Complete rejection

*Response:*

Responses to this proposal were generally supportive (67%). Some respondents were of the opinion that the fire service should not be engaged in activities of this nature and alternatively the ambulance service should be enhanced. However, others could see the benefits of the local fire crew providing a broader range of support activities in the community and therefore fully support the proposal.

It is important to state that the driver for this activity is to support the health and wellbeing of our communities. Conducting this activity and the wider co-responder activity clearly increases the value that the fire station offers to the community. This was recognised and supported.



Funding was a concern to many, with a clear expectation that this proposal should not be funded from existing fire budgets. We are clear that this initiative will only continue if funded through the appropriate health channels. Funding for the project to date has been through a Government transformation grant.

Concern was raised around availability of fire cover whilst crews were engaged in the activity. This has been closely observed throughout the trial where there were no fire specific incidents missed by the 3 pilot stations due to JACP activity. If the fire engine had been unavailable to attend such an incident then the next nearest fire engine would have been mobilised as is currently the case. We will continue to monitor this and seek to ensure that there are sufficient personnel available to support both this activity and availability of the fire engine.

Some concern was evident around the competence of fire crews to conduct this activity. All crews involved in JACP have undertaken specific additional medical training provided by LIVES and EMAS. LIVES also provide the necessary clinical governance for the project. There is no intent to merge services or to train firefighters to be paramedics.

In light of the positive responses and the potential for enhanced ambulance provision within the County it is recommended this proposal is approved.

**f. Proposal 6 – Introduce a cost recovery process for attendance to Unwanted Fire Signals**

Over time there has been a sustained increase in the installation of automatic fire alarm and detection systems in both commercial and domestic premises. Whilst the increase in these systems is welcomed from a public safety point of view, the rise in false alarms they generate is not.

Many false alarms go unnoticed by the fire service as the person managing the premises takes appropriate action, resulting in the fire service not being notified. Where the false alarm is not appropriately managed and the fire service is called, this is known as an Unwanted Fire Signal (UwFS).

The proposal was to recover some of the costs that we incur by attending UwFS through a charge that would be levied against repeat offenders where we continue to attend UwFS and the business fails to take reasonable measures to prevent them.

The consultation question was: *How do you feel about our proposal to put in place measures to recover costs incurred through attendance at false alarms caused by Unwanted Fire Signals?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
42%	33%	11%	14%

Key comments relating to this proposal focussed on the following themes:

- General support
- Support if saves the Service money
- Support provided that businesses are aware of costs in advance
- Should target all non-emergencies including hoax calls for cost recovery
- Should not charge if with good intent
- Should recover unrecovered costs through business rates
- False alarms give crews the opportunity to check fire safety measures and familiarise with premises layout
- Education is better than fines
- Concern over practicalities of implementation and administration costs
- Concern that purpose is to generate income to offset cuts and that it will do little to resolve the issue
- Concern that lives will be put at risk due to businesses not calling the fire service, not installing or isolating fire detectors or alarm systems
- Concern that lives will be put at risk due to businesses not employing alarm monitoring services

*Response:*

Whilst the proposal received general support (75%), there were a number of legitimate safety concerns identified. In drafting our proposed policy around charging for false alarms these matters were all carefully considered and sufficient checks and balances have been put in place to minimise the risk of those concerns being realised.

Concerns around the cost of implementing and administering the proposal outweighing the benefits are unfounded. Without such an option the only approach to resolving the issue is through formal enforcement measures and ultimately prosecution. This is far less cost effective than imposing a charge on persistent offenders. We also feel that it is inappropriate to penalise all businesses for the failings of the minority which rules out concepts such as offsetting costs through business rates.

It has been suggested that the intent is to generate income to offset cuts. This is not the case. If this was the intent all false alarms that we are able to charge for would be targeted. To do this would likely lead to some of the safety concerns cited being realised.

Suggestions were made that we should extend charging to a wider range of calls that we attend. Whilst this may, in some cases, be an attractive option, the legislation governing fire services is specific around charging, thus limiting our options. It is only recently that fire services have been able to charge in the way proposed.

In respect to fire crews familiarising themselves with premises through the attendance at false alarms, by reducing time spent attending false alarms we increase the time available for our wholetime crews to carry out prevention and

protection activities. This will lead to safer communities and enable crews to visit a greater number of premises rather than the same ones on multiple occasions.

Given the positive support and the perceived benefits it is recommended that this proposal is approved.

**g. Proposal 7 – Service Priorities for 2016/17**

This proposal considered our operational and improvement priorities for 2016/17. These were as follows:

**Operational Priorities**

- Reduce fires and their consequences
- Reduce road traffic collisions and their consequences
- Improve health and wellbeing

**Improvement Priorities**

- Ensure our Retained Duty System remains fit for purpose
- Continue to enhance the effectiveness of our collaborative working
- Continue to develop our Information Communications Technology capability

The consultation question was: *How do you feel about the proposed Service priorities for 2016/17?*

Of the 322 responses received, the results were as follows:

<b>Very positive</b>	<b>Reasonably positive</b>	<b>Reasonably negative</b>	<b>Very negative</b>
14%	26%	24%	36%

Key comments relating to this proposal focussed on the following themes:

- Concerned how it will be possible to deliver with reduced budgets or with the proposed changes in place
- Contradicts the savings proposal
- Is the Service moving away from supporting children & young people in preference for health & wellbeing
- Suggestion to increase RDS response times where it is hard to recruit staff
- RDS requires a better method of pay to secure recruitment
- General support

*Response:*

There was a reasonable level of support (40%) for the Service priorities, however concern was expressed over how achievable they were given the reduced budgets and other proposals in the consultation document. Whilst it is accepted that reduced budgets will make it harder to achieve our objectives, some comfort should be drawn from the Baseline Document which demonstrates a clear intent to

maintain a balanced service, thus allowing the preventative work that supports the operational priorities to continue.

As regards the improvement priorities, collaborative working and improved ICT capability will support more efficient working which is expected to mitigate the effect of reduced budgets to some extent.

Given the importance of the Retained Duty System in providing an effective fire service to our communities it is clear that we must strive to ensure it remains fit for purpose. Over the last year a significant amount of work has been completed in pursuit of this goal and the outcome of this is currently being considered.

Finally, we are not seeking to move away from working with young people and children. However, maintaining our existing provision is becoming more difficult as much of this work is grant funded. Given the general reduction in public sector funding, supporting those activities has become increasingly difficult and may cause some activities to cease in future. With respect to health and wellbeing, we consider that our workforce is well placed to provide additional support within the communities they serve.

The main concerns over this proposal were around the Service's ability to deliver them given potential budget reductions. Notwithstanding this, it is assessed they reflect our key priority areas and, as such, it is recommended they are approved.

### **3. General**

The consultation response form offered an opportunity to make any other comments around the consultation. Comments received focussed on the following themes:

- General opposition to cuts particularly to front line services
- Some views around risk to the communities if certain options are adopted
- Other ways of making savings including reducing pay, conditions, allowances, reducing money spent on contractors, charging for services, and raising council tax
- Making changes by reshaping the Service including reducing managers, removing 2<sup>nd</sup> fire engines, removing RDS crews from WDS stations and closing the least effective fire stations
- Viewpoints around efficiencies from integration of emergency services and sharing of estate
- General views around the consultation process, documents and ease of website access along with a belief by some that the public's view would not be properly considered
- Frustration over lack of information about savings not being consulted on and lack of options offered
- Disappointment over number of consultation events and elected member presence

*Response:*

Many of the general comments recorded were repeated from other questions and have therefore been addressed in the previous sections.

There were a few comments which suggested that the consultation was not easy to find on the website. This was investigated and, despite being easy to find through internet and LCC website searches, a number of minor changes were made in order to make accessibility as easy as possible. Some comments were also made in respect to the adequacy of the Equality Impact Assessment (EIA). On receiving these comments the EIA was reviewed in consultation with 2 Lincoln South fire crews and re-published.

The choice of public consultation event venues was questioned. When considering the venues we have looked to ensure that there has been a reasonable geographical spread across the County to ensure accessibility whilst concentrating on the communities that are likely to be most affected by our proposals. We agreed to present to parish and town councils and business groups on request.

A view was held by a number of respondents that the consultation document lacked information and a view was held by others that it was too complex. There are many ways in which a consultation document can be written and a balance has to be achieved. There was a call for more information around plans for collaborative working, particularly around sharing of premises. This information was not included in the document as it did not form part of the specific consultation.

Further alternative approaches to savings were outlined. A number of these related to the removal of second fire engines and closure of fire stations. These options were considered but not favoured at this stage on the basis that the second fire engines provide resilience for the wholtime duty system stations and closing fire stations would clearly also increase risk as the number of stations that would have to close to make comparable savings is significant.

#### **4. Legal Issues**

##### ***Equality Act 2010***

The Council's duty under the Equality Act 2010 needs to be taken into account by the Executive when coming to a decision.

The Council must, in the exercise of its functions, have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it: Equality Act 2010 section

149(1). The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation: section 149(7).

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
- Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
- Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding.

Compliance with the duties in this section may involve treating some persons more favourably than others.

A reference to conduct that is prohibited by or under this Act includes a reference to:

- (a) A breach of an equality clause or rule
- (b) A breach of a non-discrimination rule

It is important that the Executive is aware of the special duties the Council owes to persons who have a protected characteristic as the duty cannot be delegated and must be discharged by the Executive. The duty applies to all decisions taken by public bodies including policy decisions and decisions on individual cases and includes this decision.

To discharge the statutory duty the Executive must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process.

An impact analysis has been undertaken and is attached at Appendix E.

The potential for negative impacts was identified from the proposal for changes in the operation of Lincoln South Fire Station. Those changes and the perceived

impact are set out in the impact analysis. The recommendation is now not to proceed with those changes and the service from Lincoln South Fire Station will not now change, in particular there will be no impact on response times and the proposed changes to staffing arrangements would not now be pursued. There is not therefore considered to be any negative impacts on people with a protected characteristic from the adoption of recommendation 2.

The potential impact of the other proposals and the Service Priorities on people with a protected characteristic is generally assessed to be neutral. The potential impact of maintaining and extending the JACP project is assessed to be positive.

### ***Child Poverty Strategy***

The Council is under a duty in the exercise of its functions to have regard to its Child Poverty Strategy. Child poverty is one of the key risk factors that can negatively influence a child's life chances. Children that live in poverty are at greater risk of social exclusion which, in turn, can lead to poor outcomes for the individual and for society as a whole.

In Lincolnshire we consider that poverty is not only a matter of having limited financial resources but that it is also about the ability of families to access the means of lifting themselves out of poverty and of having the aspiration to do so. The following four key strategic themes form the basis of Lincolnshire's Child Poverty strategy: Economic Poverty, Poverty of Access, Poverty of Aspiration and Best Use of Resources.

The Strategy has been taken into account in this instance and it is assessed that there are no direct implications resulting from the proposals.

### ***Health & Wellbeing Strategy***

The Council is also required to have regard to the Joint Health and Wellbeing Strategy and the Joint Strategic Needs Analysis on which it is based.

The Lincolnshire Health & Well Being Strategy includes five main themes, with an additional theme of "mental health" running throughout the document. This Report supports the theme of '*Delivering high quality systematic care for major causes of ill health and disability*' in that the continuation of the JACP project and potential increase in the number of fire stations which provide a JACP service will help to reduce mortality from cardiovascular diseases.

### ***Crime and Disorder***

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area.

These issues have been considered and the proposals in this Report are not considered to have any direct impact on such matters.

## 5. Conclusion

The consultation included a variety of proposals impacting both positively and negatively on service delivery. The public responded supportively to proposal 5 (development of the JACP) and proposal 6 (introducing a cost recovery process for UwFS). Responses to proposal 4 (permanently stationing the ALP at Boston) were fairly balanced with views depending to some extent on the interests of the respondent. Views in respect to proposal 1 (agree new IRMP baseline Document) and proposal 7 (Service priorities) appeared to be significantly influenced by concern over cuts and the perceived effects of proposal 2 (changes to the crewing system at Lincoln South).

In general there was a considerable level of dissatisfaction expressed during the consultation, the majority of those responding being strongly opposed to further cuts to the fire service and specifically proposal 2 (changes to the crewing system at Lincoln South). In respect to proposal 2, a joint working group was established to consider alternative options. The outcome of this group was an alternative proposal which is considered viable and it is therefore recommended that the original proposal is not taken forward.

The level of consultation conducted was considered proportionate to the proposals being made. A marked increase in the number of responses was noted this year.

## 6. Legal Comments:

The Council has the power to proceed in accordance with the recommendations. In particular the Council as Fire and Rescue Authority has power to recover the costs of responding to unwanted fire signals under section 18A to 18C of the Fire and Rescue Services Act 2004

The decision is consistent with the Policy Framework and within the remit of the Executive if it is within the budget.

## 7. Resource Comments:

The Revised IRMP will enable the Service to deliver its savings targets.

## 8. Consultation

### a) Has Local Member Been Consulted?

Yes



## **b) Has Executive Councillor Been Consulted?**

Yes

## **c) Scrutiny Comments**

The Community and Public Safety Scrutiny Committee met on 9<sup>th</sup> March 2016 to consider the Integrated Risk Management Planning Consultation proposal. Members of the Committee made the comments attached at Appendix C.

The Community and Public Safety Scrutiny Committee met again on 26<sup>th</sup> July 2016 to consider the results of the Integrated Risk Management Planning Consultation and management recommendations. The Committee supported the recommendations on all proposals contained in the report (six votes in favour and one abstention). Members of the Committee made the following comments:

### Proposal 1 - Agree the IRMP Baseline Document 2016 – 2020

- The Committee expressed concerns that the response to this proposal had been overshadowed by the concerns in relation to the proposed changes to Lincoln South. This was apparent from the comments received. Officers confirmed that the Baseline Document was a strategic document covering key risks and the Service's general approach to reducing those risks.

### Proposal 2 – Identify Potential Savings Options.

- The Committee queried whether the joint working agreement reached with the Fire Brigades Union (FBU) was permanent or time limited. Officers confirmed that there was no time limit to the agreement and the proposals had been approved by the FBU. However, endorsement would still be needed at a meeting of the Joint Consultative Committee (JCC). Officers also confirmed that the agreement could be terminated with six months' notice which was in line with other local agreements currently in place.
- The Committee queried the impact of the proposal with respect to wholetime crews responding to incidents with 4 rather than 5 crew members on the majority of occasions, and whether this would reduce operational flexibility and impact on safety. Officers confirmed that currently a crew of four respond to incidents in around 50% of cases, and that while flexibility could be limited the incident commander would risk manage the incident to operate a safe system of work until a follow up engine could attend.
- A member of the Committee questioned the purpose for the reductions in firefighters given the savings proposed as part of the Blue Light Collaboration Project. Officers confirmed that the proposed reduction in firefighter posts was aimed at meeting savings targets for the next 3 years. The Blue Light Project investment of £2m would be from the development capital budget, and not from the day to day revenue budget. Funding for the programme would be capital investment in the short to medium term which would allow longer term revenue savings to be achieved.
- A member of the Committee queried whether the possibility to use reserves to protect the Lincolnshire Fire and Rescue Service by ring fencing future

budgets had been considered. The Executive Councillor confirmed that Lincolnshire Fire and Rescue was considered a high priority service and had been protected more than others, however, given the current financial climate further savings could not be ruled out. The consultation report highlighted that the Council's financial volatility reserve had already been drawn on to support the Council's budget. Officers confirmed that Lincolnshire Fire and Rescue would continue to review options for service provision and future budget saving.

#### Proposal 3 – Reduce the number of Rescue Support Units

- The Committee supported the recommendation not to reduce the number of Rescue Support Units (RSU) until a clearer national picture was available at which point this would be reviewed.

#### Proposal 4 – Aerial Ladder Platform Permanently Stationed at Boston

- The Committee queried how often the two aerial ladder platforms had been used in the last year. Officers confirmed that there had been 112 incidents in the last year across the two units and highlighted that perceived greater risk in the Skegness area would be balanced against the potential improvement in geographic cover.
- The Committee supported the recommendation for one aerial ladder platform to be permanently stationed at Boston and highlighted the need to ensure that both wholetime and retained crew remained well trained in the use of the aerial ladder platforms.

#### Proposal 5 – Further Develop the Joint Ambulance Conveyance Project

- The Committee highlighted the positive impact of the Joint Ambulance Conveyance Project (JACP) and strongly supported the continuation of co-responding services in Lincolnshire, as well as a desire to see wider adoption across the Country.
- The Committee queried the current cost of the JACP to the County Council, as well as the chance of retaining and expanding the service going forward. Officers confirmed that funding for the project to date had been through the Government Transformation Grant with CCGs having agreed to fund 3 stations this year.
- The Committee supported that the JACP initiative should continue if it could be funded through the appropriate health channels and not from existing fire budgets.

#### Proposal 6 – Introduce a cost recovery process for attendance to Unwanted Fire Signals

- The Committee highlighted the impact of automatic fire alarm repeat offenders and queried whether these calls were challenged before mobilising a full crew to respond. Officers confirmed that the call was challenged before dispatching a crew, however the crew would still be ready to respond if required.

- The Committee queried whether it was possible to consider cost recovery options for attendance to unwanted fire signals at residential premises. Officers confirmed that current legislation only allows cost recovery on commercial properties.
- The Committee supported the introduction of a £250 (+VAT) charge to act as a deterrent for unwanted fire signals from commercial properties and not to generate income to offset cuts.

Proposal 7 – Service Priorities for 2016/17

- The Committee stressed the need for Fire and Rescue to continue to promote a strong prevention message to minimise the impact of fires and their consequences.
- The Committee queried how the reduction in wholetime duty system firefighter posts would be managed and highlighted the desire to see this managed through natural staff turnover.

**d) Policy Proofing Actions Required**

Considered as part of the Equality Impact Assessment (see appendix E).

**9. Appendices**

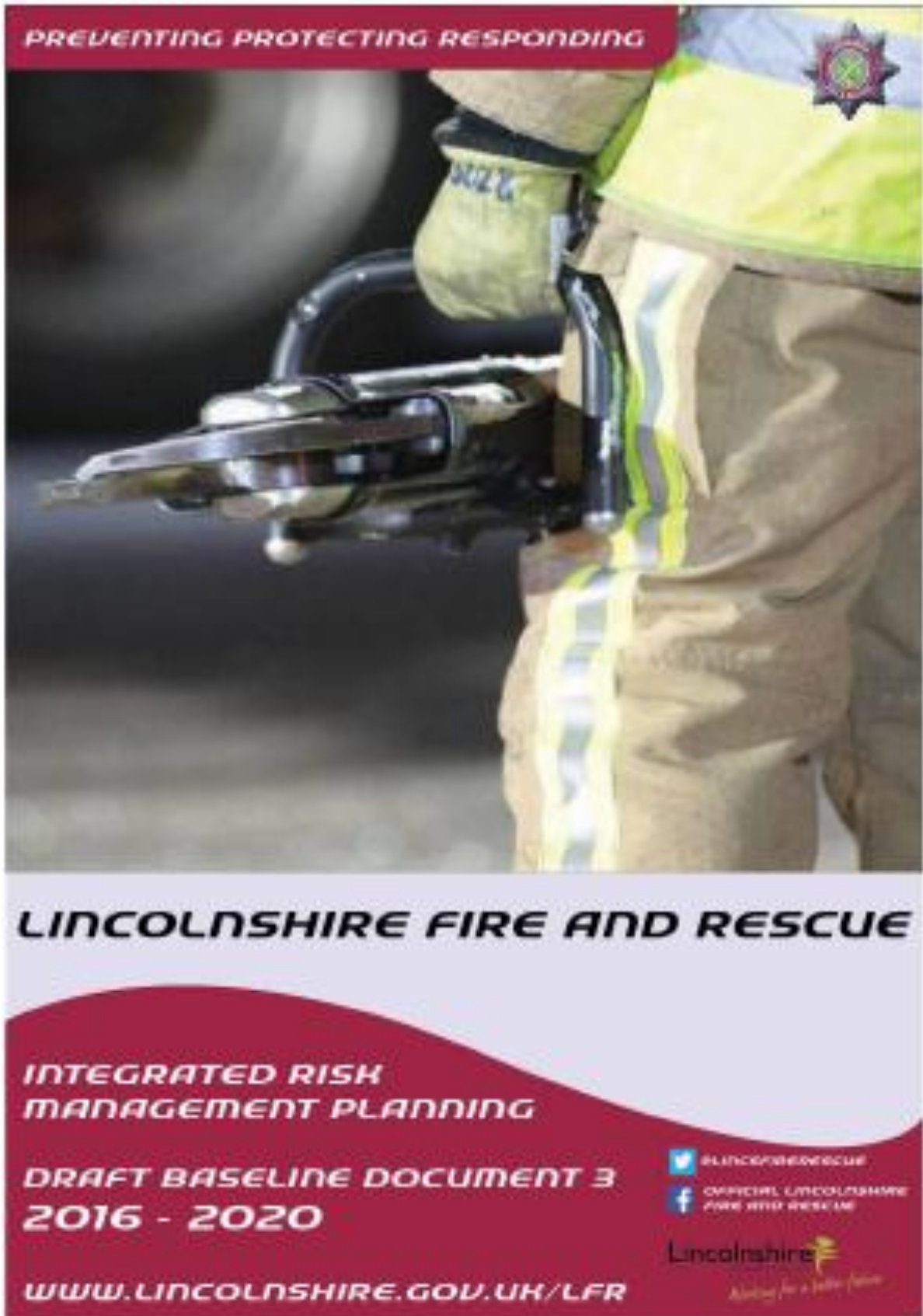
These are listed below and attached at the back of the report	
Appendix A	Integrated Risk Management Planning Baseline Document 2016-2020
Appendix B	Integrated Risk Management Planning Consultation Document 2016 - 2017
Appendix C	Comments from LCC Community and Public Safety Scrutiny Committee - 9 March 2016
Appendix D	Transcript of speech made by petition spokesperson
Appendix E	Equality Impact Assessment

**10. Background Papers**

The following background papers as defined in the Local Government Act 1972 were relied upon in the writing of this report.

Document title	Where the document can be viewed
Integrated Risk Management Planning Consultation Document 2016-2017	LFR website at: <a href="http://www.lincolnshire.gov.uk/lincolnshire-fire-and-rescue/about-us/planning-and-performance/service-planning/120199.article">http://www.lincolnshire.gov.uk/lincolnshire-fire-and-rescue/about-us/planning-and-performance/service-planning/120199.article</a>

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**INTEGRATED RISK MANAGEMENT PLANNING  
BASELINE DOCUMENT 3  
2016 - 2020**

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17.	Strategies for Reducing Risk
	• Planning Strategy
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	• Protection Strategy
	• Response Strategy
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Annex A	Lincolnshire Fire and Rescue - a Vision for 2020
Annex B	Summary of Key Risks and Strategies

**Document Control**

Version	Release Date	Comments
1.0	Sep 15	Initial draft
1.2	Jan 16	Second draft
1.7	Feb 16	Final draft

# INTEGRATED RISK MANAGEMENT PLANNING

## BASELINE DOCUMENT 3

2016 - 2020

### INTRODUCTION

1. Integrated Risk Management Planning (IRMP) is a holistic and flexible process that enables Fire and Rescue Authorities (FRAs) to identify, measure and mitigate the social and economic impact of fires and other emergencies. Its application helps to ensure we are well positioned to meet the duties and responsibilities placed on us by Government and deliver services to our communities which are properly focused on reducing risks.

### PURPOSE

2. The purpose of this IRMP Baseline Document is to outline Lincolnshire Fire and Rescue's assessment of key risks over the next 4 years and the strategies we will adopt to mitigate those risks. It forms part of our overall IRMP process and provides the foundation on which to develop further detailed plans ensuring we can fulfil our mission *'to make our communities safer, healthier and more resilient'* in order to improve wellbeing.

### IRMP PROCESS

3. The stages of our IRMP process are shown in figure 1 with a fuller

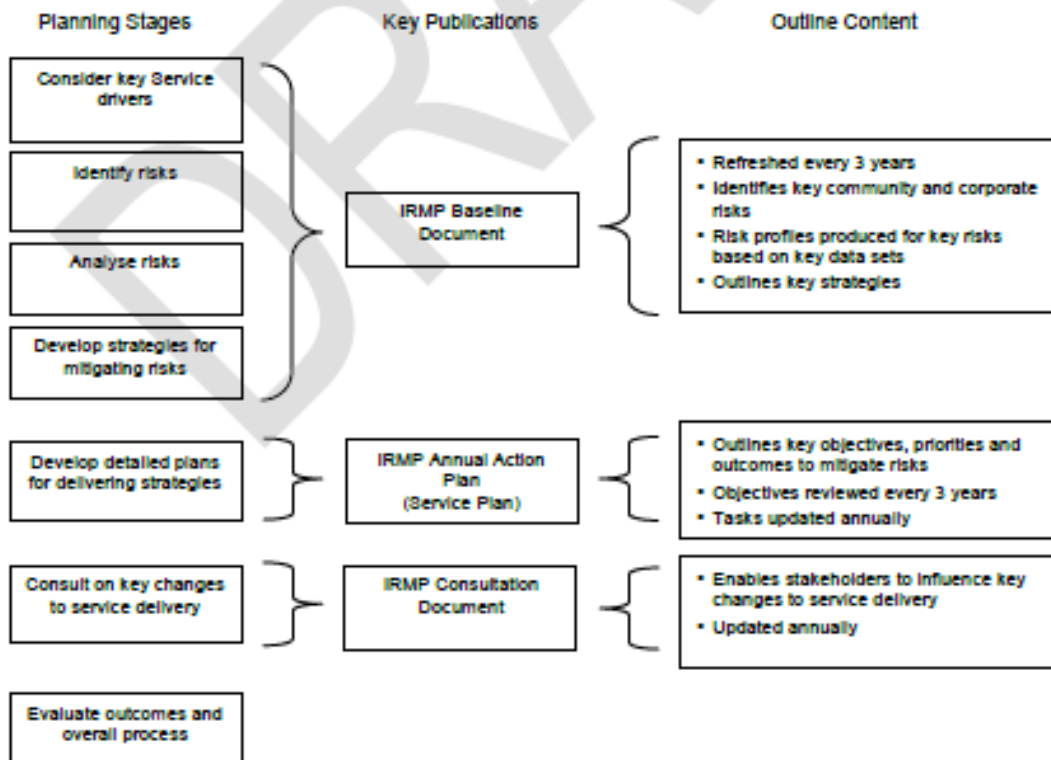


Figure 1 – IRMP Planning Stages



explanation of each stage provided in the following pages. The outputs of the process are captured in 3 key planning publications as follows:

- a. IRMP Baseline Document (this document) - The IRMP Baseline Document covers a period of at least 3 years. It identifies our key risks, describes how we analyse those risks and outlines the key strategies for mitigating those risks.
- b. Annual Service Plan - The Service Plan provides the detail on how we deliver our strategies. It outlines our key objectives, outcomes and priorities and is the mechanism by which we manage our performance. It is refreshed annually with a major review being conducted in line with the IRMP Baseline Document.
- c. IRMP Consultation Document - The IRMP Consultation Document allows us to seek the views and opinions of our stakeholders on any proposed key changes to service delivery.

#### LINKING IN WITH OUR VISION

4. While our mission is about 'what we do' our vision is all about 'where we want to be' in the future. Having a clear understanding of our vision enables us to shape the Service to meet future challenges, ensuring it remains fit for purpose. Our vision for 2020 is for *'a Lincolnshire which is safe and in which Fire and Rescue plays a key role in helping everyone to find and enjoy the Lifestyle that suits them best'*<sup>1</sup>. It supports the County Council's current vision as described in their business plan and will be reviewed during the next planning cycle to ensure relevance is maintained. What our vision looks like and the key differences we are aiming to make are described in more detail at Annex A.

5. Delivery of our vision will be achieved through a staged approach as indicated in figure 2. Our strategy for each stage is captured in the relevant IRMP Baseline Document with this document describing our strategy for Stage 3.

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<sup>1</sup> Designed to support the wider County vision as agreed in 2008 by a range of partner organisations.

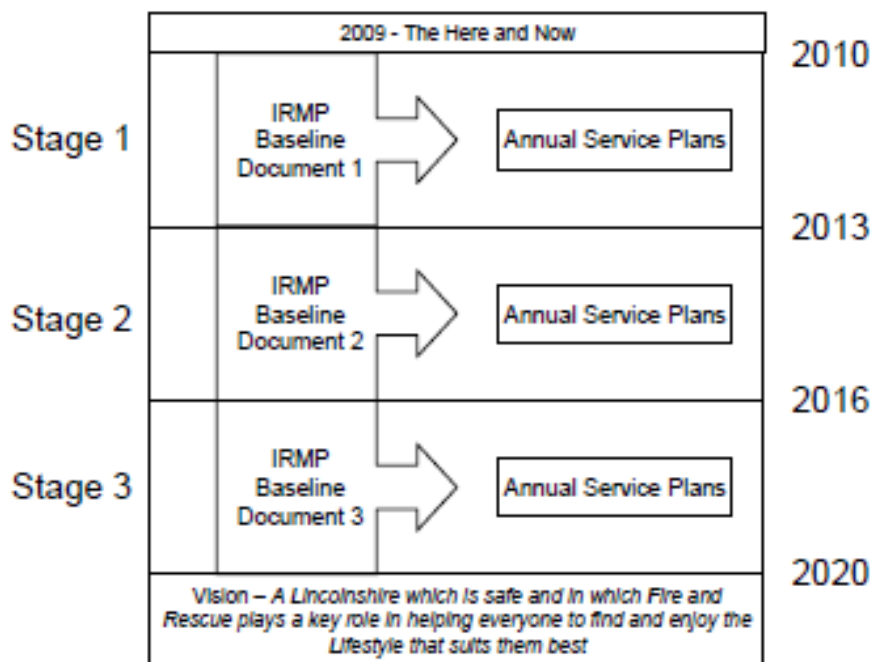


Figure 2 – Planning Framework for 2020 Vision

## THE COUNTY

6. Lincolnshire is the fourth largest county in England covering 5,921 square kilometres. The County is classified as one of the most rural in England by the Department for Environment, Food and Rural Affairs (DEFRA). Five of the 7 Local Authority Districts in Lincolnshire are classified as either 'mainly' or 'largely' rural, with Boston being classified as 'urban with significant rural' and Lincoln as 'urban with city and town'<sup>2</sup>.

7. Estimates for 2014 place the County population at 731,500, an increase of 8.8% since 2004. Current projections suggest the population will increase by 10% by 2027. Notwithstanding this, population density remains low with 124 people per square kilometre compared with an average for England of 417 people per square kilometre.

8. Not only is the population increasing but it is also ageing with the proportion of people age 65 and over projected to increase from 22% in 2012 to 31% in 2037. The proportion of people over 75 years of age is predicted to increase by 101% over the same period. Further information about the County can be found on the Lincolnshire Research Observatory website<sup>3</sup>.

<sup>2</sup> Further information on rural-urban classifications can be found at [www.gov.uk](http://www.gov.uk).

<sup>3</sup> See [www.research-lincs.org.uk](http://www.research-lincs.org.uk).



## SERVICE DRIVERS

9. There are a number of key drivers for the Service, some of which are statutory, which impact on our risks and therefore influence how we deliver our service. Our primary drivers include:

Key Driver	What it covers
Fire and Rescue Services Act 2004	Outlines the statutory responsibilities for Fire and Rescue Services (FRSs) including the requirement to make provision for the extinguishing of fires, protection of life and property from fire, promote fire safety, rescue people from road traffic collisions and respond to other emergencies such as flooding and terrorist attacks.
Fire and Rescue National Framework for England <sup>4</sup>	Sets out the Government's strategic priorities and objectives for the Fire and Rescue Service.
Regulatory Reform (Fire Safety) Order 2005	Applies to all non-domestic premises in England and Wales and requires all responsible persons in those premises to carry out a fire risk assessment and implement and maintain a fire management plan. FRSs are responsible for the enforcement of this legislation.
Civil Contingencies Act 2004	Lays down duties for specified Category 1 responders, including FRAs, to assess, plan and advise in relation to emergencies. Includes the requirement to produce a Community Risk Register <sup>5</sup> under the direction of the Local Resilience Forum.
Fire and Rescue Services (Emergencies) (England) Order 2007	Makes it mandatory for FRS to: make provision for decontaminating people following the release of chemical, biological, radiological or nuclear (CBRN) substances; make provision for freeing people from collapsed structures and non-road transport wreckages; use, on request, specialist CBRN or Urban Search and Rescue resources outside their own areas.
Cabinet Office National Risk Register of Civil Emergencies	Provides the public version of the Government's assessment of the most significant emergencies that the UK could face over the next 5 years.
Lincolnshire County Council's Business Plan	Sets out how the Council uses its resources to deliver its priorities.
Joint Health and Wellbeing Strategy for Lincolnshire 2013 - 2018	Informs decisions about health and social care services in the County identifying the 5 health and wellbeing priorities based on the Joint Strategic Needs Assessment.
Health and Safety at Work etc Act 1974	Places a duty on all employers to ensure, so far as it is reasonable practicable, the health, safety and welfare at work of all employees.
Fire and Rescue Equality and Diversity Strategy 2008 - 2018	Requires action by FRAs on Equality and Diversity in 5 priority areas: leadership, accountability, workforce diversity, service delivery and evaluation and dissemination of good practice.
European Working Time Directive	Implemented through the Working Time Regulations (1998) it provides direction on organisation of working time.

Analysis of these drivers allows us to determine the key risks and responsibilities for the Service. These are described in the following section.

<sup>4</sup> Department for Communities and Local Government dated Jul 12.

<sup>5</sup> Community Risk Register for Lincolnshire 2012-2015.

## KEY RISKS

10. As a result of examining the above influences we have identified 2 broad categories of risk, community and corporate risks.

- a. **Community Risks.** We have classified community risks as those risks to life, property or the environment that, as a fire and rescue service, we can help to mitigate. Our key community risks are shown below:

	<b>Community Risks<sup>6</sup></b>
1	Fires
2	Road traffic collisions
3	Anti-social behaviour
4	East coast flooding
5	Inland flooding
6	Medical emergencies
7	Environmental pollution and major accidents <sup>7</sup>
8	Severe weather <sup>8</sup>
9	Chemical, Biological, Radiological, Nuclear and terrorist related incidents

- b. **Corporate Risks.** We have classified corporate risks as those risks which have the potential to impact on the Service internally preventing us from conducting our business effectively. Our key corporate risks are shown below.

	<b>Corporate Risks<sup>6</sup></b>
1	Failure to maintain and develop the competencies and skills of the workforce
2	Failure to maintain adequate Equality and Diversity policies
3	Failure to maintain an appropriately structured workforce
4	Failure to ensure effective financial and performance management in the planning and delivery of Service activities
5	Failure to ensure appropriate Safeguarding procedures are in place
6	Failure to respond to a major disruption of service <sup>9</sup>
7	Failure to manage and discharge Health and Safety responsibilities effectively
8	Failure to communicate and consult with all internal and external stakeholders
9	Failure to identify and engage with partners, both locally and nationally, to deliver efficiencies and ensure effective inter-Service and inter-agency operations

## ANALYSING THE RISK

11. Having identified our risks it is important that we analyse these effectively in order to ensure we have the right resources available and that these are targeted appropriately. We use a number of risk analysis tools and sources of data to support this analysis.

<sup>6</sup> Not listed in priority order.

<sup>7</sup> Includes major industrial and transport accidents.

<sup>8</sup> Severe weather includes: storms and gales, low temperatures and heavy snow, heat waves and drought.

<sup>9</sup> Resulting from staff shortage, loss of premises, technology failure, loss of information or loss of suppliers and partners.

## Community Risk

12. We will continue to develop our fire risk modelling to support analysis of our community risks. This modelling takes into account a number of different factors such as Census data, historical incident data, socio-demographic factors and intervention activities to establish the levels of risk across the County. The process is supported by a number of tools such as the Fire Service Emergency Cover (FSEC) toolkit<sup>10</sup>. This provides a robust and validated approach to risk assessment for a number of types of risk faced by the FRS. In addition, we have developed local station area profiles which use information from Mosaic<sup>11</sup> and Census data to further inform our risk profile mapping of the County. This enables us to target our most at risk groups and prioritise our resources appropriately.

13. Risk profiles associated with our community risks are maintained by our Community Risk and Intelligence department. These will be updated and audited on a regular basis and are fundamental to the development of our risk reduction strategies.

14. We recognise the importance of sharing data with other agencies, particularly in the delivery of wider community outcomes, and will continue to build on our links with the Lincolnshire Research Observatory, Lincolnshire Police, Road Safety Partnership, Clinical Commissioning Groups, Adult Social Care and Children's Services.

## Corporate Risk

15. Corporate risks will be reviewed on a regular basis by Service managers and the FRA to assess the likelihood of a risk occurring and the impact it may have. This will be informed by a number of prevailing factors, both national and local. A lead officer will be responsible for each corporate risk ensuring appropriate control measures are in place.

## Risk Register

16. Our assessment of risk will be recorded on corporate and community risk registers. This will help to ensure our risks are properly prioritised and resources allocated appropriately. Both risk registers will be reviewed on a monthly basis at our Service Management Board.

## STRATEGIES FOR REDUCING RISK

17. We have a range of complementary strategies which are designed to mitigate our corporate and community risks. These include our Prevention, Protection and Response strategies, which cover the core business of Fire and Rescue Authorities, and our Planning and Resourcing strategies<sup>12</sup>. Maintaining the right balance between these and ensuring our approach to risk reduction is fully integrated is key to the delivery of an effective service. This balance will be reviewed on a regular basis and informed by our risk assessments. Where appropriate, we will use relevant County Council strategies to support our business. Our key strategies are described below and summarised, along with our key risks, at Annex B.

<sup>10</sup> Nationally developed computer based planning tool.

<sup>11</sup> Mosaic is a customer classification dataset which groups customers by demographics, behaviours and lifestyle characteristics.

<sup>12</sup> Each Strategy will be complemented by separate supporting papers where necessary.



18. All our strategies are underpinned by our commitment to equality and diversity and reflect the 5 performance areas identified in the FRS Equality Framework<sup>13</sup>. These include: leadership and promoting inclusion; accountability; effective service delivery and community engagement; employment and training; and evaluation and sharing good practice.

## Planning Strategy

19. Risk-Based Approach. Our planning strategy aims to ensure we are clear on what needs to be done, how we intend to do it, what resources are required and, once implemented, what effect we have had. Our 2020 vision planning framework and IRMP process are at the heart of this strategy; both are described in the previous section.

20. Working with Partners. We recognise our mission and longer term vision can only be fully achieved through joint working with organisations and groups that share common goals and objectives. Effective partnerships add both value and capacity enabling organisations to achieve far more than they could do independently<sup>14</sup>. In helping to deliver our mission we will remain active members of the Lincolnshire Community Safety Partnership and continue to support the work of the Children and Young People's Strategic Partnership and the Health and Wellbeing Board<sup>15</sup>. We will continue to play a lead role in the County's Local Resilience Forum. This multi-agency partnership, established under the authority of the Civil Contingencies Act 2004, brings together the emergency services and other key organisations and agencies in order to plan for and respond to emergencies which may have a significant impact on the community. We will continue to embed the principles identified as part of the Joint Emergency Services Interoperability Programme and contribute to other relevant community and commercial partnerships which help reduce our community risks and improve value for money. Our key partnerships are listed within our partnership register<sup>16</sup> and form an integral part of our prevention, protection, response and resourcing strategies.

21. Setting Priorities. Our annual Service priorities are shaped by the assessment of our key drivers, risks and performance. These are reviewed each year and consulted on as part of our IRMP process. Once agreed, they are reflected in our annual Service Plan.

22. Business Continuity Planning. Having robust Business Continuity Plans (BCPs) is essential if we are to minimise the impact of a disruption on our ability to deliver an effective service to the community. We will continue to maintain, develop and test BCPs to deal with major disruptions of service resulting from staff shortage, loss of premises, technology failure, loss of information or loss of a key supplier or partner.

23. Evaluating Outcomes. Measuring the effectiveness of our plans and the outcomes we achieve is a key component of the planning process. Within our performance management framework progress will be reported formally on a quarterly basis to the Service Performance Management Board<sup>17</sup> and to Members at

<sup>13</sup> CFOA and I&DeA FRS Equality Framework dated Nov 2009.

<sup>14</sup> See Service Order 53 - Partnerships.

<sup>15</sup> See Joint Health and Wellbeing Strategy for Lincolnshire 2013-2018.

<sup>16</sup> Lincolnshire Fire and Rescue partnership register dated Dec 15.

<sup>17</sup> See Service Order 1 - Organisational Management.

the Community and Public Safety Scrutiny Committee. We will undertake an external assessment on a periodic basis in the form of a Local Government Association and Chief Fire Officers Association (CFOA) sponsored operational assessment and fire peer challenge.

24. Statement of Assurance. The Fire and Rescue National Framework for England sets out the requirement for fire and rescue authorities to provide an annual Statement of Assurance on financial, governance and operational matters and to show how they have had due regard to the expectations set out in their integrated risk management plan and the requirements included in the Framework. Our Statement of Assurance document will reference existing plans, reports and public web pages as appropriate. It will be made available on our website in November each year.

25. Engaging the Community. In order to meet the needs of the community it is essential that we are open and transparent about our understanding of the risks to the public and about the process we follow to mitigate those risks. To that end we will continue to engage with a wide range of stakeholders who have a legitimate interest in any proposals under consideration or who may be affected by those proposals. Doing so ensures the decisions we take are appropriately informed and the service we provide can be continuously improved. The 2 main planning documents on which we will consult are:

- a. The IRMP Baseline Document (this document). We will seek views on the Baseline Document following a major refresh.
- b. IRMP Consultation Document. We will consult on our annual Service priorities and any proposed key changes in service delivery such as response standards or provision of resources for intervention services. Depending on the outcome of the consultation, resultant actions will be included in our Service Plan as appropriate. We will also report on the progress we have made against any proposals from the previous year's consultation.

26. In addition to the above planning consultation we will, in conjunction with the County Council, continue to develop our processes to ensure engagement with our stakeholders is both meaningful and effective.

### **Prevention Strategy**

27. The aim of our prevention strategy is to reduce the likelihood of fires and other emergencies occurring in the first place. Education remains central to our approach with the aim of changing the behaviour of those people assessed as most vulnerable. We use the outcomes of our risk analysis to target our prevention activities to ensure maximum impact. Our prevention strategy is built around the following themes:

#### **28. Home Safety**

- a. Every year in the UK more than 6,000 people die in accidents in the home and 2.7 million seek treatment at accident and emergency departments<sup>18</sup>. We are committed, working in partnership, to ensuring people are as safe as possible

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<sup>18</sup> The Royal Society for the Prevention of Accidents (ROSPA) webpage.



in their homes and will continue to educate and inform them how to minimise the risks<sup>19</sup>.

- b. We will continue to deliver targeted Home Safety Checks (HSC) and work with partners to signpost the residents of Lincolnshire to the most appropriate services for their needs. By sharing data and information with partners we will enhance our community risk profiles thereby improving the way in which we identify and reach those most vulnerable within the community to fires and other accidents in the home.
- c. We will focus on the reduction of cooking fires, the primary cause of dwelling fires in the County, and continue to encourage people to take responsibility for their own safety.

## 29. Health and Wellbeing

- a. In October 2015 a joint Consensus Statement<sup>20</sup> was published which set out how health, public health, the fire and rescue service and Age UK can work together to encourage local action to prevent and minimise service demand and improve the quality of life of persons with long term conditions. Following publication of the Statement, CFOA, as part of its Health Strategy<sup>21</sup>, has identified a number of priorities for developing FRS as a health asset. We fully support the strategy and will aim to implement key aspects where it delivers benefits to our communities. Our focus will be on making effective use of shared data, encouraging the uptake of 'Safe and Well' visits and exploring other areas where we can improve health outcomes by investing in upstream prevention activity.

## 30. Arson Reduction

- a. Arson and related anti-social behaviour have a significant impact on communities in Lincolnshire. The cost of arson in England in 2008 was estimated to be £1.7 billion which was approximately 14% of the total cost of fire in that year<sup>22</sup>. In Lincolnshire, arson accounted for 25% of all fire calls within the County in 2015<sup>23</sup>.
- b. We are committed to driving down the incidence of arson and will remain fully engaged with the Local Authority Community Safety Partnerships to achieve this. Working together with Lincolnshire Police, our Arson Task Force (ATF) will, through education, visibility and, where necessary enforcement, reduce the impact on communities of arson and anti-social behaviour.

## 31. Youth Engagement

- a. Our youth engagement activities support the vision and aims set out within the CFOA guidance note on working with Children and Young People<sup>24</sup> and the strategic outcomes agreed by Lincolnshire's Children and Young People's Strategic Partnership (CYPSP)<sup>25</sup> both of which aim to ensure our children and

<sup>19</sup> CFOA Home Safety Strategy 2013-16.

<sup>20</sup> [www.england.nhs.uk](http://www.england.nhs.uk)

<sup>21</sup> CFOA Health Strategy 2015-19 - Fire and Rescue Services as a Health Asset.

<sup>22</sup> DCLG - The economic cost of fire: estimates for 2008 - Fire Research Report 3/2011

<sup>23</sup> 2014 calendar year.

<sup>24</sup> CFOA Guidance Note - Working with Children and Young People 2014.

<sup>25</sup> CYPSP Children & Young People's Plan 2013 - 2016.

young people are healthy and safe and can succeed and enjoy life. As a member of the Lincolnshire Safeguarding Children Board we will continue to promote, and ensure the effectiveness of, our child protection arrangements.

- b. In support of the above we will continue to run a number of initiatives including our schools intervention programme, multi-agency 'Stay Safe' days and fire-setter intervention scheme aimed at reducing the risk of harm to children and young people. Through our BTEC award scheme, Fire Cadets and programmes to support young people back into employment, education or training we will continue to help children and young people build self-esteem, improve resilience and achieve their potential.

### 32. Road Safety

- a. Although the number of road fatalities in Great Britain has been falling for many years, in 2014 there were still 1,775 fatalities on Great Britain's roads, a 4% increase on the previous year. While the general downward trend in fatalities has been reflected in Lincolnshire, in 2014 there were 42 people killed and 355 seriously injured on the County's roads.
- b. We are committed, working in conjunction with the Lincolnshire Road Safety Partnership, to '*making Lincolnshire's roads safer for all*'. Our approach, in line with the road safety strategy<sup>26</sup>, is one of targeted education focused on a number of agreed priority action groups and aimed at embedding responsible attitudes towards driving within our communities. We will continue to help develop innovative and effective delivery methods such as the '*2fast2soon*' programme combined with local campaigns delivered through our fire stations.

### Protection Strategy

33. The aim of our protection strategy is to educate and regulate the built environment to protect people, property and the environment from harm. Our approach is based around the following themes:

- a. Support to the Business Community. Securing compliance with legal regulatory requirements is an important element of mitigating risk. Our aim, in accordance with current policy<sup>27</sup>, is to achieve compliance with fire safety legislation through education, by providing advice and guidance and by formal enforcement action where appropriate. Our approach is focussed on a risk-based inspection framework, with a prioritised inspection programme designed to ensure inspections of non-domestic properties and heritage buildings<sup>28</sup> are targeted according to risk.
- b. Unwanted Fire Signals (UwFS)<sup>29</sup>. UwFS from Automatic Fire Alarms in commercial buildings place an unnecessary burden on the Service and can divert critical operational resources away from real emergencies. Our aim is to continue to reduce the number of UwFS by working together with businesses, alarm receiving centres and Telecare providers ensuring that calls are filtered prior to an appliance being mobilised in line with our current

<sup>26</sup> Lincolnshire Road Safety Strategy 2015 - 2025.

<sup>27</sup> CFA Fire Safety Policy Directive dated 28 May 09.

<sup>28</sup> CLG IRMP Policy Guidance: Protection of Heritage Buildings and Structures.

<sup>29</sup> An UwFS is a false alarm from an Automatic Fire Alarm system that has been passed through to the fire and rescue service.



policy<sup>30</sup>. We will maintain our close working relationships with the 'responsible person' for premises identified as being repeat offenders.

- c. Fire Protection Systems. Sprinkler systems can play a major role in saving lives, reducing fire losses and enhancing firefighter safety. We will continue to actively encourage the use of residential and non-domestic sprinkler systems particularly to those people residing in the most vulnerable households. We will use the Department for Children, Schools and Families (DCSF) Fire Risk Assessment tool for all new school construction projects where appropriate.
- d. Safe Systems of Work. The effective discharge of responsibility under the auspices of the Health & Safety at Work Act enables organisations to identify and mitigate risks to its personnel and the public. We will continue to develop, monitor and evaluate our safe systems of work to ensure we provide suitable equipment and adequate protection to our personnel and members of the public likely to be affected whilst undertaking our statutory duties.
- e. Environmental Protection<sup>31</sup>. FRSs attend incidents that have the potential to pollute air, land and water. Water courses and other aquatic environments are considered to be the most vulnerable to pollution from emergency incidents and the area the FRS can protect most readily. Consequently, pollution prevention and control measures in the FRS concentrate primarily on the protection of the aquatic environment. However, the development of pollution prevention and control in all areas is seen as important and is designed to improve the safety of the community. We will work with our Category 1 responders and the business community to identify environmentally sensitive areas and produce plans to mitigate the effect of dealing with emergency incidents that have the potential for environmental harm.
- f. Business Continuity Management<sup>32</sup>. Almost 1 in 5 businesses suffer a major disruption every year and 80% of those go out of business within 18 months<sup>33</sup>. The consequences of such an event not only affect the business itself, but can also impact on the socio-economic well being of the wider community. The development of a business continuity plan as part of an organisation's planning cycle can help mitigate the effects of such a disruption and will be key to its successful recovery. We recognise the benefits to both the Fire Service and the community as a whole of effective business continuity management and will continue to educate and encourage the local business community to plan accordingly.
- g. Primary Authority Schemes (PAS). A PAS is a partnership between a business and a local authority. Introduced by the Regulatory Enforcement and Sanctions Act, the scheme is aimed at Local Authority Regulators with the aim of reducing the regulatory burden on business through better co-ordinated and more efficient activity. PAS commenced with 18 different categories of regulation and were first made available to fire safety regulators in April 2014. We have been actively engaged in this scheme and will continue to support it through our partnerships with the British Frozen Food Federation, the National

<sup>30</sup> CFOA Policy for the Reduction of False Alarms and Unwanted Fire Signals dated Sep 08.

<sup>31</sup> CLG IRMP Policy Guidance: Environmental Protection dated Aug 08.

<sup>32</sup> CLG IRMP Policy Guidance: Business Continuity Management dated Aug 08.

<sup>33</sup> British Insurance Brokers Association.



Association for Safety & Health in Care Services and their members. We will also look to establish other partnerships where considered appropriate.

## Response Strategy

34. The aim of our response strategy is to ensure that, should an incident occur, we can minimise the impact of that incident by providing a timely, appropriate and resilient response capability. Our response strategy comprises a number of key elements as described below.

35. Command and Control.

- a. Fire Control. On receipt of emergency calls we will assess requirements and, where appropriate, deploy the most suitable assets. We will look to maintain contact with callers to provide support, gain further information and, where applicable, provide immediate lifesaving guidance. Contact will also be established and maintained with all assigned operational assets throughout the emergency event. We will continue to drive down hoax calls through our call challenge procedures.
- b. Incident Command. We will utilise the nationally recognised Incident Command System (ICS) which provides a framework for managing operational incidents and ensuring the Health, Safety and Welfare of all personnel on the incident ground. There are 4 incident command levels covering initial, intermediate, advanced and strategic incident command<sup>34</sup>.
- c. FRS National Coordination Centre (NCC). The FRSNCC facilitates the deployment of national resilience assets (see below) to major incidents around the Country. We will both provide and request assistance through the NCC as required.

36. Response Levels. We have identified 5 levels of response which provide a framework for how we respond to incidents. Associated with each level are a number of capabilities. For all but the simplest type of incident, it is likely that a combination of response level capabilities will be utilised. The response levels are as follows:

- a. Level 1 - Operator Response. Our level 1 response capability is designed to deal with the initial stages of any incident. This capability is delivered by both our retained duty system and wholtime firefighters operating from a number of fire stations around the County. All our firefighters are trained to operator<sup>35</sup> level in order to support this capability.
- b. Level 2 - Technician Response. Our level 2 response capability provides additional technical support to incidents as required<sup>36</sup>. This is provided by firefighters trained to technician level operating from our wholtime fire stations.

<sup>34</sup> CPOA Command Training, Assessment and Qualification - FRB Guidance dated Nov 13.

<sup>35</sup> Training requirements defined as part of our Training Needs Analysis process.

<sup>36</sup> Examples of additional support include use of gas tight suits, guide lines and rope rescue.

- c. **Level 3 - Specialist Response.** We will maintain a number of special appliances including our aerial ladder platforms, rescue support units and command support unit. We will also provide the specialist capabilities listed below. Specialist teams are formed from within our existing staff who receive additional skills training as appropriate.
- i. **Water Rescue.** We will maintain a water rescue and flood response capability across the County. This will be deployed to support both local and national (see level 4 below) risks.
  - ii. **Medical Response.** We will respond to medical emergencies in support of the wider health and wellbeing agenda and the FRS Health Strategy. Key elements include:
    - **Co-responder.** The co-responder scheme is a partnership between Lincolnshire Fire and Rescue, East Midlands Ambulance Service (EMAS) and Lincolnshire Integrated Voluntary Emergency Services (LIVES). Within this role the duties of our personnel include delivering first aid, providing oxygen therapy and administering defibrillation and cardiopulmonary resuscitation<sup>37</sup>. We will continue to review the number of fire stations which provide this service based on demand and available funding.
    - **Ambulance Conveyance.** During 2015 we conducted a pilot project aimed at improving patient care through enhanced ambulance provision. The Joint Ambulance Conveyance Project was run from 3 fire stations and saw 'fire' ambulances being used to transport patients to hospital. We will look to continue with this scheme should appropriate funding be identified.
    - **Bariatric Support.** We will provide specialist advice and response in support of bariatric patients in partnership with Adult Social Care and EMAS.
  - iii. **Animal and Technical Rope Rescue.** We will provide both specialist animal and technical rope rescue capabilities to deal with specific risks within the County.
- d. **Level 4 - National Response.** The FRS has a vital role to play in providing a national resilience capability against risks such as chemical, biological, radiological or nuclear incidents, terrorist attacks or other major emergencies. Within Lincolnshire we will maintain an Urban Search and Rescue, High Volume Pumping and Mass Decontamination capability in support of this requirement<sup>38</sup>. We will also continue to support a regional response to Detection Identification and Monitoring of potentially harmful substances through enhanced training of our Hazardous Materials Officers. These capabilities will also be used to support our local level 3 response when required.
- e. **Level 5 - International Response.** We will provide support to the United Kingdom's International Search and Rescue (ISAR) capability on a voluntary

<sup>37</sup> Service Level Agreement for the Co-responder scheme dated Sep 15.

<sup>38</sup> Dependent on government funding.



basis. The mechanism for provision of this capability is outlined in a memorandum of understanding between the Department for International Development, the Department for Communities and Local Government and CFA National Resilience.

37. Response Standards. We set response standards for our higher life risks as follows:

- a. Dwelling Fires and RTCs. Based on good practice and supporting evidence<sup>39</sup>, balanced against the challenges of operating within a large rural county, our response capability is designed to support an average response time to dwelling fires of less than 10 minutes. The response time that can be expected for a given dwelling location in the County is indicated on the response map on our website<sup>40</sup>. The map shows the areas that can be covered by a 10, 15 and 20 minute response by one of our fire engines and is the mechanism by which we measure our performance. The map is also used to indicate expected response times to RTCs.
- b. Co-responder. We have set a response standard for medical emergencies that are immediately life threatening<sup>41</sup> of 8 minutes from the time of call on 75% of occasions. This standard applies to those incidents that are within an 8 minute turnout area of the co-responder station.

38. Weight of Attack. Ensuring our initial response is appropriate to the incident type, is sustainable and that firefighters can operate within safe systems of work is essential to our response capability. Our initial response is described within our Pre-Determined Attendance procedures which have been derived from operational experience, scenario planning and best practice. They are reviewed on a regular basis to reflect changes in risk and national guidance.

39. Scale and Concurrency. Historical analysis of incident types provides an indication of the scale and concurrency of incidents we attend. Based on this information we have assessed that, at any one time, we should plan to be able to respond to one large scale incident (9 plus fire engines), 1 medium scale incident (4 - 8 fire engines) and 4 small scale incidents (1 - 3 fire engines)<sup>42</sup>. In the event of spate<sup>43</sup>, incidents exceeding 48 hours duration or the declaration of a major incident or emergency we would consider, where appropriate, requesting regional or national assistance.

40. Operational Risk Information. We recognise the importance of providing accurate and timely risk information to our operational crews. This process is overseen by our Operational Risk Information Group which ensures generic, site specific and community fire protection risk information is shared and disseminated as appropriate<sup>44</sup>.

41. Operational Assurance. We regularly review our performance at operational incidents to identify good practice and areas for improvement. This information is

<sup>39</sup> ENTEC UK Ltd research data and other FRAs.

<sup>40</sup> Standard adopted following our IRMP consultation 2014/15.

<sup>41</sup> Medical emergencies are classified as Red 1 (Immediately life threatening and requiring a defibrillator) and Red 2 (Immediately life threatening).

<sup>42</sup> LFR ICS Concept paper dated Jun 15.

<sup>43</sup> Spate is when there is a larger number of incidents than usual ie widespread flooding

<sup>44</sup> Operational risk process detailed in Service Order 64.

used to amend policies and procedures where appropriate, inform training delivery or influence the design and purchase of new equipment.

42. **Operational Doctrine.** We will continue to review emerging operational concepts, practices and technology assessing its impact and potential for the Service. We recognise the benefits of the National Operational Guidance programme and will continue to update our operational procedures in line with the programme framework. We will also work to ensure our operational doctrine reflects the national Joint Emergency Services Interoperability Principles.

### **Resourcing Strategy**

43. The aim of our resourcing strategy is to ensure the correct assets and resources are available, in a way which maximises value, to allow the Service to meet its aims and objectives and deliver its vision for future service provision in Lincolnshire. There are 3 elements to our resourcing strategy; financial planning, asset management and people planning.

### **Financial Planning**

44. Our financial plan is based on the Lincolnshire County Council Medium Term Financial Plan which is informed by Central Government's Comprehensive Spending Review (CSR) programme. This aims to provide clarity on our financial parameters for the specified period. In the current climate the County Council have set a one year budget only which includes proposed savings for fire and rescue of 4.3%.

<b>Year</b>	<b>Revenue<sup>45</sup></b>	<b>Capital</b>
2016/17	£19.4m (tbc)	£5.83m (tbc)
2017/18	tbc	tbc
2018/19	tbc	tbc

Further budget reductions are anticipated in subsequent years. We will continue to review how best to minimise the impact of any proposed savings on service delivery.

### **Asset Management**

45. Asset management focuses on managing the life cycle of infrastructure assets to achieve defined service level outcomes. The objective is to optimise the whole life business impact of costs, performance and risks of the Service's physical assets. It encompasses management, procurement, financial, customer, engineering and other business processes. Key elements of our Asset Management Plan are:

- a. Provision and maintenance of our vehicle fleet and operational equipment. The aim of our fleet management programme is to ensure all our operational equipment is appropriate, tested and fit for purpose. The way in which we manage our fleet to ensure robustness and value for money was revised in 2014 and the processes are now well embedded. We have an approved 13 year fleet capital programme<sup>46</sup> which includes funding for the replacement of around 30 new pumping appliances starting in 2018.

<sup>45</sup> Excludes fire revenue grants and other income.

<sup>46</sup> Fleet capital plan dated Jun 12.



- b. Provision, laundry and maintenance of our Personal Protective Equipment (PPE) and other clothing through a contracted out fully managed service renewable on a five yearly cycle. Our PPE is due for renewal in 2016.
- c. Provision and maintenance of our building stock. We will continue to review our building priorities as a result of current financial constraints and in order to support our service delivery model. Priorities for 2016 include the building of a new fire station at Sleaford and completion of accommodation at Lincoln North fire station. We will consider all opportunities to renew our stations through working in partnership with developers when they arise and will minimise the impact of our buildings and their use on the environment. We will also work closely with other blue light services with a view to sharing facilities where it makes operational and economic sense to do so.
- d. Maintenance and development of our training site at Waddington to provide enhanced and realistic operational training facilities within the County. We will seek to further develop our commercial activities based at Waddington to lessen the impact of potential budget reductions.
- e. Maximisation of the use of information communication technology (ICT) to ensure we deliver the most effective service to our communities. Over the next 4 years we will continue to look at processes that can be improved through the use of ICT and implement ICT based solutions where appropriate.

#### People Planning

46. Our People Planning will reflect the Fire Professional Framework for the UK Fire and Rescue Sector<sup>47</sup>, the Fire and Rescue Service Equality and Diversity Strategy 2008 - 2018<sup>48</sup> and the LCC People Strategy 2012 - 2015<sup>49</sup>. It is our ambition that Lincolnshire Fire and Rescue is recognised as an employer of choice, who achieves its objectives by getting the best from its people. Over the next 4 years we will aim to have a workforce that demonstrates:

- a. Operational Competence. We will continue to improve the level and quality of training our staff receive ensuring all staff receive regular training in accordance with our structured maintenance programme. We will ensure that all operational staff are assessed to Operator or Technician level against the National Occupational Standards appropriate to the role. We will also continue to develop and implement our electronic competence recording system.
- b. Outstanding Leadership. We will continue to develop our leadership and management development programmes including the implementation of the Core Progression Framework to build visionary, ambitious and effective leadership committed to delivering high-performing services.
- c. Professionalism. We want our staff to feel valued and enabled. We will continue to ensure our Service is managed and delivered in line with the Fire and Rescue Service National Core Values. We will continue to identify and develop key non-operational skills and knowledge through our Performance

<sup>47</sup> <http://fireprofessionalframework.co.uk>

<sup>48</sup> DCLG published May 2008

<sup>49</sup> LCC published August 2012

and Development Review process. We will further develop our Service values to address the wider cultural aspects of the LCC 'People Make it Happen' initiative.

- d. **Organisational Excellence.** We will address the workforce dimensions of organisational change to deliver citizen-focused and value for money services through the use of appropriate quality assurance tools including Investment in People, Peer Review and the FRS Equality and Diversity framework.
- e. **Sustainability.** We will ensure the Service is appropriately structured to meet the future demands of the Service. We will continue to take action to: recruit and retain the right workforce; address key future and occupational skill shortages; identify, develop and motivate talent; and ensure we have a process of fitness assessment and development to support operational personnel<sup>50</sup>. We will maintain our commitment to promote good employee relations and engagement, tackle any aspects of inequality in the workplace and develop a resilient organisation through programmes for change management.

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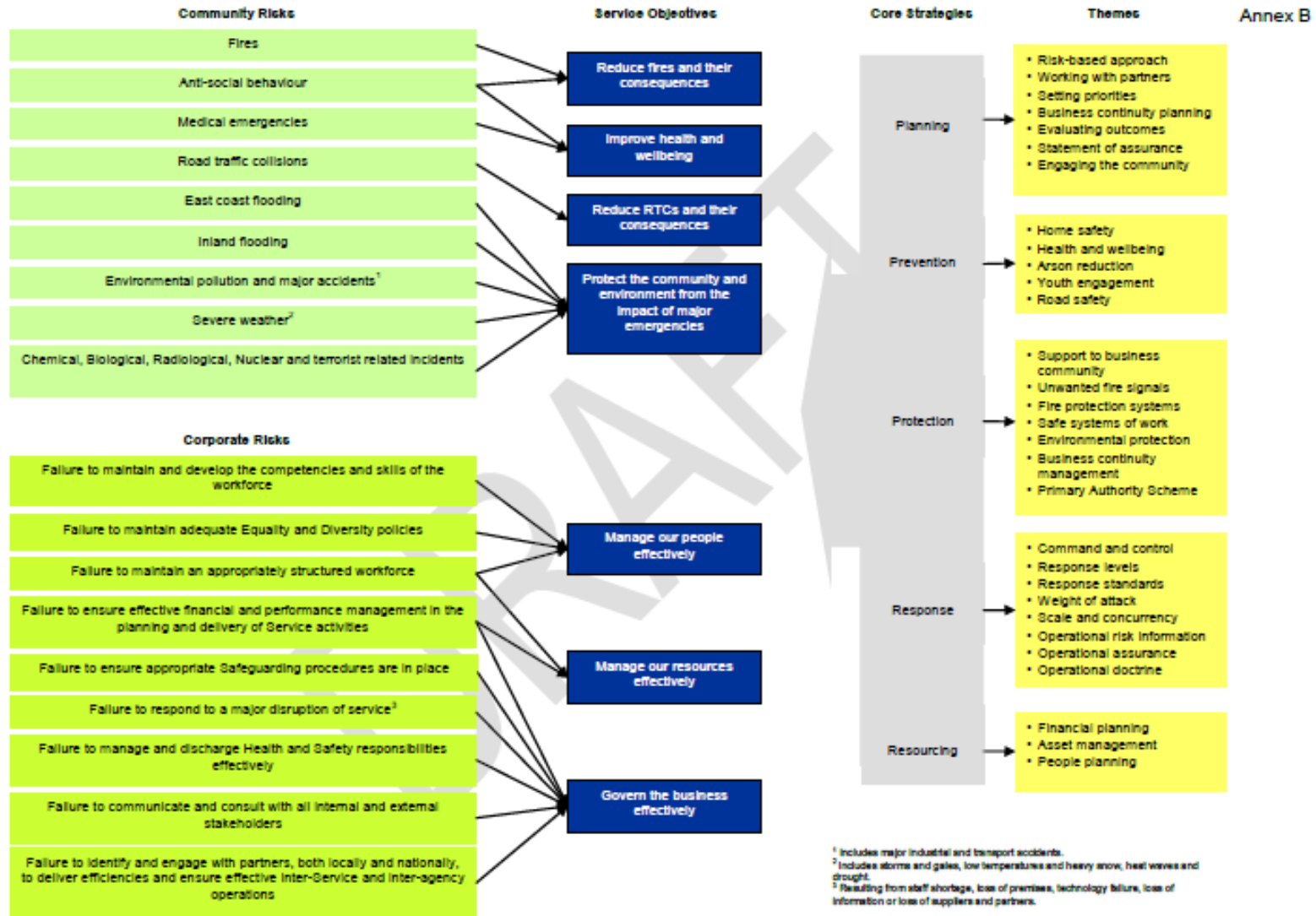
<sup>50</sup> Addendum to the FRS National framework for England dated 2014.

## Lincolnshire Fire and Rescue – a Vision for 2020

<b>Where we want to be</b> <i>(Our vision)</i>	<b>A Lincolnshire which is safe and in which Fire and Rescue plays a key role in helping everyone to find and enjoy the Lifestyle that suits them best</b>			
<b>What it looks like</b> <i>(the headlines)</i>	Fewer people will have been killed or injured	Anti-social behaviour will have been reduced	The impact of environmental change on our community will have been reduced	Our partnerships will be effective and deliver value for money
<b>How we know we're there</b> <i>(the difference)</i>	The average number of deaths and injuries in fires has reduced by 30% from the 2005/10 baseline average	The average number of arson incidents has reduced by 30% from the 2005/10 baseline average	Our capability to respond to major emergencies, such as East coast flooding, is recognised as one of the best in the country	Our strategic partnerships deliver demonstrable improvements in the community and score 'Good' in our external assessment
	The average number of deaths and injuries in Road Traffic Collisions (RTC) has reduced by 40% from the 2005/09 baseline average <sup>1</sup>	As part of the Lincolnshire Community Safety Partnership we have helped reduce the number of anti-social behaviour incidents compared with the 2005/10 baseline average <sup>2</sup>	Through the work of the Local Resilience Forum 80% of the community feel better prepared and informed about what to do in a major emergency	We have a network of local volunteers to conduct 25% of our Home Safety Checks
	We have helped reduce the impact of cardiovascular disease by increasing the number of occasions we render assistance at co-responder incidents by 10% compared with the 2005/10 baseline average	Our youth engagement work has influenced the behaviour of young people with an average of 70% of those attending our programmes since 2009/10 moving into employment, education or training	25% of our stations are considered to be energy efficient	
<b>How we do things</b> <i>(Our values)</i>	<p>We value all our people by practicing and promoting...</p> <ul style="list-style-type: none"> <li>• Fairness, respect and a willingness to forgive</li> <li>• Recognition of merit and acceptance of challenge</li> <li>• Honesty, integrity and mutual trust</li> <li>• Personal development and learning</li> <li>• Co-operative and inclusive working and empowering everyone to do their job</li> <li>• A positive attitude and remembering to have fun at work</li> </ul>	<p>We value diversity in the service and the community by...</p> <ul style="list-style-type: none"> <li>• Treating everyone with dignity and respect</li> <li>• Being innovative, providing varying solutions for different needs and expectations</li> <li>• Promoting equality of opportunity in employment and progression within the Service</li> <li>• Challenging prejudice and discrimination and celebrating our differences</li> </ul>	<p>We value service to the community by...</p> <ul style="list-style-type: none"> <li>• Working with all groups to reduce risks</li> <li>• By being committed and working together in unity</li> <li>• Treating everyone fairly and with respect</li> <li>• Being accountable to those we serve</li> <li>• Providing dynamic and effective Leadership</li> </ul>	<p>We value improvement at all levels of the Service by...</p> <ul style="list-style-type: none"> <li>• Taking responsibility for our performance and celebrating our success</li> <li>• Being open-minded and visionary</li> <li>• Listening and responding to feedback positively</li> <li>• Considering criticism thoughtfully and learning from others</li> <li>• Consulting, communicating and engaging with others</li> <li>• Being courageous in all we do</li> </ul>
<b>What we do</b> <i>(Our mission)</i>	<b>Make our communities safer, healthier and more resilient</b>			

<sup>1</sup> Aligned with Lincolnshire Road Safety Partnership target.

<sup>2</sup> As recorded by Lincolnshire police.





*PREVENTING PROTECTING RESPONDING*



**LINCOLNSHIRE FIRE AND RESCUE**

**INTEGRATED RISK  
MANAGEMENT PLANNING**

**CONSULTATION DOCUMENT  
2016 - 2017**



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Lincolnshire  
COUNTY COUNCIL  
*Working for a better future*

# **INTEGRATED RISK MANAGEMENT PLANNING CONSULTATION DOCUMENT FOR 2016/17**

## **PART 1 – INTRODUCTION**

This Consultation Document forms part of Lincolnshire Fire and Rescue's overall Integrated Risk Management Planning (IRMP) process<sup>2</sup>. It describes the progress we have made against the proposals included in the 2015/16 consultation document. It also provides an opportunity to comment on a number of new proposals which will have some impact on the way in which we deliver the service in the future. The Document is in 5 parts as follows:

- Part 1 - Introduction
- Part 2 - Background and context
- Part 3 - Progress against the 2015/16 proposals
- Part 4 - Proposals for 2016/17
- Part 5 - Feedback

We welcome any feedback on our proposals for 2016/17 which will be used to help prioritise our plans and ensure we can continue to deliver an effective service to the communities of Lincolnshire.

## **PART 2 – BACKGROUND AND CONTEXT**

As part of the County Council, Lincolnshire Fire and Rescue is not immune to the financial challenges faced by Local Government and the public sector in particular. Notwithstanding the £129m savings already made by the Council over the last 4 years, it is expected the Council will have to find a further £130m by 2018/19. Although fire and rescue remains a high priority service, the scale of the overall savings required are such that further reductions in the Service's budget will be necessary. While, due to the significant reductions in government funding and growing cost pressures the Council has only been able to set a one year budget, Lincolnshire Fire and Rescue is having to put plans in place now to meet its anticipated 3-year savings target.

In this context the potential savings target for fire and rescue by 2018/19 is 8% of its current budget which equates to £1.67m. Of this, £0.308m needs to be saved in 2016/17 with the remaining savings delivered within the following 2 years. In order to deliver this the Service has conducted a further internal review to look at how the savings could be met while minimising the impact on service provision. A range of savings options have been considered resulting in a number of proposals being identified. Those that will impact directly on the way in which we deliver the front line service are included as part of our IRMP consultation process and described in Part 4 of this document.

Despite the potential for reductions in service delivery in certain areas, it is vital that Lincolnshire Fire and Rescue remains innovative in its approach if it is to continue to deliver positive outcomes to the community. Working more

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<sup>2</sup> See IRMP Baseline Document 2013-2016.

collaboratively, focusing our efforts on those most at risk and looking at how fire and rescue can expand its role by supporting improved community health outcomes will remain core principles of that approach. And it is an approach which has enabled us to continue to '*make Lincolnshire a safer place to live, work and visit*'. Some of the key differences we made last year are highlighted in Part 3 below.

### **PART 3 - PROGRESS AGAINST THE 2015/16 PROPOSALS**

As part of last year's consultation we sought views on a number of proposals including a range of potential savings options. Following consideration of the consultation responses, a report was submitted to Lincolnshire County Council's Executive in April 2015. The report recommendations were agreed and an implementation plan to deliver the changes subsequently developed. Progress against each of the recommendations is shown below. Details of the original proposals are included in the 2015/16 consultation document<sup>3</sup>.

- **Savings Options**

**Change Lincoln North fire station from the Shift Duty System to the Lincolnshire Crewing System.** The wholetime Shift Duty System at Lincoln North comprises 4 shifts of 5 firefighters. This allows the fire engine to mobilise with 4 firefighters and provide round-the-clock availability. This option involved changing to the Lincolnshire Crewing System comprising 2 shifts of 5 firefighters. It still means the fire engine mobilises with 4 wholetime firefighters round-the-clock; the key difference is that they provide on-call cover at night. The plan was for this change to take effect by summer 2016 and we are still on track to achieve this.

**Reduce the number of Station Managers on the Flexible Duty System.** The Flexible Duty System (FDS) is a rota system which enables Lincolnshire Fire and Rescue to provide adequate supervision on the incident ground to meet the requirements of both health and safety and the national Fire and Rescue Service Incident Command System. The proposal was to reduce the number of Station Managers who undertake this duty from 20 to 16. This has now been completed.

**Reduce the firefighter staffing level across the wholetime shift systems.** The intent was to implement this change from October 2015. However, due to a number of unforeseen circumstances the implementation has been delayed until March 2016.

- **Implementation of Alternative Crewing Arrangement for Retained Duty System Stations.** The Alternative Crewing Arrangement is used as a short term management tool to make best use of our resources at those (on-call) retained duty system stations which have difficulty in maintaining a crew of 4 firefighters over a sustained period. This proposal was for the Alternative

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<sup>3</sup> See IRMP Consultation Document 2015-16 for further details.

Crewing Arrangement to be introduced, operating within specific guidelines, as core business. This has now been completed.

- **Introduction of a Revised Response Standard for Dwelling Fires and Road Traffic Collisions.** This proposal was to adopt a response standard based on the modelling of drive times and displaying the anticipated response times on a map. This has now been achieved. The map is available on our website<sup>4</sup> and we routinely measure and report our performance against the standards, investigating any occasion where we have not met anticipated response targets.
- **Increase the number of Fire Stations which provide a Co-responder Service.** This proposal was to roll out our co-responder scheme to a further 5 fire stations around the County. This has now been completed and includes the stations at Donington, Mablethorpe, Saxilby, Skegness and Sleaford.
- **Service Priorities for 2015/16.** A summary of performance against our operational and improvement priorities to date is shown below. Further details around the activities supporting these priorities are included in our Service Plan which is available on the Lincolnshire Fire and Rescue website<sup>5</sup>.

### **Our Operational Priorities**

- **Reduce fires and their consequences.** Between April and December 2015 we have seen a 12% increase in primary fires (equates to 93 incidents) compared to the same period the previous year, although the longer term trend remains positive. The total number of deaths caused by fire over the same period is slightly higher than the previous year although recorded fire injuries have reduced.
- **Reduce road traffic collisions and their consequences.** There have been 238 people killed or seriously injured on Lincolnshire's roads between April and December 2015<sup>6</sup>. This represents a 12% reduction on the previous year (equates to 32 fewer people). This continues the longer term trend of reducing the numbers of people killed or seriously injured on our roads.
- **Improve health and wellbeing.** Between April and December 2015 we attended 3,314 co-responder incidents. Of those incidents attended, fire and rescue rendered assistance on 86% of occasions.

### **Our Improvement Priorities**

- **Ensure our (on-call) Retained Duty System remains fit for purpose.** We have continued to engage with our (on-call) retained duty system workforce to understand the challenges faced by both the Service and staff. A number

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<sup>4</sup> <http://www.lincolnshire.gov.uk/lincolnshire-fire-and-rescue/about-us/response-times/128348.article>

<sup>5</sup> <http://www.lincolnshire.gov.uk/lincolnshire-fire-and-rescue/about-us/planning-and-performance/service-planning/120199.article>

<sup>6</sup> Figures are provisional.

of enhancements have already been implemented as part of this project. The final report is due by the end of March.

- **Continue to enhance the effectiveness of our collaborative working.** Working in partnership we have increased by 5 the number of fire stations which provide an emergency medical response capability through our co-responder scheme. We have also successfully piloted a Joint Ambulance Conveyance Project providing 3 fire ambulances across the County as well as undertaken work with the police and ambulance service to look at other potential ways in which we could work more collaboratively.
- **Continue to develop our Information Communications Technology capability to ensure it meets the needs of the Service.** We have seen increased functionality and wider usage of our Management Information System<sup>7</sup> and its further implementation remains a priority. Our Future Control project, which is being delivered as part of a joint consortium, remains broadly on track.

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<sup>7</sup> Firewatch/Flosuite.

## PART 4 - PROPOSALS FOR 2016/17

### Proposal 1 - Agree new IRMP Baseline Document 2016 - 2020

Each Fire and Rescue Authority is required to produce and publish an Integrated Risk Management Plan (IRMP), covering at least a 3 year time span, in line with the Fire and Rescue National Framework for England<sup>8</sup>. For Lincolnshire Fire and Rescue we refer to this plan as our IRMP Baseline Document. This is a core document which identifies those risks to the community that we, as a fire and rescue service, can do something about. It also outlines the key strategies we will adopt over the period to reduce those risks. Our draft IRMP Baseline Document 2016-2020 is now available for comment on our website at <http://www.lincolnshire.gov.uk/lfr>. It forms part of our overall risk management planning process and provides the foundation on which to develop further detailed plans.

Our proposal is for our IRMP Baseline Document 2016 - 2020 to be introduced by June this year.

### Proposal 2 – Savings Option

As described in Part 2, Lincolnshire Fire and Rescue has a savings target of £0.308m in 2016/17 and total anticipated savings of £1.67m over the next 3 years. It is proposed that around 60% of the total savings will be delivered through internal restructures, changes to the way in which we deliver our Control capability and the reduction of some of our prevention and operational support activities.

In order to find the remaining savings we have had to consider a number of potential measures which will have an impact on the way we deliver our front line service. Given the lead time to implement some of the potential options, we have to consult on these now. Other options will need to be considered in due course, and an appropriate consultation undertaken, once our final savings target has been confirmed. In defining these options the aim is to:

- minimise the impact on front line service delivery as far as possible
- maintain a balanced delivery of service across our 3 core areas of activity, namely: prevention, protection and response

The proposal we are consulting on this year to support anticipated savings is described below.

<b>Proposal</b>	<b>Change Lincoln South fire station from the Shift Duty System to the Lincolnshire Crewing System</b>
Description of proposal	There are currently 2 fire engines based at Lincoln South fire station, the first being crewed by wholetime firefighters on the Shift Duty System, the second being crewed by (on-call) retained duty

<sup>8</sup> DCLG Fire and Rescue National Framework for England dated Jul 12.

	<p>system firefighters. This proposal looks at changing the crewing arrangements of the wholetime fire engine only. The wholetime Shift Duty System at Lincoln South comprises 4 shifts of 6 firefighters with firefighters being available on the fire station 24 hours a day. This provides round-the-clock availability with an average mobilisation time during the day of 1 minute 18 seconds and 1 minute 20 seconds during the night<sup>9</sup>.</p> <p>This proposal would see the wholetime crew at Lincoln South moving onto the Lincolnshire Crewing System. This would comprise 2 shifts and a total of 11 firefighters with wholetime firefighters being available on the fire station during the day and available 'on call' within 5 minutes at night. It would still mean the fire engine is crewed with wholetime firefighters round-the-clock; the key difference is that they would be providing on-call cover at night. Suitable accommodation would need to be provided to support this option. The Lincolnshire Crewing System is already in operation at 7 other stations around the County; this will increase to 8 later this year.</p>
<p>Impact on Service Delivery</p>	<p>The main impact of this change would be an increase in mobilisation time from the fire station at night (between 1830 - 0730 hours) of around 2 minutes<sup>10</sup>.</p> <p>Over the last 3 years there has been an average of 41 dwelling fires a year in the Lincoln South station ground area. During this period a fire engine attended in less than 10 minutes on 88% of occasions. If this change had been in place a fire engine would have arrived in less than 10 minutes on 83% of occasions.</p> <p>Lincoln South attends on average 341 incidents a year during night time hours<sup>11</sup>. Of these around 35% are to fires, 1% to road traffic collisions, 12% to special service calls and 52% to false alarms.</p> <p>This change is likely to have only a marginal impact on the overall percentage of times a first fire engine is able to arrive within 10 minutes to a dwelling fire within the County<sup>12</sup>.</p> <p>A one-off capital cost would be required to provide appropriate accommodation. It is anticipated the reduction in firefighters would be managed through normal retirements and the filling of existing vacancies.</p>

<sup>9</sup> This is the time it takes for the fire engine to be mobile to the incident. Based on 2014/15 response times.

<sup>10</sup> The average mobilisation time is 3 minutes 25 seconds based on 2014/15 data from the 7 existing Lincolnshire Crewing Stations.

<sup>11</sup> Based on the last 3 years data and between 1830 and 0730 hrs.

<sup>12</sup> Based on 2014/15 response times to dwelling fires.



### **Proposal 3 - Reduce the Number of Rescue Support Units**

At present we have 2 Rescue Support Units (RSU) serving the County. These vehicles are mobilised to provide additional support for more complex incidents including Breathing Apparatus, Chemical Decontamination and Road Traffic Collisions. The vehicles are currently located at our Grantham and Lincoln North fire stations.

Over the last 2 years an RSU has been mobilised, on average, to 99 incidents a year. Of these, it was required to provide support to operations on just over 50% of occasions. Given the utilisation rate and the fact that some of the specialist equipment on the RSU is now available on front line fire engines<sup>13</sup>, it is considered that only one RSU is now required in the Service.

This proposal would see the number of RSUs within the Service reduced to one. The intent would be to locate the remaining RSU within the County to ensure maximum operational effectiveness. The risk associated with this proposal is unlikely to be significant.

### **Proposal 4 - Permanently Relocate an Aerial Ladder Platform to Boston**

In June 2013<sup>14</sup> we replaced our 3 ageing Hydraulic Platforms with 2 Aerial Ladder Platforms (ALP). As part of that change it was agreed that one of the ALPs would be located at Lincoln South fire station with the second located at Boston during the winter and Skegness during the summer.

During the period since the ALPs have been deployed in this configuration, they have been mobilised to 112 incidents. Of these they attended similar numbers of incidents in the Skegness<sup>15</sup> and Boston<sup>16</sup> areas.

Given that there is little evidence to support the perceived greater risk in the Skegness area during the summer months, this proposal would see the second ALP being permanently located at Boston. It is believed this will provide more equitable and improved geographical cover across the County. It would also reduce training costs as it would only be necessary to provide training to firefighters at 2 fire stations rather than the current 3.

### **Proposal 5 - Further Develop the Joint Ambulance Conveyance Project**

The first 'fire' ambulance was despatched to a life-threatening emergency on 17th September 2014 as part of Lincolnshire's Joint Ambulance Conveyance Project (JACP). Designed to improve patient care through enhanced ambulance provision, this innovative joint project involving Lincolnshire Fire and Rescue, East Midlands Ambulance Service (EMAS) and Lincolnshire Integrated Voluntary Emergency Service (LIVES) has demonstrated how closer integration between partners can help improve services to the local community in a cost effective way. The 12 month pilot, which has run from 3 fire stations around the County<sup>17</sup>, has delivered significant benefits to a range of stakeholders including:

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<sup>13</sup> Example being the animal rescue equipment.

<sup>14</sup> Further to IRMP consultation 2012/13.

<sup>15</sup> Alford, Louth, Mablethorpe, North Somercotes, Skegness, Spilsby, Wainfleet fire station areas.

<sup>16</sup> Boston, Donington, Holbeach, Kirton, Leverton, Long Sutton, Spalding fire station areas.

<sup>17</sup> Long Sutton, Woodhall Spa and Stamford.



- Reduced patient transport times resulting in improved prognosis of those patients requiring speedy clinical intervention in hospital
- Increased availability of EMAS Dual Crewed Ambulances (DCA) enabling EMAS DCAs to attend more high acuity patients
- Provision of a cost effective method of meeting demand for the growing number of ambulance calls as the scheme builds on the existing fire co-responder infrastructure
- Improved patient care at the initial scene as a result of enhanced firefighter co-responder medical skills
- Strong support from service users with 95% of users rating the service as excellent or good
- Substantial returns of social value for the investment made which can be translated into real tangible financial savings
- Alignment with the national drive for closer collaboration between blue light services

Given its success and, assuming appropriate health funding can be identified, our proposal is that the JACP continues to operate from the 3 existing locations and is further expanded to 5 other fire stations around the County. The location of the additional fire stations would be selected on the basis of EMAS' priorities and the availability of the (on-call) retained duty system firefighters to undertake this activity.

### **Proposal 6 - Introduce a Cost Recovery Process for Attendance to Unwanted Fire Signals**

Over time there has been a sustained increase in the installation of automatic fire alarm and detection systems in both commercial and domestic premises. Whilst the increase in these systems is welcomed from a public safety point of view, the rise in false alarms they generate is not.

Many false alarms go unnoticed by the fire service as the person managing the premises takes appropriate action, resulting in the fire service not being notified. Where the false alarm is not appropriately managed and the fire service is called, either directly or through an automated system, this is known as an Unwanted Fire Signal (UwFS).

We have been taking steps to address the problem of UwFS for many years and over that time our actions have helped to reduce the number of false alarms. However, the figure remains relatively high and has started to rise again.

Historically we have not been able to recover the costs incurred through attending UwFS. However, following changes to the Fire and Rescue Services Act<sup>18</sup> this is now possible and we may now charge for attendance to UwFS at non-domestic premises where there is a persistent problem due to automatic fire alarm and detection systems having malfunctioned or been incorrectly installed.

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<sup>18</sup> Section 18C of the Fire and Rescue Services Act 2004 as amended by the Localism Act 2011.

We recognise that most businesses take their premise management responsibilities seriously and we do not wish to place any additional burden on those organisations. It is those which are responsible for repeated UwFS, and thereby impose a significant burden on the fire service, that this proposal aims to target. By way of example, last year 13% of UwFS received were caused by as few as 25 premises.

We have established that the cost of attending an UwFS is approximately £250 plus VAT (based on staffing, vehicle, fuel and administrative costs). This is favourable in comparison with other fire services currently charging for attendance at UwFS<sup>19</sup>.

Based on our proposed policy<sup>20</sup>, last year there were 77 attendances that we could have made a charge for. This would have supported us to recover over £19,000. While the main aim of this proposal is to deter businesses from generating repeated UwFS, any cost recovery would be used to help offset the impact of future budget reductions within the Service.

Our proposal is to recover some of the costs that we incur by attending UwFS through a charge that would be levied against repeat offenders. To reassure responsible businesses that this will not generate an additional burden, following a false alarm we will work with the business and advise them on how to reduce further UwFS. It will only be where we continue to attend UwFS and the business fails to take reasonable measures to prevent them that we will look towards levying a charge.

### **Proposal 7 - Service Priorities for 2016/17**

Based on our key service drivers and our assessment of community risks, we believe our Service priorities for 2016/17 should remain the same as last year, namely:

#### **Operational Priorities**

- Reduce fires and their consequences
- Reduce road traffic collisions and their consequences
- Improve health and wellbeing

#### **Improvement Priorities**

- Ensure our Retained Duty System remains fit for purpose
- Continue to enhance the effectiveness of our collaborative working
- Continue to develop our Information Communications Technology capability

Our proposal is to continue with these Service priorities through 2016/17.

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<sup>19</sup> London Fire Brigade & West Yorkshire Fire & Rescue Service.

<sup>20</sup> Draft Fire Safety Guidance Note 11.

## **PART 5 - FEEDBACK – WE WANT TO HEAR WHAT YOU THINK**

We would welcome your feedback on any of the proposals described in Part 4 of this document. If you would like to provide feedback the easiest way to do this is by completing the electronic feedback form available at [www.lincolnshire.gov.uk/lfr](http://www.lincolnshire.gov.uk/lfr)

Alternatively you can request a paper copy of the feedback form by contacting Lincolnshire Fire and Rescue at:

Knowledge and Information Manager  
Lincolnshire Fire and Rescue  
South Park Avenue  
Lincoln  
LN5 8EL  
Telephone: 01522 582222

E-mail: [communications@lincoln.fire-uk.org](mailto:communications@lincoln.fire-uk.org)

## APPENDIX C

### COMMENTS ON IRMP CONSULTATION PROPOSALS FROM LCC COMMUNITY AND PUBLIC SAFETY SCRUTINY COMMITTEE - 9 MARCH 2016 (extracted from minutes dated 9 Mar 16)

The Committee considered the Integrated Risk Management Planning (IRMP) consultation document which outlined the proposed changes for 2016/17. The Committee discussed the options at length and the following points were noted:

1. There was strong opposition to the reduction of funding for LFR and the consequences to the public. Some Members felt the Council should lobby for more funding for the service. Officers had to deliver the best service possible with the available funding;

2. Changing Lincoln South Fire Station to the Lincolnshire Crewing System was discussed and it was noted that with this system, firefighters would be required to live within 5 minutes of the station during night time hours. They would be required to work a rotating pattern of 4 days on 4 days off, 4 days on, 4 days off followed by 5 days on 3 days off. It was already in action at other stations and worked well; At this point in the meeting, the following motion was proposed;

The Committee are of the view that the Executive takes every step to acquire more funding for LFR before the Community and Public Safety Scrutiny Committee consider it further.

This motion was not carried.

At this point in the meeting, the following motion was proposed and carried:

#### RESOLVED

That if *Proposal 2 – Savings Option – Change Lincoln South Fire station from the Shift Duty System to the Lincolnshire Crewing System* was implemented, the Executive must inform the Government that the consequences of their decision to cut funding would adversely affect the people of Lincolnshire.

There was discussion and support for Proposal 5 to further develop the Joint Ambulance Conveyance Project, the pilot of which had been successful.

It was noted that the consultation ended on 16 May 2016 and a further update would be brought back to the Committee at a later date.

#### RESOLVED

That the proposals within the consultation document and comments made be noted.

## **APPENDIX D**

### **TRANSCRIPT OF SPEECH MADE BY PETITION SPOKESPERSON DAN TAYLOR (FBU)**

Council members, Chairman.

I'm the FBU secretary representing the members of Lincolnshire Fire and Rescue. I'm here today to raise your awareness regarding the further proposed cuts that will, in our opinion, have a dramatic effect on the operation of our service and therefore the safety of those living, working, visiting and travelling in Lincolnshire. We've been campaigning locally for a number of weeks. This has resulted in a petition being signed by over 5,000 concerned members of the public. Our written response has been sent to all council members. If you have not received a copy please contact me after this meeting.

This is the second time in as many years that the members of the FBU have had to respond to cuts to our service. And we feel that the risks now far outweigh the value of the cuts. In 1984, firefighter Colin Kemp was killed whilst firefighting in Lincoln. He died following a fall from a hydraulic platform whilst trying to escape the effects of fire following a warehouse roof collapse. In 1992, firefighter Malcom Kirton was killed whilst firefighting in Gainsborough. He died after becoming disorientated whilst searching a carpet shop unit in BA for persons reported trapped.

Following these incidents training practices and incident command procedures were improved and no charges were instigated by the HSE. Consequently since 1992, we've had no operational firefighter deaths in Lincolnshire Fire and Rescue. In 2007, four firefighters were killed at a major fire in a food processing factory in Warwickshire. A building and process which is all too common in many areas of this county. As a result of this, the HSE was heavily involved and several members, including the chief fire officer, faced serious charges which could have resulted in large fines and imprisonment. Again, improved levels of training and control were introduced – this had an effect on all fire authorities in the British Isles. And indeed, this Brigade embodies a three year training plan derived from this tragic event.

It is our concern that the introduction of these proposals – reducing the budget affecting the training and provision of services are beginning to seriously affect the health and safety of county council employees in the fire service and ultimately members of the public. These reductions could mean that members of the service and even yourselves could face criminal charges by the HSE because of the stretching of safety provisions.

The public has a perceived view of a firefighter's role. There is an expectation that we will risk our lives for them. As crewing is reduced, we are increasingly facing the situation where there are not enough firefighters arriving together at an incident, so in order to be safe they need to wait for further support when members of the public are expecting them to do something – what do you think you would do?

On the first of May this year at 5 past midnight the brigade was alerted to a house fire in Spalding. The first crew of four firefighters arrived within nine minutes to the call. Finding the property well alight with persons reported missing. The second appliance did not arrive until 12.30. This meant that the first crew would be waiting 15 minutes before they would enter the building with all procedures in place. Because of the pressures mentioned earlier, the officers in charge committed his crew. One person was located and brought out showing signs of life. The fire actually resulted in the loss of life of three occupants of the property and major fire damage. I may suggest at this point, that the whole scenario could have ended quite differently and I have no need to emphasise the ongoing effects on this authority.

Finally, I would like to point out that Lincoln, with its growing popularity and infrastructure, would be the only city in the country which would have these reduced crewing arrangements resulting in no 24 hour cover crewed station. I therefore urge you all to read our response in depth. Take note of the consequences and make the right decision in protecting your firefighting employees and members of the public.

I would like to thank you for your time and giving me the opportunity to hear me speak to this full council meeting.  
Thank you.

## Equality Impact Analysis to enable informed decisions

### The purpose of this document is to:-

- I. help decision makers fulfil their duties under the Equality Act 2010 and
- II. for you to evidence the positive and adverse impacts of the proposed change on people with protected characteristics and ways to mitigate or eliminate any adverse impacts.

### Using this form

This form must be updated and reviewed as your evidence on a proposal for a project/service change/policy/commissioning of a service or decommissioning of a service evolves taking into account any consultation feedback, significant changes to the proposals and data to support impacts of proposed changes. The key findings of the most up to date version of the Equality Impact Analysis must be explained in the report to the decision maker and the Equality Impact Analysis must be attached to the decision making report.

**\*\*Please make sure you read the information below so that you understand what is required under the Equality Act 2010\*\***

### Equality Act 2010

The Equality Act 2010 applies to both our workforce and our customers. Under the Equality Act 2010, decision makers are under a personal duty, to have due (that is proportionate) regard to the need to protect and promote the interests of persons with protected characteristics.

### Protected characteristics

The protected characteristics under the Act are: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

### Section 149 of the Equality Act 2010

Section 149 requires a public authority to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited by/or under the Act
- Advance equality of opportunity between persons who share relevant protected characteristics and persons who do not share those characteristics
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The purpose of Section 149 is to get decision makers to consider the impact their decisions may or will have on those with protected characteristics and by evidencing the impacts on people with protected characteristics decision makers should be able to demonstrate 'due regard'.

### **Decision makers duty under the Act**

Having had careful regard to the Equality Impact Analysis, and also the consultation responses, decision makers are under a personal duty to have due regard to the need to protect and promote the interests of persons with protected characteristics (see above) and to:-

- (i) consider and analyse how the decision is likely to affect those with protected characteristics, in practical terms,
- (ii) remove any unlawful discrimination, harassment, victimisation and other prohibited conduct,
- (iii) consider whether practical steps should be taken to mitigate or avoid any adverse consequences that the decision is likely to have, for persons with protected characteristics and, indeed, to consider whether the decision should not be taken at all, in the interests of persons with protected characteristics,
- (iv) consider whether steps should be taken to advance equality, foster good relations and generally promote the interests of persons with protected characteristics, either by varying the recommended decision or by taking some other decision.

## **Conducting an Impact Analysis**

The Equality Impact Analysis is a process to identify the impact or likely impact a project, proposed service change, commissioning, decommissioning or policy will have on people with protected characteristics listed above. It should be considered at the beginning of the decision making process.

### **The Lead Officer responsibility**

This is the person writing the report for the decision maker. It is the responsibility of the Lead Officer to make sure that the Equality Impact Analysis is robust and proportionate to the decision being taken.

### **Summary of findings**

You must provide a clear and concise summary of the key findings of this Equality Impact Analysis in the decision making report and attach this Equality Impact Analysis to the report.



## Impact – definition

An impact is an intentional or unintentional lasting consequence or significant change to people's lives brought about by an action or series of actions.

### How much detail to include?

The Equality Impact Analysis should be proportionate to the impact of proposed change. In deciding this asking simple questions “Who might be affected by this decision?” “Which protected characteristics might be affected?” and “How might they be affected?” will help you consider the extent to which you already have evidence, information and data, and where there are gaps that you will need to explore. Ensure the source and date of any existing data is referenced.

You must consider both obvious and any less obvious impacts. Engaging with people with the protected characteristics will help you to identify less obvious impacts as these groups share their perspectives with you.

A given proposal may have a positive impact on one or more protected characteristics and have an adverse impact on others. You must capture these differences in this form to help decision makers to arrive at a view as to where the balance of advantage or disadvantage lies. If an adverse impact is unavoidable then it must be clearly justified and recorded as such, with an explanation as to why no steps can be taken to avoid the impact. Consequences must be included.

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**Proposals for more than one option** If more than one option is being proposed you must ensure that the Equality Impact Analysis covers all options. Depending on the circumstances, it may be more appropriate to complete an Equality Impact Analysis for each option.

**The information you provide in this form must be sufficient to allow the decision maker to fulfil their role as above. You must include the latest version of the Equality Impact Analysis with the report to the decision maker. Please be aware that the information in this form must be able to stand up to legal challenge.**

## Background Information

<b>Title of the policy / project / service being considered</b>	Lincolnshire Fire & Rescue Integrated Risk Management Planning Consultation Document 2016/17	<b>Person / people completing analysis</b>	Lincolnshire Fire and Rescue Senior Management Team
<b>Service Area</b>	Lincolnshire Fire & Rescue	<b>Lead Officer</b>	John Cook
<b>Who is the decision maker?</b>	Lincolnshire Fire & Rescue Authority (Executive)	<b>How was the Equality Impact Analysis undertaken?</b>	Discussions with Senior Management Team & HR Advisors, early discussions with FBU, reviewed further to discussion with watches at Lincoln South fire station
<b>Date of meeting when decision will be made</b>	06/09/2016	<b>Version control</b>	1.2
<b>Is this proposed change to an existing policy/service/project or is it new?</b>	Existing policy/service/project	<b>LCC directly delivered, commissioned, re-commissioned or de-commissioned?</b>	Directly delivered
<b>Describe the proposed change</b>	<p>The IRMP consultation document provides an opportunity for stakeholders to comment on any proposed changes to service delivery. The main proposals for consultation for 2016/17 are:</p> <ul style="list-style-type: none"> <li>• IRMP Baseline Document 2016-2020</li> <li>• Potential Savings Options</li> <li>• Reduce the Number of Rescue Support Units</li> <li>• Permanently Relocate an Aerial Ladder Platform to Boston</li> <li>• Further Develop the Joint Ambulance Conveyance Project</li> <li>• Initiate a cost recovery process for attendance to Unwanted Fire Signals</li> <li>• Service priorities for 2015/16</li> </ul>		

## Evidencing the impacts

In this section you will explain the difference that proposed changes are likely to make on people with protected characteristics.

To help you do this first consider the impacts the proposed changes may have on people without protected characteristics before then considering the impacts the proposed changes may have on people with protected characteristics.

You must evidence here who will benefit and how they will benefit. If there are no benefits that you can identify please state 'No perceived benefit' under the relevant protected characteristic. You can add sub categories under the protected characteristics to make clear the impacts. For example under Age you may have considered the impact on 0-5 year olds or people aged 65 and over, under Race you may have considered Eastern European migrants, under Sex you may have considered specific impacts on men.

### Data to support impacts of proposed changes

When considering the equality impact of a decision it is important to know who the people are that will be affected by any change.

#### Population data and the Joint Strategic Needs Assessment

The Lincolnshire Research Observatory (LRO) holds a range of population data by the protected characteristics. This can help put a decision into context. Visit the LRO website and its population theme page by following this link: <http://www.research-lincs.org.uk> If you cannot find what you are

**Positive impacts**

The proposed change may have the following positive impacts on persons with protected characteristics – If no positive impact, please state 'no positive impact'.

Age	<ul style="list-style-type: none"> <li>• We believe our proposal to permanently relocate an Aerial Ladder Platform to Boston will provide more equitable and improved geographical cover across the County which will support mobilising of this specialist vehicle to assist where necessary with rescues for older persons with mobility issues.</li> <li>• We believe our proposal, subject to funding, to continue with our Joint Ambulance Conveyance Project at 3 existing locations and expand this to 5 other fire stations around the County will offer a positive impact to almost all age groups by reducing patient transport times which results in improved prognosis of those patients requiring speedy clinical intervention in hospital. It will also offer a positive impact to all age groups by securing increased availability of ambulances to those requiring assistance.</li> </ul>
Disability	<ul style="list-style-type: none"> <li>• We believe our proposal to permanently relocate an Aerial Ladder Platform to Boston will provide more equitable and improved geographical cover across the County which will support mobilising of this specialist vehicle to assist where necessary with rescues for disabled persons.</li> <li>• We believe our proposal, subject to funding, to continue with our Joint Ambulance Conveyance Project at 3 existing locations and expand this to 5 other fire stations around the County will offer a positive impact to almost all age groups by reducing patient transport times which results in improved prognosis of those patients requiring speedy clinical intervention in hospital. It will also offer a positive impact to all disability groups by securing increased availability of ambulances to those requiring assistance.</li> </ul>
Gender reassignment	No gender reassignment specific positive impact
Marriage and civil partnership	No marriage & civil partnership specific positive impact

<b>Pregnancy and maternity</b>	<ul style="list-style-type: none"> <li>We believe our proposal to permanently relocate an Aerial Ladder Platform to Boston will provide more equitable and improved geographical cover across the County which will support mobilising of this specialist vehicle to assist where necessary with rescues for pregnant women. We believe our proposal, subject to funding, to continue with our Joint Ambulance Conveyance Project at 3 existing locations and expand this to 5 other fire stations around the County will offer a positive impact to almost all age groups by reducing patient transport times which results in improved prognosis of those patients requiring speedy clinical intervention in hospital. It will also offer a positive impact to pregnant women by securing increased availability of ambulances to those requiring assistance.</li> </ul>
<b>Race</b>	No race specific positive impact
<b>Religion or belief</b>	No religion or belief specific positive impact
<b>Sex</b>	No sex specific positive impact
<b>Sexual orientation</b>	No sexual orientation specific positive impact

**If you have identified positive impacts for other groups not specifically covered by the protected characteristics in the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.**

- We believe our proposal to permanently relocate an Aerial Ladder Platform to Boston will provide more equitable and improved geographical cover across the County which will support mobilising of this specialist vehicle to assist where necessary for all groups regardless of protected characteristics, there would be an additional positive impact in the Boston area given that the ALP would be stationed there permanently.
- We believe our proposal, subject to funding, to continue with our Joint Ambulance Conveyance Project at 3 existing locations and expand this to 5 other fire stations around the County will offer a positive impact to almost all age groups by reducing patient transport times which results in improved prognosis of those patients requiring speedy clinical intervention in hospital. It will also offer a positive impact to all groups by securing increased availability of ambulances to those requiring assistance regardless of protected characteristics.
- We believe that our proposal to Introduce a cost recovery process for attendance to Unwanted Fire Signals will have a positive impact to all groups regardless of protected characteristics by offering an improvement in the availability of fire engines to attend real emergencies and any costs recovered offsetting the impact of future budget reductions.

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#### **Adverse/negative impacts**

You must evidence how people with protected characteristics will be adversely impacted and any proposed mitigation to reduce or eliminate adverse impacts. An adverse impact causes disadvantage or exclusion. If such an impact is identified please state how, as far as possible, it is justified; eliminated; minimised or counter balanced by other measures.

If there are no adverse impacts that you can identify please state 'No perceived adverse impact' under the relevant protected characteristic.

Negative impacts of the proposed change and practical steps to mitigate or avoid any adverse consequences on people with protected characteristics are detailed below. If you have not identified any mitigating action to reduce an adverse impact please state 'No mitigating action identified'.

Age

- Our potential savings options proposal may increase our response times to incidents from Lincoln South fire station between 1830 - 0730 hours by around 2 minutes. Any increased risk will be offset through our fire prevention activities which are focused on the most vulnerable people.
- Our potential savings options proposal which would see the WDS fire engine at our Lincoln South fire station change from the Shift duty system to the Lincolnshire Crewing duty system, would leave no alternative duty system for our wholetime firefighters. This may have a negative impact on some firefighters with carer responsibilities due to the requirement to live locally whilst on duty, we will consider alternative posts and flexible working where possible to offset this impact.
- Our potential savings options proposal which would see the WDS fire engine at our Lincoln South fire station change from the Shift duty system to the Lincolnshire Crewing duty system, would leave no alternative duty system for our wholetime firefighters. This may have a negative impact on firefighters children, who, where a firefighter needs to resort to Service provided accommodation, may have less access to a parent during their formative years. This impact is offset as far as is possible by allowing access for partners and family members to visit and spend time with crews at the provided accommodation.
- Our proposal to permanently relocate an aerial ladder platform to Boston may increase response times in the Skegness area during the summer months. Any increased risk will be offset through our fire prevention activities which are focused on improving the safety of the most vulnerable people in their homes and our fire protection activities which focus on safety of occupants in sleeping risk premises such as hospitals, hotels, boarding houses and residential care.
- Our proposal to continue with and further develop the Joint Ambulance Conveyance Project could have a negative impact on the response times of some of our fire engines if there is insufficient fire crew available to crew both fire engine and ambulance, evidence suggests that this occurs on few occasions. Any additional risk will be offset through our fire prevention, protection and road safety activities.

<b>Disability</b>	<ul style="list-style-type: none"> <li>• Our potential savings options proposal would increase our response times to incidents from Lincoln South fire station between 1830 - 0730 hours by around 2 minutes. Any increased risk will be offset through our fire prevention activities which are focused on the most vulnerable people.</li> <li>• Our proposal to permanently relocate an aerial ladder platform to Boston may increase response times in the Skegness area during the summer months. Any increased risk will be offset through our fire prevention activities which are focused on the most vulnerable people in their homes and our fire protection activities which focus on safety of occupants in sleeping risk premises such as hospitals, hotels, boarding houses and residential care.</li> <li>• Our proposal to continue with and further develop the Joint Ambulance Conveyance Project could have a negative impact on the response times of some of our fire engines if there is insufficient fire crew available to crew both fire engine and ambulance, evidence suggests that this occurs on few occasions. Any additional risk will be offset through our fire prevention and fire protection activities.</li> </ul>
<b>Gender reassignment</b>	No gender reassignment specific negative impact.
<b>Marriage and civil partnership</b>	Our potential savings options proposal which would see the WDS fire engine at our Lincoln South fire station change from the Shift duty system to the Lincolnshire Crewing duty system, would leave no alternative duty system for our wholtime firefighters. This may have a negative impact on some firefighters as, for those not living within the prescribed distance from the fire station, the changes may reduce available time with partners and family members. It is permitted for partners and family members to visit and spend time with crews at the provided accommodation, this may reduce the impact although it is acknowledged that there may be issues around practicality for some. It is also acknowledged that this may place some strain on marital/civil partner relationships.
<b>Pregnancy and maternity</b>	No pregnancy and maternity specific negative impact.
<b>Race</b>	No race specific negative impact.



<b>Religion or belief</b>	No religion or belief specific negative impact.
<b>Sex</b>	<ul style="list-style-type: none"> <li>• Our potential savings options proposal which would see the WDS fire engine at our Lincoln South fire station change from the Shift duty system to the Lincolnshire Crewing duty system, would leave no alternative duty system for our wholetime firefighters. This may have a negative impact on recruitment of a diverse workforce as it may be unfriendly toward women with or planning to have families.</li> </ul>
<b>Sexual orientation</b>	No sexual orientation specific negative impact.

**If you have identified negative impacts for other groups not specifically covered by the protected characteristics under the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.**

- Our potential savings options proposal which would see the WDS fire engine at our Lincoln South fire station change from the Shift duty system to the Lincolnshire Crewing duty system, would leave no alternative duty system for our wholetime firefighters. This may have a negative impact on some firefighters regardless of protected characteristics due to the requirement to live locally whilst on duty, given the location of Lincoln South fire station and the requirement to live within a specified distance from the fire station whilst on duty a negative impact may exist if no suitable housing is available within the specified area. To offset this impact we will plan to provide suitable and good quality accommodation for firefighters to utilise whilst on duty, which will allow them to continue to live in a location of their choice whilst off duty.
- Our potential savings options proposal would increase our response times to incidents from Lincoln South fire station between 1830 - 0730 hours by around 2 minutes. Any increased risk will be offset through our fire prevention activities which are focused on the most vulnerable people.
- Our proposal to permanently relocate an aerial ladder platform to Boston may increase response times in the Skegness area during the summer months. Any increased risk will be offset through our fire prevention activities which are focused on the most vulnerable people in their homes and our fire protection activities which focus on safety of occupants in sleeping risk premises such as hospitals, hotels, boarding houses and residential care.
- Our proposal to continue with and further develop the Joint Ambulance Conveyance Project could have a negative impact on the response times of some of our fire engines if there is insufficient fire crew available to crew both fire engine and ambulance, evidence suggests that this occurs on few occasions. Any additional risk will be offset through our fire prevention and fire protection activities.

### Stakeholders

Stake holders are people or groups who may be directly affected (primary stakeholders) and indirectly affected (secondary stakeholders)

You must evidence here who you involved in gathering your evidence about benefits, adverse impacts and practical steps to mitigate or avoid any adverse consequences. You must be confident that any engagement was meaningful. The Community engagement team can help you to do this and you can contact them at [consultation@lincolnshire.gov.uk](mailto:consultation@lincolnshire.gov.uk)

State clearly what (if any) consultation or engagement activity took place by stating who you involved when compiling this EIA under the protected characteristics. Include organisations you invited and organisations who attended, the date(s) they were involved and method of involvement i.e. Equality Impact Analysis workshop/email/telephone conversation/meeting/consultation. State clearly the objectives of the EIA consultation and findings from the EIA consultation under each of the protected characteristics. If you have not covered any of the protected characteristics please state the reasons why they were not consulted/engaged.

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### Objective(s) of the EIA consultation/engagement activity

22/10/15 Meeting with Serco Organisation Development Adviser to ensure appropriate knowledge and skills to complete a suitable and sufficient EIA  
18/2/16 CFO & DCFO consulted  
18/2/16 LCC Community Engagement team consulted  
19/2/16 Area Managers consulted  
29/4/16 Discussion with Station 20 White Watch  
3/4/16 Discussion with Station 20 Red Watch

**Who was involved in the EIA consultation/engagement activity? Detail any findings identified by the protected characteristic**

<b>Age</b>	Station 20 White/Red Watch – some potential effects on firefighters children
<b>Disability</b>	Not Involved
<b>Gender reassignment</b>	Not Involved
<b>Marriage and civil partnership</b>	Station 20 White/Red Watch – a number of potential effects on the families of those married or in civil partnerships
<b>Pregnancy and maternity</b>	Mary Bronwen Baxter
<b>Race</b>	Not Involved
<b>Religion or belief</b>	Not Involved

<b>Sex</b>	Area Manager Debbie Yeates, Area Manager Jo Beresford-Robinson, Mary Bronwen Baxter Station 20 White/Red Watch – potential effect on diversity of workforce due to implications on lifestyle.
<b>Sexual orientation</b>	Not Involved
<b>Are you confident that everyone who should have been involved in producing this version of the Equality Impact Analysis has been involved in a meaningful way?</b> The purpose is to make sure you have got the perspective of all the protected characteristics.	Yes
<b>Once the changes have been implemented how will you undertake evaluation of the benefits and how effective the actions to reduce adverse impacts have been?</b>	We are actively consulting on the proposed changes and will note any feedback received which could impact on this EIA. If we need to obtain better perspective from any of the protected characteristics we will engage further with them prior to any implementation.

### Further Details

<b>Are you handling personal data?</b>	<p>No</p> <p>If yes, please give details.</p>
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<b>Actions required</b>	<b>Action</b>	<b>Lead officer</b>	<b>Timescale</b>
Include any actions identified in this analysis for on-going monitoring of impacts.	Review comments received during and once the consultation has ended	John Cook	1 March 2016 – 16 May 2016
<b>Signed off by</b>	John Cook Assistant Chief Fire Officer Lincolnshire Fire & Rescue	<b>Date</b>	03/05/2016

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# Agenda Item 6

**Executive**

**Open Report on behalf of Pete Moore, Executive Director  
for Finance and Public Protection**

Report to:	<b>Executive</b>
Date:	<b>6 September 2016</b>
Subject:	<b>Review of Financial Performance 2015/16</b>
Decision Reference:	<b>I010797</b>
Key decision?	<b>Yes</b>

**Summary:**

This report:

- describes the Council's financial performance in 2015/16;
- identifies and explains variances from the Council's revenue and capital budgets;
- makes proposals on the carry forward of over and under spendings into the current financial year; and
- reports Prudential and Financial Performance Indicators for 2015/16.

**Recommendation(s):**

The Executive is recommended to:

- (1) recommend to full Council that the Information and Commissioning underspend up to 1.0% is not carried forward as part of the Information and Commissioning budgets but is added to the underspends above 1.0% for the purposes of recommendation 2 below;
- (2) recommends to full Council that the proposals in paragraph 1.77 of the Report relating to the treatment of underspends in excess of 1.0% be approved, subject to the final figures being confirmed pursuant to paragraph 5 below;
- (3) note the transfers to and from reserves carried out in 2015/16 as set out in **Table D**;
- (4) note financial performance in 2015/16 including the Prudential Indicators; and

- (5) Request the Leader, to review and confirm the amount of the schools and Council Outturn to the County Council and the amount recommended to be transferred to the Financial Volatility Reserve pursuant to paragraph 1.77, as appropriate, in light of the final outturn position on Schools budgets and expenditure if finalised between the Executive meeting and the County Council on 16 September.

**Alternatives Considered:**

This report describes the actual position for the 2015/16 financial year and is factual in content and follows current Council policy. No alternatives are being considered in relation to this aspect.

In relation to the treatment of the Information and Commissioning underspend up to 1.0% this could be carried forward as part of the Information and Commissioning budgets in the normal way. However, in the judgment of the service the amounts involved are not required and this enables them to be used to manage the wider financial challenges facing the Council by supplementing reserves.

In relation to the treatment of overspends and underspends above 1.0% as set out in paragraph 1.77, there are a number of different ways these could be used. The proposed mix of funding service expenditure and transfers to reserves is considered to be the most prudent and appropriate approach for the Council.

**Reasons for Recommendation:**

Financial governance requires that the Executive reviews the financial performance of each year. This report facilitates this.

The treatment of underspends and overspends are considered appropriate and prudent for managing the financial challenges facing the Council.

**1. Background**

1.1 The County Council set its spending plans for 2015/16 against a backdrop continued uncertainty in local government funding brought about by a general election in May 2015 and the promise of a new Comprehensive Spending Review which would affect local government funding to the end of the decade. In developing the financial plan for 2015/16, the Council has undertaken a fundamental review of priorities and related budgets to identify how to close the gap between current spending levels and the amount of funding available to local government going forward. The Council plan was a mixed approach to match spending to current levels of government funding. This included delivering savings identified through the fundamental budget review plus the one off use of reserves and a 1.90% increase in Council Tax.



## Revenue spending

1.2 The Council spent £941.360m in 2015/16 on providing public services – £1,283.91 for every person in Lincolnshire.

1.3 The Council has had to deal with a number of unavoidable cost pressures, amounting to £30.580m in budgetary terms. These include: increasing population (in particular, the impact on the Council's adult care budgets of increasing numbers of older people) and general inflationary pressures. Some of these were accommodated within existing budgets but some external pressures have added to the Council's costs and required additional savings to be delivered. These cost pressures in 2015/16 were balanced against a savings target of £30.733m; made up of savings including: improved contract arrangements and additional income for Adult Care responsibilities through the Better Care Fund (BCF).

1.4 In addition to saving targets, when the Council set its budget for 2015/16 the financial strategy included the use of £22.171m from reserves to bridge the gap between funding and expenditure levels (£21.871m from the Council's Financial Volatility Reserve and £0.300m released from the General Fund balance). Use of reserves only offers a one off contribution towards the budget shortfall, but, it is expected that the reduction in funding levels will be permanent. The Council continues to explore further opportunities to bridge the gap between the funding values to the Council and levels of expenditure.

1.5 The general level of expenditure in 2015/16 indicates that during the year the Council has been able to secure the cash efficiency savings required in the budget and deliver an underspend against the budget.

## Revenue Income

1.6 Revenue spending, excluding the use of reserves, was funded by:

• Revenue Support Grant	£94.7m	10.3%
• Business Rates	£103.7m	11.3%
• Dedicated Schools Grant	£248.8m	27.1%
• Other grants and contributions	£169.5m	18.5%
• Local council tax payers	£237.6m	25.9%
• Charges and other income	£63.2m	6.9%

1.7 The Council's main sources of general funding come from Revenue Support Grant (RSG) and Business Rates (part of which is retained from business rates collected in Lincolnshire and part from central government as a 'top up' to the element collected locally). Funding from RSG received in 2015/16, on a like for like basis showed a reduction of £32.661m or 25.65% from the grant received in 2014/15. Business Rates showed a small growth of £1.600m or 1.57%.

1.8 In addition to RSG the Council also receives specific government grants. The most significant of these was £248.8m of Dedicated Schools Grant which is used for funding education in Lincolnshire.

1.9 In 2015/16 the Council increased Council Tax by 1.90% and also saw growth of 1.85% on the number of band D equivalent properties in Lincolnshire which generated an additional £6.945m. The Council Tax element of the collection funds in Lincolnshire also generated a further £4.254m for the County Council.

### Capital spending and funding

1.10 The Council spent £107.105m on the county's assets, in particular on:

- Maintenance of roads, bridges, safety fencing, street lighting, signs and lines, and traffic signals;
- Integrated Transport Schemes across the Council including: minor capital improvements, rights of way, road safety, public transport and town/village enhancements;
- Construction of two new road schemes, one in Lincoln and another in Grantham;
- The Broadband Programme which is installing high speed internet infrastructure in communities and businesses, particularly in rural areas; and
- Programme of modernisation to meet the statutory responsibility for provision of educational places and a programme to improve the condition of school buildings.

1.11 This investment was funded through:

• Government Grants and other external contributions	£78.3m	72.8%
• Borrowing	£20.7m	19.7%
• Capital Receipts	£2.8m	2.6%
• Revenue Funding and Use of Earmarked Reserves	£5.3m	4.9%

1.12 The Council used grants from central government to fund: maintenance work on roads; modernisation and improvement of condition of school buildings; and provision of education places.

1.13 The Council sets itself a limit on its total borrowing to ensure that it remains prudent and affordable. The Council's target is to ensure that annual minimum revenue provision (MRP) plus interest are no more than 10.0% of the Council's annual income. The figure for 2015/16 was 5.75%. MRP is the amount required to be set aside as a provision for debt repayment, and in accordance with Regulation, this amount should be prudent to ensure debt is repaid over a period reasonably commensurate with the period over which the capital expenditure funded by borrowing provides benefits. The Council's current policy is to apply the average life method to calculate the MRP and use the MRP in full to repay debt annually.

## The Council's financial standing

1.14 The Council's revenue budget remains under pressure from reduced funding and service cost pressures. For 2015/16 and again in 2016/17 the Council has only set a one year budget, rather than the normal three year plans. This was due to the uncertainty associated with local government funding in the medium to long term and the continuation of growing costs pressures.

1.15 In developing the financial plan for 2016/17, the Council has considered all areas of current spending, levels of income and council tax plus use of one off funding to set a balanced budget. The Council plans to use a mixed approach, funding unavoidable cost pressures and reducing service spending where savings were identified. The Council has also set a Council Tax increase in 2016/17 of 3.95%, 1.95% plus a further 2.00% for Adult Care responsibilities (including demographic pressure and the impact of the national living wage) and using £20.965m from reserves (£20.165m from the Financial Volatility Reserve and £0.800m which can be released from the general fund).

1.16 The Council also maintains a general reserve as a contingency against unexpected events or emergencies. The Council sets itself a target, based on a financial risk assessment, of maintaining these reserves within a range of 2.5% to 3.5% of its total budget. The Council's general reserves at 31 March 2016, as proposed in this report, would be £15.600m or 3.5% of the Council's total budget.

1.17 In addition to the general reserve and Financial Volatility Reserve the Council maintains a number of other reserves earmarked for specific purposes (details of these are set out in **TABLE D**).

1.18 The mixed approach to meeting the current financial challenges will ensure the Council can withstand the immediate pressures in local government funding, whilst implementing the arrangements for delivering services at the reduced level of government funding.

Key Financial Performance Measures: Financial Health and Performance

1.19 The County Council has identified a number of key indicators to monitor its Financial Health and Performance. **TABLE A** reports the actual position for 2015/16 on these key indicators.

**TABLE A – Key Financial Performance Measures: Financial Health and Performance**

REF	PERFORMANCE INDICATOR	MEDIUM TERM TARGET	2015/16 Estimate	2015/16 Actual
1	Council tax compared with other counties	In lowest quartile of all English county councils (out of 27 county councils)	Yes	Yes 25th
2	Government grants	Lobby for annual increases in general government grants to be above the county average.	Yes	Yes
3	Capital receipts	At least £15m over four years 2011/12 to 2014/15.	£2.000m	£2.768m
4	Minimum Revenue Provision and Interest	MRP and Interest repayments not to exceed 10% of net income	6.24%	5.75%
5	Accounting	Unqualified external audit opinion.	Yes	Not Yet Available
6	General Reserves	Maintained within the range of 2.5% to 3.5% of the annual budget requirement net of Dedicated Schools Grant	Within range 3.5%	Within range 3.5%
7	Internal control	None of the processes audited receive a low assurance" opinion from internal audit	Yes	Low Assurance opinion given on Financial Control Environment
8	Expenditure - prompt payment	At least 90% of undisputed invoices paid within 30 days	85.00%	87.70%
9	Treasury management	Risk adjusted return comparison	Weighted Benchmark	Weighted Benchmark 0.73%

## Revenue Budget Outturn

1.20 The revenue outturn for 2015/16 is summarised below:

- Total service revenue spending, excluding schools, was under spent by £11.252m or 2.62%.
- Schools were underspent by £18.802m or 7.04% of the schools budget. Please note due to the problems experienced with the new financial system and the impact this has had on the Council's ability to close the financial year 2015/16 the outturn position on school budgets and spend is not complete. This outturn position may change, however, all schools budget under or over spendings are carried forward to be used by schools in future years.
- There was an underspend of £11.925m on other budgets or 17.32%.
- The Council received £2.789m or 0.61% less general funding income than originally budgeted for.
- This give the Council an overall underspend of £39.190m. Subject to confirmation of the final schools outturn position there may be an increase in total costs for the Council, this would reduce the underspend for the year.

1.21 The revenue outturn position for 2015/16 is shown in **TABLE B** (over page).

**TABLE B – Revenue Budget Final Outturn 2015/16**

	Revised Net Revenue Budget	Expenditure	Under or Over Spending	Percentage Under or Over Spent
	£'000	£'000	£'000	%
<b>COMMISSIONING STRATEGIES</b>				
Readiness for School	8,287	<b>7,730</b>	(557)	-6.72%
Learn & Achieve	35,658	<b>35,764</b>	106	0.30%
Readiness for Adult Life	6,452	<b>5,634</b>	(818)	-12.68%
Children are Safe and Healthy	54,072	<b>54,281</b>	209	0.39%
Adult Safeguarding	3,020	<b>3,009</b>	(11)	-0.36%
Adult Frailty & Long Term Conditions	96,272	<b>95,853</b>	(419)	-0.44%
Carers	1,673	<b>1,538</b>	(135)	-8.07%
Adult Specialities	45,837	<b>44,941</b>	(896)	-1.95%
Community Resilience & Assets	13,598	<b>13,941</b>	343	2.52%
Wellbeing	37,072	<b>35,932</b>	(1,140)	-3.08%
Sustaining & Developing Prosperity Through Infrastructure	60,677	<b>57,040</b>	(3,637)	-5.99%
Protecting & Sustaining the Environment	22,465	<b>23,610</b>	1,145	5.10%
Sustaining & Growing Business & the Economy	1,884	<b>1,206</b>	(678)	-35.99%
Protecting The Public	24,980	<b>24,712</b>	(268)	-1.07%
How We Do Our Business	8,455	<b>8,235</b>	(220)	-2.60%
Enablers & Support To Council's Outcomes	39,415	<b>35,139</b>	(4,276)	-10.85%
Public Health Grant Income	(30,723)	<b>(30,723)</b>	0	0.00%
<b>TOTAL COMMISSIONING STRATEGIES</b>	<b>429,094</b>	<b>417,842</b>	<b>(11,252)</b>	<b>-2.62%</b>
<b>OTHER BUDGETS</b>				
Capital Financing Charges	52,589	<b>44,441</b>	(8,148)	-15.49%
Contingency	3,038	<b>0</b>	(3,038)	-100.00%
Other Budgets	13,241	<b>12,502</b>	(739)	-5.58%
<b>TOTAL OTHER BUDGETS</b>	<b>68,868</b>	<b>56,943</b>	<b>(11,925)</b>	<b>-17.32%</b>
<b>SCHOOL BUDGETS</b>				
Schools (DSB)	244,101	<b>242,850</b>	(1,251)	-0.51%
Schools Related Expenditure (DSB)	22,857	<b>20,733</b>	(2,124)	-9.29%
Dedicated Schools Grant	(248,801)	<b>(248,801)</b>	0	0.00%
Schools Budgets (Other Funding)	(1)	<b>(15,428)</b>	(15,427)	0.00%
<b>TOTAL SCHOOL BUDGETS</b>	<b>18,156</b>	<b>(646)</b>	<b>(18,802)</b>	<b>-103.56%</b>
<b>TOTAL EXPENDITURE</b>	<b>516,118</b>	<b>474,139</b>	<b>(41,979)</b>	<b>-8.13%</b>
<b>INCOME</b>				
Revenue Support Grant	(94,670)	<b>(94,670)</b>	0	0.00%
Business Rates	(106,057)	<b>(103,711)</b>	2,346	-2.21%
Council Tax	(237,253)	<b>(237,561)</b>	(308)	0.13%
Other Non Specific Grants	(17,646)	<b>(16,895)</b>	751	-4.26%
<b>TOTAL INCOME</b>	<b>(455,626)</b>	<b>(452,837)</b>	<b>2,789</b>	<b>-0.61%</b>
<b>USE OF BALANCES</b>				
Use of Balances - Earmarked Reserves	(60,192)	<b>(60,192)</b>	0	0.00%
Use of Balances - General Reserves	(300)	<b>(300)</b>	0	0.00%
<b>TOTAL USE OF RESERVES</b>	<b>(60,492)</b>	<b>(60,492)</b>	<b>0</b>	<b>0.00%</b>
<b>TOTAL</b>	<b>0</b>	<b>(39,190)</b>	<b>(39,190)</b>	



**Children's Services** – (£1.060m under budget)

1.22 Over the four commissioning strategies, Children's Services underspent by £1.060m (or 1.1%).

**Readiness for School** - (£0.557m under budget)

1.23 Readiness for School commissioning strategy underspent by £0.557m (6.72%). This is due to a number of commissioned services being de-commissioned earlier than originally planned (£0.274m), children's centre running cost underspends, including staffing costs, following the recent locality restructuring and non-staffing costs (£0.262m).

**Learn and Achieve** – (£0.106m over budget)

1.24 Learn and Achieve commissioning strategy overspent by £0.106m (0.30%). The main areas of variance relate to: the Children with Disability Section 17 which overspent (£0.301m), offset by there being one less transport day for Home to School/College Transport in 2015/16 (£0.123m) and receipt of an additional Music Services grant midyear (£0.221m).

**Readiness for Adult Life** – (£0.818m under budget)

1.25 Readiness for Adult Life commissioning strategy underspent by £0.818m (12.68%). This includes underspends on the following areas: the early adoption of the Careers Service (£0.319m) restructuring and saving on the Customer Services Centre contract being brought back in-house; Positive Activities for Young People (£0.314m) following the early restructuring of localities and the move to encourage communities to run youth centres; Youth Housing Contracts (£0.245m), and additional income generated by the Lincolnshire Secure Unit (£0.158m). There has, however, been a pressure on the Leaving Care Service regarding the accommodation costs for young people with complex and high needs leading to an overspend on this area (£0.262m).

**Children are Safe and Healthy** – (£0.209m over budget)

1.26 Children are Safe and Healthy commissioning strategy overspent by £0.209m (0.39%). There continues to be growing pressures within children's social care as a result of the increase in the number of Looked After Children and Children in Need. The most significant pressures have been on out of county residential placements, and accommodation and support costs for Looked After Children aged 16-18 (£1.251m), and remand costs (£0.221m). These pressures have been mitigated this year by a one-off funding from the Legal Shared Service (£0.309m) plus a permanent savings achieved through the Family Support Contract insourcing and the restructuring arising from it. Such savings contribute towards those identified for 2016/17.

**Adult Care** – (£1.461m under budget)

1.27 The Adult Care outturn is £145.341m, an underspend of £1.460m against a budget of £146.802m. This is as a result of higher than anticipated death rates and a reduction in Domiciliary Care placements due to implementation of the new Prime Provider contract for home based care services. This was partially offset by an increase in short term care residential placement activity and lower than anticipated income receipts. However this is set against an environment of increasing placement costs in all services following the introduction of the National Living Wage (NLW) and additional legislative burdens placed on providers in respect of pension obligations.

1.28 The service produced savings of £3.138m in 2015/16 from a number of successful projects including:

- Staff savings as a result of the recent senior management review;
- Maximising income recovery; and
- Review and renegotiation of provider contracts.

**Adult Safeguarding** – (£0.011m under budget)

1.29 The Safeguarding Adults commissioning strategy aims to protect an adult's right to live in safety, free from abuse and neglect. The service works both with people and organisations to prevent and stop both the risks and experience of abuse and neglect ensuring that adult's wellbeing is being promoted.

1.30 This area also encompasses the Deprivation of Liberty Safeguards (DOLS). This has seen a significant increase in activity as a result of the 'Cheshire West' legal judgement in March 2015.

1.31 The service had a small underspend £0.011m against a budget in 2015/16 of £3.020m.

**Adult Frailty, Long Term Conditions and Physical Disability** – (£0.419m under budget)

1.32 The Adult Frailty and Long Term Conditions commissioning strategy brings together Older People, Physical Disability and Adult Care Infrastructure and aims to ensure that eligible individuals receive appropriate care and support that enables them to feel safe and live independently.

1.33 The final outturn for Adult Frailties was £95.853m, an underspend of £0.419m on a budget of £96.272m.

1.34 Changes have recently been made to homecare contracts with the implementation of a new "Prime" provider contract. A consequence of the change to "Prime" providers was the significant increase in the number of service users choosing to take their care in the form of a Direct Payment as they sought to keep services that were delivered by outgoing providers. The resulting boost saw Direct Payments as a proportion of total long term packages increase.

1.35 The service also saw a change in Reablement provider, reducing costs, and increases in the number of direct payment audits completed along with a subsequent increase in direct payment refunds.

**Carers – (£0.135m under budget)**

1.36 The Carers commissioning strategy aims to prevent or delay ongoing care needs by supporting adult carers so they are able to sustain their caring role, reducing the need for costly services in primary and acute care, and long term social care.

1.37 The service ended 2015/16 with an underspend of £0.135m against a budget of £1.673m.

1.38 Throughout the year there was a lower than anticipated take up of Carer's Personal Budget in 2015/16. It is thought that this is due to changes in the eligibility criteria set out in the Care Act 2014, however it is anticipated that take up will increase in 2016/17.

**Adult Specialities – (£0.896m under budget)**

1.39 This commissioning strategy aims to ensure that eligible Adults with Learning Disability, Autism and/or Mental Health needs receive appropriate care and support that enables them to feel safe and live independently. Services for Learning Disabilities are administered via a Section 75 agreement between the Council and NHS commissioners in Lincolnshire in addition to a small in-house element that sits outside the Section 75. The Mental Health service is run on behalf of the Council by the Lincolnshire Partnership Foundation Trust, also by way of a Section 75 agreement.

1.40 Specialist Adult Services finished 2015/16 with an under-spend of £0.896m against a budget of £45.837m.

1.41 The service has seen growth in Supported Living and Direct Payments costs. This being a combination of high cost discharges from in-patient provision and school/college leavers requiring packages of care. This has been mitigated somewhat by in year residential placements being lower than expected this year and service user income has increased due to direct payment audit income and the successful conclusion a number of long standing legal disputes in respect out of county placements by other Local Authorities within the County. The Mental Health service delivered a balanced budget.

**Community Resilience and Assets – (£0.343m over budget)**

1.42 This commissioning strategy has overspent by £0.343m in 2015/16. The main elements of this include: an overspend on Chance to Share Sports Centre costs due to timing of charges received (£0.325m); and an overspend on the Customer Service Centre due to increased volume of activity and timing of savings requirements from channel shift (£0.549m). This was offset by an underspending

on the Library Service as the Council moves to the new model of service delivery (£0.320m).

**Wellbeing – (£1.140m under budget)**

1.43 This commissioning strategy has underspent by £1.141m in 2015/16. The main element of this relates to the redesign and procurement of the Wellbeing and Housing Related Support activities planned savings being brought forward. There was an overspending on the Coroners services (£0.255m) which has been partly offset by additional income from the Registration and Celebratory Services (£0.123m).

1.44 In addition there is an underspend on activities funded from the Public Health ring-fenced grant (£1.459m). The underspend from the grant is required to be added to an earmarked reserve, to be used in accordance with the grant conditions at a future time. This underspend relates to Health Improvement Contracts which are activity based, the re-procurement of the smoking cessation contract (and related prescribing costs) and staff vacancies being held to assist with the delivery of future budget and grant reductions. There has been an increase in the costs of demand led out of county sexual health services and prescribing costs which has offset an element of this underspend.

**Sustaining and Developing Prosperity Through Infrastructure - (£3.637m under budget)**

1.45 This commissioning strategy has underspent by £3.637m in 2015/16. Much of this variance is attributable to the high level of staff vacancies the Environment and Economy Service which have been maintained to assist with meeting budget reductions in 2016/17 and beyond, and the subsequent impact of service delivery. The difficulty with accessing reliable financial information during the year, had also caused managers to be cautious when committing expenditure as has the knowledge that there were anticipated overspends elsewhere in the service that needed to be met (i.e. waste disposal).

1.46 There has also been underspends on:

- The Heritage Service (£0.809m) relating to additional income generated from the success of the Castle Revealed events over the summer of 2015;
- Spending on transportation has also been cautious during the year, which has led to an underspend of £0.838m; and
- The winter maintenance budget due to the mild winter (£0.751m).

**Protecting and Sustaining the Environment – (£1.145m over budget)**

1.47 The overspend on this commissioning strategy in 2015/16 (£1.145m) relates to waste management and waste disposal and unavoidable increases in prices and volumes relating to these activities.

### **Sustaining and Growing Business and the Economy – (£0.678m under budget)**

1.48 This commissioning strategy has underspent by £0.678m in 2015/16, this is attributable to income being generated additional to the budgeted expectations on the Council's business centres and cautious management of expenditure on lobbying, support to businesses and tourism.

### **Protecting the Public – (£0.268m under budget)**

1.49 This commissioning strategy has underspent by £0.268m in 2015/16. This relates mainly to an underspend in the Fire and Rescue Service due to less than anticipated activity for retained firefighters (£0.160m) and an underspend on Emergency Planning activity costs (£0.048m).

### **How We Do Our Business – (£0.220m under budget)**

1.50 The How We Do Our Business strategy provides the corporate governance, risk and standards framework and the democratic machinery for the whole Council. The budget and policy strategies/frameworks and the Council's constitution provide the context for this and the way that the Council works. It also encompasses the corporate, statutory roles of the Head of Paid Service, Monitoring Officer and the Section 151 Officer as part of the framework.

1.51 The service budgets are:

- Budget and Policy Framework (Finance and Audit);
- Precept – Eastern Inshore Fisheries and Conservation Authority;
- Corporate Standards (including Chief Executive's Office); and
- Decision-making, including the Democratic Process (including Members Allowances).

1.52 Budget and Policy Framework – Finance and Audit underspent by £0.077m. There are a number of over and under spendings which make up the final position. These include: additional costs of £0.283m were incurred by the Finance team due to problems experienced with the implementation of the new financial system, Agresso. These costs were offset by underspends: on the finance element of the Support Service Contract (£0.192m); vacancies and delays in recruitment within the Audit function (£0.085m); a delay in the replacement of Audit Software (£0.040m) and a reduction in the external audit fee (£0.028m).

1.53 There are a number of other small underspendings within How We Do Our Business. These are due to: staff vacancies, the Chairman's Fund and tight management of spending on supplies and services.

## **Enablers and Support to Council Outcomes – (£4.276m under budget)**

1.54 The Enablers and Support to the Council's Outcomes cover the budgets and activities that support the Council both as a corporate organisation and facilitate the work to achieve the Council's main commissioning outcomes. The service budgets are: ICT Strategy and Support, Property Strategy and Support (including County Farms), People Strategy and Support, Legal Services, Commissioning, Business Support and Strategic Communication.

- The Commissioning Service budget underspent by £1.381m. This is largely due to service credits applied for underperformance on the Support Service Contract (£1.205m). Further underspends relates to staffing vacancies within the Commissioning Team (£0.176m).
- Property Strategy and Support underspent by £1.376m. The main variances are due to:
  - The Council vacating buildings early during 2015/16, where a full year of rent was originally budgeted for these properties (£0.494m);
  - Additional rental income being received above the original budget (£0.415m); and
  - An underspend on the Property Services contract of £0.576m (including Estates Management, Energy and Records Management). The contract price is based on a target cost for staffing, however there were a number of vacancies held by the contractor which reduced the cost of the contract during 2015/16.
- Business Support underspent by £0.604m. This is due to additional savings being achieved over and above those originally required in 2015/16. This has been achieved through vacancy management and reallocating work to make better use of existing resources. These additional savings are from the services base budget and will help the service deliver savings targets set for future financial periods.
- The underspend of £0.538m is due to Legal Services achieving a surplus on income within the year.
- People Strategy and Support budgets underspent by £0.230m (5.61%). The main areas of underspend include: Occupational Health (£0.078m) where the budget for additional activity for physiotherapy has not been required this year; the Disclosure and Barring Service (£0.077m) and the Corporate Leadership and Management Development Programme (£0.072m).

## **Schools – (£18.802m under budget)**

1.55 Under government regulations, schools carry forward automatically their under and over spendings to the next financial year. Due to the problems experienced with the new financial system and the impact this has had on the Council's ability to close the financial year 2015/16 the outturn position on school budgets and spend is not complete. This outturn position may change, however,



all schools budget under or over spendings are carried forward to be used by schools in future years.

**Other Budgets – (£11.925m under budget)**

1.56 The Council's capital financing charges were £8.107m under budget. There has been slippage of the capital programme during 2015/16 which reduced the need to borrow. This has had an effect on the interest payable on borrowing and the amount required to be set aside to finance borrowing costs in the future, both being lower than budgeted. Savings were also made due to the Council using a mix of external borrowing and utilising internal balances to finance the capital programme. Slippage in both capital and revenue budget underspends has also led to excess balances being available for investment over 2015/16, and so interest generated from investments was also in excess of budget by £0.032m.

1.57 The Council has a contingency budget, set aside for emerging pressures which may arise during the financial year. At the year-end £3.038m remained, and was not required in 2015/16.

1.58 Other budgets were under budget by £0.739m. This comprises a number of under and over spends, the most significant being:

- Council Tax Support Schemes underspent by £0.200m. At the beginning of 2015/16 the County Council set aside £0.200m in case any of the Lincolnshire District's required additional funding for the administration of their new Council Tax Schemes. There was no call on this funding during 2015/16.
- The Council received an additional £0.432m grant in 2015/16. This was utilised at year end.
- The Council's insurance budget showed a surplus of £0.175m. The insurance fund is designed to enable the Council to 'self-insure' its insurable risks over the long term. The operating surplus this year has arisen mainly due to a reduction in claims payments and very few risk management bids, plus the contract re-tender has delivered significant savings for 2015/16.

**Council's General Funding – (£2.789m less than the income budget)**

1.59 The Council's general funding was £2.789m less than the revenue budget approved at full Council in February 2015. The most significant reasons for this reduction in funding are as follows:

- New Homes Bonus Returned Funding - £0.329m (more than was budgeted for). At the time of budget setting, the Council had not been notified that we would be receiving this funding in 2015/16. This is funding that was originally allocated from the Local Government Finance Settlement to fund

New Homes Bonus with a commitment from the Government that any unused funding would be returned to local authorities.

- Council Tax - £0.307m (more than was budgeted for). For 2015/16 City of Lincoln Council only included the distribution of the estimated surplus for 2014/15 and did not include the distribution of an accumulated surplus from previous years resulting in additional £0.307m due to us.
- Section 31 Grant for Business Rates - £0.112m (less than was budgeted for). The income we have received is £0.013m more than originally anticipated. However the Council had to refund £0.124m back to DCLG for the Retention Grant reconciliation for 2014/15.
- Business Rates - £0.647m (less than was budgeted for). City of Lincoln Council originally declared a surplus of £0.464m on the business rate element of the collection fund which was later revised to a deficit of £0.183m.
- Education Services Grant - £1.094m (less than was budgeted for). Due to a reduction in the funding rate allocated per pupil, we have received less income than originally anticipated. The grant is adjusted throughout the financial year as schools convert to Academies.
- Business Rates Pooling - £1.585m (less than was budgeted for). Income relating to business rates pooling in 2014/15 was £0.573m less than originally anticipated. The figure received for 2015/16 is £1.012m less than budgeted. Also for 2016/17 we are expecting to receive £0.104m which is a significant reduction from previous years.

## Capital Programme Outturn

1.60 The capital outturn for 2015/16 is summarised below:

- Net capital expenditure was £42.701m; and
- There was an under spending of £52.042m or 54.9%.

1.61 The capital budget outturn is shown in **TABLE C** over page. The reasons for significant capital budget over or underspendings are explained in the following paragraphs.

**Table C – Net Capital Outturn 2015/16**

Capital Programme	Net Expenditure			
	Revised budget £	Actuals £	Variance £	Variance %
Other Readiness for School	585	440	(145)	-24.8%
<b>Readiness for School</b>	<b>585</b>	<b>440</b>	<b>(145)</b>	<b>-24.8%</b>
Devolved Capital	1,264	1,264	0	0.0%
Provision of School Places (Basic Need)	8,496	8,496	0	0.0%
School Condition / Maintenance Capital	1,217	1,217	0	0.0%
Other Academies	1,376	94	(1,282)	-93.2%
Other Learn & Achieve	1,527	174	(1,353)	-88.6%
<b>Learn &amp; Achieve</b>	<b>13,880</b>	<b>11,245</b>	<b>(2,635)</b>	<b>-19.0%</b>
Other Readiness for Adult Life	(4)	30	34	-850.0%
<b>Readiness for Adult Life</b>	<b>(4)</b>	<b>30</b>	<b>34</b>	<b>-850.0%</b>
Universal Infant Free School Meals Capital	2,157	2,157	0	0.0%
Other Children are Safe & Healthy	605	217	(388)	-64.1%
<b>Children are Safe &amp; Healthy</b>	<b>2,762</b>	<b>2,374</b>	<b>(388)</b>	<b>-14.0%</b>
<b>Childrens Services - Commissioning</b>	<b>17,223</b>	<b>14,089</b>	<b>(3,134)</b>	<b>-18.2%</b>
Adult Care	471	263	(208)	-44.2%
Better Care Fund - Disabled Facility Grants	0	0	0	0.0%
<b>Adult Frailty &amp; Long Term Conditions</b>	<b>471</b>	<b>263</b>	<b>(208)</b>	<b>-44.2%</b>
<b>Adult Care - Commissioning</b>	<b>471</b>	<b>263</b>	<b>(208)</b>	<b>-44.2%</b>
Libraries	1,095	261	(834)	-76.2%
Other Community Wellbeing & Public Health	0	0	0	100.0%
<b>Community Wellbeing &amp; Public Health - Commissioning</b>	<b>1,095</b>	<b>261</b>	<b>(834)</b>	<b>-76.2%</b>
Highways Asset Protection	2,117	1,660	(457)	-21.6%
Integrated Transport	3,923	(395)	(4,318)	-110.1%
Lincoln Eastern Bypass	2,000	320	(1,680)	-84.0%
Lincoln East-West Link	10,375	2,182	(8,193)	-79.0%
Grantham Southern Relief Road	137	2	(135)	-98.5%
Street Lighting Transformation	400	445	45	11.3%
A16/A1073 Spalding to Eye Road Improvement	191	350	159	83.2%
Grantham Growth Point	2,264	0	(2,264)	-100.0%
Lincolnshire Waterways	993	297	(696)	-70.1%
Skegness Countryside Business Park	1,073	371	(702)	-65.4%
Historic Lincoln	(1,143)	464	1,607	-140.6%
Other Sustaining & Developing Prosperity	143	582	439	307.0%
<b>Sustaining &amp; Developing Prosperity Through Infrastructure</b>	<b>22,473</b>	<b>6,278</b>	<b>(16,195)</b>	<b>-72.1%</b>
Flood Defence	6,000	3,800	(2,200)	-36.7%
Energy from Waste	113	1	(112)	-99.1%
Other Protecting & Sustaining the Environment	4,490	1,829	(2,661)	-59.3%
<b>Protecting &amp; Sustaining the Environment</b>	<b>10,603</b>	<b>5,630</b>	<b>(4,973)</b>	<b>-46.9%</b>
Other Sustaining and Growing Business & the Economy	245	21	(224)	-91.4%
<b>Sustaining &amp; Growing Business &amp; the Economy</b>	<b>245</b>	<b>21</b>	<b>(224)</b>	<b>-91.4%</b>
<b>Environment &amp; Economy - Commissioning</b>	<b>33,321</b>	<b>11,929</b>	<b>(21,392)</b>	<b>-64.2%</b>
Protecting The Public Thrh Trading Stds	23	23	0	0.0%
Youth Offending	3	0	(3)	-100.0%
Fire & Rescue and Emergency Planning	3,043	1,798	(1,245)	-40.9%
Fire Fleet Vehicles and Associated Equipment	1,183	955	(228)	-19.3%
<b>Protecting The Public</b>	<b>4,252</b>	<b>2,776</b>	<b>(1,476)</b>	<b>-34.7%</b>
Broadband	13,409	3,714	(9,695)	-72.3%
Infrastructure and Refresh Programme	2,601	349	(2,252)	-86.6%
Replacement ERP Finance System	2,964	737	(2,227)	-75.1%
Care Management System (CMPP)	1,866	1,705	(161)	-8.6%
IMP Development	38	19	(19)	-50.0%
ICT Development Fund	2,690	0	(2,690)	-100.0%
Property	7,172	5,156	(2,016)	-28.1%
Property Rationalisation Programme	5,991	1,703	(4,288)	-71.6%
<b>Enablers &amp; Support To Council's Outcomes</b>	<b>36,731</b>	<b>13,383</b>	<b>(23,348)</b>	<b>-63.6%</b>
<b>Finance &amp; Public Protection - Commissioning</b>	<b>40,983</b>	<b>16,159</b>	<b>(24,824)</b>	<b>-60.6%</b>
New Developments Capital Contingency Fund	1,650	0	(1,650)	-100.0%
<b>Other Capital Programmes</b>	<b>1,650</b>	<b>0</b>	<b>(1,650)</b>	<b>-100.0%</b>
<b>Other Programmes</b>	<b>1,650</b>	<b>0</b>	<b>(1,650)</b>	<b>-100.0%</b>
<b>Total Capital Programme 2015/2016</b>	<b>94,743</b>	<b>42,701</b>	<b>(52,042)</b>	<b>-54.9%</b>

1.62 The capital programme comprises a series of schemes/projects which often span a number of years. Hence over/underspends cannot be related to time periods such as this financial year. Where a scheme/project is known to be exhibiting a material variance to its spending profile this will be described in the narrative associated with that Commissioning area.

**Children's Services – (£3.134m under budget)**

1.63 The net underspend of Children's capital is due to the slippage of some costs, such as the final payments on the major rebuilding programme at Grantham Ruskin Academy, and the prudential use of government grants for major programmes prior to spending LCC net capital. All of the capital underspend is earmarked for significant major investment in the education estate over the next three years.

**Adult Care – (£0.208m under budget)**

1.64 Adult Care spent a total of £0.263m against a net budget of £0.471m. Expenditure included ongoing pre-development costs for the Council's Extra Care Housing Scheme and additional investment in Lincolnshire Telecare services. Telecare has seen continuing growth in the number of people using telecare which is seen as a low-cost preventative service.

**Community Wellbeing and Public Health – (£0.834m under budget)**

1.65 This budget was specifically made available for bids from Community Groups to support the move to the Community Hub service delivery model. Although this budget has underspent by £0.834m in 2015/16, community groups have four years to make requests from this budget.

**Environment and Economy**

Sustaining and Developing Prosperity Through Infrastructure – (£16.195m under budget)

1.66 The capital programme for this commissioning strategy has an underspend of £16.544m in 2015/16. This is mainly due to slippage of major schemes (e.g. Grantham Southern Relief Road and Skegness Countryside Business Park), and the use of external funding to ensure the maximisation of monies available to the authority.

Protecting and Sustaining the Environment – (£4.973m under budget)

1.67 The capital programme for this commissioning strategy has an underspend of £4.973m in 2015/16. This is mainly due to some slippage on the Louth and Horncastle Flood schemes which are now underway and the timing of government grants received.

## **Finance and Public Protection**

### Protecting the Public – (£1.476m under budget)

1.68 The capital programme relating to this commissioning strategy relates to the Fire and Rescue service and has underspent by £1.476m in 2015/17. In the non-fleet programme this relates to delays in the delivery until 2016/17 of the regional control and the new station build at Sleaford and some slippage of station maintenance spend.

### Enablers and Support to Council's Outcomes – (£23.348m under budget)

1.69 The Broadband capital programme underspent by £9.695m. This is due to project efficiencies through more cost effective technology, achieved during the first phase of the project. These underspendings will be reallocated to the second phase of the programme which is now underway.

1.70 Underspendings on other elements of the IMT capital programme include:

- £2.252m on the Infrastructure and Refresh Programme. Infrastructure and End-User Refresh programmes were put on hold due to contractor capacity to deliver enabling projects in 2015/16. It is anticipated that the 2015/16 underspend will be used on refresh during 2016/17;
- £2.690m on the ICT Development Fund. Due to delays in contractor delivery new 'invest to save' initiatives were stalled during 2015/16. Potential spend is now being allocated to schemes to be undertaken in 2016/17; and
- £2.227m on the Replacement ERP Finance System (Agresso). Work to complete the ERP replacement is still required due to issues with the implementation. It is anticipated that these costs will be incurred in future financial years.

1.71 The Property capital programme underspent by £2.016m in 2015/16. This was due to:

- Slippage in the repairs and maintenance programme (£1.484m) due to planning consents, contractor availability and fitting work in around school holidays;
- Slippage of £0.297m on county farms capital schemes, again due to planning consents; and
- £0.235m on asbestos works, due to the reduced number of buildings and schools becoming academies.

1.72 The Property Rationalisation Programme underspent by £4.288m, this is due to slippage in the delivery of the new fire station and office accommodation building in Sleaford.

## **Other Programmes**

### New Developments Capital Contingency Fund – (£1.650m under budget)

1.73 For 2015/16 the Council set aside £15.000m in a New Developments Capital Contingency Fund. During the financial year £13.350m was allocated from this reserve. This has been utilised to fund the following schemes:

- Foster Care Capital Schemes (£0.500m);
- Bourne Waste Recycling Centre (£1.450m);
- Flood and Water Risk Management Schemes (£0.650m);
- Canwick Road Highways Scheme (£1.500m);
- Transforming Street Lighting in Lincolnshire (£6.400m);
- Boston Household Recycling Centre (£1.500m);
- Heritage Lottery – Castle Funding (£1.000m); and
- Fire Mobilising System (£0.350m).

## **Carry forward of over and under spendings**

1.74 The Council's policy as set out in its Financial Strategy is that:

- All under and overspendings on service revenue budgets of up to 1% will be carried forward without exception.
- The use of all underspendings on service budgets in excess of 1% will be considered by the Executive and decided by the full Council.
- The means of funding all overspendings on service budgets in excess of 1% will be considered by the Executive and decided by the full Council.
- All under and overspendings on capital budgets, the dedicated schools budget and shared services will be carried forward.
- All under and overspendings on revenue budgets where the spend is of an uneven nature will be transferred to reserves.

### Transfers to and from reserves

1.75 The Council has a number of reserves earmarked for specific purposes. Transfers are made to or from these earmarked reserves at each year end dependent on actual expenditure and income during the year. It is proposed that the transfers are made in the normal way.

1.76 The carry forward of over and underspendings relating to Executive Directors revenue spending is shown in the table below. This includes:

- Up to 1% carry forward on service budgets. Note Information and Commissioning do not require their 1.0% underspend to be carried forward

into 2016/17. This is subject to recommendation 1. Subject to the decision of the Council, excluding Information and Commissioning, the carry forward of other underspends up to 1.0% is £4.295m. Details of how the 1% carryforwards will be utilised is set out at **APPENDIX A**.

<b>Executive Director</b>	<b>Final Proposal £'000</b>
Executive Director - Children's Services	1,011
Executive Director - Adult Care	1,460
Executive Director - Community Wellbeing and Public Health	282
Executive Director - Environment and Economy	764
Executive Director - Finance and Public Protection	778
Chief Information and Commissioning Officer	-
<b>TOTAL</b>	<b>4,295</b>

- The full carry forward of underspends relating to schools (£18.801m) and shared services (£0.538m). Note the final schools outturn has not yet been confirmed due to ongoing issues with the payroll information from Agresso. The reported underspend here may change in light of this work.
- Transfers to earmarked reserves linked to revenue budgets where spend is of an uneven nature (£0.166m). Made up of:
  - A transfer to or from the Schools Sickness Fund, the value of which will be confirmed with other school balances;
  - A transfer of £0.175m for the underspend on the Insurance Fund; and
  - A transfer of £0.009m from the reserve for an utilisation of the Museum Exhibits Reserve.

1.77 In addition to this other proposed allocations of amounts resulting from overspends and underspends above the 1.0%, supplemented by the Information and Commissioning underspend referred to in paragraph 1.76 above, are:

- A year end transfer of £13.175m into the financial volatility reserves. £20.165m is required for the planned contribution to Council's revenue budgets in 2016/17. The balance of £24.644m will be available to fund future uncertainties in local government funding in 2017/18 and beyond. Note the final schools outturn may result in further costs being incurred by Council. This would reduce that amount of funds available to go into the Financial Volatility Reserve at the end of the financial year;
- Additions to existing reserves for:
  - Civil Parking Enforcement (£0.498m) and Fixed Penalty Notices (£0.052m);



- Flood and Water Risk Management (£0.127m);
  - Local Welfare Provision (£0.015m); and
  - Health and Wellbeing (£0.014m).
- Creation of new reserves for:
    - Waste Management (£1.000m) to meet the cost of anticipated waste volumes and disposal costs in 2016/17;
    - Heritage Service (£0.880m) to contribute towards the cost of service developments to minimise future dependence of Council funding; and
    - Street Lighting (£0.100m) to fund the cost of re-programming street lamps.

1.78 A variety of other transfers to or from other earmarked reserves reflecting actual expenditure and income in 2015/16 are shown in **TABLE D** over the page.

**TABLE D – Transfers to and from reserves**

EARMARKED RESERVES	Balance at	Used in Year	Additional in	Balance at
	31 March			31 March
	2015	£'000	Year	2016
	£'000	£'000	£'000	£'000
Schools Carryforward	-32,141	18,858	-18,937	-32,220
Prime Account Loan Reserve Adjustment	573	0	0	573
<b>Balances held by Schools under a scheme of delegation</b>	<b>-31,568</b>	<b>18,858</b>	<b>-18,937</b>	<b>-31,647</b>
Other Services	-2,167	2,167	-4,295	-4,295
Adverse Weather	-1,000	0	0	-1,000
Insurances	-6,220	0	-175	-6,395
Schools Sickness Insurance Scheme	-788	0	0	-788
Museum Exhibits	-144	9	0	-135
Development - Economic Development Reserve	-443	20	0	-423
Health and Wellbeing	-2,177	1,036	-14	-1,155
Development - Lincs Coastal Country Park	-373	5	0	-368
Legal	-1,967	1,098	-538	-1,407
Procurement	-825	37	0	-788
Salix Carbon Management	-166	38	-120	-248
Safer Communities Development Fund	-833	0	0	-833
Community Safety Development Fund	-473	473	0	0
Co-Responders Services	-150	0	0	-150
Financial Volatility Reserve - Budget Shortfall	-21,871	21,871	-20,165	-20,165
Financial Volatility Reserve	-31,634	20,165	-13,175	-24,644
Teal Park	-50	0	0	-50
Youth Service Positive Activities Development Fund	-107	87	0	-20
Corby Glen/South Lincolnshire Sports Fund	-171	0	0	-171
Youth Offending Service	-363	0	-150	-513
Domestic Homicide Reviews	-100	0	0	-100
Civil Parking Enforcement and Fixed Penalty Notices	-313	0	-551	-864
Support Service Contract Reserve (FDSS)	-2,632	922	0	-1,710
Roads Maintenance Reserve	-2,203	2,115	0	-88
New Salt Dome Willingham	-200	200	0	0
Planning Appeals Reserve	-80	80	0	0
Adoption Reform Reserve	-600	408	0	-192
Community Advisors Reserve	-156	0	0	-156
Local Welfare Provision Reserve	-416	0	-125	-541
Property Management	-250	0	0	-250
Energy from Waste Lifecycles	-1,286	0	-1,286	-2,572
Broadband Project	-135	0	0	-135
Broadband Clawback	-157	0	0	-157
Flood and Water Risk Management	-431	0	-127	-558
Young People in Lincolnshire	-334	0	0	-334
Members Big Society	-8	0	0	-8
Lincoln Eastern Bypass (LEB)	-500	0	0	-500
Unsuitable Transport Routes	-100	0	0	-100
Families Working Together	-611	12	0	-599
Enterprise Schemes	-191	0	0	-191
Asbestos Pressure	-50	0	0	-50
DAAT Pooled Budget	-265	18	0	-247
Waste Management	0	0	-1,000	-1,000
Heritage Services	0	0	-880	-880
Street Lighting	0	0	-100	-100
<b>Earmarked Reserves</b>	<b>-82,940</b>	<b>50,761</b>	<b>-42,701</b>	<b>-74,880</b>
<b>Revenue Grants and Contributions</b>	<b>-55,317</b>	<b>34,427</b>	<b>-21,132</b>	<b>-42,022</b>
<b>TOTAL RESERVES</b>	<b>-169,825</b>	<b>104,046</b>	<b>-82,770</b>	<b>-148,549</b>

## General Reserve

1.79 The Council's policy on general reserves is that they will be maintained within a range of 2.5% to 3.5% of its annual budget requirement. When setting its budget for 2015/16 the Council had planned to reduce the balance in the General Fund by £0.300m. After considering the impact of actual expenditure and income in 2015/16 and the proposals on the carry forward of over and under spendings it is not proposed to make any further additions or reductions to the general fund at the year end. The general reserves at 31 March 2016 are £15.600m or 3.5% of annual budget requirement (**TABLE E**).

**TABLE E – General Reserves**

<b>GENERAL RESERVES</b>	<b>Balance at 31 March 2016 £'000</b>
Balance at 1 April 2015	-15,900
Planned contribution to / use in year	300
Proposed contribution to / use of reserves	0
<b>Balance as at 31 March 2016</b>	<b>-15,600</b>
Balance as a percentage of total budget	3.50%

## Prudential indicators

1.80 The Local Government Act 2003 gave authorities freedoms to borrow what they need to fund their capital programmes. The Act requires Local Authorities to comply with CIPFA's Prudential Code for Capital Finance in Local Authorities. The Code provides a framework to ensure that Local Authorities' capital programmes are affordable, prudent and sustainable and that treasury management decisions are taken to support this.

1.81 In complying with the Code the indicators for 2015/16 were approved by County Council on 20 February 2015 along with the budget and council tax for that year. In accordance with the Code, the Executive Director has been monitoring the actual performance against the targets set and would have reported any issues of concern to members had there been a need to. The County Council should also be informed of the actual position compared with that estimated for any given year after the year end. **APPENDIX B** provides details of this comparison for 2014/15. It shows that Prudential Indicators have not been exceeded during the year and there have been no breach of limits set by the Authority.

## **Equality Act 2010**

1.82 The Executive must be mindful of its obligations under the Equality Act 2010 and the special duties the Council owes to persons who have a protected characteristic as the duty cannot be delegated and must be discharged by the decision maker. The duty is for the Council, in the exercise of its functions, to have due (that is proportionate) regard to the need to:

1. Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
2. Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
3. Foster good relations between persons who share a relevant protected characteristic and persons who do not share it: Equality Act 2010 s 149(1).

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation: s 149(7).

1.83 Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- a. Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
- b. Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it; and
- c. Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

1.84 The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

1.85 Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding.

1.86 Compliance with the duties in this section may involve treating some persons more favourably than others.

1.87 A reference to conduct that is prohibited by or under this Act includes a reference to:

- i. A breach of an equality clause or rule
- ii. A breach of a non-discrimination rule.

1.88 The Executive must also have regard to the Child Poverty Strategy, the Joint Strategic Needs Assessment and the Joint Health and Wellbeing Strategy in reaching a decision.

1.89 These matters have been considered and there is not considered to be any direct impact of the decisions called for by this Report on the Equality Act duty or any of these strategies. The Council set its budget for 2015/16 in February 2015 having had regard to these matters. The treatment of underspends and overspends in this Report do not impact on that budget or any individual decisions in relation to services. Those decisions will continue to have regard to equality act obligations and the various strategies as they are taken. This includes decisions on the use of carried forward underspends.

## **2. Conclusion**

2.1 The report provides details of the council's financial performance for 2015/16. Net revenue spending amounted to £474.785m, excluding Schools Budgets. Net capital spending totalled £42.701m.

2.2 Existing policies allow all over and underspendings on capital, schools budgets and shared services to be automatically carried forward. The carry forwards and transfers to and from earmarked reserves have been proposed in accordance with existing policy. General reserves stand at £15.600m with a further £106.527m in earmarked reserves.

### **2. Legal Comments:**

With regard to recommendation 1, the Council's Financial Regulations state that underspends up to 1% will be carried forward without exception. Full Council approval is therefore required to allow an exception to take place in relation to Information and Commissioning.

With regard to recommendation 2, Council's Financial Regulations provide that the use of all underspending on service budgets in excess of 1% will be considered by the Executive and decided by the full Council. The means of funding all overspendings on service budgets in excess of 1% will be considered by the Executive and decided by the full Council.

With regard to recommendation 4, under Section 3 of the Local Government Act 2003 the Authority must determine and keep under review how much money it can afford to borrow. Reporting on the Prudential Indicators assists the Council in discharging this function.

The recommendations are lawful in accordance with the Constitution and the Policy Framework and within the remit of the Executive.

The Leader has the power to confirm the Outturn amount and the amount recommended for transfer to the Financial Volatility Reserve in accordance with recommendation 5

### **3. Resource Comments:**

The Council has a sound financial base from which to manage the challenges of a difficult medium to longer term outlook for public sector finances.

### **4. Consultation**

#### **a) Has Local Member Been Consulted?**

n/a

#### **b) Has Executive Councillor Been Consulted?**

Yes

#### **c) Scrutiny Comments**

On 28 July 2016, the Overview and Scrutiny Management Committee considered the report on Financial Performance 2015/16.

#### **Overall Conclusions of the Overview and Scrutiny Management Committee**

The Overview and Scrutiny Management Committee agreed to support the four recommendations in the report to the Executive. Councillors P M Dilks and R B Parker requested that their vote against supporting the recommendations was recorded.

The Committee also concluded that it would like to see more information on budget monitoring considered by overview and scrutiny committees during the course of the year, including consideration by the Overview and Scrutiny Management Committee.

The Committee also recorded that it would look forward to improved financial information in the current year to enable underspends to be identified sooner, rather than being reported after the end of the financial year.

#### **Points of Clarification**

The following points of clarification were made during the meeting:

- With the exception of the items listed in paragraph 1.77 of the report

[proposed transfer of funds to reserves], no executive directors had submitted any bids to carry forward underspends in excess of 1%, on the basis that executive directors understood the overall financial challenges facing the County Council and they had not identified any special circumstances, other than those items in paragraph 1.77, to merit making a bid for funding over and above the 1% limit.

- In relation to the allocation of funds from underspends up to 1% (paragraph 1.76 of the report), it was a matter for each executive director, in consultation with the relevant Executive Councillor, to determine how these funds would be allocated.
- In relation to the proposal to add £0.498 million to reserves for Civil Parking Enforcement (paragraph 1.77 of the report), it was understood that these reserve funds would be used to provide closed circuit television to support parking enforcement activity, and could not be used for other activities, but further clarification would be required on whether under the relevant legislation, the bid for a street lighting reserve of £100,000 (paragraph 1.77 of the report) could be funded from it.
- The impact of business rate appeals could be a significant risk, but business rate income was a complex topic and would merit consideration in its own right.
- Approximately £4.5 million had been raised by the Council Tax increase of 1.9% for 2015/16.
- Disability Facilities Grant (DFG) had been passed to the County Council as part of the Better Care Fund since 2015/16. The responsibility for the approval of the Better Care Fund rested with the Health and Wellbeing Board. In 2015/16, the full Better Care Fund identification of allocated DFG had been transferred to district councils. A higher element of DFG had been identified in the Better Care Fund for 2016/17, but no district council had received a lower level of DFG funding than under the previous system.
- The reported underspend of £18.802 million on the schools budgets was a cumulative total, meaning it was inclusive of previous year underspends, and did not solely relate to the 2015/16 financial year.
- Executive directors actively monitored budgets. For example, one executive director had taken action during 2015/16 to manage a potential overspend, by reallocating funds within the directorate. Executive directors continued to monitor budgets, and data from the in-year monitoring of the 2016/17 budget was a factor in setting the budget for 2017/18.

#### Comments of Individual Members of the Committee

Individual members of the Committee also made the following comments, which the Committee agreed would be passed to the Executive: -

- The capital programme underspend on broadband was a concern and there a risk that broadband would not be delivered to an adequate level



and might require additional funding in the future. The Overview and Scrutiny Management Committee would consider progress with broadband as part of its next regular update on the topic.

- If certain information technology systems in the capital programme had been implemented sooner, the County Council could have achieved savings.
- Prior to the setting of the 2015/16 budget, it was widely reported that it would be a challenging year. However, an underspend of £20 million (County Council budget, net of school budget) occurred. Improved budget monitoring during the course of 2015/16 would have enabled the Council to use identified underspends to deliver improved services.
- More information should have been included in the report to the Executive on how the underspends of up to 1%, representing £4.295 million (referred to in paragraph 1.76 of the report) had been allocated.
- An underspend of £20 million (County Council budget, net of school budget) in 2015/16 might be a relatively small percentage of the County Council's budget. However, for a district council, this sum would be substantial. The County Council needed to ensure that appropriate explanations were given to the public for this level of underspend.
- An overall underspend of 3% of the Council's total budget was not excessive, and the Executive and executive directors should be congratulated for managing the budget in challenging circumstances. The overall budgetary position of the County Council was good.
- The Council's overall budget strategy was on course and there was no need for the County Council to change its approach.

#### **d) Policy Proofing Actions Required**

n/a

### **5. Appendices**

These are listed below and attached at the back of the report	
Appendix A	Use of Service 1% Carryforwards
Appendix B	Prudential Indicators 2015/16

### **6. Background Papers**

The following background papers as defined in the Local Government Act 1972 were relied upon in the writing of this report.

Document title	Where the document can be viewed
Financial Strategy	Executive Director of Finance and Public Protection

This report was written by David Forbes, who can be contacted on 01522 553642 or [david.forbes@lincolnshire.gov.uk](mailto:david.forbes@lincolnshire.gov.uk).

## Appendix A – Use of Service 1% Carryforwards

Directorate Children's Services

Up to 1% Carry Forward **1,010,763**

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1	Regulated Services	Recruitment Team for foster carers. Team manager, 3 x Social Workers and 2 x business support staff to provide a dedicated immediate response to all fostering and adoption enquirers for a 2 year project. The aim is to increase the number of registered foster carers and adopters to provide sufficient resource in order to minimise the numbers of looked after children being placed in expensive external placements.	One Off	N/A	278,850
2	Regulated Services	Barnardo's Supported Lodgings worker initially a two year contract now a permanent arrangement. This is to enable us to achieve the range of accommodation options identified within the Youth Housing Strategy.	On going pressure	The service plans to meet this pressure internally through a thorough review of budgets and priorities, but require time to facilitate this process.	39,000
3	Music Service	Agreement for the service to carry forward their underspend to support the creation of a fully sustained trading unit within LCC. Arts Council grant funding has been fully utilised to maximise income to Lincolnshire.	One Off	N/A	208,160
4	Positive Activities for Young People	Grant given to Lincolnshire YMCA to help fund the cost of running The Showroom.	One Off	N/A	17,000
5	Social Care	Complaint Investigator costs. This budget was taken over from the Customer Services Centre during 2013-2014. Costs have continued to exceed the budget that was transferred and in 2015-2016 the budget overspent by £51,000. Temporary monies will allow the service time to address the situation for future years.	One Off	N/A	50,000
6	Social Care	Funding for Signs of Safety post. To fund a post for 12 months for Signs of Safety to support child protection casework and risks of child sexual exploitation.	One Off	N/A	86,274
7	LSCB	Funding of temporary posts. A service review is taking place. LSCB has some temporary posts and at the board meeting (Debbie Barnes attended) it had been agreed to fund these, which has increased the contributions for all partners. The additional contribution for LCC is £13,000. The review will consider provider contributions.	One Off	N/A	13,000
8	School Improvement Service	Education Endowment Fund project. A jointly funded LCC and Lincolnshire Learning Partnership project for Teaching Assistants led by Teaching Schools.	One Off	N/A	49,000

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
9	School Improvement Service	Leadership Programme. An LCC funded project led by Teaching Schools.	One Off	N/A	28,600
10	School Improvement Service	CfBT Contract and new service delivery. Dual running of the new service with the CfBT contract that will end in August 2016. The new service will achieve a savings target of £2m by 2017/18.	One Off	N/A	90,963
11	Commissioning	Funding to support a Senior Commissioning Officer to work on the Commercial Offer to Schools to make a concerted effort for the project to succeed. The intention it will be pump primed for 12 months.	One Off	N/A	44,326
		<b>Total Children's Services</b>			<b>905,173</b>
12	People Management	To fund an Employment Officer post that will support the apprenticeship work with the intention of reducing the levy imposed on certain size organisations when it is implemented.	One Off	N/A	42,640
13	People Management	Funding for a Workforce Change Co-ordinator until 31st March 2017 to work on projects for engagement.	One Off	N/A	62,950
		<b>Total People Management</b>			<b>105,590</b>
		<b>TOTAL</b>			<b>1,010,763</b>

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1	Adult Safeguarding	Deprivation of Liberty Safeguards (DoLs) - Funding required to support increase in DoLs assessments and reviews. Costs are expected to be short term ahead of an expected review of appropriate legislation following Cheshire West Judgement in 2014	One off	N/A	500,000
2	Adult Frailty and Long Term Conditions	Scheme to support the delivery of Homecare in Lincolnshire ensuring its sustainability and deliverability.	One off	N/A	254,800
3	Carers	Carers Service to Hospitals - Funding required to provide hospital dementia support service in addition to support already provided in the community. This reduces the need for clinical staff in supporting dementia specific needs, enabling the person with dementia to engage whilst in an acute setting	One off	N/A	101,900
4	Adult Frailty and Long Term Conditions and Adult Specialities	Flexible Mobile Working - Funding required to purchase specialist IT equipment and licenses needed to allow front line staff (Adults and Children) to have full access to Mosaic whilst out in the field.	One off	N/A	255,000
5	Adult Frailty and Long Term Conditions and Adult Specialities	Maintenance of existing establishment to support Mosaic Implementation - Funding required to support temporary staff to backfill key specialists staff seconded to CMPP project.	One off	N/A	51,000
6	Adult Frailty and Long Term Conditions	Balance of 1%. It is proposed to set this aside for emerging pressures during the financial year.	One off	N/A	297,014
		<b>TOTAL</b>			<b>1,459,714</b>

Directorate

Community Wellbeing and Public Health

Up to 1% Carry Forward	281,973
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Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1	Wellbeing - Registration, Celebratory & Coroners	Use of carry forward to meet cost pressures in the Coroners Service until new model of service is implemented	One-off (until model of delivery is changed)	N/A	100,000
2	Communities - Customer Service Centre	Use of carry forward to meet cost pressures in the CSC due to increased volumes of activity, and timing of channel shift savings	One-off (until model of delivery is changed)	N/A	181,973
		<b>TOTAL</b>			<b>281,973</b>

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1	Sustaining & Developing Prosperity via infrastructure	<p>Greater Lincoln Transport Model - the resulting model would be capable of fulfilling all of the County Council's requirements for a minimum of five years and with the possibility of extending this further with limited refinement in the future.</p> <p>The anticipated uses of the GLTM in the future, and changes in guidance, will dictate the necessary functionality of the model and this in turn will determine the details of any model update. These are technical issues to be discussed in due course, and information regarding data collection, programme and costs will be refined. They are based on an assumption that an updated model would have broadly the same functionality as the current model (for example no explicit public transport or parking allocation modelling) but would incorporate the most up to date guidance on model building.</p>	One off production of the model but recurring use/benefit in relation to modelling transport/highway matters for Lincoln	Ongoing support/ use and updates funded through individual schemes/ projects	400,000
2	Protecting & Sustaining the Environment	To undertake its statutory function of determining planning applications Planning Services uses an applications software package. The current provider of this package is no longer supporting planning applications and has given notice to the Council that it will no longer support the software. It is therefore necessary for an alternative software provider to be appointed to provide this service. In addition the software is used to receive and distribute planning applications consultations received from the District Councils to Development Management Officers to provide responses on highways and SuDS matters.	One off	This is a one off scheme and we are seeking a 5 year contract with further 2 year extension option. Existing licensing/ running costs are expected to be similar to existing budget	175,000
3	Sustaining & Developing Prosperity via infrastructure	Implementation of Highways Asset Management and Scheme Prioritisation Software.	One off	n/a	50,000
4	Sustaining & Developing Prosperity via infrastructure	Oak House Business Centre - to replace phone system, CCTV system, boilers, automatic doors and car park surfacing at Oak House Business centre in order to maintain tenant appeal	One off activity	N/A	50,000



Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
5	Sustaining & Developing Prosperity via infrastructure	Project Feasibility - to develop economic infrastructure project feasibility to planning application stage in order to create a stock of viable and ready to implement projects / bids for future Growth Deal	One off activity	N/A	68,501
6	Sustaining & Developing Prosperity via infrastructure	Team Lincolnshire Collateral - The development of materials and collateral to help build Team Lincolnshire and enable it to become the vehicle through which investment in Lincolnshire is promoted.	One off activity	N/A	20,000
		<b>TOTAL</b>			<b>763,501</b>

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1	Budget and Policy Framework - Finance and Audit	Audit. The audit budget for 2015/16 included £42k to upgrade the Council's Audit Software. Due to problems with SERCO availability this upgrade was not completed during 2015/16. It is requested that this budget is carried forward into 2016/17 to undertake this work.	One-Off	N/A	42,000
2	Property Strategy and Support	Wainfleet Library. £72k was allocated for works at this property in 2015/16. Due to the specific nature of the repairs required and it being a Scheduled Ancient Monument the works could not be carried out over the winter period and therefore the original budget could not be utilised during last financial year.	One-Off	N/A	72,000
3	Business Support	To cover the budget shortfall for offsite storage of records management with Restore.	On going	This has been covered by underspends in past but can no longer be sustained.	80,000
4	Preventing and Tackling Fires and Emergencies	Retained Duty Staff Public Holiday Drill - Night Payment. It was discovered during the later stages of last year that Spitfire had been configured incorrectly so RDS staff were only being paid single time on public holidays since 2012. £21k is required to resolve this.	One-Off	N/A	21,000
5	Preventing and Tackling Fires and Emergencies	Retained Duty Staff/CM Backdated Pay. Currently Lincolnshire Fire and Rescue pay all WDS personnel competent pay on promotion. This hasn't been applied to RDS at crew and watch manager level due to a clerical omission. This issue has occurred since 2012 and this figure is the cost to the service of resolving this back pay issue.	One-Off	N/A	50,000
6	Preventing and Tackling Fires and Emergencies	Project Officer. The service would like to employ and additional WM within the CFS team to undertake a 9 month project to progress with the development and implementation of a Community Risk Intervention Team to support the health agenda.	One-Off	N/A	36,000
7	Protecting the Public - Safer Communities	Scams. Vulnerable victims, through a national project we have been made aware of at least 1,800 victims of mail scams. Each victim poses a safeguarding risk from financial abuse. There is a need to visit each victim to do a safeguarding check.	On going	Work nationally and locally to protect potential victims. List is a back log reflecting newly recognised risk that will hopefully decrease in total numbers.	50,000

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
8	Protecting the Public - Safer Communities	Bid to support the Youth Offending Service Early Intervention and Preventative Strategy Work, which aims to keep young people out of the criminal justice system. This work has been reduced to ensure no overspends would occur, (£0.200m underspend this year as a result). YOS has experienced an increase in YP coming into criminal justice this year, the first rise in the last five years. This impacts significantly on the community and service and creates increased cost as a consequence.	One-Off (this work will cease when the funding stops)	N/A	90,000
9	Budget and Policy Framework - Finance and Audit	Balance of 1%. It is proposed to set this aside for emerging pressures during the financial year.	One-Off	N/A	72,496
		<b>TOTAL</b>			<b>513,496</b>

Directorate

Information and Commissioning

Up to 1% Carry Forward

140,583

Rank (please rank in order of priority)	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
1					
2					
		<b>TOTAL</b>			-

## Appendix B – Prudential Indicators 2015/16

PRUDENTIAL INDICATORS ACTUAL COMPARED TO ESTIMATED 2015/2016			
Original Estimate	2015/16 £000	Actuals	2015/16 £000
Capital Expenditure Net	80,362	Actual Capital Expenditure (Excl Sch RCCO & Leasing)	28,768
Capital Financing Requirement 31/3/2016	630,292	Actual Capital Financing Requirement 31/3/2016	559,558
Capital Financing Requirement Estimate at 31/3/2018	665,617	Capital Financing Requirement Estimate 31/3/2018	594,942
Gross External Borrowing	513,440	Actual Gross External Borrowing	481,747
Borrowing in Advance of Need Limit	8,831	Actual Borrowing in Advance of Need Taken	0
Incremental Impact of Borrowing Plans on Council Tax -Band D	£8.36	Actual Incremental Impact of Borrowing Plans on Council Tax -Band D	-£5.10
MRP & Interest Repayments not to exceed 10% of Net Revenue Stream Estimate	6.24%	MRP & Interest Repayments not to exceed 10% of Net Revenue Stream Actual	5.75%
Ratio of Financing Costs To Net Revenue Stream	6.14%	Actual Ratio of Financing Costs To Net Revenue Stream	5.68%
<b>External Debt:</b>			
<u>Authorised limit for external debt -</u>		<b>Actual external debt at 31/3/16</b>	
borrowing	592,052	Borrowing	481,747
other long term liabilities	15,083	Other long term liabilities(Credit Arrangements)	12,193
TOTAL	607,135	TOTAL	493,940
<u>Operational boundary -</u>			
borrowing	568,052		
other long term liabilities	13,083		
TOTAL	581,135		
<b>Treasury Management:</b>			
<u>Upper limit for fixed interest rate exposure</u>		<b>Actual exposure fixed interest</b>	
Net principal re fixed rate borrowing less investments	665,617	Net Principal	311,933
<u>Upper limit for variable rate exposure</u>		<b>Actual exposure variable interest</b>	
Net principal re variable rate borrowing less investments	199,685	Net Principal	-46,204
<u>Upper limit for total principal sums invested for over 364 days (per maturity date)</u>	40,000	<b>Actual sums invested &gt; 364 Day</b>	214
<u>Maturity structure of fixed rate borrowing during 2015/16</u>	upper limit	<b>Actual maturity structure as at 31 March 2016</b>	
under 12 months	25%	under 12 months	3.20%
12 months and within 24 months	25%	12 months and within 24 months	3.20%
24 months and within 5 years	50%	24 months and within 5 years	15.50%
5 years and within 10 years	75%	5 years and within 10 years	9.30%
10 years and above	100%	10 years and above	68.70%

**Open Report on behalf of Pete Moore, Executive Director for Finance and Public Protection**

Report to:	<b>Executive</b>
Date:	<b>06 September 2016</b>
Subject:	<b>Budget Update - Efficiency Strategy and Plan plus Flexible Use of Capital Receipts</b>
Decision Reference:	<b>I011877</b>
Key decision?	<b>Yes</b>

**Summary:**

The provisional Local Government Settlement announced on 17 December 2015 has given local authorities the opportunity to sign up to a four year funding deal (from 2016/17 to 2019/20). There are also new flexibilities around the use of capital receipts, which, from 1 April 2016 can be used to fund transformational work for a three year period.

In order to qualify for the four year funding commitment the Council must publish an Efficiency Plan and to use capital receipts flexibility the Council must develop a Flexible Use of Capital Receipts Strategy. The two can be combined in one document

In the Council's Budget for 2016/17, approved by County Council on 19 February, the Council set out its intention to use £4.500m under the new flexible use of capital receipts in 2016/17. This paper provides additional information on the Council's Efficiency Plan and Flexible Use of Capital Receipts Strategy for 2016/17 plus an outline for future years and details of a proposal to sign up to the four year funding commitment.

**Recommendation(s):**

That the Executive:

(1) approves for recommendation to full Council adoption and publication of the Efficiency Plan attached at Appendix A as the Council's Efficiency Plan for the purposes of applying for a four year settlement and the Council's Flexible Use of Capital Receipts Strategy for 2016/17,

(2) notes the effect of the above Flexible Use of Capital Receipts Strategy on the Council's Prudential Indicators for the period 2016/17 to 2019/20 as set out in Appendix A; and

(3) approves for recommendation to full Council acceptance of the offer of a four year funding settlement from Government (for the period 2016/17 to 2019/20).

**Alternatives Considered:**

1. The Council does not prepare an Efficiency Plan and does not accept the four year funding deal from central Government for the period 2016/17 to 2019/20. In this case funding from central government would be notified to the Council on an annual basis as part of the annual local government settlement for these financial years and the Council would continue to lack the certainty for longer term financial planning. There would be the risk that those Councils which had not signed up to the deal could be disadvantaged if deeper cuts in funding are required by the Government.
2. The Council does not prepare a Flexible Use of Capital Receipts Strategy. This would place the Council in breach of statutory guidance in the fulfilment of its obligations in relation to the treatment of capital receipts

**Reasons for Recommendation:**

Development of an Efficiency Plan allows the Council the option of accepting the four year funding deal. Development of a Flexible Use of Capital Receipts Strategy is a requirement of statutory guidance governing flexibilities in the use of capital receipts generated in the three years starting from 1 April 2016.

The recommended option is proposed because it provides the Council with some certainty about levels of funding to be received over the period 2016/17 to 2019/20. This will allow the Council to develop robust financial plans through to the end of the decade based on confirmed funding.

The flexibility to use capital receipts on transformational and money saving schemes will allow the Council to fund schemes to make further savings in future years.

**1. Background**

1.1 By way of a letter dated 10 March 2016, the Secretary of State for Communities and Local Government offered local authorities the greater certainty and confidence of a four year budget settlement. In order to accept this offer, local authorities must notify the Secretary of State not later than 14 October 2016 and provide a link to an Efficiency Plan published by the Council.

1.2 Regulation 23 of the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 made under section 11 of the Local Government Act 2003, specify the purposes for which capital receipts may be used. The main permitted purpose is to meet capital expenditure together with other specified types

of payment. Permitted purposes do not include use to support revenue expenditure.

1.3 Under section 16(2)(b) of the 2003 Act the Secretary of State is empowered to issue directions providing that expenditure of local authorities shall be treated as capital expenditure for the purpose of Part 1 of the 2003 Act. Where such a direction is made the expenditure specified in the Direction is from that point on capital expenditure which can be met from capital receipts under the Regulations.

1.4 The Secretary of State has issued such a Direction which provides that the Council is to treat the following expenditure as capital expenditure:-

*" expenditure on any project that is designed to generate ongoing revenue savings in the delivery of public services and/or transform service delivery to reduce costs and/or transform service delivery in a way that reduces costs or demand for services in future years for any of the public sector delivery partners."*

1.5 In complying with this Direction, the Council is required to have regard to Statutory Guidance issued by the Secretary of State. That Guidance requires relevant authorities (including County Councils) to prepare, publish and maintain a Flexible Use of Capital Receipts Strategy the initial strategy being effective from 1 April 2016. The Flexible Use of Capital Receipts Strategy required by the Statutory Guidance can form part of the Efficiency Plan required by the letter of 10 March 2016 as a condition of accepting a four year settlement.

1.6 Government have not prescribed the form and content of this latter document (the Efficiency Plan) but it should demonstrate how greater funding certainty can bring about opportunities for further savings. It should cover the full four year period and be open and transparent about the benefits it will bring to the Council and its community. The letter indicates that the Council should collaborate with local neighbours and public sector partners and link into devolution where appropriate. The underlying principle is to support local authorities to deliver more efficient and sustainable services by providing certainty around funding and extending the use of capital receipts to support the revenue costs of reform projects.

1.7 According to the Statutory Guidance the Flexible Use of Capital Receipts Strategy should as a minimum list each project that plans to make use of the capital receipts flexibility and on a project by project basis details of the expected savings/service transformation should be provided. The effect this will have on the affordability of Council borrowing (set out in the Council's Prudential Indicators) should be included. The Government definition of expenditure which qualifies to be funded from capital receipts is set out in paragraph 1.4 above. The Statutory Guidance states that within this definition, it is for individual local authorities to decide whether or not a project qualifies for the flexibility.

1.8 **Appendix A** to this report contains the Council's proposed Efficiency Plan effective from 1 April 2016 incorporating the Council's Flexible Use of Capital Receipts Strategy.



1.9 The development of this Efficiency Plan will allow the Council to sign up to the four year funding settlement from Government. The four year settlement will provide certainty and a level of stability allowing the Council to develop robust financial plans for the period up to 2019/20. Increased certainty in levels of funding will allow the Council to refine and develop savings plans which will be required to deliver a balanced budget over this period, while considering cost pressures which must be funded. The Council will continue to use reserves and the flexibility of capital receipts to help deliver savings and smooth their impact over this period. Overall this certainty will strengthen the Council's financial position and ability to deliver balanced budgets to the end of the decade.

1.10 The funding settlement will provide the Council with confirmed funding for Revenue Support Grant, Transitional Grant and Rural Services Delivery Grant, plus top ups from 2016/17 to 2019/20. This represents the following funding for the Council:

<b>Funding Summary</b>	<b>2016/17</b>	<b>2017/18</b>	<b>2018/19</b>	<b>2019/20</b>
	<b>£'m</b>	<b>£'m</b>	<b>£'m</b>	<b>£'m</b>
Revenue Support Grant	70.351	48.292	33.964	20.139
Transitional Grant	0.011	0.009	0.000	0.000
Rural Service Delivery Grant	6.892	5.565	4.281	5.565
Top Up Grant	82.426	84.047	86.526	89.292
<b>TOTAL</b>	<b>159.680</b>	<b>137.913</b>	<b>124.771</b>	<b>114.996</b>

1.11 In an Annex to the letter of 10 March 2016, central government have said that they will also need to take account of future events such as the transfer of functions to local government, transfers of responsibility for functions between local authorities, mergers between authorities and any other unforeseen events. However, they have provided reassurances that barring exceptional circumstances and subject to the normal statutory consultation process for the local government finance settlement, the Government expects these to be the amounts presented to Parliament each year. New burdens funding during this four year period is in addition to these figures.

1.12 The Efficiency Plan including the Flexible Use of Capital Receipts Strategy will be reviewed annually and in future years this Efficiency Plan will be incorporated fully into the Council's annual Budget and Medium Term Financial Strategy approved by County Council each February. At the end of each financial period outcomes will be reported to County Council as part of the Council's Financial Performance Report each September.

1.13 The Efficiency Plan at Appendix A meets the requirements such as they are laid down by the Government in the letter of 10 March in that it addresses how the certainty of a four year budget settlement will create opportunities for further savings. This is essentially through the ability to plan across the four year period and develop more robust financial plans. It is not possible to identify savings at

this stage. As it becomes more possible to develop robust financial plans further detail will be able to be given. This will be dealt with at the time of the Review of the Plan. At that time also the future financial position of partners, particularly health and the financial implications of any devolution Order will be clearer and these elements of the Efficiency Plan can be further addressed at that time.

1.14 Appendix A addresses the requirements of the Flexible Use of Capital Receipts Strategy. In particular, it sets out the projects that are intended to be covered by the flexibilities and the expected savings and deals with the impact on prudential indicators.

1.15 There are not considered to be any direct implications of this decision on the Council's public sector equality duty, the joint health and wellbeing strategy or crime and disorder. This decision will only impact on the certainty of future funding. It is not expected to impact on the extent of funding available and individual decisions will still need to be made as to how the available funding should be spent. Equalities, health and wellbeing and crime and disorder implications of proposals will be dealt with as they are brought forward.

## **2. Conclusion**

2.1 The report sets out the Council's Efficiency Plan which is effective from 1 April 2016 including the Council's plans for using capital receipts to fund revenue transformation.

2.2 It is recommended that the Council apply for the four year funding settlement offered by the Government in order to obtain certainty and a level of stability allowing the Council to develop robust financial plans for the period up to 2019/20.

### **3. Legal Comments:**

The legal background to the recommendations is set out in detail in the Report. The production of an Efficiency Plan and a Flexible Use of Capital Receipts Strategy is a condition for acceptance of a four year settlement and the flexible use of capital receipts respectively.

The acceptance of a four year funding settlement and the flexible use of capital receipts each impact on the budget. The statutory guidance relating to the flexible use of capital receipts states that the Flexible Use of Capital Receipts Strategy should be approved by full Council.

The decision is accordingly within the remit of the full Council on recommendations of the Executive.

### **4. Resource Comments:**

Preparation of the Efficiency Plan and acceptance of the four year funding settlement will bring stability to the Council in the medium term and reduce the risk of further funding reductions from central government.

The Council's budget for 2016/17, approved in February 2016, built in the impact of capital receipts being diverted from the capital programme into funding transformational costs in revenue.

## 5. Consultation

### a) Has Local Member Been Consulted?

n/a

### b) Has Executive Councillor Been Consulted?

Yes

### c) Scrutiny Comments

This has not been considered by a scrutiny committee.

### d) Policy Proofing Actions Required

n/a

## 6. Appendices

These are listed below and attached at the back of the report	
Appendix A	Lincolnshire County Council Efficiency Plan effective from 1 April 2016

## 7. Background Papers

No background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Multi-Year Settlement and Efficiency Plans – Letter dated 10 March 2016 and Annex – Conditions of the Multi Year Settlement	Executive Director of Finance and Public Protection
Statutory Guidance on the Flexible Use of Capital Receipts (updated)	Executive Director of Finance and Public Protection

This report was written by David Forbes, who can be contacted on 01522 553642 or [David.Forbes@Lincolnshire.gov.uk](mailto:David.Forbes@Lincolnshire.gov.uk).

**Lincolnshire County Council Efficiency Plan, effective from 1 April 2016**

**Background**

The Secretary of State's letter of 10 March 2016 requires relevant authorities (including County Councils) to prepare, publish and maintain an Efficiency Plan in order to apply for a four year funding settlement, the initial Plan to be effective from 1 April 2016. Government have not prescribed the form and content of this document but it should demonstrate how greater certainty can bring about opportunities for further savings.

The Efficiency Plan can also contain the Council's Flexible Use of Capital Receipts Strategy which is a requirement of Statutory Guidance issued under section 15 of the Local government Act 2003. Such a Strategy should:-

- Document how the new flexibilities in the use of capital receipts will be used; and
- Show the effect on Prudential Indicators for the period of capital receipt flexibilities.

**Efficiency Plan**

The efficiency plan for Lincolnshire County Council should be read alongside the Council's Budget for 2016/17 which identifies how the Council will deliver a balanced budget for 2016/17 and details how the Council plans to deliver financial sustainability in the medium term ([www.lincolnshire.gov.uk/budget](http://www.lincolnshire.gov.uk/budget)).

Since 2010 the Council has been delivering savings programmes which have allowed it to focus resources on unavoidable cost pressures, such as demand lead services (such as adult and children's social care), as well as allowing the Council to match the level of spending with the reducing funding coming from central government. In effect this programme has meant the Council has had in place an Efficiency Plan for a number of years already.

Over this period the Council has taken a mixed approach to matching Council spending to the level of funding available. This has been through identifying service cost pressure which must be funded, delivering service and corporate budget savings, modest increases in Council Tax, plus the use of reserves to allow the Council to smooth the effect of introducing savings, and from 2016/17 the flexible use of capital receipts.

Reductions in government funding have and continue to pose significant challenges for the County Council; however, confirmed levels of funding over the period 2016/17 to 2019/20 will allow the development of more robust, sustainable financial plans. Going forward the Council will refine and develop savings plans which will be required to deliver a balanced budget over this period, while considering cost pressures which must be funded. The Council will continue to use reserves and the flexibility of capital receipts to smooth the effect of reducing government funding and

re-engineer service provision to allow further savings to be made, while funding unavoidable cost pressures.

**Flexible Use of Capital Receipts**

Government has provided a definition of expenditure which qualifies to be funded from capital receipts. This is:

*"Qualifying expenditure is expenditure on any project that is designed to generate ongoing revenue savings in the delivery of public services and/or transform service delivery to reduce costs and/or transform service delivery in a way that reduces costs or demand for services in future years for any of the public sector delivery partners. Within this definition, it is for individual local authorities to decide whether or not a project qualifies for the flexibility."*

The Council's current plans include the following use of capital receipts to fund transformation projects:

	2016/17	2017/18	2018/19
	£'m	£'m	£'m
Planned use of capital receipts	4.500		
Anticipated use of capital receipts		8.000	8.000

In 2016/17 this will fund schemes falling under the following headings:

	2016/17	
	£'m	
Service changes and reductions (including redundancies)	2.000	The Council tracks the payback period for redundancy costs. It is estimated that for every £1 spent on redundancy costs within a 9 month period the Council saves £1.25.
Property rationalisation	0.500	Savings here relate to reductions in rent and associated property costs. It is estimated that this will release £0.600m per annum going forward. This programme of work will also contribute to the generation of capital receipts.
Efficiencies through contracting and procurement	1.200	Savings here are about reducing contract costs but also keeping future contract costs as low as possible (i.e. ensuring that growth in costs is kept to a minimum). Confirmed savings for 2016/17 already amount to £0.500m per annum, with a further £4.400m p.a. of contract tendering exercises due to conclude in 2016/17.
Transforming information technology	0.600	Improvements and efficiencies here may not easily convert directly into a reduction in spending, however, they will increase capacity and allow other savings to be delivered across other areas of the Council.
Preventing and detecting fraud	0.200	Again it is difficult to convert this work into a cashable saving, however this work protects the Council's finances.
<b>TOTAL</b>	<b>4.500</b>	

### **Impact on Prudential Indicators**

Up to 1 April 2016 it has been the Council's policy to utilise all capital receipts generated in any financial year to fund the capital programme in that financial year (thus allowing the Council to keep the need for borrowing to a minimum). With the change in policy allowing utilisation of capital receipts to fund revenue spending on transformational projects the Council will stop using all capital receipts to fund the capital programme.

Diverting this money away from the capital programme does have a financial impact for the Council. Details on the Council's Prudential Indicators for 2016/17 (and future years) based on the above use of capital receipts to fund revenue transformation (£4.5m in 2016/17 and £8.0m in 2017/18 and 2018/19) rather than spend in the capital programme are set out in the Council's 2016/17 Budget Book at Appendix L ([www.lincolnshire.gov.uk/budget](http://www.lincolnshire.gov.uk/budget)). The Prudential Indicators demonstrate that the capital programme and associated financing remain affordable for the County Council.

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**Open Report on behalf of Richard Wills, Executive Director for Environment and Economy**

Report to:	<b>Executive</b>
Date:	<b>06 September 2016</b>
Subject:	<b>Adoption of the Lincolnshire Permit Scheme</b>
Decision Reference:	<b>I011793</b>
Key decision?	<b>No</b>

**Summary:**

This report sets out the detail for the proposed adoption of a Lincolnshire County Council Permit Scheme under the Traffic Management Act 2004. The Permit Scheme has the potential to improve the Council's ability to manage all works on the highway network, minimise inconvenience and reduce disruption to road users.

**Recommendation(s):**

That the Executive:

- (a) approves the Scheme attached at Appendix A as the Lincolnshire Permit Scheme prepared under Section 33 of the Traffic Management Act 2004, and;
- (b) approves the fixing of the County Council's Common Seal to the Lincolnshire Permit Scheme for Road Works and Street Works Order 2016 attached as Appendix G to give effect to the Lincolnshire Permit Scheme under Section 33A of the Traffic Management Act 2004 as an all roads, single authority scheme on and from the 5 October 2016.

**Alternatives Considered:**

1. Not to adopt the Lincolnshire Permit Scheme under the Traffic Management Act 2004. Road works and street works will continue to be managed under existing statutory provisions. The opportunities offered by the introduction of a Permit Scheme to improve the Council's ability to manage all works on the highway network, minimise inconvenience and reduce disruption to road users will be lost.



**Reasons for Recommendation:**

The adoption of the proposed Permit Scheme has the potential to improve the Council's ability to manage all works on the highway network, minimise inconvenience and reduce disruption to road users.

**1. Background**

The Authority has been considering the adoption of a Permit Scheme under Part 3 of the Traffic Management Act 2004 to replace the existing Notice Scheme to control third party activity on the highway. It is considered that the introduction of the Scheme would allow the Authority to proactively manage activities and minimise the impact on the highway network and users.

At the Executive meeting on the 2 February 2016 it was decided that preparation and consultation regarding the introduction of such a Scheme should begin. It was also decided that the Executive Director for Environment and Economy, in consultation with the Executive Councillor for Highways, Transport and IT would decide the basis of the Scheme, prepare the draft scheme and to carry out consultation.

During the consultation process, other local authorities were invited to consider joining the Lincolnshire Permit Scheme. Rutland County Council has expressed an interest in joining the scheme at a later date. Therefore it is recommended that the Permit Scheme be made as a Single Authority Scheme and varied to a Joint Scheme once a firm commitment has been received from Rutland County Council. Changing to a Joint Scheme would also allow other local authorities to join the Lincolnshire Scheme in the future.

To ensure all the necessary steps have been taken for the successful introduction of the scheme, the checklist at Annex A of the Statutory Guidance for Highway Authority Permitting Schemes has been completed. The checklist can be found at Appendix A of this report.

As part of the preparation process a trial scheme was invoked. The trial utilised current Lincolnshire County Council street works personnel and Kier to mimic the requirements and conditions that a Permit Scheme would impose. All electronic transfer of notices received for our own major and standard works have been included in this trial.

Street works staff have been placing "conditions" on these notices to direct Traffic Management methods to be used and the length of time for the works. Site inspections have been carried out on the majority of these works to ensure that conditions are met on site and that the requirements relating to correct time periods and information for the public are adhered to.

As of 6 July 2016, 152 jobs have been inspected. The trial has been beneficial for all parties involved in terms of understanding the application of conditions under permitting and how working more collaboratively within our Alliance Partners will

benefit the Council, works promoters and the public in the future. It has also highlighted issues about how we forward plan our own works ordering processes, requiring our staff to become more involved with the longer term impact of both Lincolnshire County Council and other highways works in the future.

The trial has progressed satisfactorily and helped to highlight potential operational issues at an early stage. This allowed solutions to be proactively identified and incorporated by the briefing and training of Street Works personnel and Highways Officers, especially regarding new legislation.

The Scheme has shown that the benefit gained by applying permitting conditions is applicable to the whole highways network, therefore it is recommended that permits are required for all roads, including minor roads, that each application is scrutinized individually with fee discount waivers applied, as laid out in the Scheme document.

In accordance with the statutory guidance a full consultation exercise, lasting 14 weeks, began in March 2016. The consultation response deadline was extended by a further week to allow a small number of utility companies to submit suggestions for consideration. The consultation documents were sent to all primary and secondary stakeholders and were available on the Lincolnshire County Council website. A full list of consultees and responses can be seen in the Consultation Report at Appendix B. The responses were mainly positive, with some suggestions accepted and the Permit Scheme document has been amended accordingly.

The final proposed Lincolnshire Permit Scheme document can be seen at Appendix C. It is this document that the Executive are recommended to approve as the Lincolnshire Permit Scheme.

Regulation 4 of the Traffic Management Permit Scheme (England) Regulations 2007 (as amended) set out a number of matters that the Executive must have considered prior to giving effect to a Permit Scheme by Order. The requirements with accompanying commentary are set out below.

(a) The name of every person who is a highway authority for one or more of the specified streets.

The proposed Scheme only covers streets which are maintainable by the County Council. The County Council is therefore the only highway authority for the streets covered by the proposed Scheme.

(b) What the objectives of the Council are for the Permit Scheme.

The objectives of the proposed Scheme are set out in Section 2 on pages 3 of the proposed Lincolnshire Permit Scheme attached at Appendix C.

(c) How the Council proposes to ensure that it will comply with the obligations set out in Regulation 40 of the 2007 Regulations (which requires the Council to

operate the Scheme without discrimination between different classes of applicant for permits or for provisional advance authorisations)

Parity between the inspection of the Councils works, large contractor, Utilities and small contractors is a condition of the regulatory compliance that specifies that the Scheme will set out how the Permit Authority will ensure non-discrimination between permit applicants. Paragraphs 1.6 and 2.4 of the Scheme document enshrine parity and will be recorded in the Scheme performance indicators.

(d) How the Council proposes to evaluate the Permit Scheme so as to ensure whether the objectives for it have been met.

The Scheme will be monitored by a series of Traffic Performance Indicators and Key Performance Indicators, along with data obtained from the Customer Services Centre relating to praise/complaints. The data and comments will help shape the annual report and allow the suitability of the scheme to be monitored and revisions to be made, if necessary.

More detail is provided in Section 20 on Page 31 and in Appendix E on Page 47 of the proposed Scheme at Appendix C to this report.

(e) The costs and benefits (whether or not financial) which the Council anticipates will result from the Scheme and how such costs and benefits will be demonstrated when the Scheme is evaluated.

The Scheme will require twelve additional staff in addition to the staff currently deployed on the street works operation. The additional cost will be offset by the income received from permit fees. A cost benefit analysis (CBA) has been carried out to ensure that the Authority is not exposed to any cost risk, with the conservative figure giving a positive CBA of 1.92. A summary of the CBA can be found at Appendix D.

To ensure that the costs for the first year are controlled, staffing and resource levels have been measured against current and projected costs for the additional work using the Department for Transport cost matrix model, attached at Appendix E. Costs for year 2 onwards can be adjusted to maintain the cost neutral stance, in line with the statutory guidance. The estimated budget for the first year is as follows:

Income Estimated

Permitting Scheme	-£1,543,029
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Expenditure (estimated)

Permit Application Employee Costs	£1,234,378
Permit Application Operational Factor Costs	£246,876
Permit Variation Employee Costs	£49,420
Permit Variation Operational Factor Costs	£12,355

TOTAL	£1,543,029
Net position	£0

Due to the nature of the Permit Scheme, especially compliance matters and enforcement issues that may arise, it would be prudent to ensure Year 1 has a small financial reserve that enables additional costs to be absorbed. The financial projections for Year 2 and onwards can be adjusted and, if required, the future permit costs would be varied to meet the cost neutral balance. However final costs will be liable to change, especially as a result of the implementation of the future operating model and restructuring of departments.

As the economic appraisal of option 1 in the CBA is a small positive, and the majority of sensitivity testing scenarios result in fairly consistent low positive benefit to cost ratios (>1.1), it has been demonstrated that the scheme is feasible as an all streets scheme. The net benefits to road users and wider society exceed the additional costs of the scheme.

(f) The evidence considered by the Council when it decided to include any provisions in the Permit Scheme as to the fees which may be charged and the reasons for its decision.

The permit fee levels are derived from the completed DfT permit fee matrix which analyses and quantifies individual tasks associated with the administrative function of permit assessment offset against potential income to reach a cost neutral position.

(g) The date on or after which the Council proposes that the Permit Scheme should come into effect.

The proposed date is 5 October 2016. This is the earliest date on which the proposed scheme could take effect as not less than 4 weeks' notice must be given to various stakeholders.

(h) Details of any transitional arrangements which the Council would wish to apply in relation to the Permit Scheme coming into effect.

The proposed transitional arrangements are set out in Section 21 on Page 32 of the proposed Scheme at Appendix C.

(i) The responses received to the consultation undertaken under Regulation 3 of the 2007 Regulations.

The results of the Consultation are set out for the Executive's consideration in the document at Appendix B.

In addition to the above, the Council must confirm in the Permit Scheme that the Scheme has been prepared in accordance with the 2007 Regulations and that it had regard to Statutory Guidance. This is included at paragraph 1.1 of the proposed Scheme at Appendix C.

## Equality Act 2010

As part of the consultation process an Equalities Impact Assessment was completed and can be seen at Appendix F. Any potential impact relates more to the way works are designed and carried out rather than as a result of the conditions imposed by a permit. However, the Permit Scheme does provide some positive aspects for those with protected characteristics such as age, disability, pregnancy and maternity, along with health benefits associated with encouraging a safer environment. The negative aspects due to roadworks were also explored and mitigating action identified.

## Child Poverty Strategy

Regard has been had to the Council's Child Poverty Strategy but the introduction of a Permit Scheme is not considered to impact directly upon the Strategy.

## Joint Strategic Needs Assessment (JSNA) and Joint Health and Wellbeing Strategy (JHWS)

The Council in exercising its functions must have regard to both the JSNA and the JHWS.

Consideration has been given to the JSNA and JHWS and the reductions in inconvenience and disruption to road users which the Scheme would deliver will have benefits in the areas of economic, social and environmental wellbeing.

Due regard has also been given to the likely effect of the proposal on crime and disorder and there are not considered to be any effects.

The deregulation of Permit Schemes from the Department for Transport to Local Authorities requires that effect be given to the Scheme by way of Order. The proposed Order is attached at Appendix G. As required in Regulation 3, the Permit Authority will give a minimum of 4 week's notice of commencement of the scheme following the Order being made to all those previously consulted on the Permit Scheme.

## **2. Conclusion**

The Executive is invited to approve the recommendations in this report.

## **3. Legal Comments:**

The Council has the power to adopt a Permit Scheme as recommended in the Report. The legal basis for that power and the considerations that must be taken into account in reaching a decision are addressed in detail in the Report.

The decision is consistent with the Policy Framework and within the remit of the Executive if within the Budget.

#### **4. Resource Comments:**

Accepting the recommendation in this report to approve the Lincolnshire Permit Scheme, should have no direct impact on the budgets of the Council. The government guidance states that the costs of a permit scheme should be recovered through the permit fees, but should not exceed the total allowable costs prescribed. As stated in the Lincolnshire scheme the costs and income will be reviewed annually and adjustments will be made to either the fees or the costs to ensure the scheme remains cost neutral, this can be balanced out of a number of years (suggested period is three years).

#### **5. Consultation**

##### **a) Has Local Member Been Consulted?**

No

##### **b) Has Executive Councillor Been Consulted?**

Yes

##### **c) Scrutiny Comments**

The Highways and Transport Scrutiny Committee met on 11 July 2016 and considered a report concerning the Lincolnshire County Council Permit Scheme. The Committee considered the outcome of the Permit Scheme consultation and unanimously agreed to support that the Executive approve a decision to adopt the Lincolnshire Permit Scheme.

The Committee agreed to pass on the following comments to the Executive:

(a) The Committee was supportive of the greater oversight of the Permit Scheme would provide of the Highways Network as a whole, as well as the benefits to improved traffic management arrangements.

(b) The Committee queried the impact of the Permit Scheme on traffic sensitive routes and whether the scheme would reduce traffic disruption and help minimise inconvenience to road users. Officers confirmed that during the consultation period a trial to mimic the requirements and conditions that the Permit Scheme would impose had taken place and had progressed satisfactorily. Adherence to project timescales by contractors had also improved.

The Committee highlighted the need to minimise disruption to traffic flow and that the Council should be proactive in monitoring that works were carried out correctly.

The Committee highlighted concern relating to possible proliferation of the immediate activities which covered emergency or urgent works. Officers confirmed that urgent activities were defined in the regulations and site inspections would be carried out and penalties imposed should any works not meet the criteria.

Members queried how the permits would be priced and how the overall costs of the scheme would be recovered. Officers confirmed that the scheme was conservatively priced to ensure that the overall fee income does not exceed the allowable costs. However, if there should be a sustained surplus or deficit over a number of years then the fees would be reviewed accordingly.

The Committee highlighted the benefits of combined works and the need to promote collaborative working. Officers confirmed that collaborative working opportunities would be encouraged and that discounts were available for those services that were able to deliver work in a proactive way to lessen the impact of their activities.

The Committee highlighted the importance of monitoring the performance of the Permit Scheme going forward to ensure that the aim of minimising the impact on the travelling public is achieved. Officers confirmed that performance information from the Permit Scheme would be published.

#### **d) Policy Proofing Actions Required**

n/a

## **6. Appendices**

These are listed below and attached at the back of the report	
Appendix A	Statutory Guidance for Highway Authority Permit Schemes - Annex A
Appendix B	Lincolnshire County Council Permit Scheme Consultation Document
Appendix C	Lincolnshire County Council Permit Scheme
Appendix D	Cost Benefit Analysis
Appendix E	Department for Transport Cost Matrix Model
Appendix F	Equality Impact Assessment
Appendix G	Permit Scheme - Order

## **7. Background Papers**

The following background papers as defined in the Local Government Act 1972 were relied upon in the writing of this report.

Document title	Where the document can be viewed
Traffic Management Act 2004 - Part 3	Legal Services
Traffic Management Permit Scheme (England) Regulations 2007 (As amended 2015)	Legal Services

Statutory Guidance for Highway Authority Permit Schemes (October 2015)	Highways
Statutory Guidance for Highway Authority Permit Schemes - Permit Scheme Conditions (March 2015)	Highways

This report was written by Mick Phoenix, Regulation Manager, who can be contacted on 01522 552105 or [mick.phoenix@lincolnshire.gov.uk](mailto:mick.phoenix@lincolnshire.gov.uk) .



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# Lincolnshire Permit Scheme



## Annex A for Lincolnshire County Council to operate the Lincolnshire Permit Scheme

<b>Full Name of the Highways Authority</b>	Lincolnshire County Council		
<b>Type of Scheme (Single/Multi)</b>	Single		
<b>Date final Checks Completed</b>	Officer who confirms completion of full checks	Mick Phoenix	07/07/16
	Finance officer final clearance		

Issue	Status	Owner	Date	Change summary
1.0	DRAFT	Mouchel	30/06/16	New document
2.0	FINAL	LCC	04/07/16	Amended version

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## **1 Introduction**

- 1.1 The Lincolnshire Permit Scheme (“the LiPS”) has been developed under the powers provided in Part 3 of the Traffic Management Act 2004 (“TMA”) and the Traffic Management Permit Schemes (England) Regulations 2007, (as amended) Statutory Instrument 2007 No. 3372 (“the Regulations”) made on 28 November 2007. It is a permit scheme for the purposes of Section 32(1) of the TMA.
- 1.2 This document contains information specific to Lincolnshire County Council’s application to operate a TMA permit scheme for street and road works.
- 1.3 An addendum is also available separately that lists all streets within Lincolnshire County Council’s geographical area that fall under the LiPS scheme.

## 2 Background

- 2.1 Lincolnshire is a large, predominantly rural shire county covering 5921 square kilometres (2286 square miles) representing some 4.5% of England with a population of 731,500 (ONS 2014 mid-year estimate). Due to the extent of the county, the highway network is extensive at some 8,905 kilometres (5,534 miles) – the fifth largest of any local highway authority. Within this total, there are no motorways and just 66 kilometres (41 miles) of dual carriageway, of which the vast majority comprises the A1 and the A46.
- 2.2 A varied and diverse county that blends economic strength with inspiring scenery and sites of key historic significance, Lincolnshire also has a considerable volume of traffic carrying residents and tourists into and through the county. Effective management of the highway network is vital in stimulating further growth of tourism businesses, which will lead to increased visitor numbers, ultimately benefiting other businesses and promoting wider infrastructure improvements.
- 2.3 Lincolnshire's Local Transport Plan (LTP) 2013-2023 provides the evidence to suggest investment focus should be on maintaining or enhancing the performance of the existing networks, particularly where journey time reliability is deteriorating. The efficiency with which existing transport networks are used is just as important as the underlying investment in major new infrastructure (and can improve justification for investment in new infrastructure).
- 2.4 LTP 2013-2023 (and the associated implementation plans) sets out Lincolnshire's transport objectives. Operating a permit scheme compliments the Network Management Plan as part of the wider LTP.
- 2.5 Permits provide greater accuracy of works timing, particularly on traffic sensitive roads. The use of conditions when granting a permit will allow Lincolnshire to manage the way that works activities are carried out providing tighter control of network space. Evidence from previous successfully implemented schemes suggests that the provision and use of well thought-out conditions and enforcement action where appropriate, helps drive improvements in reducing occupation of the highway by works. The cost of the permits also helps dissuade promoters from planning works unnecessarily and poorly.
- 2.6 The highway network is an essential part of the local economy and the effective management of the network ensures that everyone benefits;- from improvements in safety, journey reliability and decreased environmental impacts. A well-managed network also aids local regeneration projects and helps to support the local economy.
- 2.7 Through implementing the LiPS, Lincolnshire County Council plan to increase the efficient running of the highway network by minimising the disruption and inconvenience caused by road works and other highway events and activities through proactive management of activities on the highway.

## 3 Lincolnshire County Council LiPS scheme

### 3.1 Lincolnshire County Council Addendum

3.1.1.1 This addendum to operate the LiPS scheme is for Lincolnshire County Council.

#### **3.1.2 Streets covered by the Lincolnshire scheme**

3.1.2.1 The “specified area” as required under Regulation 7, will be the geographical area encompassed by Lincolnshire County Council’s boundary.

3.1.2.2 All streets maintained by, or on behalf of Lincolnshire County Council are included within this scheme (Regulation 8). These streets are identified as part of Lincolnshire County Council’s additional street data (ASD).

3.1.2.3 Roads administered by Highways England and private streets are not included in the scheme.

#### **3.1.3 Objectives and measures**

3.1.3.1 Lincolnshire County Council will use the objectives and measures as described in the LiPS and associated guidance issued by either the Department for Transport or HAUC.

#### **3.1.4 Strategically significant streets**

3.1.4.1 Strategically significant streets includes traffic-sensitive streets (defined under Regulation 16 of *The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007.*) as well as streets which fall into reinstatement categories 0, 1 or 2 as defined in Section 1.3 of the statutory *Specification for the Reinstatement of Openings in Highways (SROH)*.

3.1.4.2 In addition, the Permit Authority may include other streets that are significant locally, for instance, streets linking rural communities where the impact from activities on the highway could be severe. This definition is given in the DFT document *Permit Schemes – Additional Guidance (January 2013)*.

3.1.4.3 Under the LiPS and for the purpose of permit charges and notification timescales, strategically significant streets do not fall under the higher Section 74 charges for overruns. However, they do attract a higher permit charge to reflect the greater importance placed on them in terms of coordination and potential for disruption and will fall under the ASD and EToN designation of 'traffic sensitive'.

#### **3.1.5 Fee Levels**

3.1.5.1 Lincolnshire County Council has set their fee levels in accordance with the DFT document *Permit Fees Guidance (July 2008)*, and the *Additional Advice Note – for developing and operating future permit schemes (January 2013)*, and in accordance with the maximum fee levels specified in Regulation 30.

3.1.5.2 The charges set are proportionate and reflect the level of work done for Lincolnshire County Council to issue a permit.

3.1.5.3 There is a charge for Permit Variations on all streets. This reflects the added work required to manage changed situations and is an incentive for activity promoters to plan and submit permits accurately in the first instance.

Activity type	Charge on road category 0-2 or Traffic-sensitive	Charge on road category 3-4 or non-Traffic-sensitive
Provisional Advance Authorisation	£101	£72
Major activities (over 10 days duration AND major activities requiring a TTRO)	£210	£130
Major activities (4 to 10 days duration)	£117	£75
Major activities (up to 3 days duration)	£64	£43
Standard activities	£117	£75
Minor activities	£64	£43
Immediate activities	£40	£26
Permit variation	£45	£35

**3.1.6 *Waiving and reduced permit fees***

- 3.1.6.1 Section 18.3 and 18.4 of the LiPS document details when a fee may be waived or discounted.
- 3.1.6.2 In addition, Lincolnshire County Council may waive an individual charge or offer a discount where it considers such action is merited.
- 3.1.6.3 Lincolnshire County Council intends to follow DfT or HAUC guidelines with respect to the discounting of fees for works that take place wholly outside traffic sensitive times.

**3.1.7 *Fee Review***

- 3.1.7.1 Lincolnshire County Council is committed to undertaking a review of its level of fees in accordance with Regulation 16A to ensure that the overall fee income does not exceed the allowable costs in running the scheme. The outcome of the fee reviews will be published and open to public scrutiny.
- 3.1.7.2 If a sustained surplus or deficit occurs over a period, the fee levels will be adjusted accordingly.

**3.1.8 *Invoicing arrangements***

- 3.1.8.1 Problems with electronic systems, incorrect sequencing of notices or other reasons may lead to differences between the activity promoter and the Permit Authority over what each party consider applicable charges.
- 3.1.8.2 Lincolnshire County Council intends to provide a schedule of charges to each activity promoter either fortnightly or on a monthly basis (working with promoters on their preferred timing) in the form of a 'draft invoice'. This will be submitted to the activity promoters for them to review and reconcile with their own systems.
- 3.1.8.3 Following this submission there will be an agreed period to enable the activity promoter to agree the charges with Lincolnshire County Council.
- 3.1.8.4 Following agreement, or where no response has been submitted, Lincolnshire County Council will submit a final invoice under its normal terms of payment.

### **3.1.9 Conditions**

- 3.1.9.1 Lincolnshire County Council's implementation of the LiPS follows the DfT Statutory Guidance on permit conditions, or any amendments or guidance issued in future.
- 3.1.9.2 This guidance is contained in the DfT's *Statutory guidance for Highway Authority Permit Schemes – Permit scheme conditions (March 2015)*

### **3.1.10 Details of transitional Arrangements**

- 3.1.10.1 Lincolnshire County Council intends to commence the permit scheme on 5th October 2016.
- 3.1.10.2 The permit regime has been designed to follow closely the processes and timescales of the NRSWA noticing regime.
- 3.1.10.3 The basic rules of transition from noticing to permitting will apply on all roads where the permit scheme operates.
- The permit regime will apply to all activities where the administrative processes, such as, application for a permit or Provisional Advance Authorisation, start after the commencement date
  - Activities which are planned to start on site more than one month after the changeover date (for all activity categories including Major) shall operate under the permit scheme. This means that even if the relevant Section 54, Section 55 or Section 57 NRSWA notice has been sent before the changeover, the activity promoter will have to cancel these and re-apply for a permit or PAA
  - Any other activities which started under the notices regime will continue under that regime until completion
- 3.1.10.4 Where section 54, 55 or 57 notices have been submitted but require cancelling and amending to a PAA/PA, Lincolnshire County Council will ensure that road space already booked will not be affected, and will assist the activity promoter by providing early start agreements as required.
- 3.1.10.5 Lincolnshire County Council will proactively examine their street works register in advance of implementation to help identify notices that may need amending in this way.
- 3.1.10.6 Where an activity promoter considers that in certain circumstances it would be beneficial to agree to follow a different rule for transition of notices to permits, they should submit this in writing to Lincolnshire County Council prior to the scheme coming into effect. Any request will be judged on a case-by-case basis with due regard to both the additional needs of the promoter, any additional workloads for the authority and with consideration of parity for other promoters.
- 3.1.10.7 As required in Regulation 3, the Permit Authority will give a minimum of 4 weeks' notice of commencement of the scheme following the Order being made, to all those previously consulted on the permit scheme.

### **3.2 Permit Scheme Resourcing**

For the purposes of permitting, Lincolnshire County Council's two-division structure will be based on staff being dispersed across the county within local offices as necessary.



## 4 Regulatory Compliance

4.1.1.1 The following table shows which sections of the scheme relate to which regulations

Lincolnshire Permit Scheme Regulatory Compliance				
Subject	Reg. Ref.	S.G. Ref.	LiPS Ref.	Comments
<b>CONSULTATION</b>				
1. Consulted all statutory undertakers and S.50 holders in the area – Regulation 3.	R3 (1)(a)	2.2 – 2.9		Consultation undertaken as per Regs, and responded to. No significant changes to the scheme.
2. Consulted all authorities whose streets/areas are included or affected by the scheme – Regulation 3.	R3 (1)(b)	2.2 – 2.9		Consultation undertaken as per Regs.
3. Consulted the Secretary of State for Transport – Regulation 3.	R3 (1)(f)	2.2 – 2.9		Consultation undertaken as per Regs.
4. The proposal contains a summary of responses to the consultation and the changes made in light of the consultation.	R4(i)	1.35		Responses submitted separately. Note no significant changes made to scheme, Annex sets out changes.
5. It is Good Practice to consider providing all activity promoters operating within the permit area and all those consulted on the proposed scheme, with the details of post consultation changes before the scheme goes live.				Meeting held with statutory undertakers prior to consultation to discuss proposed scheme. Minor changes made to scheme resulting from comments made. Consultation extended to provide additional time for responses.
<b>SCHEME OBJECTIVES, DESIGN, COST-BENEFIT ANALYSIS AND EVALUATION ARRANGEMENTS</b>				
6. The scheme must state its objectives	R4 (b)	1.21	Ch. 2	
7. There is an explanation of the permit authority's chosen design for the permit scheme – 100% of the network		1.28	Ch. 3	
8. The scheme sets out how the permit authority will ensure non-discrimination between permit applicants	R4 (c)	9.4 – 9.7	Ch. 1 & 2	
9. The scheme is designed to ensure, as far as possible, parity of treatment between both types of works by evidence of compliance with KPIs.		1.35	Ch. 20	
10. The scheme sets out how and when the permit authority will evaluate the scheme to ensure that the stated objectives are met.	R4 (d)	2.10 – 2.13	Ch. 20	
11. The submission sets out the costs and benefits of the scheme and the consultation considers responses to the consultation.	R4 (1)(e)	2.12 & 3.70	Fee Matrix	Fee Matrix submitted separately.
<b>COVERAGE OF THE SCHEME</b>				
12. The permit authority will need to be able to confirm that the scheme has been prepared in accordance with and complies with these regulations.	R4 (2)	2.10 – 2.13	Ch. 1	
13. The scheme states the area it will cover.	R7 (1)	1.33 – 1.35	Ch. 3	
14. The scheme states the streets within the area that are included in the scheme.	R8 (1)	1.28 – 1.30	Ch. 3	
15. The scheme states the types of works the scheme applies to.	R6 (1)	3.2 – 3.4	Ch. 5	

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16. The scheme includes both highway and statutory undertakers' works.		1.55	Ch. 1 & 2	
17. All works comprising 'registerable works' in terms of the 2007 Notices Regulations under NRSWA are included in the scheme.		1.37 – 1.41 & 7.1	Ch. 5	
18. The scheme states which specified people, or types of people, do not have to apply for a permit and in which circumstances.	R9 (2)	3.9 – 3.10	Ch. 5	
<b>IMPLEMENTATION AND TRANSITION</b>				
19. The scheme states the date when the permit scheme is going to start operation.	R4 (g)	1.35 & 4.3	Ch. 1	
20. The scheme sets out any transitional arrangements that the authority proposes to implement.	R4 (h)	1.35 & 9.8 – 9.9	Ch. 21	
<b>COMPLIANCE WITH GENERAL TECHNICAL AND DEFINITIONAL REQUIREMENTS</b>				
21. The scheme is set up to receive applications, issue notices and otherwise communicate electronically.		1.42	Ch. 9	
22. The scheme is designed to operate in a manner that complies with the Technical Specification (EToN) and follows its requirements.		1.42	Ch. 8, 9, 14 & 15	
23. The scheme uses a nationally consistent local street gazetteer for identifying streets.		1.43	Ch. 3	
24. The scheme provides that a 'street' refers to that length of road associated with a single USRN i.e. to part of a whole street where a street is subdivided.		1.44	Ch. 3	
25. The permit authority's local street gazetteer is upgraded to Level 3.		1.45	Ch. 3	
26. The permit authority is committed to creating and maintaining a register containing the names of each street included in the scheme and specifying whether such streets have been designated as protected, of special engineering difficulties, or traffic-sensitive	R33 (2)	7.1 – 7.5 & 7.20 – 7.22	Ch. 4	
27. The permit authority is committed to maintaining a register in connection with their permit scheme containing information about all registerable activities on those streets.		7.1 – 7.5	Ch. 4	
28. The permit authority is committed to ensuring that all the information held in permit registers is referenced to the Elementary Street Unit Identifier and the Unique Street Reference Number (USRN) and that permit registers follow the street works equivalent by being GIS (Geographic Information System) based.		7.10 – 7.11	Ch. 4	
29. The scheme uses the same or equivalent definitions or requirements as are used in the NRSWA noticing system for: Registerable activities/works; Categories of activities/works (major, standard, minor and immediate activities/works); Street gazetteers, including street referencing by means of Unique Street Reference Number (USRN) and Associated Street Data (ASD); Street Reinstatement categories as defined in the NRSWA Reinstatement Specification; The distinction between main roads and minor		1.40	Ch. 3	

roads, where such distinctions are relevant; and Streets designated as protected, having special engineering difficulty or traffic-sensitive.				
<b>PROVISIONAL ADVANCE AUTHORISATIONS (PAAs)</b>				
30. If the scheme requires a PAA for major works, the promoter should be required to provide the final detailed information in support of its application for a permit at least 10 working days before the activity is due to commence.		3.20	Ch. 6	
31. The scheme incorporates a requirement for PAAs in relation to major permits only.		3.19 & 3.51	Ch. 6	
32. Where a scheme requires PAAs to be applied for, it specifies the information that should be included in the application for a PAA.	R11 (2)	3.19	Ch. 6	
33. The scheme requires an application for a PAA to specify the proposed start and end dates for the relevant activities, although the scheme should allow sufficient flexibility to enable the dates to be reasonably adjusted when a permit is ultimately issued.		3.19 – 3.20	Ch. 6	
34. The information stipulated by the scheme to support an application for a PAA should be equivalent to and certainly should not exceed, that required in support of an application for a permit.		3.16	Ch. 6	
35. Where a scheme requires a PAA to be applied for, it requires that a copy of the PAA is sent to the relevant authority, or any other body having apparatus in the street when requested by that body.	R11 (6)		Ch. 6	
36. Where a PAA has been given but a full permit has not yet been issued and proposals change, the scheme stipulates that the Permit Authority has to be informed of the proposed changes and a revised application for PAA or permit made.			Ch. 6	
<b>IMMEDIATE ACTIVITIES</b>				
37. Immediate Activities are defined as emergency works as per Section 52 of NRSWA or activities (not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the works believed on reasonable grounds to be required) – (i) to prevent or put an end to an unplanned interruption of any supply or service provided by the promoter. (ii) to avoid substantial loss to the promoter in relation to an existing service; or (iii) to reconnect supplies or services where the promoter would be under civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; This includes works that cannot reasonably be separated or severed from such works.			Ch. 7	
38. The scheme requires promoters of immediate activities to apply for a permit within two hours of the activity starting.			Ch. 8 & 12	
39. The ASD must be marked with any streets for which the scheme requires a promoter to			Ch. 3	

ring the authority when starting immediate works.				
<b>OTHER WORKS REQUIRING PERMITS</b>				
40. The scheme includes a provision requiring a permit to be obtained before specified works are carried out in a specified street.	R9 (1)		Ch. 5	
41. The scheme provides that each phase of work requires a separate permit e.g. a separate permit would be required for interim and permanent reinstatements.	R9 (8)		Ch. 9	
42. Standard activities are defined in the scheme as those activities, other than immediate or major activities, that have a planned duration of between 4 and 10 working days inclusive.			Ch. 7	
43. The scheme stipulates that a standard permit is applied for 10 days in advance of works commencing.			Ch. 8	
44. Minor Activities are defined in the scheme as activities other than immediate or major activities, where the planned working is 3 working days or less.			Ch. 7	
45. The scheme stipulates that a minor permit is applied for 3 days in advance of works commencing.			Ch. 8	
<b>APPLICATIONS FOR PERMITS</b>				
46. The scheme requires promoters applying for permits or PAAs to copy their applications to any authority or undertaker that has requested to see permit applications on certain streets.			Ch. 6	
46. The information that has to be included in a permit application is specified in the scheme.	R9 (3)		Ch. 9	
47. The scheme requires that each application for a permit only covers one street.	R9 (4)		Ch. 9	
48. The scheme requires each application for a permit, or a variation of a permit, to include an estimate of the likely duration of the works.	R9 (5)		Ch. 9	
49. The scheme requires a sufficiently detailed description of the activities to be provided to allow the street authority to assess the likely impact of the activity.			Ch. 9	
50. The scheme requires promoters to include an accurate location in their application based on National Grid References, one in the centre of the excavation for small excavations and one at each end of trenches, along with dimensions of the space taken up by the activity on the street.			Ch. 9	
51. The scheme requires each application for a permit to include proposed start and end dates and should require applicants to indicate whether they wish the permit to cover work at weekends and on Bank Holidays (where applicable).			Ch. 9	
52. The scheme allows the Permit Authority to require the applicant to provide an illustration of the works (including plans, digital photographs, etc.) in appropriate cases. Activities on streets with Special Engineering Difficulty will in any case require a plan and section. This should include details of what the works are, whether they are likely to affect			Ch. 9	

more than one lane of the street and if possible a numerical measure of estimated disruption.				
53. The scheme requires applicants to supply details of the planned techniques to be used, such as open cut, trench share, minimum dig technique or no dig.			Ch. 9	
54. The scheme requires applicants to supply details of their traffic management proposals including applications for approval for portable light signals, including any requirement for action by the local authority, such as the need for Temporary Traffic Regulation Orders to facilitate the works.			Ch. 9	
55. The scheme requires that activity promoters provide their best estimate of the excavation depth as part of the application.			Ch. 9	
56. The scheme requires applicants to indicate whether the activity is intended to be completed with interim or permanent reinstatement or a mixture of both. If the latter, then details would need to be provided as to where interim or permanent reinstatements will be completed within that permit.			Ch. 9	
57. The scheme requires applications to include the provisional number of estimated inspection units appropriate to the activity.			Ch. 9	
58. The scheme requires all applications to include the contact details of the person appointed by the activity promoter to deal with any problems that may occur during the activity, including any provision made for out of hours contact.			Ch. 9	
<b>PERMIT CONTENT AND CONDITIONS</b>				
59. The scheme provides for each permit to specify the duration within which the specified works on a specified street are by that permit authorised.	R9 (6)		Ch. 9	
60. There is a commitment to date permits in calendar days not working days.			Ch. 9	
61. The scheme is designed so that in relation to category 0,1,2 and traffic sensitive streets, the planned commencement date and finishing date for the activity are the start and end dates respectively on the permit. The permit will not be valid before the start date on the permit and will cease to be valid one the end date has passed unless a variation is granted.			Ch. 9	
62. The scheme is designed so that category 3 and 4 streets that are not traffic-sensitive are effectively treated as 'noticing' – they will provide for permit start and end dates which should allow for flexibility in the start of the activity, but once the activity is started, it must be completed within the activity duration period specified in the permit. The starting window should be 5 working days for major and standard activities and 2 working days for minor activities.			Ch. 9	
63. The scheme is designed to ensure that working at weekends or on bank holidays is reflected in the permit start and end dates are			Ch. 9	

subject to any legislative costs.				
64. The scheme provides for the national permit conditions to be applied as appropriate.			Ch. 1	
65. The scheme provides that the permit will specify in detail the activity it allows and the conditions attached.			Ch. 9	
66. The scheme provides that any constraints in the original application should be reflected in conditions in the permit.			Ch. 9 & 12	
67. The scheme provides that an issued permit will contain all the conditions attached to the permit so that there is no ambiguity about the validity and terms of the permit.			Ch. 9 & 12	
68. The scheme imposes a national condition that requires the permit reference number to be prominently displayed for each set of works.			Ch. 12	
<b>TIME LIMITS FOR RESPONSES TO APPLICATIONS</b>				
69. The scheme sets out times in which the Permit Authority will respond to applications for: PAAs; Variations of permits; and permit conditions.	R 16		Ch. 8	
<b>ISSUE OF PERMITS: PROCEDURE</b>				
70. The scheme provides that the permit will be placed on the permit register and copied to any undertaker, authority or other relevant body that has asked to be informed about activities on a particular street.			Ch. 6	
71. The scheme provides that a permit will be issued to the promoter for every permit that is granted.			Ch. 9	
72. The scheme provides that all permits will be given a unique reference number (following the EToN numbering conventions).			Ch. 9	
73. The scheme provide that permits will be marked so as to indicate cross references to any linked permits which have also been issued.			Ch. 9	
<b>REVOCAION AND VARIATION OF PERMITS</b>				
74. The scheme includes provisions to enable the Permit Authority to vary and/or revoke permits and permit conditions.	R15 (1)		Ch. 15	
75. Where a condition is specified in a permit, the Permit Authority much use the wording and numbering for that condition set out in the Statutory Guidance – Permit Scheme Conditions issued 17 March 2015.	R10 (6)		Ch. 12	
76. The scheme includes a statement of the Permit Authority's policy as to the circumstances in which it will review, vary or revoke permits on its own initiative.			Ch. 15	
77. The scheme sets out the process by which: a promoter who no longer requires a permit for an activity can request the authority to revoke or cancel a permit that has already been issued; or an authority can cancel or withdraw an application that has been submitted but for which a permit has not yet been granted.			Ch. 15	
78. The scheme sets out clearly how application for variations to permits or conditions should be made. It provides that			Ch. 15	

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where the existing permit has more than 20% of its duration or more than two working days to run, whichever is the longer, the promoter shall apply for a variation electronically.				
79. The scheme stipulates that in any other case, the promoter shall first telephone the Permit Authority to ascertain whether the authority is prepared to grant a variation and only apply, again electronically, if the authority is so prepared.			Ch. 15	
80. The scheme specifies the information that needs to be included in an application for a variation or revocation of a permit or permit condition.	R15 (2)		Ch. 15	
<b>OTHER MISCELLANEOUS ASPECTS OF SCHEME CONTENT</b>				
81. The permit scheme has taken into account and known national infrastructure projects e.g. Broadband roll out and rail projects etc.				The BD(UK) project and subsequent rural broadband works have been considered as part of the investigatory works carried out during the compilation of the fee matrix.
<b>FEES</b>				
82. The proposal provides the evidence considered by the Permit Authority when deciding on the proposed fee levels and the reasons for their decisions.	R4 (f)		Fee Matrix	Fee Matrix submitted separately.
83. Permit fees are within the maximum specified and appropriate only to the added value being included.	R29 & R30		Fee Matrix	
84. The scheme sets out the range of fees that may be charged and the criteria which are taken into account when determining how the applicable fee is identified from the range.	R30 (2)		Appendix D	
85. The scheme provides that where a permit variation would move an activity into a higher category, the promoter will be required to pay the difference between the permit fees for the two categories as well as the permit variation fee.			Ch. 15	
86. The scheme provides that where, through no action, failing or fault on the part of the promoter, the Permit Authority revokes the promoter's permit, no fee should be payable for the new permit.			Ch. 15	
87. The permit scheme sets out the circumstances in which the permit fees are discounted.			Ch. 18	

# Lincolnshire Permit Scheme



LiPS Consultation Report



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### 1 Introduction

- 1.1 The Lincolnshire Permit Scheme (“the LiPS”) formal consultation ran for an initial period of 3 months commencing on March 1<sup>st</sup> 2016 with the deadline for receipt of responses no later than May 31<sup>st</sup> 2016. An online survey also formed part of the consultation process.
- 1.2 A joint meeting held by LCC and Statutory Undertakers took place on March 15<sup>th</sup> 2016 where the scheme could be discussed, and any issues raised. Following the meeting, an agreement was made to extend the consultation deadline to June 10<sup>th</sup> 2016 to allow any proposed changes to be reviewed and considered. No significant changes were made.
- 1.3 The draft Scheme Document and accompanying covering letter was issued to 691 stakeholder organisation contacts including statutory consultees DfT, neighbouring Highway Authorities, Utilities and emergency services. A full list is provided within this document.
- 1.4 Some organisations had a number of consultees within them and if known those individuals were contacted directly. The total number of email addresses / individual contacts made was 437.
- 1.5 Of the consultees, there were eight (8) stakeholder organisations individual comments on the proposed Permit Scheme received by the deadline. The online survey received 114 responses; however there were only 8 complete responses, 6 of which from members of the public who were happy with the introduction of the scheme. There were 106 incomplete responses.
- 1.6 A list of comments received are provided in this document including those from the joint meeting held on March 15<sup>th</sup> 2016.

## 2 Summary of Responses

### CONSULTATION RESPONSES

<b>CONSULTATION RESPONSES</b>			
<b>NOTE:</b> Where responses effectively duplicate those already covered under another respondee, these are not listed or responded to individually to aid clarity.			
<b>Name / Organisation</b>	<b>Scheme Doc Ref</b>	<b>Comment</b>	<b>Response</b>
Virgin Media	3.1.2	Virgin Media are disappointed that Lincolnshire County Council's Permit Scheme and associated fee's will apply to all classification of roads. If the council chooses to apply permits to 100% of streets, contrary to advice from Ministers, Virgin Media requests that Lincolnshire County Council grant permits for category 3 and 4 roads by default and for those permits to be at zero fee levels.	The charging mechanisms are set out by regulation and fees are allowed on all roads if required by the scheme. The fees set relate to Lincolnshire County Council's need to cover the costs of operation.
Virgin Media	18.4.4	Virgin Media acknowledge that Lincolnshire County Council will be following the DfT/HAUC guidelines for applying a discount for working wholly outside traffic-sensitive times, but request that works on category 3 and 4 roads are granted by default and for those permits to be at zero fee levels.	The charging mechanisms are set out by regulation and fees are allowed on all roads if required by the scheme. The fees set relate to Lincolnshire County Council's need to cover the costs of operation.
Virgin Media	18.4.5	What happens to revenue generated from permit fees if they exceed the allowable cost of the scheme?	In the event that there is a surplus in a given year, the money will be applied towards the costs of the scheme in the next year and the fee levels adjusted accordingly as required by regulations.
Anglian Water	6.2.7	This refer to 5.5, but there isn't a 5.5 within the document	This will be amended. Please refer to 9.2
Anglian Water	9.2.4	Promoters would need to know under what circumstances an illustration is required, as promoters could not provide this on all permit applications.	Illustrations/TM will be requested by LCC on a case-by-case basis dependent on the location of works and activity proposed.
Anglian Water	9.2.7	Can this be reworded so that this is only required if anything other than the normal hand dig or mini digger is used.	Noted. The methods used by promoters can have a significant effect on the level of disruption on

		What benefit does this give?	the network. Methodologies assist in the overall permit assessment.
Anglian Water	9.2.9	Why is this necessary, under legislation we have 6 months to do interim to permanent, and at time of doing the permit application would not know when permanent would be done if we had to interim. We often plan to do permanent but then for operational reasons have to interim; this would not be known at the application stage.	Noted. This does not direct you to complete first time permanent reinstatements. This can be reworded for clarity.
Anglian Water	9.2.17	Need to add exemptions to S58 for clarity	Legislation outlines exemptions to s.58 which LiPS will adhere to.
Anglian Water	10.1	Need to define if early start requests are by email, telephone or EToN so that we have a consistent approach.	All methods stated in 10.1 are accepted by LCC for requesting early starts. The method used by the promoter could dependent on how much notification is given for the early start request.
Anglian Water	12.1.2	Under legislation it says that the Highway Authority imposes the conditions, promoters will add the conditions they believe are relevant.	Legislation states the Authority “May” impose conditions. It is essential that everyone involved in highway activities takes both the co-ordination objectives and the broader TMA objective of expediting the movement of traffic into account. If the promoter is aware of conditions relevant to their work, these should be added to the permit application. LCC may impose conditions they feel necessary.
Anglian Water	12.1.3	PMR should always be used when requesting additional conditions	PMR’s will generally be used if only changes to conditions are required in the permit application. Refusals relating to conditions may be included if there also other errors within the permit application.
Anglian Water	18	Can LCC send a proforma detailing proposed permit charges for checking and agreement on a fortnightly basis. Receipt of a months data in one go would be difficult to turn around in the required timescales.	Noted. This can be discussed individually between promoter and LCC but will not be written into the scheme document.

Anglian Water	18.3.1	If permits are charged for work carried out on fire hydrants, this will be recharged back to Lincolnshire C C by the Water Undertaker, the majority of permit schemes have the following statement in this section. · Any work undertaken on a fire hydrant.	Noted. There are also exemptions for fire hydrants in 5.3
Vodafone	9.2.6.5	Illustrations – Vodafone does not have the facility to attachment TM Plans to Permit Application. As attachments by EToN are not mandatory, please confirm the process for sending attachments by other means – for example, TM Plans reference a Permit Application but sent by email – please confirm the email address/ TRRO’s via website application.	TM Plans referencing a Permit Application sent by email will be accepted. Currently the email address for TM Plans is highways@lincolnshire.gov.uk However, due to the organisational restructure taking place this may change in the future. Should this happen, advance notification will be given to all affected parties.
Vodafone	10	<b>Early Starts</b> – Until the HAUC England Permit Forum Advice is agreed we suggest a method of agreeing Early Starts. Can you confirm which method you would require; e.g. - before or after a permit application has been sent.	In any case the promoters must apply for a permit giving the correct lead time. IF an early start is requested, this should be made via EToN Comment.
Vodafone	18.4.4	Working only outside Traffic Sensitivity Times/Collaboration/Incentive Works - Can we asked how you are going to manage the application of any discounts to the Fee Structure?	Promoters wishing to claim incentives provided in LiPS should provide evidence either in their permit application or via site photographs of the qualifying discount. This will then be applied when either processing your application or at draft invoice stage.
Vodafone	15	We also ask that when an Authority forced permit variation is issue, this is management to ensure no additional fee is raised.	There is no charge for Authority Imposed Variations (AIV) and discounts will be applied where required.
Vodafone	18.3	Vodafone welcomes the initiative to discount and incentivised activities but asked how will these be managed to ensure the discounts are given when Permit Fees are checked and Invoices? We believe that the additional administration required to gain the incentive may be greater than the discount being provided and suggest that this is providing automatically if the works meet the criteria.	Promoters wishing to claim incentives provided in LiPS should provide evidence either in their permit application or via site photographs of the qualifying discount. This will then be applied when either processing your application or at draft invoice stage.

Vodafone	17.2	Can you clarify that this section refers to Temporary Traffic Restriction Notices (TTRN) as which 17.1 TRRO's?	As stated, this applies to Immediate activities only as a response to an emergency closure. Planned works requiring a closure will go through TTRO process.
<b>LCC UTILITY MEETING</b>			
All UTILITIES	Fee Matrix	<p>The utilities expressed concern that there may be hidden charges. Lincolnshire County Council confirmed that this would not be the case. The utilities thanked Lincolnshire County Council for using common sense.</p> <p>The utilities queried why only major activity greater than 11 days duration also mentioned the use of a TTRO – what happens if utilities needed a road closure for one day or if it was needed in an emergency – would the utilities have to pay a higher rate? (Why could something not be charged for up to a three day duration). To be discussed with Mouchel.</p>	<p>The DfT issued a revised fee structure for permitting set out in paragraph 23 of the “Additional Advice Note – for developing and operating future Permit Schemes” dated February 2013. This was in response to the government’s request to all authorities who operate or intend to operate schemes to facilitate the roll-out of superfast broadband infrastructure. As a result, major works have been divided into 3 charge categories. Any works requiring a closure will attract the higher charge irrespective of duration.</p> <p>The fee structure will remain as guided by DfT.</p>
	<b>Scheme Document</b>		
	5.2	Temporary Traffic Control – needs clarification as to what this actually means. Agreed to amend to read "temporary traffic management". Amended	Amended
	6.2.7	Utilities referred to the reference to 5.5 Lincolnshire County Council agreed to amend – misprint.	Corrected
	9.2.7 – Methodology	What value does this add to the permit? Agreed to review.	The methods used by promoters can have a significant effect on the level of disruption on the network. Methodologies assist in the overall permit assessment. This will not be required on all permits but as requested by LCC on a case-by-case basis.

			Reworded in scheme document.
	9.2.9	Utilities indicated that sometimes they do a job and expect it to be a permanent solution and other times they have to return to a site – why have this as a condition. 9.2.9.2. explains this.	9.2 removed from scheme document and replaced with 9.2.9.2 for clarity.
	9.2.17	Section 58 – does not make any reference regarding exemptions to Section 58 and this should be added for clarity. Agreed to amend.	NRSWA 1991 (s.58) details all exemptions. The scheme document does not outline all exemptions as it will abide by those directed under NRSWA. Had all exemptions been included in the scheme document and NRSWA s.58 were to be amended in the future, the scheme document have to go out to consultation again to update and inform the changes. Referencing and abiding by NRSWA prevents the need for consultation should NRSWA s.58 be amended in the future.
	12.1.2. Conditions	Needs to be reworded – (this looks like the utilities should be putting on the conditions each time). Agreed to amend.	Under section 3.17 of the DfT Technical Specification for EToN 2013 it states: “Permit schemes introduce the concept of Conditions that can be applied to a Permit. The approach adopted is based on the promoter including Conditions in their PAA, Permit and Variation Applications. If the Primary Notice Authority is unhappy with the Conditions applied then the application is refused by issuing either a “Modification Request” or a “Refuse PAA / Permit / Variation” notification.”  I would urge against changes to this in the scheme document as direction is provided in the EToN

			<p>technical specification on how conditions are applied. LCC could have a 'local' agreement that promoters apply any relevant conditions be to TS / SSS routes only.</p> <p>The promoter applying conditions also gives greater accountability in planning and managing their work and not all permits will require conditions</p>
	12.2.2.	Lincolnshire County Council confirmed that the DfT statutory guidance would be taken as read so the utilities do not have to provide mandatory conditions every time an application was submitted.	<p>Reworded.</p> <p>12.2.1 states these do not need to be applied to the permits</p>
	12.3.2	. – Agreed to amend.	Amend 12.3.2 to read – Regulation 13 provides for the Authority to impose conditions on an activity that is not yet the subject of a permit. Effectively, conditions can be discussed and agreed with the promoter within the two hour period of time between an Immediate activity starting on site and the issuing of the Immediate permit application.
	15.7.2 – Extensions	utilities asked "what criminal offence would we be looking at"? Agreed to take it back to Mouchel.	Any breach of Regulation 19 (working without a permit) and Regulation 20 (breach of conditions) is a criminal offence and liable for prosecution.
	15.10 – Multiple Excavations	Utilities asked if Lincolnshire County Council intended to enforce this. Lincolnshire County Council indicated that this would be enforced if Lincolnshire County Council were incurring additional administration costs. Do Lincolnshire County Council really need to know every single hole which is dug by utility companies? Agreed to	<p>Yes – LCC will need to know of ALL excavations as under S.59 of NRSWA 1991, all authorities have a duty to protect the structure of the street and the integrity of the apparatus in it.</p> <p>Promoters are required under s.70 of NRSWA to inform the authority</p>



		review.	of all excavations undertaken by way of registration of reinstatement and failing to do so is a criminal offence under s.70 (6).
	15.10.5	– Utility companies needed to be accurate in what they are telling Lincolnshire County Council. Registration needs to be clear "in line with Section 70" needs to be added.	Amended
	16.1 – Illegitimate Phasing	This would never happen so why have a section on it. Agreed to review	History shows that this is a common problem across the industry and has been discussed at HAUC meetings and the issue of illegitimate phasing accepted by the DfT. If promoters are confident this does not apply to them there shouldn't be any issue, however I would advise this remains so there is a clear outline of expectations should this issue arise.
	18.3.1 – Fees	Waiving fees on water hydrant works – utilities to include this point in their feedback to the consultation.	amended 5.3 to read – Testing of water hydrants, provided the work is done outside traffic-sensitive periods
	18.4.4.3 –	Discussion ensued regarding working outside traffic sensitive times.  Concern was expressed that invoices needed to be sent to the utilities at least every two weeks and needed to be split as each utility company would need to scrutinize these carefully prior to payment being authorised.	Timing of invoices can be discussed and agreed individually between promoter and LCC and is not dictated within the scheme document due to promoters operating differently. Some require 28 days, others 14 days.
<b>Other Comments</b>			
Natural England		Natural England does not consider that the Lincolnshire Permit Scheme poses any likely risk or opportunity in relation to our statutory purpose, and so does not wish to comment on this consultation.	

Ingoldmells Parish		Ingoldmells Parish Councillors considered the objectives and benefits of the scheme at a recent meeting of the Council and had no hesitation in giving their full support to the proposal.	
Vodafone		Vodafone is concerned that if a Permit Modification Request is made by LiPS to an application; any extra conditions are sought once only. In other Permit Schemes around the country we have seen many PMR transactions, each one asking for another condition to be added before the permit has been granted. Obviously in certain situations there may be occasions where a new condition is necessary, however these will be rare exceptions in planned and programmed works. With a One Stop Shop approach to PMR's, this will save time and resources needed elsewhere both at the authority's office and our own.	Noted. It is our intention to issue one PMR where required. If the application received is still incorrect, it will be refused and a new permit application must be submitted.
Vodafone		Operational District Files – We would request you send the Operational Files both to GEO and myself at the appropriate time so we can ensure the EToN System will be ready for Go-Live.	OD files will be sent as required to all parties prior to the introduction of permitting.
Vodafone		Permit Scheme Legal Order – Please send a copy of the Legal Order and the associated Scheme Documents, Attachments, Processes and Contact Lists to myself in advance of the introduction of the Scheme.	This will be sent to all promoters prior to the introduction of permitting.
		Some Carriageway Incursion - Until the HAUC England Permit Forum Advice agrees a Best Practice on this issue, can we agree for your Scheme what constituents ticking the EToN TM box.	It's not exactly clear what you are asking in reference to 'ticking the EToN Tm box' as EToN systems look and operate differently. If the proposed works are in the c/w but does NOT impact the available lanes to the point of requiring TM as defined in the COP then this would be classed as some carriageway incursion.
		<b>Processing of Fees</b> – Your statement in 14.7 reads that WBC will invoice on a Quarterly basis. You may have to amend this line as agreed at our pre-consultation meetings we discussed monthly draft and invoices.	This is inconsistent with LiPS / LCC and not taken from the scheme document. Please review as you refer to 'WBC'.

		Vodafone would ask that a Draft Permit Fee List is produced Monthly for checking by undertakers. Can you confirm this is your intention to issue draft lists and further when agreed, issue bulk invoices also on monthly basis.	LCC will work with promoters individually to agree preferred invoicing methods.
Historic England		<p>Thanks you for consulting Historic England on Lincolnshire county Council's proposals to introduce a permit scheme for the management of street works activities on the public highway across the county under Part 3 of the Traffic Management Act 2004 and the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015.</p> <p>We would take this opportunity to remind you to be aware of any designated heritage assets that may be affected by any individual permitted street works activities under the new scheme. In particular we would remind you that any works within any of the scheduled monuments in the county may also require Scheduled Monument Consent (SMC) in addition to consent from yourselves as the local highway authority. Historic England will of course be pleased to provide you with advice in relation to any proposed works either within or in close proximity to a scheduled monument in the future.</p>	
Market Deeping Town Council		On behalf of Market Deeping Town Council that the members are in agreement with this scheme and are pleased to see that something is being arranged to take control of the highways when works are planned	
<b>Name / Organisation</b>		<b>Comment</b>	<b>Response</b>
<b>1. Had you heard of the Permit Scheme before?</b>			
WPD		Yes	
<b>2. Do you consider that</b>			

<p><b>a Permit Scheme is suited to the needs of Lincolnshire?</b></p>			
<p>WPD</p>		<p>No. We think that the existing powers and responsibilities under the New Roads &amp; Street Works Act 1991 and the Traffic Management Act 2004 are better suited to the needs of Lincolnshire. Lincolnshire is a mostly rural county with key urban centres (e.g. Lincoln, Boston, Grantham, Stamford) with a growth plan that encourages economic development (especially around increased housing) and this will add additional costs and resources to utility companies providing the essential services to support this.</p>	<p>A permit scheme has the potential to improve management of all works on local road networks and significantly reduce unnecessary disruption to road users. The new powers will also allow LCC to agree conditions to ensure that works are expedited and are undertaken in the most efficient manner. The combined effect of these powers has been to contribute to improved coordination and reduced disruption.</p> <p>LCC is not the first rural county to introduce a permit scheme and the increased discipline required under the permitting rules has improved existing processes within works promoter organisations, which has enhanced the quality of information relating to proposed works received by permit authorities.</p>
<p><b>3. Do you think the Permit Scheme reflects the statutory guidance for permits?</b></p>			
<p>WPD</p>		<p>No. There are a number of uses of the word ‘must’ that is not supported in the Statutory Guidance for Highway Authority Permit Schemes (October 2015). Without listing each instance, as this is for Lincolnshire County Council to ensure their document is correct, an example is LiPS - 9.2.3 Description of activity – refers to information that must be included DfT Statutory Guidance – 3.27 Description of activity – refers to information that should be included Please amend the scheme to reflect the correct wording in the Statutory Guidance ensuring that all “must”, “should” and “may” references are used as defined.</p>	<p>The regulations provide a framework for EToN and in this case SHOULD only means it’s not a statutory requirement, it is still ‘strongly recommended’. Ultimately what promoters have to submit for permits is dictated by the EToN spec and if they don’t provide the required info then they will not get a permit. As this is how the EToN spec works in practice and this is the spec all permit schemes must work to, LiPS has been worded with the practicalities of EToN in mind and ultimately failing to provide enough information will mean the permit is not granted therefore for the sake of consistency with all</p>

			<p>schemes, and for the sake of being clear of the requirements of the scheme it has been worded as such. While recognising the fact that DfT use these terms differently, they are a statutory consultee and have thus far not objected to the use of must, should, may within the scheme document when outlining permit requirements.</p>
WPD		<p>There is reference to the Code of Practice for Permits. This has been withdrawn by the DfT.</p>	<p>LiPS has acknowledged in 1.3 of the Introduction that Previous Statutory Guidance and Codes of Practice on Permit Schemes are no longer valid, but may provide background information to support the initial stages of scheme development and may still reference these documents.</p>
<p><b>4. Do you think the Permit Scheme accurately reflects the requirements of The Traffic Management Permit Scheme (England) Regulations 2007?</b></p>			
WPD		<p>No. There are a number of uses of the word ‘must’ that are not supported in Regulation. There are also some instances of the EToN specification being given precedence over the Regulations. For example; LiPs – 12.1.2 ...”it is for the activity promoter to supply the required conditions as part of their permit application” SI 3327 2007 – Regulation 10 (1) – “A permit scheme shall include provision for the Permit Authority to attach conditions to permits, and shall specify the types of condition which the Permit Authority may attach.”</p>	<p>While the authority is able to impose conditions it is still for the promoter to submit with their application. We recognise this discrepancy between the regulations and the actual practicalities of the EToN spec, but we have to find a balanced way of writing the scheme doc and ultimately that has to reflect the realities of permitting – 1) there is no facility for local authorities to attach conditions to a permit response, and (2) as we need to be sure that promoters understand that the authority is not going to propose conditions on every</p>

			application as this may then then fall foul under CDM/means we are planning works in a manner that may not be suitable, (3) promoters already work in a similar manner across the country and have signed up to schemes where this is also accepted.
WPD		We would like an explanation as to why Section 69 of NRSWA is referenced in 9.2.18 as the Permit Scheme does not alter any existing obligations under this part. Its inclusion is unnecessary.	LiPS does not state its intention to alter s.69 of NRSWA. This was included as a reference of considerations when reviewing applications for works that may affect other apparatus and this is relevant to the scheme. Other NRSWA references such as s.58 are also made in the scheme.
<b>5. Do you understand what conditions may be applied in granting a permit?</b>			
WPD		We are aware of the Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions, and note that LiPS will use these as directed. We hope that Lincolnshire County Council will use the powers to apply conditions in an appropriate and reasonable way.	
<b>6. Are the penalties for not correctly applying for a permit clearly identified?</b>			
WPD	Yes		
<b>7. Are the penalties for not abiding by permit conditions clearly</b>			

<b>identified?</b>			
WPD	Yes		
<b>8. Do you think that the monitoring proposed for the Scheme is adequate?</b>			
WPD		We note that proposals seem appropriate for the monitoring of the operational running of the scheme. We expect that Lincolnshire County Council will deliver these proposals, and look forward to seeing the regular reporting of performance. We would like to see clarity on how Lincolnshire County Council will provide evidence of the permit scheme delivering on the primary objectives listed in LiPS 2.1.	Section 20 refers to Regulation 4(d) and 16A which outlines expectations of monitoring and reviewing scheme performance.
<b>9. Do you understand the transition arrangements for the Permit Scheme?</b>			
WPD		Yes. Following experience with other schemes, it is suggested that discussions are had with each activity promoter who needs to re-serve existing notices as permits (starting 1 month after) so these do not all arrive on the first day of the scheme. Following EToN interoperability issues this year between WPD & LCC, there will need to be close liaison at the start of the scheme to ensure all transactions are being received correctly on both sides. This is especially important given the declaration that there will be no grace period for permit fees or Fixed Penalty Notices. We therefore expect Lincolnshire County Council staff to be fully competent in all aspects of Permit Scheme administration in order for the fees and FPN's to be applied – we do not feel it reasonable to be paying for a service where staff are still in training.	LCC has already flagged this with their IT providers as part of the transitional arrangements for the Permit Scheme and it is hoped that lessons learned from the previous interoperability issues will prevent there being a re-occurrence of preceding events. Comprehensive training will take place prior to the introduction of LiPS to ensure that staff are fully competent in all aspects of Permit Scheme administration.
WPD		We also expect that the process for managing the significant number of permit fees will be agreed an established before the scheme goes live, to prevent the situation where there is a backlog of invoices on the	LCC will work with promoters individually to agree preferred invoicing periods /methods.

		Highway Authority side, especially where the works are customer related.	
<b>10. Are there any aspects of the Permit Scheme that require further clarification?</b>			
WPD		<p>This may be our interpretation of the document, but the figures do not provide a compelling case for this scheme. It is not easy to understand how the Benefit figure of £64,981,889 and the Cost figure of £33,860,140 have been reached. The costs do not include the costs to Utilities, of not only the permit fee, but all of the additional costs associated with working under an all streets permit scheme. It would have been useful to have detail of the level of use of existing powers such as Section 56, Section 56A and Section 66 to understand the effectiveness of these powers in achieving Lincolnshire’s objectives, and the additional improvements expected by the Permit scheme.</p> <p>It is important to establish the current levels of congestion, or delays to road users, shown by street works (with Section 50 works shown separately), road works or events in order to clearly track the progress of the success of the permit scheme, and justify the additional costs to utility customers and Lincolnshire residents. It must also be remembered that we will still need to carry out our works, whether they are repairs, new connections, maintenance or investment works, including traffic management to ensure a safe workforce and public. The permit scheme cannot impose conditions to minimise delays that may negatively impact on the business of any works promoter or the safety of its staff or the public. We feel that the current legislation and Code of Practices under NRSWA &amp; TMA are robust enough for Lincolnshire County Council to effectively fulfil their Network Management Duty in regards to street works and road works.</p>	<p>This CBA contained quantitative elements of analysis based on the use of QUADRO (QUeues And Delays at ROadworks) modelling to assess the potential impact of road works and the positive affect a permit scheme could have on these works. These models used traffic data together with road works volume and duration data for a selection of representative road works sites. The CBA business case calculated the cost per day for each traffic management type on each street type. As the overall benefit outweighs the cost of the scheme, this is positive and supports the move into permitting.</p>



### 3 Consultation Distribution List

<b>Authorities</b>	<b>LCC Service Consultees</b>
Nottinghamshire County Council	Secretary of State
Leicestershire County Council	Lincolnshire Police
	Lincoln HQ Fire and Rescue
	East Midlands Ambulance Service NHS Trust
Northamptonshire County Council	Environment Agency
Cambridgeshire County Council	Primary Care Trust
	English Heritage
Norfolk County Council	Lincolnshire Chamber of Commerce
Rutland County Council	National Farmers Union
City of Lincoln Council	British Horse Society
North Kesteven District Council	Country Landowners Association CPRE (Lincolnshire)
South Kesteven District Council	British Waterways DEFRA
West Lindsey District Council	Natural England Highways Agency
East Lindsey District Council	Network Rail Department for Transport
Boston Borough Council	National JAG
South Holland District Council	National JUG
	Lincolnshire Association of Local Councils
<b>UTILITIES</b>	<b>LCC Operators</b>
ANGLIAN WATER	Amvale
BT	Brylaine
ES Pipelines Ltd	Centrebus
Fulcrum Pipelines Ltd	(Head office address)
GTC	Delaine Buses
Harlaxton Energy Networks	J.R Dents Coaches
National Grid Gas Plc	Fowler's Travel
NETWORK RAIL-PROMOTERS NATIONAL	Grayscroft Coaches
Northern Powergrid (Yorkshire) plc	Haines Coaches Hunts Coaches
SEVERN TRENT WATER LTD.	Kettlewells
Telefonica (O2 (UK) Limited)	Kier Passenger Transport
T-Mobile (UK) Limited (Ericsson)	Mark Bland Travel Norfolk Green
VIRGIN MEDIA	PC Coaches
Vodafone	Redbus
Western Power Distribution	Shaws

## Lincolnshire County Council LiPS Consultation Report

(Midlands)	Sleafordian
	Stagecoach in Lincolnshire
	Stagecoach in
	Peterborough
	TC Mini Coaches
	Lincoln Area Dial-a-ride
	Christ Church Community Transport
	BCS Travel Services
	P.C Coaches
	Stephensons Coaches
	D & J Dickinson

<b>LCC Section 50's</b>	
A & A Services (Lincoln) Ltd	JJ Mac Ltd
A C Moore Construction Ltd	JKS Civil Engineering Ltd
A Coupland (Surfacing) Ltd	(Lincoln)
A D Bly Construction Ltd	JMH Directional Drilling Ltd
A J Freezer Water Services Ltd	John Martin Hoyes Ltd
A.Coupland (Surfacing) Ltd	Johnson + Smith (Lincoln) Ltd
A.J. Freezer Water Services Ltd	K Walsh
ACM Homes Ltd	Kirk Homes Ltd
Acrabuild (Anglia) Ltd	KRB Builders Ltd
Active Works Ltd	LAC Groundworks Ltd
Adroit Utilities Ltd	Lawless Civils Ltd
Ajet Drain Services Ltd	Lincs Civil Engineering
ATB Civil Engineering Ltd	Lincs Pumps + Pipelines Ltd
Atlas Building & Civil Engineering Ltd	Lincs Water Services Ltd
AWH Utility Services Ltd	Lindum Construction
B W Cook Construction Ltd	Lindum Construction
BAM Nuttall Ltd	LMH Civil Engineering
Black Sluice Internal Drainage Board	M & J Evans Construction Ltd
Burmor Construction Ltd	Maher Millard Construction Ltd
C A Blackwell	Ltd
C G Godfrey Ltd	Manterfield Drilling Ltd
C.J. Holmes + Son Ltd	Marriott Builders
Carillion Construction Ltd	Matrix Networks Ltd
Cascadia Water Ltd	Maypine Construction Ltd
Catsurveys Group	Michael Franks
Celtic Construction	Minster Surfacing Ltd
Chris Booth	Morland Utilities Limited
Clarks Construction Services	MPC Services (UK) Limited
	Mr Ian Morris
	MSC Services (Yorkshire) Ltd
	Multiserve Utilities

## Lincolnshire County Council LiPS Consultation Report

Daniel Charles Construction Ltd	NR Groundworks Ltd
DBC Plant Hire	NRI Civils Ltd
Dean Le-Hair Construction	Oakfield Construction
Diamond Pro Build Ltd	O'Boyle Brothers Ltd
Dowling Civil Engineering Ltd	P & H Construction Services Ltd
Dragon Infrastructure Solutions Ltd	P + R Plant (Hire) Ltd
Durman Stearn Civil Eng Ltd	P.J. Towe Construction Ltd
EJ Civils	P.N. Daly Ltd
Express Pipe Laying & Repairs Ltd	Pell Plant Hire Ltd
Fearn Plant Ltd	Pete Smith Site Services Ltd
Fox (Owmbly) Ltd	Plaza Builders Ltd
Fox Owmbly Ltd	PN Daly Limited
Foxhall Construction Ltd	Postland Developments
Freedom Cable Infrastructure	PWG Connections Ltd
Future Utility Solutions	R & D Construction Ltd
G F Tomlinson Building Ltd	RCD Utility Services Ltd
GEDA Construction	RG Carter Building Ltd
Gelder Group	Robert Woodhead Ltd
Giddy Construction Ltd	S.P. Bardwell Ltd
GPC Land & Water Solutions Ltd	Sean McCann Civils
Grayham Lidgett Builders Ltd	Smith Construction
Harlaxton Engineering	(Heckington) Ltd
	South Holland Internal
Services Ltd	Drainage Board
Harvey Smith	Structural Soils Ltd
Hollymark Groundworks Ltd	Sustainable Energy Connections Ltd
Howard Ward Associates	Taylor Bradley Ltd
HSL Construction Ltd	Taylor Plant Limited
Ian Morris	TDK
Infrastructure Gateway	Trent Build Ltd
J Breheny Contractors Ltd	Tyrrell Contractors Ltd
J E Spence & Son Ltd	UK Power Solutions
J J Mac Ltd	UKDN Waterflow
J Murphy & Sons Ltd	Vere Bros (Contractors) Ltd
J R Pickstock Ltd	W J Birch UK Ltd
J. Breheny Contractors	Wells Plant Hire
J. Murphy and Sons Limited	Western Power Distribution
J.E Spence & Son Ltd	Westleigh Developments Ltd
James Bratton & Co	Westmoreland Civil
Javellin Irrigation Systems Ltd	Engineering Ltd
	Witham Valley Civil
	Engineering Ltd
	YorkBuilder Ltd

## Lincolnshire County Council LiPS Consultation Report

JE Spence & Son	YRS Utilities Ltd
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Cllrs	
Councillor Bob Adams	Councillor Dawn Charmaine Morgan
Councillor Mark Guy Allan	Councillor Neil McElhinney Murray
Councillor William James Aron	Councillor Mrs Angela Mary Newton
Councillor Alison Mary Austin	Councillor Patrick Joseph O'Connor
Councillor Mrs Victoria Carolyn Ayling	Councillor Mrs Marianne Jane Overton MBE
Councillor John William Beaver	Councillor Clive Ronald Oxby
Councillor Mrs Patricia Anne Bradwell	Councillor Christopher Pain
Councillor David Brailsford	Councillor Stephen Leslie William Palmer
Councillor Christopher James Thomas Harrison Brewis	Councillor Robert Bernard Parker
Councillor Anthony Bridges	Councillor Nigel Harry Pepper
Councillor Mrs Jacqueline Brockway	Councillor Raymond John Phillips FRICS FAAV MRAC
Councillor Michael Brookes	Councillor Mrs Helen Nunziatina Joan Powell
Councillor Kevin John Clarke	Councillor Miss Elizabeth Lucy Ransome
Councillor Colin John Davie	Councillor Miss Felicity Elizabeth Ellen Ransome
Councillor Richard Graham Davies	Councillor Mrs Sue Ransome
Councillor Philip Maurice Dilks	Councillor Mrs Susan Rawlins
Councillor Sarah Rosemary Dodds	Councillor Mrs Judith Mary Renshaw
Councillor Geoffrey John Ellis	Councillor Robin Anthony Renshaw
Councillor Richard Geoffrey Fairman	Councillor Mrs Anne Elizabeth Reynolds
Councillor Ian Gordon Fleetwood	Councillor Peter Allan Robinson
Councillor Robert Lloyd Foulkes	Councillor Mrs Lesley Anne Rollings
Councillor Andrew Gibson Hagues	Councillor Reginald Alan Shore
Councillor Martin John Hill OBE	Councillor Mrs Nicola Jane Smith
Councillor John Duncomb Hough	Councillor Mrs Elizabeth Jane Sneath
Councillor Denis Colin Hoyes MBE	Councillor Charles Lewis Strange
Councillor Dean Michael Hunter-Clarke	Councillor Mrs Christine Anne Talbot
Councillor Robin James Hunter-Clarke	Councillor Thomas Martin Trollope-Bellew
Councillor Neville Ian Jackson	Councillor Anthony Herbert Turner MBE JP
Councillor Alan James Jesson	Councillor Stuart Miles Tweedale
Councillor Marc Stuart Jones	Councillor William Scrimshaw Webb
Councillor Burton Walter Keimach	Councillor Mark Anthony Whittington

## Lincolnshire County Council LiPS Consultation Report

Councillor Ms Tiggs Keywood-Wainwright	Councillor Paul Wood
Councillor Stuart Francis Kinch	Councillor Mrs Susan Woolley
Councillor Rosanne Christina Kirk	Councillor Linda Wootten
Councillor Colin Edward Daniel Mair	Councillor Ray Wootten
Councillor Charles Edward Hugo Marfleet	Councillor Charles Nicholas Worth
Councillor John Rawdon Marriott	Councillor Mrs Susan Mary Wray
Councillor Robert Arthur Henry McAuley	Councillor Barry Young
Councillor Daniel McNally	

Parish Councils	
Wellingore	Osournby
Faldingworth	Sibsey
Fenton Parish Council	Frithville With Westville Parish Council
Frampton	Toynton All Saints
North Cotes	Toynton St Peter
Ingoldmells	West Keal
Carlby Parish Council	Thornton Le Fen
Laughton	Old Bolingbroke
Scotter	Belleau Parish Meeting
Covenham St Bartholomew	Market Rasen
Nocton	Skegness
Beesby Residents Association	Snitterby
Tumby	Aslackby And Laughton
Wildmore Parish Council	West Fen
Hagworthingham	Great Limber
Londonthorpe And Harrowby Without	Coleby
Wrangle	Chairman of: North Cockerington Parish Meeting
Stickney	Stewton Parish Meeting
Eastville, Midville And New Leake Group Parish Council	Walcott (nr Billingham)
Saxilby With Ingleby	Marton And Gate Burton
South Kyme Parish Council	East Keal Parish Council
Marston Parish Council	Thurlby Parish Meeting
Willoughton Parish Council	Walcot Parish Council
Firsby Group Parish Council	Grantham
Thorpe St Peter	Lutton
Morton And Hanthorpe	Horncastle Town Council
Amber Hill	Belchford And Fulletby
Benington	Welbourn
Butterwick	Westborough And Dry Doddington Parish Council

## Lincolnshire County Council LiPS Consultation Report

Freiston (nr Boston)	Foston
Knaith Parish Council	Potterhanworth
Blyton	Thoresway Parish Meeting
Cowbit	Digby
Grainthorpe	Swaton Parish Council
Cammeringham	Chairman of: Thorganby
Boothby Pagnell	Legsby Parish Meeting
Louth	Hemswell
Tetney	East Stockwith
Grayingham	Scotton
Addlethorpe	Gayton Le Marsh Parish Meeting
Market Deeping	Allington
Haconby And Stainfield	Ingham Parish Council
Market Stainton	Pointon And Sempringham
Sedgebrook	Lenton, Keisby, Hanby And Osgodby Parish Meeting
Walesby	Scamblesby Parish Council
Washingborough	Asterby And Goulceby Parish Council
Glentworth Parish Council	Stixwold And Woodhall Parish Council
Willingham Parish Council	Welton
North Hykeham	East Kirkby Parish Council
Tetford Parish Council	Utterby Parish Council
Beckingham	Toft Newton
Brant Broughton And Stragglethorpe	Sudbrooke
Saltfleetby Parish Council	Greetwell
Minting And Gautby Parish Council	Saxby
North Thoresby, Grainsby And Waithe Parish Council	Gayton Le Wold
Timberland	Springthorpe Parish Meeting
Martin	Glentham Parish Council
Woodhall Spa Parish Council	Ludborough
Hemingby	Croft
Ulceby With Fordington Parish Meeting	Halton Hologate
Kirton	Thimbleby
Pinchbeck	Great Gonerby
Horbling	Partney And Dalby Parish Council
Morton (nr Gainsborough)	Rauceby Parish Council
Witham On The Hill Parish Council	Skillington
Thurlby (nr Bourne)	Corby Glen
South Willingham	Carlton Le Moorland Parish Council
Sturton By Stow	Fishtoft
Carrington Parish Council	Algarkirk
Great Hale Parish Council	Honington Parish Meeting
Claypole	North Somercotes
Hemswell Cliff	East Ferry

## Lincolnshire County Council LiPS Consultation Report

Legbourne	Sutton St James
Edenham, Grimsthorpe And Elsthorpe	Newton On Trent
Stapleford Parish Meeting	Torksey
Fotherby	Swinderby
Scampton Parish Council	Wigtoft
Strubby With Woodthorpe Parish Meeting	Caistor
Castle Bytham	Claxby Parish Council
Fiskerton	Nettleton
Withern With Stain And Tothill Parish Council	Rothwell
Swaby Group	Swallow
Welton Le Marsh	Marshchapel
Willoughby And District Parish Council	Burgh On Bain Parish Meeting
Brookenby	Eagle And Swinethorpe
Stoke Rochford And Easton Parish Council	Witham St Hughs
Bilsby And Farlesthorpe Parish Council	Binbrook
Alford	Keddington Parish Meeting
Irnham	Leadenham
Aunsby, Dembleby, Scott Willoughby And Crofton	Grimoldby And Manby
Bigby	Ashby With Scremby
Great Ponton	Aubourn And Haddington
Swayfield Parish Council	Brocklesby Parish Meeting
Fosdyke Parish Council	Scothern Parish Council
Sutterton	Dunholme
Wyberton	Wickenby
Blyborough	Gedney Parish Council
Harmston	Sutton St Edmund
Bitchfield, Bassingthorpe And Westby Parish Meeting	Langrville
Cumberworth Parish Meeting	Pickworth Village Meeting
Northorpe	Dogdyke
Scrivelsby	Coningsby Town Council
Ranby	Newton And Haceby
Heckington	Mareham On The Hill
Mareham Le Fen	Bratoft Parish Meeting
Tattershall With Thorpe Parish Council	Boothby Graffoe Parish Meeting
West Ashby	Norton Disney
Riseholme	Upton
Hogsthorpe	Bucknall, Tupholme And Waddingworth Parish Council
Holton Cum Beckering Parish Meeting	South Witham
Sutton Bridge	Rippingale
Baumber	Sleaford Town Council
Long Bennington	Wilsford

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Mavis Enderby Parish Meeting	Little Hale
Harlaxton	Kirkby La Thorpe
Heighington Parish Council	Holbeach
Bicker Parish Council	Broadholme
Donington	Bardney Group Parish Council
Skidbrooke With Saltfleet Haven	Canwick Parish Council
South Somercotes Parish Council	Kirkby Underwood
Theddlethorpe Group	Brinkhill Parish Meeting
Ruskington	Maltby Le Marsh
Cranwell And Byard's Leap Parish Council	Kexby
Nettleham	Deeping St Nicholas
Anwick	Skellingthorpe
Swineshead Parish Council	Fillingham Parish Meeting
Orby	Pilham Parish Meeting
Mablethorpe And Sutton	Little Bytham
Haltham	Waddington
Harrington Parish Meeting	Spilsby
Deeping St James	Heapham Parish Meeting
Claxby With Moorby Parish Council	Caythorpe And Freiston Parish Council
Belton And Manthorpe Parish Council	Ashby, Bloxholm, Temple Bruer, Temple High Grange
Normanby By Spital	Little Sutton Parish Meeting
Denton	Horsington
Hough On The Hill	Langworth Group Parish Council
Dunston	Stickford
Great Sturton	Brattleby
Billingborough	Quadring
Asgarby And Howell	Bracebridge Heath Parish Council
Dowsby	Crowland
Dorrington	Branston And Mere
Barrowby	Fulstow
Silk Willoughby	South Kelsey
Ancaster	Friskney
Edlington With Wispington Parish Council	Aby With Greenfield
Ludford	Stamford
Little Cawthorpe	Huttoft
Kettlethorpe	Woolsthorpe By Belvoir
Uffington	Lincoln City Council
Stow	East And West Barkwith Parish Council
Burton By Lincoln	Swinhope
Ewerby And Evedon	Fulbeck Parish Council
Langtoft	Brampton Parish Meeting
Gainsborough	Tydd St Mary



## Lincolnshire County Council LiPS Consultation Report

Fleet Parish Council	Long Sutton
Maidenwell Parish Meeting	Middle Rasen
Grasby	Markby
Tealby	Careby, Aunby And Holywell
Tallington	Gosberton
Harpwell Parish Meeting	Rand
Baston	Benniworth
Chapel St Leonards	Buslingthorpe Parish Meeting
Old Leake	Claythorpe - No Parish Meeting Held
Burwell	Conisholme Parish Meeting
Thorpe On The Hill	Dunsby Parish Meeting
Bassingham	Goltotho Parish Meeting
Barkston And Syston Parish Council	Little Grimsby
Bishop Norton	Riby
North Kyme	Cherry Willingham
Colsterworth And District Parish Council	Muckton Parish Meeting
Gedney Hill	Waddingham
Ingoldsby	Keelby
Heydour, Oasby & Aisby	Folkingham
Surfleet	Wragby
Whaplode Parish Council	Holton Le Clay
Anderby	Wainfleet St Mary
Mumby	Wainfleet All Saints Parish Council
Corringham Parish Council	Alvingham
Roughton Parish Council	Hackthorn And Cold Hanworth
Kirkby On Bain	Spridlington
Hundleby	Brothertoft With Holland Fen
Threekingham Parish Meeting	North Scarle
Barholm And Stowe	Old Somerby
Donington On Bain	Metheringham Parish Council
Greatford	Reepham
Leverton	Langton By Spilsby Parish Council
South Cockerington	Revesby
Hougham	South Hykeham
Doddington And Whisby	Owersby
Swinstead	Lissington
Hatton Parish Meeting	North Kelsey
Tathwell And Haugham Parish Council	Rowston Parish Meeting
Ropsley And District	Hardwick Parish Meeting
Carlton Scroop And Normanton On Cliffe Parish Council	Thonock
Scredington Parish Council	Billingham
Helpringham	Lea
South Carlton	Stubton
Bourne	Weston

## Lincolnshire County Council LiPS Consultation Report

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West Deeping	Caenby Parish Meeting
Burgh Le Marsh Town Council	Toft Cum Lound And Manthorpe Parish Council
Navenby	Braceborough And Wilsthorpe Parish Council
Scopwick	Welton Le Wold
Leasingham Parish Council	Moulton
North Carlton Parish Meeting	Osgodby Parish Council
Great Carlton And Little Carlton Parish Council	Owmbly By Spital

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# Lincolnshire Permit Scheme



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## 1 Introduction

- 1.1 The Lincolnshire Permit Scheme (hereafter referred to as LiPS) has been developed in accordance with the powers provided in Part 3 of the Traffic Management Act 2004 (“TMA”) and the Traffic Management Permit Scheme (England) Regulations 2007 (“the 2007 Regulations”), Statutory Instrument 2007 No. 3372 made on 28 November 2007, as amended by the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015, Statutory Instrument 2015 No. 958 made on 26 March 2015 (“the Amendment Regulations”).
- 1.2 In preparing this permit scheme, Lincolnshire County Council (hereafter referred to as ‘the Authority’) have had regard to the guidance issued by the Secretary of State and the Department for Transport contained in the Statutory Guidance for Highway Authority Permit Schemes (October 2015) and the Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions (March 2015)
- 1.3 Previous Statutory Guidance and Codes of Practice on Permit Schemes are no longer valid, but may provide background information to support the initial stages of scheme development. They were as follows:
- Traffic Management Act 2004 Statutory Guidance for Permits – issued 28 March 2008;
  - Traffic Management Act 2004 Code of Practice for Permits – issued 28 March 2008;
  - Traffic Management Act 2004 Permit Fee Guidance – issued 1 July 2008;
  - Traffic Management Act 2004 Permit Scheme Decision Making and Development (2nd edition) – issued 1 November 2010; and
  - Traffic Management Act 2004 Additional Guidance for new Permit Schemes – issued 15 January 2013
- 1.4 The LiPS may still reference these documents.
- 1.5 The LiPS is currently a ‘Single-authority Scheme’ but may develop into a ‘Multi-authority Scheme’ should neighbouring authorities adopt this scheme for permitting.
- 1.6 The LiPS replaces the current ‘noticing’ system under the New Roads and Street Works Act 1991 (“NRSWA”) and will operate in a manner that demonstrates parity between applicants at all times and those departments dealing with permits and coordination will be separated from other highways activities.
- 1.7 Provisions of NRSWA that have been dis-applied and modified are set out in Appendix B. Activities licensed under Section 50 of NRSWA do not require permits and such activities will continue to be subject to those requirements of NRSWA as set out in *The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007* and the *Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters*, and as subsequently amended.
- 1.8 The Authority having prepared this scheme and prior to giving effect to this scheme have ensured that a full consultation in relation to the scheme is carried out which includes those stakeholders that are set out in Regulation 3.
- 1.9 The LiPS will come into effect from October 5th 2016 will be reviewed annually in accordance with Regulation 16A.

## 2 Key scheme objectives

2.1 The scheme's primary objectives are:

- to increase the efficient running of the highway network by minimising the disruption and inconvenience caused by road works and other highway events and activities through proactive management of activities on the highway
- to improve the quality and timeliness of information received from all activity promoters to increase and improve the publicly available data for integration into the Council-wide travel information
- to encourage a proactive approach to planning and undertaking of works on the highway from promoters and thus lessen the impact of activities on road users
- to protect the structure of the street and the integrity of the apparatus in it
- to improve the level of on-site compliance by works promoters ensuring works are correctly permitted and conditions adhered to
- to ensure safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities
- to ensure parity of treatment for all activity promoters particularly between statutory undertakers and highway authority works and activities

2.2 As required by regulations the Authority will provide metrics to show how the scheme is being operated and to measure whether the objectives are being met.

2.3 The performance metrics will be based upon statutory Traffic Performance Indicators and Lincolnshire Performance Indicators that will enable The Authority to monitor their own performance.

2.4 All the Authority and statutory undertaker activities will be included to show operational parity.

### 3 Scope of the permit scheme

#### 3.1 Streets covered in the LiPS

- 3.1.1 As required by Regulation 7, the “specified area” will be the geographical area encompassed by the Authority’s boundary.
- 3.1.2 All streets maintained by, or on behalf of, the Authority are included within this scheme as set out in Regulation 8. These are available on request and are identified within the authority’s Additional Street Data (ASD).
- 3.1.3 Trunk roads and motorways for which the Highways England is the highway authority are not included in the scheme.
- 3.1.4 Privately maintained streets are not included in this scheme but will be added if they are subsequently adopted by the Authority and will be shown as such within the local street gazetteer.
- 3.1.5 Activities on privately maintained streets will be recorded on the authority’s Street Works Register as notices under Section 53 of NRSWA.

#### 3.2 Street Gazetteer

- 3.2.1 For the purposes of the LiPS the term “street” refers to a length of highway associated with a Unique Street Reference Number (USRN).
- 3.2.2 The Authority will maintain and publish a gazetteer of all streets operating under the permit scheme to level 3 standard (as defined under BS7666) including the USRN and additional street data (ASD) which will contain the information required by, and defined in, the Technical Specification for EToN.

#### 3.3 Reinstatement designation

- 3.3.1 Reinstatement categories are defined in Section 1.3 of the statutory Specification for the Reinstatement of Openings in Highways (SROH) and are the same as those used under NRSWA. Designations for each street in the local street gazetteer will be provided in the authority’s ASD.

#### 3.4 Traffic-sensitive streets

- 3.4.1 Traffic-sensitive streets are defined under Regulation 16 of The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007.

#### 3.5 Strategically significant streets

- 3.5.1 Strategically significant streets (SSS) are defined as including streets which have been designated as traffic sensitive in accordance with the criteria set out in regulation 16 of The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007, as well as streets which fall into reinstatement categories 0, 1 or 2 as defined in section S1.3 of the Specification
- 3.5.2 For the purposes of permit charges and notification timescales, strategically significant streets will fall under the ASD and EToN designation of ‘traffic-sensitive’.

#### 3.6 Other designations

- 3.6.1 Where a street or section of street requires the consultation with another organisation, for instance areas of archaeological or environmental importance or sensitivity, sites affecting the Ministry of Defence etc, this will also be recorded in the authority’s ASD.



## 4 The Register

- 4.1 In accordance with Section 7 of The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015, The Authority will maintain a register of each street covered in their scheme, as well as a register under Section 53 of NRSWA for other street information that are not part of the LiPS.
- 4.2 Requirements for NRSWA registers are contained in the Code of Practice for Coordination of Street Works and Works for Road Purposes and Related Matters.
- 4.3 Access to the register will comply with regulation 34, Part 7 of the Regulations.

## 5 Activities covered by the permit scheme

- 5.1.1 For the purposes of the LiPS Specified Works are any activities falling within the definition of “registerable activities” as defined in The Street Works (Registers Notices Directions and Designations) (England) Regulations 2007 and any subsequent amendments. This applies equally to streets works as defined by Section 48(3) of NRSWA and works for road purposes as defined by Section 86(2) of NRSWA.
- 5.1.2 The term “specified works” is used generically in the regulations. The term “activity” is used in this scheme to encompass any registerable activity that requires a permit.
- 5.1.3 The term “activity” also anticipates subsequent sets of regulations which may extend the scope of permit schemes to other activities on the street.

### 5.2 Registerable activities

5.2.1 For clarity the following works are registerable and therefore specified works, for all promoters and information related to them has to be recorded on the register and may only take place with a valid permit.

- all activities that involve the breaking up or resurfacing of any street, (but see below for pole testing involving excavation)
- all activities that involve the opening of the carriageway or cycleway of traffic-sensitive streets at traffic-sensitive times
- all activities that require the use of any form of temporary traffic management as defined in the Code of Practice for Safety at Street Works and Road Works
- all activities that reduce the number of lanes available on a carriageway of three or more lanes
- all activities that require a Temporary Traffic Regulation Order or notice, or the suspension of pedestrian crossing facilities
- all activities that require a reduction in width of the existing carriageway of a traffic-sensitive street at a traffic-sensitive time

### 5.2.2 Registerable works also include:

- Bar Holes which are used to detect and monitor gas leaks
- Works for Road Purposes. All works carried out by the Authority are works for road purposes and require a permit if they fall under the definition of registerable
- Other Highways Activities. Works and repairs for District and Parish Councils acting on their own account and not on behalf of the Authority, including works on street lighting etc., are considered as street works and thus will attract the same charges and penalties as any other statutory undertaker.

5.2.3 Core holes not exceeding 150 mm in diameter do not require registration in advance, unless one or more of the rules above relating to traffic management impact apply.

### 5.3 Non registerable activities

5.3.1 The following works are not classed as registerable and therefore not specified works:

- Traffic census surveys have deliberately not been included, as disclosure of this information prior to a census taking place can encourage a change to the normal pattern of traffic flow
- Pole testing which does not involve excavation does not require a permit
- Testing of water hydrants, provided the work is done outside traffic-sensitive periods

- 5.3.2 Section 50 licences do not require a permit as defined in the regulations, however a licence will be issued in line with the permitting requirements of the LiPS and the activity will be entered onto the Street Works Register to aid coordination.

## 6 Permit Application Types

### 6.1 Permit application types

#### 6.1.1 LiPS allows two types of application:

- Provisional Advance Authorisation (PAA). These are used only for major activities (as defined in regulations) which are likely to be large and/or more disruptive and provide advance notice but not necessarily with full details of the final activity. PAAs are similar to Section 54 notices under NRSWA
- Permit Application (PA). These will contain fully accurate and timely details as prescribed and will be required for all registerable activities, including those following the submission of a PAA. These are similar to Section 55 notices under NRSWA.

### 6.2 Provisional advance authorisations (PAAs)

6.2.1 The PAA must be applied for not less than three months in advance of the proposed commencement date of those works or as agreed with the Authority.

6.2.2 The Authority must respond to an application for a PAA within one calendar month from the date the application is received by the Authority. The response may either grant the PAA or refuse it, giving reasons.

6.2.3 A PAA may only contain one street or USRN.

6.2.4 All PAAs must comply with the definitive format and content of both paper and electronic permit applications given in the EToN technical specification or subsequent amendments. This includes the requirement that a copy PAA is sent to any interested parties or organisations as detailed within the authority's ASD.

6.2.5 The information required in support of an application for a PAA is set out below. It is recognised that comprehensive information may not be known at this early stage and likely to change, however as much detail should be provided as possible to enable the Authority to adequately assess the submission.

- location of activity
- proposed start and end dates
- an outline description
- times of working, including hours of the day and any weekend provisions
- the road space occupancy
- method of working
- traffic management

6.2.6 A PAA may only contain one street or USRN. A PAA cannot be varied, only resubmitted. The Authority may therefore decide that a new PAA is required if the changes are significant. Alternatively, if the Authority feels the changes are less significant then these changes can be made as part of the full permit application.

6.2.7 In accordance with Regulation 11(5), the granting of the PAA does not guarantee that a Permit will be subsequently issued, particularly if the Authority feels that the activity promoter has not provided suitable detail or where dates have changed so significantly they clash with another activity.

## 7 Permit Activity Categories

### 7.1 Activity Categories

7.1.1 The LiPS applies to the following works categories, as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007. Application periods are set out in table 1, section 8.

### 7.2 Major activities

7.2.1 Major activities are those that:

- have been identified in an activity promoters' annual operating programme or are normally planned or known about at least six months in advance of the proposed start date for the activity; or,
- require a Temporary Traffic Regulation Order (not a temporary traffic notice) under the Road Traffic Regulation Act 1984 for any other registerable activities other than immediate activities; or,
- have a duration of 11 days or more, other than immediate activities

### 7.3 Standard activities

7.3.1 Standard activities are those activities, other than immediate or major activities, that have a planned duration of between four and ten days inclusive.

### 7.4 Minor activities

7.4.1 Minor activities are those activities, other than immediate or major activities, where the planned duration is three days or less.

### 7.5 Immediate activities

7.5.1 Immediate Activities are either emergency works or urgent works:

7.5.2 Emergency works, which are defined in Section 52 of NRSWA, are works required to end, or prevent, circumstances, either existing or imminent, that might cause damage to people or property.

7.5.3 Urgent activities are defined in the regulations as activities:

- (not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the works believes on reasonable grounds to be required):
- to prevent or put an end to an unplanned interruption of any supply or service provided by the activity promoter;
- to avoid substantial loss to the activity promoter in relation to an existing service; or,
- to reconnect supplies or services where the activity promoter would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; and,
- includes works that cannot reasonably be severed from such works

## 8 Issuing a permit and other responses

### 8.1 Permit responses

8.1.1 In accordance with Regulation 16 the Authority will respond to all permit applications within the timescale set out in table 1 below. A response corresponds to an EToN notification of Grant Permit or Refuse Permit or Permit Modification Request, or any other required future EToN notification.

8.1.2 The Authority must act reasonably in reaching decisions with respect to applications for a permit. In particular they will consider whether issuing the permit will accord with their statutory duties to co-ordinate and to manage the network and the objectives of the LiPS.

ACTIVITY TYPE	Minimum application periods ahead of proposed start date		Minimum period before permit expires for application for variation (including extension)	Response time for issuing a permit or seeking further information or discussion		Response time for responding to applications for permit variations
	PAA	PA		PAA	PA	
Major	3 Months	10 days	2 days or 20% of the original duration whichever is the longer	1 calendar month	5 days	2 days
Standard	N/A	10 days		N/A	5 days	2 days 2 days 2 days
Minor	N/A	3 days		N/A	2 days	
Immediate	N/A	2 hours after		N/A	2 days	
Notes: "days" in the above table refer to working days as defined in NRSWA and the permit regulations. These timescales may be subject to amendment by legislation.						

Table 1.

8.1.3 Table 1 provides minimum application timescales for PAAs and permit applications. Larger activities or those on strategically significant streets will have the potential to be more disruptive and therefore require a longer notice period to enable planning and coordination to take place.

### 8.2 EToN system failures

8.2.1 Where there is a failure of the Authority or a promoter EToN system, the Authority will implement an interim alternative strategy for managing permit applications, variations, responses and other notifications to ensure that workflows are not unduly interrupted. This may be via email, fax or post but must first be agreed with the Authority.

8.2.2 All applications and notifications must be resubmitted through EToN following recovery of service. Promoters must ensure that all resent notices are sequenced correctly as detailed in the EToN technical specification.

## 9 Applying for a permit

### 9.1 Method of making permit applications

9.1.1 All permit notifications, including PAAs, permit applications and variations, must be made electronically and must comply with the EToN technical specification.

9.1.2 The Authority may accept non-EToN applications from activity promoters who are unable to meet the requirements for EToN transactions, for instance when their electronic systems are unavailable, or for one-off promoters. In these cases, the contents of the applications and notices must comply with the EToN technical specification and may be submitted by email, fax or post on agreement with the Authority.

9.1.3 Applications and notifications may be given by email, fax or post to those recipients who expect copies of such notifications but do not have access to EToN, e.g. transport authorities, emergency services or frontagers.

9.1.4 Where there is an EToN system failure by either the activity promoter or the Authority, an alternative strategy must be implemented as noted in section 8.2.1.

### 9.2 Content of a Permit Application and Provisional Advance Authorisation

9.2.1 The EToN specification provides detail on the required fields to be submitted as part of a permit application. Additional information or constraints will be provided as part of the condition text.

#### 9.2.2 Reference number

9.2.2.1 Each application must include a unique reference number. Details of the numbering system are given in the Technical Specification for EToN.

#### 9.2.3 Description of Activity

9.2.3.1 This should be a comprehensive description of what the activity is and its purpose to allow the Authority to assess the likely impact. This must include

- Detail on the works being undertaken
- Description of methodologies employed
- A description of the layout and impact of the activity (for example traffic management)
- Details of any collaborative working; such as details of the other promoters and brief descriptions of the activities being undertaken
- Any other information pertinent to that activity

9.2.3.2 To ensure that information made publicly available can be understood by the public the description of activities and other information should be, within reason, in plain English with minimal industry specific jargon.

#### 9.2.4 Location of activity

9.2.4.1 An accurate location must be provided based on Ordnance Survey National Grid References (NGRs). For a small excavation or opening then a point NGR should be provided. Where a trench is longer than 10m then a polyline or a polygon feature must be provided as described in the EToN technical specification.

9.2.4.2 The location must have a textual description that should match the NGR provided.

9.2.4.3 Where the activity is likely to cause significant disruption a description of the space taken up by the activity should be provided. The Authority may request additional information such as a traffic management plan or schematic to show the site footprint.

9.2.4.4 Promoters applying for Immediate activities should do so within two hours of starting work (see section 7.5). The location should reflect where the activity is actually taking place. If the location then changes a permit variation must be obtained (see Section 15.1)

### 9.2.5 **Timing and duration**

9.2.5.1 The proposed permit start and end dates (in calendar days) will clearly define the time period an activity will take up road space.

9.2.5.2 Where the street is traffic-sensitive, details of the times of day the activity is to be carried out must be provided, including any proposal to work at night.

9.2.5.3 Details must be provided where the activity promoter proposes to undertake activity on weekends or Bank Holidays to speed up the activity or reduce disruption.

9.2.5.4 These constraints on the activity will be submitted as conditions and will be taken into consideration by the Authority.

### 9.2.6 **Illustration**

9.2.6.1 An illustration may be required for any activity where the Authority considers that the disruption caused by the activity may be significant.

9.2.6.2 An illustration must include details of the activity and location of utility apparatus and the extent of the highway occupancy.

9.2.6.3 The illustration must cover the entire area of the activity including areas used for storage of materials, parking of vehicles, coned areas and so on. In combination, all of this material will be referred to as the traffic management plan.

9.2.6.4 Activities on those streets, or parts of a street, subject to a Special Engineering Difficulty designation will require a plan and section.

9.2.6.5 The illustration should be submitted to the Authority in whatever form specified by the Authority or the current EToN technical specification.

### 9.2.7 **Methodology**

9.2.7.1 Details of the proposed techniques, such as open cut, trench share, minimum dig etc. should be included where possible as part of the works description, or as requested by LCC on a case-by-case basis.

### 9.2.8 **Traffic management and Temporary Traffic Regulation Orders**

9.2.8.1 The EToN specification requires certain types of traffic management or traffic control to be indicated on the permit application. Certain traffic management proposals will also require suitable conditions detailing the constraints on these proposals.

9.2.8.2 The activity promoter must supply details of traffic management proposals together with any requirement for action by the local authority or others such as

- A need for a Temporary Traffic Regulation Order (TTRO)
- Lifting of parking restrictions
- Approval for temporary traffic signals (TTS)



- Suspension of bus stops

9.2.8.3 Section 17 details the processes for applying for a TTRO, and provides further information on other traffic management requirements and related matters, including agreements on the use of temporary traffic signals.

9.2.8.4 The extra time required for gaining these approvals need to be taken into account by the activity promoter. They must be referred to when submitting a PAA or included in the permit application.

9.2.8.5 Additional costs associated with these are not included within the scope of this permit scheme.

#### 9.2.9 **Reinstatement type**

9.2.9.1 The EToN technical specification details the use of the 'number of phases' data element which is used to describe this.

#### 9.2.10 **Inspection units**

9.2.10.1 The application must state the provisional number of estimated inspection units appropriate to the activity, in accordance with the rules laid down in the Inspections Code of Practice and The Street Works (Inspection Fees) (England) (Amendment) Regulations 2004. Where there is trench sharing, only the primary promoter is required to give the inspection units.

#### 9.2.11 **Contact person**

9.2.11.1 The application must include the name and contact details of the person appointed by the activity promoter to deal with any problems that may occur during the activity, including any provision made by the activity promoter for out-of-hours contact.

9.2.11.2 On permit applications (and on PAAs if the information is known at the time) the application should include the name of the main contractor carrying out the activity. This will help with the Authority's consideration of the application and with any discussions that need to take place before the permit can be issued.

#### 9.2.12 **Proposed conditions**

9.2.12.1 Where there are constraints in the permit application, it must include conditions that specify in detail the activity and support the application. These conditions are set out in the Statutory Guidance for Highway Authority Permit Schemes – Permit scheme conditions (March 2015). This guidance provides a set of condition texts that are referred to as Conditions in this document. See also chapter 12.

### 9.2.13 Phasing and multiple activities

- 9.2.13.1 A phase of an activity is a period of continuous occupation of the street (whether or not work is taking place for the whole time) between the start and completion of the works.
- 9.2.13.2 One permit can only contain one phase and the dates given in a permit application will denote the dates for that phase. A phase can end only when all the plant, equipment and materials, including any signing, lighting and guarding have been removed from the site.
- 9.2.13.3 The promoter must clarify that an activity is to be carried out in more than one phase on the application and phased activities must relate to the same works. These could be single or multiple-but-linked excavations, or a trench dug progressively along the street as part of a continuous operation, or where a permanent reinstatement or remedial works are undertaken at a later date.
- 9.2.13.4 Linked activities carried out at separate locations in a street must be treated as belonging to the same set of works. However, unconnected activities carried out by the same promoter in one street should not be treated as parts, or phases, of a single set of works.
- 9.2.13.5 Each phase will require a permit and the same activity reference must be used for all phases, or cross-referenced to the other phases. If the works are classed as Major they will also require a Provisional Advance Authorisation, except in the case of remedial works. Each phase will be classed as a separate activity or works, for the purposes of NRSWA (for instance Section 74, guarantee periods etc.).

### 9.2.14 Cross Boundary activities

- 9.2.14.1 Where an activity or project crosses the boundary between authorities the works promoter must submit the relevant notices or permit applications to each authority. Early discussion with both authorities will help avoid conflicting requirements.
- 9.2.14.2 Where it is anticipated that an activity may impact the network of a neighbouring authority then the activity promoter should take this into consideration when planning the activity and ensure that this authority is also engaged early on in the planning process. Early discussion with both authorities will help avoid conflicting requirements.

### 9.2.15 Interim to Permanent Reinstatements

- 9.2.15.1 When an activity is completed with an interim reinstatement then the activity will be regarded as having more than one phase and a new permit must be obtained for the permanent reinstatement phase. The same works reference number must be used ("cross referenced" to the original activity).

### 9.2.16 Remedial Works

- 9.2.16.1 Remedial works will require a new permit to be obtained for the remedial phase. The same works reference number must be used as the original activity ("cross referenced" to the original activity).
- 9.2.16.2 Where remedial works fall within the definition of Major works, a Provisional Advance Authorisation will not be required. Where remedial works fall within the definition of 'immediate' or are required to remedy dangerous defects, the activity will be categorised as Immediate.

**9.2.17 Section 58 restrictions on further activities**

9.2.17.1 The Authority will exercise its powers to restrict further works in all or part of a street following substantial road or street works (NRSWA Section 58 and 58a respectively) covered by the LIPS.

**9.2.18 Apparatus belonging to others**

9.2.18.1 There may be other apparatus where activities are planned and under NRSWA Section 69, those carrying out activities must ensure that the owners of that apparatus are able to monitor the activity and that requirements to take reasonable steps to protect the apparatus are followed. Failure to do so is a criminal offence.

## 10 Early Starts

10.1 The Authority will consider a promoter's request for an early start (a reduction to the minimum notice period as set out in table 1, section 7.1) and such a request will not be unreasonably refused. An early start must be applied for in the manner requested by the Authority. This may be via an initial phone call or email, or directly via EToN.

10.2 The Authority may allow early starts to a permit providing that

- it does not conflict with other activities
- there is a legitimate reason for the request and not a result of poor works planning by the activity promoter
- activity promoters do not use early starts regularly to conceal poor works management

10.3 An activity must not start before the expiry of the application period except where an early start has been agreed with the Authority.

## 11 Collaborative Working

11.1 The Authority will proactively seek to encourage collaborative working opportunities between any activity promoters. It is accepted that there are often issues with such arrangements, particularly contractual complications and CDM or site management. Nevertheless, every opportunity will be sought to minimise the disruption to users of the highway.

11.2 Collaborative working may include

- trench sharing
- activities that share traffic management or road space
- multi-agency activities that limit the number of days an area of road space is occupied

11.3 In the event of collaborative working the primary promoter should take overall responsibility as the agreed point of contact with the Authority. The secondary promoter(s) retain the same responsibility for submitting permit applications for work to be carried out by them or on their behalf.

11.4 Discounts are available for those promoters that are able to deliver work in a proactive way to lessen the impact of their activities through collaboration, details of which can be included in the permit application.

## 12 Conditions

### 12.1 General Principles

12.1.1 The LiPS uses standardised conditions as developed by the National Permit Forum (and issued as Statutory Guidance March 2015, (see Appendix C) to assist promoters to identify and use these to best effect through a common and consistent approach.

12.1.2 Permit conditions might be applicable to any activity and it is for the activity promoter to supply the required conditions as part of their permit application or permit variation.

12.1.3 Where the Authority considers it necessary and appropriate to apply conditions that differ from the proposals in the application then the Authority will either refuse the permit or request a modification stating the reasons for this.

### 12.2 Mandatory conditions

12.2.1 Certain conditions apply to all permits, or permits for certain kinds of activity in all cases. The LiPS does not require these conditions to be formally attached to individual permit applications or granted permits as they are taken as being contained in either form on all permits or applications.

12.2.2 The following conditions apply to all permits:

- NCT 11a: It is a requirement of the LiPS that the unique works reference number will be displayed on the site at all times. The works reference number is as described in the EToN technical specification and, for the purposes of being displayed on site, does not need to include the suffixes that relate to the permit application or permit reference (the application and notification sequencing).
- NCT 1a and 1b (covering traffic sensitive and non-traffic sensitive streets). It is a requirement of the LiPS that the permit will specify the start and end dates of the permit, which may include weekends or bank holidays.

### 12.3 Conditions placed on Immediate activities

12.3.1 Immediate activities are by definition emergency or urgent and therefore may commence without a permit being in place.

12.3.2 Regulation 13 provides for the Authority to impose conditions on an activity that is not yet the subject of a permit. Effectively, conditions can be discussed and agreed with the promoter within the two hour period of time between an Immediate activity starting on site and the issuing of the Immediate permit application.

12.3.3 Failure to comply with conditions may leave the activity promoter liable to criminal prosecution.

## 13 Granting a permit

### 13.1 Issuing a permit

- 13.1.1 If the Authority is content that all the information contained in the application meets an acceptable standard of detail to enable it to consider fully the impact of the activity and the suitability of the timing and methodology and any conditions attached to the application, it will issue a permit by way of a Grant Permit EToN notification.
- 13.1.2 Each permit issued will be given a unique reference number. Details of the numbering system are given in the Technical Specification for EToN.

### 13.2 Deemed Permits

- 13.2.1 When the Authority fails to respond within the required timescales, or where for technical reasons the response does not reach the activity promoter within the required timescales, that permit is considered to be deemed to be granted.
- 13.2.2 In these situations, the activity promoter is at liberty to continue to undertake their activity in line with their original permit application. However, the activity should not take place in a manner different to that intended by the original application and indicated by the permit content and proposed conditions.
- 13.2.3 When it becomes apparent to the Authority that a permit has deemed, then it is good practice for the Authority to consider the permit as it stands and contact the relevant activity promoter if it becomes clear that the activity should not proceed as detailed. This might be because the conditions or the contents of the application itself are insufficient, or where a conflict between activities is likely, or where the activity is likely to cause considerable disruption that could be mitigated through discussion and changes.
- 13.2.4 In these cases, the activity promoter should discuss and agree any changes required by the Authority. The fee for the variation, or cancellation and resubmission, to that original deemed permit should be waived by the Authority.

## 14 Modifications to permits and permit refusals

### 14.1 Amending a permit application

- 14.1.1 If it is necessary to seek further clarification of the information contained in the application then the Authority will endeavour to resolve this within the mandatory response times so that the estimated start date and duration of the original application remains.
- 14.1.2 Where possible the Authority should submit a Modification Request EToN notification with clear instructions of actions required to allow the activity promoter the opportunity to make amendments to their application and resubmit this within the required timeframe.
- 14.1.3 As long as the timeframes are met, the original start and end dates of the first application can be kept and no early start agreements are required.
- 14.1.4 If the matter cannot be resolved satisfactorily within the timeframes or the response period then the Authority will refuse the application.
- 14.1.5 If the Modification Application is not subsequently submitted within the required timeframes then in accordance with Regulation 16(3) the Authority will consider the application refused.
- 14.1.6 The EToN technical specification sets out the requirements and timelines in more detail.

### 14.2 Refusing a permit

- 14.2.1 The Authority cannot refuse legitimate activities. However if the application does not contain the required information to the satisfaction of the Authority then the Authority will refuse the permit by way of a Refuse Permit EToN notification and must clearly detail the reasons for refusal so that the activity promoter is able to amend their subsequent application.
- 14.2.2 Where an application has been refused and the activity promoter is able to submit a suitably amended application that requires an 'early start' (see also section 10) to maintain the original requested time slot, the Authority will endeavour to agree the same start date. However, this is at the discretion of the Authority being confident in the amended application and that there is no subsequent conflict with another activity.
- 14.2.3 Where other activities are scheduled to take place in the same street, or other streets affected by the proposed activity at the same time, the Authority may refuse a permit for the period requested but propose to grant it for different times. The refusal should clearly state a suitable timeframe, or invite the activity promoter to contact the Authority to discuss acceptable options before applying for a new permit.



## 15 Permit Variations

### 15.1 Variations to permits

15.1.1 Regulation 15 provides for the LiPS to allow permit variations. Variations to a permit need to be made before the permit expires or passes its end date. The method and content of applying for a Variation notification are detailed in the EToN technical specification.

15.1.2 A PAA cannot be varied. In circumstances where the details of a PAA have changed but a full Permit has not yet been issued, the activity promoter must inform the Authority of the proposed changes and the Authority will indicate whether a new PAA is required or a Permit Application containing the new information must be made.

### 15.2 Variations initiated by the activity promoter

15.2.1 From time to time an activity promoter will need to apply for a justifiable variation to a permit and/or its conditions. Some situations where a variation may be needed are:

- because the proposal in the original application was inaccurate or unrealistic
- because the location or the method of working has changed in some way
- where the activity promoter requires an extension to the agreed duration

15.2.2 The Authority recognises that it should not prevent necessary activity, so the variation is likely to be granted, although the Authority may require the conditions attached to the original permit to be varied or new conditions added if the changes to the permit warrant it.

### 15.3 Applying for a variation

15.3.1 The activity promoter should make a request to vary the permit as soon as it becomes clear that the activity might require a change or may overrun so that the Authority can investigate the request to satisfy itself that the proposed variation is appropriate and reasonable.

15.3.2 Regulation 15 (2) provides the following ways of applying for a permit variation:

- where the existing permit has more than 20% of its duration or more than two days to run, whichever is the longer, the activity promoter must apply for a variation electronically. This is to ensure that the variation is captured within the Authority mandatory response time.
- in any other case the activity promoter should first telephone the Authority to ascertain whether the Authority is prepared to grant the variation. If the Authority agrees then the variation must be applied for electronically.

15.3.3 It must be noted that a permit cannot be varied after it has expired (passed the permit end date). In these cases a new permit must be applied for. The activity promoter may be working illegally during this period.

### 15.4 Fees for promoter initiated variations

15.4.1 Applications for permit variations initiated by the activity promoter may be subject to a fee if not submitted before a permit has been issued.

15.4.2 Where a variation to extend a permit takes that permit into a higher works category, the activity promoter will be required to pay the difference between the permit fees for the two categories as well as the permit variation fees.

15.4.3 Permit fees for the Authority are given in Appendix D

**15.5 Variations initiated by the Authority**

15.5.1 Once a permit is issued, the activity promoter should have reasonable confidence that the road space will be available to them. Nevertheless, there may be circumstances beyond the Authority's control that necessitate a change in either the permit or its conditions.

**15.6 Fee for authority initiated variations**

15.6.1 No fee is payable for permit variations initiated by the Authority, unless at the same time, the activity promoter seeks variations which are not the result of the circumstances causing the Authority action. In such a case a variation fee would be payable.

**15.7 Extensions**

15.7.1 To extend a permit, a permit application must be made by the Promoter a minimum of two days before the permit expires or at a point when the existing permit has more than 20% of its duration to run, whichever is the longer.

15.7.2 The Authority is under no obligation to allow an activity to run beyond its permitted period. An activity that continues past its end date without a valid permit in place may constitute a criminal offence.

15.7.3 Where the Authority considers the proposed extension to be reasonable and the activity does not conflict with other planned activities then the Authority will not unreasonably withhold the extension.

15.7.4 There may be occasions where the Authority does not consider the proposed extension to be reasonable. For instance, this might be due to poor works management by the activity promoter or an issue on site that the Authority considers should have been dealt with more expediently. In these cases, the Authority will grant a variation to the permit so that the activity promoter is operating with a valid permit in place. However, the Authority will use its powers under Section 74 of NRSWA to charge the activity promoter for an overrun of the 'reasonable period'.

15.7.5 Although in many cases the Authority will grant the permit extension to minimise the disruption of a return visit, it may be necessary for the activity promoter to vacate the street to allow another activity to take place or to open up space for traffic. In these situations the activity promoter must submit a new application to complete the activity at a later date.

**15.8 Suspension or revoking a permit**

15.8.1 Regulation 10(4) allows the Authority to revoke a permit where it considers that an activity promoter is failing to comply with the terms of that permit and its conditions.

15.8.2 The Authority will consider whether other sanctions are more suitable than, or necessary in addition to, the revoking of a permit such as issuing fixed penalty notices or taking remedial action (see Chapter 19).

15.8.3 Where a new permit or permit variation is required to resume an activity, a fee will be payable in line with the permit charges set by the Authority, unless the Authority has to revoke a permit through no fault of the activity promoter in which case there will be no charge for a replacement application.

### 15.9 **Cancelling a permit**

- 15.9.1 If a promoter wishes to cancel a permit or withdraw a permit application for which they have no further use, they should submit a cancellation notice for that permit, as detailed in the EToN technical specification.
- 15.9.2 There is no fee for cancelling a permit although the charge for issuing the permit originally will remain payable.
- 15.9.3 Any activity that takes place after a permit is cancelled may constitute a criminal offence.
- 15.9.4 A permit that is 'in progress', or one for Immediate activities, should not be cancelled unless that works status has been submitted in error. The EToN technical specification details how these situations should be dealt with.

### 15.10 **Multiple excavations**

- 15.10.1 Immediate activities may require the activity promoter to make several registerable openings in a street, for instance to locate a fault or a leak. As such the activity promoter must submit the first permit application detailing the location of the initial excavation within two hours of starting work.
- 15.10.2 The activity promoter must telephone the Authority within two hours and give the location for further excavations on the same street within 50metres of this initial excavation. No permit variation will be required and therefore no charge will be applied.
- 15.10.3 Where the additional excavations are more than 50metres from the first, a permit variation will be required. A standard permit variation charge will apply. The Authority may opt to waive this charge if it feels the activity and notifications are being well managed.
- 15.10.4 Further excavations will be dealt with in the same way as these two examples, in 50-metre bands.
- 15.10.5 It should be noted that all excavations must be accurately recorded upon registration of the works in line with s.70 of NRSWA 1991
- 15.10.6 If additional excavations are carried out in different streets (different USRN), or at a location that is substantially separate from the previous excavations then a separate permit application must be applied for.
- 15.10.7 If the activity promoter has made all reasonable efforts to contact the Authority by telephone and cannot, they should record that and send the message electronically.
- 15.10.8 Although the above examples relate to Immediate works, there may be scenarios where such a process may be followed for other activity types. The activity promoter should contact the Authority first to gain approval before initiating this process.

## 16 Illegitimate phasing of Activities

### 16.1 Illegitimate phasing of activities

16.1.1 Where the Authority can establish to its reasonable satisfaction that a subsequent permit application has been made at any given location as a result of:

- The closure of works following a refusal by the Authority to grant an extension to the duration of a previous permit, or
- The premature closure of the works by the activity promoter, before all those works specified in the works description given by the activity
- promoter works are completed, to avoid an overrun under Section 74 occurring

16.1.2 The Authority may grant a subsequent permit with start and finish dates to allow the initial activity to be completed. The duration for this subsequent permit will reflect the illegitimate phasing of activities for these works and overrun charges will be applied in accordance with the current Section 74 regulations.

### 16.2 Charging for overrunning activities

16.2.1 The Authority will operate an overrun charging scheme under Section 74 of NRSWA, alongside this permit scheme.

16.2.2 The scheme will apply as set out in the Street Works (Charges for Unreasonably Prolonged Occupation of the Highway) (England) Regulations 2009 (as amended) and any future amendments as detailed in regulations or the relevant code of practice.

16.2.3 Permit scheme Regulation 37(4) modifies Section 74 of NRSWA to allow the duration of the activity to be set or modified through the permit application and variation process.

16.2.4 Where the Authority has reason to believe that overrun charges are being avoided through the misuse of permit phases, it will treat a subsequent permit application as an illegitimate use of phases.

## 17 Activities requiring traffic restriction orders

### 17.1 Temporary Traffic Restriction Orders

- 17.1.1 Provisions governing temporary road closures and traffic restrictions for works or other activities in the street are found in Sections 14 to 16 of the Road Traffic Regulation Act 1984, as amended by the Road Traffic (Temporary Restrictions) Act 1991, and regulations made under the 1984 Act and subsequent amendments.
- 17.1.2 Orders without a time limit may also be made for works. This requires a longer legal process and the need to consult with the Emergency Services and organisations representing people who use the roads or are likely to be affected by the Order. Orders must be revoked on completion of the works. For such Orders the activity promoter should contact the Authority to discuss.
- 17.1.3 Activity promoters should be aware of additional timescales the traffic authority may need to process such approvals and build this into their application.
- 17.1.4 For Orders less than 18 months duration, 2 notices must be published in a local newspaper, a 'Notice of Intention' at least 7 days before the Order is made and a 'Notice of Making' within 14 days of making the Order. The Order must come into operation before the commencement of the works. The Authority must also notify the Police and any other traffic authority or Concessionaire whose roads will be affected by the Order before the Order is made. The Emergency Services and other organisations such as Parish Councils and Bus Companies will also be informed. Orders affecting Public Footpaths, Bridleways, Cycleways and Byways open to all traffic may only be extended for a further period after 6 months with the consent of the Secretary of State.

### 17.2 Temporary notices

- 17.2.1 This procedure will only apply to immediate activities.
- 17.2.2 The promoter will inform the Authority as soon as practicable if a closure or traffic restriction is needed, or in any case with the Immediate permit application.
- 17.2.3 The Authority will consult with the police and all relevant parties, and confirm, as soon as possible, whether a notice will be made.
- 17.2.4 The Authority must state in the notice:
- the reason for issue
  - its effect
  - alternative routes (where applicable); and,
  - the date and duration of the notice.
- 17.2.5 The Authority must also notify the emergency services and any other traffic authority with roads that may be affected. This should be done on, or before, the day the notice is issued.

### 17.3 Continuation of Closures and Restrictions

- 17.3.1 A five-day temporary traffic closure or restriction notice cannot be extended.
- 17.3.2 A 21-day notice may be extended by one further notice for a maximum of 21 days. Both five-day and 21-day notices may be followed immediately by an Order. The

Order may be made without the 'Notice of Intention'. The 'Notice of Making' must still be published in a local newspaper prior to the Order coming into force.

17.3.3 If the original estimate of the duration of the activity changes, a request for a permit variation will be necessary.

#### 17.4 **Policy**

17.4.1 When a notice or order has been made, the activity promoter must comply with the requirements of the Authority and the police for the closure of the road.

#### 17.5 **Charges**

17.5.1 Section 76 of NRSWA allows traffic authorities to recover the costs of issuing temporary notices or making TTROs. Upon receipt of an application for a TTRO, the Authority can provide utilities with the estimated cost. These costs are not part of the LiPS. Invoices will be itemised, for example:

- cost of the order;
- advertising in local papers;
- administration fees.

17.5.2 There may also be charges made for erecting and maintaining the on-site notices that are required.

#### 17.6 **Temporary traffic signals**

17.6.1 Any use of temporary traffic signals requires agreement from the Authority. The EToN technical specification provides a transaction for the activity promoter to submit an application for temporary traffic signals that is linked to a particular PAA, permit or application.

17.6.2 The Authority will consider the application in the context of the proposed activity and if the activity promoter has provided all the required information relating to the operation of the temporary signals to the satisfaction of the Authority, it will be approved.

17.6.3 If the application is not approved then the Authority will provide the reasons for non-approval as part of the response. This application response will be separate to the response to the linked permit application or PAA.

17.6.4 For Immediate activities the traffic signal application must be submitted with the Immediate application where it is anticipated that temporary traffic signals are to be used.

## 18 Fees

### 18.1 Permit charges

18.1.1 Under Regulation 30 the LiPS is able to charge statutory undertakers a fee in the following circumstances

- The application of a provisional advance authorisation
- The issue of a permit
- The variation of a permit or the conditions of a permit
- The difference between fees for an activity when it moves from one works category to another

### 18.2 Fee levels

18.2.1 Fee levels have been developed by the Authority that are considered proportionate to the significance of the street and the likely amount of work required to effectively coordinate and manage activities on that street.

18.2.2 In accordance with the statutory guidance, major activity permit fees are split into 3 bands depending on duration of works. These are provided in Appendix D

### 18.3 Waiving permit fees

18.3.1 Regulation 30 also provides a mechanism for discounting or waiving the normal permit fee. Under the LiPS a promoter will not be charged a fee:

- if the activity promoter is a highway authority or is carrying out Works For Road Purposes
- if a permit is deemed to be granted because the Authority had failed to respond to an application in the time required
- if a permit variation is initiated by the Authority
- where the Authority has to revoke a permit through no fault of the activity promoter there will be no charge for a replacement permit
- where the works are Diversionary Works as a result of a Major Highway or Bridge works, initiated by the Highway Authority, as described in Section 86 of NRSWA

### 18.4 Reduced permit fees

18.4.1 A minimum discount of 30% will be applied in the following situations:

#### 18.4.2 Collaborative works

18.4.2.1 Regulation 31(4) provides for a permit fee discount where activity promoters are collaborating, either in timing or extent of the programmed activity, to reduce the impact of their works. This includes where statutory undertakers are collaborating with highway authority works.

#### 18.4.3 Multiple applications for single activity

18.4.3.1 The Statutory Guidance requires the Authority to apply a discount where an activity promoter submits multiple permit applications where an activity is part of a project that involves working on more than one adjacent streets. For example if repairs on a pipe go round a corner from one street into another. It is not intended to cover whole area wide projects in a single permit.

#### 18.4.4 Working only outside traffic-sensitive times

18.4.4.1 A discount will be applied where an activity promoter is able to undertake their works wholly outside of traffic-sensitive times on a strategically significant street.

18.4.4.2 In general, this is only applicable on works that are less than one-day duration since these can fall between or after peak periods. However, this discount may also be applied to works where carriageway impact is minimised for peak or traffic-sensitive periods, for instance opening up the carriageway by using plating, or a change of traffic management/control etc. when operatives are not working on site.

18.4.4.3 Suitable permit conditions would need to be attached (Chapter 12), and it would be necessary to gather evidence from site (for instance photos or inspection records) to show that this condition was being maintained for the duration of the activity or as agreed. Suitable evidence provided by the activity promoter or contractor should be acceptable as long as it meets the requirements of the Authority to ascertain compliance.

#### 18.4.5 **Fee review**

18.4.5.1 In accordance with Regulation 16A, the Authority will review its level of fees to ensure that the overall fee income does not exceed the allowable costs. The outcome of the fee reviews will be published and open to public scrutiny.

18.4.5.2 If a sustained surplus or deficit occurs over a number of years the fee levels will be adjusted accordingly.



## 19 Permit offences and sanctions

### 19.1 Permit offences

19.1.1 The permit regulations create two offences for statutory undertakers

- Carrying out activities on the street without a permit, or in the case of immediate works not applying for a permit within two hours of the works starting
- Carrying out activities on the street or highway in a way that contravenes the conditions attached to a permit, or the conditions that are applied to an immediate activity before a permit is issued for those activities.

19.1.2 Permit offences do not apply to the Authority activities; however the Authority will monitor these activities in the same way it does statutory undertakers to ensure a consistent approach.

### 19.2 Sanctions

19.2.1 Where possible the Authority will seek to resolve problems informally to achieve compliance with the permit scheme. Where this fails, or where an activity promoter persistently offends, or the Authority considers that an informal resolution is not appropriate, then the Authority has three sanctions it may use

- Issue a notice to take remedial action
- Issue a Fixed Penalty Notices
- Prosecution

### 19.3 Remedial action

19.3.1 Regulation 18 allows the Authority to issue a notice requiring remedial action within a timeframe where a promoter is working without a permit or in breach of a permit condition.

19.3.2 Where a promoter does not take the remedial action within the timeframe, the Authority will take such steps as it considers appropriate to achieve the outcome in the notice, and may recover any costs from the undertaker.

### 19.4 Fixed Penalty Notice

19.4.1 Regulations 21 to 28 (and the Schedules set out in the regulations) allow the Authority to issue Fixed Penalty Notices in respect of the criminal offences.

19.4.2 Fixed Penalty Notices offer the offender an opportunity to discharge liability for an offence by paying a penalty and Regulation 25 provides for a discount for early payment. The penalty amount is £500 for working without a permit, but a discounted amount of £300 is available if payment is made within 29 days. For working in breach of a condition the penalty is £120 and the discounted amount £80.

### 19.5 Prosecution

19.5.1 Where a Fixed Penalty Notice has been issued for an offence, but the Authority forms the view that it would be more appropriate to prosecute the offender the Authority must withdraw the Notice under Regulation 27 before bringing the proceedings. Once the Fixed Penalty Notice has been paid, however, no prosecution in relation to the offence can be brought.

19.5.2 The Authority may prosecute the offence through the courts following the usual processes. Normally this option will be invoked where an undertaker is persistently offending on an issue that the Authority considers serious.

## 19.6 **Dispute procedures**

19.6.1 The Authority and activity promoters must use their best endeavours to resolve disputes without having to refer them to a formal appeals procedure. However it is recognised that occasionally this may not be possible.

19.6.2 If agreement cannot be reached locally on any matter arising under this permit scheme or the associated Code of Practice for Permits or regulations then the dispute should be referred on the following basis.

### 19.6.3 **Straightforward issues**

19.6.3.1 Where the Authority and the activity promoter(s) consider that the issues involved in the dispute are relatively straightforward, the matter will be referred to impartial members of a regional HAUC for review. That review should take place within five working days from the date of referral. The Authority will accept the result as binding.

### 19.6.4 **Complex issues**

19.6.4.1 If the Authority and the activity promoter(s) involved in the dispute think the issues are particularly complex, HAUC (England) will be asked to set up a review panel of four members - two utilities and two street authorities. One of the four persons will be appointed as Chair of the panel by the HAUC (England) joint chairs.

19.6.4.2 Each party must make all relevant financial, technical and other information available to the review panel. The review would normally take place within ten working days from the date on which the issue is referred to HAUC (England). The Authority will accept the conclusions of the review panel as binding.

### 19.6.5 **Adjudication**

19.6.5.1 If agreement cannot be reached by the procedures described, for instance if one or more of the parties does not accept the ruling of the Regional HAUC or HAUC (UK) review as binding, the dispute should be referred to independent adjudication provided that the parties agree that the decision of the adjudicator is deemed to be final. The costs of adjudication will be borne equally unless the adjudicator considers that one party has presented a frivolous case, in which case costs may be awarded against them. Where the adjudication route is followed, the parties should apply to the joint chairs of HAUC (England), who will select and appoint the independent adjudicator from suitable recognised professional bodies.

### 19.6.6 **Arbitration**

19.6.6.1 Disputes relating to matters covered by the following Sections of NRSWA may be settled by arbitration, as provided for in Section 99 of NRSWA;

- Section 61 (6) - consent to placing apparatus in protected streets
- Section 62 (5) - directions relating to protected streets
- Section 74 (2) - charges for occupation of the highway where works are unreasonably prolonged
- Section 74A (12) - charges determined by reference to duration of works
- Section 84 (3) - apparatus affected by major works
- Section 96 (3) – recovery of costs or expenses

## 20 Monitoring the permit scheme

### 20.1 Measuring the objectives

- 20.1.1 Regulation 4(d) requires the Authority to describe how they will evaluate the scheme.
- 20.1.2 The metrics that will be used to measure how the scheme is performing will be based upon Traffic Performance Indicators (TPI's) developed by HAUC and additional Lincolnshire Performance Indicators (LPI's) (see APPENDIX E)
- 20.1.3 TPI's and LPI's will be published monthly by the Authority and will be made available in a raw format (without additional analysis) on their website and at performance and coordination meetings.
- 20.1.4 An annual report will be produced by the Authority, where the TPIs and LPI's will be analysed more fully to evaluate the scheme. As a minimum, the LiPS will be evaluated every 12 months of operation for the first 3 years and then every three years thereafter as required by Regulation 16A.
- 20.1.5 The outcome of the evaluation shall be made available to the persons referred to in Regulation 3(1) within 3 months of the relevant anniversary.

## 21 Transitional arrangements

21.1 The permit regime has been designed to follow closely the processes and timescales of the NRSWA noticing regime.

21.2 The basic rules of transition from noticing to permitting will apply on all roads where the permit scheme operates.

- The permit regime will apply to all activities where the administrative processes, such as application for a permit or Provisional Advance Authorisation, start after the commencement date
- Activities which are planned to start on site more than one month after the changeover date (for all activity categories including Major) shall operate under the permit scheme. This means that even if the relevant Section 54, Section 55 or Section 57 NRSWA notice has been sent before the changeover, the activity promoter will have to cancel these and re-apply for a permit or PAA
- Any other activities which started under the notices regime will continue under that regime until completion

21.3 The Authority have an order to bring the scheme into effect from October 5th 2016 at which point permit fee charges and FPN's will be applicable.

21.4 As required in Regulation 3, the Authority will give a minimum of four weeks' notice of commencement of the scheme, following the Order being made, to all those previously consulted on the permit scheme.

**APPENDIX A – Glossary of terms**

Activity, activity promoter	Covers both utilities' street works and highway authorities' own works. See Promoter.
Above ground works	Any works (not being overhead works) which do not involve the breaking up or opening of the street or tunnelling or boring under it
Additional street data ("ASD")	Additional Street Data ("ASD") refers to other information about streets held on the NSG concessionaire's website alongside the NSG.
Apparatus	As defined in Section 105 (1) of NRSWA "apparatus includes any structure for the lodging therein of apparatus or for gaining access to apparatus".
Appeal	Where there is an unresolved disagreement between the activity promoter and the Authority about a Permit Authority's decision or actions the promoter may appeal using the procedure in 19.6 of LiPS.
Arbitration	As defined in section 99 of NRSWA, "any matter which under this Part is to be settled by arbitration shall be referred to a single arbitrator appointed by agreement between the parties concerned or, in default of agreement, by the President of the Institution of Civil Engineers"
Bank holiday	As defined in Section 98 (3) of NRSWA, "bank holiday means a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in the locality in which the street in question is situated".
Bar hole	A bar hole is used to detect and monitor gas leaks as described in the code of practice for permits.
Breaking up (the street)	Any disturbance to the surface of the street (other than opening the street).
Bridge	As it says in section 88(1)(a) of NRSWA, "references to a bridge include so much of any street as gives access to the bridge and any embankment, retaining wall or other work or substance supporting or protecting that part of the street"
Bridge authority	As defined in section 88(1)(b) of NRSWA, "bridge authority means the authority, body or person in whom a bridge is vested"
Bridleway	As defined in section 329 of the HA 1980, "bridleway means a highway over which the public have the following, but no other, rights of way, that is to say, a right of way on foot and a right of way on horseback or leading a horse, with or without a right to drive animals of any description along the highway"
BS7666	British Standard number 7666 relating to gazetteers.
Carriageway	As defined in section 329 of HA 1980, "carriageway means a way constituting or comprised in a highway, being a way

	(other than a cycle track) over which the public have a right of way for the passage of vehicles"
Central Register	A central register is a register covering two or more street authority areas that is maintained by one single authority, the 'register authority'. For example, a central register could include all authorities in a metropolitan area
Code of Practice for Permits	As published by Department for Transport March 2008
Conditions Permit Conditions	Conditions applied by the authority as standard conditions or specific conditions to an individual permit. Contained in the EToN activity conditions field
Contravention	As defined in section 329 of HA 1980, "contravention in relation to a condition, restriction or requirement, includes failure to comply with that
Co-ordination Meetings	Quarterly meetings to co-ordinate works in highway authority and neighbouring authorities roads
Council	As defined in section 329 of HA 1980, "council means a county council, the Great London Council or a local authority"
Critical gyratory or roundabout system	A gyratory or roundabout system where, in the absence of street works or works for road purposes, no less than 5 per cent of peak hour vehicles on average are delayed by more than 20 seconds
Critical signalised junction	A traffic signal junction at which, in the absence of street works or works for road purposes and at times when the exit is not blocked, no less than 5 per cent of peak hour vehicles on average fail to clear the junction on the first green signal.
Culvert	A structure in the form of a large pipe or pipes, box or enclosed channel generally used for conveying water under a road
Cycle track	As defined in Section 329 of the HA 1980, "cycle track means a way constituting or comprised in a highway, being a way over which the public have the following, but not other, rights of way, that is to say, a right of way on pedal cycles with or without a right of way on foot
Day	In the context of the duration of activities, a day refers to a working day, unless explicitly stated otherwise
DfT	Department for Transport
Disability	As defined in section 105(5) of NRSWA, "section 28 of the Chronically Sick and Disabled Persons Act 1970 (power to define "disability" and other expressions) applies in relation to the provisions of this Part as to the provisions of that Act"
Disability Equality Duty	Means the duty under Section 49A of the Disability Discrimination Act 1995, inserted by the Disability Discrimination Act 2005 which requires that "(1) Every public authority shall in carrying out its functions have due regard to— (a) the need to eliminate discrimination that is unlawful

	under this Act; (b) the need to eliminate harassment of disabled persons that is related to their disabilities; (c) the need to promote equality of opportunity between disabled persons and other persons; (d) the need to take steps to take account of disabled persons' disabilities, even where that involves treating disabled persons more favourably than other persons; (e) the need to promote positive attitudes towards disabled persons; and (f) the need to encourage participation by disabled persons in public life. (2) Subsection (1) is without prejudice to any obligation of a public authority to comply with any other provision of this Act
Distribution Network Operator (DNO)	Operator of an electricity distribution network
e-government	The Government objective to deliver efficiency savings while improving the delivery of public services by joining up electronic government services around the needs of customers
Emergency works	As defined in section 52 of NRSWA
EToN	Electronic Transfer of Notifications, the system defined in the Technical Specification for EToN for passing notices, permit applications, permits and other information between promoters and the Authority
Excavation	"Breaking up" (as defined above)
Extensible Markup Language (XML)	A self-describing data format providing (amongst other things) a method of transferring data between systems. Note that the UK Government eGIF standard mandates XML for this purpose
File transfer protocol (FTP)	A method of transferring data between computers defined by RFC959 (RFCs - Request for Comments) are the standard documents that define the operation of the internet)
Fixed Penalty Notice	As defined in schedule 4B to NRSWA, "fixed penalty notice means a notice offering a person the opportunity of discharging any liability to conviction for a fixed penalty offence by payment of a penalty"
Footpath	As defined in Section 329 of the HA 1980, "footpath means a highway over which the public have a right of way on foot only, not being a footway"
Footway	As defined in Section 329 of the HA 1980, "footway means a way comprised in a highway which also comprises a carriageway, being a way over which the public have a right of way on foot only"
Frontager	A person or body occupying premises abutting the street
Frontagers	A person or body occupying premises abutting the street

Geographical information system (GIS)	A computer system for capturing, storing, checking, integrating, manipulating, analysing and displaying data related to positions on the Earth's surface
HA 1980	The Highways Act 1980
HAUC(England)	The Highway Authorities and Utilities Committee for Englan
Heavy commercial vehicle	As defined in Section 138 of the Road Traffic Regulation Act 1984, "heavy commercial vehicle means any goods vehicle which has an operating weight exceeding 7.5 tonnes"
Highway	As defined in Section 328 of the HA 1980, "highway means the whole or part of a highway other than a ferry or waterway"
Highway Authority	As defined in sections 1 and 329 of the HA 1980
Highway works	"works for road purposes" or "major highway works"
Highways Act 1980	(dual carriageways and roundabouts); (c) substantial alteration of the level of the highway; (d) provision, alteration of the position or width, or substantial alteration in the level of a carriageway, footway or cycle track in the highway; (e) the construction or removal of a road hump within the meaning of section 90F of the Highways Act 1980; (f) works carried out in exercise of the powers conferred by section 184 of the Highways Act 1980 (vehicle crossings over footways and verges); (g) provision of a cattle-grid in the highway or works ancillary thereto; or (h) tunnelling or boring under the highway"
Immediate activities	immediate activities are either emergency works as defined in section 52 of NRSWA or urgent works as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007
KPI (Key Performance Indicator)	One of the DFT performance indicators used to show parity as defined in Regulation 40, and provided in the Code of Practice for Permits. See Appendix E
Land	As defined in section 329 of HA 1980, "land includes land covered by water and any interest or right in, over or under land"
Local authority	As defined in section 270(1) of the Local Government Act 1972 and includes the Common Council of the City of London
Local planning authority	Local planning authority has the same meaning as in the Town and Country Planning Act 1990
Local register	A local register is a register that is maintained by a single street authority for their own geographic area and will include information on all streets other than those streets that are the responsibility of another street authority
Local street gazetteer	A subset of the NSG containing details of all streets in a local highway authority area, being a self-contained entity created and maintained by the local highway authority covering all streets in their geographic area regardless of maintenance responsibility



Main roads	All streets in reinstatement categories 0, 1 and 2 and those streets in categories 3 and 4 which are traffic sensitive for all or part of the time
Maintainable highway	As defined in section 329 of HA 1980, a "highway maintainable at the public expense means a highway which by virtue of section 36 above or of any other enactment (whether contained in this Act or not) is a highway which for the purposes of this Act is a highway maintainable at the public expense"
Maintenance	As defined in section 329 of HA 1980, "maintenance includes repair, and "maintain" and "maintainable" are to be construed accordingly"
Major activities	As defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007 major activities are activities which have been identified in a promoter's annual operating programme, or if not identified in that programme, are normally planned or known about at least six months in advance of the date proposed for the activity; or activities, other than immediate activities, where (i) the authority has indicated to the promoter, or (ii) the promoter considers, that an order under section 14 of the Road Traffic Regulation Act 1984 (temporary prohibition or restriction on roads) is required; or activities, other than immediate activities, which have a planned duration of 11 days or more"
Major bridge works	As defined in section 88(2) of NRSWA, "major bridge works means works for the replacement, reconstruction or substantial alteration of a bridge"
Major highway works	As defined in section 86(3) of NRSWA, "major highway works means works of any of the following descriptions executed by the highway authority in relation to a highway which consists of or includes a carriageway - (a) a reconstruction or widening of the highway; (b) works carried out in exercise of the powers conferred by section 64 of the Highways Act 1980 (dual carriageways and roundabouts); (c) substantial alteration of the level of the highway; (d) provision, alteration of the position or width, or substantial alteration in the level of a carriageway, footway or cycle track in the highway; (e) the construction or removal of a road hump within the meaning of section 90F of the Highways Act 1980; (f) works carried out in exercise of the powers conferred by section 184 of the Highways Act 1980 (vehicle crossings over footways and verges); (g) provision of a cattle-grid in the highway or works ancillary thereto; or (h) tunnelling or boring under the highway"
Major transport works	As defined in section 91(2) of NRSWA, "major transport works means substantial works required for the purposes of a transport undertaking and executed in property held or used for the purposes of the undertaking"
Minor activities	Are minor works as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations

	2007 as those activities other than immediate activities where the planned duration is 3 days or less
Minor roads	Streets in reinstatement categories 3 and 4 which are not traffic sensitive at any time
Model Condition	One of the standardised condition texts used by the scheme and provided by HAUC (UK) National Conditions guidance document. Prefixed by "NCT".
National Grid Reference	Location reference using nationally defined eastings and northings The format in which it is presented must in all cases match that required by the Technical Specification for EToN
National Land and Property Gazetteer (NLPG)	Gazetteer providing a national reference of land and property related Data Nationally consistent street gazetteer (NSG), a database defined as "an index of streets and their geographical locations created and maintained by the local highway authorities" based on the BS7666 standard
National Street Gazetteer (NSG) – also referred to as Nationally Consistent Street Gazetteer	A database defined as "an index of streets and their geographical locations created and maintained by the local highway authorities" based on the BS7666 standard
Network management duty	As stated in Part 2 of TMA
Notice management system	Notice management systems receive electronic street works notices and are used by street authorities to manage them together with other relevant information
NRSWA	New Roads and Street Works Act 1991
NSG Concessionaire	The body appointed to manage the NSG on behalf of the local highway authorities
ODD	operational district data
Opening (the street)	Removing a lid or cover to a manhole, inspection chamber, meter box or other structure embedded in the street without any "breaking up" of the street
Order	A document signed by a person authorised by the Authority to give effect to or vary or revoke a permit scheme
Ordnance Survey Grid	A spatial location based on the geospatially referenced national grid owned by the Ordnance Survey
OSGR	Ordnance Survey Grid Reference
Passenger Transport Authority	One of seven authorities (Greater Manchester, Merseyside, South Yorkshire, Strathclyde, Tyne & Wear, West Midlands and West Yorkshire) made up of representatives from local authorities in the area, responsible for public transport in their area

Passenger Transport Executive	The executive arm of a Passenger Transport Authority
Pedestrian Planning Order	This refers to an order made under section 249(2) or (2A) of the Town and Country Planning Act 1990(6)
Permit	The approval of a permit authority for an activity promoter to carry out activity in the highway subject to conditions
Permit application	The application that is made by a promoter to the authority to carry out an activity in the highway. It is equivalent to the notice of proposed start of works (section 55 of NRSWA) given under the Co-ordination regime
Permit Authority	Concerning a Permit Scheme, a local highway authority or other strategic highways company which has prepared a permit scheme under section 33(1) or (2) of the TMA
Permit Management System	A computer based system to record permit applications and consents. A Street Works Register
Permit Scheme	A scheme approved by the Secretary of State or by the Authority (under the amended regulations) under which permits for activities are sought and given
Prescribed	As defined in Section 104 of NRSWA, "prescribed means prescribed by the Secretary of State by Regulations, which may (unless the context otherwise requires) make different provision for different cases"
Promoter	A person or organisation responsible for commissioning activities in the streets covered by the permit scheme. In the Permit Scheme promoters will be either statutory undertakers or the highway or traffic authority
Protected street	are defined in NRSWA s61 (1)
Provisional Advance Authorisation (PAA)	The early approval of activities in the highway, equivalent to the advance notice given under s 54 of NRSW
Provisional street	A provisional street is a street that does not yet have an entry in the NSG. Typically these will be newly created and/ or private streets
Public sewer	Public sewer has the same meaning as in the Water Industry Act 1991
Railway	As defined in section 105(1) of NRSWA, "railway includes a light railway other than one in the nature of a tramway"
Reasonable period	As defined in section 74(2) of NRSWA
Reasonable times	Reasonable times may be taken to mean normal office hours (08:00 to 16:30, Monday to Friday except Bank Holidays)

REC	Regional electricity company
Registerable activities	Registerable activities correspond to "specified works" in the Traffic Management Permit Schemes (England) Regulations 2007
Reinstatement	As defined in section 105(1) of NRSWA, "reinstatement includes making good"
Relevant authority	As defined in section 49(6) of NRSWA
Remedial work	Remedial works are those required to put right defects identified in accordance with the provisions of the Code of Practice for Inspections and the associated regulations
Road	"Highway"
Road category	This means one of the road categories specified in Chapter S.1 of the code of practice entitled "Specification for the Reinstatement of Openings in Highways" dated June 2002, as revised or re-issued from time to time
Road works	Works for road purposes
Schema	XML) Schemas express shared vocabularies and allow machines to carry out rules made by people. They provide means for defining the structure, content and semantics of XML documents
Sewer	Sewer as defined in the Water Industry Act 1991 " includes all sewers and drains (not being drains within the meaning given by this subsection) which are used for the drainage of buildings and yards appurtenant to buildings"
Sewer authority	As defined in section 89(1)(b) of NRSWA
Small Openings and Small Excavations	All openings with a surface area of two square metres or less
Special Engineering Difficulties (SED)	By virtue of section 63 of NRSWA, the term special engineering difficulties relates to streets or, more commonly, parts of streets associated with structures, or streets or extraordinary construction where street works must be carefully planned and executed in order to avoid damage to, or failure of, the street itself or the associated structure with attendant danger to person or property
Standard activities	Are standard works as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007. These are activities, other than Immediate activities, that have a duration of between 4 and 10 days inclusive
Standard Condition	A condition that applies to all permits or all permits of a certain activity type. Standard conditions do not need to be included on a permit application or permit as they are taken as being included. See Chapter 6

Strategically significant streets (SSS)	Definition given in the 'Statutory Guidance for Highway Authority Permit Schemes (October 2015)': "Strategically significant streets (SSS) are defined as including streets which have been designated as traffic sensitive in accordance with the criteria set out in regulation 16 of <i>The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007</i> , as well as streets which fall into reinstatement categories 0, 1 or 2 as defined in section S1.3 of the <i>Specification for the Reinstatement of Openings in Highways (A Code of Practice -April 2010)</i> "
Street	As defined in section 48(1) of NRSWA
Street authority	As defined in section 49(1) of NRSWA
Street works	As defined in section 48(3) of NRSWA
Street works licence	As stated in section 50(1) of NRSWA
Temporary Traffic Regulation Order	This means an Order made under section 1, 6, 9 or 14 of the Road Traffic Regulation Act 1984
Terms, Permit terms	The works promoter specified activity at the specified location at specified times executed in a specified way etc. as defined in a granted, deemed or varied permit.
The Regulations	Means the Traffic Management Permit Schemes (England) Regulations 2007 SI 2007 No. 337
TMA	The Traffic Management Act 2004
Traffic	As defined in section 105(1) of NRSWA, "traffic includes pedestrians and animals"
Traffic authority	As defined in section 121A of the Road Traffic Regulation Act 1984
Traffic control	Any of the five methods of controlling traffic detailed in the Code of Practice "Safety at Street Works and Road Works"
Traffic flow	The number of vehicles using the particular street at specified times of the day and year, measured in accordance with DfT guidelines
Traffic Management	Traffic management is dictated by road space/occupation. Permit Regulations note that: "traffic management arrangements" includes signs, signals, road markings, barriers and other measures which are intended to secure the expeditious, convenient and safe movement of vehicular and other traffic (including pedestrians)
Traffic order	This means an order made under section 1, 6 or 9 of the Road Traffic Regulation Act 1984
Traffic sensitive street	This means a street designated by a street authority as traffic sensitive pursuant to section 64 of NRSWA and in a case where a limited designation is made pursuant to section 64(3) any reference to works in a traffic sensitive street shall be

	construed as a reference to works to be executed at the times and dates specified in such designation
Traffic sign	As defined in section 105(1) of NRSWA, "traffic sign has the same meaning as in the Road Traffic Regulation Act 1984"
Tramway	As defined in section 105(1) of NRSWA, "tramway means a system, mainly or exclusively for the carriage of passengers, using vehicles guided, or powered by energy transmitted, by rails or other fixed apparatus installed exclusively or mainly in a street"
Transport authority	As defined in section 91(1)(a) of NRSWA, "transport authority means the authority, body or person having the control or management of a transport undertaking"
Transport undertaking	As defined in section 91(1)(b) of NRSWA, "transport undertaking means a railway, tramway, dock, harbour, pier, canal or inland navigation undertaking of which the activities, or some of the activities, are carried on under statutory authority"
Trunk road	As defined in section 329 of the HA 1980
Type 1 (or 2, or 3) gazetteer	As defined in the British Standard BS7666
Undertaker	As defined in section 48(4) of NRSWA,
Unique street reference number (USRN)	As defined in the British Standard BS7666
Urgent activities	Are urgent works as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007
Working day	As defined in section 98(2) of NRSWA
Works	Street works or works for road purposes
Works clear	A notice under NRSWA s74(5C) following interim reinstatement
Works closed	A under NRSWA s74(5C) following permanent reinstatement
Works for road purpose	As defined in section 86(2) of NRSWA
XML	Extensible Markup Language

## APPENDIX B – Modifications and disapplications of NRSWA

### B1 Disapplication of NRSWA

B1.1 Regulation 36 of the Regulations shall apply in its entirety to disapply certain sections of NRSWA as set out in Table 2. In permit areas the duties of activity promoters and street authorities under the following sections of NRSWA are replaced by equivalent duties imposed under Part 3 of the TMA and the regulations.

<i>NRSWA section</i>		<i>Change</i>	<i>Permit regulations – Revised arrangements</i>
<i>S53</i>	<i>The street works register</i>	<i>Disapplied</i>	<i>Permit regulations prescribe similar provisions for permit registers</i>
<i>S54</i>	<i>Advance notice of certain works</i>	<i>Disapplied</i>	<i>Replaced by applications for provisional advance authorisation.</i>
<i>S55</i>	<i>Notice of starting works</i>	<i>Disapplied</i>	<i>Replaced by applications for permits</i>
<i>S56</i>	<i>Power to direct timing of street works</i>	<i>Disapplied</i>	<i>Replaced by permit conditions and variations, including those initiated by the Authority.</i>
<i>S57</i>	<i>Notice of emergency works</i>	<i>Disapplied</i>	<i>Replaced by applications for immediate activities.</i>
<i>S66</i>	<i>Avoidance of unnecessary delay or obstruction</i>	<i>Disapplied</i>	Replaced by equivalent provisions for permit authorities to require promoters in breach of the permit requirements to take remedial action and failing that for the authority to act. <i>24-hour compliance period to be replaced with a requirement for promoters to comply within a reasonable specified period determined by the circumstances.</i>

Table 2: Promoter's Duties – disapplied sections of NRSWA

### B2 Modification of NRSWA

B2.1 Regulation 37 of the Regulations shall apply to the provision specified in Table 3 to modify certain sections of NRSWA.

B2.2 Regulation 38 of the Regulations shall apply to modify paragraph 7(a) of the Schedule to the Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007(a).

<i>NRSWA section</i>		<i>Change</i>	<i>Permit regulations – Revised arrangements</i>
<i>S58</i>	<i>Restriction on works following substantial road works</i>	<i>Modified</i>	The authority's ability to issue permits with start and end dates replaces directions to start work covered in S 58(5) to (7A). <i>The regulations provide the equivalent of S 58A powers by allowing authorities to take into account whether promoters responded to the S 58 notice by submitting an application for their planned activities</i>
<i>S73A</i>	<i>Reinstatement affected by subsequent works</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>
<i>S74</i>	<i>Charge for occupation of the highway where works are unreasonably prolonged</i>	<i>Modified</i>	<i>Permit regulations make provision to operate in parallel with permits.</i>
<i>S88</i>	<i>Bridge, bridge authorities and related matters</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>
<i>S89</i>	<i>Public sewers, sewer authorities and related matters</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>
<i>S93</i>	<i>Works affecting level crossings or tramways</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>
<i>S105</i>	<i>Minor definitions</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>
<i>Sch. 3(A)</i>	<i>Restrictions on works following substantial street works</i>	<i>Modified</i>	<i>Modified to work in conjunction with permits.</i>

Table 3 Promoter's duties – modifications to NRSWA



## **APPENDIX C – Permit Conditions**

C1 Where there are constraints in the permit application, it must include conditions that specify in detail the activity and support the application.

C2 These conditions are set out in Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions (March 2015)

**APPENDIX D – Table of fees**

Lincolnshire County Council		
Reinstatement category of street	Road Category 0-2 or Traffic-sensitive	Road Category 3-4 and non-traffic-sensitive
Provisional Advance Authorisation	£101	£72
Major Activity greater than 10 days duration or requiring a TRO	£210	£130
Major Activity between 4 & 10 day duration	£117	£75
Major Activity up to 3 day duration	£64	£43
Standard activity	£117	£75
Minor Activity	£64	£43
Immediate activity	£40	£26
Permit Variation	£45	£35

## APPENDIX E – Performance Indicators

### E1 Traffic Performance Indicators

E1.1 Regulation 40 requires the scheme to show parity of treatments for all types of activity promoters.

E1.1.2 A set of Key Performance Indicators has been developed by the HAUC (England) Permit Forum to demonstrate the effectiveness of the scheme in meeting the stated objectives. Such TPIs may be redeveloped by the DfT and/or HAUC (England) and may be subject to change from time to time. The LiPS will always follow the latest TPI requirements.

- TPI-1 - Work Phases Started (Base Data)
- TPI-2 - Works Phases Completed (Base Data)
- TPI-3 - Days of Occupancy Phases Completed
- TPI-4 - Average Duration of Works
- TPI-5 - Phases Completed involving Overrun
- TPI-6 - Number of Deemed Permit Applications
- TPI-7 - Number of Phase One Permanent Registrations

\*These measures, with the exception of deemed permits are all currently available in existing noticing/permit systems, meaning notice and permit authorities can be directly compared.

### E2 Lincolnshire Performance Indicators

E2.1 Parity of treatment for all activity promoters particularly between statutory undertakers and the Authority works and activities as required by Regulation 40, will be demonstrated through Lincolnshire Performance Indicators and detailed as follows:

E2.1.2 LPI 1: The number of approved extensions.

It will be expressed as:

- The total number of permit issued
- The number of requests for extensions shown as a percentage of permits issued
- The number of agreed extensions as a percentage of extensions applied for

E2.1.3 LPI 2: The number of PAA and permit applications cancelled

It will be expressed as

- The number cancelled as a percentage of the total of each

E2.1.4 LPI1 and LPI2 will help to show the effectiveness of the promoter in planning works correctly.

E2.1.5 Additional LPI's were developed to measure:

E2.1.6 LPI 3: The number of remedial reinstatements measured by Promoter

It will be expressed as

- The number of permits granted where the phase type is remedial

E2.1.7 This will indicate the level of non-compliance with specifications and quality of workmanship (defects)

E2.1.8 LPI 4: The number of FPN's that have been issued, identified by works promoter

It will be expressed by

- The number of FPN's issued

# Technical Report

## **Lincolnshire Permit Scheme - QUADRO Assessment and Cost-Benefit Analysis**

February 2016

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# 1 Introduction

- 1.1 Mouchel was commissioned by Lincolnshire County Council to review and update its business case for a proposed Traffic Management Act (TMA) permit scheme. The purpose of the scheme is to reduce the disruption to traffic as a result of road works. As part of this business case it was a requirement to conduct an economic appraisal using the QUEues And Delays at Road works (QUADRO) assessment tool.

## 2 Permit Scheme Options

2.1 Two scheme options were proposed.

- Option 1 assumes a scheme that applies to 100% of the network but waives or discounts part or all of the fees on non-strategically significant streets
- Option 2 assumes a scheme that only applies across an area largely defined by its strategically significant streets

2.2 Two scheme options were proposed It should be noted that strategically significant streets include traffic sensitive streets as defined under regulation 16 of The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007 as well as streets which fall into reinstatement categories 0, 1 or 2 as defined in section 1.3 of the Statutory Reinstatement of Highways 2010. [It should be noted that from time to time, to ensure effective traffic management, other streets may be included].

2.3 Lincolnshire County Council preferred option is Option 1 and so in the economic appraisal only Option 1 was assessed.



## 3 Economic Appraisal

3.1 This chapter details the methodology used to undertake the QUADRO economic appraisal and includes details of the guidance used, data collected, assessment process and assumptions made.

### 3.2 Guidance Used

3.2.1 The methodology was developed by referring to and to ensure consistency with the following guidance documents:

1. 'Assessing the Extent of Street Works and Monitoring the Effectiveness of Section 74 in Reducing Disruption: Third Annual Report - April 2003 to March 2004, Volume 3 - Estimation of the Costs of Delay from Utilities' Street Works' (July 2004)  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/4821/f0007955-street-works-report-vol-3.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/4821/f0007955-street-works-report-vol-3.pdf)
2. 'Traffic Management Act 2004: Permit Schemes Decision Making and Development (2nd Edition) (November 2010)  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/49524/permitscheme.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/49524/permitscheme.pdf)
3. 'Traffic Management Act 2004 (part 3 - permit schemes) Additional Advice Note - for developing and operating future Permit Schemes' (January 2013)  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/49797/permit-schemes-additional-advice-note.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/49797/permit-schemes-additional-advice-note.pdf)
4. The QUADRO Manual
5. WebTAG

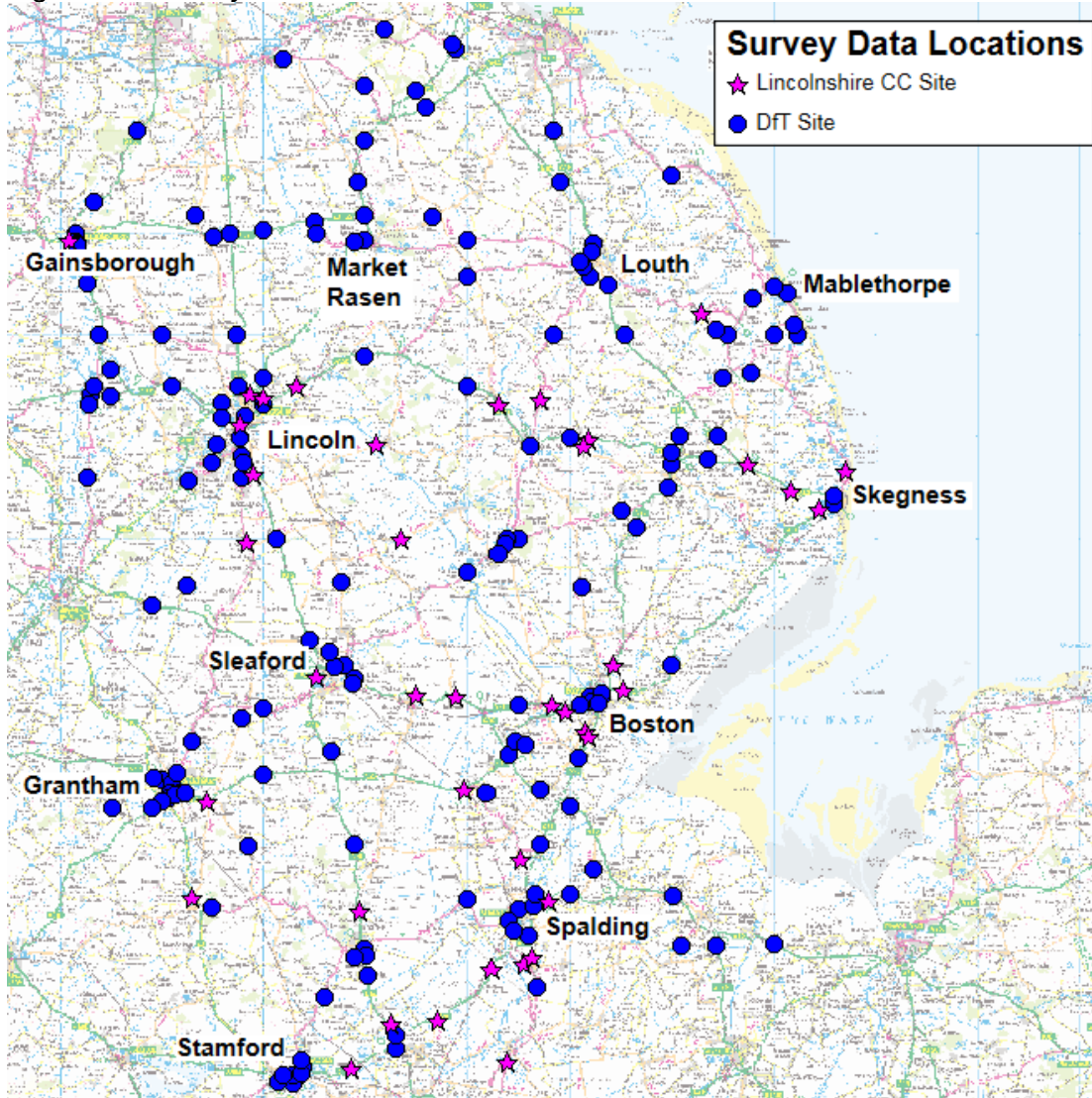
### 3.3 Sources of Data

3.3.1 Lincolnshire County Council provided Mouchel with Annual Average Daily Traffic (AADT) flow data for 35 sites across the county. The data at 26 of these sites was collected daily throughout 2014 and included hourly flow profiles but not vehicle category proportions. The data at the remaining 9 sites was collected on one day during a neutral month and one day during a summer month and included vehicle category proportions but not hourly flow profiles.

3.3.2 To provide additional count site coverage, AADT flow data from 159 DfT count sites across Lincolnshire was utilised. These DfT sites were all based on 2014 data and included vehicle category proportions but not hourly flow profiles.

3.3.3 The location of all the count sites is shown in Figure 3.1 overleaf and illustrates good coverage across the rural and urban areas of the county.

Figure 3.1: Survey Data Locations



### 3.4 QUADRO Assessment Process

3.4.1 As recommended in Guidance Document 1, QUADRO was used to evaluate the impact on highway traffic of a range of street works varying by road classification, traffic flow and works characteristics.

3.4.2 Consistent with Guidance Document 1, this assessment was undertaken on a county wide sample of both urban and rural sites using survey data obtained as described above. The urban and rural count sites were grouped together based on their reinstatement category, which is used as a proxy for traffic flow. The groupings are shown in Table 3.1.

Reinstatement Category	Typical AADT Flow	
	Urban	Rural
0	40,000	< 32,000
1	24,000	16,000
2	16,000	12,000
3	10,000	8,000
4	6,000	4,000

Table 3.1: Typical AADT flows by reinstatement category

- 3.4.3 For reinstatement category 0 roads only dual carriageways were considered.
- 3.4.4 Within each reinstatement category the rural and urban sites were each broken down into three groups based on whether they were located on either an A-road, a B-road or an unclassified road.
- 3.4.5 The data from all sites within each one of these three road groupings was averaged to produce average “typical” A-road, B-road and unclassified road site for each urban and rural reinstatement category.
- 3.4.6 Instead of assuming a diversion route, the maximum queuing delay allowed for in QUADRO was capped at 20 minutes for all groups.
- 3.4.7 Four different works types were assessed based on those given in Guidance Document 1:
- 10m shuttle working
  - 30m shuttle working
  - 50m shuttle working
  - 100m shuttle working
- 3.4.8 Instead of assuming a diversion route, the maximum queuing delay allowed for in QUADRO was capped at 20 minutes for all groups.
- 3.4.9 For the dual carriageway sites, instead of shuttle working, single lane closures of the same four lengths were assessed.
- 3.4.10 The works were coded in QUADRO as being at the centre of the affected road length and site lengths were determined using Table 1 in Guidance Document 1 which is reproduced in Table 3.2.

Speed Limit / Road Type	Excavation Length (m)	Total Site Length (m)
30mph S2	10	56
40mph S2	10	92
50mph S2	10	123
40mph D2	10	107
60mph D2	10	153

*Table 3.2: Relationship between excavation length and site length*

- 3.4.11 The results from the three “typical” sites by road standard were averaged to produce a “typical” site for each urban and rural reinstatement category. The daily results from each group were combined together to produce the daily cost (in 2010 prices discounted to 2010) of works by reinstatement category and works length for both rural and urban street works, shown in Table 3.3.

Reinstatement Category	Daily Cost of Street Works in Lincolnshire in £			
	10m Excavation Length	30m Excavation Length	50m Excavation Length	100m Excavation Length
Rural 0	447	544	628	746
Rural 1	4,025	5,510	6,778	10,273
Rural 2	1,488	1,739	1,987	2,597
Rural 3	844	973	1,101	1,410
Rural 4	334	386	436	560
Urban 0	734	872	993	1,216
Urban 1	8,793	16,748	25,503	50,651
Urban 2	2,262	3,958	5,843	11,742
Urban 3	577	775	969	1,436
Urban 4	230	309	387	575

Table 3.3: Average daily cost of street works by reinstatement category in Lincolnshire in 2010 prices and values discounted to 2010

3.4.12 Guidance Document 1 provided average daily reinstatement category rates for street works in 2002 prices discounted to 2002. These rates, adjusted to 2010 prices discounted to 2010, are shown in Table 3.4.

Reinstatement Category	Daily Cost of Street Works in £		
	10m Excavation Length	50m Excavation Length	100m Excavation Length
Rural 0	4,014	4,817	5,299
Rural 1	12,605	14,531	16,458
Rural 2	2,585	3,372	4,175
Rural 3	1,252	1,558	1,927
Rural 4	538	666	827
Urban 0	40,142	40,142	40,142
Urban 1	14,451	19,268	24,085
Urban 2	5,540	8,269	11,240
Urban 3	618	859	1,140
Urban 4	321	450	602

Table 3.4: Guidance - Average daily reinstatement category rates for street works in 2010 prices and values discounted to 2010

3.4.13 Comparing Tables 3.3 and 3.4 it can be seen that the Lincolnshire rates are predominantly similar to or lower than those given in the Guidance, except for urban reinstatement category 1. However, given that the majority of works undertaken fall within reinstatement category 4 (as shown in table 3.6) it is deemed that this appraisal provides a robust assessment.

3.4.14 As also noted in Guidance Document 1, the delay costs are lower for reinstatement category 0 than reinstatement category 1 but this is logical as reinstatement category 0 roads are all dual carriageways and on dual carriageways one lane in each direction remains open throughout the works, unlike with shuttle working on single carriageway roads.

3.4.15 To ascertain the proportion of notices for each works type in each reinstatement category the percentages provided in Guidance Document 1 were used and are shown in Table 3.5.

Reinstatement Category	Proportion of Notices			
	10m Excavation Length	30m Excavation Length	50m Excavation Length	100m Excavation Length
Rural 0	0.45	0.22	0.11	0.22
Rural 1	0.67	0.13	0.07	0.13
Rural 2	0.79	0.06	0.06	0.09
Rural 3	0.83	0.07	0.03	0.07
Rural 4	0.83	0.06	0.04	0.07
Urban 0	0.67	0.08	0.08	0.17
Urban 1	0.82	0.07	0.04	0.07
Urban 2	0.87	0.05	0.03	0.05
Urban 3	0.88	0.05	0.02	0.05
Urban 4	0.90	0.04	0.03	0.03

Table 3.5: Proportion of notices, by excavation length, within each reinstatement category

3.4.16 Data on the annual average number of street work notices undertaken by reinstatement category was provided by Lincolnshire Council. This is shown in Table 3.6.

Reinstatement Category	Average Annual Number of Rural Works Undertaken	Average Annual Number of Urban Works Undertaken
0	14	0
1	151	293
2	1,519	457
3	2,184	489
4	11,450	1,905

Table 3.6: Annual number of street works undertaken by reinstatement category

3.4.17 The data provided on numbers of works together with their durations enabled the calculation of the average works duration. This was found to be 3.21 days.

3.4.18 Combining the amount of works, their relevant notice percentage, the rates output from QUADRO and the average works duration the total annual street works user delay cost was found to be £48.8 million in 2010 prices discounted to 2010.

3.4.19 As advised in Guidance Note 2, a 5% reduction in the number of street works was assumed following the implementation of the permit scheme and the present value of transport economic efficiency benefit for the first year was calculated, as shown in Table 3.7.

First Year Delay Cost Savings (£)	Base
<b>Consumer User Benefits</b>	1,380,516
<b>Business User Benefits</b>	1,127,086
<b>Accident Benefits</b>	-3
<b>Fuel Carbon Emission Benefits</b>	20,977
<b>Indirect Tax Revenue Benefits</b>	-88,412
<b>Present Value of Transport Economic Efficiency Benefits (PVB)</b>	<b>2,440,164</b>

Table 3.7: First year delay cost savings in 2010 prices and values discounted to 2010



## 4 Sensitivity Tests

4.1 Sensitivity tests, detailed in Table 4.1, were undertaken to assess the effect on delay cost savings resulting from changes to the number and duration of the works, assumed in the 'Base' scenario.

Test	Description
1	The reduction in works achieved was decreased from 5% to 4%
2	The reduction in works achieved was decreased from 5% to 3%
3	The reduction in works achieved was decreased from 5% to 2%
4	The reduction in works achieved was decreased from 5% to 1%
5	The average duration of works was increased from 3.2 days to 5 days
6	The average duration of works was increased from 3.2 days to 4 days
7	The average duration of works was reduced from 3.2 days to 3 days
8	The average duration of works was reduced from 3.2 days to 2 days
9	The average duration of works was reduced from 3.2 days to 1 day

Table 4.1: Sensitivity tests undertaken

4.2 Results from the tests are shown in Tables 4.2 and 4.3.

First Year Delay Cost Savings (£)	Sensitivity Test Number				
	Base	1	2	3	4
Consumer User Benefits	1,380,516	1,104,413	828,309	552,206	276,103
Business User Benefits	1,127,086	901,669	676,252	450,835	225,417
Accident Benefits	-3	-3	-2	-1	-1
Fuel Carbon Emission Benefits	20,977	16,782	12,586	8,391	4,195
Indirect Tax Revenue Benefits	-88,412	-70,730	-53,047	-35,365	-17,682
Present Value of Transport Economic Efficiency Benefits (PVB)	2,440,164	1,952,131	1,464,098	976,066	488,033

Resultant BCR	1.919	1.682	1.444	1.206	0.969
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Table 4.2: First year delay cost savings in 2010 prices and values discounted to 2010 for utility works sensitivity tests

First Year Delay Cost Savings (£)	Sensitivity Test Number					
	Base	5	6	7	8	9
Consumer User Benefits	1,380,516	2,157,056	1,725,645	1,294,233	862,822	431,411
Business User Benefits	1,127,086	1,761,073	1,408,858	1,056,644	704,429	352,215
Accident Benefits	-3	-5	-4	-3	-2	-1
Fuel Carbon Emission Benefits	20,977	32,777	26,222	19,666	13,111	6,555
Indirect Tax Revenue Benefits	-88,412	-138,144	-110,516	-82,887	-55,258	-27,629
Present Value of Transport Economic Efficiency Benefits (PVB)	2,440,164	3,812,756	3,050,205	2,287,654	1,525,102	762,551

Resultant BCR	1.919	2.587	2.216	1.845	1.474	1.103
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Table 4.3: First year delay cost savings in 2010 prices and values discounted to 2010 for works duration sensitivity tests

## 5 Costs to Benefit Analysis

5.1 The permit fee levels are derived from the completed DFT permit fee matrix which analyses and quantifies individual tasks associated with the administrative function of permit assessment. For this appraisal the operational revenue is taken from the proposed fee levels multiplied by the volume of expected permits, while the operational costs of running the permit scheme are in part taken from the expected actual costs given by the fee matrix.

### 5.2 Scheme costs

5.2.1 In the calculation and factoring of scheme costs the following have been applied as necessary

Sensitivity Factors	
Risk & Optimism Bias Factor	38.00%
Discount Factor	3.50%
Market Cost Adjustment	19.00%
Years to Discount	4
GDP deflator	94.882%
% Reduction in road works	5.00%

5.2.2 For capital costs of implementation, risk and optimism bias is set at a total adjustment of 38% as per DFT guidance (decision-making guidance).

5.2.3 A Discount rate of 3.5% has been applied to convert all annual values to net present values before allowing for inflation.

5.2.4 All revenue and capital costs have had a market cost adjustment of 19% as per DFT guidance (WEBTag).

5.2.5 All costs and revenue are given in 2013/14 prices, however since QUADRO output is in 2010 prices all costs and revenue have a 3 (financial) year discount GDP deflation of 94.882% as per Office of National Statistic GDP deflator guidance (October 2014).

5.2.6 The implementation costs for the permitting scheme in Lincolnshire are shown overleaf

<b>One off Implementation Costs</b>	
Staff costs	£24,930
Capital	£9,349
ICT / Software	£90,373
Support	£86,477
Sub-total one-off costs	£135,500
Sub-total one-off costs (inc Risk & Optimism bias)	£211,130
<b>Present Value of One-off Costs (2010 prices)</b>	<b>£211,130</b>

5.2.7 Implementation costs are based on an assumed one-off purchase; office space and furniture, and new IT equipment required to operate the scheme such as new computers, and software purchases and licences.

5.2.8 DfT state that set up costs prior to a scheme having been given agreement by the Secretary of State should not be included in the costs and benefits calculation. In May 2015 the permit regulations were amended and the Secretary of State no longer signs off schemes, instead this is done by an authorised person from the Authority, such as the chief executive.

5.2.9 For the purposes of this analysis, it has been assumed that this effectively might be the point in time the scheme documentation is finalised and an Order is written. Therefore the staff and support costs allocated include is an assumed resources allocation comprising Lincolnshire County Council staff preparing for the scheme implementation and changes in business processes, as well as the training of staff and contractors and on-going support post go-live.

5.2.10 Additional operational costs for the permit scheme are provided below:

<b>Annual Repeat Costs</b>	<b>Annual Cost</b>
Operating Costs (ICT)	£65,000
Operating Costs (Vehicles and other)	£54,000
Operating staff costs (Statutory Undertaker Works)	£1,481,310
Operating staff costs (Highways Works)	£444,393
Subtotal Annual Repeat Costs	£2,044,703
Subtotal Annual Repeat Costs (NO Risk & Optimism Bias)	£2,041,621
<b>Present Value of Annual Repeat Costs (2010 Prices)</b>	<b>£33,649,010</b>

5.2.11 Operational costs are based on the team structure and resource allocation it is predicted is necessary to carry out back office and permitting tasks in an efficiently managed and adequately resourced manner. This figure is taken in part from the fee matrix calculation, but there is assumed additional 30% cost of operating the permit scheme for highway authority works, as reflected by existing volumes of notices and noticing tasks required.



- 5.2.12 Further annual repeat costs include software licences and modules specifically for permitting as well as additional costs associated with the additional site work (including vehicle running costs).
- 5.2.13 No risk and bias were calculated since repeat costs are more predictable for a permit scheme (since the resources are dictated by the scheme itself).
- 5.2.14 Street Works costs do not include tax and therefore a Market Cost Adjustment has not been applied for this element.
- 5.2.15 Costs were deflated from 2014 to 2010 prices using a GDP deflator value of 94.882% and then the appraisal period of 25 years calculated using the a Net Present Value function.

### 5.3 Scheme benefits

5.3.1 Overall scheme benefits are shown below:

Quantified Annual Repeat Benefits	Adjusted Annual Benefit
Consumer User Benefits (£)	£1,380,516
Business User Benefits (£)	£1,127,086
Accident Benefits (£)	-£3
Fuel Carbon Emission Benefits (£)	£20,977
Indirect Tax Revenue Benefits (£)	-£88,412
Subtotal Quantified Annual Repeat Benefits (2010 Prices)	£2,440,164
<i>Annual Repeat Permit Fee Income (2014 Prices)</i>	<i>£1,583,598</i>
<i>Annual Repeat Permit Fee Income (2010 Prices)</i>	<i>£1,502,549</i>
<i>Present Value of Benefits (2010 Prices)</i>	<i>£3,942,713</i>
<b>Net Present Value of Benefits (25 Years Operation)</b>	<b>£64,981,889</b>

- 5.3.2 Operational revenue via permit fees are calculated based on the proposed charging regime and current volumes of notices within the county. Detailed time/cost analysis of individual permitting tasks has been undertaken as part of the DFT fee matrix, see appendix A for summary of fee levels.
- 5.3.3 A 5% reduction in volume is assumed to account for the operational efficiencies proposed for the permitting scheme.
- 5.3.4 See previous chapters for QUADRO assumptions and calculations.

## 5.4 Cost benefit ratio

5.4.1 The result of the economic appraisal for option 1 are summarised below

<b>Summary</b>	<b>Annual Cost</b>
Net Present Value of Benefits	£64,981,889
Net Present Value of Costs	£33,860,140
Net Present Value of Scheme	£31,121,750
<b>Benefit to Cost Ratio</b>	<b>1.92</b>

## 6 Summary and conclusions

- 6.1 Mouchel was commissioned by Lincolnshire County Council to undertake an economic appraisal of permit scheme costs and benefits, making an assessment of the overall value of the scheme and an associated cost benefit ratio.
- 6.2 The methodology was developed by referring to and to ensuring consistency with the relevant guidance documents, as listed in paragraph 3.2.
- 6.3 The value assessment for Option 1, expressed as a benefit to cost ratio of 1.92 represents a lower value-for-money case (but still a positive nonetheless) primarily due to the high cost of operating the permit scheme as taken from the fee matrix (1.5M) against the benefit outcome of the traffic modelling (2.4M).
- 6.4 Sensitivity test 5 (increase in average works duration from 3.2 days to 5 days) shows an increased cost/benefit from 1.92 to 2.58. This is to be expected since the QUADRO disbenefit is calculated for one day and then multiplied up. Therefore five days has 5/4 of the disbenefits of four days etc. With this model of scheme we assume a 4.41% reduction in Statutory Undertaker disbenefits and so the more days of works the bigger this reduction (the monetary benefit) becomes.
- 6.5 While a permit scheme does try to drive decreases in network occupancy through the idea of collaborative working and reductions in the numbers of smaller/short term activities (combining them perhaps in to one slightly longer activity), in reality overall average works durations are unlikely to increase this substantially.
- 6.6 The sensitivity test 4 (reduction in number of utility works from 5% to 1%) gives a relatively low benefit (0.969). This is to be expected because a minimal reduction in road occupancy does have an overall benefit albeit it a very small one. Therefore, it may be discounted. Similarly for sensitivity tests 8 and 9 where the reductions in the duration are not likely.
- 6.7 It should be noted that the number of registerable activities for the highway authority is estimated to be around 30%. This is a relatively low figure based on recent data from the register and it is possible this will increase under permitting. The cost model used assumes a similar cost of operation for the authority as for a statutory undertaker and so any relatively small increase in authority activity numbers will decrease the overall benefit further.
- 6.8 As the economic appraisal of option 1 is a small positive, and the majority of sensitivity testing scenarios result in fairly consistent low positive benefit to cost ratios (>1.1), it has been demonstrated that the scheme is feasible as the net benefits to road users and wider society exceed the additional costs of the scheme.
- 6.9 We recommend that the permit scheme is progressed to implementation.

## 7 Future Performance Assessment

- 7.1.1 A permit scheme is not intended to generate revenue for the permit authority and so it is important to monitor income received from permits post implementation to ensure the scheme is cost neutral over time. Therefore after the first year of operation and also during subsequent years of operation the costs incurred and income generated will need to be assessed and permit fees adjusted accordingly.
- 7.1.2 The 2015 amendments to the permit scheme regulations<sup>1</sup> require re-evaluation on the first, second and third anniversary of the scheme coming into effect, and every third year thereafter. A yearly assessment of the scheme and the costs/fee levels allows scope to assess trends and enables closer scrutiny of the effectiveness of the Permit Scheme.
- 7.1.3 This evaluation should include consideration of
- whether the fee structure needs to be changed in light of any surplus or deficit;
  - the costs and benefits (whether or not financial) of operating the scheme; and
  - whether the permit scheme is meeting the key performance indicators set out in the Guidance.
- 7.1.4 It should be noted that at the present time there is no inflation proofing of fees and that this will reduce the value of the scheme in the longer term.
- 7.1.5 The 2015 amendments to the permit scheme regulations<sup>2</sup> require re-evaluation on the first, second and third anniversary of the scheme coming into effect, and every third year thereafter. A yearly assessment of the scheme and the costs/fee levels allows scope to assess trends and enables closer scrutiny of the effectiveness of the Permit Scheme.
- 7.1.6 Any future change in fee levels should be based on reassessment of the fee matrix and may require an additional consultation period.
- 7.1.7 Following assessment annually, should the current fee levels prove to be too high (ie income exceeds operational costs), it would not be effective to consider refunding excess income. It is recommended that permit fees are adjusted, or additional discounts to the charging regime are set up, to reduce permit fee income by an equivalent amount to the surplus in the subsequent financial year. Thus over time balancing out the surplus or losses made.
- 7.1.8 During the first year of the scheme Lincolnshire County Council might wish to monitor their allowable costs and fee income several times. If early on in the scheme's operation, it is considered likely that there will be a significant imbalance between costs and fees then an early adjustment of fee levels may be warranted.
- 7.1.9 Part of the assessment process should include an evaluation of the costs and benefits of the scheme. These costs and benefits are not just financial, and the annual report on the permit scheme (see below) will allow a considered analysis both quantitatively and qualitatively. For the purposes of this economic appraisal a recalculation of the activities undertaken under the permit scheme, together with the adjusted cost matrix, will provide a suitable dataset to recalculate the costs and benefits in monetary terms. In the long term additional traffic analysis

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<sup>1</sup> SI 2015/958 The Traffic Management Permit Scheme (England)(Amendment) Regulations 2015

<sup>2</sup> SI 2015/958 The Traffic Management Permit Scheme (England)(Amendment) Regulations 2015

may be required if there has been significant changes in volumes and patterns, or of there has been a significant change to activity road-occupancy.

## 7.2 Other performance assessment

7.2.1 It is important to be able to assess the performance of a permit scheme. The evaluation, in the form of an annual report, should be with reference to the stated objectives of the scheme to demonstrate to what extent they have been delivered.

7.2.2 Most of the objectives of the Lincolnshire Permit Scheme are measured through the monitoring and collection of performance indicators, compared against baseline data collected prior to the operation of the scheme or for the previous year(s) of the scheme's operation.

7.2.3 However, in addition to these, assessments might include some or all of the following.

### Works Activity

7.2.4 Permit schemes are expected to reduce works amounts and/or durations through better co-ordination. This can be assessed annually by monitoring the number and average duration of works.

7.2.5 In addition, analysis could consider the changes in the breakdown of works between strategically and non-strategically significant locations and between the different street reinstatement categories.

7.2.6 In this analysis it has been assumed that the split between different works lengths is consistent with the values provided in Table 2 of Guidance Document 1. In theory it is possible that to reduce permit costs by sharing road space or working collaboratively, therefore it might be possible to analyse notice numbers by site length.

7.2.7 If traffic growth was comparatively flat during the first year of operation then the existing QUADRO analysis could be utilised without further counts and the effect of the changed works levels could be assessed.

7.2.8 If flows or vehicle proportions are expected to have changed significantly then collection of new count data would be necessary and a new QUADRO analysis would need to be undertaken.

### Network Performance

7.2.9 The reduction in, and improved co-ordination of works is expected to lead to improvements in overall network performance.

7.2.10 Improvements in network speeds and overall journey time reliability could be investigated by assessing changes in vehicle speeds (using TrafficMaster GPS data) and bus journey times on both the strategically and non-strategically significant streets, or considering similar data from neighbouring (non-permitting) authorities as a baseline comparison.

7.2.11 Work modelling the relationship between journey time and standard deviation (one measure of journey time variability) has been done for the DfT based on GPS data. However it is difficult to assess the direct impact of permitting schemes on journey time or journey time

reliability from other influences on the network, and for this reason it has not been included as a specific performance indicator or measure within the scheme.

### 7.3 Changes to Key Performance Indicators and Objective Measures

7.3.1 The LiPS scheme is committed to following guidance from HAUC(England) or the DfT with regards to its TPIs and Operational Measures.

7.3.2 Should this guidance change, the manner of reporting on these measures will be amended to comply.

## 8 Appendix A – Operational income

Reinstatement category of street	Traffic sensitive streets	Non-traffic sensitive streets
Provisional Advance Authorisation	£101	£72
Major Activity greater than 11 days duration or requiring a TRO	£210	£130
Major Activity between 4 & 10 day duration	£117	£75
Major Activity up to 3 day duration	£64	£43
Standard activity	£117	£75
Minor Activity	£64	£43
Immediate activity	£40	£26
Permit Variation	£45	£35

*Table of permit fee levels for Lincolnshire County Council*

Note that the DfT's *Additional advice note for developing and operating future permit schemes (March 1014)* sets out a revised fee structure where works classed as Major are further divided into three fee-categories based on their duration.

Existing NRSWA Work Volumes and Estimated Number of Permits

Category 0-2 and Traffic Sensitive Streets							
Current NRSWA Notification Regime Volumes		Estimated Number of Permits per Year					
Actual Volumes by Works Category Type		Estimated Number of Permits by Activity Type					
Works Category	No. of Notified Street Works per Year	Activity Type	Permit Applications	Permits Required for Remedial Works	Cancelled/Abandoned Works	Allowance for Phased Works	Total Permits
Major	404	Provisional Advance Authorisation	404	N/A	N/A	81	485
Standard	1245	Major	404	8	0	82	494
Minor with Excavation	4064	Standard	1245	25	0	254	1524
Minor without Excavation	1216	Minor	5280	106	0	1077	6463
Urgent	1699	Immediate	2027	41	0	414	2481
Special Urgent	0						
Emergency	328						
Remedial Works	79						
Cancelled/Abandoned Works	1795						
<b>Sub Total</b>	<b>8956</b>	<b>Sub Total</b>	<b>9360</b>	<b>179</b>	<b>0</b>	<b>1908</b>	<b>11447</b>

Category 3-4 Non-Traffic Sensitive Streets							
Current NRSWA Notification Regime Volumes		Estimated Number of Permits per Year					
Actual Volumes by Works Category Type		Estimated Number of Permits by Activity Type					
Works Category	No. of Notified Street Works per Year	Activity Type	Permit Applications	Permits Required for Remedial Works	Cancelled/Abandoned Works	Allowance for Phased Works	Total Permits
Major	604	Provisional Advance Authorisation	604	N/A	N/A	121	725
Standard	1242	Major	604	12	0	123	739
Minor with Excavation	5324	Standard	1242	25	0	253	1520
Minor without Excavation	1020	Minor	6344	127		1294	7765
Urgent	2619	Immediate	2922	58		596	3577
Special Urgent	0						
Emergency	303						
Remedial Works	99						
Cancelled/Abandoned Works	1992						
<b>Sub Total</b>	<b>11112</b>	<b>Sub Total</b>	<b>11716</b>	<b>222</b>	<b>0</b>	<b>2388</b>	<b>14326</b>

<b>TOTAL</b>	<b>20068</b>	<b>TOTAL</b>	<b>21076</b>	<b>401</b>	<b>0</b>	<b>4295</b>	<b>25773</b>
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Estimated Number of Permit Variations

Category 0-2 and Traffic Sensitive Streets			
Estimated Number of Permit Variations per Year			
Estimated Number of Permit Variations by Activity Type			
Activity Type	Total Number of Permits	Permit Variation (%)	Total Number of Permit Variations
Provisional Advance Authorisation	485	N/A	N/A
Major	494	20%	99
Standard	1524	10%	152
Minor	6463	5%	323
Immediate	2481	5%	124
<b>Sub Total</b>	<b>11447</b>	<b>N/A</b>	<b>698</b>

Category 3-4 Non-Traffic Sensitive Streets			
Estimated Number of Permit Variations per Year			
Estimated Number of Permit Variations by Activity Type			
Activity Type	Total Number of Permits	Permit Variation (%)	Total Number of Permit Variations
Provisional Advance Authorisation	725	N/A	N/A
Major	739	20%	148
Standard	1520	10%	152
Minor	7765	5%	388
Immediate	3577	5%	179
<b>Sub Total</b>	<b>14326</b>	<b>N/A</b>	<b>867</b>



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## Hourly Rate Calculation

Personnel Type	Annual Salary	National Insurance (%)	Pension (superannuation) (%)	Working hours/annum	Employee Overhead Rate	Final Hourly Rate	Total Annual Cost
Street Works Officer - (Principal Highways Officer Grade 10) 10%	£29,559	7.8	20	1386	2.47	£67	£93,308
Street Works Officer - (Network Management Compliance Manager Grade 10) 20%							
Street Works Officer - (Senior Highways Officer Grade G9) 10%							
Street Works Officer - (Highways Officer Grade G7) 40%							
Street Works Officer - (Assistant Highways Officer Grade 5) 20%							
Street Works Coordinator - (Principal Highways Officer Grade 10) 15%	£29,559	7.8	20	1386	2.47	£67	£93,308
Street Works Coordinator - (Network Management Compliance Manager Grade 10) 20%							
Street Works Coordinator - (Highways Officer Grade 7) 40%							
Street Works Coordinator - (Assistant Highways Officer Grade 5) 25%							
Traffic Manager - (Traffic Manager Grade 16) 35%	£57,078	7.8	20	1386	2.47	£130	£180,176
Traffic Manager - (Regulation Manager Grade 13) 35%							
Traffic Manager - (Network Manager Grade 12) 30%							

## Total Employees Required

### Category 0-2 and Traffic Sensitive Streets

Street Works Officers						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.42	1.03	0.65	0.38	0.21	2.69
Total Permits	485	494	1524	6463	2481	11447
Total Hours	202	510	998	2450	511	30766
No. of Posts Required	0.15	0.37	0.72	1.77	0.37	3.37
Employee Costs	£13,585	£34,344	£67,167	£164,932	£34,413	£314,441

Street Works Coordinators						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.45	0.80	0.56	0.28	0.28	2.37
Total Permits	485	494	1524	6463	2481	11447
Total Hours	220	395	856	1796	689	27119
No. of Posts Required	0.16	0.28	0.62	1.30	0.50	2.85
Employee Costs	£14,820	£26,563	£57,596	£120,880	£46,406	£266,265

Traffic Managers						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.20	0.40	0.12	0.02	0.00	0.74
Total Permits	485	494	1524	6463	2481	11447
Total Hours	97	197	187	116	11	8501
No. of Posts Required	0.07	0.14	0.13	0.08	0.01	0.44
Employee Costs	£12,562	£25,606	£24,267	£15,052	£1,478	£78,966

### Category 3-4 Non-Traffic Sensitive Streets

Street Works Officers						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.28	0.60	0.44	0.27	0.14	1.73
Total Permits	725	739	1520	7765	3577	14326
Total Hours	201	445	663	2125	500	24773
No. of Posts Required	0.15	0.32	0.48	1.53	0.36	2.84
Employee Costs	£13,557	£29,945	£44,639	£143,061	£33,689	£264,890

Street Works Coordinators						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.37	0.65	0.43	0.25	0.18	1.89
Total Permits	725	739	1520	7765	3577	14326
Total Hours	271	480	658	1945	640	27009
No. of Posts Required	0.20	0.35	0.47	1.40	0.46	2.88
Employee Costs	£18,253	£32,309	£44,280	£130,950	£43,079	£268,872

Traffic Managers						
	PAA	Major	Standard	Minor	Immediate	TOTAL
Hours per Permit	0.13	0.19	0.03	0.00	0.00	0.35
Total Permits	725	739	1520	7765	3577	14326
Total Hours	92	138	51	23	11	507

<b>No. of Posts Required</b>	0.07	0.10	0.04	0.02	0.01		<b>0.23</b>
<b>Employee Costs</b>	£11,919	£17,964	£6,637	£3,028	£1,395		<b>£40,943</b>

**TOTALS**

<b>Street Works Officers</b>	<b>6.21</b>	<b>£579,332</b>	<b>Street Works Officers</b>
<b>Street Works Coordinators</b>	<b>5.74</b>	<b>£535,137</b>	<b>Street Works Coordinators</b>
<b>Traffic Managers</b>	<b>0.67</b>	<b>£119,909</b>	<b>Traffic Managers</b>
<b>TOTAL NO. OF EMPLOYEES REQUIRED</b>	<b>12.61</b>	<b>£1,234,378</b>	<b>TOTAL EMPLOYEE COSTS</b>

# ALLOWABLE COST CALCULATION TEMPLATE - Category 0-2 and Traffic Sensitive Streets

Task Ref.	Permit Task	Permit Task Description	Personnel	Activity Designations					Notice Regime Reduction (%)
				Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application	
1	PERMIT DATA VALIDATION CHECK	Data validation of received permit application data and associated information for compliance with the Technical Specification for EToN prior to entry into the Local Street Works Register.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.1 0.3 0.0 0.4	0.1 0.3 0.0 0.4	0.1 0.3 0.0 0.4	0.1 0.3 0.0 0.4	0.1 0.3 0.0 0.4	0% 0% 0%
2	PERMIT DATA CONTENT CHECK	Scrutiny of the permit application data content to verify it is an authentic submission with adequate information that will enable a full assessment of the permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 1.0 0.0 0.2	0.0 1.0 0.0 0.2	0.0 1.0 0.0 0.2	0.0 1.0 0.0 0.2	0.0 1.0 0.0 0.2	0% 85% 0%
3	SUBSISTING SUBSTANTIAL ROAD OR STREET WORK RESTRICTIONS (S58 and s58A of NRSWA)	Assessment to ensure that the permit application will not conflict with a notified restriction or a restriction period that is in force.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.2 0.2 0.0 0.2	0.2 0.2 0.0 0.2	0.2 0.2 0.0 0.2	0.2 0.2 0.0 0.2	0.2 0.2 0.0 0.2	50.0% 50.0% 0%
4	MAJOR WORKS ACTIVITY FITS SUBSTANTIAL STREET WORKS RESTRICTION CRITERIA	To determine whether the major works activity permit application meets the criteria for substantial street works and subsequent issue of a section 58A notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.1 0.1 0.0 0.2	0.1 0.1 0.1 0.3	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
5	COORDINATION OF PROPOSED ACTIVITIES	There a number of sub-tasks as shown below which encapsulate the discrete items which contribute to the execution of this task:	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 2.3	4.5 1.7 0.0 4.7	1.0 1.5 0.0 1.8	0.2 2.0 0.0 1.7	0.0 0.0 0.0 0.0	25% 25% 0%
	a) SITE AVAILABILITY AND WORK PERIOD REVIEW	Permit application checked to determine if there are any other proposed or subsisting activities that may conflict in the same work period for the location of impact. If necessary establish a suitable solution to accommodate the activity whilst minimising disruption of traffic.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.2 0.4 0.0 0.6	0.4 0.8 0.0 1.2	0.2 0.4 0.0 0.6	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
	b) COLLABORATIVE WORKING ASSESSMENT	An assessment where every consideration is made for opportunities to seek collaborative working so that the potential disruption or impact for the sum of the individual works can be reduced through site or trench sharing initiatives.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.7 2.0 0.0 3.3	2.0 2.5 0.0 4.1	1.8 2.0 0.0 3.4	1.8 2.0 0.0 3.4	1.1 2.0 0.0 2.8	10% 10% 0%
	c) TRAFFIC MANAGEMENT TYPE ASSESSMENT	To determine that the traffic management type selected by the activity promoter is relevant and appropriate for the successful execution of the activity. Factors to consider will include those of safety and minimising inconvenience to the highway user.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.2 2.0 0.5 3.7	1.5 2.0 1.0 4.5	1.3 2.0 0.5 3.8	1.5 2.0 0.3 3.8	1.1 2.0 0.0 3.1	0% 0% 0%
	d) IMPACT ASSESSMENT BY ACTIVITY PROMOTERS	A review is made of the impact assessment set out by the activity promoter. All factors (not just those presented by the promoter) will be considered and judged as having being appropriately determined and mitigated wherever practical. Assessment may be necessary in respect of a reduction of road space and effect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 0.5 4.5	2.0 2.0 2.0 6.0	1.0 1.5 0.5 3.0	1.0 2.0 0.0 3.0	1.0 2.0 0.0 3.0	0% 0% 0%
	e) IMPACT ASSESSMENT ON PUBLIC TRANSPORT OPERATORS	Scrutiny of activities with specific consideration given to the impact on the public transport operators (buses, trains, trams, etc), including the review of any consultations undertaken and checking of stakeholder agreements reached.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.5 0.5 3.0	1.0 1.5 0.5 3.0	1.0 1.5 0.5 3.0	1.0 2.0 0.0 3.0	1.0 2.0 0.0 3.0	0% 0% 0%
	f) IMPACT ASSESSMENT ON ALL NETWORKS	Scrutiny of activities with specific consideration given to the Network Management Duty responsibility to ascertain the disruption impact on all networks (cycle, freight, etc) have been assessed and mitigated in the most effective manner. Assessment may be necessary in respect of a reduction of road space and affect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.5 2.4	1.0 1.0 0.5 2.4	1.0 1.0 0.5 2.4	1.0 1.0 0.5 2.4	0.0 0.0 0.0 0.0	5% 5% 0%
	g) IMPACT ASSESSMENT ON PLANNED EVENTS, INCIDENTS AND HIGHWAYS ACT 1980 ACTIVITIES (E.G. SKIPS)	To determine whether the proposed works may impact on planned events, incidents affecting the network and Highways Act 1980 activities (e.g. skips). If an impact is identified, the authority to consider options and may enter into dialogue for the resolution with activity promoter and affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 1.0 0.5 2.0	1.0 1.0 0.5 2.5	0.5 1.0 0.0 1.5	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
h) ACTIVITY ASSESSED FOR APPROPRIATENESS OF LOCATION OF NEW APPARATUS	Assessment of activity to determine whether the permit application should be refused or revised if the placement of apparatus in the street is likely to cause congestion that could be otherwise avoided or reduced if the apparatus could reasonably be placed in an alternative street.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.2 1.8	1.0 1.0 0.2 1.8	1.0 0.8 0.0 1.5	0.5 0.5 0.0 0.8	0.1 0.1 0.0 0.2	10% 30% 0%	
6	COMPLIANCE OF ACTIVITY FOR STREETS SUBJECT TO SPECIAL CONTROLS OR WITH RESPECT TO THE RELEVANT AUTHORITIES	To determine that the proposed activity which may impact on streets that are subject to special controls (such as protected streets, streets with special engineering difficulties, traffic-sensitive streets, or works affecting a bridge or sewer authority) have complied with appropriate legislation. This may include dialogue with structure owner.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.5 2.0 0.5 5.0	6.0 3.0 1.0 10.0	5.0 2.0 0.0 7.0	5.0 2.0 0.0 7.0	0.0 2.0 0.0 2.0	0% 0% 0%
7	ASSESSMENT OF DURATION OF PERMIT ACTIVITIES	To determine that the permit application estimated duration is reasonable, taking into account all aspects of the activity. Liaise with the activity promoter where duration appears to be excessive with a view to agreeing a revised duration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.8 0.0 0.8	0.0 1.0 0.0 1.0	0.0 0.8 0.0 0.8	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
8	ASSESSMENT OF IMPACT ON EXISTING WORKS LICENSED UNDER SECTION 50 OF NRSWA	To determine whether the proposed activity impacts on apparatus placed under a section 50 licence. Details of the apparatus record to be made available to the activity promoter for consideration within their promoted activity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.5 1.5 1.5 4.4	2.0 2.0 2.0 5.8	2.0 2.0 0.5 4.3	1.5 1.5 0.0 2.9	0.0 0.0 0.0 0.0	5% 5% 0%
9	PUBLIC CONSULTATION / NOTIFICATION	To evaluate that appropriate consultation and publicity for the activity has or will take place with relevant stakeholders (such as resident and business groups, frontagers, police, public transport operators, travelling public, etc), and that stakeholders responses have been duly considered by the promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 0.2 0.0 1.2	2.0 1.0 0.0 3.0	1.0 0.2 0.0 1.2	0.0 0.5 0.0 0.5	0.0 0.5 0.0 0.5	0% 0% 0%
10	ENVIRONMENTAL CONSIDERATIONS	To evaluate that any matters which may have an environmental impact (such as noise and dust) are identified and appropriately actioned to demonstrate that the necessary balance of the issues and execution of the activity is reflected. This may include discussions with the appropriate environmental health office.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5 0.0 0.5	0.5 0.5 0.0 0.5	0.5 0.5 0.0 0.5	0.5 0.5 0.0 0.5	0.5 0.5 0.0 0.5	50% 50% 0%
11	PROMOTER GENERATED TELEPHONE CALL OR CONTACT	All relevant promoter generated telephone calls and/or emails are processed in regard to submitted permit applications. These may relate to enquiries on progress of application, requests for an early start prior to the submission of an application, or provision of supplementary information necessary for the authority to action approval.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 3.0 4.5	4.0 2.0 3.0 6.3	2.0 0.5 0.5 2.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	40% 40% 10%
12	STRATEGIC PROJECT PLANNING ASSESSMENT	Input may be requested by the activity promoter or required by the authority on activities affecting an area such as a major network or mains replacement programme. Reference to output from routine co-ordination forums may be necessary. This task may operate in advance of a formal permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5 0.5 1.5	1.5 1.5 1.0 4.0	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0.0 0.0 0.0 0.0	0% 0% 0%
13	CONTROLLED PARKING ASSESSMENT	To evaluate that provisions have been made by the promoter for suspending or modifying controlled parking arrangements. Consideration will also have been given to providing alternative parking arrangements where practicable.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 0.5 2.5	4.0 3.0 1.0 5.6	2.0 2.0 0.0 2.6	1.0 1.0 0.0 1.3	0.7 0.0 0.0 0.7	35% 35% 0%
14	TEMPORARY TRAFFIC RESTRICTIONS (ROAD TRAFFIC REGULATION ACT 1984)	To verify that provisions have been made by the promoter to obtain the required approval/notice/order that relate to traffic regulation (such as road closures, banned turns, bus lanes, etc).	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.5 2.0 0.5 3.2	5.0 3.0 0.5 5.3	4.5 3.0 0.5 5.0	2.5 1.5 0.0 2.4	2.5 1.5 0.0 2.4	40% 40% 0%
15	PORTABLE LIGHT SIGNALS	Verify that the authority process for obtaining prior approval for the placement of portable light signals has been undertaken by the activity promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.5 2.4	10.0 7.5 5.0 21.6	4.0 4.0 1.0 8.6	1.0 1.0 0.0 1.9	0.0 0.0 0.0 0.0	5% 5% 0%
16	DETAILED TRAFFIC MANAGEMENT ASSESSMENT	If an assessment is made that the activity may have an adverse impact on traffic flows, a more detailed traffic management proposal is requested and evaluated prior to permit determination. Evaluation may require scrutiny of activity method statements and site plans.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times						

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17	ACTIVITY SPECIFIC CO-ORDINATION MEETING	An activity specific office based co-ordination meeting to discuss complex activity proposals (including traffic management proposals and work method). This task may require attendance of other organisations, such as the police, environmental authority and public transport operators, and will include arranging and facilitating the meeting.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 2.0 6.0	3.0 3.0 3.0 9.0	1.0 1.0 1.0 3.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0% 0%
18	SITE VISIT	A site visit may be made to ascertain a more detailed understanding of the extent of the proposed activity, the potential impact on environmentally sensitive areas, and any special local circumstances that need to be considered. The site visit may involve other representatives: e.g. the promoter, police, environmental authority, etc.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.5 0.5 0.0 2.3	5.2 0.8 0.0 4.5	5.2 0.8 0.0 4.5	1.5 0.5 0.0 1.5	1.5 0.5 0.0 1.5	1.1 0.4 0.0 1.5	25% 25% 0% 0%
19	PERMIT DECISION AND ATTACHED CONDITIONS	After progression through the tasks of the permit application process, a decision is made to give either: a) Provisional Advanced Authorisation for a Permit; b) Permit Approval; or c) a Permit Refusal. Any approved applications will be issued with relevant conditions attached. Reasons will always be provided with a Permit Refusal.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 1.5 0.0 2.0	0.5 3.0 0.5 4.0	0.5 2.5 0.0 3.0	0.5 1.0 0.0 1.5	0.5 1.0 0.0 1.5	0.5 1.0 0.0 1.5	0% 0% 0% 0%
20	ACTIVITY START AND FINISH CHECKS	Data validation and data content check of works start, works clear and works closed notices to ensure the data is compliant with the Technical Specification for EToN and that the notice information is intuitive and consistent with the permit and any conditions applied.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0 0.0 0.0	10.0 2.0 0.0 9.0	7.0 2.0 0.0 6.8	2.5 0.5 0.0 2.3	2.5 0.5 0.0 2.3	1.9 0.4 0.0 2.3	25% 25% 0% 0%
21	REINSTATEMENT NOTICES CHECK	Data validation and data content check of the registered reinstatement for the activity to ensure the data is compliant with the Technical Specification for EToN and that the registration information is intuitive and consistent with the permit, its conditions, and the previous notices information, ie. clear or closed notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0 0.0 0.0	0.5 1.0 0.0 1.3	0.5 1.0 0.0 1.3	0.5 1.0 0.0 1.3	0.5 1.0 0.0 1.3	0.5 0.8 0.0 1.3	0% 25% 0% 0%
22	ACTIVITY CANCELLATION	Data validation and data content check for the cancellation notice. Verification that no unauthorised activity has taken place, and that associated parking suspensions, TROs, etc have been cancelled. Notification of cancelled works to affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.5 0.0 0.5	1.0 2.0 0.0 3.0	0.0 1.0 0.0 1.0	0.0 0.5 0.0 0.5	0.0 0.5 0.0 0.5	0.0 0.5 0.0 0.5	0% 0% 0% 0%
23	INFORMAL DISPUTE RESOLUTION	This task is specific to seeking a local resolution of a dispute. A failure to resolve the dispute will move the issue to the formal dispute resolution stages of the appeals procedures, adjudication and arbitration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5 0.5 1.5	1.0 1.0 1.5 3.4	1.0 1.0 1.5 3.4	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0% 0% 10% 10%
24	COMPLAINTS AND ENQUIRIES	To seek ownership and resolution of any complaints or enquiries generated from the promoted activity. These may arise before the activity has commenced in relation to public consultation or notification.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.4 1.4 0.2 1.7	4.0 4.0 2.0 5.5	2.0 2.0 1.0 2.8	2.0 2.0 0.5 2.5	2.0 2.0 0.5 2.5	1.1 1.1 0.3 2.5	45% 45% 45% 45%

<b>TOTAL ACTUAL TIMES</b>	29.4	32.3	12.4	74.1	74.9	56.4	25.3	156.5	47.8	40.0	8.0	95.8	26.8	27.5	1.3	55.6	16.1	20.1	0.5	36.7	12%	16%	2%
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<b>TOTAL ADJUSTED TIMES</b>	25.0	27.2	12.0	64.2	61.9	47.9	23.9	133.8	39.3	33.7	7.4	80.3	22.7	22.9	1.1	46.7	12.4	16.7	0.3	29.3	<b>Total Hours</b>	161.3	148.4	44.6	354.3
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<b>HOURLY RATES for PERSONNEL</b>	£28	£31	£26	£85	£69	£54	£52	£175	£44	£38	£16	£98	£26	£26	£2	£54	£14	£19	£1	£33
<b>PRE-OPERATIONAL FACTOR ALLOWABLE COST</b>				£85				£175				£98				£54				£33

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Factor Ref.	Additional Operational Factors	Operational Description																						
A	PRODUCTION OF KEY PERFORMANCE INDICATORS (KPIs)	To run and produce annual reports for a minimum of 4 out of the 7 Key Performance Indicators (KPIs) detailed in the Code of Practice for Permits. The KPIs are designed to provide a means of demonstrating parity of treatment for all activity promoters.	3%	£3	3%	£5	3%	£3	3%	£2	3%	£1												
B	INVOICING COSTS	To produce and issue invoices for PAA, permits, and permit variation fees, including dealing with follow-up queries and chasing outstanding payments due.	5%	£4	5%	£5	5%	£5	5%	£3	5%	£2												
C	IT SOFTWARE AND HARDWARE COSTS	Costs for software and hardware associated with deploying and maintaining an IT system for handling the permit process that is compliant with the Technical Specification for EToN. Costs could include one-off deployment costs, software licenses, software training and ongoing support and development costs. Deductions must be made for any parts of the system that does not apply to the operation of a permit scheme.	5%	£4	5%	£9	5%	£5	5%	£3	5%	£2												
D	UNAUTHORISED AND ABANDONED ACTIVITIES	To assess and action all situations of unauthorised activities irrespective of the stage of works, the activity type, permit conditions or those conditions that may have been considered appropriate. Time spent discussing and assessing a proposed activity that is abandoned before an application would have been required.	2%	£2	2%	£3	2%	£2	2%	£1	2%	£1												
E	MANAGEMENT AND MONITORING	To manage and monitor the operation of a permit scheme to ensure compliance with the provisions of the permit scheme approved by the secretary of state, the legislation, regulations, statutory guidance and code of practice.	5%	£4	5%	£9	5%	£5	5%	£3	5%	£2												
<b>TOTAL PERCENTAGE FOR ADDITIONAL OPERATIONAL FACTOR</b>			20%	£17	20%	£31	20%	£20	20%	£11	20%	£7	20%	£7	20%	£7	20%	£7	20%	£7	20%	£7	20%	£17
<b>FINAL ALLOWABLE COST</b>			<b>£101</b>		<b>£210</b>		<b>£117</b>		<b>£64</b>		<b>£40</b>		<b>£40</b>		<b>£40</b>		<b>£40</b>		<b>£40</b>		<b>£40</b>		<b>£40</b>	

## ALLOWABLE COST CALCULATION TEMPLATE - Category 3-4 Non-Traffic Sensitive Streets

Task Ref.	Permit Task	Permit Task Description	Personnel	Activity Designations					Notice Regime Reduction (%)
				Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application	
1	PERMIT DATA VALIDATION CHECK	Data validation of received permit application data and associated information for compliance with the Technical Specification for EToN prior to entry into the Local Street Works Register.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0.0 0.5 0.0 0.5	0.0 0.5 0.0 0.5	0.0 0.3 0.0 0.3	0% 0% 0%
2	PERMIT DATA CONTENT CHECK	Scrutiny of the permit application data content to verify it is an authentic submission with adequate information that will enable a full assessment of the permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.0 1.2	1.0 1.0 0.0 1.2	0.4 0.6 0.0 0.5	0.4 0.6 0.0 0.5	0.2 0.3 0.0 0.2	0% 85% 0%
3	SUBSISTING SUBSTANTIAL ROAD OR STREET WORK RESTRICTIONS (S58 and s58A of NRSWA)	Assessment to ensure that the permit application will not conflict with a notified restriction or a restriction period that is in force.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.3 0.3 0.5	0.5 0.3 0.3 0.5	0.2 0.1 0.2 0.3	0.2 0.1 0.2 0.3	0.1 0.1 0.1 0.2	50% 50% 0%
4	MAJOR WORKS ACTIVITY FITS SUBSTANTIAL STREET WORKS RESTRICTION CRITERIA	To determine whether the major works activity permit application meets the criteria for substantial street works and subsequent issue of a section 58A notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.1 0.0 0.1	0.0 0.1 0.0 0.1	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
5	<b>COORDINATION OF PROPOSED ACTIVITIES</b>	There a number of sub-tasks as shown below which encapsulate the discrete items which contribute to the execution of this task:	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.4 0.2 0.0 0.5	2.0 1.0 0.0 2.3	0.6 0.4 0.0 0.8	0.6 0.4 0.0 0.8	0.0 0.0 0.0 0.0	25% 25% 0%
a)	SITE AVAILABILITY AND WORK PERIOD REVIEW	Permit application checked to determine if there are any other proposed or subsisting activities that may conflict in the same work period for the location of impact. If necessary establish a suitable solution to accommodate the activity whilst minimising disruption of traffic.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.3 0.2 0.0 0.5	1.5 0.8 0.0 2.3	0.5 0.3 0.0 0.8	0.5 0.3 0.0 0.8	0.0 0.0 0.0 0.0	0% 0% 0%
b)	COLLABORATIVE WORKING ASSESSMENT	An assessment where every consideration is made for opportunities to seek collaborative working so that the potential disruption or impact for the sum of the individual works can be reduced through site or trench sharing initiatives.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.6 0.2 0.4 1.2	1.2 0.4 0.8 2.4	0.6 0.2 0.4 1.2	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
c)	TRAFFIC MANAGEMENT TYPE ASSESSMENT	To determine that the traffic management type selected by the activity promoter is relevant and appropriate for the successful execution of the activity. Factors to consider will include those of safety and minimising inconvenience to the highway user.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.7 1.8 0.0 2.3	0.6 0.7 0.0 1.2	0.5 0.5 0.0 0.9	0.5 0.5 0.0 0.9	0.5 0.5 0.0 0.9	10% 10% 0%
d)	IMPACT ASSESSMENT BY ACTIVITY PROMOTERS	A review is made of the impact assessment set out by the activity promoter. All factors (not just those presented by the promoter) will be considered and judged as having being appropriately determined and mitigated wherever practical. Assessment may be necessary in respect of a reduction of road space and effect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 1.5 0.5 2.5	0.5 1.5 0.5 2.5	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0.5 0.5 0.0 1.0	0% 0% 0%
e)	IMPACT ASSESSMENT ON PUBLIC TRANSPORT OPERATORS	Scrutiny of activities with specific consideration given to the impact on the public transport operators (buses, trains, trams, etc.), including the review of any consultations undertaken and checking of stakeholder agreements reached.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 1.0 0.5 2.0	0.5 1.0 0.5 2.0	1.0 1.0 0.0 2.0	1.0 1.0 0.0 2.0	1.0 1.0 0.0 2.0	0% 0% 0%
f)	IMPACT ASSESSMENT ON ALL NETWORKS	Scrutiny of activities with specific consideration given to the Network Management Duty responsibility to ascertain the disruption impact on all networks (cycle, freight, etc) have been assessed and mitigated in the most effective manner. Assessment may be necessary in respect of a reduction of road space and affect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 2.0 0.5 3.0	0.5 1.5 0.5 2.5	1.0 2.0 0.0 3.0	1.5 1.5 0.0 3.0	1.5 1.5 0.0 3.0	0% 0% 0%
g)	IMPACT ASSESSMENT ON PLANNED EVENTS, INCIDENTS AND HIGHWAYS ACT 1980 ACTIVITIES (E.G. SKIPS)	To determine whether the proposed activities may impact on planned events, incidents affecting the network and Highways Act 1980 activities (e.g. skips). If an impact is identified, the authority will need to consider options and may enter into dialogue for the resolution with the activity promoter and affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 2.9	1.0 2.0 0.0 2.9	1.0 2.0 0.0 2.9	1.0 2.0 0.0 2.9	0.0 0.0 0.0 0.0	5% 5% 0%
h)	ACTIVITY ASSESSED FOR APPROPRIATENESS OF LOCATION OF NEW APPARATUS	Assessment of activity to determine whether the permit application should be refused or revised if the placement of apparatus in the street is likely to cause congestion that could be otherwise avoided or reduced if the apparatus could reasonably be placed in an alternative street.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.0 0.0 0.5	0.5 0.0 0.0 0.5	0.5 0.0 0.0 0.5	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
6	COMPLIANCE OF ACTIVITY FOR STREETS SUBJECT TO SPECIAL CONTROLS OR WITH RESPECT TO THE RELEVANT AUTHORITIES	To determine that the proposed activity which may impact on streets that are subject to special controls (such as protected streets, streets with special engineering difficulties, traffic-sensitive streets, or works affecting a bridge or sewer authority) have complied with appropriate legislation. This may include dialogue with structure owner.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.3 0.4 0.2 0.8	0.3 0.4 0.2 0.8	0.4 0.5 0.0 0.7	0.3 0.4 0.0 0.7	0.1 0.1 0.0 0.2	10% 30% 0%
7	ASSESSMENT OF DURATION OF PERMIT ACTIVITIES	To determine that the permit application estimated duration is reasonable, taking into account all aspects of the activity. Liaise with the activity promoter where duration appears to be excessive with a view to agreeing a revised duration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 5.0	6.0 3.0 1.0 10.0	5.0 2.0 0.0 7.0	5.0 2.0 0.0 7.0	0.0 2.0 0.0 2.0	0% 0% 0%
8	ASSESSMENT OF IMPACT ON EXISTING WORKS LICENSED UNDER SECTION 50 OF NRSWA	To determine whether the proposed activity impacts on apparatus placed under a section 50 licence. Details of the apparatus record to be made available to the activity promoter for consideration within their promoted activity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 1.5 0.0 1.5	0.0 1.5 0.0 1.5	0.0 1.0 0.0 1.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0% 0% 0%
9	PUBLIC CONSULTATION / NOTIFICATION	To evaluate that appropriate consultation and publicity for the activity has or will take place with relevant stakeholders (such as resident and business groups, frontagers, police, public transport operators, travelling public, etc), and that stakeholders responses have been duly considered by the promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.7 0.7 0.4 1.7	0.7 0.7 0.4 1.7	0.4 0.4 0.4 1.1	0.2 0.4 0.0 0.6	0.0 0.0 0.0 0.0	5% 5% 5%
10	ENVIRONMENTAL CONSIDERATIONS	To evaluate that any matters which may have an environmental impact (such as noise, dust and proximity to trees) are identified and appropriately actioned to demonstrate that the necessary balance of the issues and execution of the activity is reflected. This may include discussions with the appropriate environmental health office.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.8 1.5 0.0 2.3	1.5 3.0 0.0 4.5	1.0 1.2 0.0 2.2	0.0 0.5 0.0 0.5	0.0 0.5 0.0 0.5	0% 0% 0%
11	PROMOTER GENERATED TELEPHONE CALL OR CONTACT	All relevant promoter generated telephone calls and/or emails are processed in regard to submitted permit applications. These may relate to enquiries on progress of application, requests for an early start prior to the submission of an application, or provision of supplementary information necessary for the authority to action approval.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5 0.0 0.5	0.3 0.3 0.0 0.5	0.3 0.3 0.0 0.5	0.3 0.3 0.0 0.5	0.3 0.3 0.0 0.5	50% 50% 0%
12	STRATEGIC PROJECT PLANNING ASSESSMENT	Input may be requested by the activity promoter or required by the authority on activities affecting an area such as a major network or mains replacement programme. Reference to output from routine co-ordination forums may be necessary. This task may operate in advance of a formal permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 1.0 1.8	2.0 2.0 2.0 3.6	1.3 1.2 0.5 1.8	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	40% 40% 40%
13	CONTROLLED PARKING ASSESSMENT	To evaluate that provisions have been made by the promoter for suspending or modifying controlled parking arrangements. Consideration will also have been given to providing alternative parking arrangements where practicable.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.3 0.4 0.3 1.0	1.5 2.2 0.3 4.0	0.5 1.0 0.0 1.5	0.4 0.4 0.0 0.8	0.0 0.0 0.0 0.0	0% 0% 0%
14	TEMPORARY TRAFFIC RESTRICTIONS (ROAD TRAFFIC REGULATION ACT 1984)	To verify that provisions have been made by the promoter to obtain the required approval/notice/order that relate to traffic regulation (such as road closures, banned turns, bus lanes, etc).	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 1.0 0.5 1.5	1.0 4.0 1.0 4.3	0.5 1.8 0.0 1.5	0.4 0.6 0.0 0.7	0.2 0.3 0.0 0.3	35% 35% 0%



15	PORTABLE LIGHT SIGNALS	Verify that the authority process for obtaining prior approval for the placement of portable light signals has been undertaken by the activity promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 0.6	1.0 0.6	0.5 0.3	1.5	1.5 0.9	2.0 1.2	0.5 0.3	2.4	1.5 0.9	2.5 1.5	0.0 0.0	2.4	1.0 0.6	1.0 0.6	0.0 0.0	1.2	40% 40%	40%					
16	DETAILED TRAFFIC MANAGEMENT ASSESSMENT	If an assessment is made that the activity may have an adverse impact on traffic flows, a more detailed traffic management proposal is requested and evaluated prior to permit determination. Evaluation may require scrutiny of activity method statements and site plans.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.7 0.7	0.8 0.8	0.5 0.5	1.9	2.0 1.9	2.0 1.9	0.5 1.9	5.7	1.5 1.4	1.5 1.4	0.0 0.0	2.9	0.5 0.5	0.5 0.5	0.0 0.0	1.0	5% 5%	5%					
17	ACTIVITY SPECIFIC CO-ORDINATION MEETING	An activity specific office based co-ordination meeting to discuss complex activity proposals (including traffic management proposals and work method). This task may require attendance of other organisations, such as the police, environmental authority and public transport operators, and will include arranging and facilitating the meeting.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.5 1.5	1.5 1.5	1.5 1.5	4.5	2.4 2.4	2.4 2.4	2.0 2.0	6.8	1.0 1.0	1.0 1.0	0.3 0.3	2.3	0.0 0.0	0.0 0.0	0.0 0.0	0.0	0% 0%	0%					
18	SITE VISIT	A site visit may be made to ascertain a more detailed understanding of the extent of the proposed activity, the potential impact on environmentally sensitive areas, and any special local circumstances that need to be considered. The site visit may involve other representatives; e.g. the promoter, police, environmental authority, etc.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.5	1.0 0.8	0.0 0.0	2.3	4.0 3.0	2.0 1.5	0.0 0.0	4.5	4.0 3.0	2.0 1.5	0.0 0.0	4.5	1.5 1.1	0.5 0.4	0.0 0.0	1.5	25% 25%	0%					
19	PERMIT DECISION AND ATTACHED CONDITIONS	After progression through the tasks of the permit application process, a decision is made to give either: a) Provisional Advanced Authorisation for a Permit; b) Permit Approval; or c) a Permit Refusal. Any approved applications will be issued with relevant conditions attached. Reasons will always be provided with a Permit Refusal.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.5 0.5	0.5 0.5	0.0 0.0	1.0	1.0 1.0	2.0 2.0	0.0 0.0	3.0	1.0 1.0	1.0 1.0	0.0 0.0	2.0	0.5 0.5	0.5 0.5	0.0 0.0	1.0	0% 0%	0%					
20	ACTIVITY START AND FINISH CHECKS	Data validation and data content check of works start, works clear and works closed notices to ensure data is compliant with the Technical Specification for EToN and that the notice information is intuitive and consistent with the permit and any conditions applied.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0	0.0 0.0	0.0 0.0	0.0	4.0 3.0	2.0 1.5	0.0 0.0	4.5	3.0 2.3	1.5 1.1	0.0 0.0	3.4	1.0 0.8	0.5 0.4	0.0 0.0	1.1	25% 25%	0%					
21	REINSTATEMENT NOTICES CHECK	Data validation and data content check of the registered reinstatement for the activity to ensure the data is compliant with the Technical Specification for EToN and that the registration information is intuitive and consistent with the permit, its conditions, and the previous notices information, ie. clear or closed notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0	0.0 0.0	0.0 0.0	0.0	0.5 0.5	0.5 0.4	0.0 0.0	0.9	0.5 0.5	0.5 0.4	0.0 0.0	0.9	0.5 0.5	0.5 0.4	0.0 0.0	0.9	0% 25%	0%					
22	ACTIVITY CANCELLATION	Data validation and data content check for the cancellation notice. Verification that no unauthorised activity has taken place, and that associated parking suspensions, TRO's, etc have been cancelled. Notification of cancelled works to affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0	0.5 0.5	0.0 0.0	0.5	0.5 0.5	1.5 1.5	0.0 0.0	2.0	0.0 0.0	0.5 0.5	0.0 0.0	0.5	0.0 0.0	0.3 0.3	0.0 0.0	0.3	0% 0%	0%					
23	INFORMAL DISPUTE RESOLUTION	This task is specific to seeking a local resolution of a dispute. A failure to resolve the dispute will move the issue to the formal dispute resolution stages of the appeals procedures, adjudication and arbitration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.3 0.3	0.4 0.4	0.3 0.3	1.0	1.0 1.0	1.0 1.0	0.4 0.4	2.4	1.0 1.0	1.0 1.0	0.4 0.4	2.4	0.2 0.2	0.2 0.2	0.2 0.2	0.6	0% 0%	10%					
24	COMPLAINTS AND ENQUIRIES	To seek ownership and resolution of any complaints or enquiries generated from the promoted activity. These may arise before the activity has commenced in relation to public consultation or notification.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.3 0.2	0.4 0.2	0.3 0.2	0.6	3.5 1.9	4.0 2.2	0.5 0.3	4.4	1.0 0.6	2.5 1.4	0.5 0.3	2.2	1.0 0.6	2.0 1.1	0.0 0.0	1.7	45% 45%	45%					
<b>TOTAL ACTUAL TIMES</b>				<b>19.1</b>	<b>25.9</b>	<b>8.4</b>	<b>53.4</b>	<b>42.7</b>	<b>46.9</b>	<b>12.6</b>	<b>102.2</b>	<b>30.4</b>	<b>31.6</b>	<b>2.5</b>	<b>64.5</b>	<b>18.7</b>	<b>18.3</b>	<b>0.2</b>	<b>37.2</b>	<b>10.3</b>	<b>13.2</b>	<b>0.2</b>	<b>23.7</b>	<b>12%</b>	<b>16%</b>	<b>5%</b>
<b>TOTAL ADJUSTED TIMES</b>																										
				16.7	22.4	7.6	46.7	36.1	39.0	11.2	86.3	26.2	26.0	2.0	54.1	16.4	15.0	0.2	31.6	8.4	10.7	0.2	19.3	103.8	113.1	21.2
<b>HOURLY RATES for PERSONNEL</b>																										
				£19	£25	£16	£60	£41	£44	£24	£109	£29	£29	£4	£63	£18	£17	£0	£36	£9	£12	£0	£22			
<b>PRE-OPERATIONAL FACTOR ALLOWABLE COST</b>																										

<b>Factor Ref.</b>	<b>Additional Operational Factors</b>	<b>Operational Description</b>																		
	The details for any percentage adjustment items required for the overall running of the permit scheme, rather than each element of the individual permit.																			
A	PRODUCTION OF KEY PERFORMANCE INDICATORS (KPIs)	Time to run and produce annual reports for a minimum of 4 out of the 7 Key Performance Indicators (KPIs) detailed in the Code of Practice for Permits. The KPIs are designed to provide a means of demonstrating parity of treatment for all activity promoters.	3%	£2	3%	£3	3%	£2	3%	£1	3%	£1	3%	£1	3%	£1	3%	£1	3%	£1
B	INVOICING COSTS	To produce and issue invoices for PAA, permits, and permit variation fees, including dealing with follow-up queries and chasing outstanding payments due.	5%	£3	5%	£5	5%	£3	5%	£2	5%	£1	5%	£1	5%	£1	5%	£1	5%	£1
C	IT SOFTWARE AND HARDWARE COSTS	Costs for software and hardware associated with deploying and maintaining an IT system for handling the permit process that is compliant with the Technical Specification for EToN. Costs could include one-off deployment costs, software licenses, software training and ongoing support and development costs. Deductions must be made for any parts of the system that does not apply to the operation of a permit scheme.	5%	£3	5%	£5	5%	£3	5%	£2	5%	£1	5%	£1	5%	£1	5%	£1	5%	£1
D	UNAUTHORISED AND ABANDONED ACTIVITIES	To assess and action all situations of unauthorised activities irrespective of the stage of works, the activity type, permit conditions or those conditions that may have been considered appropriate. Time spent discussing and assessing a proposed activity that is abandoned before an application would have been required.	2%	£1	2%	£2	2%	£1	2%	£1	2%	£1	2%	£1	2%	£1	2%	£1	2%	£0
E	MANAGEMENT AND MONITORING	To manage and monitor the operation of a permit scheme to ensure compliance with the provisions of the permit scheme approved by the secretary of state, the legislation, regulations, statutory guidance and code of practice.	5%	£3	5%	£5	5%	£3	5%	£2	5%	£1	5%	£1	5%	£1	5%	£1	5%	£1
<b>TOTAL PERCENTAGE FOR ADDITIONAL OPERATIONAL FACTOR</b>			<b>20%</b>	<b>£12</b>	<b>20%</b>	<b>£22</b>	<b>20%</b>	<b>£13</b>	<b>20%</b>	<b>£7</b>	<b>20%</b>	<b>£4</b>	<b>20%</b>	<b>£4</b>	<b>20%</b>	<b>£4</b>	<b>20%</b>	<b>£4</b>	<b>20%</b>	<b>£12</b>
<b>ALLOWABLE COST</b>			<b>£72</b>		<b>£130</b>		<b>£75</b>		<b>£43</b>		<b>£26</b>									

### Total Permit Scheme Cost

Category 0-2 and Traffic Sensitive Streets					
Activity Type	Estimated No. of Permits	Cost per Permit	Estimated No. of Permit Variations	Cost per Permit Variation	Total Cost per Activity Type
Provisional Advance Authorisation	485	£101	N/A	N/A	£49,162
Major	494	£210	99	£45	£108,266
Standard	1524	£117	152	£45	£185,693
Minor	6463	£64	323	£45	£430,007
Immediate	2481	£40	124	£45	£104,339
<b>Sub Total</b>	<b>11447</b>	<b>N/A</b>	<b>698</b>	<b>£45</b>	<b>£877,467</b>

Category 3-4 Non-Traffic Sensitive Streets					
Activity Type	Estimated No. of Permits	Cost per Permit	Estimated No. of Permit Variations	Cost per Permit Variation	Total Cost per Activity Type
Provisional Advance Authorisation	725	£72	N/A	N/A	£52,475
Major	739	£130	148	£35	£101,437
Standard	1520	£75	152	£35	£119,988
Minor	7765	£43	388	£35	£346,036
Immediate	3577	£26	179	£35	£100,054
<b>Sub Total</b>	<b>14326</b>	<b>N/A</b>	<b>867</b>	<b>£35</b>	<b>£719,990</b>

<b>TOTAL COSTS</b>
<b>£101,637</b>
<b>£209,704</b>
<b>£305,680</b>
<b>£776,043</b>
<b>£204,394</b>
<b>£1,597,457</b>

### Permit Scheme Cost Breakdown

Cost Type	Cost
Permit Application Employee Costs	£1,234,378
Permit Application Operational Factor Costs	£246,876
<b>Total Permit Application Costs</b>	<b>£1,481,254</b>

Permit Variation Employee Costs	£49,420
Permit Variation Operational Factor Costs	£12,355
<b>Total Permit Variation Application Costs</b>	<b>£61,775</b>

<b>TOTAL PERMIT SCHEME COSTS</b>	<b>£1,543,029</b>
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# REALITY CHECKS

Provisional Advanced Authorisation

Major Permit Application

Standard Permit Application

Minor Permit Application

Immediate Permit Application

## Category 0-2 and Traffic Sensitive Streets

	Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application
<b>TOTAL TASK TIMES</b>	29.4   32.3   12.4   74.1	74.9   56.4   25.3   156.5	47.8   40.0   8.0   95.8	26.8   27.5   1.3   55.6	16.1   20.1   0.5   36.7
<b>ACTUAL PERMIT TIMES</b>					
Street Works Officers	25.0	61.9	39.3	22.7	12.4
Street Works Co-Ordinators	27.2	47.9	33.7	22.9	16.7
Traffic Managers	12.0	23.9	7.4	1.1	0.3
<b>Final Adjusted Permit Times</b>	64.2	133.8	80.3	46.7	29.3
<b>CURRENT NRSWA REGIME TIMES</b>					
Street Works Officers	4.4	13.0	8.5	4.1	3.7
Street Works Co-Ordinators	5.1	8.5	6.3	4.6	3.4
Traffic Managers	0.4	1.4	0.6	0.2	0.2
<b>Final NRSWA Regime Times</b>	9.9	22.7	15.4	8.9	7.4
<b>HOURLY RATES for PERSONNEL</b>					
Street Works Officers	£5	£15	£10	£5	£4
Street Works Co-Ordinators	£6	£10	£7	£5	£4
Traffic Managers	£1	£3	£1	£0	£0
<b>CURRENT COST OF NRSWA PERSONNEL/WORKS</b>	£12	£27	£18	£10	£9

## Category 3-4 Non-Traffic Sensitive Streets

	Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application
<b>TOTAL TASK TIMES</b>	19.1   25.9   8.4   53.4	42.7   46.9   12.6   102.2	30.4   31.6   2.5   64.5	18.7   18.3   0.2   37.2	10.3   13.2   0.2   23.7
<b>ACTUAL PERMIT TIMES</b>					
Street Works Officers	16.7	36.1	26.2	16.4	8.4
Street Works Co-Ordinators	22.4	39.0	26.0	15.0	10.7
Traffic Managers	7.6	11.2	2.0	0.2	0.2
<b>Final Adjusted Permit Times</b>	46.7	86.3	54.1	31.6	19.3
<b>CURRENT NRSWA REGIME TIMES</b>					
Street Works Officers	2.4	6.6	4.2	2.3	1.9
Street Works Co-Ordinators	3.5	8.0	5.6	3.3	2.5
Traffic Managers	0.8	1.4	0.5	0.0	0.0
<b>Final NRSWA Regime Times</b>	6.7	15.9	10.4	5.6	4.4
<b>HOURLY RATES for PERSONNEL</b>					
Street Works Officers	£3	£7	£5	£3	£2
Street Works Co-Ordinators	£4	£9	£6	£4	£3
Traffic Managers	£2	£3	£1	£0	£0
<b>CURRENT COST OF NRSWA PERSONNEL/WORKS</b>	£8	£19	£12	£6	£5

**Total NRSWA Employees (Back Calculation)**

**Category 0-2 and Traffic Sensitive Streets**

Street Works Officers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.07	0.22	0.14	0.38	0.06	0.23	0.23	1.33
Total Works	404	404	1245	5280	2027	79	1795	11234.00
Total Hours	29	88	176	2002	126	18	413	2850.88
No. of Existing Posts	0.02	0.06	0.13	1.44	0.09	0.01	0.30	2.06
Existing Employee Costs	£1,983	£5,893	£11,828	£134,748	£8,456	£1,223	£27,794	£191,926

Street Works Coordinators								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.08	0.14	0.11	0.08	0.06	0.14	0.14	0.74
Total Works	404	404	1245	5280	2027	79	1795	11234.00
Total Hours	34	57	131	403	116	11	251	1002.98
No. of Existing Posts	0.02	0.04	0.09	0.29	0.08	0.01	0.18	0.72
Existing Employee Costs	£2,291	£3,842	£8,922	£27,104	£7,801	£745	£16,918	£67,522

Traffic Managers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.01	0.02	0.01	0.00	0.00	0.02	0.02	0.09
Total Works	404	404	1245	5280	2027	79	1795	11234.00
Total Hours	3	9	13	20	8	2	36	90.42
No. of Existing Posts	0.00	0.01	0.01	0.01	0.01	0.00	0.03	0.07
Existing Employee Costs	£385	£1,182	£1,753	£2,574	£988	£205	£4,667	£11,755

**Category 3-4 Non-Traffic Sensitive Streets**

Street Works Officers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.04	0.11	0.07	0.04	0.03	0.11	0.11	0.51
Total Works	604	604	1242	6344	2922	99	1992	13907.00
Total Hours	24	66	88	241	93	11	219	742.32
No. of Existing Posts	0.02	0.05	0.06	0.17	0.07	0.01	0.16	0.54
Existing Employee Costs	£1,647	£4,473	£5,895	£16,229	£6,246	£733	£14,752	£49,974

Street Works Coordinators								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.06	0.13	0.09	0.05	0.05	0.09	0.08	0.55
Total Works	604	604	1242	6344	2922	99	1992	13907.00
Total Hours	35	80	117	346	159	8	159	903.84
No. of Existing Posts	0.03	0.06	0.08	0.25	0.11	0.01	0.11	0.65
Existing Employee Costs	£2,341	£5,398	£7,860	£23,276	£10,721	£533	£10,728	£60,648

Traffic Managers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.01	0.02	0.01	0.00	0.00	0.01	0.01	0.07
Total Works	604	604	1242	6344	2922	99	1992	13907.00
Total Hours	8	14	10	2	1	1	20	56.13
No. of Existing Posts	0.01	0.01	0.01	0.00	0.00	0.00	0.01	0.04
Existing Employee Costs	£1,060	£1,812	£1,305	£275	£127	£129	£2,590	£7,297

**TOTALS**

Street Works Officers	2.59	£241,900	Street Works Officers
Street Works Coordinators	1.38	£128,369	Street Works Coordinators
Traffic Managers	0.11	£19,052	Traffic Managers
<b>TOTAL NO. OF NRSWA EMPLOYEES</b>	<b>4.07</b>	<b>£389,321</b>	<b>TOTAL EMPLOYEE COSTS</b>

**Additional Employees Required for Permits**

Calculation 1	No.	+ / -
Total Employees Required for Permit Scheme Operation	12.61	
Total NRSWA Employees (Back Calculation)	4.07	
<b>Total Number of Additional Employees Required for Permit Scheme Operation</b>	<b>8.54</b>	<b>210%</b>

Calculation 2	No.	
Actual No. of NRSWA Employees Currently Employed	4	
Estimated No. of Additional Employees Required for Permits	8.38	
Total Employees Required for Permit Scheme Operation	12.38	

Deviation From Existing Employee Number Calculation (2)	0.23
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### The purpose of this document is to:-

- I. help decision makers fulfil their duties under the Equality Act 2010 and
- II. for you to evidence the positive and adverse impacts of the proposed change on people with protected characteristics and ways to mitigate or eliminate any adverse impacts.

### Using this form

This form must be updated and reviewed as your evidence on a proposal for a project/service change/policy/commissioning of a service or decommissioning of a service evolves taking into account any consultation feedback, significant changes to the proposals and data to support impacts of proposed changes. The key findings of the most up to date version of the Equality Impact Analysis must be explained in the report to the decision maker and the Equality Impact Analysis must be attached to the decision making report.

**\*\*Please make sure you read the information below so that you understand what is required under the Equality Act 2010\*\***

### Equality Act 2010

The Equality Act 2010 applies to both our workforce and our customers. Under the Equality Act 2010, decision makers are under a personal duty, to have due (that is proportionate) regard to the need to protect and promote the interests of persons with protected characteristics.

### Protected characteristics

The protected characteristics under the Act are: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

### Section 149 of the Equality Act 2010

Section 149 requires a public authority to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited by/or under the Act
- Advance equality of opportunity between persons who share relevant protected characteristics and persons who do not share those characteristics
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The purpose of Section 149 is to get decision makers to consider the impact their decisions may or will have on those with protected characteristics and by evidencing the impacts on people with protected characteristics decision makers should be able to demonstrate 'due regard'.

### **Decision makers duty under the Act**

Having had careful regard to the Equality Impact Analysis, and also the consultation responses, decision makers are under a personal duty to have due regard to the need to protect and promote the interests of persons with protected characteristics (see above) and to:-

- (i) consider and analyse how the decision is likely to affect those with protected characteristics, in practical terms,
- (ii) remove any unlawful discrimination, harassment, victimisation and other prohibited conduct,
- (iii) consider whether practical steps should be taken to mitigate or avoid any adverse consequences that the decision is likely to have, for persons with protected characteristics and, indeed, to consider whether the decision should not be taken at all, in the interests of persons with protected characteristics,
- (iv) consider whether steps should be taken to advance equality, foster good relations and generally promote the interests of persons with protected characteristics, either by varying the recommended decision or by taking some other decision.

## **Conducting an Impact Analysis**

The Equality Impact Analysis is a process to identify the impact or likely impact a project, proposed service change, commissioning, decommissioning or policy will have on people with protected characteristics listed above. It should be considered at the beginning of the decision making process.

### **The Lead Officer responsibility**

This is the person writing the report for the decision maker. It is the responsibility of the Lead Officer to make sure that the Equality Impact Analysis is robust and proportionate to the decision being taken.

### **Summary of findings**

You must provide a clear and concise summary of the key findings of this Equality Impact Analysis in the decision making report and attach this Equality Impact Analysis to the report.

## Impact – definition

An impact is an intentional or unintentional lasting consequence or significant change to people's lives brought about by an action or series of actions.

### How much detail to include?

The Equality Impact Analysis should be proportionate to the impact of proposed change. In deciding this asking simple questions “Who might be affected by this decision?” “Which protected characteristics might be affected?” and “How might they be affected?” will help you consider the extent to which you already have evidence, information and data, and where there are gaps that you will need to explore. Ensure the source and date of any existing data is referenced.

You must consider both obvious and any less obvious impacts. Engaging with people with the protected characteristics will help you to identify less obvious impacts as these groups share their perspectives with you.

A given proposal may have a positive impact on one or more protected characteristics and have an adverse impact on others. You must capture these differences in this form to help decision makers to arrive at a view as to where the balance of advantage or disadvantage lies. If an adverse impact is unavoidable then it must be clearly justified and recorded as such, with an explanation as to why no steps can be taken to avoid the impact. Consequences must be included.

**Proposals for more than one option** If more than one option is being proposed you must ensure that the Equality Impact Analysis covers all options. Depending on the circumstances, it may be more appropriate to complete an Equality Impact Analysis for each option.

**The information you provide in this form must be sufficient to allow the decision maker to fulfil their role as above. You must include the latest version of the Equality Impact Analysis with the report to the decision maker. Please be aware that the information in this form must be able to stand up to legal challenge.**

## Background Information

<b>Title of the policy / project / service being considered</b>	Lincolnshire Permit Scheme (LiPS)	<b>Person / people completing analysis</b>	Mandi Robinson.
<b>Service Area</b>	Client Services	<b>Lead Officer</b>	Mandi Robinson
<b>Who is the decision maker?</b>	Mick Phoenix	<b>How was the Equality Impact Analysis undertaken?</b>	Meeting held with Chris Miller, Equality & Diversity representative for Highways and Transportation.
<b>Date of meeting when decision will be made</b>	06/06/2016	<b>Version control</b>	V.1.0
<b>Is this proposed change to an existing policy/service/project or is it new?</b>	New	<b>LCC directly delivered, commissioned, re-commissioned or de-commissioned?</b>	Commissioned
<b>Describe the proposed change</b>	Part 3 of the Traffic Management Act 2004 and The Traffic Management Permit Scheme (England)(Amendment) Regulations 2015 gave local authorities powers to operate a permit scheme to improve the management of works on the public highway undertaken by highway authorities and utility companies. Lincolnshire County Council, in its capacity as the local highway authority (excluding motorways and trunk roads), proposes to exercise these powers to introduce a system of permits for street works and road works under the Lincolnshire Permit Scheme (LiPS). This will require permits to be obtained for most road and street works, whether they are undertaken by or on behalf of, utility companies or the highway authority.		

### **Evidencing the impacts**

In this section you will explain the difference that proposed changes are likely to make on people with protected characteristics. To help you do this first consider the impacts the proposed changes may have on people without protected characteristics before then considering the impacts the proposed changes may have on people with protected characteristics.

You must evidence here who will benefit and how they will benefit. If there are no benefits that you can identify please state 'No perceived benefit' under the relevant protected characteristic. You can add sub categories under the protected characteristics to make clear the impacts. For example under Age you may have considered the impact on 0-5 year olds or people aged 65 and over, under Race you may have considered Eastern European migrants, under Sex you may have considered specific impacts on men.

### **Data to support impacts of proposed changes**

When considering the equality impact of a decision it is important to know who the people are that will be affected by any change.

#### Population data and the Joint Strategic Needs Assessment

The Lincolnshire Research Observatory (LRO) holds a range of population data by the protected characteristics. This can help put a decision into context. Visit the LRO website and its population theme page by following this link: <http://www.research-lincs.org.uk> If you cannot find what you are looking for, or need more information, please contact the LRO team. You will also find information about the Joint Strategic Needs Assessment on the LRO website.

#### Workforce profiles

You can obtain information by many of the protected characteristics for the Council's workforce and comparisons with the labour market on the [Council's website](#). As of 1<sup>st</sup> April 2015, managers can obtain workforce profile data by the protected characteristics for their specific areas using Agresso.



**Positive impacts**

The proposed change may have the following positive impacts on persons with protected characteristics – If no positive impact, please state '*no positive impact*'.

<b>Age</b>	One of the permit scheme primary objectives is to ensure the safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities.
<b>Disability</b>	One of the permit scheme primary objectives is to ensure the safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities. Provision for enough space for manoeuvre during works – to ensure available road space and parking arrangements that will be necessary to accommodate the needs of people with disabilities. To ensure that disabled parking bays will not be affected or suspended where possible.
<b>Gender reassignment</b>	No positive impact.
<b>Marriage and civil partnership</b>	No positive impact.
<b>Pregnancy and maternity</b>	The Permit Scheme will include changes to introduce an effective traffic management plan, identify and promote safer routes for mothers before works, impacting on permanent and temporary measures of accompanying improvements.
<b>Race</b>	No positive impact.
<b>Religion or belief</b>	No positive impact.

<b>Sex</b>	No positive impact beyond those identified for pregnancy and maternity.
<b>Sexual orientation</b>	No positive impact.

**If you have identified positive impacts for other groups not specifically covered by the protected characteristics in the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.**

Health benefits associated with encouraging a safer environment for all users, like the prevention of car emissions and accidents due to drivers being frustrated and angry with traffic disruptions caused by road works. Aids a healthier and more sustainable environment for vulnerable road user groups, including cyclists.

Economic value for the city through improved accessibility for citizens within communities encouraging active travel.

The Permit Scheme will ensure that control measures are put in place to facilitate the benefits of all road users. Information will be communicated to utilities to refine processes and take into account a more detailed application for safer works. An interaction with the Council results in a more comprehensive review of proposed works in order to process the application accurately.

### Adverse/negative impacts

You must evidence how people with protected characteristics will be adversely impacted and any proposed mitigation to reduce or eliminate adverse impacts. An adverse impact causes disadvantage or exclusion. If such an impact is identified please state how, as far as possible, it is justified; eliminated; minimised or counter balanced by other measures.

If there are no adverse impacts that you can identify please state 'No perceived adverse impact' under the relevant protected characteristic.

**Negative impacts of the proposed change and practical steps to mitigate or avoid any adverse consequences on people with protected characteristics are detailed below. If you have not identified any mitigating action to reduce an adverse impact please state 'No mitigating action identified'.**

<b>Age</b>	Justified - although Network Management applies to all highway users, it is recognised that those with limited mobility due to age i.e. prams/pushchairs, walking sticks/frames or mobility scooters, may be affected more seriously by works and other activities taking place on the road network and this is always promoted and considered when planning and carrying out works or events on the highway. Mechanisms, including strict H&S requirements for works/event sites affecting the highway and random works inspections carried out by independent bodies to certify compliance, will form part of the standard business processes. Existing legislation under the Traffic Management Act 2004 provides for this within current specifications and Code of Practice, including street works accreditation qualifications requiring everybody working within the highway to be trained to ensure standards are maintained.
<b>Disability</b>	Justified – although Network Management applies to all highways users, it is recognised that those with limited mobility due to disability i.e. wheelchairs, walking sticks/frames or mobility scooters, guide dogs for the blind, may be affected more seriously by works and other activities taking place on the road network and this is always promoted and considered when planning and carrying out works or events on the highway. Mechanisms, including strict H&S requirements for works/event sites affecting the highway and independent random works inspections carried out to certify compliance, will form part of the standard business processes. Existing legislation under the Traffic Management Act 2004 provides for this within current specifications and Code of Practice, including street works accreditation qualifications requiring everybody working within the highway to be trained to ensure standards are maintained.
<b>Gender reassignment</b>	No perceived adverse impact.

<b>Marriage and civil partnership</b>	No perceived adverse impact.
<b>Pregnancy and maternity</b>	Justified – although Network Management applies to all highways users, it is recognised that those with limited mobility due to pregnancy and maternity i.e. prams/pushchairs, may be affected more seriously by works and other activities taking place on the road network and this is always promoted and considered when planning and carrying out works or events on the highway. Mechanisms, including strict H&S requirements for works/event sites affecting the highway and independent random works inspections carried out to certify compliance, will form part of the standard business processes. Existing legislation under the Traffic Management Act 2004 provides for this within current specifications and Code of Practice, including street works accreditation qualifications requiring everybody working within the highway to be trained to ensure standards are maintained.
<b>Race</b>	No perceived adverse impact.
<b>Religion or belief</b>	No perceived adverse impact.
<b>Sex</b>	No perceived adverse impact other than as identified for pregnancy and maternity.
<b>Sexual orientation</b>	No perceived adverse impact.

**If you have identified negative impacts for other groups not specifically covered by the protected characteristics under the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.**



## Stakeholders

Stake holders are people or groups who may be directly affected (primary stakeholders) and indirectly affected (secondary stakeholders)

You must evidence here who you involved in gathering your evidence about benefits, adverse impacts and practical steps to mitigate or avoid any adverse consequences. You must be confident that any engagement was meaningful. The Community engagement team can help you to do this and you can contact them at [consultation@lincolnshire.gov.uk](mailto:consultation@lincolnshire.gov.uk)

State clearly what (if any) consultation or engagement activity took place by stating who you involved when compiling this EIA under the protected characteristics. Include organisations you invited and organisations who attended, the date(s) they were involved and method of involvement i.e. Equality Impact Analysis workshop/email/telephone conversation/meeting/consultation. State clearly the objectives of the EIA consultation and findings from the EIA consultation under each of the protected characteristics. If you have not covered any of the protected characteristics please state the reasons why they were not consulted/engaged.

## Objective(s) of the EIA consultation/engagement activity

LCC has engaged in a fourteen-week consultation with both primary and secondary stakeholders including, utility companies, government bodies i.e. DfT, alliance partners, transport providers e.g. bus and train companies, local businesses, specialist groups i.e. British Horse Society, councillors, parish councils and local residents. The consultation has also been made available to the general public via the Council website. The consultation provides a full explanation of the scope of the impending scheme, detailing the key scheme objectives, including; to ensure the safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities. A meeting took place at the start of the consultation in March 2016 where key businesses within the street works industry i.e. utility companies were invited to discuss the characteristics of the proposed Permit Scheme, resulting in a small number of amendments being made to the Permit Scheme document through positive feedback and deliberation.

**Who was involved in the EIA consultation/engagement activity? Detail any findings identified by the protected characteristic**

<b>Age</b>	As detailed above. None identified.
<b>Disability</b>	As detailed above. None identified.
<b>Gender reassignment</b>	As detailed above. None identified.
<b>Marriage and civil partnership</b>	As detailed above. None identified.
<b>Pregnancy and maternity</b>	As detailed above. None identified.
<b>Race</b>	As detailed above. None identified.
<b>Religion or belief</b>	As detailed above. None identified.

<b>Sex</b>	As detailed above. None identified.
<b>Sexual orientation</b>	As detailed above. None identified.
<b>Are you confident that everyone who should have been involved in producing this version of the Equality Impact Analysis has been involved in a meaningful way?</b> The purpose is to make sure you have got the perspective of all the protected characteristics.	Yes.
<b>Once the changes have been implemented how will you undertake evaluation of the benefits and how effective the actions to reduce adverse impacts have been?</b>	Regulation 4(d) of the Traffic Management Permit Scheme (England) Regulations 2007, as amended by the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015, requires the Council to describe how they will evaluate their scheme through Traffic Performance Indicators (TPI's) and Lincolnshire Performance Indicators (LPI's). An annual report will be produced by the Authority, where the TPI's and LPI's will be fully analysed to evaluate the scheme and revisions made as necessary. Data obtained from the existing customer services centre relating to complaints and praise will also be used.



### Further Details

<b>Are you handling personal data?</b>	No  If yes, please give details.  
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Actions required	Action	Lead officer	Timescale
Include any actions identified in this analysis for on-going monitoring of impacts.	Continually monitor customer satisfaction and performance of those working within the highway.	Mandi Robinson	Continual Monitoring. Annual Performance Reports.
<b>Signed off by</b>	Mick Phoenix	<b>Date</b>	07/06/2016

**TRAFFIC MANAGEMENT ACT 2004 – PART 3**

**LINCOLNSHIRE COUNTY COUNCIL**

**LINCOLNSHIRE PERMIT SCHEME FOR ROAD WORKS AND STREET WORKS ORDER 2016**

Made [ ]

Coming into force 5<sup>th</sup> October 2016

**THIS ORDER** is made by Lincolnshire County Council ("the Permit Authority") under section 33A(2) and Part 3 of the Traffic Management Act 2004 ("the 2004 Act").

This Order may be cited as the Lincolnshire Permit Scheme for Road Works and Street Works Order 2016.

**WHEREAS**

The Lincolnshire Permit Scheme set out in the Schedule to this Order complies with all aspects of the Traffic Management Act 2004, the Traffic Management Permit Scheme (England) Regulations 2007 as amended by the Traffic Management Permit Scheme (England)(Amendment) Regulations 2015, and with all applicable primary and secondary legislation and the Permit Authority having had regard to applicable Guidance in relation to Traffic Management Permit Schemes.

**BY THIS ORDER:**

The Lincolnshire Permit Scheme set out in the Schedule to this Order shall have effect on and from the 5<sup>th</sup> day of October 2016 and the enactments specified in Appendix B to the said Scheme shall be disapplied or modified to the extent specified therein

The Common Seal of

LINCOLNSHIRE COUNTY COUNCIL

was affixed hereto

In the presence of:

Authorised Signatory

**Open Report on behalf of Debbie Barnes, Executive Director of Children's Services**

Report to:	<b>Executive</b>
Date:	<b>6 September 2016</b>
Subject:	<b>Unaccompanied Asylum Seeking Children – National UASC Transfer Protocol 2016/2017</b>
Decision Reference:	<b>I011798</b>
Key decision?	<b>No</b>

**Summary:**

There has been a significant increase in the number, of people seeking asylum within the United Kingdom. Within this cohort there have been increases in the number of children who are unaccompanied and seeking safety.

The large number of unaccompanied asylum seeking children has resulted in the government requesting all local authorities to sign up to a voluntary agreement whereby unaccompanied asylum seeking children are dispersed around the country with all local authorities contributing to the welfare and maintenance of the children. This has been particularly important given the high numbers of children who have presented as unaccompanied asylum seeking children in Kent.

This report seeks approval for the Council to enter into a voluntary arrangement relating to the dispersal of unaccompanied asylum seeking children across the country.

**Recommendation(s):**

That the Executive

(1) approves the entering into by the Council of a voluntary arrangement for the transfer to the Council from other local authorities of responsibility for unaccompanied asylum seeking children on the basis of a regional model of dispersal as described in the Report.

(2) delegates to the Executive Director for Children's Services in consultation with the Executive Councillor responsible for Children's Services authority to approve the acceptance of specific unaccompanied asylum seeking children pursuant to the said voluntary arrangement and the making of arrangements with other local authorities under section 69 of the Immigration Act 2016 in respect of such children as are accepted.

**Alternatives Considered:**

Not to enter into the proposed voluntary arrangement.

The Council would still have statutory responsibilities for unaccompanied asylum seeking children who present within the county. If a Local Authority refuses to engage in this voluntary programme then the Secretary of State has been awarded new powers under the Immigration Act 2016 which will allow for the dispersal of unaccompanied asylum seeking children to be imposed on local authorities. The proposed voluntary arrangement provides a mechanism for the equitable dispersal of unaccompanied asylum seeking children across the country recognising that Lincolnshire is currently supporting some such children while other local authorities are not.

**Reasons for Recommendation:**

In line with statutory guidance and Lincolnshire County Council's vision for children; unaccompanied asylum seeking children are firstly children who are entitled to the same high quality provision as that which is offered to all children within the county, particularly those who are in need of protection and care. Lincolnshire should continue to strive to be viewed as an authority who takes its responsibilities to those most vulnerable of children as a priority and a voluntary acceptance of the government proposals would go some way in affirming and confirming Lincolnshire as a high performing authority which continues to place the best interests of all children as being the guiding principle of practice within a national framework that ensures an equitable, regionally managed allocation of responsibilities.

**1. Background**

In May 2016 the government wrote to all local authorities with information about the intention to resettle unaccompanied children who are considered to be at risk both in the Middle East and refugee camps across Europe. The voluntary scheme which the government request local authorities agree to engage with is one which will be based on a regional programme of dispersal of unaccompanied asylum seeking children, which will ultimately allow authorities to engage in a reciprocal arrangement of delegating responsibility and receiving responsibility for children as well as allowing for there to be a sharing of resources, knowledge and skills.

Before addressing the wider issues in respect of unaccompanied asylum seeking children within the United Kingdom, it is important for there to be some clarity as to who would fit into the legal category of being an unaccompanied asylum seeking child.

An unaccompanied asylum seeking child is a person, who at the time of making the asylum application:

- Is under the age of 18 or in the absence of documentary evidence appears to be under 18
- Is applying for asylum in his or her own right
- Has no relative or guardian to turn to in this country.

The reasons why children seek asylum are many and varied. They can include the child having been trafficked into the United Kingdom and having managed to flee from the trafficker. Some children will be fleeing child specific persecution by way of example forced marriage, child soldiering and others will seek asylum in the UK because they are experiencing persecution in their home country or in an attempt to flee armed conflict. Some young people will have become displaced from adult carers who had commenced the journey with them.

All local authorities in England and Wales have a legal duty to provide support for children and young people who seek asylum. Section 17 of the Children act 1989 provides a duty on every local authority to safeguard and promote the welfare of children in need within their area by providing appropriate resources to them whilst section 20 requires every local authority to provide accommodation for children in need if they have no person with parental responsibility and or the child has been lost or abandoned.

Within Lincolnshire County Council we currently have responsibility for sixty five unaccompanied asylum seeking children all of which are male. Unaccompanied asylum seeking children are keen to promote their literacy and language skills, enter education, employment or training including university study. The current cohort demonstrates their aspirations and ambitions. Of the sixty five, forty three are between the ages of 15-19 years and twenty two are aged 20-25. Out of the forty three unaccompanied asylum seeking children; three of them are aged 15 and forty are aged 16-19. Thirty two of the 15-19 year olds are in education provision, five are undertaking training and employment, with three awaiting entry to education. Out of the twenty two, 3 are NEET, 5 are in education and 4 are in higher education/university. There has been a shift in the country of origins of the children and young people seeking asylum. By way of example in 2013/4, two children from Syria presented in Lincolnshire, this increased to nine in 2014/5. This can be viewed as a direct result of the civil war in the country.

**Case study about a young man who became a care leaver after arriving in Lincolnshire as an Unaccompanied Asylum Seeking Child supported by Locate.**

*T's Story*

*T is 22 years old and originally from Eritrea. He was granted refugee status with a 5 year leave to remain from April 09 to April 14.*

*T had attended Peterborough College and completed ESOL and Level 3 BTEC National in Applied Science (Medical) in 2013 but had been unsuccessful with his application to Universities last year. The main barriers appeared to be a lack of*

*level 2 Maths and English qualifications and applications to courses that were very competitive in terms of numbers of applicants (e.g. Radiography). T was attending a joinery course as a means of accessing support for Maths and English.*

*T was referred through to our Work Preparation course in March 2014. He attended both days and was a very committed and active member of the group. LCC Young People's Learning Programme (YPLP) were invited to the event to give information about the support they could provide, particularly with Maths and English. T had tried other ways of gaining these qualifications so took the opportunity to register with them.*

*His feedback form from the Work Preparation Programme No 8 stated 'Thanks very much for organising the work preparation course it has been very helpful and I am hoping for more'.*

*The Work Preparation Worker supported T to look at his long term career goal which was to progress to University and use his medical qualification.*

*They used the NHS website to look at a range of career opportunities and skill shortage areas. T decided he would like to apply for Adult Nursing. Sue was able to find a work experience opportunity with an established care home for the elderly locally and he started as an activities organiser in July. The feedback from residents and staff was amazing and both noted his 'caring attitude'. She also supported T with many issues at this time such as renewal of visa and application to Disclosure and Barring Service. T attended additional training for First Aid, Manual Handling etc.*

*Throughout this time T achieved Functional Skills English and Maths at Level 2 through YPLP and Sue gave interview technique support for university. T was successful in interview for Adult Nursing with University of East Anglia which he started on the 22/09/14, a full NHS bursary and a placement at Peterborough City Hospital.*

*He was also offered part time shifts with the care home which he was able to combine with his studies. Deadlines for status paperwork and Maths and English Certificates was tight as original documentation is a requirement for University, Student Finance, DBS etc. and has relied on a lot of support to meet deadlines. T applied in March 2014 for indefinite leave to remain (earliest possible date) and it was August when this was granted and when his certificates arrived.*

*T is extremely happy at the outcome and has worked hard to achieve this. He has taken part in a film by Barnardo's charting his journey and his achievements.*

*As a result of the international situation there has been a rise in the number of children and young people who are seeking asylum across the United Kingdom. There has been a 56% rise in the numbers for the year ending 2015 as compared to the previous year. (It is a point of note that this figure is still less than the peak of 3900 which was reached in 2008.)*

There are two main groups of unaccompanied asylum seeking children which the government is asking local authorities to enter into voluntary arrangements in order to ensure that the needs of these children are met and that the responsibility is shared equitably across the country.

The first of these groups are those children and young people who have managed to make their way from their home countries across Europe and arrived within the United Kingdom and who have been identified as being unaccompanied asylum seeking children within Kent.

Kent County Council has in excess of 900 unaccompanied asylum seeking children of which 300 have been placed in other authorities. The government seeks to encourage all local authorities to enter into a voluntary agreement whereby all authorities will accept the voluntary transfer of these children into their own areas. This in essence will require Kent to delegate their responsibilities to other authorities.

A positive outcome of this work which has led to this position is that there is recognition that throughout the country some authorities have higher numbers of unaccompanied asylum seeking children than others and the issue of delegating and receiving responsibility will enable other authorities to adopt a similar approach within their own areas. The plan is to coordinate the reception of unaccompanied asylum seeking children through a regional hub with an identified regional lead and regional administrator. This will ensure that all local authorities within regions assume responsibility for unaccompanied asylum seekers in an equitable manner. Thus if an unaccompanied asylum seeking child arrives in a local authority area with a low concentration (below 0.07%) of the general child population the expectation will be that the child is cared for by the authority. However if a child was to arrive in a local authority area with a high concentration (over 0.07%) the expectation would be that child would be transferred to an area with lower numbers.

The government anticipates that with the support of the strategic migration partnership, local authorities will set up regional models which will allow for children to initially be transferred within a regional area. However, if there was to be a high number of unaccompanied asylum seeking children within any given region, the expectation would be the child would be transferred to another region

The second group are those children and young people who are currently living in refugee camps in both Europe and other countries, and who are particularly vulnerable by virtue of the fact that they do not have an adult to provide them with the protection that they both need and deserve. The government has committed to resettle up to 3,000 of these children.

It is the intention of the government to resettle this second cohort of children to regions based on the proportion of children in each region. They will work closely with the regional co-ordination team to allocate children to individual authorities.



A regional model of operation will allow for the pooling of resources and also allow for the sharing of skills expertise and knowledge in respect of meeting the needs of this highly vulnerable group of children.

### Legal Issues

As stated above each local authority has statutory obligations towards unaccompanied asylum seeking children depending on where the child first presents. In order to enable a dispersal of responsibilities to authorities across the country, section 69 of the Immigration Act 2016 confers on local authorities a power to enter into arrangements with another authority for the transfer to the other authority of the first authority's statutory obligations towards a child. Where such arrangements are entered into, the statutory responsibility of the first authority transfers once and for all to the second authority and the first authority is relieved of any responsibility from that point on although it remains liable for actions prior to the transfer.

It is envisaged that this is the model that will underpin the dispersal arrangement and delegation is sought to enable such arrangements to be made if the Council enters into the voluntary arrangement.

Under section 72 of the 2016 Act the Secretary of State is granted power to prepare a scheme for transferring responsibilities between specified local authorities in respect of all or some classes of or individual relevant children and to direct those local authorities to comply with the Scheme. This is in essence a reserve power to impose an arrangement on local authorities if authorities do not sign up to the voluntary arrangement proposed. The Scheme cannot be imposed unless an opportunity has been given to the local authorities concerned to make representations and cannot be imposed unless the Secretary of State is satisfied that compliance with the Scheme will not unduly prejudice the discharge by each receiving authority of any of its functions.

Otherwise the Secretary of state has wide discretion in devising such a Scheme.

### *Equality Act 2010*

The Council needs to make sure that it complies with the public sector equality duty set out in S149 Equality Act 2010 when coming to a decision on the proposals. In doing so, the Executive as decision-maker must have due regard to the needs to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it: Equality Act 2010 section 149(1).

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation: section 149(7).

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
- Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
- Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding.

Compliance with the duties in this section may involve treating some persons more favourably than others.

A reference to conduct that is prohibited by or under this Act includes a reference to:

- (a) A breach of an equality clause or rule
- (b) A breach of a non-discrimination rule

It is important that the Executive is aware of the special duties the Council owes to persons who have a protected characteristic as the duty cannot be delegated and must be discharged by the Executive. The duty applies to all decisions taken by public bodies including policy decisions and decisions on individual cases and includes this decision.

To discharge the statutory duty the Executive must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process.

An Equality Impact Assessment has not specifically been undertaken for this proposal but consideration has been given to the public sector equality duty. The relevant protected characteristics for these purposes are age, race and religion or belief. The purpose of the voluntary arrangement is to ensure that unaccompanied asylum seeking children receive help and support that is designed to protect them from potential discrimination, harassment or victimisation. By supporting such children equality of opportunity is enhanced for those children and they are encouraged and enabled to take a full part in society.

### *Child Poverty Strategy*

The Council is under a duty in the exercise of its functions to have regard to its Child Poverty Strategy. Child poverty is one of the key risk factors that can negatively influence a child's life chances. Children that live in poverty are at greater risk of social exclusion which, in turn, can lead to poor outcomes for the individual and for society as a whole.

In Lincolnshire we consider that poverty is not only a matter of having limited financial resources but that it is also about the ability of families to access the means of lifting themselves out of poverty and of having the aspiration to do so. The following four key strategic themes form the basis of Lincolnshire's Child Poverty strategy: Economic Poverty, Poverty of Access, Poverty of Aspiration and Best Use of Resources.

Unaccompanied asylum seeking children suffer from all of the forms of poverty recognised by the Council's policy and which that policy is designed to address. By engaging in the proposed voluntary arrangement the Council would play a full part in addressing the disadvantage of unaccompanied asylum seeking children on a national and regional scale while at the same time ensuring best use of resources as a result of the sharing of responsibility nationally and the pooling of resources knowledge and skills.

### *Joint Strategic Needs Assessment (JSNA) and Joint Health and Wellbeing Strategy (JHWS)*

The Council in exercising its functions must have regard to both the JSNA and the JHWS.

Consideration has been given to the JSNA and the JHWS and their principles and participation in the proposed voluntary arrangement is considered to contribute to the health and wellbeing of unaccompanied asylum seeking children.

### *Crime and Disorder*

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area.

Unaccompanied asylum seeking children if not supported are at high risk of being the victims of crime or being drawn into crime. It is the responsibility of the Council to support children to ensure that this does not happen. The proposed voluntary arrangement would potentially lead to the Council taking on responsibility for unaccompanied asylum seeking children for whom it would not otherwise be responsible. However this would be as part of reciprocal arrangements around the country and be part of a regionally managed and supported programme.

### Financial implications:

The home office provides financial support to local authorities who provide for the needs of unaccompanied asylum seeking children by providing the national transfer rates as indicated below.

Within Lincolnshire the last financial year there was a no additional cost implication for UASC with all Home Office funding having covered the costs. The funding covers costs for accommodation and the Authority are also able to off-set some staff costs related to the administration of the service to UASC's. Subject to the Council continuing to receive those grants, and subject to the nature of the needs of the cohort arriving, it is expected that costs will continue to be met through Home Office funding. However, should the needs of the cohort be more complex which may require additional social work capacity, costs may exceed available budget. This will be kept under review and the pressures escalated to national government if appropriate.

### National transfer rates for 2016 to 2017

Age profile	Rates for LA accepting children from Kent 1 <sup>st</sup> April 2016 – 30 June 2016	National Rate 1 <sup>st</sup> April 2016 - 30 June 2016	New national transfer rates 1 <sup>st</sup> July 2016 - 31 <sup>st</sup> March 2017
Under 16	£114 daily	£95 (daily)	£114 (daily)
16 -17	£91 (daily)	£71 (daily)	£91 (daily)
Leaving Care	£200 (weekly)	£150 (weekly)	£200 (weekly)

Thus there are no direct financial implications which are anticipated at this time, although this will be kept under review and escalated to Government if appropriate.

## **2. Conclusion**

As can be seen the government is requesting that local authorities agree to engage in two new operating models in respect of unaccompanied asylum seeking children. The first of these is that a reciprocal arrangement of delegating responsibility takes place and the second is the development of a regional model. Permission is sought for Lincolnshire County Council to sign up to this voluntary scheme and for the authority to continue to provide the high standard of care to all children who require services.

### **3. Legal Comments:**

The Council has the power to enter into the voluntary arrangement proposed. The detailed legal context and relevant considerations are dealt with in detail in the Report.

The decision is consistent with the Policy Framework and within the remit of the Executive if it is within the budget.

### **4. Resource Comments:**

There are no direct resource implications which are likely to be adversely impacted by this action.

### **5. Consultation**

#### **a) Has Local Member Been Consulted?**

Not applicable

#### **b) Has Executive Councillor Been Consulted?**

Yes

#### **c) Scrutiny Comments**

The Children and Young People Scrutiny Committee met on 15 July 2016 and considered a report concerning the Unaccompanied Asylum Seeking Children – National UASC Transfer Protocol 2016/2017.

The Committee supported the recommendations contained in the report.

In addition, the following comments were made:

- It was queried whether the 65 UASC currently living in Lincolnshire attracted any funding. It was reported that the UASC currently in Lincolnshire were cost neutral to the Council as the Government provides funding for all UASC through grants. This may change if the needs for the children are more complex and require additional support.
- Concerns around safeguarding were raised in relation to the difficulty of identifying the age of young people and potentially young adults being identified as school age children and placed within schools. It was highlighted that specifically trained social workers undertook an age assessment of UASC. It was reported that there were a number of cases where a young person presented themselves as under 18 but the age assessment said otherwise. The Council has a good record of appropriately age assessing young people, which was shown by the number of tribunals which were upheld.
- It was questioned whether the Government would take into account that

Lincolnshire already had 65 UASC to ensure that there was an even distribution across the country. It was reported that the Government were aware of how many young people were in each local authority as they send out a list and ask councils to correct the figures. The Strategic Migration Board also kept figures for each region. It was noted that everyone wanted the issue to be addressed in an equitable manner so there was a need to ensure the figures were accurate.

- It was queried what the Council could do to harness community goodwill and commitment to these young people. It was highlighted that the vast majority were aged around 16 or 17 and the Council had a responsibility to place them somewhere suitable taking into account their educational and cultural needs. A lot of young people were placed around the Lincolnshire borders to enable them to access culturally diverse areas. It was agreed that there was a lot more that could be done with communities to provide more support to UASC.
- Concerns were raised about foster carers and whether they would be able to cope with the high needs of UASC. Officers reported that foster carers had been looking after UASC for a number of years and had always been able to ensure their needs were met. Foster carers were trained to provide care to children who were traumatised and when they required additional support or training, then this was provided to the foster carers.
- It was queried what would happen to a young person if they were assessed as not being under 18. It was reported that if a child was age assessed as under 18 then the Council had a statutory duty to provide for their needs. However, if they were over 18, then they were referred to the Border Agency in the most sensitive way possible.
- It was questioned what the Council's duty was to an unaccompanied child and their parents if the parents wanted to join them. It was noted that this had never happened before, but if it did, then under Section 20 of the Children Act 1989, the Council would be obligated to return the child to their parents. However, there was no transfer of rights to the parents from the unaccompanied child living in this country.
- In relation to the resettlement of 3000 children from the refugee camps in Europe and other countries, concerns were raised about the family members and carers who would be accompanying some of these children. It was reported that the Government would be doing assessments of the families and that work was ongoing across the East Midlands to deal with this issue together. There would be an assessment centre for the East Midlands to decide the right place for these people to go and live. It was noted that some areas of the country such as the North West had no asylum seekers or refugees, but Lincolnshire had the second highest number of UASC in the East Midlands. It was highlighted that the refugee situation was very complex as there were Syrian refugees, refugees in Europe from other countries, and those unaccompanied children in Kent. Officers clarified that this protocol was for the 900 unaccompanied children in Kent and not the resettling of families from elsewhere.
- The Committee agreed that how the last paragraph on page 5 of the report was worded did not make it clear that this decision was about unaccompanied children and not families. It was suggested that this

paragraph was rewritten so that it was clearer. (Note: This paragraph has been amended for the Executive.)

#### **d) Policy Proofing Actions Required**

See the body of the report.

### **6. Background Papers**

The following background papers as defined in the Local Government Act 1972 were relied upon in the writing of this report.

Document title	Where the document can be viewed
Letter from the Immigration Minister to all Local Council Leaders	Democratic Services
Interim National UASC Transfer Protocol 2016-17 Version 7	

This report was written by Yvonne Shearwood, who can be contacted on 01522 554849 or [yvonne.shearwood@lincolnshire.gov.uk](mailto:yvonne.shearwood@lincolnshire.gov.uk) .

**Open Report on behalf of Judith Hetherington Smith, Chief Information and Commissioning Officer**

Report to:	<b>Executive</b>
Date:	<b>06 September 2016</b>
Subject:	<b>Council Business Plan 2016/2017 Performance Report, Quarter One (Q1)</b>
Decision Reference:	<b>I012044</b>
Key decision?	<b>No</b>

**Summary:** This report presents an overview of performance for Q1 against the Council Business Plan.

Executive can view performance on the web in a secure area on the Lincolnshire Research Observatory. A [link](#) to the relevant area, username and password will be emailed to Executive members along with the papers for the meeting.

**Recommendation(s):**

That Executive:-

1. Note and consider 2016/2017 Quarter 1 performance.
2. Approve the proposed changes to reporting as set out in Appendix A of this report.

**Alternatives Considered:**

1. No alternatives have been considered to recommendation 1 as it reflects factual information presented for noting and consideration.
2. The alternative to recommendation 2 is not to make any changes in reporting as recommended in Appendix A and instead to continue to report against the measures as published in the Council Business Plan 2016/2017. However, without the recommended changes, these measures are not considered to assist the Executive in obtaining an accurate picture of the organisation's performance.

**Reasons for Recommendation:**

To provide the Executive with information about Quarter 1 performance against the Council Business Plan 2016/2017 and propose changes to reporting to assist the Executive in monitoring that performance in future.



## 1. Background

The Council Business Plan 2016/2017 was approved by Council on 19<sup>th</sup> February. This report provides Executive with highlights of Q1 performance. The full range of infographics is available to view on <http://www.research-lincs.org.uk/CBP-Landing-page.aspx> this [link](#), username and password will be emailed to all Executive Councillors along with the papers for the Executive meeting. Once Q1 performance has been discussed by the Executive on 6<sup>th</sup> September and feedback has been considered the performance information will be publicly available on the website.

### Headlines Quarter 1 performance

Of the 14 commissioning strategies reported in Q1:-

- 7 have performed really well (all measures achieved);
- 2 has performed well (all but 1 measure achieved);
- there is mixed performance in 5 however the majority of outcomes performed well;

The following 3 commissioning strategies are not reported in Q1:-

- Readiness for school (reported annually in Q4);
- Sustaining and developing prosperity through infrastructure (reported annually in Q4);
- Learn and achieve (reported in Q2).

### The good news

The following commissioning strategies have performed really well (all measures reported in Q1 were achieved):-

- [Wellbeing](#)
- [Community Resilience and Assets](#)
- [Carers](#)
- [Children are safe and healthy](#)
- [How we effectively target our resources](#) (Combination of 3 commissioning strategies)
- The [Safeguarding adults](#) and [Readiness for Adult Life](#) commissioning strategies performed well (all but 1 measure reported in Q1 was achieved).

### Mixed performance

The following commissioning strategies are reporting mixed performance with some measures achieving and some measures not achieving. However, on closer inspection each of the outcomes within these commissioning strategies that can be compared with a target in Q1 performed well (all but 1 measure reported in Q1 was achieved).

- [Adult Frailty, long term conditions and physical disability](#)
- [Protecting and sustaining the environment](#)

- [Protecting the public](#)

The following commissioning strategies are reporting some measures achieving and some measures not achieving:-

- [Sustaining and growing business and the economy](#) It is worth noting that the Commissioning Strategy lead expects the 2 measures that have not achieved the target in Q1 to achieve the annual target.
- [Specialist Adult Services](#)

Infographics have been included in Appendix B for:-

- Sustaining and growing business and the economy;
- Specialist Adult Services; and

### Points to note

- Greenwich Leisure Limited (GLL) commenced their contract on 1st April 2016, for a 5 year period. As part of the dialogue phase of the procurement exercise and as per the contract, it was agreed that the initial focus would be on transition and operational delivery. Although formal performance monitoring will not be implemented until Q2, initial indication is that visits have increased over the core library sites and an accurate picture will be known in Q2. (measures 36,37,38)

### Proposed changes to reporting performance against the Council Business Plan 2016/17

Targets for 2016/2017 published in the Council Business Plan in February were informed by the latest available performance information at the time of writing the plan (2015/2016 Q2), with the following caveats:

i) The targets are subject to change to reflect:-

- 2015/2016 out turns;
- Changes in the wider economy;
- Nature of demand; and
- Consequences of any service reductions

ii) The Council Business Plan will be reviewed as part of quarterly performance reporting with any proposed changes to reporting agreed by the Executive.

The relevant Executive Councillors have been consulted and recommendations for proposed changes to reporting are set out in Appendix A of this report.

### 3. Legal Comments:

The Executive is responsible for ensuring that the Executive functions are discharged in accordance with the Budget and Policy Framework of which the Business Plan is a part. This report will assist the Executive in discharging this function.

The recommendation is lawful and within the remit of the Executive.

#### **4. Resource Comments:**

Acceptance of the recommendation in this report has no direct financial consequences for the Council.

#### **5. Consultation**

##### **a) Has Local Member Been Consulted?**

N/A

##### **b) Has Executive Councillor Been Consulted?**

N/A

##### **c) Scrutiny Comments**

The Overview and Scrutiny Management Committee is scheduled to consider this report at its meeting on 29 September 2016.

##### **d) Policy Proofing Actions Required**

There are none required with this report. Any changes to services, policies and projects are subject to an Equality Impact Analysis. The considerations of the contents and subsequent decisions are all taken with regard to existing policies.

#### **6. Appendices**

Appendix A - Proposed changes to the Council Business Plan 2016/2017 and corresponding infographics.

Appendix B - Exception reporting.

#### **7. Background Papers**

No background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

This report was written by Jasmine Sodhi, who can be contacted on 01522 552124 or [jasmine.sodhi@lincolnshire.gov.uk](mailto:jasmine.sodhi@lincolnshire.gov.uk)

## Appendix A - Proposed changes to the Council Business Plan 2016/2017 and corresponding infographics

### Protecting the public

The relevant Executive Councillor has been consulted and recommends that:-

- The way 'Illicit alcohol and tobacco seized per operation' is measured is amended to report the actual products seized (as a count of number or kgs of cigarettes/ tobacco and number of bottles of alcohol) as opposed to the average per operation (measure 1);
- 'Unsafe goods removed from the market' is expanded to also include illicit goods (largely counterfeit excluding alcohol and tobacco) as this is a more accurate measure of the outcome (measure 2);
- 'Crimestopper reports received from the public' is removed from the Council Business Plan and replaced with a new satisfaction measure with the paid for business advice service now offered to businesses. The business advice measure is one the Trading Standards service have greater influence OVER (measure 4).

The relevant Executive Councillor has been consulted and recommends that the following targets are amended in light of 2015/2016 out turns:-

Measure	2015/2016 Target	2015/2016 Actual	2016/2017 target published in February 2016	Proposed revised target 2016/2017
<b>Primary Fires</b> (measure 19)	140.28 per 100,000 population	154.48 per 100,000 population	133.38 per 100,000 population	138.93 per 100,000 population
	1,026 fires	1,130 fires	976 fires	1,017 fires
<b>Deliberate Primary Fires</b> (measure 22)	3.33 per 10,000 population	3.17 per 10,000 population	3.33 per 10,000 population	3.27 per 10,000 population
	243 fires	232 fires	243 fires	239 fires

The relevant Executive Councillor has been consulted and recommends that the following target is agreed in light of 2015/2016 out turn:-

Measure	2015/2016 Target	2015/2016 Actual	2016/2017 target published in February 2016	Proposed revised target 2016/2017
Satisfaction with responses to crime and anti-social behaviour (measure 13)	62% satisfaction	56% satisfaction	Exceed the national average year end outturn	62% satisfaction

The relevant Executive Councillor has been consulted and recommends that the definition for the 'Adult Reoffending' measure is amended to more closely reflect

the revised Ministry of Justice (MoJ) reoffending rate which is due to be implemented nationally from October 2017. The figures that will be reported in 2016-17 Council Business Plan are therefore not comparable to what was reported in 2015-16, nor will the service be able to report quarter 4 of 2015-16 using the previous methodology. The main change in methodology of the local reoffending rate between what was reported in 2015-16 and what will be reported in 2016-17 is the period in which the cohort of offenders is formed. Previously the cohort was formed over twelve months, whereas now it will now be formed from 3 month periods (i.e. financial quarters). The data is reported with a quarter lag, data for quarter 1 2016-17 will be reported in quarter 2. (measure 14)

### [Adult Frailty, long term conditions and physical disability](#)

The relevant Executive Councillor has been consulted and recommends that the 'Delayed Transfers of Care from Hospital' measure is removed from the Council Business Plan. Instead, it is proposed that the Scrutiny reporting to the Adults Committee is supplemented with the Better Care Fund (BCF) report to give members of that committee regular and more rounded updates on Health sector activity. The BCF report incorporates non-elective hospital admissions and all delays from hospital, not just the 30% of delays which are, in part, down to Adult Care (that have been reported in the Council Business Plan up until now) (measure 64);

### [Sustaining and growing business and the economy](#)

The relevant Executive Councillor has been consulted and recommends that the 'Jobs created/safeguarded' target is amended from 70 to 250 to reflect that we anticipate businesses to have created 250 jobs and these will be proved when the posts have been in existence for 6 months or longer.

Measure	2015/2016 Target	2015/2016 Actual	2016/2017 target published in February 2016	Proposed revised target 2016/2017
<b>Jobs created and safeguarded</b> (measure 68)	758	884	70	250

### [Protecting and sustaining the environment](#)

The relevant Executive Councillor has been consulted and recommends that the measure 'Flood alleviation schemes supported by the County Council' is replaced by 'Number of properties protected' as this is a more meaningful measure. Reporting schemes completed means that in one year a significant portion of the Flood Defence Grant in Aid (GiA) and LCC match-funding budget is spent on a single large scheme rather than a number of smaller schemes. An appropriate and achievable target for 2016/2017 of 100 properties protected with a target range of +/- 10 is proposed with the caveat the target will be reviewed if circumstances change. (measure 73)

**Appendix B** – Exception reporting infographics for:-

- Sustaining and growing business and the economy - It is worth noting that the Commissioning Strategy lead expects the 2 measures that have not achieved the target in Q1 to achieve the annual target.
- [Specialist Adult Services](#)



## Health and Wellbeing is improved

Enhanced quality of life and care for people with learning disability, autism and or mental illness

### Adults with learning disabilities who live in their own home or with family

The measure shows the proportion of all adults with a learning disability who are known to the council, who are recorded as living in their own home or with their family.

Individuals 'known to the council' are adults of working age with a learning disability who received long term support during the year.

'Living on their own or with family' is intended to describe arrangements where the individual has security of tenure in their usual accommodation, for instance, because they own the residence or are part of a household whose head holds such security.

Numerator: Of those adults who received long-term support with a primary support reason of learning disability, those who are recorded as living in their own home or with their family within the current financial year.

Denominator: Adults who received long-term support during the year with a primary support reason of learning disability.

The percentage is calculated as follows: Numerator divided by the denominator multiplied by 100.

Achieved

74.9

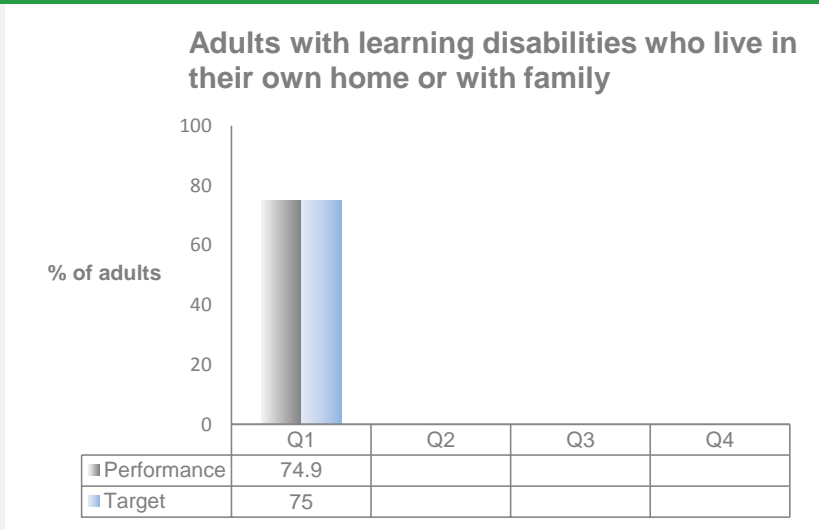
% of adults

Quarter 1 June 2016

75.0

% of adults

Target for June 2016

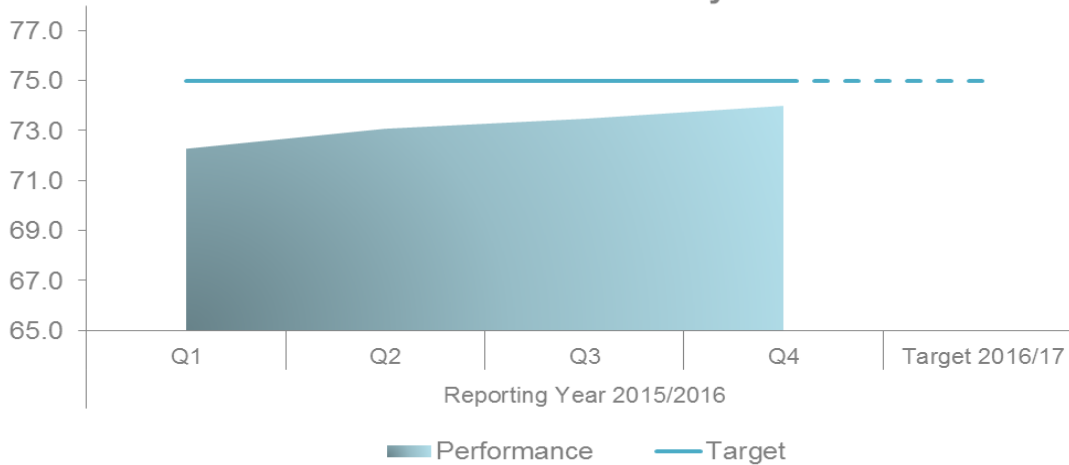


### About the latest performance

The measure is intended to improve outcomes for adults with a learning disability by demonstrating the proportion in stable and appropriate accommodation. The nature of accommodation for people with a learning disability has a strong impact on their safety and overall quality of life and the risk of social exclusion. However, it should be recognised that outcomes for people with complex needs can be improved in a residential setting. There has been a slow and steady improvement in the proportion of adults living at home or with family since March 2016. The only people now classed as 'unsettled' are in a care home setting. Also, a higher proportion of new clients in the year are living at home or with family with fewer admissions to residential care.

### Further details

**Adults with learning disabilities who live in their own home or with family**



	Reporting Year 2015/2016					Target 2016/17
	Q1	Q2	Q3	Q4		
<b>Performance</b>	72.3	73.1	73.5	74.0		
<b>Target</b>	75.0	75.0	75.0	75.0	75.0	

### About the target

Targets are based on trends and CIPFA group averages. For a definition of CIPFA please see About Benchmarking.

### About the target range

This measure has a target range of +/- 5% based on tolerances used by Department of Health

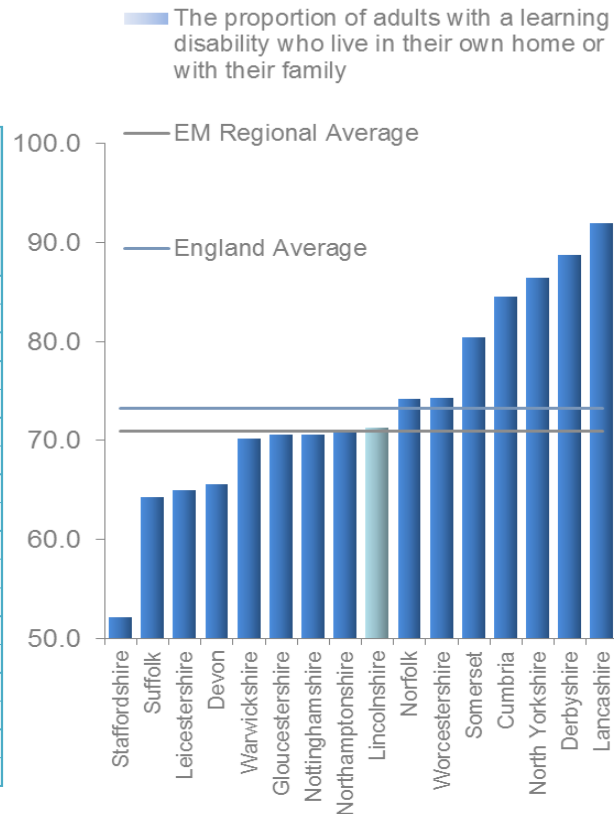


About benchmarking

Lincolnshire County Council provides performance reports to the Chartered Institute of Public Finance and Accountancy (CIPFA) which facilitates a benchmarking services to enable Adult Social Care performance to be monitored against other local authorities. We benchmark against other Local Authorities within our CIPFA Group of 16 authorities.

**Adults with learning disabilities who live in their own home or with family  
CIPFA Comparators 2014/15**

	*Numerator	**Denominator	***Outcome
Staffordshire	890	1,705	52.2
Suffolk	1,110	1,730	64.3
Leicestershire	795	1,225	65.0
Devon	1,025	1,565	65.6
Warwickshire	770	1,095	70.2
Gloucestershire	915	1,295	70.6
Nottinghamshire	1,430	2,025	70.6
Northamptonshire	1,140	1,605	71.1
<b>Lincolnshire</b>	<b>1,070</b>	<b>1,500</b>	<b>71.3</b>
Norfolk	1,710	2,305	74.2
Worcestershire	950	1,275	74.3
Somerset	1,190	1,480	80.4
Cumbria	1,025	1,210	84.6
North Yorkshire	1,305	1,505	86.5
Derbyshire	1,690	1,900	88.8
Lancashire	2,670	2,900	92.0
<b>EM Regional Average</b>	<b>34,975</b>	<b>49,240</b>	<b>71.0</b>
<b>England Average</b>	<b>91,080</b>	<b>124,230</b>	<b>73.3</b>



\*Number of working age (18-64) service users who received long-term support during the year with a primary support reason of learning disability support, who are living on their own or with their family

\*\*Number of working age (18-64) service users who received long-term support during the year with a primary support reason of learning disability support

\*\*\*Proportion of working age (18-64) service users who received long-term support during the year with a primary support reason of learning disability support, who are living on their own or with their family (%)



Health and Wellbeing is improved

Enhanced quality of life and care for people with learning disability, autism and or mental illness

Adults in contact with secondary community health teams living independently

The measure shows the percentage of adults receiving secondary mental health services living independently at the time of their most recent assessment, formal review or other multi-disciplinary care planning meeting.

Adults 'in contact with secondary mental health services' is defined as those aged 18 to 69 who are receiving secondary mental health services and who are on the Care Programme Approach (CPA).

'Living independently, with or without support' refers to accommodation arrangements where the occupier has security of tenure or appropriate stability of residence in their usual accommodation in the medium-to-long-term, or is part of a household whose head holds such security of tenure/residence.

Numerator: Number of adults aged 18-69 who are receiving secondary mental health services on the Care Programme Approach recorded as living independently (with or without support).

Denominator: Number of adults aged 18-69 who have received secondary mental health services and who were on the Care Programme Approach at the end of the month.

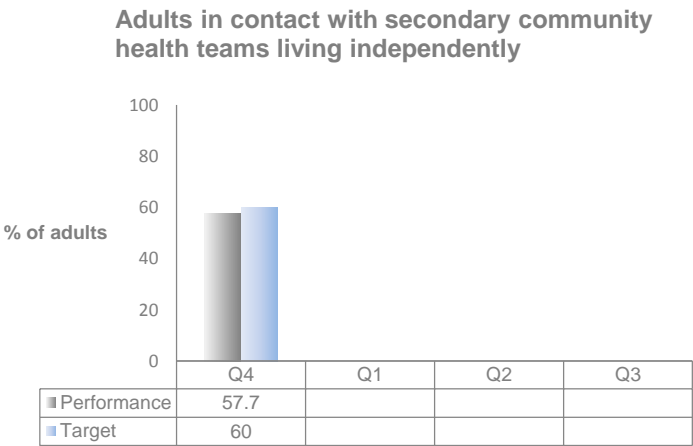
The percentage is calculated as follows: Numerator divided by the denominator multiplied by 100.

✓ Achieved

**57.70**  
% of adults  
Quarter 4 March 2016

↓

**60.00**  
% of adults  
Target for March 2016

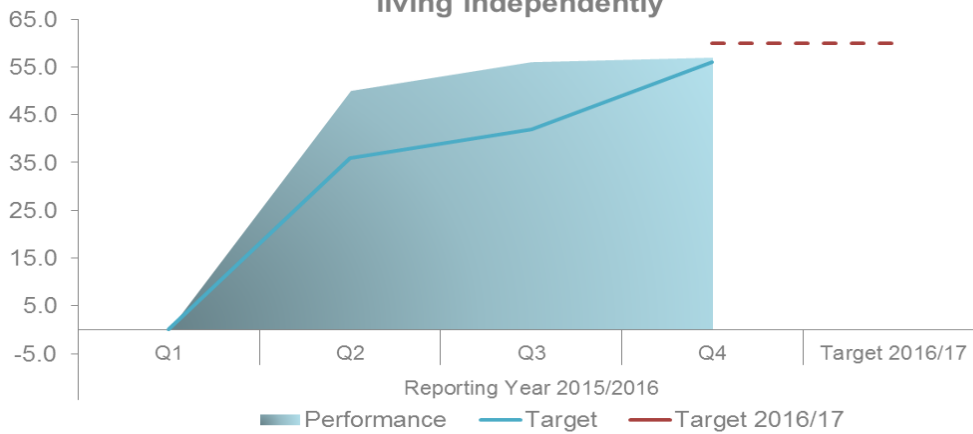


About the latest performance

Data comes from the published Mental Health Minimum dataset which is collected and reported by NHS Digital (formerly the Health and Social Care Information Centre). Figures quoted for Q1 2016-2017 are the latest available (March 2016).

Further details

Adults in contact with community mental health teams living independently



Reporting Year 2015/2016					
	Q1	Q2	Q3	Q4	Target 2016/17
Performance	Not reported	50.0	56.0	57.0	
Target	Not reported	36.0	42.0	56.0	60.0

About the target

Targets are based on trends and CIPFA group averages. For a definition of CIPFA please see About Benchmarking.

About the target range

This measure has a target range of +/- 5% based on tolerances used by Department of Health

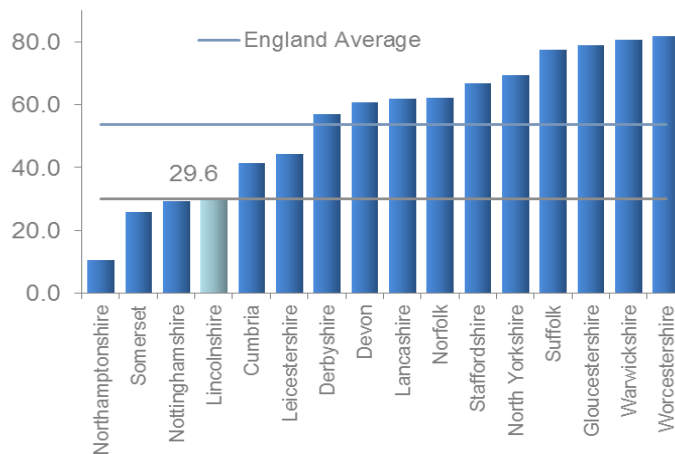
About benchmarking

Lincolnshire County Council provides performance reports to the Chartered Institute of Public Finance and Accountancy (CIPFA) which facilitates a benchmarking services to enable Adult Social Care performance to be monitored against other local authorities. We benchmark against other Local Authorities within our CIPFA Group of 16 authorities.

Adults in contact with community mental health teams living independently CIPFA Comparators 2014/15

■ The proportion of adults in contact with secondary mental health services living independently, with or without support  
 — EM Regional Average

	*Outcome
Northamptonshire	10.6
Somerset	26.0
Nottinghamshire	29.4
<b>Lincolnshire</b>	<b>29.6</b>
Cumbria	41.5
Leicestershire	44.5
Derbyshire	57.1
Devon	60.9
Lancashire	62.1
Norfolk	62.3
Staffordshire	66.8
North Yorkshire	69.6
Suffolk	77.4
Gloucestershire	79.1
Warwickshire	80.6
Worcestershire	81.8
<b>EM Regional Average</b>	<b>33.5</b>
<b>England Average</b>	<b>59.7</b>



\*Proportion of working age adults (18-69) who are receiving secondary mental health services and who are on the Care Programme Approach (CPA) at the end of the month, who are recorded as living independently (with or without support) (%)





## Health and Wellbeing is improved

Enhanced quality of life and care for people with learning disability, autism and or mental illness

### Adults who receive a direct payment (Learning Disability or Mental Health)


This measure reflects the proportion of people using services who receive a direct payment.  
 Numerator: Number of Learning Disability and Mental Health service users receiving direct or part direct payments.  
 Denominator: Number of Learning Disability and Mental Health service users aged 18 or over accessing long term support.  
 The percentage is calculated as follows: Numerator divided by the denominator multiplied by 100.

**✘ Not Achieved**

**41.7**

%

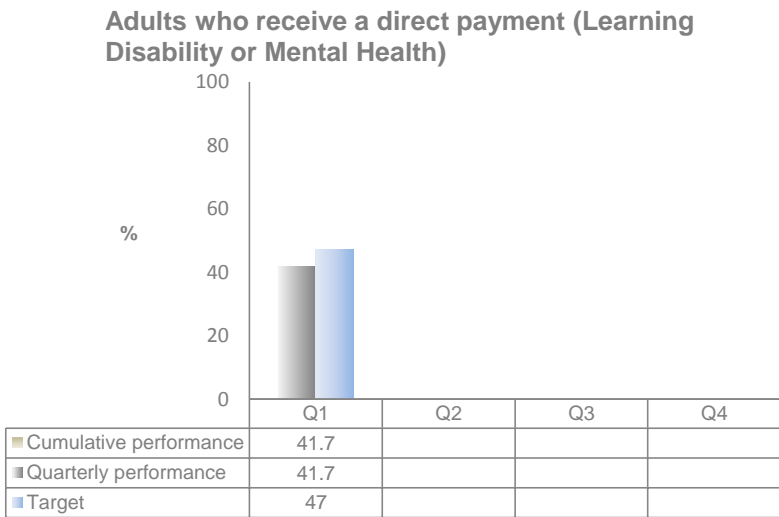
Quarter 1 June 2016



**47.0**

%

Target for June 2016



## About the latest performance

This measure has been amended for 2016/17 to focus on direct payments provided to clients with a learning disability or a mental health need. Previously the measure only counted direct payments for learning disability clients. Direct Payments for people under the Specialist Adults Strategy are almost at saturation point, particularly in the Learning Disability service where almost two thirds of clients are supported in the community with a managed personal budget service. The high cost and complexity of these peoples' needs make it difficult to convert their packages to a direct payment. However, growth is still possible since a high proportion of young adults transferring from Children's Services into Adult Care community services receive a direct payment, although these are relatively few in number. With Mental Health services, direct payments are the main offer to clients, with very few managed services. Overall the number of direct payments has fallen since 2015/16 because a number of direct payments paid to mental health clients in that year were one-off payments and have now been closed. An additional 75 clients (approximately) are required to hit the year-end target of 47%.

#### Further details

No further information available, as measure not reported in 2015/16.

#### About the target

The target is based on historical trends and is indicative of the expected direction of travel.

#### About the target range

This measure has a target range of +/- 5% based on tolerances used by Department of Health

#### About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.



## Health and Wellbeing is improved

Enhanced quality of life and care for people with learning disability, autism and or mental illness

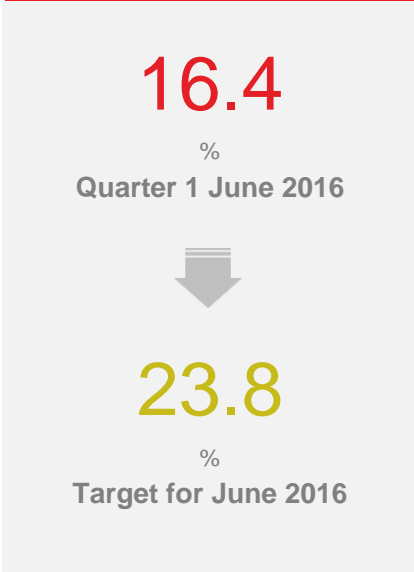
### Adults who have received a review of their needs (Learning Disability or Mental Health)

Lincolnshire County Council has a statutory duty to assess people with an eligible need and once the person has a support plan there is a duty to reassess their needs annually. This measure ensures people currently in receipt of long term support or in a residential / nursing placement are reassessed annually.

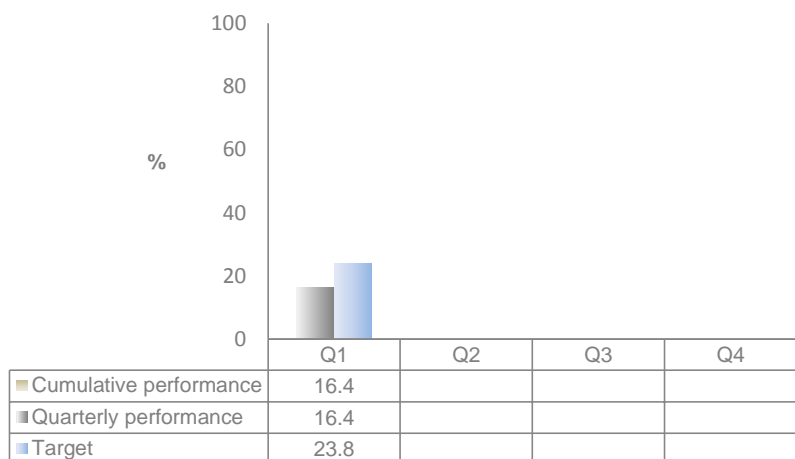
Numerator: Number of current Learning Disability and Mental Health service users who have received an assessment or reassessment of need in the year. Denominator: Number of current Learning Disability and Mental Health service users receiving long term support in the community or a residential / nursing placement.

The percentage is calculated as follows: Numerator divided by the denominator multiplied by 100.

✘ Not achieved



Adults who have received a review of their needs (Learning Disability or Mental Health)





#### About the latest performance

In quarter 1, review performance in learning disability teams is below target. This is consistent with previous years and is likely down to how reviews have been scheduled through the year - most are loaded towards the second half of the year, where review performance usually picks up. The disruption to activity and recording expected when Mosaic is implemented in October is likely to mean that review performance may not converge with the target trajectory, which may lead to a reasonable reduction in the target for the year (to be reviewed at a later date). At present the figures only include review activity for people with a learning disability. In quarter 3, when all activity is recorded in Mosaic, mental health reviews will also be reported

#### Further details

New measure for 2016/2017, so further information unavailable for previous years.

#### About the target

The target is based on historical trends and is indicative of the expected direction of travel.

#### About the target range

This measure has a target range of +/- 5% based on tolerances used by Department of Health

#### About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.



## Health and Wellbeing is improved

People have a positive experience of care

### Satisfaction with learning disability and autism care and support services

The relevant question drawn from the Easy Read Adult Social Care questionnaire is : "How happy are you with the way staff help you?" to which the following answers are possible:

- \* I am very happy with the way staff help me, it's really good
- \* I am quite happy with the way staff help me
- \* The way staff help me is OK
- \* I do not think the way staff help me is that good
- \* I think the way staff help me is really bad

Numerator: All those responding who choose "I am very happy with the way staff help me, it's really good".

Denominator: Total number of respondents to the survey.

The percentage is calculated as follows: Numerator divided by the denominator multiplied by 100.

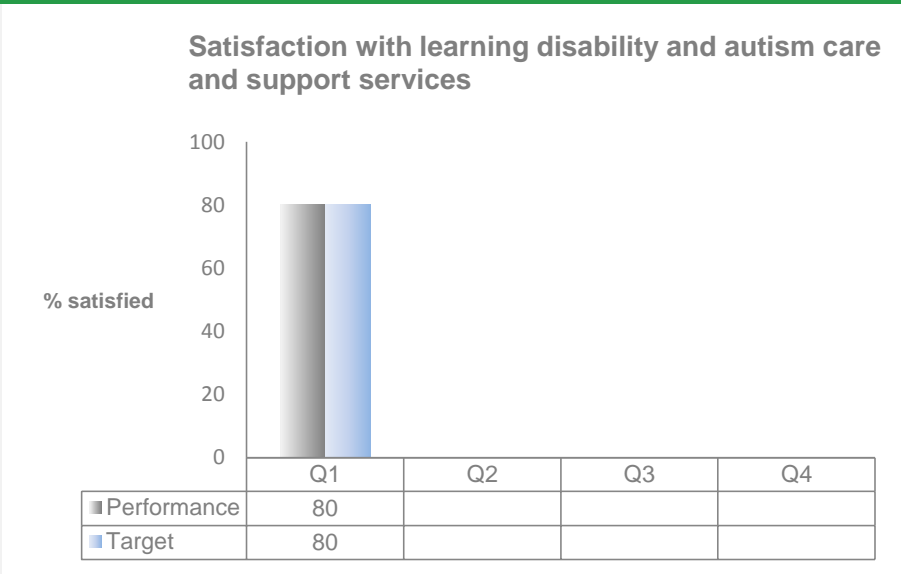
Achieved

80

% satisfied  
**March 2016**

80

% satisfied  
**Target for March 2016**

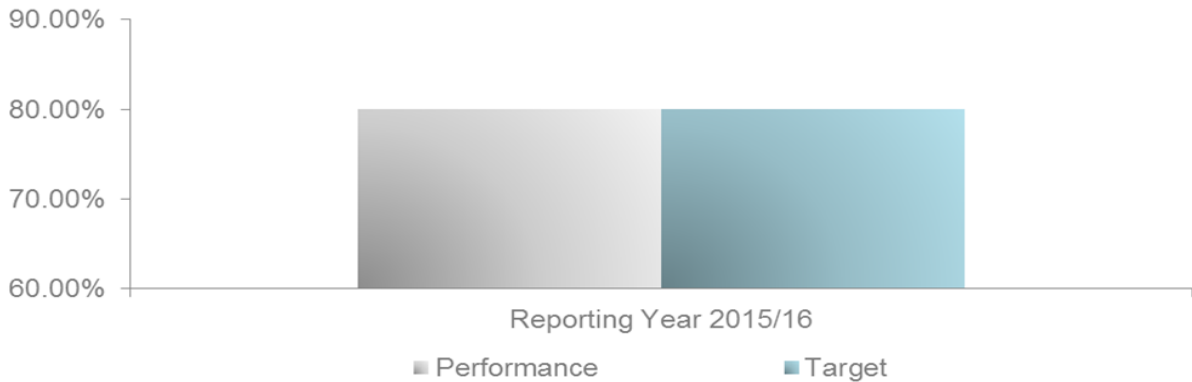


### About the latest performance

This is an annual Adult Social Care Outcome Framework (ASCOF) measure from the statutory Adult Social Care Survey (ASCS) that is reported to the Health and Social Care Information Centre (HSCIC). However, for the purposes of measuring satisfaction for this strategy, the results of adults with Specialist Adult Services are reported separately. Despite a low response rate (although comparable with the previous year), there has been a good improvement in satisfaction rates.

### Further details

**Satisfaction with learning disability and autism care and support services**



	Reporting Year 2015/16
Performance	80.0%
Target	80.0%
Target 2016/17	81.0%

### About the target

Targets are based on trends and Chartered Institute of Public Finance and Accountancy (CIPFA) group averages.

### About the target range

This measure has a target range of +/- 5% based on tolerances used by Department of Health

### About benchmarking

Benchmarking data for this measure is not available



## Businesses Are Supported to Grow

Jobs created as a result of the Council's support

### Jobs created and safeguarded

Number of jobs created and safeguarded as a result of the Council's support.



Not achieved

1

Jobs

Quarter 1 June 2016

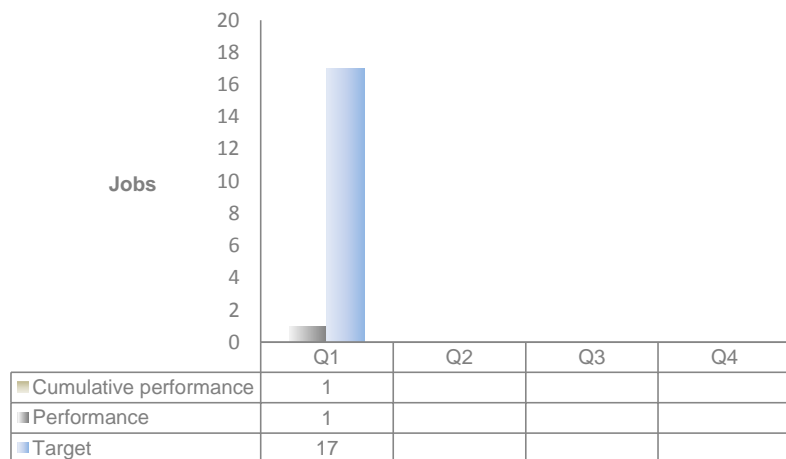


17

Jobs

Target for June 2016

Jobs created and safeguarded

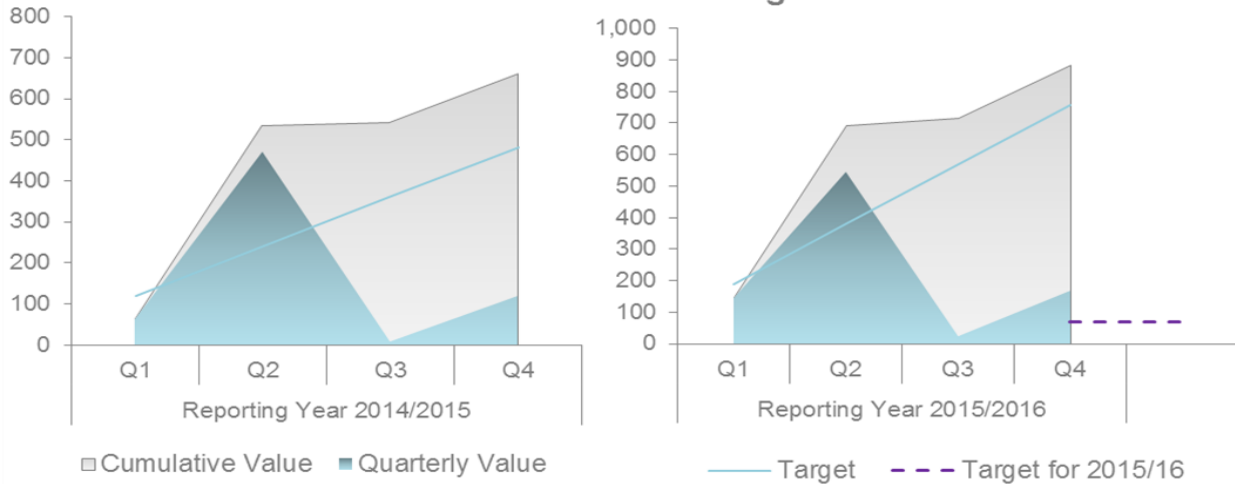


#### About the latest performance

We record jobs created/safeguarded when the post has been in place for 6 months, of which there has been 1 so far this year. From the direct business advice services that we operate we anticipate that businesses have created 250 jobs and these will be proved when the posts have been in existence for 6 months or longer. The year end forecast has been amended accordingly.

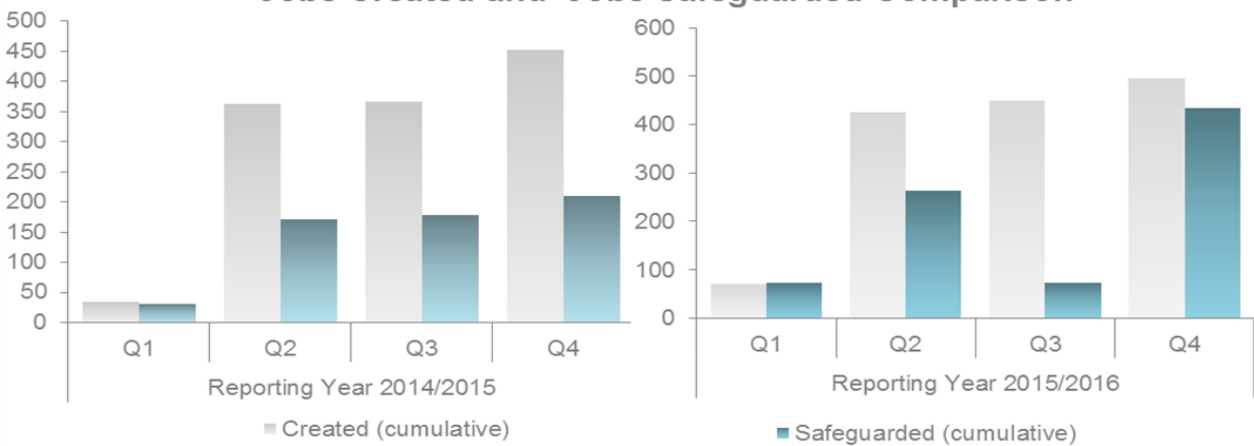
Further details

Jobs Created and Safeguarded



	Reporting Year 2014/2015				Reporting Year 2015/2016				Target 2016/17
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Cumulative Value	63	533	542	661	145	690	714	884	
Quarterly Value	63	470	9	119	145	545	24	170	
Target	121	242	363	482	190	380	570	758	70

Jobs Created and Jobs Safeguarded Comparison



	Reporting Year 2014/2015				Reporting Year 2015/2016			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Created (cumulative)	33	363	365	451	71	426	450	495
Safeguarded (cumulative)	30	170	177	210	74	264	74	434

About the target

The council commissions a series of programmes which help business leaders to grow their business. This includes the building of business sites and premises for selling or renting to businesses which are growing. We do this in order to create jobs in the county, and the jobs are counted in this target.

About the target range

About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.



## Businesses Are Supported to Grow

Jobs created as a result of the Council's support

### Businesses supported by the Council

Number of businesses who receive direct support and advice from services the Council commission.



Not achieved

123

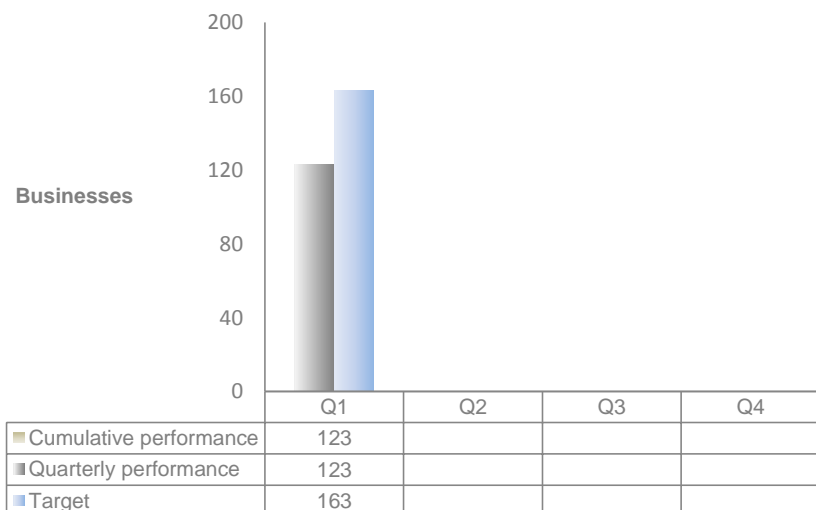
Businesses  
Quarter 1 June 2016



163

Businesses  
Target for June 2016

Businesses supported by the Council

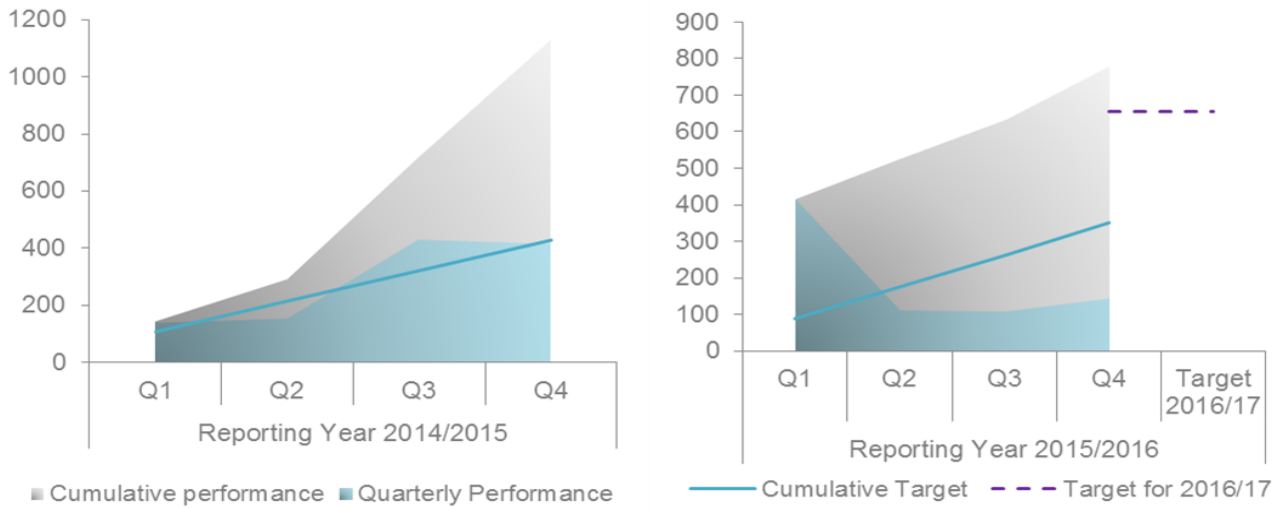


#### About the latest performance

Thirteen businesses were assisted by our Economic Development Investment team for the period between April to June. Through our Lincolnshire Business Growth Hub we supported an additional 110 businesses for 2 hours or more during the same period. The majority of the programmes ended in December 2015, with further European Rural Development Fund (ERDF) funded programmes expected to start later in the year. The delay to our bid, which is due to the slow government processes and uncertainty following the EU referendum vote, for additional funding for growth hub services means that we have not been able to extend the service - and therefore increase the number of businesses assisted to the Q1 target. We remain hopeful that the bid will be approved presently, and that the target will be achieved.

Further details

Businesses supported to improve their performance



	Reporting Year 2014/2015				Reporting Year 2015/2016				Target 2016/17
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>Cumulative performance</b>	137	286	715	1,127	415	525	634	779	
<b>Cumulative Target</b>	107.25	214.5	321.75	429	88	175	263	350	654
<b>Quarterly Performance</b>	137	149	429	412	415	110	109	145	

About the target

The council commissions a series of programmes which help business leaders to grow their business. The businesses who receive support will grow creating jobs and other opportunities (e.g. supply chain) and the number of businesses counted in this target.

About the target range

About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.



## Businesses Are Supported to Grow

Jobs created as a result of the Council's support

## Qualifications achieved by adults

Number of qualifications achieved (Skills programmes, vocational training programmes, adult and community learning) through programme support by the council.



Achieved

117

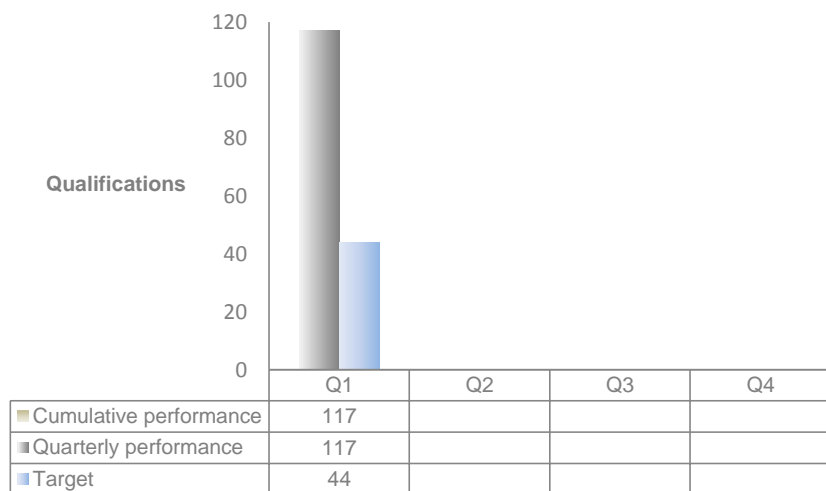
Qualifications  
Quarter 1 June 2016



44

Qualifications  
Target for June 2016

Qualifications achieved by adults



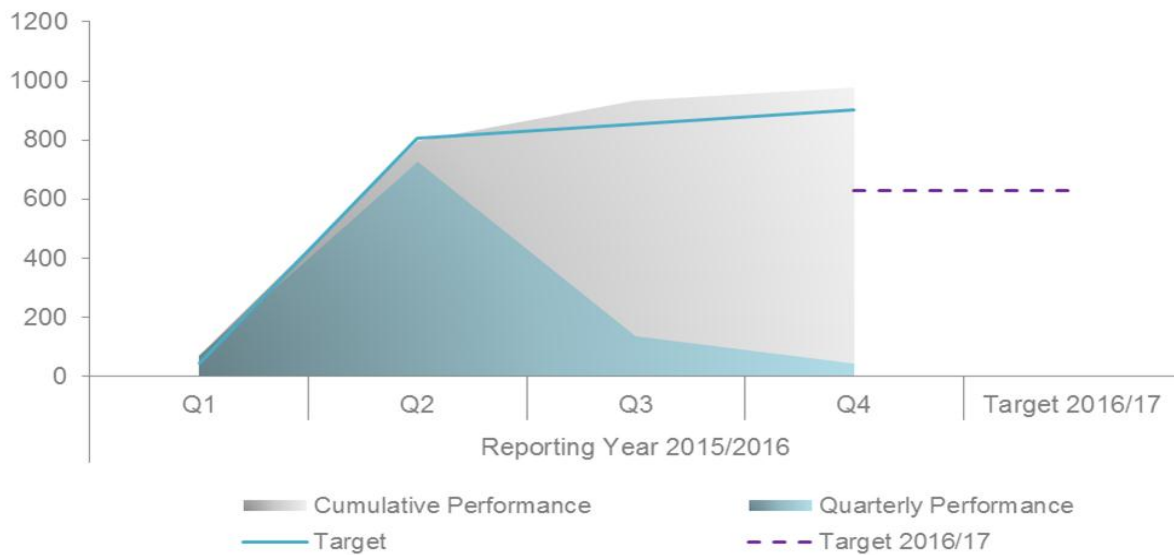
### About the latest performance

The qualifications are achieved through the Adult Learning programme, which includes some apprenticeships and traineeships. The 117 qualifications are comprised of; 31 Functional Skills - English, 15 Functional Skills - Maths, 59 First Aid, 1 BTECH L2 Personal & Social Development, 2 L3 Diplomas in Business Administration and 9 Skills for Employment & Further Learning qualifications.



## Further details

### Qualifications achieved by adults



	Reporting Year 2015/2016				
	Q1	Q2	Q3	Q4	Target 2016/17
<b>Cumulative Performance</b>	71	796	934	978	
<b>Quarterly Performance</b>	71	725	138	44	
<b>Target</b>	45	805	855	902	630

#### About the target

The council commissions a series of training schemes which help individuals to gain skills. These training schemes are focused on the skills that employers need. Employers can understand an individual's skills level by the qualification that they hold, hence the reason that we count the number of qualifications achieved.

#### About the target range

#### About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.



## Businesses Are Supported to Grow


Jobs created as a result of the Council's support

### Amount of external funding attracted to Lincolnshire

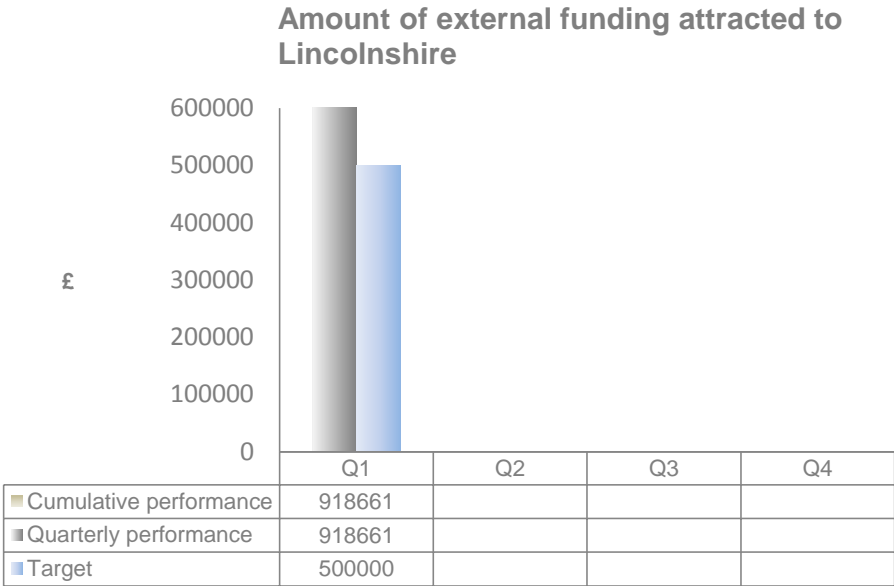
Amount of external funding attracted to Lincolnshire (including Greater Lincolnshire Local Enterprise Partnership and European Union funding programmes) by the council.

 **Achieved**

**£918,661**  
£  
Quarter 1 June 2016



**£500,000**  
£  
Target for June 2016

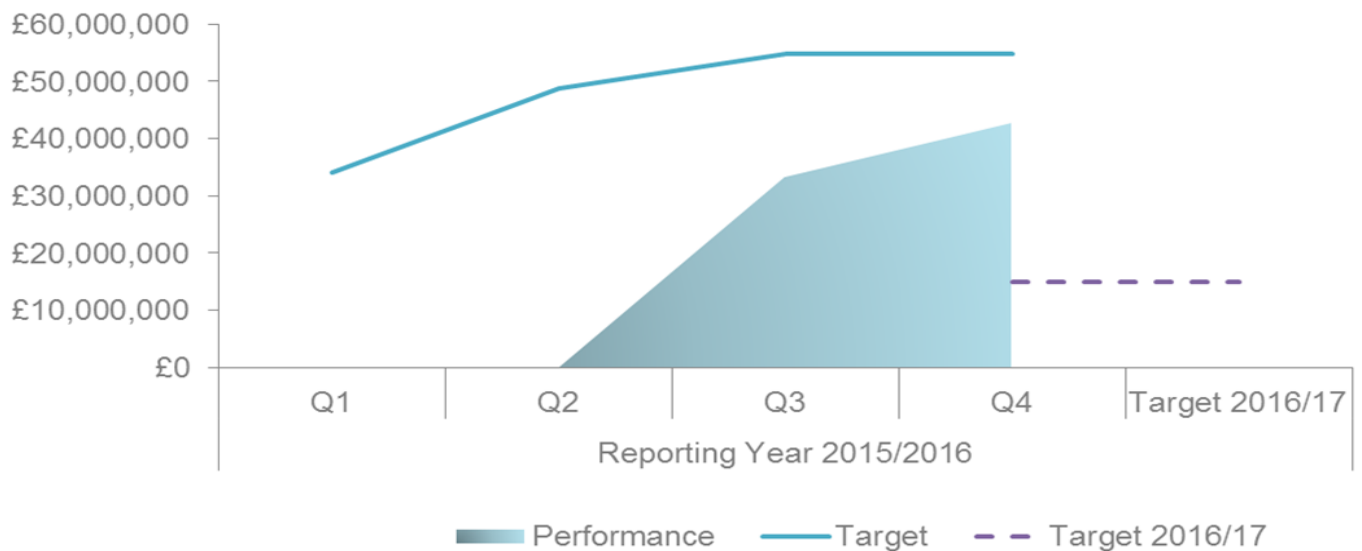


## About the latest performance

In the period from April to June 2016; three European Agricultural Fund for Rural Development (EAFRD) programmes were approved to a total grant value of £668,661.00. Managing Agents are not contracting with projects yet, but we have a number of European Rural Development Fund (ERDF) projects at their final approval state, with full application being submitted for both programmes by the end of the month. We have bid for Growth Deal funding which will be submitted to national government by 28 July 2016 with decisions on allocations expected in Quarter 3. There has been £250,000 of Growth Hub funding attracted in this quarter.

## Further details

### Amount of external funding attracted to Lincolnshire



Reporting Year 2015/2016					
	Q1	Q2	Q3	Q4	Target 2016/17
<b>Performance</b>	-	-	33,400,000	42,877,794	
<b>Target</b>	34,000,000	48,800,000	54,800,000	54,800,000	15,000,000

## About the target

## About the target range

## About benchmarking

This measure is local to Lincolnshire and therefore is not benchmarked against any other area.

**Open Report on behalf of Richard Wills, Executive Director with responsibility for Democratic Services**

Report to:	<b>Executive</b>
Date:	<b>06 September 2016</b>
Subject:	<b>Appointment to the County Councils Network</b>
Decision Reference:	<b>I012061</b>
Key decision?	<b>No</b>

**Summary:**

This report requests the Executive to make an appointment change to the County Councils Network.

**Recommendation:**

That Councillor M A Whittington be appointed to the County Councils Network.

**Alternatives Considered:**

To not make an appointment to the County Councils Network.

**Reasons for Recommendation:**

To continue to provide Council representation on organisations, as part of the County Council's community leadership role.

## **1. Background**

The Council's Constitution provides for appointments to any other body other than the authority; a joint committee of two or more authorities; and a politically balanced body to be made by the Executive.

Under Part 3 of the Council's Constitution the Executive has responsibility to make appointments to all other outside bodies, which includes the County Councils Network.

At the Executive meeting held on 3 June 2014, the Executive appointed Councillors Mrs P A Bradwell, M J Hill OBE, J D Hough and M S Jones as the Council's four representatives to the County Councils Network. A recent change has been received that Councillor M S Jones is to stand down as one of the

Council's representatives. It is proposed that the vacancy be filled by Councillor M A Whittington.

## 2. Conclusion

Appointments to outside bodies assist Councillors to participate strategically, and in the wider community; it also provides them with additional knowledge and expertise which can then be shared with other Councillors.

### 3. Legal Comments:

The recommendation is lawful and is within the remit of the Executive.

### 4. Resource Comments:

There are no additional material financial implications arising from the acceptance of the recommendation in this report.

## 5. Consultation

### a) Has Local Member Been Consulted?

n/a

### b) Has Executive Councillor Been Consulted?

Yes

### c) Scrutiny Comments

n/a

### d) Policy Proofing Actions Required

n/a

## 6. Background Papers

Document Title	Where the document can be viewed
Representation on Outside Bodies	<a href="http://lincolnshire.moderngov.co.uk/documents/s6164/Representation%20on%20Outside%20Bodies.pdf">http://lincolnshire.moderngov.co.uk/documents/s6164/Representation%20on%20Outside%20Bodies.pdf</a>

This report was written by Katrina Cope, who can be contacted on 01522 552104 or [Katrina.Cope@lincolnshire.gov.uk](mailto:Katrina.Cope@lincolnshire.gov.uk)