Lincolnshire
COUNTY COUNCIL

Working for a better future

County Offices
Newland
Lincoln
LN1 1YL

21 August 2018

Overview and Scrutiny Management Board

A meeting of the Overview and Scrutiny Management Board will be held on **Thursday, 30 August 2018 at 10.00 am in Committee Room One, County Offices, Newland, Lincoln LN1 1YL** for the transaction of the business set out on the attached Agenda.

Yours sincerely

Keith Ireland

Keith Ireland
Chief Executive

Membership of the Overview and Scrutiny Management Board (11 Members of the Council and 4 Added Members)

Councillors R B Parker (Chairman), R Wootten (Vice-Chairman), Mrs J Brockway, M Brookes, Mrs K Cook, B M Dobson, R L Foulkes, C S Macey, C E H Marfleet, N H Pepper and E W Strengiel

Added Members

Church Representatives: Mr S C Rudman and Reverend P A Johnson

Parent Governor Representatives: Mrs P J Barnett and 1 Parent Governor Vacancy

OVERVIEW AND SCRUTINY MANAGEMENT BOARD AGENDA
THURSDAY, 30 AUGUST 2018

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

**OVERVIEW AND SCRUTINY
MANAGEMENT BOARD
28 JUNE 2018**

PRESENT: COUNCILLOR R B PARKER (CHAIRMAN)

Councillors R Wootten (Vice-Chairman), Mrs J Brockway, Mrs K Cook, B M Dobson, R L Foulkes, C S Macey, C E H Marfleet, N H Pepper, E W Strengiel and B Adams

Added Members

Church Representatives: Mr S C Rudman and Reverend P A Johnson

Parent Governor Representatives: Mrs P J Barnett

Councillors: M A Whittington and B Young attended the meeting as observers

Officers in attendance:-

Andrea Brown (Democratic Services Officer), David Forbes (County Finance Officer), Nicole Hilton (Chief Community Engagement Officer), Steve Houchin (Head of Finance, Adult Care and Community Wellbeing), Andrew McLean (Service Manager Commissioning), Pete Moore (Executive Director, Finance and Public Protection), Mark Popplewell (Head of Finance (Children's Services)), Sophie Reeve (Chief Commercial Officer), Dave Simpson (Technical and Development Finance Manager), Jasmine Sodhi (Performance and Equalities Manager), Karen Spencer (Strategic Communications Manager), Daniel Steel (Scrutiny Officer), Karen Tonge, Nigel West (Head of Democratic Services and Statutory Scrutiny Officer), John Wickens (Chief Digital Officer), Jason Davenport (Payroll Consultant) and Wendy Henry (People Management Performance and Programme Manager)

10   APOLOGIES FOR ABSENCE/REPLACEMENT MEMBERS

Apologies for absence were received from Councillor M Brookes.

It was reported that, under the Local Government (Committee and Political Groups) Regulations 1990, Councillor B Adams had been appointed as replacement member for Councillor M Brookes, for this meeting only.

11   DECLARATIONS OF MEMBERS' INTERESTS

There were no declarations of Members' interests at this point of the proceedings, however, Councillor Mrs K Cook asked the Board to note that she was a Governor of Lincolnshire Partnership NHS Foundation Trust, which was referred to in item 8 (Commercialisation and Commissioning Strategies) and item 10 (Review of Financial Performance 2017/18) of the agenda pack.

12   MINUTES OF THE MEETING OF THE OVERVIEW AND SCRUTINY MANAGEMENT BOARD HELD ON 24 MAY 2018

RESOLVED

That the minutes of the previous meeting, held on 24 May 2018, be agreed and signed by the Chairman as a correct record.

13   ANNOUNCEMENTS BY THE CHAIRMAN, EXECUTIVE COUNCILLOR FOR RESOURCES AND COMMUNICATIONS AND CHIEF OFFICERS

The Chairman attended the Executive at its meeting on 5 June 2018 and reported that Councillor Mrs A M Newton had presented the final report and recommendations from the Street Lighting Review. The Executive supported, in principle, the five recommendations of the Scrutiny Review and had requested that Councillor B Young, Executive Councillor for Community Safety and People Management, respond to the report by 5 September 2018. The Board would consider the response from Councillor Young at its meeting in September.

Members were reminded that an IMT Engagement Session would be held after the meeting at 3.00pm. The Chairman encouraged Members to attend to ensure that their own view on the future of the IMT service be provided.

There were no announcements from the Executive Councillor for Community Safety and People Management, Executive Support Councillor for Resources and Communications or Chief Officers.

14   CONSIDERATION OF CALL-INS

No Call-Ins had been received.

15   CONSIDERATION OF COUNCILLOR CALLS FOR ACTION

No Councillor Calls for Action had been received.

16   CORPORATE SUPPORT SERVICES - RE-PROVISION: PAYROLL PROGRESS REPORT

Consideration was given to a report by the Executive Director of Children's Services, which provided an update on progress for the potential transition of the Council's Payroll/HR Admin Services and Enterprise Resource Planning (ERP) system (BWON) to Hoople Ltd, via a shared service agreement with Herefordshire Council.

Andrew McLean, Chief Commissioning Officer, introduced the report and gave a presentation to Members on the current position. The presentation covered the following:-

1. Payroll/HR Admin support & ERP System Update – Workshops;
2. Due Diligence;
   a. Analysis Toolkit
      i. Strategic Categories;
      ii. Diligence Tests;
      iii. Ongoing Reviews; and
      iv. Rating Improvement throughout transition phase;
3. Programme Plan;
   a. Category Breakdown; and
   b. Dovetail with Hoople's transition plan; and
4. Questions?

Jason Davenport, External Payroll Adviser to the Council, explained that scenario testing had been undertaken on payroll, particularly in relation to retained firefighters. The results of the testing had been solid and Hoople had given a demonstration of how that area of payroll would be delivered within the system. A meeting had also taken place with the Chief Fire Officer and LFR Area Manager to identify any potential issues. The Chief Fire Officer had indicated his confidence in the approach taken so far based on the information provided.

The Chairman paused the presentation to allow Members the opportunity to ask questions in relation to Due Diligence, during which the following points were noted:-

- It was acknowledged that insourcing would be one form of contingency should the work with Hoople not progress. However, it was explained, that the contingency areas would be to carry out an insourcing exercise or to continue the service with Serco. As a result, no specific insourcing model had been developed;
- In relation to Ref. No. 009 "*What measurers do Hoople have in place for Business Continuity……….*", the Board was advised that continuity plans had been requested from Hoople hence the MoSCoW rating of S. Officers had reviewed past performance, track record, undertaken testing and read reviews but had not yet seen business continuity plans for other customers. Hoople would, therefore, have the opportunity to build those into the contract over the coming months;
- Ref. No. 013 *"Dialogue with existing customers, including schools………"* – the Board was advised that the Section 151 officer at Rutland County Council had been consulted who confirmed that the approach taken had been supported with best practice and that the whole service was being provisioned on his behalf;
- Ref No. 029 *"The location and proximity of Herefordshire to Lincolnshire for both operational and staffing aspects"* – concern was noted at the ability both to recruit staff, with the required skills, to retain staff and the intention of Hoople to have a physical presence in Lincolnshire. It was explained that there was ongoing dialogue with Hoople in relation to staffing and any opportunity for a local base. It had also been identified that, at least during the transition period, there would be physical representation from Hoople in Lincolnshire;

- It was suggested that the current process for Fire & Rescue payroll was too complex and that this should become more straightforward once certain complications had been removed. Where there were iterations of payments which could be paid through annual payments this would need to be agreed with the Chief Fire Officer and the Fire Brigade Union (FBU);
- Hoople would drive the recruitment process should the contract be awarded to them and, although the authority could insist on assurance that the right level of staff be employed, it would ultimately be the responsibility of Hoople;
- The Board were content at the due diligence undertaken to-date and happy with the layout of the report, especially the inclusion of both RAG ratings and MoSCoW scoring. It was requested that the direction of travel also be included to assure the Board in future that milestones were being reached in each area;
- The Board stressed the need for any concerns to be shared with Members as soon as they arose.

The Chief Commissioning Officer continued to introduce the report and referred Members to the Project Plan on page 17. The intention was to receive the transition plan from Hoople, which was expected on 5 July 2018, and ensure that the plan interlined with the needs and expectations of the Council.

During discussion, the following points were noted:-

- Page 52 of the report noted that any TUPE process may affect a greater number of female employees. It was explained that this view had been reached following the acknowledgement that the make-up of employees was predominantly female. Until it was known how Hoople intended to appoint staff, work would continue closely with unions and existing staff. The Board was advised that there would be a potential for redundancies;
- The risk rating within Appendix 3 was explained to the Board. Although the risk rating was showing as red on certain areas, this was due to the probability being rated quite low but the risk in each area being high;
- There were no anticipated issues for payroll in 2018/19 however this was rated as a risk factor and would be regularly reviewed. Although historical payroll issues were not being considered during this process, officers remained mindful of these issues;
- It was noted that progress with trade unions was currently unclear and the Board requested more information;
- It was also requested that staff focus be included in all future reports;
- This report and presentation had also been considered by the Lincolnshire School's Forum who had made some suggestions in relation to learning/training on the system for teachers. Early links with head teachers had commenced and all head teachers across Lincolnshire had also received the updates circulated to senior managers within the Council;
- The role of Local Partnerships was explained as the company who would carry out external assurance on the programme. Local Partnerships was owned by the Treasury and the Local Government Association and provide commercial and delivery expertise to the public sector. In the field of Assurance, Local Partnerships was the only provider of services accredited by Government to

deliver full OGC Gateway Reviews to Local Government and other local public bodies. Members were referred to the Local Partnerships website which provided more information – http://localpartnerships.org.uk. The Board asked for further information.

The Chairman closed the debate and confirmed that the Board had requested that the direction of travel also be included within future Due Diligence Analyses; that staff focus be included in future reports; and that further information in relation to the Local Partnership be provided.

RESOLVED

That the report and contents be noted and that the requests of the Board be actioned.

17   COMMISSIONING AND COMMERCIALISATION STRATEGIES

Consideration was given to a report by the Executive Director of Finance and Public Protection which invited the Board to consider a report on the Commissioning and Commercialisation Strategies, prior to the consideration by the Executive on 3 July 2018.

Sophie Reeve, Chief Commercial Officer, introduced the report which would ask the Executive to approve the content of the Commissioning Strategies as presented at Appendix B and the Commercialisations Strategy at Appendix D.

The Board considered the report in two sections, the first section taken was Commissioning. It was explained that LCC was a commissioning council and, within the Business Plan, the defined purpose was to include commissioning for outcomes based on the needs of the community.

In 2017, further work was undertaken to simplify commissioning and to review Member involvement so that senior members had early sight of proposed outcomes, services and how they might best be delivered. This work resulted in a 'Minimum requirements for Commissioning Strategies and Plans' which commissioners followed. The document was included in the report at Appendix A and it was further explained that although the strategies and plans had minimum requirements, how they were met was not prescribed.

The Board was asked to note that the Commissioning Strategies for Adult Care and Community Wellbeing; and Public Protection and Communities had not yet been through the scrutiny process.

During discussion, the following points were noted:-

- It was agreed that the Commissioning Highlight Report did not best reflect the performance as it only reported if a target had been achieved or failed. For example, if a target was 70%, it reached 69% but this had improved from the

previous report, it would still be reported as failed. It was agreed that future reports would indicate the direction of travel to give the Board a fuller picture;

- Confirmation was given that quality assurance was fully explored before any contract was awarded. In terms of value for money, the commercial terms of a contract would need to be considered at the same time as the contract itself;

- The intent was to make the process more transparent and inclusive of Members given the increased amount of contracting within the Authority;

- The Commissioning Strategy was a high level document and procurement would be done at a much lower level. It was reported, however, that an amendment clause could be included in the contract to enable flexibility should requirements change;

- A suggestion was made that a summary document, which concisely explained how and why decisions in relation to contracts had been made, be produced. This would then assist Members in the future, following elections, to understand why decisions had been taken. It was agreed that this could be included as part of the wider commercialisation;

- An error was reported on page 82 of the agenda pack. The achievement target for *"Closing the Gap Early Years Foundation Stage Profile"* was 19% but the actual performance was 20% and reported as 'achieved'. In this particular case, a smaller percentage was required, therefore this indicator was 'not achieved';

- The Commissioning Board had also focussed on the outcomes of the strategy work and whether officers had brought forward the correct outcomes for scrutiny.

The introduction continued with the Commercialisation Strategy which set out different categories of commercialisation. Arranged on a continuum, depending on the degree of risk, the activities were:-

- Adopting a commercial mind set and displaying commercial acumen and discipline;
- Being productive in everything we do for ourselves;
- Increased focus on how we buy goods and services including procurement, contract management, shared services arrangements;
- Maximising the return on our assets;
- Covering our costs through charging;
- Trading our services; and
- Investing.

All authorities were in discussions about commercialisation and the relevant drivers. The Board was advised that when the Council first looked at commercialisation there was a considerable information resource from other authorities to draw on. A customer service ethos was specific to Lincolnshire in addition to risk management.

It was proposed to bring an update report back to the Board in six months.

During discussion, the following points were noted:-

- Appendix A appeared to contradict itself in relation to the Energy from Waste (EfW) plant and it was explained that the site had met the efficient and effective approach in relation to use of all the capacity rather than landfill but that the investment asked in relation to finding a market for the heat produced by the plant was yet to be achieved;

- 'Charging for the use of Council procurement frameworks' was also amber and it was asked to what extent the Council was in competition with ESPO. It was explained that ESPO focussed on goods such as stationery and equipment and the Council focussed on services therefore it was a different market place with little, or no, competition;

- *"The Customer Service Ethos is at the heart of everything we do. Our starting point is always to remember that we are a local authority. We have statutory obligations that we must fulfil including to support and safeguard our most vulnerable residents"* was a statement included within the Commercialisation Strategy. The Board supported this statement and asked that it also be included within the Minimum Requirements document of the Commissioning Strategy;

- The Board highlighted the need to strengthen the wording at bullet point 10 of the 'Commercial Model' section of the report to amend the word ' should' to 'must', i.e. *"The contingency arrangements which will be available in the event of provider failure which <u>must</u> be proportionate with the risk and scale of failure"* and *"Commissioners <u>must</u> also make provision for adequate contract management on external arrangements so that transition and contract management on external arrangements;*

- The Board also highlighted the need to ensure that reasonable consideration was given when determining the delivery model for commissioned services, e.g. outsourced or insourced.

The Chairman summarised the discussions and it was agreed that the following comments be passed to the Executive as part of consideration of this item:-

1. The Board supported the following statements included in the report and Commercialisation Strategy – *"the Customer Service Ethos is at the heart of everything we do. Our starting point is always to remember that we are a local authority. We have statutory obligations that we must fulfil including to support and safeguard our most vulnerable residents"*, and requested that this statement also be included as part of the Commissioning Strategy Minimum Requirements Document;

2. The Board highlighted the need to ensure the Commissioning Strategies and Commercialisation Strategy captured organisational learning to ensure lessons learnt were carried forward to ensure future resilience;

3. The Board highlighted the need to strengthen the wording at bullet point 10 of the 'Commercial Model' section of the Commissioning Strategy Minimum Requirements Document and in the final paragraph of the that report to amend the word 'should' to 'must', i.e. *"the contingency arrangements which will be available in the event of provider failure which <u>**must**</u> be proportionate with the risk and scale of failure"* and *"Commissioners <u>**must**</u> also make provision for adequate contract management on external arrangements so that the provider*

can be held to account". This was to ensure provision for adequate transition and contract management on external arrangements; and

4. The Board highlighted the need to ensure that reasonable consideration was given when determining the delivery model for commissioned services, e.g. outsourced or insourced.

RESOLVED

1. That the recommendations to the Executive, as set out in the report, be supported;
2. That the additional comments, as noted above, be presented to the Executive for their consideration; and
3. That an update report be added to the Work Programme of the Board at an appropriate time, to be determined by the Chief Commercial Officer.

18   ACCESS TO THE PUBLIC SECTOR NETWORK

Consideration was given to a report by the Executive Director of Environment and Economy which provided information on the Access to the Public Sector Network, to be considered by the Executive on 3 July 2018.

John Wickens, Chief Digital Officer, introduced the report which set out the options for securing continued access to the Public Sector Network and sought approval to secure such access through an extension to the existing contractual arrangements procured and delivered through the East Midland Public Sector Network companies.

Unless steps were taken to extend existing arrangements the Council would need to take alternative steps to ensure access to the Public Sector Network. Due to the values involved, this would require a procurement process to be undertaken and it was anticipated this would be particularly complex. Specialist legal input would be required to ensure that the resulting contract took account of all communications, regulatory requirements and dealt with the risk associated with the transfer of equipment.

In the medium term, many central Government applications and systems would remain on the PSN network and the Council's preferred model was to secure access to those services, and the Internet, via the same service provider. This was to ensure best value for the broad range of services which the Council required, including webhosting, email services, office collaboration, HR systems and other generic "cloud" service, whilst not becoming reliant on Internet connectivity and associated risks.

It was noted that Lincolnshire schools had been included within the main EMPSN Services contract with KCom and were currently funded centrally via the Dedicated Schools Budget. This had significant advantages in aggregating demand and smoothing the impacts of rurality on prices should schools be left to procure alone. This had been the principle purpose for other councils which was why they did not deem this to be an infrastructure provider.

The Board agreed that the current arrangements offered good value for money and that the proposals included within the report were a good outcome.

RESOLVED

That the recommendations to the Executive, as set out within the report, be supported.

19   REVIEW OF FINANCIAL PERFORMANCE 2017/18

Consideration was given to a report by the Executive Director of Finance and Public Protection which described the Council's financial performance for 2017/18 and made proposals for the carry forward of over and under spending into the current financial year. The report and comments of the Board were to be considered by the Executive on 3 July 2018.

David Forbes, County Finance Officer, introduced the report and highlighted key areas for the Board's attention:-

- Two Key Financial Performance Measures had not been met – Capital Receipts which was £3.97m short of its £8m target; and Internal Control which had one system – payroll – that had received a 'low assurance' rating for the year;
- Over the four commissioning strategies (Readiness for School; Learn and Achieve; Readiness for Adult Life; and Children are Safe and Healthy), Children's Services had underspent by £0.948m;
- Adult Care & Community Wellbeing had underspent by £1.483m;
- There had been an underspend on the corporate provision for the national living wage of £9m as it was possible to meet this cost by using the Better Care Fund (BCF) within adult care. This revenue underspend had been partly offset against the overspend, which was nearly £4m, to fund the shortfall in order to meet the £8m capital receipts;
- The capital outturn for 2017/18 was noted – net capital expenditure was £53.087m which was £26.751m (33.5%) less than planned;
- It was reported that the accounts were to be closed by the end of May this year rather than the end of July 2018;
- It was confirmed that there were no issues in relation to Prudential Indicators;
- The Council had planned to use £8.000m of flexible capital receipts in 2017/18 to fund transformation projects which would generate ongoing revenue savings to the authority. However, this generated £3.970m less receipts than expected which was mainly as a result of the challenges faced when marketing properties. The shortfall in the capital receipts targets needed to be funded from the revenue budget under current legislation regarding the flexible use of capital receipts;
- It was explained that all under and overspendings on service revenue budgets of up to 1% would be carried forward without exception. In line with previous years, Executive Directors had provided details of how they planned to use the 1% carry forward. It was confirmed that Executive Directors had delegated

authority to approve the use of any 1% underspend in conjunction with the relevant Portfolio Holder; and

- It was proposed to add the remaining allocation of £18.665m underspend to the Financial Volatility Reserve. The Council's budget strategy envisaged adding an approximate £20m as part of the 2017/18 outturn finalisation. It was explained that this would mean the financial volatility reserve would be £51m in the current year and current projects of £6.5m to be used to balance the budget and to use £21m in 2019/20 to do the same.

The Chairman thanked officers for a clear and concise report and presentation and invited Members to ask questions, during which the following points were noted:-

- It was suggested that Members of the Board, in their capacity as Scrutiny Chairmen, consider providing an indication to the Executive of financial pressures in their own particular areas;
- Although the winter maintenance budget overspent, the directorate had found the money to replace that from other budgets. However, there would have been an option to deal with that through the revenue budget contingency;
- The total reported as being available in schools was an accumulative figure. Reserves could be drawn down for each school. It was confirmed that there was a policy in place which allowed schools to carry forward up to £30k or 8% (whichever is greater) which allowed them to create some flexibility within their reserves.

The Chairman indicated that he would be abstaining on this item due to his position as Labour Group Leader and that he would be speaking to the item when it was considered at Full Council.

The Board agreed that they accepted the broad proposals set out within the report and agreed not to pass any comments to the Executive in relation to this item. It was also agreed that individual Chairmen would approach respective Portfolio Holders in order to make suggestions to the Executive relating to their own areas.

RESOLVED

That the report and recommendations to the Executive be supported.

At 1.00pm, Councillor C E H Marfleet and Mrs P J Barnett left the meeting and did not return.

20   2017/18 COUNCIL BUSINESS PLAN QUARTER 4

Consideration was given to a report by the Executive Director of Finance and Public Protection on the 2017/18 Council Business Plan Quarter 4 which would also be considered by the Executive on 3 July 2018. The report also presented the Council Business Plan performance indicators which were within the remit of the Board and presented on an annual basis.

Jasmine Sodhi, Performance and Equalities Manager, introduced the report and advised that all 17 commissioning strategies were reported in Quarter 4.

The following four commissioning strategies had performed really well, with all measures reported in Q4 achieved:-

- Children are safe and health;
- Safeguarding adults;
- Sustaining and growing business and the economy; and
- Sustaining and developing prosperity through infrastructure.

The following ten commissioning strategies performed well and all, except one measure, reported in Q4 achieved the target:-

- Adult Frailty, long term conditions and physical disability;
- Community resilience and assets;
- How we effectively target our resources;
- Learn and achieve;
- Readiness for Adult Life;
- Readiness for School;
- Specialist adult services; and
- Wellbeing.

The following three commissioning strategies continued to show mixed performance:-

- Carers;
- Protecting the Public; and
- Protecting and sustaining the environment.

The Board was given a presentation of the infographics and was referred to Appendix 1 A to the report.

Members were invited to ask questions, during which the following points were noted:-

- The report indicated that the contract with the Lincolnshire Research Observatory (LRO) was to come to an end in 2019 and that Wordpress would be the new platform to host the Council Business Plan performance data from Quarter 1 2018/19. One Member expressed concern that this was one of the most widely used platforms in the world and one which was the most widely attacked. Reassurance was sought that the system was secure;
- Page 223 of the report indicated that the Public Services Network connection compliance was non-compliant and assurance was sought that the information presented in the report at minute number 18 of these minutes was full and correct; and
- Page 211 of the report noted that there had been an increase in 'primary fires' during the same period last year. Although this appeared to be a national trend, Members requested that more comparative information be provided.

The Chairman thanked Members for their comments and summarised the comments to be passed to the Executive for their consideration:-

- The Board recommended that appropriate IT security measures were in place in relation to the move of the Performance Data from the Lincolnshire Research Observatory (LRO) to Wordpress from Q1 2018/19. This was due to Wordpress being a worldwide platform and one which had been, reportedly, widely attacked;
- The Board highlighted the increase of 51 primary fires as an area of concern and recommended that this be explored further; and
- The Board highlighted concern in the performance of the Public Services Network connection compliance and highlighted the need for maintaining compliance as part of the new agreement to continue with these arrangements.

RESOLVED

1. That the recommendations to the Executive as set out in the report be supported; and
2. That the comments of the Board, as noted above, be passed to the Executive as part of the consideration of this item.

21   TREASURY MANAGEMENT ANNUAL REPORT 2017/18

Consideration was given to a report by the Executive Director of Finance and Public Protection which detailed the results of the Council's treasury management activities for the financial year 2017/18. The report also compared the activity to the Treasury Management Strategy for 2017/18 which was approved by the Executive Portfolio for Finance on 20 March 2017.

Karen Tonge, Treasury Manager, introduced the report and particularly noted that investment had seen an above average performance given the risk taken. It was explained that the overall credit outlook for banking sector had improved during 2017/18.

No external borrowing had been taken during 2017/18, supported by the fact that long term borrowing rates were lower than at the turn of the year. The level of internal borrowing was at a sustainable level. It was agreed that temporary borrowing to cover liquidity was a sensible approach in the current climate.

Members indicated that they were pleased with the report and complimented the team on outperforming the benchmarking.

RESOLVED

    That the content of the Treasury Management Annual Report 2017/18 be supported.

22   SCRUTINY COMMITTEE WORK PROGRAMMES

The Board considered the work programmes of three scrutiny committees where the following points were noted:-

Environment and Economy Scrutiny Committee

Councillor B M Dobson, Chairman of the Environment and Economy Scrutiny Committee introduced the work programme and highlighted the following items which had been considered by the Committee since the last update to the Board:-

- Team Lincolnshire;
- Rural Broadband Provision;
- Hotel Strategy; and
- Joint Municipal Waste Management Strategy (JMWMS)

Councillor Dobson updated the Board on progress in the following areas:-

- The Middle Rasen Flood Prevention Scheme
  The scheme involved enlargement of the drains to twice the diameter of the current drains in order to prevent flooding of houses in the area. This would quadruple the amount of water being diverted. Following discussion, the Committee had agreed to approve the scheme in principle whilst awaiting the outcome of the public consultation.
- Broadband Provision;
  Since the meeting, the Committee had received an update on the current and future state of superfast broadband coverage. Overall, there was currently 93.5% coverage which was to be extended to 97%. The Committee requested that a letter be sent to MPs who represented poorly served areas to request that they encourage improved connectivity.
- Hotel Investment and Visitor Economy Action Plan;
  It had been noted by the Committee that there were shortages of accommodation in several areas and that investors were considering how to develop boutique type hotels. The Committee felt that District Councils needed to be more involved in identifying land for hotels. The Committee also requested further information on the commercial realities of hotel development to the promotion of the conversion or building of premises to accommodate visitors in a suitable environment by involving Team Lincolnshire to promote the County.

Councillor Dobson continued by highlighting to the Board the following items which would be considered by the Committee in the coming months:-

- Anglian Water's Resources Management Plan
  The Committee would be considering a report in the future on the possibility of creating a large reservoir to meet the future demands of the county. It was proposed that the reservoir be created in the south of the county.
- Greater Lincolnshire Industrial Strategy
  This report would allow the Committee to debate the steps which the Greater Lincolnshire LEP (GLLEP) had taken so far in production of the strategy to

address the 'productivity gap'. The intention would be to identify and promote the Unique Selling Points of the county.

- Exporting
  The Committee was to receive a report on the possibility of Government funding for hosting a Going Global event; engagement with businesses to increase international trade; furthering language training with support for early stage exporters; and access to specialist advisors in food, manufacturing and renewables.

There were no comments or questions from the Board on the work programme for the Environment and Economy Scrutiny Committee.

Highways and Transport Scrutiny Committee

Highways and Transport Scrutiny Committee Member, Councillor Mrs J Brockway, introduced the work programme on behalf of the Chairman of the Highways and Transport Scrutiny Committee. The following reports had been considered since the last update to the Board:-

- Effective Highways Communication;
- Major Road Network;
- Winter Maintenance; and
- Update on Local Bus Matters.

Future planned items of particular note included:-

- Drainage and resurfacing project on Bunkers Hill; and
- Grass cutting on cycle ways.

There were no comments or questions from the Board on the work programme for the Highways and Transport Scrutiny Committee.

Flood and Water Management Scrutiny Committee

Councillor B Adams, Chairman of the Flood and Water Management Scrutiny Committee, introduced the report and confirmed the following items had been considered since the last update to the Board:-

- Anglian Water's Consultation Draft Water Resources Management Plan;
- Review of the Lincolnshire Flood Risk and Water Management Partnership; and
- Saltfleet to Gibraltar Point Strategy Review Consultation.

It was confirmed that the next meeting of the Flood and Water Management Scrutiny Committee would be held on 17 September 2018 where the following items would be considered:-

- Environment Agency Update;
- Investigations undertaken under Section 19 of the Flood and Water Management Act 2010; and

- Humber Estuary Strategy Review Consultation.

There were no comments or questions from the Board on the work programme for the Flood and Water Management Scrutiny Committee.

General discussion resulted in a request to add the revitalisation of the High Street in Lincoln to the work programme of the Environment and Economy Scrutiny Committee.

RESOLVED

That the work programmes and updates in relation to the Environment and Economy Scrutiny Committee, the Highways and Transport Scrutiny Committee and the Flood and Water Management Scrutiny Committee be noted.

23   OVERVIEW AND SCRUTINY MANAGEMENT BOARD WORK PROGRAMME

The Board was provided with an opportunity to consider its own work programme.

The Head of Democratic Services and Statutory Scrutiny Officer confirmed that the next meeting of the Board would be on Thursday 30 August 2018 at 10.00am and that there would be no meeting in July 2018.

It was also reported that the response from Councillor B Young, Executive Councillor for Community Safety and People Management, to the Street Lighting Scrutiny Review would be added to the work programme for the meeting scheduled for September 2018.

During discussion, it was noted that an update on the Future Model for Heritage Services would be considered by the Public Protection and Communities Scrutiny Committee in September 2018 followed by the Executive in October 2018.

RESOLVED

That the Overview and Scrutiny Management Board Work Programme, with the addition noted above, be agreed.

Before closing the meeting, the Chairman advised that Andrea Brown, Democratic Services Officer, would be leaving Lincolnshire County Council at the end of July. He asked the Board to join him in thanking her for her support to both himself and to the Board during her time with Democratic Services.

The meeting closed at 1.50 pm.

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Lincolnshire
COUNTY COUNCIL
Working for a better future

Open Report on behalf of Sophie Reeve, Chief Commercial Officer

Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Performance of the Corporate Support Services Contract**

Summary:

This report provides an update of Serco's performance against contractual Key Performance Indicators specified in the Corporate Support Services Contract between April and June 2018.

The report also provides an update on the progress made against key IMT-related transformation and transactional projects being undertaken by Serco. Appendix A shows the 20 priority projects previously agreed by the Board.

Actions Required:

The Board is asked to:

1. Seek reassurance about the performance of the Corporate Support Services Contract;

2. Review the top 20 priority IMT projects in appendix A;

3. Provide feedback and challenge as required;

4. Discuss whether there is further IMT related information which the Board would like to review.

1. Abbreviations

CSS	Corporate Support Services		
KPI	Key Performance Indicator	**F**	Finance (Exchequer)
TSL	Target Service Level	**ACF**	Adult Care Finance
MSL	Minimum Service Level	**CSC**	Customer Services Centre
IMT	Information Management and Technology	**RAG**	Red/ Amber/ Green
LRSP	Lincolnshire Road Safety Partnership	**CMDB**	Configuration Management Database (list of IMT assets)

2. Background

A purpose of this report is to provide an update on Serco's performance against the contract KPIs between April and June 2018 (months 37 to 39 since the service commencement date 1 April 2015). The performance report is presented in the shortened format previously agreed by the Board.

The report also presents an update on the 20 priority projects previously agreed by the Board (Appendix A).

Additionally, the report presents the full list of current projects for Members of the Overview and Scrutiny Management Board (OSMB) to review (Appendix B) together with further recommendations (Appendix C).

This report no longer includes an overview of the legacy strategic transformation projects; Members agreed at the May 2018 OSMB that these were now superseded by the inclusion of the above Appendices.

3. Performance

Table 1 below provides summary Red/ Amber/ Green (RAG) status of the Key Performance Indicator (KPI) results for the six months of service delivery from January to June 2018.

Red status indicates that Serco's performance against the KPI has failed to meet the Minimum Service Level (MSL). Amber indicates a failure to meet the Target Service Level (TSL) but has achieved MSL. Green indicates that Serco's performance as measured against the KPI has either met or exceeded the TSL as set out under the Corporate Support Services Contract.

Table 1: Overall KPI Summary Performance

Overall (All Services) Contract Performance	Number of KPIs					
	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18
TSL achieved	40	39	36	36	38	32
MSL achieved	0	1	4	2	1	4
Below MSL	0	0	0	0	0	1
Mitigation Agreed	1	1	1	3	2	4
TOTAL	41	41	41	41	41	41

4. Exceptions

Table 2 sets out the KPIs which failed to meet the MSL (Red status) during the review period together with commentary.

Table 2: KPIs which failed to meet MSL, April - June 2018:

KPI Ref No	Short Description	MSL	Actual	Comment, impact, resolution
IMT_KPI_06	Number of Priority 2 Incidents reported to Service Desk	5	Jun = 6	Root cause still to be agreed and resolved through governance.

Table 3 sets out the KPIs which failed to meet the TSL (Amber status) during the review period together with commentary.

Table 3: KPIs which failed to meet TSL, April - June 2018:

KPI Ref No	Short Description	TSL	Actual	Comment, impact, resolution
CSC_KPI_09	% of carers assessments (reviews and new), as completed by the CSC, completed accurately and within 20 Business Days	98.00	May = 95.24	Marginal failure with minimal impact.
IMT_KPI_02	Priority 1 Incidents not Resolved within Resolution Time	1	Apr = 2 Jun = 4	Root cause still to be agreed and resolved through governance.
IMT_KPI_04	Priority 1 VIP Incidents not Resolved within Resolution Time	1	Jun = 2	'LCC has no formal policy re VIP mailbox size' Serco requesting dispensation on this basis. To be reviewed.
IMT_KPI_05	Number of Priority 1 Incidents reported to Service Desk	1	Apr = 3 Jun = 4	Root cause still to be agreed and resolved through governance.
IMT_KPI_10	% of CMDB Changes applied within 14 Core Support Hours of the move or change	100	Jun = 98.93	Marginal failure with minimal impact.

The Council has taken abatement points and calculated service credits in relation to the KPI failures in Tables 2 and 3. However some of those service failures are not agreed by Serco and in that case the lack of agreement is to be resolved through governance. If as a result of that contract governance the Council accepts that there have been no or fewer failures, then the Council will recalculate the service credits to see if Serco is due a rebate.

Table 4 shows the background and rationale for the Council granting mitigation where a dependency outside Serco's control (e.g. implementation of Mosaic)

prevents agreed targets from being fully met. Granting mitigation relieves Serco from the application of Service Credits (deductions).

Table 4: Details of KPI Mitigation Relief, April - June 2018:

KPI Ref No	Short Description	Reason for the granting of Mitigation Relief
ACF_KPI_03 (Apr-Jun)	% of new, and change of circumstance, financial assessments for *non-res* care completed within 15 Business Days of referral from the Council	**Mosaic Implementation -** Mosaic was implemented on 12 December 2016 across adult care, children's services and Serco. There remain a number of process issues which impact on the effective delivery of this function. These are being resolved through regular meetings of Mosaic Implementation team, Serco and adult care staff.
ACF_KPI_04 (Jun)	% of new, and change of circumstance, financial assessments for *residential* care completed within 15 Business Days of referral from the Council	**Mosaic Implementation** – as above.
ACF_KPI_10 (Apr-Jun)	% of the total Adult Care Service Users in any month in receipt of a chargeable service who have an up to date and accurate financial assessment in place which is being used to collect their Adult Care Service User Contribution	**Mosaic Implementation -** this measure requires a single point of reporting. Previously agreed will not be reported against until completion of full integration of system/ data into Mosaic + 3 months.
CSC_KPI_01 (Jun)	% of all Contacts received through Digital Access Channels per month	**Change to Highways portal** – this KPI was temporarily suspended pending the implementation of 'Fix my Street'. It has been re-instated from 1 July 2018.
F_KPI_01 (Apr)	% of Undisputed invoices paid in accordance with vendor terms	**Agresso Upgrade issues –** LCC staff and Serco staff worked together to implement the upgrade changes so one-off mitigation was granted.

5. Abatement Points

Table 5 shows the total number of abatement points the Serco CSS Contract has attracted in each month since contract start. A total of 1000 points is distributed amongst the KPIs, with each KPI generally attracting between 10-50 points. For each KPI a multiplier is applied to any consecutive months where targets are not achieved. For two consecutive months the multiplier is 1.50 and for three or more months, it is 2.00. Abatement Points are used to calculate Service Credits (deductions) from the monthly contract payment. The maximum service credits payable by each service is capped at 10% of the financial volume for that month.

Table 5: Total monthly abatement points since contract start to June 2018
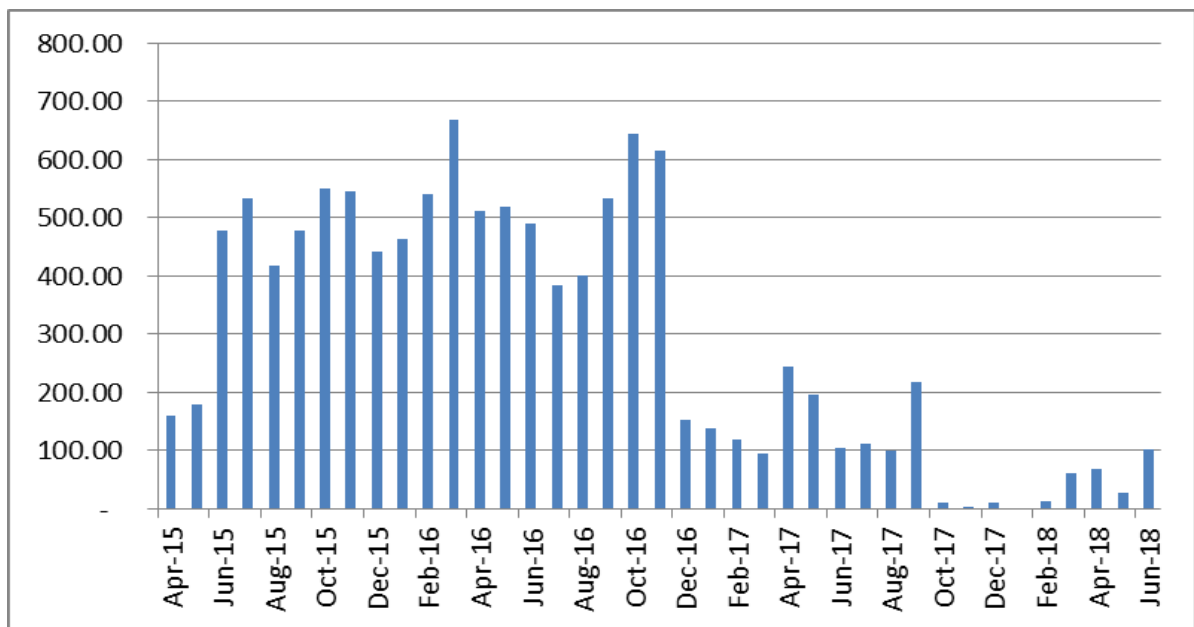
6. KPI Performance Summary April – June 2018

KPI performance across the service areas has generally been very good with the exception of IMT which reached the service credit cap in April and June, although the latter is still subject to resolution process.

7. Current Key Issues - IMT

Serco fix hundreds of faults every month, but the issues listed below have proven to be particularly intractable. Many of these were also highlighted during the recent IMT staff Engagement sessions and the 2017 staff survey.

NB: at present there are strategic deliverables in flight (Projects) which address the fundamental problems with all of these issues, so even if fault finding does not entirely fix the issue its replacement will. The important thing then becomes not building new issues.

1. Email messaging Clients, Delivery and collection

Recent fault finding push may have resulted in improved performance and stability. The system is in observation. Going forward a project is moving all mailboxes to Microsoft 365 Cloud Service in the coming weeks/ months, which will remove much of the old platform.

2. Exchange Active Synch 2010 and Apple IOS incompatibility

Affects original ActiveSynch connected iPads used by some Executive Councillors and a very small number of Officers. If Exchange is improved, these users will be offered an Airwatch managed device which does not suffer from this fault. Root Cause is not fixable by design.

Page 25

3. Phone and Tablet Lockdown

At present it is inconvenient to migrate content and even photos from Airwatch Managed devices. An early Office 365 deliverable is the deployment of the Office 365 apps to LCC Mobile Phones and Tablets. This will allow fully licensed Microsoft Office apps that can edit documents and in addition utilise cloud services such as Notes, OneDrive, Skype and Teams. Sharing of content across LCC will be super convenient.

4. Crown House Performance

IMT are currently establishing the investment required with a view to commissioning the first phase of a Network Refresh project for Crown House subject to the usual approvals and decisions process. Improvements from recently completed work at the Orchard House end of the connection were not as great as hoped for and indicate that additional capacity or fault conditions were concealed behind the bottleneck that was addressed.

Related user frustrations with performance are thought to be related to unsuitable PCs being used with AutoCAD, a resource intensive professional drawing package and IMT are working with the business unit to facilitate them in upgrading that equipment.

5. Confirm Highways Platform Performance

Despite some improvement of the Confirm Platform performance, exacerbated by network performance issues at certain locations, Confirm remains unfit for purpose. Working with the vendor and business owners IMT will commission the re-homing of the platform back to Lincoln. This is dependent on the delivery of another project which is refreshing and downsizing the Virtual hosting and storage at the Lincoln Data Centre. That project delivers Autumn 2018.

NB: This assumes the vendor Pitney Bowes does not at that time have a (performant) cloud hosted solution. In consultation with the business the work is likely to be timed to correspond with a planned major version upgrade to minimise business interruption.

6. Support Desk Service Level

During the recent IMT Staff Engagement Sessions and the 2017 Corporate Staff survey, service users called out dissatisfaction with the service desk waiting times and time to fix, most especially when the service diverted to Serco's Birmingham support desk. It was felt that the quality of the service received was inferior via that route with tickets typically having ultimately to be referred back to the local team.

Serco has and is making a number of adjustments to the support processes culminating in the reduction of the use of the Birmingham Support Centre. In the near future more calls will be handled in Lincoln by the local support team.

The high level of changes being delivered in the technical program and a high number of P1's (Incidents) have also placed the service under prolonged period of stress. As the critical technical program builds out over the coming few months the number of priority incidents should fall and it should be possible to run the forward work plan at a level where the service can succeed in maintaining service levels at the appropriate level.

7. Aging Personal Devices

During the recent IMT Staff Engagement Sessions and the 2017 Corporate Staff Survey, many service users called out dissatisfaction with the age of their devices. This is perhaps heightened by the excellent reception received for those users already upgraded to the new Windows 10 corporate standard notebooks and PCs. The current plan is to take out the last Windows 7 PCs and Notebooks by January 2020 in a rolling phased update, on an oldest first basis, given some Windows 7 Notebooks are only 3 years old.

8. Looking Forward

To date the focus has been on the services delivered by Serco. For the future the Board might want to widen its Scrutiny of IT related issues possibly to:

- incorporate projects delivered by other suppliers;

- consider the work of the member working group led by Councillor Mrs Brockway;

- review how IT will be delivered both through contractors and the Council's internal team to meet the Council's strategic business objectives;

- other matters of importance as identified by the Board and/ or the Chief Executive and the Corporate Management Board.

9. Appendices

These are listed below and attached at the back of the report:	
Appendix A	Top twenty priority IMT projects for review by OSMB
Appendix B	Full list of all IMT projects in progress with Serco
Appendix C	Recommended new projects

10. Background Papers

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

This main body of this report was produced by Arnd Hobohm and Sophie Reeve who can be contacted on 01522 552563 or 01522 552578 respectively. Alternatively, via email at arnd.hobohm@lincolnshire.gov.uk or sophie.reeve@lincolnshire.gov.uk.

The appendices A, B and C were produced by Jane Sickerdich (Serco), John Wickens and Donna Fryer who can be contacted on 01522 553651 or 01522 554926 respectively. Alternatively, via email at john.wickens@lincolnshire.gov.uk or donna.fryer@lincolnshire.gov.uk.

Appendix A

Top Twenty priority IMT Projects in progress with Serco

Introduction:

The following report provides an overview of the 20 Priority Projects agreed on the 28th of May to be reported to OSMB and the IT portfolio in its entirety. This report covers:

- Overview of Project Status Movement since last reporting period
- Summary of RAG (Red, Amber, Green) Status of 20 Priority Projects:
    - Summary of Exceptions
    - Projects in 'Exception'
- Project Dashboards
- Glossary

The full IMT Portfolio is shown at Appendix B.

It can be seen that since the last reporting period 5 of the top 20 priority projects have been cancelled, completed or closed, allowing the Board to select 5 new projects to fill the gap. Recommendations to assist the Board are made at Appendix C.

Overview of Project Status Movement since last reporting period

Overview of Project Status Movement since last reporting period
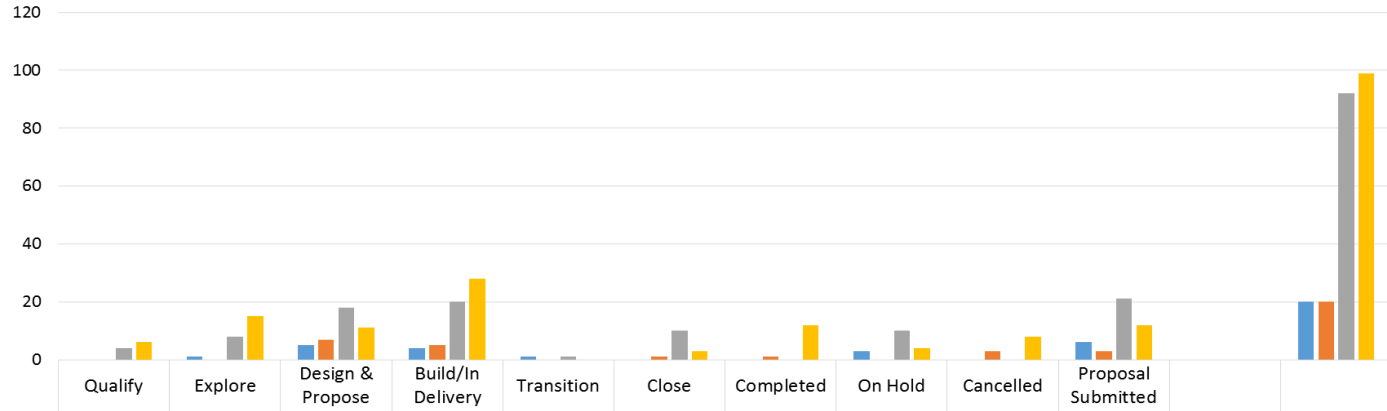
	Qualify	Explore	Design & Propose	Build/In Delivery	Transition	Close	Completed	On Hold	Cancelled	Proposal Submitted		
■ 20 Projects Last reporting period (01 May 2018)		1	5	4	1			3		6		20
■ 20 Projects This reporting period (5 Aug 2018)			7	5		1	1		3	3		20
■ IT Portfolio Last reporting period (01 May 2018)	4	8	18	20	1	10		10		21		92
■ IT Portfolio This reporting period (5 Aug 2018)	6	15	11	28	0	3	12	4	8	12		99

■ 20 Projects Last reporting period (01 May 2018) ■ 20 Projects This reporting period (5 Aug 2018)
■ IT Portfolio Last reporting period (01 May 2018) ■ IT Portfolio This reporting period (5 Aug 2018)

**These projects only include projects commissioned with Serco.

** Not all stages are mandatory/used within a project lifecycle

Summary of RAG (Red, Amber, Green) Status of 20 Priority Projects:

The below table depicts the RAG status of the project timelines of each of the 20 priority projects. Please note that the RAG is against the Time (and not budget or quality criteria). Risks or Issues associated to Budget or Quality criteria are captured and managed through Project RAID-DA Logs (Risks, Assumptions, Issues, Dependencies, Decisions and Actions Logs).

Where a project is Amber or Red, an explanation is also included to support Exception Reporting. For a full overview of each project please section 3: Project Dashboards.

AG Key:

Red	Milestone/Project is behind baseline plan	0
Amber	Milestone/Project has yet to baseline the Project Plan, or where the plan is baselined the plan is at risk	11 (7)
Green	Milestone/Project has a baselined plan and is delivery on target	4 (8)
Complete	Milestone/Project Complete	2
N/a	Project Cancelled	3
Total		20

Summary of Exceptions:

Whilst the above project RAG depicts a large number of Projects that are Amber, the majority of these are due to the projects progressing through a 'stage boundary' (for example from Proposal Submitted to Build/In Delivery). As a result of moving a project through the next phase boundary the Project Plans need to be updated to reflect the next phase activities, tasks and associated timelines. This includes placing orders with third party suppliers and liaison to confirm delivery dates (e.g. hardware orders), securing the resources required for each activity (including Serco, LCC and third party resources), identify

dependencies between activities within the project and also any dependencies outside of the project. Once the Project Manager has updated project plans these are presented to the LCC Project Sponsor/Project Board to review and baseline.

Please note of the above Amber projects:

3 currently have recently progressed through a stage boundary/received information and are having their plans updated for baselining

1 is presenting a risk to the current baselined plan, which is being reviewed and managed within the Project

4 require awaiting additional information in order to complete the plans.

Project ID	Project Name	RAG	Next Milestone Name	Reported Baseline Delivery Date	Forecast Delivery Date	Milestone Commentary	Path to Green	Analysis of Status
IMT-093	Domain Controller Upgrade	AMBER	HLD Approval	TBC	10/08/2018	Project waiting on LCC Sponsor to agree baseline date for current phase	Sponsor to review and agree plan	Amber due to progress through stage boundary
IMT-232A	DMARC Email Compliance	AMBER	Closure Date	TBC	Qtr 3 2018	Project Plan to be baselined in next period	Delivery Plan to be presented and baselined	Amber due to progress through stage boundary
IMT-117	Telephony Enablement (Avaya Upgrade)	AMBER	Low Level Design Approval	TBC	30/08/2018	Initial stage plan delayed following Vodafone late submission of LLD (escalated to Vodafone Account Management). Plan being updated to be presented to next project board	Confirm delivery of LLD from Vodafone and update plan for project board to baseline	Further information required in order to complete plans

IMT-274	Lincoln Retained Infrastructure	AMBER	Environment Ready to Consume	TBC	01/12/2018	Plan to be updated & baselined following approval to proceed to next phase on 25/07/18	Confirm delivery dates for hardware and secure resources to enable plan to be presented to Project Board for baselining	Amber due to progress through stage boundary
IMT-277	OpenText Migration	AMBER	Service Go live	12/11/2018	12/11/2018	LCC Test Manager diverted to other Council Work putting UAT for this project on hold. Impact to Critical path being analysed.	LCC to confirm available of test resources, plan to be impacted and updated for re-baselining	Baseline plan at risk
IMT-324	LFR Avaya 999 solution	AMBER	Serco SOW issued	TBC	21/09/2018	Next stage plan dependant on approval of Vodafone quote for professional services and Vodafone lead times	Confirm status of Vodafone elements of project with Sponsor and lead times	Further information required in order to complete plans
IMT-289	LFR HQ control room move to Nettleham	AMBER	Closure Date	TBC	TBC	Project Manager being assigned following Project coming Off Hold. Proposal to be updated with changes to scope, once updated and approved plan can be baselined	Project to enter into 'scoping phase' to finalise the solution components to enable updated Statement of Works and plan to be presented	Further information required in order to complete plans
REM_IMT_001	MIM (Microsoft Identity Manager)	AMBER	Decision to Proceed	TBC	24/08/2018	If decision to proceed Project initiation Document and Plan to be updated and agreed	Meeting booked with Sponsor to review business case and agree how to proceed.	Further information required in order to complete plans

Glossary:

RAG	Red, Amber, Green. Status applied to assess the 'health' of delivery against Time.
RAID-DA Log	Risks, Assumptions, Issues, Dependencies, Actions & Decisions.
Resilience	The ability for systems to remain operational when failure occurs
Security	The degree to which systems and data are resistant to unauthorised access
Network	A computer network, or data network, is a digital telecommunications network which allows nodes to share resources. In computer networks, computing devices exchange data with each other using connections (data links) between nodes. These data links are established over cable media such as wires or optic cables, or wireless media such as Wi-Fi.
WAN	A wide area network is a telecommunications network or computer network that extends over a large geographical distance/place. Wide area networks are often established with leased telecommunication circuits. Business, education and government entities use wide area networks to relay data to staff, students, clients, buyers, and suppliers from various locations across the world
Data Centre	A data centre is a facility used to house computer systems and associated components, such as telecommunications and storage systems. It generally includes redundant or backup power supplies, redundant data communications connections, environmental controls (e.g. air conditioning, fire suppression) and various security devices
Redundant	Duplication of critical components or functions of a system with the intention of increasing reliability of the system, usually in the form of a backup or fail-safe, or to improve actual system performance
Cloud	Cloud computing is an information technology paradigm that enables access to shared pools of configurable system resources and higher-level services that can be provisioned with minimal management effort, often over the Internet. Cloud computing relies on sharing of resources to achieve coherence and economies of scale, similar to a public utility.
DMARC	Domain-based Message Authentication, Reporting & Conformance", is an email authentication, policy, and reporting protocol.
DKIM	Domain Keys Identified Mail is an email authentication method designed to detect email spoofing. It allows the receiver to check that an email claimed to have come from a specific domain was indeed authorized by the owner of that domain. It is intended to prevent forged sender addresses in emails, a technique often used in phishing and email spam.

Project Dashboards

The following Dashboards provide a summary of the 20 priority projects, including a position update since the last reporting period:

Project ID	IMT-093	Project Sponsor	Andrew Jordan
Project Name:	**Domain Controller Upgrade**	**Project Manager**	Manjit Kaur
Project Status	Proposal Submitted	**Forecast Closure Date**	Qtr 1 2019
Approved Budget	£21,589.00	**Forecast Budget**	TBC following next phase design
Project Description	To upgrade the Operating System and Functional Level of LCCs and LFRs Domain Controllers, which process security authentication requests (logging in, checking permissions etc). Business Outcome: To ensure LCCs and LFRs authentication services are up to date and continue to support LCC users and services to securely access LCC computer resources and facilitate migration to Microsoft Office 365 Citizen Benefit: Uplift in security in the Council's network to ensure privacy etc is maintained.		
Position update	HLD Sent to LCC Sponsor and feedback/approval expected 10/08/18. Following this the stage plan will be baselined.		

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
HLD Approval	TBC	10/08/2018	AMBER	Project waiting on LCC Sponsor to agree baseline date for current phase
Project ID	IMT-096	**Project Sponsor**	John Wickens/ Andrew Jordan	
Project Name:	**Web Access Modernisation Phase 3**	**Project Manager**	Pete Smith	
Project Status	Build/In Delivery	**Forecast Closure Date**	05/11/2018	
Approved Budget	£432,719.08	**Forecast Budget**	£432,719.08	

Project Description	The project will further exploit the capabilities of Zscaler. Business Outcome: Mitigate significant business risk. To further increase the security of the LCC network. Citizen Benefit: Uplift in security in the Council's network to ensure privacy etc is maintained.			
Position update	Project is in the Delivery Phase, continuing the migration of the services to the Cloud based Internet Security Service. An evaluation of Internet Traffic is also being carried out to identity if any improvements can be applied.			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
Phase 3 completion	05/11/2018	05/11/2018	GREEN	On Target

Project ID	IMT-251A	Project Sponsor	John Wickens/ Andrew Jordan
Project Name:	**Lincoln Campus Distribution Network**	Project Manager	Pete Smith
Project Status	4 - Design & Propose	Forecast Closure Date	03/06/2019
Approved Budget	£374,012.75	Forecast Budget	£974,012.75
Project Description	To refresh/replace aged network equipment and increase resilience in the Lincoln Campus communications network. Business Outcome: Mitigate significant business risk. To provide a supportable, more robust network infrastructure to support LCC service areas in delivering their services. Citizen Benefit: Uplift in security in the Council's network to ensure privacy etc is maintained.		

Position update	The Project Initiation Document and quote accepted and PO raised by LCC for end-to-end labour requirements, with a number of follow on quotes planned once the technical designs are complete to enable for the hardware specifications to be confirmed and quoted for. The project plan was updated, following some unanticipated delay in approval to proceed due to LCC Sponsor requiring internal budget approval. The design is being carried out in a number of stages with the pre-requisite Cabling works being the first design approved and the quote has been issued for approval on the 10/08/18. Due to dependencies with the IMT-271 Lincoln Retained Infrastructure project a Request for Change was approved to bring forward the components of this project within the plan in order to enable an earlier build of the Retained Infrastructure.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Firewalls complete	01/10/2018	01/10/2018	GREEN	On Target

Project ID	IMT-232A	Project Sponsor	John Wickens
Project Name:	**DMARC Email Compliance**	Project Manager	Pete Smith
Project Status	Build/In Delivery	Forecast Closure Date	Qtr. 4 2018
Approved Budget	£19,949.00	Forecast Budget	£19,949.00
Project Description	DMARC (Domain-based Message Authentication, Reporting & Conformance), is an email authentication, policy, and reporting protocol. This project will Implement DMARC on Lincolnshire CC's email system to comply with Central Government requirements for secure mail. Business Outcome: To support LCC in the transition away from GCSX secure email, ensuring that staff can continue to send and receive secure email as appropriate. Citizen Benefit: Uplift in security in the Council's network to ensure privacy etc is maintained. Reduce the ability of third parties to generate SPAM email appearing to come from the council.		

Position update	The project was previously on hold awaiting the Symantec implementation of DKIM (Domain Keys Identified Mail) functionality. This functionality has now been made available from Symantec and the project has restarted. The project has received approval to proceed on: • Liaising with and supporting Symantec in the configuration of DKIM for consumption by LCC; • Writing a policy for 3rd party email senders, including if appropriate policies for multiple scenarios; • Contacting 3rd parties and LCC contacts (as agreed) who send as Lincolnshire.gov.uk and assisting them in configuration changes to allow continued email sending. The project plan is being updated and will be presented to the Project Board to be baselined within the next period.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Closure Date	TBC	Qtr. 3 2018	AMBER	Project Plan to be baselined in next period

Project ID	IMT-117	Project Sponsor	John Wickens/ Andrew Jordan
Project Name:	Telephony Enablement (Avaya Upgrade)	Project Manager	Lakhvinder Sandhar
Project Status	4 - Design & Propose	Forecast Closure Date	Qtr. 1 2019
Approved Budget	£103, 484 (excludes Vodafone, LCC procuring Direct)	Forecast Budget	£150,000.00
Project Description	The purpose of the Avaya upgrade project is to upgrade the LCC Avaya fixed corporate & CSC telephone system. Business Outcome: Mitigate significant business risk. To update the current system and improve supportability and provide additional features for the CSC. Citizen Benefit: Call centre leveraged new and improved features to optimise and streamline the call handling service.		

Position update	The Serco Project Team have reviewed the draft Avaya Upgrade Low Level Design and provided feedback to Vodafone, amendments are expected to be issued by 6/08/18 following escalation from Serco's Project Manager to the Vodafone Account Manager. The Avaya Upgrade project has a dependency on IMT - 274 Lincoln Retained Infrastructure, once the Retained Infrastructure Project Plan has been updated and baselined, the plan for this project can be reviewed and issued for base lining with the Project Board. A stage plan has been released to the Sponsor for approval.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Low Level Design Approval	TBC	30/08/2018	AMBER	Initial stage plan delayed following Vodafone late submission of LLD (escalated to Vodafone Account Management). Plan being updated to be presented to next project board

Project ID	IMT-244	Project Sponsor	Andrea Bowes
Project Name:	Zipporah e-commerce replacement	Project Manager	Mark McKinstry
Project Status	12 - Cancelled	Forecast Closure Date	N/a
Approved Budget	N/a	Forecast Budget	N/a
Project Description	To upgrade the online purchasing capability for existing LCC services (e.g. Lincs to the Past). Business Outcome: Mitigate significant business risk. Improved back office efficiency with automated processes and integration to the finance and CSC systems. More efficient allocation of resources and ability to update fees and charge. Citizen Benefit: Continued ability to purchase LCC services online and utilise the access channel.		

Position update	Project Cancelled due to dependency on 'Channel Shift'. A new project was commissioned to continue with a Capita Online Payments and Zipporah Upgrade				
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**	
N/a	N/a	N/a	N/a		

Project ID	IMT-242	Project Sponsor	Andrea Bowes
Project Name:	**Zipporah Booking replacement**	**Project Manager**	Mark McKinstry
Project Status	12 - Cancelled	**Forecast Closure Date**	N/a
Approved Budget	N/a	**Forecast Budget**	N/a

Project Description	To remove the need for Zipporah Booking systems to be used within the Council. All citizen bookings are undertaken with a single supported solution. Business Outcome: Mitigate significant business risk. To provide LCC with a corporate bookings solution to support service areas in taking and managing bookings from members of the public, and internally. Citizen Benefit: Continued ability to make bookings for LCC services and events online.				
Position update	Project Cancelled due to dependency on 'Channel Shift'. A new project was commissioned to continue with a Zipporah Upgrade				
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**	
N/a	N/a	N/a	N/a		

Project ID	IMT-255	Project Sponsor	Andrea Bowes
Project Name:	**Migration to a supported platform for Achieve forms**	**Project Manager**	Sarah Bojko
Project Status	10 - Completed	**Forecast Closure Date**	29/06/2018
Approved Budget	£178,109.00	**Forecast Budget**	£178,109.00
Project Description	Create 60-70 SNAP Surveys, to enable LCC to migrate them off Firm steps old version of Achieve forms before it is decommissioned by the Vendor Business Outcome: Mitigate significant business risk. Staff and citizens are able to continue to access LCC services through electronic forms. Citizen Benefit: Continued ability to access LCC services through electronic forms		
Position update	Project work completed to re-write, test and publish circa 70 online forms used within LCC and by the public. Project Completion Certificate signed on the 4/7/18		

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Phase 2 Closure	29/06/2018	29/06/2018	COMPLETE	

Project ID	IMT-274	Project Sponsor	Andrew Jordan
Project Name:	**Lincoln Retained Infrastructure**	**Project Manager**	Gil Crisp
Project Status	4 - Design & Propose	**Forecast Closure Date**	
Approved Budget	£723,047.44	**Forecast Budget**	£1,338,711.44

Project Description	Refresh of technical infrastructure within Orchard House/Lancaster House data centres for those services not migrated to SunGard Data Centres (for reasons such as latency, resilience against WAN issues, local internet breakout, optimisation of WAN traffic shape). Business Outcome: Mitigate significant business risk. To provide a more robust, efficient technical infrastructure to support LCC service areas in delivering their services. Citizen Benefit: Uplift in security in the Council's network to ensure privacy etc is maintained. Improved uptime for citizen facing web applications.
Position update	Following a number of technical workshops and options the project board decided on an option to progress and two Purchase Orders were received (20/07/18 and 25/07/18) to proceed to the build stage of the project and to raise the Hardware Orders. The Project Team are working on updating the project plan and mapping dependencies to other related projects (e.g. IMT-251 Lincoln Campus Distribution Network, IMT-117 Telephony Enablement) ready to baseline. Due to the budget of this project some delay has been seen to the anticipated timeline whilst the LCC Project Sponsor sought the required approvals. The key risk regarding the obsolescence of the current infrastructure (e.g. the Storage Area Network) being replaced prior to the support agreements expiring is highly probable, once the plan is updated this risk will be re-evaluated.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Environment Ready to Consume	TBC	01/12/2018	AMBER	Plan to be updated & baselined following approval to proceed to next phase on 25/07/18

Project ID	IMT-277	Project Sponsor	John Wickens/Jonathan Tulley
Project Name:	**OpenText Migration**	Project Manager	Lakhvinder Sandhar
Project Status	Build/In Delivery	Forecast Closure Date	07/12/2018
Approved Budget	£563,544.49	Forecast Budget	£563,544.49

Project Description	To support LCC and OpenText in migrating the IMP document management system to the OpenText hosted solution. Business Outcome: Mitigate significant business risk. To provide a robust, better supported platform for IMP (OpenText EDRMS) transferring the hosting and maintenance to OpenText. To enable LCC to later leverage the benefits offered by the OpenText product. Citizen Benefit: The new platform will improve the efficiency with which we can archive and delete data in accordance with corporate policy supporting our GDPR obligations to the citizen
Position update	OpenText pre-production cloud environment is completed, infrastructure connectivity established between LCC environment and the 'cloud'. The project has experienced some slippage due to third party technical issues, which have now been resolved. The plan has been re-baselined with the Project Sponsor. Systems (technical Testing) and User Acceptance Testing phase on the project was planned, however, the LCC Test Manager has been prioritised by LCC on other work and testing is currently on hold. Critical path activity has been put on hold by LCC, whilst some work continues around System Testing and planning, the project timeline is at risk. The Project Manager has asked for clarification on the period of delay in order to impact the timeline, in order to impact the timeline and review the potential use of the contingency allocation.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Service Go live	12/11/2018	12/11/2018	AMBER	LCC Test Manager diverted to other Council Work putting UAT for this project on hold. Impact to Critical path being analysed.

Project ID	IMT-323	Project Sponsor	Fiona Railton
Project Name:	**X2 Deployment Children Services Frontline Teams**	**Project Manager**	Dominic Jones
Project Status	Build/In Delivery	**Forecast Closure Date**	Qtr. 4 2018
Approved Budget	£1,147,766.62	**Forecast Budget**	£1,147,766.62
Project Description	Provide the frontline Children's Services staff with the tools to enable them to access key systems while they are out in the field. Business Outcome: Staff able to work more efficiently, and on the move, thus increasing productivity. Provides improved remote access via tablet devices to front line staff. Citizen Benefit: Increased service users contact time and better safe guarding capabilities as improved access to Real Time information.		
Position update	The Project Initiation Document was approved on the 28th of June (PO received 3/07/18 to enable hardware to be procured). The hardware has been ordered and arrived at the Hatfield Facility (Serco's Hardware Partner) on the 31/07/2018 ready for pre-build works to commence (e.g. asset tagging and 'Dead on Arrival' testing). Project Plan has been updated with details of the rollout schedule and was presented to the Project Board on the 3/08/18, Sponsor Confirmed plan can be baselined on 10/08/18. The first deployment clinic is scheduled for the 20/08/18		

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
End user deployment commencement	01/10/2018	20/08/2018	Green	

Project ID	IMT-341	Project Sponsor	Theo Jarratt
Project Name:	**Adult Services SIM enabled laptops**	**Project Manager**	Dominic Jones
Project Status	Build/In Delivery	**Forecast Closure Date**	02/11/2018
Approved Budget	£597,069.74	**Forecast Budget**	£597,069.74

Project Description	To provide the Adults Services staff with sim enabled laptops to enable them to access key systems while they are out in the field. Business Outcome: Adults Services staff provided with new technology which aids their ability to work more efficiently, and on the move, increasing productivity. Provides improved remote access laptop devices to front line staff. Citizen Benefit: Increased service users contact time and better safe guarding capabilities as improved access to Real Time information.
Position update	The rollout of Adults laptops has progressed with over 280 devices deployed to staff in scope. The scope has been increased via an approved change control to procure and deploy a further 78 devices, increasing the total devices to 378. The plan was updated and re-baselined following the additional scope inclusion.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
End user deployment completion	01/10/2018	27/08/2018	GREEN	

Project ID	IMT-324	Project Sponsor	Steve Wright
Project Name:	**LFR Avaya 999 solution**	Project Manager	Lakhvinder Sandhar
Project Status	4 - Design and Propose	Forecast Closure Date	Qtr. 4 2018
Approved Budget	£27,559.74	Forecast Budget	TBC following next phase design
Project Description	Provide detailed plans for a replacement of LFR's telephone system. Provide an integration of LFR's telephony system to the LCC Corporate telephony system Business Outcome: A robust, modern and supported telephony system that is reliable for LFR HQ and failover 999 services. Integration of LFR's telephony system to the ECHCRC telephony system (which may see a further benefit of reduction of telephony charges). Citizen Benefit: Citizen safety is maintained during technical fault conditions		

Position update	Vodafone have provided LCC a quote for the implementation works following the requirements definition phase. Upon approval to proceed from LCC the Serco Project Manager can work with Vodafone to produce the Serco proposal to support the technical work and create an implementation plan.

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
Serco PID issued	TBC	21/09/2018	AMBER	Next stage plan dependant on approval of Vodafone quote for professional services and Vodafone lead times

Project ID	REM_CSC_002	Project Sponsor	Andrea Bowes
Project Name:	**Channel Shift**	Project Manager	Pat Barrett
Project Status	12 - Cancelled	Forecast Closure Date	N/a
Approved Budget	N/a	Forecast Budget	N/a
Project Description	The Channel Shift Project is made up of 6 sub projects: Highways Fault Reporting/GIS Payment Gateway Registrars (Celebratory Services) Driver Training Highways Licensing Authentication & Verification Business Outcome: Improved customer experience with 24/7 access to an easy to use self-serve portal along with access to accurate information. Improved back office efficiency and service management through automated processes, integration with other systems (e.g. finance and CSC) service administration and management information. Citizen Benefit: Continued ability to purchase/book LCC services online and utilise the access channel.		

Position update	Project Cancelled. Subsequent projects being reviewed by LCC, Highways Fault Reporting project commissioned to utilise Fix My Street			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
N/a	N/a	N/a	N/a	

Project ID	TRM_IMT_001		**Project Sponsor**	John Wickens/ Donna Fryer
Project Name:	**Data Centre Relocation**		**Project Manager**	Gil Crisp
Project Status	Close		**Forecast Closure Date**	17/05/2018
Approved Budget	Transformation		**Forecast Budget**	Transformation
Project Description	To relocate LCC applications to SunGard. Business Outcome: Mitigate significant business risk. Maintaining and improving resilience in the event of system failure/ disaster. Citizen Benefit: Improved service availability for a wide range of council services			
Position update	The Milestone Certificate was approved on the 29th of May to close the project.			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
Closure Date	TBC	17/05/2018	COMPLETE	0

Project ID	IMT-165	Project Sponsor	John O'Connor
Project Name:	**Going to Schools Experience – Edica Replacement**	Project Manager	Manjit Kaur
Project Status	Proposal Submitted	Forecast Closure Date	
Approved Budget	£565,549.17	Forecast Budget	£565,549.17
Project Description	Replacement of Children's Services system Edica – used by parents for schools admissions. Business Outcome: Mitigate significant business risk. Functionality will be sustained (this will be a direct replacement for existing software which is no longer available). Citizen Benefit: Improved service availability for Going to Schools services		
Position update	The project plan was reviewed at t to the Project Board on 26-07-2018 and has been baselined. The first module (admissions) is scheduled for a Go Live on the 3rd September 2018. The 2nd Module (Free School Meals) is scheduled to Go Live 4th September. The Data Interface Document and Design Supplement signed off by Project Sponsor on 27th July.		

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
First Module (Admissions) Go Live	04/09/2018	04/09/2018	GREEN	

Project ID	IMT-221	Project Sponsor	Steve Wright
Project Name:	**Sleaford LFR new build**	Project Manager	Dave Betts
Project Status	Proposal Submitted	Forecast Closure Date	Qtr. 4 2018
Approved Budget	£159,484.95	Forecast Budget	£159,484.95

Project Description	Sleaford Fire Station will be a new purpose built fire station with accommodation for LFR and LCC staff, in total around 130 staff. Business Outcome: To provide the technical infrastructure and capability to support LFR in occupying the new Sleaford LFR station. Citizen Benefit: Indirect			
Position update	The project received approval of the next phase Statement Of Works on the 01/08/2018, this secured the provisional resource booked to enable technical work start week commencing the 06-08-2018 to install new mobilisation PC and cabling of desk for the next intake of LCC staff occupancy.			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
Closure Date	05/10/2018	21/09/2018	GREEN	

Project ID	IMT-289	Project Sponsor	Pete Moore
Project Name:	**LFR HQ control room move to Nettleham**	**Project Manager**	TBC
Project Status	Proposal submitted	**Forecast Closure Date**	Qtr. 4 2018
Approved Budget	£31,607.37	**Forecast Budget**	TBC following next phase design
Project Description	LFR Control room moved to Nettleham and fully tested with all services live and working as expected. Business Outcome: To support LFR in realising their strategic plans for relocation. Citizen Benefit: Indirect		

Position update	A proposal to support the move of HQ control room to Nettleham was submitted to the Project Sponsor in March. The sponsor had a number of queries that were reviewed and discussed with the Serco Portfolio Manager. LCC commissioned an update to the proposal on the 23/07 and a Project Manager is being resourced to progress this project. The proposal will be updated and re-submitted in the next period.			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
Closure Date	TBC	31/08/2018	AMBER	Project Manager being assigned following Project coming Off Hold. Proposal to be updated with changes to scope, once updated and approved plan can be baselined

Project ID	IMT-329	Project Sponsor	John Wickens
Project Name:	**Office 365 configuration**	**Project Manager**	Pete Smith
Project Status	4 - Design & Propose	**Forecast Closure Date**	Qtr. 4 2018
Approved Budget	£67,742.50	**Forecast Budget**	Dependant on Phase 1 Options Analysis
Project Description	Migration to Office 365, which is a cloud-based subscription service that brings together the best tools for the way people work today. By combining best-in-class apps with powerful cloud services, Office 365 lets anyone create and collaborate anywhere on any device. Business Outcome: To modernise the LCC estate to harness the features available through Microsoft 365. Citizen Benefit: Indirect		

Position update	Phase 1 SOW approved to start analysis of the requirements, options and individual High Level Designs for consuming Microsoft Office 365 capabilities. The investigation in underway with the following: - High Level Designs (HLD) for Core Connectivity have been presented and agreed. The technical implementation phase is now being progressed to enable seamless access to the Microsoft Office 365. Suite. - Skype for Business HLD has been approved. This will be incorporated into a Proof Of Concept. - Intune (mobile Device Management) proposals have been presented and waiting approval. - Proof of Concept being scoped for deployment of the approved HLD's components to date (i.e. Skype for Business, Intune)

Next Milestone Name	Baseline Delivery Date	Forecast/Actual Delivery Date	RAG	Milestone Commentary
HLD's for POC/Pilot group options agreed	17/08/2018	17/08/2018	GREEN	

Project ID	REM_IMT_001	Project Sponsor	John Wickens/ Jonathon Tulley
Project Name:	MIM (Microsoft Identity Manager)	Project Manager	Carol Wood
Project Status	4 - Design & Propose	Forecast Closure Date	Qtr. 1 2019
Approved Budget	Transformation	Forecast Budget	Transformation
Project Description	Identity Management – including management of access to the right systems and network services for starters, movers and leavers. Business Outcomes: Ensuring the correct staff have the right level of access to systems and networks for their current role. Provide security and efficiency improvements. Citizen Benefit: Indirect		

Position update	Meeting held with Sponsor to review value of the remaining business case. Key deliverable of Password Reset is complete, value of future deliverables and risk profile being evaluated to determine next steps.			
Next Milestone Name	**Baseline Delivery Date**	**Forecast/Actual Delivery Date**	**RAG**	**Milestone Commentary**
Decision to Proceed	TBC	24/08/2018	AMBER	If decision to proceed Project Initiation Document and Plan to be updated and agreed

Appendix B

The below table represents all projects assigned to the categories of Lifecycle Management and New Capability as at 16-08-18. Please note those Project ID's annotated with ** are included in the list of 20 above.

Project ID	Project Name	Project Description/Business Outcome	Project Status	Executive Summary	Categorisation (Members)
IMT-093 **	Domain Controller upgrade	To upgrade the Operating System and Functional Level of LCCs and LFRs Domain Controllers, which process security authentication requests (logging in, checking permissions etc). Business Outcome: To ensure LCCs and LFRs authentication services are up to date and continue to support LCC users and services to securely access LCC computer resources and facilitate migration to Microsoft Office 365 Citizen Benefit: Uplift in security in the councils network to ensure privacy etc is maintained.	Proposal Submitted	HLD Sent to LCC Sponsor and feedback/approval expected 10/08/18. Following this the stage plan will be baselined.	Lifecycle Management

IMT-096 **	Web Access Modernisation Phase 3	The project will further exploit the capabilities of Zscaler. Business Outcome: Mitigate significant business risk. To further increase the security of the LCC network. Citizen Benefit: Uplift in security in the council's network to ensure privacy etc is maintained.	6 - Implement	Project is in the Delivery Phase, continuing the migration of the services to the Cloud based Internet Security Service. An evaluation of Internet Traffic is also being carried out to identity if any improvements can be applied.	Lifecycle Management
IMT-117 **	Telephony enablement (Avaya upgrade)	The purpose of the Avaya upgrade project is to upgrade the LCC Avaya fixed corporate & CSC telephone system. Business Outcome: Mitigate significant business risk. To update the current system and improve supportability and provide additional features for the CSC. Citizen Benefit: Call centre leveraged new and improved features to optimise and streamline the call handling service.	4 - Design & Propose	The Serco Project Team have reviewed the draft Avaya Upgrade Low Level Design and provided feedback to Vodafone, amendments are expected to be issued by 6/08/18 following escalation from Serco's Project Manager to the Vodafone Account Manager. The Avaya Upgrade project has a dependency on IMT - 274 Lincoln Retained Infrastructure, once the Retained Infrastructure Project Plan has been updated and baselined, the plan for this project can be reviewed and issued for base lining with the Project Board.	Lifecycle Management

IMT-165 **	Going to Schools Experience - Edica Replacement	Replacement of Children's Services system Edica – used by parents for schools admissions. Business Outcome: Mitigate significant business risk. Functionality will be sustained (this will be a direct replacement for existing software which is no longer available). Citizen Benefit: Improved service availability for Going to Schools services	6 - Implement	07/08/2018 - The project plan was reviewed at t to the Project Board on 26-07-2018 and has been baselined. The first module (admissions) is scheduled for a Go Live on the 3rd September 2018. The 2nd Module (Free School Meals) is scheduled to Go Live 4th September. The Data Interface Document and Design Supplement signed off by Project Sponsor on 27th July.	Lifecycle Management
IMT-220	Konica Minolta Deployment Assistance	Assistance from Serco to install the replacement printers and the print management solution DocuPro. Business Outcome: Provides 'follow me' printing capability to aid staff working in different locations, and reduces unnecessary printing which is not collected. Citizen Benefit: Indirect	6 - Implement	07/08/18 - MFD rollout schedule for remaining devices to be defined with Konica for the final stage of deployment. Support model meeting to be scheduled with IMT, Project Sponsor and Serco colleagues to agree approach.	Lifecycle Management

| IMT-221 ** | Sleaford LFR new build | Sleaford Fire Station will be a new purpose built fire station with accommodation for LFR and LCC staff, in total around 130 staff.

Business Outcome: To provide the technical infrastructure and capability to support LFR in occupying the new Sleaford LFR station.

Citizen Benefit: Indirect | 6 - Implement | 08/08/2018 - The project received approval of the next phase Statement Of Works on the 01/08/2018, this secured the provisional resource booked to enable technical work start week commencing the 06-08-2018 to install new mobilisation PC and cabling of desk for the next intake of LCC staff occupancy. | New Capability |

IMT-232A	DMARC Email Compliance (DKIM)	Implement DMARC on Lincolnshire CC's email system to comply with Central Government requirements for secure mail. Business Outcome: To support LCC in the transition away from GCSX secure email, ensuring that staff can continue to send and receive secure email as appropriate. Citizen Benefit: Uplift in security in the council's network to ensure privacy etc is maintained. Reduce the ability of third parties to generate SPAM email appearing to come from the council.	6 - Implement	08/08/18 The project was previously on hold awaiting the Symantec implementation of DKIM (Domain Keys Identified Mail) functionality. This functionality has now been made available from Symantec and the project has restarted. The project has received approval to proceed on: • Liaising with and supporting Symantec in the configuration of DKIM for consumption by LCC; • Writing a policy for 3rd party email senders, including if appropriate policies for multiple scenarios; • Contacting 3rd parties and LCC contacts (as agreed) who send as Lincolnshire.gov.uk and assisting them in configuration changes to allow continued email sending. The project plan is being updated and will be presented to the Project Board to be baselined within the next period.	Lifecycle Management

IMT-251A	Lincoln Campus Distribution Network	To refresh/replace aged network equipment and increase resilience in the Lincoln Campus communications network. Business Outcome: Mitigate significant business risk. To provide a supportable, more robust network infrastructure to support LCC service areas in delivering their services. Citizen Benefit: Uplift in security in the council's network to ensure privacy etc is maintained.	4 - Design & Propose	13/08/18 - The Project Initiation Document and quote accepted and PO raised by LCC for end-to-end labour requirements, with a number of follow on quotes planned once the technical designs are complete to enable for the hardware specifications to be confirmed and quoted for. The project plan was updated, following some unanticipated delay in approval to proceed due to LCC Sponsor requiring internal budget approval. The design is being carried out in a number of stages with the pre-requisite Cabling works being the first design approved and the quote has been issued for approval on the 10/08/18. Due to dependencies with the IMT-271 Lincoln Retained Infrastructure project a Request for Change was approved to bring forward the components of this project within the plan in order to enable an earlier build of the Retained Infrastructure.	Lifecycle Management

IMT-272	BCP Gap analysis	Identification of areas of weakness within BCP plans in regards to IT provision. Business Outcome: To support LCC in ensuring its capability for Business Continuity scenarios. Citizen Benefit: Indirect	6 - Implement	Risk Register issued to Sponsor, sign-off is pending. Project Manager to request project closure approval.	Lifecycle Management
IMT-273	CEC Gap analysis	Identification of areas of weakness within the IT provision in the event of the County Emergency Centre being used in an emergency situation. Business Outcome: To support LCC in ensuring its capability for Business Continuity scenarios. Citizen Benefit: Indirect	4 - Design & Propose	9-8-18 Requirements Document updated 25-7-18 following LCC confirmation of changes. Site visit being arranged to understand available options for revised quotes	Lifecycle Management

| IMT-274 ** | Lincoln retained infrastructure | Refresh of technical infrastructure within Orchard House/Lancaster House data centres for those services not migrated to SunGard Data Centres (for reasons such as latency, resilience against WAN issues, local internet breakout, optimisation of WAN traffic shape).

Business Outcome: Mitigate significant business risk. To provide a more robust, efficient technical infrastructure to support LCC service areas in delivering their services.

Citizen Benefit: Uplift in security in the council's network to ensure privacy etc is maintained. Improved uptime for citizen facing web applications. | 4 - Design & Propose | 07/07/18 Following a number of technical workshops and options the project board decided on an option to progress and two Purchase Orders were received (20/07/18 and 25/07/18) to proceed to the build stage of the project and to raise the Hardware Orders. The Project Team are working on updating the project plan and mapping dependencies to other related projects (e.g. IMT-251 Lincoln Campus Distribution Network, IMT-117 Telephony Enablement) ready to baseline.

The key risk regarding the obsolescence of the current infrastructure (e.g. the Storage Area Network) being replaced prior to the support agreements expiring is highly probable, once the plan is updated this risk will be re-evaluated. | Lifecycle Management |

| IMT-277 ** | Opentext migration | To support LCC and OpenText in migrating the IMP document management system to the OpenText hosted solution.

Business Outcome: Mitigate significant business risk. To provide a robust, better supported platform for IMP (OpenText EDRMS) transferring the hosting and maintenance to OpenText. To enable LCC to later leverage the benefits offered by the OpenText product.

Citizen Benefit: The new platform will improve the efficiency with which we can archive and delete data in accordance with corporate policy supporting our GDPR obligations to the citizen | 5 - Build | 08/08/18 OpenText pre-production cloud environment is completed, infrastructure connectivity established between LCC environment and the 'cloud'. The project has experienced some slippage due to third party technical issues, which have now been resolved. The plan has been re-baselined with the Project Sponsor.

Systems (technical Testing) and User Acceptance Testing phase on the project was planned, however, the LCC Test Manager has been prioritised by LCC on other work and testing is currently on hold. Critical path activity has been put on hold by LCC, whilst some work continues around System Testing and planning, the project timeline is at risk. The Project Manager has asked for clarification on the period of delay in order to impact the timeline, in order to impact the timeline and review the potential use of the contingency allocation. | Lifecycle Management |

| IMT-279 | UPS replacement in Orchard House machine room | A plan and implementation is required to remove reliance on the failing rack UPS's that are used in the LCC machine room for power distribution.

Business Outcome: Mitigate significant business risk. To provide a more robust, efficient network infrastructure to support LCC service areas in delivering their services.

Citizen Benefit: Indirect | 5 - Build | On site investigation work carried out and presented to Project Sponsor to make decision on next phase. | Lifecycle Management |
|---|---|---|---|---|---|
| IMT-289 ** | LFR HQ Control room move to Nettleham | LFR Control room moved to Nettleham and fully tested with all services live and working as expected.

Business Outcome: To support LFR in realising their strategic plans for relocation.

Citizen Benefit: Indirect | 4 - Design & Propose | 08/08/2018 - A proposal to support the move of HQ control room to Nettleham was submitted to the Project Sponsor in March. The sponsor had a number of queries that were reviewed and discussed with the Serco Portfolio Manager. LCC commissioned an update to the proposal on the 23/07 and a Project Manager is being resourced to progress this project. The proposal will be updated and re-submitted in the next period. | New Capability |

| IMT-294 | SSID for Airwatch managed devices | To create a dedicated Wi-Fi SSID for Airwatch managed devices, which is scaled to meet the anticipated demands. To migrate all LCC Airwatch managed devices from LCC-Internet to the new SSID.
Business Outcome: To improve Wi-Fi access for Airwatch managed devices, removing the issues experienced when the currently used SSID password is periodically changed.

Citizen Benefit: Indirect | 6 - Implement | 08/08/2018 - Analysis of SSID usage carried out and provided to Project Sponsor on 13/07/18. Approval to proceed required for deletion of redundant SSIDs. Once received deliverables can be planned and baselined. | New Capability |

| IMT-303 | EDW Data population - Agresso | A set of Agresso records are required (people management; e-recruiter; financial data) to regularly populate the LCC Enterprise Data Warehouse (EDW) to provide LCC people management and P card reporting.

Business Outcome: To provide flexible LCC people management and financial reporting which is accessible through the LCC. Business Intelligence (BI) portal which allows additional analysis easily and quickly through self-service tools. This will also be a key data source in providing data to Adult Services more easily for their annual statutory return on staffing

Citizen Benefit: Indirect | 11 - On Hold | Clarity requested from Project Sponsor on relative priority of project. Sponsor to approach Helen Edwards in the Council. Still pending as of 02-07-18. | New Capability |

IMT-315	Implement Attachit for SNAP surveys	Provide LCC but more specifically the Children's Performance Team with the ability to attach documents to SNAP Surveys for Statutory returns. Business Outcome: Enable the SNAP application usage to be increased as a result of the additional functionality. Citizen Benefit: Indirect	Proposal Submitted	30/7/18 Approval to proceed received from Sponsor on 26/07/18. Project Manager being assigned and plan to be updated and baselined within next period.	Lifecycle Management
IMT-323 **	X2 Deployment CS Frontline Teams	Provide the frontline Children's Services staff with the tools to enable them to access key systems while they are out in the field. Business Outcome: Staff able to work more efficiently, and on the move, thus increasing productivity. Provides improved remote access via tablet devices to front line staff. Citizen Benefit: Increased service users contact time and better safe guarding capabilities as improved access to Real Time information	6 - Implement	The Project Initiation Document was approved on the 28th of June (PO received 3/07/18 to enable hardware to be procured). The hardware has been ordered and arrived at the Hatfield Facility (Serco's Hardware Partner) on the 31/07/2018 ready for pre-build works to commence (e.g. asset tagging and 'Dead on Arrival' testing). Project Plan has been updated with details of the rollout schedule and was presented to the Project Board on the 3/08/18, Sponsor Confirmed plan can be baselined on 10/08/18. The first deployment clinic is scheduled for the 20/08/18	Lifecycle Management

IMT-324 **	LFR Avaya 999 solution	Provide detailed plans for a replacement of LFR's telephone system. Provide an integration of LFR's telephony system to the LCC Corporate telephony system Business Outcome: A robust, modern and supported telephony system that is reliable for LFR HQ and failover 999 services. Integration of LFR's telephony system to the ECHCRC telephony system (which may see a further benefit of reduction of telephony charges). Citizen Benefit: Citizen safety is maintained during technical fault conditions	4 - Design & Propose	08/08/18 Vodafone have provided LCC a quote for the implementation works following the requirements definition phase. Upon approval to proceed from LCC the Serco Project Manager can work with Vodafone to produce the Serco proposal to support the technical work and create an implementation plan.	Lifecycle Management
IMT-325	WAP's for LFR Nettleham HQ	To provide wifi coverage for the LFR Nettleham headquarters. (related to IMT-217) Business Outcome: Enable LFR staff at Nettleham HQ to access the LCC network via Wi-Fi and thus work more efficiently. Citizen Benefit: Indirect	9 - Close	IMT-325 Project Closure Certificate to be raised for work done to date. Additional requirements to be reviewed under new IMT Reference (IMT-369-1807).	Lifecycle Management

| IMT-329 ** | Office 365 configuration | Migration to Office 365, which is a cloud-based subscription service that brings together the best tools for the way people work today. By combining best-in-class apps with powerful cloud services, Office 365 lets anyone create and collaborate anywhere on any device.

Business Outcome: To modernise the LCC estate to harness the features available through Microsoft 365.

Citizen Benefit: Indirect | 4 - Design & Propose | Phase 1 SOW approved to start analysis of the requirements, options and individual High Level Designs for consuming Microsoft Office 365 capabilities. The investigation in underway with the following:

 - High Level Designs (HLD) for Core Connectivity have been presented and agreed. The technical implementation phase is now being progressed to enable seamless access to the Microsoft Office 365. Suite.
 - Skype for Business HLD has been approved. This will be incorporated into a Proof Of Concept.
 - Intune (mobile Device Management) proposals have been presented and waiting approval.
 - Proof of Concept being scoped for deployment of the approved HLD's components to date (i.e. Skype for Business, Intune) | New Capability |

IMT-334	Swap out WAP's 2018	To meet the medium term operational availability requirements of the PN and Corporate Wireless solutions and avoid the time out of WAP's used within the PN wireless solution. Business Outcome: To ensure that LCC staff can continue to access the LCC Wi-Fi networks to support their working. Citizen Benefit: Indirect	Proposal Submitted	07/08/18 Revised Proposal issued 1st August and is pending IMT Delivery approval.	Lifecycle Management
IMT-341 **	Adult Services sim enabled laptops	To provide the Adults Services staff with sim enabled laptops to enable them to access key systems while they are out in the field. Business Outcome: Adults Services staff provided with new technology which aids their ability to work more efficiently, and on the move, increasing productivity. Provides improved remote access laptop devices to front line staff. Citizen Benefit: Increased service users contact time and better safe guarding capabilities as improved access to Real Time information.	6 - Implement	08/08/18 The rollout of Adults laptops has progressed with over 280 devices deployed to staff in scope. The scope has been increased via an approved change control to procure and deploy a further 78 devices, increasing the total devices to 378. The plan was updated and re-baselined following the additional scope inclusion.	Lifecycle Management

IMT-345	PSN 2018	We require a PM to chair the PSN 2018 Working Group and coordinate members of that group ensuring that the actions, dependencies, risks and issues highlighted by members of the group are progressed quickly and effectively. Business Outcome: LCC regain PSN compliance. Citizen Benefit: Indirect	3 - Define	9/8/18 PID and Quote sent to Project Sponsor on the 3-8-18 and approved on the 8-8-18.	Lifecycle Management
IMT-347-1804	Confirm upgrade - BAU coordination	To provide coordination to support the routine upgrade of the Confirm software to enable the new functionality in Confirm to be used. Business Outcome: Ability for LCC to leverage the benefits of the new features in the upgraded software. Citizen Benefit: Indirect	4 - Design & Propose	SoW Sent to LCC IMT on 25/05. Feedback has been provided and is being reviewed by LCC.	Lifecycle Management

IMT-350-1804	Hydra remediation	To clone and test if an In Place Upgrade can be executed and that the software Hydra Platform operates as expected afterwards. If successful the real migration from the old platform to an upgraded one can take place Business Outcome: To remove Windows 2003 server from the LCC estate, required to meet PSN compliance. Citizen Benefit: Indirect	0 - In Scoping	Project in scoping phase to plan the required tests of the Hydra system.	Lifecycle Management
IMT-351-1804	Aspire remediation	To clone and test if an In Place Upgrade can be executed and that the software Aspire operates as expected afterwards. If successful the real migration from the old platform to an upgraded one can take place Business Outcome: To remove Windows 2003 server from the LCC estate, required to meet PSN compliance. Citizen Benefit: Indirect	0 - In Scoping	Project in scoping phase to plan the required tests of the Aspire system.	Lifecycle Management

IMT-358-1805	Capita + Zipporah upgrade	To provide support to Capita and Zipporah whilst they upgrade the systems. Business Outcome: To bring the solutions to the latest version of the software. Citizen Impact: Indirect	5 - Build	08/08/2018 - Capita attended site on 24-07-2018 and 25-07-2018 to install applications. Unfortunately testing cannot commence due to issue with output file from the AIM system which was discovered during installation. The issue is caused as the system is moving several versions at once due to lack of previous upgrades. Capita investigating.	Lifecycle Management
IMT-361-1805	Azure site to site	The project will put in place the necessary connectivity between Lincolnshire County Council and Microsoft Azure to initially enable the Enterprise Data Warehouse Team to build, deploy and manage workloads in the Microsoft Cloud. Business Outcome: Increased business agility with the ability to build, deploy and manage services in the Microsoft Cloud Citizen Impact: There is no direct citizen benefit to the implementation of the Site to Site VPN, but is rather a prerequisite to enable the migration of services into the Microsoft Cloud which in turn will provide a more robust, secure and cost effective platform supporting citizen services which will directly benefit citizens.	A - In Scoping	08/08/2018. Delivery resources secured from Serco, plan being finalised with Project Sponsor. Requirements to be captured and confirmed for the solution and associated service model in next period.	New Capability

REM_IMT_001	MIM (Microsoft Identity Management)	Identity Management – including management of access to the right systems and network services for starters, movers and leavers. Business Outcomes: Ensuring the correct staff have the right level of access to systems and networks for their current role. Provide security and efficiency improvements. Citizen Benefit: Indirect	4 - Design & Propose	09/08/18 Meeting held with Sponsor to review value of the remaining business case. Key deliverable of Password Reset is complete, value of future deliverables and risk profile being evaluated to determine next steps.	New Capability
REM_IMT_012	Biz talk	Migration of Biztalk infrastructure into target SunGard Data Centre Location Business Outcome: Reduction in Virtual Data Centres within SunGard Citizen Benefit: Indirect	11 - On Hold	Migration of services cannot begin until after completion of Agresso Update work as per information provided from Simon Oliver to Jane Sickerdich in Portfolio board (Oct)	Lifecycle Management
REM_IMT_299	Securing SAP Legacy data	To ensure that Serco has access to the legacy data held in SAP required to deliver their services. Business Outcome: Maintain business as usual provision of pension information, mitigate risk of data loss and/or breach of statutory requirements by Serco/LCC in respect of both HMRC and the Pensions Regulator. Citizen Benefit: Indirect	3 - Define	08/09/18 - Issue raised with LCC in April regarding missing SAP extracts and lack of response from LCC supplier Kier. LCC project liaison has advised he has escalated within LCC due to lack of progress. Project unable to progress until confirmation can be provided that the required data can be extracted.	Lifecycle Management

SIP-001	CMDB SIP	Service Improvement: Configuration Management Database enhancements to provide improved lifecycle management of LCC assets. Business Outcome: Risk Mitigation from improved lifecycle management on assets	4 - Design & Propose	10/08/18 Comparison reports provided to review and address data anomalies. Applications data load in progress. Location report issue with company details now fixed and scheduled report was produced on 8/8.	Lifecycle Management
SIP-002	ITSC/ DR SIP	Service Improvement : IT Security and Disaster Recovery Business Outcome: Risk Mitigation and assurance	Proposal Submitted	10/08/18 - DR Documentation review in progress, Local Work Instructions being created for any gaps identified.	Lifecycle Management
TRM_IMT_001 **	Data Centre Relocation	To relocate LCC applications to SunGard. Business Outcome: Mitigate significant business risk. Maintaining and improving resilience in the event of system failure/ disaster. Citizen Benefit: Improved service availability for a wide range of council services	10 - Completed	07/06/18 The Milestone Certificate was approved on the 29th of May to close the project.	Lifecycle Management

IMT-365-1806	Mosaic - Node 4 Servelec Corelogic Data Centre move	Mosaic is being migrated to a different data centre, Node 4 as recommended by Servelec. Business Outcome: To improve resilience and supportability. Citizen Impact: Indirect	Proposal Submitted	08/08/18 Statement of Works approved for the work to support Serverlec to migrate Data Centres. Detailed planning is progress	Lifecycle Management
IMT-368-1806	Blackberry Decommission	Replace Blackberry phones and decommission service. Business Outcome: Migration to the corporate standard Citizen Impact: Indirect	3 - Define	08/08/2018 - Scoping in progress and SoW due to be released on 17/08/2018. Approximately 320 phones to be replaced and a management server to be decommissioned.	Lifecycle Management
IMT-371-1806	Network Monitoring Tools Implementation	Implement Network Monitoring solution and deploy it on relevant infrastructure ensuring the IMT and Lincoln technical teams have access. Business Outcome: Improved tooling to support service delivery Citizen Outcome: Indirect.	0 - Qualification	08/08/18 Project Brief being reviewed further with LCC prior to acceptance.	New Capability

IMT-317-1807	Children's Services - mobile phone supply	To provide the frontline Children's Services staff with data enabled Samsung XCover4 mobile phones.	0 - Qualification	08/08/2018 - Project Brief accepted and Project Manager assigned to start scoping	Lifecycle Management
		Business Outcome: Increased productivity with staff able to work more efficiently in the field, with access to email and calendaring.			
		Citizen Impact: Indirect			
SIP-003	Patching KPI Project	To support the introduction of two replacement key performance indicators that measure the security patching levels of end user and server devices.	4 - Design & Propose	08/08/2018 - SoW signed off on 27-07-2018 to implement improvements in the tooling used to provide Operating Systems patches and improved reporting capabilities to end user devices and servers. Third party quotes are being refreshed and once confirmed will be placed with third parties and delivery dates confirmed.	New Capability
		Business Outcome: Service Improvements in utilising Tooling and providing enhanced reporting capabilities			
		Citizen Impact: Indirect			

IMT-378-1808	Oak House Network Separation	To provide network separation between the LCC WAN and individual tenants broadband in accordance with network security best practice. Business Outcome: Ensure LCC network security is maintained. Citizen Impact: Indirect	0 - Qualification	Project Brief being reviewed	Lifecycle Management
IMT-381-1808	LFR South Park build	This project will contribute in respect of the IMT elements of the new tri-service Blue Light Campus, working with partners from LCC Property, LFR, Lincolnshire Police and EMAS. Business Outcome: New operational Tri-Service Blue Light Campus. Citizen Impact: Continuation of LFR service for the South of Lincoln.	0 - Qualification	Project Brief being reviewed	New Capability

| IMT-380-1808 | EMPSN 10Gb & HSCN | This project is to upgrade the primary Internet, Wide Area Network and Health & Social Care Network (Formerly N3) connections to improve speed and bandwidth.

Business Outcome: Improve the efficiency of the network for staff and councillors.

Citizen Impact: Indirect | 0 - Qualification | Project Brief being reviewed | Lifecycle Management |

The below table represents all projects categorised as small as at 16 August 2018:

Project ID	Project Name	Project Classification	Project Status
IMT-032	ECHCRC Local Performance Reporting Database	Small	C - In Delivery
IMT-078	SAP CRM to Lagan Transport	Small	F - On Hold
IMT-176	LFR 999 system GD92 reconfiguration	Small	C - In Delivery
IMT-177	ECHCRC LFR Voice recorder	Small	C - In Delivery
IMT-189	Waste CCTV.	Small	C - In Delivery
IMT-204	Panacea / Agresso integration	Small	D - In Closure
IMT-229	Edesix video software	Small	B - Proposal Submitted
IMT-236	RTPI Decommissioning	Small	A - In Scoping
IMT-257	Property Consultancy days	Small	D - In Closure

IMT-278	Mobile devices for Community engagement Team	Small	C - In Delivery
IMT-307	Occupeye	Small	B - Proposal Submitted
IMT-316	Agresso GCON4MFL trial	Small	C - In Delivery
IMT-326	Meeting room naming	Small	C - In Delivery
IMT-328	Telegraph pole removal	Small	C - In Delivery
IMT-332	Louth wireless LAN	Small	A - In Scoping
IMT-339	WAP's at Sleaford Secure Unit	Small	B - Proposal Submitted
IMT-340	Holebase upgrade	Small	B - Proposal Submitted
IMT-342	Project vision single sign on	Small	C - In Delivery
IMT-344	IDEA instal	Small	C - In Delivery
IMT-348-1804	OMNI transfer to network	Small	C - In Delivery
IMT-349-1804	Paritor upgrade	Small	C - In Delivery
IMT-353-1804	External partner launch pad	Small	B - Proposal Submitted

IMT-354-1804	XP Safedig virtual machine	Small	B - Proposal Submitted
IMT-355-1804	IRIS replacement and decommission	Small	C - In Delivery
IMT-359-1805	ARC contract management system	Small	B - Proposal Submitted
IMT-360-1805	Softsmart implementation	Small	A - In Scoping
IMT-363-1805	St Giles Family Centre WiFi	Small	A - In Scoping
IMT-364-1805	FixMyStreet implementation	Small	C - In Delivery
IMT-366-1806	LCC-CSQL-04 server update	Small	F - On Hold
IMT-367-1806	LFR State Board Installation	Small	C - In Delivery
IMT-369-1806	WAP's for LFR Nettleham HQ - Additional Resilience	Small	A - In Scoping
IMT-370-1806	Avaya Aura Call Centre set up for Early Years and Childcare Support Team	Small	A - In Scoping

IMT-374-1807	Carlton Centre Boston – move into Unit 3	Small	A - In Scoping
IMT-373-1807	Property Consultancy Days 2018/19	Small	C - In Delivery
IMT-375-1807	North Hykeham Library/Youth Centre	Small	A - In Scoping
IMT-376-1807	Wider estates - Lincoln LFR North	Small	A - In Scoping
IMT-379-1808	Symantec secure email plug in	Small	0 - Qualification

Appendix C

The following 5 projects are recommended to form part of the 20 Priority Projects reported to OSMB:

Project ID	Project Name	Project Description/Business Outcome	Project Status	Position Update	Categorisation
IMT-273	CEC Gap analysis	Identification of areas of weakness within the IT provision in the event of the County Emergency Centre being used in an emergency situation. Business Outcome: To support LCC in ensuring its capability for Business Continuity scenarios.	4 - Design & Propose	9-8-18 Requirements Document updated 25-7-18 following LCC confirmation of changes. Site visit being arranged to understand available options for revised quotes	Lifecycle Management
IMT-315	Implement Attachit for SNAP surveys	Provide LCC but more specifically the Children's Performance Team with the ability to attach documents to SNAP Surveys for Statutory returns. Business Outcome: Enable the SNAP application usage to be increased as a result of the additional functionality.	Proposal Submitted	30/7/18 Approval to proceed received from Sponsor on 26/07/18. Project Manager being assigned and plan to be updated and baselined within next period.	Lifecycle Management

IMT-381-1808	LFR South Park build	This project will contribute in respect of the IMT elements of the new tri-service Blue Light Campus, working with partners from LCC Property, LFR, Lincolnshire Police and EMAS. Business Outcome: New operational Tri-Service Blue Light Campus. Citizen Impact: Continuation of LFR service for the South of Lincoln.	0 - Qualification	Project Brief being reviewed	New Capability
IMT-334	Swap out WAP's 2018	To meet the medium term operational availability requirements of the PN and Corporate Wireless solutions and avoid the time out of WAP's used within the PN wireless solution. Business Outcome: To ensure that LCC staff can continue to access the LCC WiFi networks to support their working.	Proposal Submitted	07/08/18 Revised Proposal issued 1st August and is pending IMT Delivery approval.	Lifecycle Management
IMT-380-1808	EMPSN 10Gb & HSCN	This project is to upgrade the primary Internet, Wide Area Network and Health & Social Care Network (Formerly N3) connections to improve speed and bandwidth. Business Outcome: Improve the efficiency of the network for staff and councillors. Citizen Impact: Indirect	0 - Qualification	Project Brief being reviewed	Lifecycle Management

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

Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Corporate Support Services Re-provision: Update on ICT Soft Market Testing and Staff Engagement**

Summary:

This report provides an update on the soft market testing that has been undertaken to help inform the Council's decision making process regarding the delivery of IT services from 2020. It also provides a summary of the internal engagement sessions that have taken place to help provide an understanding of the current and future IT needs of the Council.

Actions Required:

The Overview and Scrutiny Management Board (OSMB) is invited to consider the attached report and provide feedback on the points raised.

1. Background

In line with the authority provided by the Executive on 1st May 2018, work has been undertaken to *'carry out market engagement and all ancillary activity with IT providers'* in order to assist the Council with informed decision making about whether to pursue a procurement for ICT service delivery beyond 2020 using the framework identified in the decision paper of 1st May.

A leading public sector ICT service and procurement advisor, who has extensive experience of successfully undertaking this activity with a number of other local authorities, was commissioned by the Council to lead on this activity. Work has included the development of a high level service design, a market update to inform potential providers of our requirements and subsequent direct engagement with providers in order to establish whether there is a viable procurement option for the Council.

There has been extensive engagement with internal stakeholders from across the Council to develop a thorough understanding of our current and future ICT requirements.

This report provides an update on both the external and internal engagement that has been conducted.

1.1 External Engagement - Soft Market Testing

The route which the Council would embark upon, should a decision be made to procure ICT services beyond 2020, was outlined in the decision paper approved by the Executive on 1st May. This paper identified a Crown Commercial Framework (RM3804) as the recommended route should a procurement proceed as this framework is designed for public sector ICT Managed Services, is used by both local and national government and comprehensively covers public sector ICT managed service requirements.

Given the preferred procurement route, soft market testing was directed at providers on this framework and a market update document was issued to all 72 providers registered on the appropriate lot of the Crown Commercial Framework. The market update included a high level service design for our ICT services from 2020 and detailed the scope of the procurement in terms of services and scale as well as a broad indication of the likely minimum and maximum costs anticipated by the Council. The market update also set out the process for soft market testing.

Following the issue of the market update, 19 providers contacted the Council by email to express their initial interest and/or develop a better understanding of the prospect. The purpose of this first contact is for potential suppliers to gather more specific information which they feel is relevant to their company's assessment on the likelihood of them proceeding with a bid should the procurement come to the market. Following the initial email exchanges, 16 of these providers ' contacted the Council at this early stage and expressed their interest in progressing with the market engagement by requesting a conference call with the project team.

During the conference calls providers asked for more detailed information and presented their opinions on issues such as the procurement route, service design models, the scope of services to be included, anticipated and required investment levels, the Council's aspirations and vision as well as the likely timeframes for any potential procurement.

After these calls, 7 potential providers felt more confident that if a procurement of this nature came to market, their company would be able to provide the range of services covered and they would be likely to invest the resources required to participate in the procurement process. These 7 providers went on to participate in face to face meetings with the project and service team to further explore the potential procurement. During this stage, 2 of the providers expressed some concern about their ability to provide the scope and scale of services required and wanted to further consider their position before progressing further with the market engagement.

Five providers expressed an interest in progressing to the final stage of the soft market testing which involved a face to face session with an extended audience from the Council including the Leader and Executive Councillor as well as additional senior officers. These providers presented a range of potential service

delivery models and the discussions that followed helped the Council to develop a clearer understanding of how to maximise competition in any procurement.

The final face to face sessions that took place during the soft market testing included consideration of issues such as:

- Potential operating models
- Ability/view to deliver:
    - a core managed ICT service
    - IT modernisation
    - digital/citizen transformation
- The potential procurement route and commercial considerations.

The procurement principles explored with providers, officers and members during the soft market testing are now being finalised.

1.2 Internal Engagement – Stakeholder Workshops

Alongside the external soft market testing that has been undertaken, extensive internal stakeholder engagement has also been conducted. This has been designed to develop a clear understanding of the key business imperatives that must form part of the future core managed ICT service as well as the additional outcomes, projects and roadmap that are required for the Council to achieve its ambitions. The current strategy and work plan will be tested against the findings.

Invitations to workshops were issued to all senior officers across the Council (Chief Officers, Assistant Directors and Heads of Service). A number of 'leading lights' were nominated by the leadership team to provide insight and ideas regarding our ICT requirements. The key 'application owners' from service areas were also invited to the workshops to provide further contributions regarding the use, support and development of the essential IT systems which enable service delivery. In addition to the staff engagement workshops, two member sessions were also held for Councillors from the Overview and Scrutiny Management Board (OSMB), the Members IT working group and the Executive.

Between 28th June and 23rd July 2018, 79 delegates (63 officers and 16 members) attended 11 separate workshops. 1025 comments were received during 31 hours of discussions. All service areas across the Council were represented by at least one delegate and there was a spread of representation across the four Director Areas plus the Chief Executive Office as set out below.

- Adult Care and Community Wellbeing - 11
- Children's Services - 11
- Environment & Economy – 22
- Finance & Public Protection - 16
- Chief Executives Office - 3

The workshops took the form of a facilitated discussion covering:

- What ICT needs to do to support each service area (both pre 2020 and beyond)
- How the IMT department and our partner currently support services
- ICT transformation required within the Council (both pre 2020 and beyond)

The findings are currently being analysed and will be presented as themes to the Council's senior leaders for their consideration of ICT services both pre 2020 and beyond. A summary of the contributions will be provided to the delegates that took part in the sessions in order to illustrate to them how what they said will be utilised moving forward.

2. Next Steps

The procurement principles explored during soft market testing are now being finalised by officers taking into account the providers feedback and the steer provided by the Council's senior leadership team. The principles for a potential procurement option, along with the benefits, risks and likely costs will be presented for consideration by the Overview and Scrutiny Management Board in September as part of the pre-decision scrutiny report for the future commissioning of corporate support services which will be presented to the Executive on 2nd October 2018. The Stakeholder Engagement and OSMB review of it will inform the IMT strategy which will be presented to the Council later in the year.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

 In progress

b) Risks and Impact Analysis

An Impact Analysis is being carried out for the Corporate Support Services Programme and will be included in the reports for OSMB and the Executive in September / October 2018.

4. Background Papers

Document title	Where the document can be viewed
Corporate Support Services Re-provision (Executive on 1st May 2018)	Via the main LCC website Search committee papers for the 1st May 2018 Executive, or follow the direct link below. http://lincolnshire.moderngov.co.uk/ieListDocuments.aspx?CId=121&MId=4968&Ver=4

This report was written on behalf of John Wickens, Head of ICT & Chief Digital Officer, who can be contacted on 01522 553651 or john.wickens@lincolnshire.gov.uk.

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Policy and Scrutiny

Open Report on behalf of Debbie Barnes, **Executive Director of Children's Services**	

Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Corporate Support Services Re-provision: Payroll Progress Report**

Summary:

This report provides the Overview and Scrutiny Management Board (OSMB) with an update on progress for the potential transition of the Council's Payroll/HR Admin services and Enterprise Resource Planning (ERP) system (BWON) to Hoople Ltd, via a shared service agreement with Herefordshire Council.

The report provides a specific update on the:

- Outcome of recent workshops held between the Council and Hoople in July.

- Due diligence activities being carried out on the suitability and capability of Hoople Ltd. and Herefordshire Council to deliver the service and the direction of travel of the areas reported.

The design workshops were successful in providing the necessary confidence in Hoople's capability to provide an effective ERP solution and Payroll/HR Admin service. A number of system developments have now been identified, planned and are being managed through to deployment to support rectification prior to any potential transfer. Additional engagement has taken place with Lincolnshire Fire and Rescue and further dialogue is planned to ensure a payroll solution can be built to meet the complex needs of the service.

The due diligence activity carried out to date is progressive and has not identified any issues to warrant significant concerns. There are some wider issues which will require further and ongoing review; specifically concerning the risks of transition and the Council's loss of sovereignty over the ERP system - the risk analysis will remain live throughout the potential transition in order to mitigate against any issues and ensure decisions made are on an appropriately informed basis.

Actions Required:

The Overview and Scrutiny Management Board is invited to:

1) Consider the attached report and to provide feedback on the points raised.

2) Identify future progress reporting requirements and to determine any specific area of focus.

1. Background

1.1 Payroll/HR Admin support & ERP system update

1.11 Following the Overview and Scrutiny Management Board (OSMB) meeting on 28 June 18, additional workshops and reviews have been carried out with Hoople to support the due diligence exercise. On 17 and 18 July Hoople brought their senior project consultants and the People Management Head of Service, along with a senior member of the people management team to Lincoln to discuss the headline detail to be presented in the Hoople transition proposal.

1.12 The initial proposal has now been received and at the time of writing is being reviewed by officers ahead of a formal consolidated response.

1.13 The workshops included LCC Finance and People Management service representatives and LCC Audit for overview. The workshops walked through the headline proposed project plan showing the approach to the transfer of data, database build, unit testing and parallel running as well as bringing out the detail further in the target operating model envisioned for service delivery.

1.14 Hoople have also confirmed that there are no showstoppers from what they have reviewed, although a number of items have stood out as key pieces of work, these include:

- Rationalisation of account codes and cost centres in Finance

- Rationalisation of payment and deduction codes in Payroll

- Application of "mandatory relations" (mandatory fields) for Payroll. For example, none of the Council's payroll fields are currently mandatory on a list of over 170, which gives rise to increased chance of input errors. This includes fields such as Line Manager Details, trade union membership and whether or not an employee is in the pension scheme.

- Improved process cohesion with Fire and Rescue, in alignment with their information systems

- Building the Organisational Structure using standard Agresso structures

- Agreement on the storage mechanism for HR / Payroll documentation (including pre-2015 data)

1.15 The Project team are assessing this as a specific programme of work in order to plan business process re-engineering works, both in anticipation of a decision to proceed with Hoople, but also having identified clear business efficiencies that can be realised before 2020 in any event. This work is currently being specified and will be planned to deliver change across the coming months. A number of activities will be held until the new financial year as that is the most appropriate time to facilitate the change.

1.16 All required project proprietary works have been encapsulated into 12 workstreams, detailing all work packages required in order to become compatible

with the Hoople solution, and additionally to correct long-standing service issues, such as poor automatic matching of invoices within Exchequer Services. One of the larger workstreams, "Cleansing and Alignment", contains all data cleansing activities, and will commence before the end of August 2018. A specific Master Data Management (MDM) team is led by an experienced team manager and has been defined with a delivery structure agreed between all teams and suppliers (including Unit4 and Hoople themselves). As per the works mentioned in section 1.14, Hoople confirmed that these works are more than sufficient to be able to successfully transform the current ERP into a suitable structure that they are able to migrate.

1.17 The development of a logical specification of the HR / Payroll rules for corporate, fire & rescue and schools has now been reviewed as a first draft, and changes are being incorporated within the document version control and additional updates made as well as detailing the process for keeping it up to date as a relevant artefact for the future.

1.18 A meeting has been held with Nick Borrill (Chief Fire Officer), Debbie Yeates (LFR Area Manager), Corporate Support Services Commissioning (CSSC) programme colleagues and Hoople and additional workshops to go through the finer detail of service provision and requirements are being diarised for early in September.

1.19 A working party for schools has been populated with a representative attendance from Bursars, Governors and Head Teachers to come together early in Autumn following the opening of the new school term. This review body will be used for both assessment of solution, consideration of changes to the target operating model and support to broader engagement within the schools community.

1.110 In addition there will be external governance of the proposed transition plan and the wider corporate support services commissioning programme through engagement with 'Local Partnerships' and identified specialist consultants. Local Partnerships is jointly owned by HM Treasury, the Local Government Association and the Welsh Government and work with local and national government and other public sector organisations to provide short, but effective reviews to project owners on high risk projects or programmes where public sector organisations have to keep them on track. It is planned for the first review of the programme to commence during December 2018.

1.111 Engagement with Unison remains ongoing. The CSSC Programme Sponsor, Debbie Barnes, has met with and written to the Unison Branch Secretary to provide an update on developments. Councillor Barry Young, Executive Councillor for People Management, has also written to Unison in response to a number of matters raised regarding the development of the CSSC programme, specifically concerning; possible job losses in Lincolnshire and the impact this could have on the local economy; the capability of Hoople to deliver an effective payroll service and the potential future operating model for IT services.

1.112 A further meeting is scheduled with Unison for 13 September 2018.

1.2 Due Diligence of Hoople Ltd/ Herefordshire Council

1.21 Work continues on the due diligence of Hoople, with 38 requirements being reviewed, of which 22 have a Green risk RAG rating, with 16 rated Amber. A direction of travel for the progress of each due diligence requirement has been included, of which 22 are identified as improving, 9 remain static and 7 have been closed. There are none which are classified as regressing or are Red RAG rated.

1.22 The due diligence risk register can be found in Annex One of this report and is broken down into the following categories:

- Corporate Governance – to ensure that the supplier is a strategic fit with the Council

- Financial Information – to provide assurance that supplier is operating on a sound financial platform

- Service Maturity - capacity and scalability to support the Council

- Contractual Arrangements – that the Council is appropriately protected and is able to manage supplier performance

- Qualified Experience - the supplier has a proven track record in service delivery

- ERP Implementation - secure transition, implementation and ongoing delivery

- Payroll Implementation - secure transition, implementation and ongoing delivery

- ICT - interfaces between the Council and Hoople systems are robust

1.23 Development of the register is a work in progress at this time whilst the Council continues to expedite a number of the issues identified, whilst also finalising and approving a service transition and implementation plan.

1.3 Managing Risk

1.31 The updated Risk Log for the ERP system can be found in Annex Two and the Payroll Risk Log in Annex Three. These documents are live throughout the project and are regularly updated by the identified risk owners and are reviewed at each project board meeting by members of the board.

1.32 Within the ERP Risk Log there are 12 risks being managed; five of which are currently rated Red, six Amber and one Green. Five risks are assessed as 'improving'. Those rated red are focussed on the following criteria:

- Hoople withdraw from becoming LCC's supplier for required services prior to finalising any proposed agreement.
- Serco's business as usual service collapses or significantly erodes should the potential ERP movement to Hoople be confirmed.
- Corruption of 2019/20 payroll prevents the payroll system and service being tested according to standard methodology of 3 parallel pay runs.

- By moving to a Hoople-controlled ERP stack and service provision, LCC loses key strategic benefits over in-house management of the system ("Sovereignty").
- Risk of disruption to existing services during initial period of service go-live as the new supplier takes over the service and addresses any issues.

1.33 Within the Payroll & HR administration Risk Log there are 14 risks being managed; eight of which are currently rated Red and six are Amber. Those rated red are focussed on the following criteria:

- Insufficient contingency plans built within the project for the successful implementation of a payroll system.
- In the absence of a signed agreement, Hoople are under no obligation to provide future services to LCC.
- Lack of system to process retained fire pay as Spitfire is at risk of fall over / failing.
- Key resources at Serco are not retained and leave to access more secure employment, creating disruption to the existing service.
- Hoople are unable to recruit sufficient, suitably skilled payroll staff to deliver the function from January 2020 and beyond.
- Relevant balance sheet 'control accounts' won't be reconciled immediately prior to April 2020.
- Not all manual work arounds are known which could have an impact of the future configuration and delivery
- Risk of disruption to existing services during initial period of service go-live as the new supplier takes over the service and addresses any issues.

1.34 Risks continue to be managed by identified officers, working towards a reduced target risk score in order to minimise the potential impact of each risk on the Council. The risk of transition to a new payroll service and ERP system is a common matter across both projects. Transition issues on a scale such as this are highly probable to occur during the first 6 months of delivery and will likely include matters such as:

- Disruption to service delivery
- System integration and down-time
- Reparation activity
- Staffing vacancies
- Staff readiness to adapt to a new system
- Fragmented multiple supplier relationships

1.35 Such issues will have a significant impact on the delivery of services and will need to be mitigated against. A service transition and operational readiness assessment will be carried out and this will be managed throughout any implementation and transition period by the project board.

2. Conclusion

2.1 The project planning and service take-on workshops were successful in providing the necessary confidence in Hoople's capability to provide an effective ERP solution and Payroll/HR Admin service. There remain a number of system developments to rectify prior to any potential transfer and further engagement with Lincolnshire Fire and Rescue to ensure a payroll solution can be built to meet the complex needs of the service. Hoople's approach to potential recruitment requirements was also discussed and solid assurance was given from the proposed approach should an agreement be reached.

2.2 The due diligence activity carried out to date is progressive and has not identified any issues to warrant significant concerns. There are some wider issues which will require further and ongoing review; specifically concerning the risks of transition and the Council's loss of sovereignty over the ERP system - the risk analysis will remain live throughout the potential transition in order to mitigate against any issues and ensure decisions made are on an appropriately informed basis.

2.3 Following consideration of the report, the Board is requested to provide feedback on the content and to identify future progress reporting requirements into Board meetings. Comments from the Board will be reported to the Corporate Support Services Commissioning (CSSC) programme board.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

A risk analysis has been carried out identifying the key risks and mitigations for both the ERP and Payroll/HR Adin projects.

An Impact Analysis is in place for the CSSC programme.

b) Risks and Impact Analysis

See Annexes in section four below.

4. Appendices

These are listed below and attached at the back of the report	
Annex 1	Due Diligence Risk Register
Annex 2	ERP Risk Log
Annex 3	Payroll Risk Log
Annex 4	CSSC Programme Impact Analysis

5. 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 Andrew McLean, who can be contacted on 01522 554079 or andrew.mclean@lincolnshire.gov.uk.

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Annex 1 - Due Diligence Analysis

Hoople's Potential Delivery of an ERP System and Payroll Function

Ref. no.	Due Diligence Description	Lead Officer(s)		Key actions and findings (RAG rated)	Progress	Further Proposed Actions	MoSCoW Rating	DD Lead
		LCC	Hoople/Hereford					
	Corporate Governance - the supplier is a strategic fit with LCC							
001	Contingency plans are in place to maintain service delivery in the event that the shared service agreement with Herefordshire/ Hoople doesn't proceed.	Debbie Barnes (DB)/ Andrew McLean (AMc)/ Wendy Henry (WH)/ Sophie Reeve (SR)/ David Coleman (DC)	N/A	- Further explore alternative commissioning options to include: * including the service as part of any potential contract extension with the existing supplier. * re-consider other public sector suppliers of shared payroll/ERP services. * re-evaluate options for insourcing the service. * utilisation of Hoople as a strategic partner to support the on-boarding of an alternative approach.	Improving	- Early engagement with Herefordshire Council's legal and democratic service to consider the options available for proceeding with the agreement **(AMc)**. - Carrying out ongoing due diligence on each other **(AMc)**. - Aim to enter into any agreement by 30/09/18 in order to provide sufficient time to explore any other commissioning options **(AMc, SR, DC)**.	M	Andrew McLean
002	Contingency plans are in place to maintain service delivery in the event that the shared service with Hoople doesn't commence on 01 April 20.	Andrew McLean (AMc) Wendy Henry (WH)/ Jason Davenport (JD)/ Sophie Reeve (SR)/ Gareth Roberts (GR)/ Helen Edwards (HE)	Duncan Trumper/ Owen Jones	- Early analysis is being carried out now by Hoople 24 months prior to a potential go-live. - Resource requirements are being scoped out both physical and technical to ensure relevant personnel are in situ and trained to deliver the service. - Lessons learned are being reviewed from previous Hoople on-boarding with Rutland and other public bodies. - Collaborative approach is being adopted by Serco and Hoople to support the development of this work.	Static	- Capture potential scenarios and list the corresponding contingencies, engaging with Hoople and Serco **(WH, JD)**. - Ensure sufficient planning is scoped out to include early stress testing of the system and sufficient dual running across LFR, corporate and schools systems as well as finance systems where possible **(GR, HE)**.	M	Andrew McLean
003	Explore viability of a local base from which to deliver all or some of the ERP/ payroll services to LCC.	Andrew McLean (AMc)/ Wendy Henry (WH)/ Jason Davenport (JD)	Duncan Trumper/ Julie Davies	- Service support for dealing with ERP system or payroll queries would be accessed remotely as it is presently. - Establishing a local base would be likely to create additional costs to the Council (TBC) and would impact on the efficiency with which Hoople could use their existing experienced staff in the delivery of the shared service. However a local base has a number of advantages and further discussions are to be had on this. - There may be scope for some application specialists to be based locally, to be explored further.	Static	- Complete a PESTLE analysis for a local base, specifically during the transition arrangements and first 12 months of any agreement. PESTLE Analysis started, session to be held to debate and develop further. **(JD)** - Engagement with relevant trade unions is required **(AMc/DB)**. - Liaise with both the existing and incumbent supplier to ensure staff are appropriately supported during such times of uncertainty **(AMc)**. - Consider developing additional intelligent client capacity within LCC to manage and expedite any matters or issues.	C	Andrew McLean

Financial Information - the supplier is operating on a sound financial platform

004	Analysis of annual and quarterly financial information for the past three years: 1. Income statements, balance sheets, cash flows, and footnotes 2. Planned versus actual results 3. Management financial reports 4. Financial projections for the future	Jo Ogden (JO)/Andrew McLean (AMc)	Duncan Trumper/ Rob Ewing	- JO working with LCC Finance to conduct a further financial analysis on Herefordshire and Hoople.	Static	- Dependent upon outcome of financial analysis. - Financial analysis and open book accounting will form part of the ongoing contract management requirements **(AMc)**.	M	Jo Ogden

Contractual Arrangements - LCC is appropriately protected and is able to manage performance

005	Shared service agreement is agreed, appropriately authorised and contains appropriate schedules to manage successful transition and ongoing delivery.	Charlotte Gray (CG) Andrew McLean (AMc)/ David Coleman (DC)/ Sophie Reeve (SR)	Rob Ewing	- The legal structure of Hoople and its relationship to Herefordshire Council and other shared service partners has been established (DC, SR). - QC advice has been received concerning potential forms of agreement and confirmed there is no minimum % shareholding that the Council must have in order to make Teckal legally compliant. - Executive decision on 2nd October to agree the type of agreement. - LCC has obtained a copy of the agreement between Herefordshire and Hoople to ascertain if there are any implications for LCC (AMc). - LCC and HC legal teams/ lead officers are carrying out early dialogue in respect of the structure of the agreement. DC has updated SLA with Lincolnshire requirements and awaiting feedback from Hoople (DC, SR). - Early engagement with key representatives of Herefordshire to ensure that relevant political and strategic leadership approval has been sought (AMc, DC, SR).	Improving	- Continued negotiation of detailed legal terms for the shared service arrangements **(CG)**	M	Charlotte Gray
006	Identify any sub-contracting arrangements which are in place with Herefordshire and Hoople in relation to the service.	Charlotte Gray (CG)/ Andrew McLean (AMc)	Duncan Trumper/ Rob Ewing	- To form part of ongoing shared service agreement dialogue. - Other than software vendors Hoople do not have any permanent sub-contracting arrangements in place as they are not required.	Closed	- Factor in relevant sub-contracting clauses into the final agreement **(AMc, DC, SR)**.	M	Charlotte Gray
007	Establish if there is any litigation against the supplier in relation to the delivery of the service?	Charlotte Gray (CG)/ Andrew McLean (AMc)/ David Coleman (DC)	Duncan Trumper/ Rob Ewing	- Confirmation email received from Duncan Trumper at Hoople to confirm no litigation.	Closed	- Continue to monitor during the transition period and as part of any eventual agreement.	S	Charlotte Gray
008	The shared service agreement is monitored and managed effectively.	Charlotte Gray (CG)/ Wendy Henry (WH) /Andrew McLean (AMc)/ Helen Edwards (HE)	Duncan Trumper/ Rob Ewing/ Owen Jones	- Establish arrangements for managing the agreement to include: * frequency, including location of management meetings * KPI's (qualitative and quantitative) * quality management * reporting requirements * business continuity planning * open book accounting	Static	- Contract management arrangements will form part of the shared service agreement **(AMc)**.	M	Charlotte Gray

009	What measurers do Hoople have in place for Business Continuity, how are they set-up to respond to issues – power outage, network, flood, fire etc.	Charlotte Gray (CG)/ Jo Ogden (JO)/ Gareth Roberts (GR)	Duncan Trumper/ Rob Ewing	- Hoople has shared a copy of their existing Business Continuity plan for evaluation.	Closed	- Business Continuity Plan for Lincolnshire will need to be developed as part of the shared services agreement **(CG)**.	S	Charlotte Gray
010	Identify who are Hoople's current insurers, what level of cover do they have and what is their limit to pay for any claim in the first instance (Excess).	Charlotte Gray (CG)/ Jo Ogden (JO)/ Gareth Roberts (GR)	Duncan Trumper/ Rob Ewing	- Hoople has shared insurance documents. LCC insurance team are happy with the levels and types of cover in place.	Closed	- Insurance documents to be held on file and new versions requested upon expiry of existing policies. This will be built into contract management requirements. **(CG)**	S	Charlotte Gray
011	Personal data is effectively and robustly protected.	Jane Maddison (JM)/ Gareth Roberts (GR)/Amy Jaines (AJ)	Matt Ramsey	- LCC's Information Governance service to work with Hoople in developing a Privacy Impact Assessment. - Supplier has appropriate levels of insurance to cover any claim (see ref no. 11). - LCC has created a joint ERP/Payroll Privacy impact assessment (PIA); this is an organic document and this helps manage any issues going forward, and will form an aspect of contract management.	Improving	- Ongoing risk management activities in conjunction with Information Governance team (ongoing until after project delivery). - Contract to include ongoing contract assurances in relation to information security and governance (such as required GDPR processing clauses, and ongoing requirement to maintain required certifications (including ISO 27001). **(AMc)**	M	Gareth Roberts
012	The supplier meets all regulatory required standards: 1. Inspection results 2. Certification of standards met	Andrew McLean (AMc)/ Jason Davenport (JD)/ Gareth Roberts (GR)	Duncan Trumper	- Hoople have currently provided required evidence of compliance for all necessary standards provided by Audit and IMT. - This includes ISO 27001 certification, assurance of public sector network compliance, and appropriate PCI-DSS understanding and control as required. - Public and private audit reports have been examined, with Hoople's assurance for payroll control being rated as the equivalent of 'substantial' assurance. - Audit and JD have been assured that the relevant processes conform to acceptable standards.	Improving	- Plan to ensure continued adherence to required standards are maintained (monitored via self-assessment, audit reporting, contract management and request of sight of continued assurance). - Agreement with Hoople to include contractual obligation on Hoople to maintain standards and certification **(AMc)**.	M	Andrew McLean
Qualified Experience - the supplier has a proven track record in service delivery								
013	Site visits to Hoople to understand how they operate.	Gareth Roberts (GR)	Duncan Trumper	- Teams have visited Hoople's HQ on two separate occasions and have viewed the process whilst having transparent access to key service staff. - JD visited Hoople separately as part of the evaluation report constructed in December 2017. The report reviewed service delivery capability, interview with SME's, on-boarding approach, payroll timetable, readiness for change and organisational structure.	Closed	- No further actions; site visits have been completed and in reconciliation with the analysis of the May Hoople workshops, the supplier's operation has revealed no obstacle to further progress or significant/incompatible deviations.	M	Gareth Roberts
014	Dialogue with existing customers, including schools, to obtain feedback in relation to service delivery, implementation/transition and service development.	Jenna Hylton (JH) / Gareth Roberts (GR) / Jason Davenport (JD)	Julie Davies/Duncan Trumper	- Following the initial site review, two of Hoople's customers were interviewed for reference requests; Rutland District Council and Halo Leisure. Both provided excellent ratings across a number of areas including; approach to implementation, general business relationship, and reliability. Both provided assurance of high engagement and commitment to a partnership approach. - To gather feedback from a selection of Herefordshire Schools. Initial delay in receiving details for schools and progress is ongoing.	Improving	- Further feedback to be obtained from schools that receive Hoople's services **(JH)**.	S	Jenna Hylton

015	The scalability of Hoople to be able to deliver services for LCC.	Jason Davenport (JD)/Gareth Roberts (GR)/Helen Edwards (HE)	Duncan Trumper/ Rob Ewing	- Hoople's recruitment plan verified with milestone plans has been appraised to be realistic. - Hoople's plans to scale have been reviewed and found to be credible. Commitments have been secured from Hoople, and these have been articulated. - Proposed IMT technical architecture reviewed as part of technical workshop on 30th May 2018, with specific consideration given to scalability and segregation of service between LCC and other customers. - Hoople have confirmed sizing estimations with Unit4 and subject to the technical workshop (completed 13/05/2018) Hoople to provide outline system capability specification by end of June 2018. -TUPE will apply offering staff the opportunity to transfer to the new provider. - Workshops held in Mid-July allowed Hoople and LCC to review proposal before final submission which is expected the end of July. These sessions gave assurance that approach to take on service was credible and planned well in advance to test out the solution.	Improving	- Monitoring of Hoople proposals/plans to ensure that they are in line with project plans to ensure alignment and continued assurance that scale is appropriately considered (technical and service delivery). **(JD/GR)** - LCC IMT is satisfied that the outline proposed solution is scalable (horizontal and vertically) to be able to meet demand and requirements; further review will be made when a sufficiently detailed low-level design is produced by Hoople. - Ongoing monitoring of Hoople for large onboardings between now and 2020. **(GR)**	M	Jason Davenport
016	The approach and capability to retain critical personnel to carry through the implementation of LCC's solution.	Andrew McLean (AMc)	Duncan Trumper/ Rob Ewing	- Key roles and individuals have been identified as critical for a successful transition and implementation of the service. - Hoople are aware and are keen to provide a structure to start supporting LCC at the earliest opportunity to provide assurance to those staff. - Identified staff are personally driven to be engaged in such a programme of change. - No guarantees can be offered that the individual staff would not leave, however there is no current indication of this.	Static	- Monitored through regular review and update meetings **(AMc)**. - Early on-boarding of the transition process. - Hoople to bring in additional staff early on as part of the transition to ensure a wider knowledge base of the LCC solution.	C	Andrew McLean
ERP Implementation - secure transition, implementation and ongoing delivery								
017	Carry out a detailed risk analysis for any potential multi-supplier relationship in delivering the ERP and running the exchequer services.	Gareth Roberts (GR)	Duncan Trumper	- A detailed risk analysis report has been developed, detailing the considerations and risks of Serco continuing to provide Exchequer services using a Hoople ERP platform.	Improving	- A number of recommendations have been made as per the report in order to reduce risk. These are in the process of being escalated to the relevant project/programme board and pursued as appropriate **(AMc)**.	M	Gareth Roberts
018	Audit reports (Internal & External).	Julie Castledine (JC)	Duncan Trumper	- Payroll reports relating to 15/16, 16/17 and 17/18 which covered the follow up of outstanding recommendations have been reviewed by Internal Audit including a discussion with Herefordshire CC Deputy Section 151 Officer. Audit's conclusion 'The reports show that both control and system issues have been identified by Internal Audit and therefore issues may be replicated with LCC's payroll. However, the Head of Audit's overall assurance opinion has been positive, Payroll assurance is now positive and Hoople have demonstrated that current management address the audit recommendations made'.	Closed	- Ongoing access to audit reports carried out by Herefordshire Council and Hoople to be provided to LCC as part of contract management requirements **(AMc)**. - LCC internal audit to carry out an assessment and report post go-live.	S	Julie Castledine

019	Availability of the service: - Is there planned 'up and down' time? - When down how long? - Last time down how long for? - Data control – details of any 'near misses' or 'actual data breaches' – is so what action taken	Gareth Roberts (GR)	Duncan Trumper/ Owen Jones	- Hoople operates a schedule (advanced annual publication) where the system is taken down for patches and updates, (typically on the third Wednesday evening of the month, official downtime 18:00 to 09:00 (rarely utilise the full period). For example, in May's system downtime Hoople reported that the system was down for a planned maintenance for a number of hours before being returned to full service. - Hoople have reported that their last unplanned system downtime occurred in October 2017; this was due to a third party digging through a power cable feeding the building. Their DR plans were activated but unfortunately were not fully successful and resulted in 1.5 hours of downtime. As a result of lessons learned, actions were taken to avoid the cause of the downtime, and have plans to further improve resilience through the use of clustering. - There have been no reported data breaches in the last 3 years.	Improving	- Appropriate service specification and service-level agreement to be entered into with Hoople **(AMc)**. - Review of proposed Hoople technical solution, assessed for redundancy and contingency on 14th August 2018 **(GR/JT/DRA)**	S	Gareth Roberts
020	Pension relationship with West Yorkshire Pension Fund, Prudential, NHSPS and Teachers pension scheme – how will this work and feed in?	Jason Davenport (JD)	Duncan Trumper/ Rob Ewing	- Hoople have experience of delivering to a number of pension administration providers, and have expressed no concern at being able to interact (on a technical and relationship) level with WYPF.	Improving	- Initiate conversation with both providers to fully determine the expectations for a service transition and on-going reports for both monthly and annual data collection and returns **(JD)**. - Meeting established for 21st August with NHS contacts for their review and input and approach will be repeated with WYPF and other providers. **(JD)**	M	Jason Davenport
021	Identified track record for delivering system changes and planned improvements for existing customers.	Gareth Roberts (GR)	Duncan Trumper/ Owen Jones	- Hoople have previously reported that they tend to base changes on the level of value the change will deliver, and usually pilot changes that yield cross-customer value to Hoople or Herefordshire Council first. - Evidence received which demonstrates that between May 2017 - April 2018 inclusive, Hoople completed 87 change requests (36 for Herefordshire, 26 for the internal service, 13 for Rutland, and 12 for remaining customers).	Static	- Action taken at workshops for Hoople to create a separate roadmap for Lincolnshire County Council changes to manage all changes required **(GR)**.	C	Gareth Roberts

Payroll Implementation - secure transition, implementation and ongoing delivery							
022	Competency to deliver a safe payroll service for Corporate.	Jason Davenport (JD)	Duncan Trumper	- The workshops from week commencing 14th May were designed to cover a variety of areas. From service centre management principles, reviewing the 'To-Be' Hoople stack and considering gaps or areas to change and to working through particular scenarios that cause issue today and determine if Hoople's approach would improve service delivery. - The overall approach has further strengthened the understanding between both parties and expects that, whilst a large amount of work still needs to be completed, cleansing data, creating a clean build and then starting to unit and sample test ahead of broader parallel type activity and service rehearsals, the direction of travel is still correct. - More than a dozen scenarios were created and reviewed that cover Fire, Schools, Corporate, NHS and a number of additional challenges such as IR35 treatment and Hoople were able to not just talk through the scenarios, but had taken the time to produce a test system so as to show the scenarios to reflect understanding and how they would treat them.	Improving	- Ongoing system testing through build phases **(JD, GR)**. The workshop sessions held in mid-July allowed both Hoople project personnel and service delivery personnel to discuss their proposed approach and provide opportunity for challenge and reflection. The Hoople team are aware of the additional work being completed in terms of data cleanse activities and document build for pay specification and both these actions and other associated tasks will be additive to the quality of data transferred. Hoople are planning in enough time to allow adequate test cycles for both product build and service rehearsals.	M	Jason Davenport
023	Capability to run a complex Fire and Rescue payroll system.	Jason Davenport (JD) / Gareth Roberts (GR)	Duncan Trumper	- A test scenario session was held on 31st May to run through complex payroll scenarios, including a number of known complex Fire and Rescue scenarios. The outcome was positive as Hoople demonstrated via recorded WebEx that their system solution could be used to meet the requirements, and this satisfied attendees from the project team. - Hoople have questioned why retained firefighters are paid on separate payrolls to whole time staff; the belief is that this is due to data collection and the timeframe to complete from month end (only likely to improve if data provision and systems feeding into the BWON application were also changed).	Improving	- Specification well developed and utilising Debbie Yeates as subject matter expert to validate information trails and links from Grey Book to Service Orders, etc. **(JD)** - Planning and design phases are set to ensure system receives appropriate levels of testing. - Experienced personnel are confirmed to be allocated to this area and it is the intent that early in September, workshops will be established with LFRS/LCC and Hoople to walk through all requirements of the target operating model, for fully informed decision making on the future. - Review of Spitfire is on-going with key stakeholders (within LFR, Business Support & Serco) Business Analyst support is also ensuring all supporting products are identified as part of an overall review of the landscape for Fire and Rescue Service delivery.	M	Jason Davenport

024	Further understand the means by which services are currently provided to schools accessing Hoople for support and how this may affect Lincolnshire schools.	Jane Maddison(JM)/ Jason Davenport (JD)	Julie Davies/Duncan Trumper	- LCC will directly engage with schools concerning financial support. - Hoople will offer payroll support to schools. Further work to be established to identify the means by which Hoople schools currently access BWON and how this will affect Lincolnshire schools.	Improving	- Develop a clear engagement and communication plan with schools **(JM)**. A working party is now established with Schools representatives, for a meeting early in the Autumn. - Ensure schools have a clear understanding of the need for a direct arrangement with LCC for financial support and payroll **(JM)**. - LCC to establish a working group to engage with Hoople and schools to ensure the Hoople stack meets school's needs. It has been made clear that LCC would want schools to have e-forms and access to BWON – so a change from the current portal available to them **(GR)**. This will be addressed as part of the working group and will close alignment to Hoople.	M	Jason Davenport
025	Capability to run a complex schools payroll system.	Jason Davenport (JD) / Gareth Roberts (GR)	Duncan Trumper	- Require a demo of the Hoople provision to schools using the e-portal interface. - Need to define which HR & Payroll processes are different for schools to determine gap between Hoople provision and LCC requirements. - Need to capture working scenarios that are unique to schools that can create exceptional requirements for HR & Payroll.	Improving	- Specification is being developed. **(JD)** - System receives appropriate levels of stress-testing. - Experienced personnel are allocated to this area and working groups are being established to begin work in the Autumn with Bursars, Head Teachers and Governors to allow full engagement in the overall service proposition. - Scenario tests included a number of schools issues – multiple post holders, teacher's pension scenarios etc.. all designed to test their understanding which was completed well. Hoople have a separate Schools Admin and Payroll Service team, deliberately established as recognising the service to Schools does differ to that required of Corporate. Julie Davies, Head of Service for Hoople, is very experienced in this area and welcomes early dialogue with Schools representatives to ensure good traction throughout the process.	M	Jason Davenport
026	The lead-in period and length of dual running to ensure we have 6-9 months of accurate data prepared by Hoople.	Jason Davenport (JD)/ Gareth Roberts (GR)	Duncan Trumper/Owen Jones	- Hoople are preparing a transition plan with a view to commencing in Sep 18 in order to provide sufficient support and capacity. - Outline transition plan review on 18/07/18 with Hoople includes four parallel pay runs (and appreciation of Lincolnshire's difficulty in being able to manage these), plus support for the exercise of additional sample checking where issues have been known to occur.	Improving	- Hoople proposal received and outline proposal plan reviewed; length of dual running offers a sound approach to early testing of data migration activities and recruitment of required staff. Parallel pay runs incorporated with a clear lead time between each one. Further review works to be completed w/c 20.8.18 **(GR)**.	M	Gareth Roberts

027	What controls and assurances are required for the accuracy and validation of the existing payroll delivered by Serco?	Jason Davenport (JD)	Duncan Trumper/Owen Jones	- Second stage of the current payroll review is the verification work which changes the data or processes around data to better control the payroll environment. Currently all workarounds found have been documented. - Additional Payment & Deduction changes going through the Change Advisory Board (CAB) suggest correction work is still on-going.	Improving	- Continual audit activity to review evidence that either data changes, or process changes are embedded and quality assured **(JD).** Dates have been planned in for August and September to achieve this. - A number of the workarounds are actually quality controls and need to be tested, and evidenced as working correctly. - CAB continually reviewing P&D requests as a result of deficient results and enhancement required. - Dedicated project board to oversee this activity **(JD)**.	M	Jason Davenport
028	How will data migration be managed from the existing system?	Gareth Roberts (GR)	Duncan Trumper/Owen Jones	- As part of the Hoople design workshops, data migration (in conjunction with data cleansing, alignment and hardening) has been an ongoing subject for deliberation. - Key areas to de-risk the data migration have been considered, including; the use/building of Agresso standard HR structures, data cleansing, and a number of tasks have been revealed to better align ourselves to Hoople settings (e.g. P&D codes, units of measure, standardised values). - Formal approach to data hardening, cleansing and alignment agreed formally at the ERP board on 19/07/18.	Improving	- Initiate approach agreed for data hardening, cleansing and alignment **(GR)**. - Clear signposting of early migration test activities evident on the Hoople proposal, such as the data migration 'dry run' tabled for May 2019 **(GR)** - Agreement to engage Unit4 for 'product assurance' works alongside Hoople and programme governance structures **(GR)**	M	Gareth Roberts

Service Maturity - capacity and scalability to support LCC

029	LCC and the supplier can demonstrate effective project management to ensure the successful implementation and delivery of the ERP and payroll function.	Gareth Roberts / Wendy Henry (WH)/ Jason Davenport (JD)	Duncan Trumper	- The workshops recently held have been designed to give both parties a clearer picture of the current situation. Hoople are now building their own plan to support the overall proposal and the workshops have flagged areas of concentration where gaps may exist that need to be closed. - CSSC programme includes a detailed project plan for this aspect which will be dovetailed with Hoople's approach to form an integrated approach. - Hoople propose to bring on a dedicated project manager, working directly with the CSSC programme to co-ordinate efforts. Works to date suggest that Hoople will continue to use best practice and pragmatically engage with third parties (e.g. Unit4) as required.	Improving	- Hoople have provided a plan to support the on-boarding approach - if agreements are reached, then one of the first actions of Hoople will be to place an experienced Project Manager to support and have the individual work across both Hoople and Lincoln offices. - The change management stream has identified many areas of focus to be considered as part of the broader change required to make best use of the Hoople stack. This sits within the functional work that is required, to ensure successful service delivery once go-live **(WH)**.	S	Jason Davenport
030	The location and proximity of Herefordshire to Lincolnshire for both operational and staffing aspects.	Andrew McLean (AMc)/ Gareth Roberts (GR)/ Jason Davenport (JD)	Duncan Trumper	- No specific scenarios which adversely affect the distance between Herefordshire and Lincolnshire have been discovered. - Hoople physically host Business World On! in their own internal data centre, on site in Hereford. Serco currently host BWON in a sub-contracted supplier's facilities in London. To this extent, the physical distance between the two counties is irrelevant as long as sufficient network bandwidth/quality is available between the end-user device and the respective data centre.	Static	- Being worked on as part of the PESTLE review (re. 003) **(JD)**. - Agreements need to be made on frequency and cohort required for service governance reviews **(AMc)**. - Day to day service would operate in a similar remote manner; phone and email contact. - A strategy to consider is channel shift towards additional engagement channels, such as chat facility, remote desktop accessing and video conference capability **(GR)**.	M	Andrew McLean

031	Organisational structure, biographies of senior management, training and development plan	Jenna Hylton (JH)	Duncan Trumper	- Awaiting response with requested information. - Received organisational structure.	Static	- Followed up request of biographies of senior management and training and development plan. **(JH)**	**C**	Jenna Hylton
032	How will the service be resourced to incorporate Lincolnshire? What assurances are there that experienced staff will focus on Lincolnshire's needs?	Gareth Roberts (GR)/ Jason Davenport (JD)	Duncan Trumper	- Hoople are aware of their responsibilities under TUPE should this apply. - Hoople have Admitted Body status within the Worcestershire County Council pension fund. - The Operational management team at Hoople would give consideration to the new client requirements, as well as the development of current post-holders. - A number of experienced staff would be selected to populate the new service and those who have been demonstrating the ability to take on more would be considered as part of the back fill to support current operations, allowing personal growth and development for all candidates. - With such a considerable increase in staffing, the new members of staff would be brought into the service with a range of functional skills, and supported through induction and mentoring to be able to support the service.	Improving	- The Operational management response has been consistent and is good industry practice, to release experienced individuals during a phased approach. This allows more experienced team to take control of testing and parallel processes, which back-filling them safely with those who will be stepping into the roles that are made vacant. Both strategies coupled with additional recruitment is the correct route to both organic and acquisitive growth in personnel. In further support of this, Julie Davies, Head of Service brought a Payroll team leaders to the sessions to outline the proposed plan and approach. **(JD)**	**M**	Jason Davenport
033	Sickness, turnover and training records for staff over the past 3 years.	Jo Ogden (JO)	Duncan Trumper	- Good attrition and sickness records displayed. - Copies of Hoople's sickness records, staff retention and staff training have been saved on file.	Closed	- Ongoing monitoring as part of the contract. **(AMc)**	**S**	Jo Ogden
034	The supplier can attract and retain staff who are appropriately skilled and qualified to meet the needs of the service.	Jason Davenport (JD)	Duncan Trumper	- Hoople have their own recruitment agents who work closely with the operational heads of service, to ensure close match of candidate profile to the positions available. - The recruitment campaign would be significant, but would be populating a variety of functions. Hoople have an excellent (low) attrition rate, which is a positive indicator of the leadership in place and the opportunities provided for development.	Improving	- Hoople have their own recruitment arm, as well as a number of Preferred Suppliers for recruitment. They will seek appropriately qualified (CIPP / CIPD) personnel in the first instance and offer training to those who are seeking development. Hoople is close to Gloucester, Birmingham and Worcester Universities. - Planning is well underway for early recruitment and an innovative approach to assessment centres, ahead of interviewing is being designed to help ensure those recruited have the right skill sets to join the team and support the service. - To monitor through transition and contract management. **(AMc).**	**S**	Jason Davenport
ICT - interfaces between LCC and Hoople systems are robust								
035	The IMT interface of LCC's server capacity and user equipment.	Gareth Roberts (GR)/Dave Rose-Allen (DRA)	Duncan Trumper	- Architecture presented in Hoople's technical workshop meets all specified IMT requirements (including necessary security). - Key focus is on bandwidth (including resilience) and end-user equipment, but no issues raised by LCC IMT beyond ensuring bandwidth is available especially to more remote Lincolnshire sites. - Dialogue with Hoople's lead technical architect demonstrates an understanding of infrastructure limitations and how best to work around these.	Improving	- Project plan to reflect ongoing testing and design to enable the future solution to be adequately managed on LCC's infrastructure, with early indication of problem areas (e.g. bandwidth testing at more constrained sites) **(GR)**.	**M**	Gareth Roberts

036	Ensure appropriate systems are in place and relevant interfaces are understood and developed.	Gareth Roberts (GR)/Dave Rose-Allen (DRA)	Duncan Trumper	- Current interfaces presented at technical workshop (30th May 2018); no issues raised currently. - Potential to deprecate some existing interfaces through the improved use of Business World On! (e.g. Spitfire).	Static	- A review of Hoople's proposal shows that they have captured the relevant system interfaces; however, we know that this listing may change between now and 2020. Careful change management is required to manage this moving forward. - Further works to be commissioned as required to specify less-understood interfaces **(GR)**.	M	Gareth Roberts
037	Determine the requirements of relevant software licenses.	Gareth Roberts (GR)/Dave Rose-Allen (DRA)	Duncan Trumper	- We have received clear, legal confirmation that Unit4 will allow the Council to use its existing licenses on Hoople's platform (including use of the recruitment platform, U4R) which is licensed together with Business World On. - Other licenses will be reviewed as per Hoople's solution design.	Improving	- Other licenses will be reviewed as per Hoople's solution design **(GR)**.	M	Gareth Roberts
038	Ensure adequate testing of systems in all aspects	Gareth Roberts (GR)/Dave Rose-Allen (DRA)	Duncan Trumper	- Testing listed in current plan; approach provided by Hoople is credible in discussion and at technical workshop (30th May 2018).	Improving	- Low level designs to be developed with specification; this is to include how robust testing will be achieved to prove the interface **(GR)**. - Initial appraisal of the outline Hoople's transition plan received; a better view of the risk will be obtained from the assessment of this on 14th August 2018 (**GR/DRA**).	M	Gareth Roberts

RAG Rating:

22	Minimal risk to the council after considering mitigations. Officers recommend accepting these risks.
16	There are outstanding, material risks which represent a low to medium threat to the council's projects and/or services. Officers recommend accepting these risks.
0	There are outstanding material risks which represent a high threat to the council's projects and/or services. Officers would recommend against accepting these risks.

MoSCoW Rating:

M - Must have this requirement to meet the business needs
S - Should have this requirement if possible, but project success does not rely on it
C - Could have this requirement if it does not affect anything else on the project
W - Would like to have this requirement later, but delivery won't be this time

Risk No	Risk Type	Risk Description	Impact Type	Risk Owner	Raised By	Date Raised	Existing Controls	Current Risk Score			Developing Controls	Action Owner	Due Date	Status	Risk Progress	Target Risk Score			Date of last update	Comment	Actual closure date
								Probability	Impact	Score						Probability	Impact	Score			
001	Organisational / Management / Human Factors	LCC is unable to change its business processes adequately in order to conform to Hoople's solutions	Quality	Wendy Henry	GR	06/04/18	Agreement (baked into terms of references) on the need for change. CMB sponsorship of the approach. Establishment of a technical design authority.	2	3	6	Development of a catalogue of required changes, complete with impact and MoSCoW rating to prioritise required change importance.	Gareth Roberts	Ongoing	Active	Static	1	3	3	02/08/18	GR 180613: updated, scores left unchanged. Dev controls updated post-workshop and change analysis. No show stoppers found in the change catalogue after review with BA.	
002	Strategic / Commercial	Hoople withdraw from becoming LCC's supplier for required services prior to finalising any proposed agreement.	Time	Andrew McLean	GR	06/04/18	Continual dialogue to ascertain intention. Early disclosure of hygiene factors which may cause Hoople to consider this outcome. Expediency in formal agreement(s) with Herefordshire CC.	2	4	8	Relevant agreement (previously: S101) in order to provide a firm agreement, negating this possibility.	Andrew McLean	Ongoing	Active	Improving	1	4	4	02/08/18	GR 180802: updated, amendment to developing controls to broaden the type of agreement available. GR 180613: updated. Mindful of current scoring based on alternative theories for partnership (e.g. shareholder) being mused, but left unchanged currently.	
003	Technical / Operational / Infrastructure	Unexpected development/ requirements impact on project timelines/budget	Cost	Gareth Roberts	GR	06/04/18	Scope drafted and agreed early via PID. IMT resource to identify system integrations; full specification to be provided and agreed with Hoople. Re-engineering principles to avoid new technical solutions.	2	2	4	Development of an agreed specification. Workshops to tease out larger impact work items. Prioritisation process now implemented within the Agresso Governance group to prioritise changes beneficial to the transition and organisational health. Agreement with Keith Ireland to keep clear water (but close collaboration) between ERP2020 and BAU pressures.	Dave Rose Allen / Wendy Henry / Helen Edwards	Ongoing	Active	Improving	2	2	4	08/08/18	GR 180802: updated RAG based on agreement with CX regarding BAU pressures (significant source of scope creep). GR 180613: updated, control in the Agresso governance group added based on HE/GR works to implement prioritisation. Score unchanged.	
004	Strategic / Commercial	Serco - unable/unwilling to field sufficient, appropriate SMEs	Quality	Andrew Mclean	GR	06/04/18	Early commercial dialogue and project pressure brought to bear in order to bring this to a head; pragmatic selection of Serco staff to support sessions.	1	3	3	Commercial agreement with Serco. Ongoing collaborative dialogue with Serco senior management	Andrew Mclean / Sophie Reeve	Ongoing	Active	Improving	1	3	3	02/08/18	GR 180613: updated, score affirmed based on Serco's releasing of key SMEs for the workshops and ongoing dialogue. No current commercial agreement in place to formalise the process.	
005	Technical / Operational / Infrastructure	Serco - BAU service collapses or significantly erodes should the potential ERP movement be confirmed	Quality	Fiona Thompson	GR	06/04/18	Careful relationship management with Serco. Identification of BCP/DR plans from Serco.	2	4	8	Review of BCPs/DR plans.	Jason Davenport	Summer 2018	Active	Static	1	4	4	08/08/18	GR 080818: Changed Action Owner to Jason Davenport (agreed with WH) GR 180613: updated, altered wording to 'significantly erodes' to better reflect the actual risk. Serco BCPs do not currently address staff attrition issues - JD managing. Current risk probability raised due to redefinition of probability as 'possible'.	
006	Technical / Operational / Infrastructure	Serco - Key non-BWON systems fail during the implementation of Hoople solution (e.g. Spitfire as warned)	Time	Dave Rose-Allen	GR	06/04/18	Expedited view of LFRS system and futures. Ongoing review of all IMT systems that are required for as part of existing end to end ERP processes.	2	2	4	Review of LFRS future report (still awaiting issuance). Progression of intermediate Spitfire actions (e.g. housekeeping).	Dave Rose-Allen	Ongoing	Active	Static	2	2	4	02/08/18	GR 180802: updated to include additional developing control (no RAG change) GR 180613: updated, to note that the LFRS system review report has not been published as of yet.	
007	Political	Non-corporate stakeholder groups (e.g. Schools/LFRS) do not feel that they are being sufficiently involved	Benefit	Gareth Roberts	GR	06/04/18	Comms analysis being worked on. Detailed thought process in involving schools and LFRS via other representatives.	2	3	6	Development of ERP steering board which will contain schools and LFRS. Schools engagement group now established; first meeting in September 18	Steve Cargill	Ongoing	Active	Improving	1	3	3	02/08/18	GR 180613: updated, developing controls still remain effective to best mitigate the risk, and ongoing change management/engagement works as part of the wider programme.	
008	Technical / Operational / Infrastructure	Corruption of 19/20 payroll prevents the payroll system and service being tested according to standard methodology of 3 parallel pay runs	Quality	Fiona Thompson	GR	10/04/18	Raising of risk to Service Manager - People (10/4/18) and formal raising of risk to programme board for resolution. Ongoing monitoring of payroll audit actions for continual assessment.	3	3	9	Ongoing internal LCC Audit review and assurance of the system. Master Data Management project reviewing what any current issues are and how they will be resolved.	Vicki Sharpe	Ongoing until 31/3/19	Active	Static	3	3	9	08/08/18	WH 080818: Changed Action Owner to Vicki Sharpe (as pay and reward lead and Internal Audit action plan lead, agreed with WH) GR 180613: updated, no change to the risk profile (confirmed with JD).	
009	Technical / Operational / Infrastructure	Counter-productive changes are made to the existing system whilst working towards Hoople's implementation	Quality	Wendy Henry / Helen Edwards	GR	10/04/18	ERP governance group will funnel all new change requests through an agreed 'prioritisation matrix' which ensures that statutory and high priority changes will be scheduled, whilst lesser priority/benefit changes will be deprioritised.	1	2	2	Establishment of a defined change freeze ASAP. Current risk score assumes this will be implemented in good time, in 2019. Priority matrix enabled in governance group (process agreed with CX). List of HR & Payroll priorities under review with Serco to agree key list	Wendy Henry / Helen Edwards	Ongoing	Active	Static	1	2	2	08/08/18	GR 080818: Meeting held with Serco to agree list of priorities for 18/19 as per KI directive; LCC/Serco agreement on this being a final agreed list; reduced risk score as a result. GR 180802: Dev control added (priority matrix agreed) and current risk score updated. GR 180613: updated, change prioritisation has now formally begun - effectiveness to be gauged over the next development sprint.	
010	Technical / Operational / Infrastructure	No solution for existing SAP system is found, and subsequently SAP licensing costs/technical impact is borne by LCC from 2020.	Cost	Andrew McLean	AMc	19/04/18	Agreed Project was due to move data out of SAP to allow system and license closure but this has not yet delivered.	3	2	6	Commercial understanding of the SAP position. Alternatives explored with Hoople. Action plan agreed between Sue Cline, ERP project & Hoople for SQL co-location; initial analysis phase estimated and agreed	Gareth Roberts/ Dave Rose-Allen	Ongoing	Active	Static	2	2	4	02/08/18	GR 180613: exploration with Hoople on their default proposition for providing a database for non-transitioned data has continued; IMT engaged and positive with the initial proposal. Hoople have requested technical SAP data with a view of providing a WebEx demonstration of their solution (currently used by a number of their clients).	
011	Strategic / Commercial	By moving to a Hoople-controlled ERP stack and service provision, LCC loses key strategic benefits over in-house management of the system ("Sovereignty")	Benefit	Dave Simpson	AMc	01/08/18	Risk analysis produced; decision making focused on ensuring the organisation is fully aware of pros and cons of moving to a different operating model provided by Hoople.	4	3	12	Full appraisal of options with sponsor and CMB. Requires balance to ensure that any risks are mitigated and benefits are understood to be fully realised.	D Simpson / Gareth Roberts	01/09/17	Active	Improving	3	2	6	02/08/18	GR 180802: risk created (emergent risk/issue)	
012	Technical / Operational / Infrastructure	Risk of disruption to existing services during initial period of service go-live as the new supplier takes over the system and addresses any issues.	Quality	Dave Simpson/ Fiona Thompson	AMc	07/08/18	Detailed transition plan established with Hoople. Dedicated Hoople Programme Manager to be appointed. Hoople to form part of the Project team. Project team to continue during implementation period.	3	3	9	To be incorporated as part of the SLA between LCC/Hoople. Dedicated contract manager to be established for LCC and Hoople to manage issues.	Gareth Roberts/ Andrew McLean	Ongoing	Active	Static	2	2	4	07/08/18		
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Lincolnshire COUNTY COUNCIL

Risk No	Risk Type	Risk Description	Impact Type	Risk Owner	Raised By	Date Raised	Existing Controls	Current Risk Score			Developing Controls	Action Owner	Due Date	Status	Risk Progress	Target Risk Score			Date of last update	Comment	Actual closure date
								Probability	Impact	Score						Probability	Impact	Score			
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Lincolnshire COUNTY COUNCIL

Risk No	Risk Type	Risk Description	Impact Type	Risk Owner	Raised By	Date Raised	Existing Controls	Current Risk Score			Developing Controls	Action Owner	Due Date	Status	Risk Progress	Target Risk Score			Date of last update	Comment	Actual closure date
								Probability	Impact	Score						Probability	Impact	Score			
001	Organisational / Management / Human Factors	Insufficient LCC capacity and capability within the payroll project team	People/Resources	Wendy Henry	Jane Maddison	26/03/18	Service Leads to identify known capacity risks, seeking to utilise existing resource of the commercial project team wherever possible. Engagement of a payroll 'expert' to support the project Looking at Serco requirements and liaison with Sophie Reeve on who and when required	2	3	6	Resource plans being developed in conjunction with Hoople resource plans. Hoople Project Manager to be appointed by September 18. Ongoing dialogue with Serco in respect of resource requirements (BAU & Project)	Jane Maddison Jason Davenport	30.09.18	Active	Improving	2	2	4	08.08.18	Hoople proposal currently under review. Detailed plans expected August 18	
002	Organisational / Management / Human Factors	Insufficient time to deliver the project	Time	Wendy Henry	Jane Maddison	26/03/18	High level timeline in place Project plan in place	2	3	6	Project plan to be refined based on Hoople requirements. Hoople initial plan indicates sufficient time to deliver all requirements within the timeline	Jane Maddison	30.09.18	Active	Improving	2	2	4	08.08.18	Hoople proposal currently under review. Detailed plans expected August 18	
003	Strategic / Commercial	Serco do not release the appropriate resources to the project	Quality	Wendy Henry	Jane Maddison	26/03/18	Commercial discussions in place and on-going with Serco. Resource plan developed to identify resource requirements from Serco for workshops - Letter issued to Mark Bennett, Serco requesting resources 6.4.18. Agreed process where Serco resources are identified and requested.	2	3	6	Further Serco resources may be required following the review of Hoople resource requirements.	Sophie Reeve Jane Maddison Jason Davenport	31.03.20	Active	Improving	2	2	4	08.08.18	Dialogue ongoing with Serco through existing relationships	
004	Organisational / Management / Human Factors	Key resources at Serco are diverted to the project which has a direct impact on quality of BAU services	Quality	Fiona Thompson	Jane Maddison	26/03/18	Agreed to recharge to Serco for resource to cover back fill requirements Know requirements at present identified	2	3	6	Review of plan regarding Serco resources and back fill requirements Looking at Serco requirements and liaison with Sophie Reeve on who and when required	Jane Maddison	30.03.20	Active	Improving	2	2	4	08.08.18		
005	Organisational / Management / Human Factors	Insufficient contingency plans built within the project for the successful implementation of a payroll system	Time	Wendy Henry	Jane Maddison	26/03/18	Hoople aware of requirements of contingency to be build in their plans	3	3	9	Project plan will include contingency Planned 3 months dual running of payroll as an additional contingency Potential fall back position could be Serco	Jane Maddison	30.09.18	Active	Improving	2	2	4	13.08.18		
006	Strategic / Commercial	In the absence of a signed Section 101 agreement with Hoople, they are under no obligation to provide future services to LCC	Scope	Wendy Henry	Andrew McLean	26/03/18	Active dialogue between LCC / HCC & Hoople	4	3	12	Continued dialogue on the Section 101 agreement Regular calls taking place between both parties	Sophie Reeve Andrew Mclean	30.09.18	Closed	Improving	2	2	4	08.08.18	This risk is on the CSSC programme No 023.	
007	Technical / Operational / Infrastructure	Lack of system to process retained fire pay as Spitfire is at "end of life" and at risk of fall over / failing	Scope	Wendy Henry	Fiona Thompson	09/04/18	Positive meeting with Fire on 15.6.18 D Yeates member of Payroll & Pension Board	3	4	12	Revised fire solution / proposal being considered Hoople working on solutions for Fire pay and engaged individuals with fire expertise	Jason Davenport	30.09.18	Active	Improving	2	2	4	08.08.18		
008	Organisational / Management / Human Factors	Lack of appropriate levels of investment in developing the Council's intelligent client capacity in relation to payroll systems and matters.	People/Resources	Fiona Thompson	Andrew McLean	17/04/18	Organisational structure to include Intelligent Client Function.	2	3	6	Document and draft proposals currently being worked up with Jason Davenport together with support on structure from Adam Davey.	Fiona Thompson	30.09.18	Active	Improving	2	2	4	13.06.18		
009	Organisational / Management / Human Factors	Key resources at Serco are not retained and leave to secure more secure employment creating disruption to the existing service.	People/Resources	Fiona Thompson	Andrew McLean	17/04/18	Commercial discussion of potential financial retainer of key staff within the payroll function. Costing now provided for consideration. Early engagement with Unions to ensure staff are kept informed.	2	4	8	Communication issued to Unison on 23/7 and a meeting is planned for 13/9 to provide an update on developments.	Sophie Reeve Jane Maddison	31.03.20	Active	Improving	2	3	6	08.08.18		
010	Organisational / Management / Human Factors	Hoople are unable to recruit sufficient, suitability skilled payroll staff to deliver the function from January 2020 and beyond	People/Resources	Fiona Thompson	Tony Warnock	24/04/18	Part of Hoople proposal	2	4	8	Hoople already assessing resource requirement. Looking to engage their experience workforce on the LCC payroll. Recruitment to take place later in 2018	Jason Davenport	01.10.19	Active	Improving	2	3	6	13.08.18		
011	Technical / Operational / Infrastructure	Relevant balance sheet 'control accounts' won't be reconciled immediately prior to April 2020	Quality	Tony Warnock	Tony Warnock	24/04/18	This work forms part of the pay statement project	3	4	12	Rectification workstream within pay statement project should be completed by December 18	Tony Warnock	31.03.19	Active	Static	2	2	4	08.08.18		
012	Technical / Operational / Infrastructure	Hoople may decline to take on HR admin and payroll function when the full extent of the payroll issues with the current payroll system and data are known	People/Resources	Andrew Mclean	Jane Maddison	24/04/18	Disclosure to Hoople of all current issues (May 2018) including workshops	2	3	6	Section 101 agreement	Andrew Mclean	31.07.18	Active	Improving	2	2	4	13.06.18		
013	Technical / Operational / Infrastructure	Not all manual work arounds are known which could have an impact of the future configuration and delivery	Quality	Wendy Henry	Jane Maddison	24/04/18	Reported that either system fix in place or manual work around operational	3	3	9	Initial summary reviewed by Internal Audit. Further work scheduled for audit review in August 2018	Jason Davenport Julie Castledine	31.8.18	Active	Static	2	2	4	08.08.18		

9.3 - Corporate Support Services Re-provision - Payroll Progress Report - Annex 3 Payroll Risk Log

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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.

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			
Title of the policy / project / service being considered	Corporate Support Services Commissioning	**Person / people completing analysis**	Andrew McLean, Programme Manager
Service Area	Corporate Services	**Lead Officer**	Debbie Barnes, Executive Director and Programme Sponsor
Who is the decision maker?	LCC Executive	**How was the Equality Impact Analysis undertaken?**	A desktop review.
Date of meeting when decision will be made	Initial decision to be made on the 1st May 2018	**Version control**	Version 0.3
Is this proposed change to an existing policy/service/project or is it new?	Existing policy/service/project	**LCC directly delivered, commissioned, re-commissioned or de-commissioned?**	Commissioned
Describe the proposed change	To carry out a full commissioning review of the existing Corporate Support Services contract held between LCC and Serco in order to determine the future commissioning arrangements when the existing agreement comes to an end on the 31st March 2020. Existing services affected by this review include Payroll, People Management, Exchequer services, Adult Care Finance, IMT and the Customer Service Centre. The Council's Enterprise Resource Planning (ERP) system is also subject to this review. The services are all essential back office support and there is no intention to de-commission any of the service areas covered by the existing contract. Instead the Council is reviewing how the services can best be commissioned from April 2020. The possible outcomes are an extension of the contract with Serco, insourcing some or all of the services or finding a third party provider for some or all of the services or a combination of the above. Once the preferred option is identified then the objective of the programme will be to implement that preferred approach.		

Page 114

At this stage of the review, the Council is recommending entering into a shared service arrangement with Herefordshire Council, for the exercise of the Council's payroll and HR administration functions through its wholly owned supplier Hoople and to provide access to Hoople's Business World ERP for the Council's finance functions from the 1st April 2020 subject to a satisfactory conclusion to some additional outstanding work that is still to be done including the negotiation of a shared services agreement. The key drivers are to secure a safe and effective Payroll with a low error rate; to retain the benefits of an ERP system and to secure an ERP which is fit for purpose, flexible, cost effective and easy to use. These drivers will be kept under review by the Programme Board.

In addition, a recommendation has been made and agreed for the Council to carry out market engagement with IMT providers. Workshops are to be conducted with senior managers and councillors to gain their input to understand the necessary IT requirements for any future service delivery model. Should the Council seek to re-procure the IMT service, any re-procurement exercise will commence by December 2018.

Serco have also been requested to price for an extension of the contract as a result it is possible that in fact there will be no or minimal change to the existing arrangements with Serco.

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 1st April 2015, managers can obtain workforce profile data by the protected characteristics for their specific areas using Agresso.

Age	Any benefit will be to all employees and in that sense has the potential to positively benefit old and young employees alike though not differentially in terms of employees with non-protected characteristics.
Disability	Any benefit will be to all employees and in that sense has the potential to positively benefit disabled employees though not differentially in terms of employees with non-protected characteristics.
Gender reassignment	Any benefit will be to all employees and in that sense has the potential to positively benefit those employees who have undergone gender reassignment though not differentially in terms of employees with non-protected characteristics.
Marriage and civil partnership	Any benefit will be to all employees and in that sense has the potential to positively benefit those who are married or in a civil partnership though not differentially in terms of employees with non-protected characteristics.
Pregnancy and maternity	Any benefit will be to all employees and in that sense has the potential to positively benefit pregnant employees or those on maternity leave though not differentially in terms of employees with non-protected characteristics.
Race	Any benefit will be to all employees and in that sense has the potential to positively benefit employees whatever their race.
Religion or belief	Any benefit will be to all employees and in that sense has the potential to positively benefit those employees with religious or other beliefs though not differentially in terms of employees with non-protected characteristics.

Sex	Any benefit will be to all employees and in that sense has the potential to positively benefit all employees whatever their gender though not differentially in terms of employees with non-protected characteristics
Sexual orientation	Any benefit will be to all employees and in that sense has the potential to positively benefit employees whatever their sexual orientation though not differentially in terms of employees with non-protected characteristics.

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.

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	No perceived adverse impact
Disability	Staff with specific disabilities could be affected should services in the future be delivered outside of Lincolnshire. At the appropriate time, we will be requesting TUPE information from Serco and further analysis will be necessary. Regular communication with staff affected will be carried out by the Council and Serco to minimise the impact. No mitigating action identified at this time.
Gender reassignment	No perceived adverse impact
Marriage and civil partnership	No perceived adverse impact
Pregnancy and maternity	Staff may feel adversely affected by changes because of their absence from the workplace. At the appropriate time, we will be requesting TUPE information from Serco and further analysis will be necessary. Regular communication with staff affected will be carried out by both the Council and Serco to minimise the impact. No mitigating action identified at this time.

Race	No perceived adverse impact
Religion or belief	No perceived adverse impact
Sex	Based on historic analysis of these services, we believe there may be a greater number female employees likely to be affected by TUPE. At the appropriate time, we will be requesting TUPE information from Serco and further analysis will be necessary. Regular communication with staff affected will be carried out by both the Council and Serco to minimise the impact. No mitigating action identified at this time.
Sexual orientation	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.
If the Council changes its commissioning arrangements from April 2020 there could be a negative impact due to the potential for TUPE transfer of LCC employees into other organisations and also the potential TUPE transfer of Serco employees into other organisations (which may include some insourcing to the Council). Given the services in scope, we believe there may be greater number of female employees likely to be affected by TUPE. At the appropriate time, we will be requesting TUPE information from Serco and further analysis will be necessary. Services in the future may potentially be delivered outside Lincolnshire. It should be noted that depending on arrangements TUPE transfers could be seen as positive or negative by an employee. In any event the change will require careful management.

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

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

There has been no specific stakeholder consultation or engagement activity at this stage of the review.

Meeting set up for Monday 20th August with the Community Engagement team to discuss any possible consultation/engagement events which could be conducted. Following this meeting, a workshop shall be organised with the key project stream leads within the programme to discuss the inclusion of the individual project workstreams within the EIA document.

Age	
Disability	
Gender reassignment	
Marriage and civil partnership	
Pregnancy and maternity	
Race	
Religion or belief	

Page 122

Sex	
Sexual orientation	
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? The purpose is to make sure you have got the perspective of all the protected characteristics.	Yes, at this stage of the review. Going forward the programme will seek to: • Analyse both LCC and Serco HR data in order to understand and analyse the make-up of staff with protected characteristics. • Identify the potential impacts and any mitigating actions required. Consultation or engagement exercises will be undertaken at the appropriate stage, if any changes to employment and working practices are considered, comments from staff will be taken into account. Staff on maternity or paternity leave will receive the same information, support and guidance as those staff who are not pregnant or on maternity or paternity leave. Staff will not be treated differently if they become pregnant. A person's disability should not act as a barrier to employment if the person is able to demonstrate that they can undertake the work. In the event of any transfers from one employer to another there will be counselling opportunities available for staff who feel they need to access this.
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?	Workforce statistical data will continue to be monitored throughout the implementation of the programme.

Further Details

Are you handling personal data?	Yes If yes, please give details. Going forward we will be handling HR data on LCC and Serco employees identifying protected characteristics.

Actions required	Action	Lead officer	Timescale
Include any actions identified in this analysis for on-going monitoring of impacts.	Clarify workforce information and undertake analysis by protected characteristics – particularly gender, disability and pregnancy/maternity.	Wendy Henry	30 June 2018
	Continued iteration of the impact analysis throughout the programme	Wendy Henry	Ongoing
	In the event of any change in employer, consultation exercised will be required at the appropriate time.	Appropriate Service Leads as required.	TBC

Version	Description	Created/amended by	Date created/amended	Approved by	Date approved
v0.1	Issued following establishment of the CSSC programme.	Andrew McLean	04/04/2018	Debbie Barnes	16/04/2018
v0.2	Updated for OSMB 28/06/2018	Andrew McLean	14/06/2018	Debbie Barnes	15/06/2018
v0.3	Updated for OSMB 30/08/2018	Andrew McLean	14/08/2018	Debbie Barnes	15/08/2018

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Policy and Scrutiny

Open Report on behalf of Keith Ireland, Chief Executive

Report to:	**Oveview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Council Business Plan 2018 - 2019 Performance Report, Quarter One**

Summary:

This report invites the Overview and Scrutiny Management Board (OSMB) to consider a report on the Council Business Plan 2018 - 2019 Performance Report, Quarter One which will be presented to the Executive on 4 September 2018. The views of the Board will be reported to the Executive as part of its consideration of this item.

This report also presents the Council Business Plan performance indicators that fall within the remit of the Board.

Actions Required:

The Overview and Scrutiny Management Board is invited to:-

1) Consider the attached report and to determine whether the Board supports the recommendation(s) to the Executive as set out in the report.

2) Agree any additional comments to be passed to the Executive in relation to this item.

3) Comment on the Council Business Plan performance indicators that fall within the remit of the Board.

1. Background

The Executive is due to consider a report on the Council Business Plan 2018 - 2019 Performance Report, Quarter One (Q1) at its meeting on 4 September 2018. The full report to the Executive is attached at Appendix 1 to this report.

There are a small number of measures that fall within the remit of this Board. All of those measures where it is appropriate to compare with a target achieved the target in Quarter 1. All of the measures that fall within the remit of this Board can be viewed here and are listed under "We effectively target our resources".

When considering this report, OSMB may wish to pay particular attention to updates from the Chairman of each scrutiny committee on any points they wish to bring to the attention of OSMB including the following:

- Plans to amend targets which are no longer appropriate (E.g.'Carers supported in the last 12 months per 100,000');
- Time frames for reviewing measures within the commissioning strategies;
- The partnership working taking place to improve the outcome for measures which are outside of the responsibility of the County Council e.g. Satisfaction with crime and antisocial behaviour.

2. Conclusion

Following consideration of the attached report to the Executive, the Board is requested to consider whether it supports the recommendation(s) in the report and whether it wishes to make any additional comments to the Executive. Comments from the Board will be reported to the Executive.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

No

b) Risks and Impact Analysis

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.

4. Appendices

These are listed below and attached at the back of the report	
Appendix 1	Report on Council Business Plan 2018 - 2019 Performance Report, Quarter One to be presented to the Executive at its meeting on 4 September 2018

5. 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.

Open Report on behalf of Keith Ireland, Chief Executive

Report to:	**Executive**
Date:	**04 September 2018**
Subject:	**Council Business Plan 2018 - 2019 Performance Report, Quarter One**
Decision Reference:	**I015766**
Key decision?	**No**

Summary:

This report presents an overview of performance for Q1 against the Council Business Plan.

Executive can view performance on the web using this link

Recommendation(s):

That Executive:-

(1) Note and consider 2018/2019 Quarter 1 performance.

(2) Approve the proposed changes to reporting as set out in 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 this report and instead to continue to report against the measures as published in the Council Business Plan 2018/2019. 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 2018/2019 and propose changes to reporting to assist the Executive in monitoring that performance in future.

1. Background

The Council Business Plan 2018/2019 was approved by Council on 23rd February 2018. This report provides the Executive with highlights of Q1 performance. The full range of infographics, now hosted on the WordPress platform, is available to view on this link

Headlines Quarter 1 performance

Of the 14 commissioning strategies reported in Q1:-

6 performed really well (all measures reported in Q1 achieved the target); 5 performed well (all but 1 measure reported in Q1 achieved the target); 2 had mixed performance (some measures achieved and some measures did not achieve the target in Q1) and 1 underperformed (both measures reported in Q1 did not achieve the target).

The following 3 commissioning strategies are reported annually in Q4:-
- Learn and achieve
- Readiness for school
- Sustaining and developing prosperity through infrastructure

The good news
The following 6 commissioning strategies have performed really well (all measures reported in Q1 achieved the target):-

Children are safe and healthy
How we effectively target our resources (Combination of 3 commissioning strategies)
Readiness for Adult Life
Sustaining and growing business and the economy

The following 4 commissioning strategies performed well (all but 1 measure reported in Q1 achieved the target):-

Adult Frailty, long term conditions and physical disability
Safeguarding adults
Specialist adult services
Wellbeing

The following 3 commissioning strategies had mixed performance (some measures achieved and some measures did not achieve the target) :-

Carers
Community resilience and assets
Protecting the public

One Commissioning Strategy – Protecting and sustaining the environment underperformed, both measures reported in Q1 relating to recycling did not achieve the target.

Appendix A provides a summary of the measures that did not achieve the target in Q1.

Proposed changes to reporting performance against the Council Business Plan 2018/19

The relevant Executive Councillor has been consulted and recommends that the:-

- 'Percentage of requests for support for new clients aged 65 or over, where the outcome was long term support services' is amended to 'Requests for support for new clients, where the outcome was no support or support of a lower level' so in effect people who were supported without the need for long term social care will be reported. (Measure 122)
- 'Deprivation of Liberty (DOLS)' measure is removed from the council business plan but continues to be reported and monitored by the service at Directorate Management Team as this is more appropriate. (Measure 115)
- Target for 'Carers supported in the last 12 months per 100,000' is increased from 1,540 per 100,000 population (approximately 9,180 carers) to 1,730 per 100,000 population (approximately 500 additional carers) supported in 2018/2019 as the service expects the number of carers supported to increase. (Measure 59)

Discussion with the Executive Councillor is planned and an alternative measure will be proposed to replace **Alcohol related violent crimes** (measure 6)

There were 907 incidents in Q1 against a target of 382, which is an increase in alcohol related violence of 125% compared withQ1 2017/2018 when 403 incidents were reported. The service has stated that this is likely due to a change in recording practices within the police. The change has seen more violent crime incidents recorded and an increase in flagging of incidents where alcohol is a factor. As a result, the data is no longer comparable to previous quarters and the service recommends that this measure is removed from the Council Business Plan.

The above changes have been made to the infographics.

Date expected in Quarter 1 but not available

Data for 'Reduce carbon emissions' ('CO2 emissions from County Council Activity' and 'Lincolnshire CO2 reductions') is currently unavailable. Mileage data for Lincolnshire County Council activity is sourced from the Council's internal Waste Contract, which covers mileage from the waste transfer sites to the Energy from Waste Facility. The service is in contact with the contractor to source the required data to inform these measures; consequently these measures will be reported in Quarter 2 of 2018/19.

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, 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 Act

*   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.

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

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 section 149 may involve treating some persons more favourably than others.

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker 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.

The Report presents performance against the outcomes and measures that are the Council Business Plan many of which relate to people with a protected characteristic including young people, older people and people with a disability. It is the responsibility of each service when it is considering making a change, stopping, or starting a new service to make sure equality considerations are taken into account and an equality impact analysis completed.

Joint Strategic Needs Analysis (JSNA and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision

The Report presents performance against the outcomes and measures that are the Council Business Plan many of which relate directly to achievement of health and wellbeing objectives.

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.

The Report presents performance against the outcomes and measures that are the Council Business Plan some of which relate to crime and disorder issues.

3. Conclusion

This report presents an overview of performance for Quarter 1 against the Council Business Plan 2018/2019 and proposed changes to reporting to assist the Executive in monitoring that performance in future. Executive is invited to consider performance and consider and approve the proposed changes to reporting.

4. 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.

5. Resource Comments:

Acceptance of the recommendation in this report has no direct financial consequences for the Council.

6. 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 Board is scheduled to consider this report at its meeting on 30 August 2018. The comments of the Board will be presented to the Executive at its meeting.

d) Have Risks and Impact Analysis been carried out

No

e) Risks and Impact Analysis

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.

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Summary of those measures where the target was not achieved in Quarter 1

8. Background Papers

No Background Papers within the meaning of section 100D of the Local Government Act 1972 were used in the preparation of the Report.

This report was written by Jasmine Sodhi, who can be contacted on 01522 552124 or jasmine.sodhi@lincolnshire.gov.uk .

Appendix A

Summary of those measures where the target was not achieved in Quarter 1

The following 3 commissioning strategies had mixed performance (some measures achieved and some measures did not achieve the target)

1. **Carers** the following 2 measures did not achieved the target in Q1
- **Carers supported in the last 12 months per 100,000 population** (measure 59)

The Q1 actual is 1,640 against a target of 1,540 per 100,000 population published in Council Business Plan, approved by Council in February. In the 12 month period up to 30 June 2018 over ten thousand (10,006) carers of adults have been supported by the Carers Service and Adult Care. This is an increase of 317 carers compared to the 2017/2018 end of year figure.

- 8,256 (82.5%) carers have received information and advice, including those supported by Carers FIRST's universal offer.
- 1,108 (11.1%) carers have received a personal budget as a direct payment.
- 642 (6.4%) cared for adults have been provided with short term respite services to allow their carer to take a break.

The original 2018/2019 target of 1,540 equates to approximately 9,180 carers. The service expects the number of carers supported to increase and have revised the target to 1,730 per 100,000 population. However the revised target has not been achieved in Q1.

- **Carers who said they had as much social contact as they would like** (measure 120)

This is a new measure for the Council Business Plan and draws on self-reported levels of social contact in the annual statutory survey of adult care in England (SACE). Although the official performance figure will be reported in Quarter 4, the most recent data, based on a non statutory survey of adult care undertaken at the end of 2017, is 33.2% against a target of 35.5%.

There is a clear link between loneliness and poor mental and physical health. The vision for social care is to tackle loneliness and social isolation, supporting people to remain connected to their communities and to develop and maintain connections to their friends and family.

2. **Community resilience and assets** the following 2 measures have not achieved the target in Q1
- **Contact with the heritage service** (measure 35)

An actual of 926,979 was achieved in Q1 against a target of 1,100,000. The Q1 2018/19 target reflects seasonal variation and trends. During this quarter there

has been a general decrease in interactions. This can be partially attributed to fewer heritage site visits in person due to cooler weather in April, however the main impact has been seen in website interactions due to technical difficulties affecting both the Lincs to the Past and the Lincoln Castle websites.

- **Visits to core libraries and mobile library services** (measure 36)

An actual of 366,170 was achieved in Q1 against a target of 390,363 which is 24,193 visits below target (April -7,334, May -7,914 and June -8,945). The low number of visits is attributed to not being able to keep a pace with the changing IT requirements and expectations of customers. It also needs to be recognised that this is against a national picture of declining library visits as well as their being more options for customers within their local communities from the independent Community Hub provision.

3. **Protecting the public commissioning strategy** – the following 3 measures have not achieved the target in Q1

- **Illicit alcohol and tobacco seized** (measure 1)

281 illicit tobacco products have been removed from the market in Q1 and no alcohol products were seized compared to a Q1 target of 1,000. The 281 illicit tobacco products equate to 5,280 illicit cigarettes (approximately 264 packs of 20 cigarettes) and 850g of illicit tobacco (approximately 17 packs of 50g tobacco). A number of operations are planned for Q2 and the service expects to see seizure figures increase significantly. The annual target is 6,000.

- **Unsafe and counterfeit goods removed from the market** (measure 2)

1,528 counterfeit and unsafe goods have been removed from the market in Q1, compared with a Q1 target of 5,000. 1,197 were removed as they were unsafe, which included the latest must have toys 'Squishems'. 331 items were removed from the market due to being counterfeit. The service has conducted a number of safety sampling projects and more are planned. The service is also working with premises to bring them into compliance and ensure these venues are not knowingly or unknowingly trading in counterfeit or unsafe goods.   The annual target is 31,000.

- **Satisfaction with crime and antisocial behaviour** (measure 13)

The latest outturn is for 2017/18 and was 57.5% against a target of 61.3% Satisfaction that police and local council are working in partnership to deal with community safety issues in Lincolnshire has decreased by 2.4 percentage points in 2017/2018 compared to 2016/2017 results (59.9%). Nationally, satisfaction levels have dropped (61.3% in 2016/2017 to 59.7% in 2017/2018). Satisfaction figures for Lincolnshire are lower than national figures for both 2016/2017 and 2017/2018. The Safer Lincolnshire Partnership is currently developing a

communications strategy which will inform how we increase the provision of information to the public about the work of the partnership. This is an annually reported survey and so the impact of this work will not be evidenced in the survey until Q1 2019/2020.

The [Protecting and sustaining the environment](#) commissioning strategy under performed (both measures reported in Q1 did not achieve the target)

- **[Recycling at County Council owned Household Waste Recycling Centres](#)** (HWRC) (measure 76)

An actual of 72.8% was achieved in Q1 against a target of 75%, this equates to 16,242 tonnes. The HWRC recycling rate for Q1 is higher than the year-end forecast of 71.6% due to more composting in summer, although the challenging weather conditions may have an effect on this for the year overall. The service forecast anticipates a slight reduction in the overall recycling rate in 2017/2018 of 71.8%. A contributing factor is the processing of some materials has moved down the waste hierarchy from recycling to recovery.

The Environment Agency has concerns around some materials being stored which have reduced the capacity of recycling outlets in Lincolnshire to accept material.

- **[Household waste recycled](#)** (measure 78)

An actual of 49% was achieved in Q1 against a target of 55%, this equates to approximately 48,494 tonnes recycled and composted. The recycling rate for Q1 is higher than the year-end forecast of 43.31% due to more composting in summer. The service forecast anticipates a slight drop in the overall recycling rate compared to the 2017/2018 out turn of 43.9% as the reported level of contamination (non-recyclables) has increased. There has been an increase in green waste composting in Q1 this year compared with Q1 2017/18. The challenging weather conditions we are currently experiencing may have an effect on green waste composted. The aspirational target of 55% was set in our Joint Municipal Waste Management Strategy which is being refreshed in cooperation with the Districts.

The following 4 commissioning strategies performed well (all but 1 measure reported in Q1 achieved the target):-

1. **[Adult Frailty and long term conditions](#)**
   - **[Adults who receive a direct payment](#)** (measure 63)

The Q1 actual is 33.5% against a target of 40%. Greater focus will be given to area teams to ensure direct payments are fully explored with adults of all ages. The delays in processing financial assessments will also impact on the turnaround time for accessing direct payments, which could have contributed to the low percentage

of adults receiving direct payments. The service expects to see an improvement in performance moving into Quarter 2.

2. **Safeguarding adults commissioning strategy**
   - **Percentage of completed safeguarding referrals where source of risk was a service provider** (measure 114)

The outturn for Q1 is 59.3%, significantly higher than the target of 31%. There has been an increase in the number of Section 42 cases under the Care Act 2014 for safeguarding enquiries concluded in Q1 where risk was identified and the source of risk was a service provider. This is due to a change in the screening process. This will enable the service to capture data more accurately at different stages of the process. The service is monitoring the data closely to ensure its accuracy.

3. **Specialist adult services commissioning strategy**
   - **Percentage of adults aged 18-64 with a mental health need in receipt of long term support who have been reviewed** (measure 119)

The Q1 actual is 11% against a target 25%. Activity is being coordinated to undertake the outstanding reviews which the service forecast to be back on track within the next quarter.

4. **Wellbeing commissioning strategy**
   - **Percentage of alcohol users left drug treatment successfully** (measure 31)

The latest available performance is for Q4 2017/2018 as this measure is reported with a one quarter lag. Performance has increased from 36.1% in Quarter 3 to 37.4% during Quarter 4 of 2017/18. This equates to 243 people out of 650.

Although this trend continues upwards, it is still short of the 40% target. The service is running at capacity and the smaller contract cannot generate the outcomes seen prior to retendering. Workers are carrying very high caseloads to prevent the need for a waiting list but this allows less time for each client resulting in lower successful outcomes. The reduced numbers in treatment also results in a greater percentage of clients being in the most chaotic group, these clients are more likely to go through treatment several times before reaching long term recovery which also puts strain on successful completion rates. The service continues to work towards the 40 % target but it is likely to stabilise around the current performance level of 37.4%.

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Policy and Scrutiny

Open Report on behalf of Debbie Barnes, Executive Director for Children's Services	
Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Employee Survey 2017 - Progress Update**

Summary:

The purpose of this report is to provide a progress update on actions taken by both Corporate functions and Director Areas to address issues raised by the results of the Employee Survey 2017.

Actions Required:

The Overview and Scrutiny Management Board is asked to note and comment on the actions taken and progress achieved in addressing the issues raised by the 2017 Employee Survey.

1. Background

1.1. Employee Survey 2017 – Results

The survey results were presented to the Overview & Scrutiny Management Board (OSMB) on 29 March 2018. The survey took place from 13 November to 8 December 2017.

Whilst it was accepted that the overall results were very positive, there was further discussion around some key areas. A report on actions to address these and other service area outcomes of the survey was requested for the August 2018 meeting.

1.2. Areas of focus

Key areas of corporate focus are:
• IMT
• Property
• Insights into the cause of lower participation rates in some areas and actions to improve this.
• The drivers for 23% of participants not feeling they have opportunities to develop both personally and professionally and actions to improve this.
• Actions to improve levels of awareness of:
      Employee Benefits
      Work of other Director Areas
      Performance & Appraisal System

The findings and actions are outlined below in section 1.3 of the report.

Service Area Outcomes and activities are outlined separately in section 1.4 of the report.

1.3. Corporate areas of focus

IMT

The previous agenda item "Performance of the Corporate Support Contract" refers to wider IMT issues. The impact of these was reflected in both the 2015 and 2017 Employee Survey with IMT being a key area of dissatisfaction in both surveys.

IMT is now collating the feedback from the employee survey with the results from the recent IMT Staff & Member engagements and mapping those to the IMT strategy, in a way that explains how the forward work plan addresses the shortcomings of the Corporate IT provision. This is being worked on in conjunction with the OSMB IT Working Group chaired by Cllr Mrs J Brockway and with the Portfolio for IMT Cllr R Davies, IMT's Executive Director and the Chief Executive.

Serco has invested in additional resources in Lincoln to support the IT helpdesk rather than using the overspill function which saw callers diverted to Birmingham. This has seen ongoing improvement in the service and in the overall perception of the helpdesk function.

Property

The Survey identified a number of common themes as well as specific items in buildings. In response to the key themes raised, feasibility studies are being undertaken on the following areas.
- Provision of staff rest and kitchen areas on principal office sites, the outcome of this is expected in early autumn
- Toilets
- Facilities for cyclists

There have been specific matters raised in relation to improving toilet facilities in Orchard House and some rooms in County Offices and further investigation is taking place on these where they have been identified in the survey responses.

It is also planned to review offices which have been refurbished to take feedback from staff on how they operate and identify any lessons to be learned. Over the longer term individual surveys for principal sites will be undertaken along with suitability surveys to identify more specifically matters that may wish to be addressed.

Some issues raised were line management responsibilities and reminders of these and how to access information and help to resolve them has been issued to managers in support of this.

It also became apparent that employees were raising property issues within the survey which they had not previously reported and a reminder on how to do this has also been communicated.

A review of the Lincoln campus meeting rooms has been undertaken which has resulted in replacing furniture where required, adding telephones and WI-FI, decorating and increasing capacity and improved signage.

A new George page has been created providing information about the meeting rooms including more floor plans, a new directory and room photos.

Participation Rates

As was discussed at the meeting in March, IMT access was a block to participation for those who were field based across the county and in particular for Children's Services.

IT connectivity issues for field based employees across the organisation, together with the capacity issues this caused, resulted in communications and reminders about the survey being missed and if they were seen, either not having the time to take part or being unable to access the survey.

As the survey was anonymous, we are unable to identify who did not take part to explore their views further. Managers have made enquiries to try and identify any additional issues but nothing has been identified and there appears to be no dissatisfaction across the workforce with either being asked to take part or with the style or content of the survey.

The next survey will be in Nov/Dec 2019 by which point it is expected that IT accessibility and connectivity will have improved.

Lincolnshire Fire and Rescue (LFR) achieved the lowest participation rate of 34% (increased to 42% with 60 late submissions). This again was discussed at the March meeting as it had already been discovered that despite best efforts, communications to Retained Fire Fighters about the survey had not been received.

LFR has added actions to their existing Retained Firefighter Engagement Project to address this.

The drivers for 23% of participants not feeling they have development opportunities.

Drivers identified are:
- Flatter structures & less roles within the organisation
- More specialist roles with these being recruited externally to deliver immediate outputs
- Reduction in training and development budgets
- Reduced capacity to think about self-development and motivation to commit to it

The Performance & Development Appraisal system has been implemented fully across the organisation since the survey, 2017 having been the pilot year. All employees should now have had a development plan discussion and at the very least have a plan in place which captures the "must do" elements e.g. Information Governance training.

Priority projects are underway to address a "grow our own" approach to career development to identify career pathways, early careers routes and put succession planning approaches in place in hard to recruit and retain areas.

Recent developments have seen the secondment issues addressed with an expression of interest rather than full application form to simplify the process. Managers have been reminded, however short term, that all secondments must be clearly identified and advertised.

The opportunities offered via the Apprenticeship Reforms have in effect boosted our training and development budgets by £1m per year. Our initial focus in 2017/18 has been the recruiting of new apprentices at predominantly level 2 and 3 qualifications. However, these funds are also available to existing employees to undertake higher level qualifications up to post graduate level and there will be a focus on promoting this in autumn 2018 in preparation for appraisals and development plans in the New Year.

All of the above actions are being managed and monitored as part of the Corporate Workforce Plan as it is intended that they will contribute to raising the profile of employee development across the organisation.

Actions to improve levels of awareness of Employee Benefits (20% unaware); Work of other Director Areas (35% unaware) and the Performance & Appraisal System (10% unaware).

A major Employee Benefits project was underway at the time of the survey and launched very successfully at the end of February 2018 outstripping all previous campaigns in terms of sign up. We now expect to hit 3,000 sign ups by the end of September 2018 and have evidence that actions to encourage participation from those employees who are traditionally hard to reach, have worked well.

Actions are in place via the Apprenticeship Reforms opportunities to rotate placements across the organisation and the advertising of secondment opportunities to a wider audience should also aid awareness of other Director Areas.

Different Service Areas are also being invited to promote information about their work to groups of apprentices in the Council with the offer of shadowing opportunities being made to further increase their knowledge.

As mentioned previously the full implementation and associated communications about the new Performance and Development Appraisal System in 2018 will have addressed the 10% of employees who were not aware of the system.

1.4. Service Areas key themes and actions

The Employee Survey is facilitated by the People Management Service on behalf of Corporate Management Board (CMB). The Engagement Lead and relevant Strategic People Management Advisor met with each CMB member in March to discuss emerging themes specific to each Director Area and put these into context in terms of any key developments within Service Areas prior and during the period of the survey.

These have then been discussed with management teams to identify actions that were already planned which would address the themes and any additional actions that may be required.

Lincolnshire Fire and Rescue

There is an ongoing project to encourage greater engagement and inclusion from the Retained Firefighters and the general themes emerging for LFR echoed what was already known and actions planned. The communication issue related to participation rates was a specific instance to investigate further and actions have been added to address this.

Finance & Public Protection

An away day was held with all SMT members on 14 June with part of the day focussed on the survey outputs. Many of the themes raised focussed on corporate activity e.g. The Finance Teams in Orchard House being unhappy with their accommodation, career development and progression opportunities. Actions at Service Level have been identified to support the corporate actions.

Within Business Support a theme related to flexible working had arisen and actions to address this were agreed.

Children's Services

In April Debbie Barnes held briefing sessions across the county discussing the survey outcomes with teams. There was a commitment to improving IT kit which was seen as the greatest enabler for teams and action was taken to roll this out in a phased approach.

The roll out of the new tablets for Children's Health has been successfully completed and the order for Phase 1 of the Social Care and early help tablets has been approved and placed with an estimated implementation start date of the beginning of September.

Adult Care & Community Wellbeing

There was already an awareness of the key themes and again, some activity was already underway at the point the survey took place. These addressed resources and workload and issues with Mosaic, which dominated the survey outcomes.

After the Peer review of 2017 there was a plan in place to increase professional grades and it was also agreed that some of the Better Care Fund could be utilised for support staffing. Action around this has been taken and this will support the areas of resources and workload.

A programme of grow your own has been initiated for Social Workers with a cohort of 12 being trained this year and a plan for a further 12 next year.

There has been a review of Mosaic workflow, which has simplified and improved the experience of assessment documents and the OT's have had a revamp of the documentation they use.

A roll out of 378 Windows 10 Sim enabled laptops has also been delivered to front line staff to update and upgrade the connectivity capability within area teams countywide. This was funded directly from Adult Care budgets to enable this to happen.

Environment & Economy

Managers within the Service Areas have taken a variety of approaches in considering the survey outputs. These have included:

- Discussion of the results at appraisals to identify any specific issues individuals may have
- Driving actions to replace old phones and laptops
- Discussion of results at both management and team meetings some of which have influenced the 2018 Business Plan
- Creating standing items on management team agendas for survey themes and staff suggestions
- Introducing new management practices and working processes post major restructuring
- Re-introducing management posts and team meetings that had previously been removed in restructures and were causing concern
- Support at Service level for corporate survey actions e.g. Apprenticeship Reforms and Succession Planning
- Leading activity on resilience at service level as the positive survey outcomes overall did not reflect the need that had been identified at local level
- Offering to work with external partners to attempt to address the cost of car parking for all employees in Lincoln
- Increased focus on supporting the "upward cascade" of ideas/thoughts
- More emphasis on structured development opportunities e.g. use of Apprenticeship Reforms opportunities

2. Conclusion & Next Steps

Both at Corporate and at Service level, activity is underway to address themes raised. It is pleasing to note that many of these were already identified and planned ahead of the survey results demonstrating manager's awareness of the challenges our workforce face on a day to day basis.

IMT remains the dominant issue and if addressed would resolve a whole host of impacts that would improve employee's experience of working for the Council.

The Employee Survey George pages will be updated with the actions and progress made and will also be shared with the Trade Unions who have been extremely supportive of both encouraging participation in the survey and other initiatives mentioned in this paper.

A lessons learned activity was undertaken by the survey project team in March 2018 which will inform the process and recommendations for the 2019 survey along with other feedback and suggestions from management teams and representative groups.

With such positive results in 2017 there is already an expectation emerging that this can be maintained or improved upon in 2019. A cautionary note, with IMT being such a big issue this may have masked other dissatisfaction that would not have seemed such a priority for employees in 2017.

3. Consultation

a) Have Risks and Impact Analysis been carried out?
   Yes

b) Risks and Impact Analysis

The risk of not taking account of the results, not using these to validate projects/actions and not communicating the results and subsequent actions to the workforce has been taken into account.

The Council recognises that our workforce are a valuable resource that requires a voice and deserves a response to the things they raise. The results are used to influence our workforce priority projects.

These risks are mitigated by the next steps activity already underway and communications to the workforce that have already been issued.

4. 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 Fiona Thompson, who can be contacted on 01522 552207 or fiona.thompson@lincolnshire.gov.uk.

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![Lincolnshire County Council - Working for a better future]

Open Report on behalf of Richard Wills, Director responsible for Democratic Services	

Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Scrutiny Committee Work Programmes: -** • **Adults and Community Wellbeing Scrutiny Committee** • **Health Scrutiny Committee for Lincolnshire**

Summary:

The Overview and Scrutiny Management Board reviews the work programme of each scrutiny committee on a quarterly basis, with the focus on two or three scrutiny committee work programmes at each meeting.

This report sets out the work programmes of the Adults and Community Wellbeing Scrutiny Committee; and the Health Scrutiny Committee for Lincolnshire.

Actions Required:

(1) The Overview and Scrutiny Management Board is invited to consider whether it is satisfied with the content of the work programmes of:

- the Adults and Community Wellbeing Scrutiny Committee (Appendix A to this report); and
- the Health Scrutiny Committee for Lincolnshire (Appendix B).

(2) Depending on its decisions in (1) above, the Overview and Scrutiny Management Board is invited to make suggestions on the content of the work programmes of the two committees listed above.

1. Background

The Overview and Scrutiny Management Board review the work programmes of each scrutiny committee and each scrutiny committee on a quarterly basis. To facilitate this, the chairman of each scrutiny committee would be invited to provide an update on the work of their committee and any working groups, and highlight future items on which their committee would be focusing.

The table below sets out the reporting timetable for 2018/19:

Scrutiny Committee	First Review	Second Review	Third Review
Adults and Community Wellbeing Health	26 April 2018	30 August 2018	29 November 2018
Children and Young People Public Protection and Communities	24 May 2018	27 September 2018	20 December 2018
Environment and Economy Highways and Transport Flood and Water Management	28 June 2018	25 October 2018	31 January 2019

Adults and Community Wellbeing Scrutiny Committee

The work programme of the Adults and Community Wellbeing Scrutiny Committee is attached at Appendix A. Councillor Hugo Marfleet, the Chairman of the Adults and Community Wellbeing Scrutiny Committee, will be making a statement to provide supporting information on the content of the work programme.

Health Scrutiny Committee for Lincolnshire

The work programme of the Health Scrutiny Committee for Lincolnshire is attached at Appendix B. Councillor Carl Macey, the Chairman of the Health Scrutiny Committee for Lincolnshire, will be making a statement to provide supporting information on the content of the work programme.

2. Conclusion

The Overview and Scrutiny Management Board is asked to consider the work programmes of the Adults and Community Wellbeing Scrutiny Committee, and the Health Scrutiny Committee for Lincolnshire.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

Not Applicable

b) Risks and Impact Analysis

Not Applicable

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Adults and Community Wellbeing Scrutiny Committee Work Programme
Appendix B	Health Scrutiny Committee for Lincolnshire Work Programme

5. 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 Simon Evans, Health Scrutiny Officer, who can be contacted on 01522 553607 or by e-mail at Simon.Evans@lincolnshire.gov.uk

ADULTS AND COMMUNITY WELLBEING SCRUTINY COMMITTEE

Chairman – Councillor Hugo Marfleet
Vice-Chairman – Councillor Mrs Liz Sneath

30 May and 4 July 2018

This report covers the two meetings of the Adults and Community Wellbeing Scrutiny Committee, which have taken place since the Committee's last report to the Overview and Scrutiny Management Board on 26 April 2018. It also covers a workshop session on IT on 4 July.

Role of Director of Director of Public Health

The Committee received a presentation from the Director of Public Health on his role. The presentation highlighted the three core elements of public health: health improvement, health protection and health services. The public health budget in Lincolnshire stood at £33 million, and covered a series of statutory activities such as health checks; and alcohol and substance misuse services. The Director also provides advice to the clinical commissioning groups.

Annual Report of the Director of Public Health 2017

The *Annual Report of the Director of Public Health on the Health of the People in Lincolnshire* was presented to the Committee on 30 May 2018. The report contained two themes: prevention activities, especially to help people remain healthy as they age; and secondly, the biological and environmental threats people's health and the systems in place to protect people from harm. The report contained five recommendations, three of which related to prevention. Because of the importance of prevention, the Committee will be returning to it during the autumn.

Local Healthwatch Procurement

The Committee considered and supported a report for decision by the Executive Councillor for Adult Care, Health and Children's Services, on the procurement of a local healthwatch organisation in Lincolnshire, with effect from 1 October 2018.

Homecare Customer Experience Survey

Over 2,800 adults receive County Council commissioned homecare and the homecare customer experience survey focused on a sample of 349 service users, with surveys undertaken between November 2017 and January 2018. The survey found that people had reported a good experience with their care staff, which was similar to the results in the previous year. However, people felt the planning and communication of home care visits had worsened. The Committee explored the issues of communications raised by the survey and stressed the importance of this issue, including the notification of service users of any changes to the arrival time of their carer.

Payment Arrangements for Residential Care and Residential Care with Nursing

On 14 February 2018, the Committee had considered the Council's draft response to a report by the Local Government and Social Care Ombudsman on a complaint by an individual on the payment arrangements for residential care. The Ombudsman had referred to the statutory guidance which stated that top-up payments (third party contributions) should only be paid directly to the provider only with the agreement of the individual concerned. The Executive agreed the Council's response on 6 March 2018, which included a review of payment arrangements, in line with the Ombudsman's recommendation. The outcome of the review was considered by the Committee on 4 July, prior to a decision by the Executive Councillor for Adult Care, Health and Children's Services.

The Committee supported a recommendation to the Executive Councillor not to support the recommendations of the Ombudsman, on the basis that acceptance of the Ombudsman's recommendation would have significant impacts on the Council, including financial and operational impacts and this merited a deviation from statutory guidance. The Committee also agreed to support a modified form of the payment arrangements, together with changes to the standard contract with care home providers.

Adult Frailty and Long Term Conditions - Review of Needs Performance

The 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. The Council's business plan includes a performance indicator measuring the percentage of people in long term support who have been reviewed. Reviews of the needs of adult frailty and long term condition service users has been below target for a number of years. On 4 July the Committee considered a report on this topic, which detailed actions to improve performance, in this area. For the year 2017-18, performance stood at 86.1% against a target of 89%. The Committee will continue to monitor performance in this area.

Performance Monitoring

There are 25 business plan indicators falling under the remit of the Committee. On 4 July, the Committee considered the quarter and full year performance report, which showed that 19 of the 25 business plan indicators were either exceeding or achieving performance. This means that performance for six of the indicators did not meet the target, or were within the tolerance range allowed.

Budget Monitoring

The Committee receives regular budget monitoring reports. On 4 July, it considered the outturn report for 2017-18 and noted an outturn figure for Adult Care and Community Wellbeing of £206.96 million against a budget of £208.44 million, representing an underspend of £1.48 million.

<u>IMT Workshop Meeting</u>

On 4 July 2018 the members of the Committee participated in a workshop considering future IMT needs for Adult Care and Community Wellbeing. The workshop sought suggestions on the following themes: the digital customer / citizen; the digital workforce; and the digital community.

<u>Work Planned – From 5 September 2018</u>

<u>Future Work Programme</u>

The plans for the Committee's future work programme are set out below: -

5 September 2018 – 10.00am	
Item	*Contributor(s)*
Winter Planning 2018/19	Tracy Perrett, County Manager Special Projects and Hospital Services
Specialist Adult Services Commissioning Strategy	Justin Hackney, Adult Assistant Director Specialist Adult Services
Adult Safeguarding Commissioning Strategy	Justin Hackney, Adult Assistant Director Specialist Adult Services
Quarter 1 Performance Report	Theo Jarratt, County Manager, Performance, Quality and Development
Lincolnshire Safeguarding Boards Scrutiny Sub-Group Minutes - 9 July 2018	Democratic Services

10 October 2018 – 10.00am	
Item	*Contributor(s)*
Integrated Lifestyle Support	Derek Ward, Director of Public Health
Wellbeing Commissioning Strategy	Derek Ward, Director of Public Health
Carers Commissioning Strategy	Emma Krasinska, Carers Lead, Adult Care and Community Wellbeing
Adult Frailty, Long Term Conditions and Physical Disability Commissioning Strategy	Carolyn Nice, Assistant Director, Adult Frailty and Long Term Conditions

10 October 2018 – 10.00am	
Item	*Contributor(s)*
The Dementia Strategy	Carolyn Nice, Assistant Director, Adult Frailty and Long Term Conditions
Adult Care and Community Wellbeing - Budget Monitoring 2018-19	Steve Houchin, Head of Finance, Adult Care and Community Wellbeing
Government Green Paper on Care and Support for Older People	To be confirmed.

28 November 2018 – 10.00am	
Item	*Contributor(s)*
Wellbeing Service – Update Report, including: Telecare	Robin Bellamy, Wellbeing Commissioning Manager, Adult Care and Community Wellbeing
Quarter 2 Performance Report	Theo Jarratt, County Manager, Performance, Quality and Development
Mosaic Update	Emma Scarth, Head of Business Intelligence and Performance
Lincolnshire Safeguarding Boards Scrutiny Sub-Group Minutes - 18 October 2018	Democratic Services

16 January 2019 – 10.00am	
Item	*Contributor(s)*
Adult Care and Community Wellbeing Budget Proposals 2019/20	Steve Houchin, Head of Finance, Adult Care and Community Wellbeing

27 February 2019 – 10.00am	
Item	*Contributor(s)*
Quarter 3 Performance Report	Theo Jarratt, County Manager, Performance, Quality and Development

Potential Items for Inclusion in Work Programme

- National Carers Strategy
- Joint Commissioning Arrangements.
- Alcohol Harm and Substance Misuse Services
- Local Government Association: High Impact Model

ADULTS AND COMMUNITY WELLBEING SCRUTINY COMMITTEE
AT A GLANCE WORK PROGRAMME

KEY
✓ = Item Considered (yellow)
⬛ = Planned Item (red)

	2017				2018							
	15 June	26 July	6 Sept	29 Nov	10 Jan	14 Feb	11 Apr	30 May	4 July	5 Sept	10 Oct	28 Nov
Meeting Length - Minutes	135	170	146	150	245	120	200	185	135			
Adult Care and Community Wellbeing Corporate Items												
Better Care Fund		✓										
Budget Monitoring and Proposals Items			✓		✓				✓		⬛	
Care Quality Commission Update				✓								
Contract Management and Procurement					✓							
Introduction	✓											
IT Updates					✓							⬛
Joint Strategic Needs Assessment	✓											
Local Account				✓								
Quarterly Performance Reports		✓	✓	✓			✓		✓	⬛		⬛
Residential and Nursing Care Fee Levels						✓						
Strategic Market Support Partner			✓									
Winter Planning										⬛		
Adult Frailty, Long Term Conditions and Physical Disability												
Care and Support for Older People – Government Green Paper											⬛	
Commissioning Strategy											⬛	
Dementia Strategy											⬛	
Homecare Customer Experience Survey									✓			
Payment Arrangements for Residential Care / Residential Care with Nursing						✓			✓			
Review Performance									✓			
Adult Safeguarding												
Commissioning Strategy										⬛		
Safeguarding Boards Scrutiny Sub Group			✓		✓			✓		⬛		⬛
Carers												
Commissioning Strategy											⬛	
Community Wellbeing												
Director of Public Health Annual Report								✓				
Director of Public Health Role								✓				
Domestic Abuse Services			✓									
Healthwatch Procurement								✓				
NHS Health Check Programme							✓					
Stop Smoking Service						✓						
Wellbeing Commissioning Strategy											⬛	
Wellbeing Service												⬛
Housing Related Services												
Extra Care Housing						✓						
Supported Housing						✓						

		2017				2018							
KEY ✓ = Item Considered ■ = Planned Item		15 June	26 July	6 Sept	29 Nov	10 Jan	14 Feb	11 Apr	30 May	4 July	5 Sept	10 Oct	28 Nov
Specialist Adult Services													
Commissioning Strategy											■		
Managed Care Network for Mental Health								✓					
Shared Lives								✓					

Page 153

HEALTH SCRUTINY COMMITTEE FOR LINCOLNSHIRE

Chairman – Councillor Carl Macey
Vice-Chairman – Councillor Chris Brewis

16 May, 13 June and 11 July 2018

Since the last report to the Overview and Scrutiny Management Board, the Health Scrutiny Committee for Lincolnshire has met on three occasions. The main items considered by the Committee are set out below: -

Children and Young People Services at United Lincolnshire Hospitals NHS Trust

Children and Young People Services United Lincolnshire Hospitals NHS Trust (ULHT) has featured on each agenda in May, June and July, and is likely to feature at future meetings until the service is stabilised at Pilgrim Hospital, Boston. On 11 July 2018, ULHT advised that it was moving towards an interim planned model of care during August 2018, which would aim to treat 98% of children who would normally be expected to be treated at Pilgrim Hospital. The interim planned model of care at Pilgrim Hospital is summarised as follows: -

- paediatric outpatient clinics;
- low-risk neonatal births only;
- a 24 hour paediatric assessment and observation unit;
- paediatric day surgery; and
- consultant-led maternity birthing unit.

The planned model of care would aim to see 98% of activity continuing at Pilgrim Hospital, and represents a better model than the previous options considered by the ULHT Board. However, the Committee remains concerned with the contingency arrangements, if this interim planned model of care should fail. To address these concerns, on 12 September 2018 the Committee is seeking reassurance from ULHT that other hospitals (for example, Lincoln County Hospital and Peterborough City Hospital) have the capacity between them to cope with the paediatric and maternity activity, which could be displaced from Pilgrim Hospital as part of the contingency arrangements. The Committee is also seeking reassurance over the transport and travel arrangements.

Lincolnshire Sustainability and Transformation Partnership

The Committee receives regular updates on the progress of the Lincolnshire Sustainability and Transformation Partnership (STP). The Committee records its concern over the absence of consultation on the acute services element of the STP, and consultation is not now expected until 2019.

In addition to general updates on the STP, the Committee will continue to focus on the following specific strands in the STP, some of which will not automatically be subject to full public consultation:

- Urgent and Emergency Care (including the national requirement to introduce Urgent Treatment Centres – the Committee is keen to know where these will be located in Lincolnshire)
- GP Forward View (including the national requirement to introduce extended GP opening hours by 1 October 2018)
- Mental Health

Grantham Minor Injuries Service

Between 31 May and 28 June 2018, South West Lincolnshire Clinical Commissioning Group undertook a patient survey on the proposed closure of the minor injuries nursing service at Grantham Hospital, which operated between 6.30 pm and 11.30 pm each night and was based in the out-of-hours service. This service had been introduced in September 2016, to lessen the impact of the overnight closure of Grantham A&E. On 11 July, the Committee considered this matter and agreed to write to the CCG opposing the closure, until such time as the status of Grantham A&E as part of the Lincolnshire STP is clarified.

[Note: On 25 July, South West Lincolnshire CCG Governing Body took a decision to incorporate a minor injuries service into the Grantham out of hours GP service.]

Non-Emergency Patient Transport

In December 2017, the Committee recorded a motion of no confidence in Thames Ambulance Service Ltd (TASL), the provider of non-emergency patient transport services in Lincolnshire. Since that time, the Committee has received regular reports from TASL. Although there has been some improvement in performance by TASL against the key performance indicators, there are still concerns in a number of areas, for example for renal patients. For this reason, non-emergency patient transport will continue to feature in the Committee's forthcoming work programme.

Learning Disabilities Specialist Health Services

On 11 October 2017, the Committee supported a proposal to detach the consultation arrangements for Learning Disability Specialist Health Services – effectively the formal closure of Long Leys Court – from the rest of the Sustainability and Transformation Partnership consultation. The Committee also advised that rather than a full consultation, targeted engagement with service users and their carers would be suitable. On 11 July, the Committee considered the outcomes of the targeted engagement, which had found overall satisfaction with specialist health services, and the Committee recorded its support for the closure of Long Leys Court. However, there were other learning disabilities issues raised in the engagement exercise, which the Committee has drawn to the attention of the relevant executive councillors.

Clinical Commissioning Groups – Joint Commissioning Committee

On 11 July 2018, the Committee considered a paper on the joint working arrangements between the four clinical commissioning groups in Lincolnshire. To enhance joint working the CCGs established a shadow joint committee to undertake commissioning decisions in August 2017. The legal position in relation to joint

working between CCGs is complex, and only commissioning decisions may be delegated to a joint committee. The Health Scrutiny Committee has recorded its disappointment that after a year, the shadow joint committee has not received any formal delegations. The Committee has urged the CCGs to delegate decision making to the joint committee as soon as possible.

Work Planned

The Committee's planned work programme is set out below:

12 September 2018 – 10 am	
Item	*Contributor*
Children's and Young People Services at United Lincolnshire Hospitals NHS Trust – Risk to the Sustainability of the Service	Jan Sobieraj, Chief Executive, United Lincolnshire Hospitals NHS Trust Michelle Rhodes, Director of Nursing United Lincolnshire Hospitals NHS Trust Mark Brassington, Chief Operating Officer, United Lincolnshire Hospitals NHS Trust
United Lincolnshire Hospitals NHS Trust – Care Quality Commission Report (3 July 2018)	Jan Sobieraj, Chief Executive, United Lincolnshire Hospitals NHS Trust Michelle Rhodes, Director of Nursing United Lincolnshire Hospitals NHS Trust
East Midlands Ambulance Service Update	Mike Newell, Director of Finance, East Midlands Ambulance Service
Non-Emergency Patient Transport	Mike Casey, Director of Operations, Thames Ambulance Service
Renal Dialysis Services in Lincolnshire	Suzanne Glover, Deputy Head of Nursing, University Hospitals of Leicester NHS Trust Geraldine Ward, General Manager, Renal & Transplant Haemodialysis Unit, Leicester General Hospital Siobhan Sodiwala, Matron (Lincoln Renal Unit)

17 October 2018 – 10 am	
Item	*Contributor*
Lincolnshire Sustainability and Transformation Partnership – Mental Health Update	Contributors to be confirmed.
Annual Reports of the Lincolnshire Clinical Commissioning Groups (including updates from the Clinical Commissioning Groups)	Contributors to be confirmed.

17 October 2018 – 10 am	
Item	Contributor
Winter Resilience Planning 2018-19	Ruth Cumbers, Urgent Care Programme Director.

14 November 2018 – 10 am	
Item	Contributor
Dental Services in Lincolnshire	Jane Green, NHS England, Assistant Contract Manager, Dental and Optometry NHS England – Midlands and East (Central Midlands)
Cancer Care	Sarah-Jane Mills, Chief Operating Officer, Lincolnshire West Clinical Commissioning Group
STP - GP Forward View Update (including alternatives to the Lincoln Walk-in Centre)	To be confirmed.
Lincolnshire STP – Emergency and Urgent Care	To be confirmed

12 December 2018 – 10 am	
Item	Contributor
Non-Emergency Patient Transport	Mike Casey, Director of Operations, Thames Ambulance Service

Items to be Programmed

- Adult Immunisations
- Developer and Planning Contributions for NHS Provision
- North West Anglia NHS Foundation Trust Update
- Joint Health and Wellbeing Strategy Update
- CCG Role in Prevention

Items to be Programmed – No earlier than January 2019
- Lincolnshire Sustainability and Transformation Plan Consultation Elements:
  - ➢ Women's and Children's Services
  - ➢ Emergency and Urgent Care

HEALTH SCRUTINY COMMITTEE FOR LINCOLNSHIRE
AT-A-GLANCE WORK PROGRAMME

KEY
- ✓ = Substantive Item Considered
- ca = Chairman's Announcement
- (red) = Planned Substantive Item

	2017						2018										
	14 June	19 July	13 Sept	11 Oct	8 Nov	13 Dec	17 Jan	21 Feb	21 Mar	18 Apr	16 May	13 June	11 July	12 Sept	17 Oct	14 Nov	12 Dec
Meeting Length - Minutes	170	225	185	170	205	230	276	280	270	230	244	233	188				
Cancer Care																red	
Community Maternity Hubs							ca										
Community Pain Management												ca					
Dental Services							✓		ca							red	
GPs and Primary Care:																	
Extended GP Opening Hours								ca			ca						
GP Recruitment			ca	ca													
Lincoln GP Surgeries		ca	ca														
Lincoln Walk-in Centre		✓	ca	✓		✓		✓			✓						
Louth GP Surgeries		ca	ca														
Sleaford Medical Group									ca								
Grantham Minor Injuries Service												ca	✓				
Health and Wellbeing Board:																	
Annual Report												ca					
Joint Health and Wellbeing Strategy		✓						✓									
Pharmaceutical Needs Assessment				✓			✓										
Health Scrutiny Committee Role	✓																
Healthwatch Lincolnshire Reports												ca	ca				
Lincolnshire Community Health Services NHS Trust																	
Care Quality Commission													ca				
Learning Disability Specialist Care				✓									✓				
Lincolnshire Sustainability and Transformation Partnership																	
General / Acute Services Review			✓				✓				ca	✓	ca	pink			
GP Forward View										✓							
Integrated Neighbourhood Working										✓							
Mental Health								✓								red	
Operational Efficiency									✓								
Urgent and Emergency Care									✓							red	
Lincolnshire Partnership NHS Foundation Trust:																	
General Update / CQC		✓															
Psychiatric Clinical Decisions Unit							ca										
Northern Lincolnshire and Goole NHS Foundation Trust			ca														
North West Anglia NHS Foundation Trust							✓										
Organisational Developments:																	
CCG Joint Working Arrangements													✓				
National Centre for Rural Care												ca					
NHSE and NHSI Joint Working												ca					
Undergraduate Medical Education			ca														
Patient Transport:																	
Ambulance Commissioning			✓														
East Midlands Ambulance Service			✓	ca							✓	ca	ca	ca	red		
Non-Emergency Patient Transport						✓	ca	✓	✓	✓			✓	ca	red	red	
Sleaford Joint Ambulance & Fire Station												ca	ca				
Public Health:																	
Child Obesity													ca				
Director of Public Health Report												✓					
Immunisation					✓												

	2017						2018										
	14 June	19 July	13 Sept	11 Oct	8 Nov	13 Dec	17 Jan	21 Feb	21 Mar	18 Apr	16 May	13 June	11 July	12 Sept	17 Oct	14 Nov	12 Dec
Pharmacy			ca														
Renal Dialysis Services														red			
Quality Accounts	✓								✓								
United Lincolnshire Hospitals NHS Trust:																	
A&E Funding		ca															
Introduction	✓																
Care Quality Commission		✓										ca	ca	red			
Children/Young People Services											✓	✓	✓	red			
Financial Special Measures			ca		✓					✓							
Grantham A&E			✓				✓	ca									
Trauma and Orthopaedics												ca					
Winter Resilience						ca	✓	ca	ca		✓				red		

KEY
✓ = Substantive Item Considered
ca = Chairman's Announcement
■ = Planned Substantive Item

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<div align="right">**Policy and Scrutiny**</div>

Open Report on behalf of Richard Wills, **The Director responsible for Democratic Services**	

Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Approval of Terms of Reference of Scrutiny Reviews**

Summary:

In accordance with the County Council's constitution, the Overview and Scrutiny Management Board is invited to approve the terms of reference and completion dates of the two scrutiny reviews.

Actions Required:

The Board is invited: -

(1)   To approve the terms of reference and completion date of the review of *Roundabout Sponsorship and Advertising* (Scrutiny Panel A), as set out in Appendix A to this report.

(2)   To approve the terms of reference and completion date of the review of the *Transitions* (Scrutiny Panel B), as set out in Appendix B of this report.

1. Background

On 29 March 2018, the Overview and Scrutiny Management Board approved two scrutiny reviews for Scrutiny Panel A and Scrutiny Panel B:

- *Roundabout Sponsorship and Advertising* (Scrutiny Panel A)
- *Transitions* (Scrutiny Panel B)

Since 29 March 2018, the membership of each scrutiny panel has been confirmed; discussions involving the respective chairmen and key participants have taken place to provide detail on the direction of each review; and an initial meeting of each panel has taken place.

It is a requirement of Article 6.10 of the County Council's Constitution that the Overview and Scrutiny Management Board determines the 'terms of reference and timetable' for each scrutiny review.

Scrutiny Panel A – Roundabout Sponsorship and Advertising

The proposed terms of reference and completion date for the review of *Roundabout Sponsorship and Advertising* are set out in Appendix A to this report.

For this review Scrutiny Panel A comprises Councillors Mrs Linda Wootten (Chairman), Sarah Parkin (Vice-Chairman), Bill Aron, Mrs Alison Austin, Mrs Paula Cooper, Peter Coupland, Andrew Hagues and Nigel Pepper. The initial meeting of Scrutiny Panel A took place on 25 July 2018.

When the review is complete, the draft report including any recommendations will be submitted to the Highways and Transport Scrutiny Committee. Following this, it will be submitted to the Executive for decision. This review falls under the remit of the Executive Councillor for Highways, Transport and IT.

Scrutiny Panel B - Transitions

The proposed terms of reference and completion date for the review of the *Transitions* are set out in Appendix B to this report.

For this review Scrutiny Panel B comprises Councillors Mrs Angela Newton (Chairman), Tony Turner, MBE, (Vice-Chairman), Robert Foulkes, Andrew Hagues, Colin Matthews, Sarah Parkin, Rosemary Trollope-Bellew and Mark Whittington. The initial meeting of Scrutiny Panel B tool place on 27 July 2018.

When the review is complete, the draft report including recommendations will be submitted to this Board. Following this, it will be submitted to the Executive for decision. This review falls under the remit of the Executive Councillor for Adult Care, Health and Children's Services.

2. Conclusion

The Board is invited to approve the terms of reference and completion dates for the reviews being undertaken by Scrutiny Panel A and Scrutiny Panel B.

3. Consultation

Consultation has taken place during the initial stages with the two scrutiny panel chairmen, the relevant Executive Councillor and the lead officers.

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Scrutiny Panel A – Roundabout Sponsorship and Advertising
Appendix B	Scrutiny Panel B – Transitions

5. 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 Simon Evans, Health Scrutiny Officer, who can be contacted on 01522 552164 or by e-mail at Simon.Evans@lincolnshire.gov.uk

Scrutiny Panel A - Roundabout Sponsorship and Advertising

Terms of Reference

This review will look at the current 'Sponsorship of Highway Planting' policy. The current policy dealing with the sponsorship of roundabouts (Highways and Transport 63/1/10) has been in existence since 1996. The review will consider and develop the policy to enable effective management of roundabout sponsorship and advertising in Lincolnshire.

The review will have the following main lines of enquiry: -

1. Examine the merits of commercial roundabout advertising, including reviewing current signage standards and associated road safety implications and concerns.
2. Explore whether the County Council wants to stimulate activity, and the level of sponsorship the Council would look to encourage and promote.
3. Examine the current appetite amongst district councils for sponsorship of roundabouts.
4. Examine whether the policy is accessible to potential sponsors and encourages businesses to sponsor roundabouts.
5. Explore further promoting and developing the economic and commercialisation aspect of the policy.
6. Examine whether sponsoring other verges could also be an option as part of this policy.

Exclusions from Review

This review is examining the 'Sponsorship of Highway Planting' policy (HAT 63/1/10). With the exception of the Lincolnshire Highways Permit Scheme which is connected to this policy in relation to safety and traffic management issues, all other highways policies are excluded from the review.

Completion Dates

Highways and Transport Scrutiny Committee – 11 March 2019

Executive – 8 May 2019

Scrutiny Panel B - Transitions

Terms of Reference of the Review

The term 'transition' describes the process by which a young person moves from Children's Services into adulthood. This review will give consideration to the individual experiences of those young people with more complex educational needs who receive support through an Education, Health and Care (EHC) plan and their journey transitioning into adulthood.

In addition, the panel will consider the preparations being made towards implementing the Children and Social Work Act 2017 and the impact on transition arrangements for those young people under the care of the local authority.

The purpose of this review is to consider best practice, challenges and areas for better working, and to identify key findings and recommendations to aid continued improvement of these services in Lincolnshire.

The review will have the following main lines of enquiry: -

1. To consider and review the experiences of those young people with more complex educational needs who receive support through an Education, Health and Care (EHC) plan and their journey transitioning into adulthood. Including the following:

   - To review the experience of young people and their families/carers, and the overarching principles for good transition
   - Ensuring that arrangements for transition services are robust.
   - To consider processes which are in place to ensure all young people who require transition services are identified and receive services.
   - The planning of transition, support before and after transfer and the supporting infrastructure for transitions.

2. To review the preparations being made towards the implementation of the Children and Social Work Act 2017, increasing the age of eligibility for support to care leavers from the age of 21 to 25.

Exclusions from Review

This review will focus on the experiences of young people who receive support through an Education, Health and Care (EHC) plan and their transition from Children's Services into adulthood. Areas of service provision outside those relating specifically to transitions are not included in this review.

Completion Dates

Overview and Scrutiny Management Board - 28 March 2019

Executive – 8 May 2019

Open Report on behalf of Richard Wills, Director responsible for Democratic Services	
Report to:	**Overview and Scrutiny Management Board**
Date:	**30 August 2018**
Subject:	**Overview and Scrutiny Management Board Work Programme**

Summary:

This item enables the Board to consider and comment on the content of its work programme for the coming year to ensure that scrutiny activity is focused where it can be of greatest benefit. Members are encouraged to highlight items that could be included for consideration in the work programme.

The work programme will be reviewed at each meeting of the Board to ensure that its contents are still relevant and will add value to the work of the Council and partners.

Actions Required:

Members of the Board are invited to:

1) Review and agree the Board's work programme as set out in Appendix A to this report.
2) Highlight for discussion any additional scrutiny activity which could be included for consideration in the work programme.

1. Background

Overview and Scrutiny should be positive, constructive, independent, fair and open. The scrutiny process should be challenging, as its aim is to identify areas for improvement. Scrutiny activity should be targeted, focused and timely and include issues of corporate and local importance, where scrutiny activity can influence and add value.

Overview and scrutiny committees should not, as a general rule, involve themselves in relatively minor matters or individual cases, particularly where there are other processes, which can handle these issues more effectively.

All members of overview and scrutiny committees are encouraged to bring forward important items of community interest to the Board whilst recognising that not all items will be taken up depending on available resource and assessment against the prioritisation toolkit.

Purpose of Scrutiny Activity

Set out below are the definitions used to describe the types of scrutiny, relating to the items on the Board's Work Programme:

Policy Development - The Board is involved in the development of policy, usually at an early stage, where a range of options are being considered.

Pre-Decision Scrutiny - The Board is scrutinising a proposal, prior to a decision on the proposal by the Executive, the Executive Councillor or a senior officer.

Policy Review - The Board is reviewing the implementation of policy, to consider the success, impact, outcomes and performance.

Performance Scrutiny - The Board is scrutinising periodic performance, issue specific performance or external inspection reports.

Consultation - The Board is responding to (or making arrangements to) respond to a consultation, either formally or informally. This includes pre-consultation engagement.

Budget Scrutiny - The Board is scrutinising the previous year's budget, or the current year's budget or proposals for the future year's budget.

Requests for specific items for information should be dealt with by other means, for instance briefing papers to members.

Identifying Topics

Selecting the right topics where scrutiny can add value is essential in order for scrutiny to be a positive influence on the work of the Council. Members may wish to consider the following questions when highlighting potential topics for discussion to the Board:-

- Will Scrutiny input add value?
  Is there a clear objective for scrutinising the topic, what are the identifiable benefits and what is the likelihood of achieving a desired outcome?

- Is the topic a concern to local residents?
  Does the topic have a potential impact for one or more section(s) of the local population?

- Is the topic a Council or partner priority area?
  Does the topic relate to council corporate priority areas and is there a high level of budgetary commitment to the service/policy area?

- Are there relevant external factors relating to the issue?
  Is the topic a central government priority area or is it a result of new government guidance or legislation?

Scrutiny and Executive Protocol

The County Council's Scrutiny and Executive Protocol sets out practical working arrangements which develops a unity of purpose between the Executive, overview and scrutiny committees as well as the Council's senior managers.

The Protocol provides a framework for positive relationships between the Executive and overview and scrutiny committees, but its effectiveness is dependent on all councillors and officers accepting the principles underlying the Protocol.

The Protocol includes the following expectations:

- The Chairman or Vice Chairman of the Overview and Scrutiny Management Board will as far as possible attend each meeting of the Executive.
- The Chairmen or Vice Chairmen of overview and scrutiny committees should attend meetings of the Executive, where an item relevant to their committee's remit is being considered.
- Regular briefing meetings are recommended between the Chairmen and Vice Chairmen of overview and scrutiny committees and the relevant Executive Councillor(s) and Executive Support Councillor(s). These meetings should include the scrutiny officers, and any relevant officers if required.
- It is accepted that Executive Councillors may not be able to attend all meetings of their relevant overview and scrutiny committees. An overview and scrutiny committee may request the attendance of an Executive Councillor for a particular item on the agenda. In such cases if the Executive Councillor is not available he or she should be represented by the Executive Support Councillor.

Scrutiny Panel Activity

Where a topic requires more in-depth consideration, the Board may commission a Scrutiny Panel to undertake a Scrutiny Review, subject to the availability of resources and approval of the Board. Details of Scrutiny Panel activity is set out in Appendix B.

Work Programme items on scrutiny review activity can include discussion on possible scrutiny review items; finalising the scoping for the review; consideration and approval of the final report; the response to the report; and monitoring outcomes of previous reviews.

The Board may also establish a maximum of two working groups at any one time, comprising a group of members from the Board.

Committee Working Group Activity

Scrutiny Committees may establish informal working groups, which can meet a maximum of three times, usually to consider matters in greater detail, and then to put their proposals to Committee. Details of Working Group activity is set out at Appendix C.

Executive Forward Plan

The Executive Forward Plan of key decisions is set out at Appendix D. This is background information for the Committee's consideration to ensure that all key decisions are scrutinised by the relevant scrutiny committee.

2. Conclusion

The Board's work programme for the coming year is attached at Appendix A to this report.

Members of the Board are invited to review, consider and comment on the work programme as set out in Appendix A and highlight for discussion any additional scrutiny activity which could be included for consideration in the work programme.

Consideration should be given to the items included in the work programme as well as any 'items to be programmed' listed.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

Not Applicable

b) Risks and Impact Analysis

Not Applicable

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Overview and Scrutiny Management Board – Work Programme
Appendix B	Scrutiny Panel Activity
Appendix C	Working Group Activity
Appendix D	Forward Plan of Decisions

5. 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 Tracy Johnson, Senior Scrutiny Officer, who can be contacted on 01522 552164 or by e-mail at Tracy.Johnson@lincolnshire.gov.uk

OVERVIEW AND SCRUTINY MANAGEMENT BOARD

Chairman: Councillor Robert Parker
Vice Chairman: Councillor Ray Wootten

Each agenda includes the following standard items:
- **Call-in (if required)**
- **Councillor Call for Action (if required)**
- **Future Scrutiny Reviews**

30 August 2018		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
Corporate Support Services Re-provision: Update on ICT Soft Market Testing and Staff Engagement	John Wickens, Head of ICT & Chief Digital Officer	Policy Development
Corporate Support Services Re-provision: Payroll Progress Report	Andrew McLean, Chief Commissioning Officer	Policy Development
Council Business Plan 2018 - 2019 Performance Report, Quarter One	Jasmine Sodhi, Performance and Equalities Manager	Pre-Decision Scrutiny (Executive decision on 4 September 2018)
Employee Survey 2017 - Progress Update	Fiona Thompson, Service Manager – People Management	Performance Scrutiny
Overview and Scrutiny Work Programmes • Adults and Community Wellbeing Scrutiny Committee • Health Scrutiny Committee	Cllr Hugo Marfleet, Chairman of Adults and Community Wellbeing Scrutiny Committee Cllr Carl Macey, Chairman of Health Scrutiny Committee	Performance Scrutiny

30 August 2018		
Item	**Contributor**	**Purpose**
Approval of Terms of Reference of Scrutiny Reviews	Tracy Johnson, Senior Scrutiny Officer Daniel Steel, Scrutiny Officer	Scrutiny Review Activity

27 September 2018		
Item	**Contributor**	**Purpose**
Corporate Support Services – Re-provision: IT, Customer Service Centre, Exchequer Services, Adult Care Finance, People Management	Sophie Reeve, Chief Commercial Officer Andrew McLean, Chief Commissioning Officer	Pre-Decision Scrutiny (Executive decision on 2 October 2018)
Revenue and Capital Budget Monitoring Report 2018/19	David Forbes, County Finance Officer	Budget Scrutiny / Pre-Decision Scrutiny (Executive decision on 2 October 2018)
Capital Strategy 2018/19	David Forbes, County Finance Officer	Pre-Decision Scrutiny (Executive Councillor decision TBC)
Impact of the Part Night Street Lighting Policy Scrutiny Review – Executive Response	Cllr Barry Young, Executive Councillor for Community Safety and People Management	Scrutiny Review Activity
Property Service Contract Update	Kevin Kendall, County Property Officer	Performance Scrutiny
Overview and Scrutiny Work Programmes • Children and Young People Scrutiny Committee • Public Protection and Communities Scrutiny Committee	Cllr Robert Foulkes Chairman of Children and Young People Scrutiny Committee Cllr Nigel Pepper Chairman of Public Protection and Communities Scrutiny Committee	Performance Scrutiny
Treasury Management Performance Quarter 1 (1 April to 30 June 2018)	Karen Tonge, Treasury Manager	Performance Scrutiny (For Information)

25 October 2018		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
Review of Financial Risk Assessment	David Forbes, County Finance Officer	Budget Scrutiny
Council Workforce Plan 2018/19 – Progress Report	Fiona Thompson, Service Manager – People Management	Performance Scrutiny
Staff Sickness and Appraisal Performance	Fiona Thompson, Service Manager – People Management	Performance Scrutiny
Overview and Scrutiny Work Programmes • Environment and Economy Scrutiny Committee • Highways and Transport Scrutiny Committee	Cllr Barry Dobson Chairman of Environment and Economy Scrutiny Committee Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee	Performance Scrutiny

29 November 2018		
Item	**Contributor**	**Purpose**
2018/19 Council Business Plan Quarter 2	Jasmine Sodhi, Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 4 December 2018)

29 November 2018		
Item	**Contributor**	**Purpose**
Overview and Scrutiny Work Programmes • Adults and Community Wellbeing Scrutiny Committee • Health Scrutiny Committee	Cllr Hugo Marfleet, Chairman of Adults and Community Wellbeing Scrutiny Committee Cllr Carl Macey, Chairman of Health Scrutiny Committee	Performance Scrutiny
Treasury Management Performance Quarter 2 (1 July to 30 September 2018)	Karen Tonge, Treasury Manager	Performance Scrutiny (For Information)

20 December 2018		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programmes • Children and Young People Scrutiny Committee • Public Protection and Communities Scrutiny Committee	Cllr Robert Foulkes Chairman of Children and Young People Scrutiny Committee Cllr Nigel Pepper Chairman of Public Protection and Communities Scrutiny Committee	Performance Scrutiny

31 January 2019		
Item	**Contributor**	**Purpose**
Revenue and Capital Budget Monitoring Report 2018/19	David Forbes, County Finance Officer	Pre-Decision Scrutiny (Executive Decision on 5 February 2019)

31 January 2019		
Item	**Contributor**	**Purpose**
Council Budget 2019/20	David Forbes, County Finance Officer	Budget Scrutiny (Council Decision on 22 February 2019)
Service Budget Proposals 2019/20	David Forbes, County Finance Officer	Budget Scrutiny (Council Decision on 22 February 2019)
Final Draft Council Business Plan 2019/20	Jasmine Sodhi, Performance and Equalities Manager	Pre-Decision Scrutiny (Executive Decision on 5 February 2019)
Overview and Scrutiny Work Programmes • Environment and Economy Scrutiny Committee • Highways and Transport Scrutiny Committee • Flood and Water Management Scrutiny Committee	Cllr Barry Dobson Chairman of Environment and Economy Scrutiny Committee Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee Cllr Bob Adams Chairman of the Flood and Water Management Scrutiny Committee	Performance Scrutiny

28 February 2019		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
2018/19 Council Business Plan Quarter 3	Jasmine Sodhi Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 5 March 2019)
Treasury Management Strategy Statement and Annual Investment Strategy 2019/20	Karen Tonge Treasury Manager	Pre-Decision Scrutiny

28 February 2019		
Item	**Contributor**	**Purpose**
Overview and Scrutiny Work Programmes • Adults and Community Wellbeing Scrutiny Committee • Health Scrutiny Committee	Cllr Hugo Marfleet, Chairman of Adults and Community Wellbeing Scrutiny Committee Cllr Carl Macey, Chairman of Health Scrutiny Committee	Performance Scrutiny
Treasury Management Performance Quarter 3 (1 October 2018 to 31 December 2018)	Karen Tonge Treasury Manager	Performance Scrutiny (For Information)

28 March 2019		
Item	**Contributor**	**Purpose**
Overview and Scrutiny Work Programmes • Children and Young People Scrutiny Committee • Public Protection and Communities Scrutiny Committee	Cllr Robert Foulkes Chairman of Children and Young People Scrutiny Committee Cllr Nigel Pepper Chairman of Public Protection and Communities Scrutiny Committee	Performance Scrutiny

26 April 2019		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
Overview and Scrutiny Annual Report	Nigel West, Head of Democratic Services and Statutory Scrutiny Officer	Performance Scrutiny

26 April 2019		
Item	**Contributor**	**Purpose**
Performance of the Corporate Support Services Contract	Sophie Reeve, Chief Commercial Officer Arnd Hobohm, Corporate Support Services Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programmes • Environment and Economy Scrutiny Committee • Highways and Transport Scrutiny Committee	Cllr Barry Dobson Chairman of Environment and Economy Scrutiny Committee Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee	Performance Scrutiny

For more information about the work of the Overview and Scrutiny Management Board please contact Tracy Johnson, Senior Scrutiny Officer, on 01522 552164 or by e-mail at Tracy.Johnson@lincolnshire.gov.uk

Scrutiny Panel Activity
(as at 21 August 2018)

Current Reviews

Scrutiny Panel A	Membership	Completion Date
Roundabout Sponsorship and Advertising	Councillors L Wootten (Chairman), S R Parkin (Vice Chairman), W J Aron, Mrs A M Austin, Mrs P Cooper, P Coupland, A G Hagues and N Pepper	11 March 2019

Scrutiny Panel B	Membership	Completion Date
Transitions	Councillors Mrs A Newton (Chairman), A H Turner (Vice Chairman), R L Foulkes, A G Hagues, C Matthews, S R Parkin, R H Trollope-Bellew and M A Whittington	28 March 2019

All completed review reports to be approved by relevant scrutiny committee before consideration at a meeting of the County Council's Executive.

Working Group Activity
(as at 21 August 2018)

Committee	Working Group	Membership
Environment and Economy Scrutiny Committee	High Street Vitality	Membership to be confirmed.
Overview and Scrutiny Management Board	UK's Exit from the European Union	Councillors Mrs A Austin, T Bridges, M Brookes, M T Fido, R L Foulkes, C E H Marfleet, Mrs M J Overton MBE, R B Parker, A M Stokes and Mrs C A Talbot; and added member: Mr S Rudman
Overview and Scrutiny Management Board	IT Provision	Councillors B Adams, M D Boles, C J T H Brewis, A Bridges, Mrs J Brockway, S R Dodds, S P Roe and M A Whittington
Health Scrutiny Committee for Lincolnshire	NHS Finance	Councillors C S Macey, C J T H Brewis, M A Whittington and District Councillors P Gleeson and Mrs R Kaberry-Brown

FORWARD PLAN OF KEY DECISIONS FROM 03 SEPTEMBER 2018

DEC REF	MATTERS FOR DECISION	REPORT STATUS	DECISION MAKER AND DATE OF DECISION	PEOPLE/GROUPS CONSULTED PRIOR TO DECISION	DOCUMENTS TO BE CONSIDERED	OFFICER(S) FROM WHOM FURTHER INFORMATION CAN BE OBTAINED AND REPRESENTATIONS MADE (All officers are based at County Offices, Newland, Lincoln LN1 1YL unless otherwise stated)	DIVISIONS AFFECTED
I016320 New !	Contract for the change in winter service salt supplier	Open	Executive Councillor: Highways, Transport and IT Between 24 Aug 2018 and 14 Sep 2018	Senior Management Team; Executive Councillor; Highways and Transport Scrutiny Committee	Report	Network Resilience Manager Tel: 01522 553103 Email: darrell.redford@lincolnshire.gov.uk	All Divisions
I016087	B1191 Horncastle Road, Woodhall Spa	Open	Executive Councillor: Resources and Communications Executive Councillor: Highways, Transport and IT Between 28 Aug 2018 and 21 Sep 2018	Highways colleagues; all the local affected stakeholders / businesses / landowners; Anglian Water; the Environment Agency; and Western Power Distribution	Report	Senior Project Leader Tel: 01522 782070 Email: steve.brooks@lincolnshire.gov.uk	Woodhall Spa and Wragby
I015772	Highways Infrastructure Asset Management Plan	Open	Executive Councillor: Highways, Transport and IT Between 12 Sep 2018 and 21 Sep 2018	Highways and Transport Scrutiny Committee	Report	Policy and Strategic Asset Manager Tel: 01522 782070 Email: vincent.VanDoninck@lincolnshire.gov.uk	

DEC REF	MATTERS FOR DECISION	REPORT STATUS	DECISION MAKER AND DATE OF DECISION	PEOPLE/GROUPS CONSULTED PRIOR TO DECISION	DOCUMENTS TO BE CONSIDERED	OFFICER(S) FROM WHOM FURTHER INFORMATION CAN BE OBTAINED AND REPRESENTATIONS MADE (All officers are based at County Offices, Newland, Lincoln LN1 1YL unless otherwise stated)	DIVISIONS AFFECTED
I015179	Revenue and Capital Budget Monitoring Report 2018/19	Open	Executive 2 Oct 2018	Overview and Scrutiny Management Board	Report	County Finance Officer tel: 01522 553642 e-mail: david.forbes@lincolnshire.gov.uk	All Divisions
I016334 New !	Corporate Support Services Re-Commissioning	Open Report Exempt Annexes	Executive 2 Oct 2018	Overview and Scrutiny Management Board	Report	Chief Commissioning Officer Tel: 01522 554079 Email: andrew.mclean@lincolnshire.gov.uk	All Divisions
I016025	To seek approval to go out to Consultation on the approved options for the Future Model for the Heritage Service	Open	Executive 6 Nov 2018	Public Protection and Communities Scrutiny Committee	Report	Chief Community Engagement Officer Tel: 01522 553786 Email: nicole.hilton@lincolnshire.gov.uk	All Divisions

DEC REF	MATTERS FOR DECISION	REPORT STATUS	DECISION MAKER AND DATE OF DECISION	PEOPLE/GROUPS CONSULTED PRIOR TO DECISION	DOCUMENTS TO BE CONSIDERED	OFFICER(S) FROM WHOM FURTHER INFORMATION CAN BE OBTAINED AND REPRESENTATIONS MADE (All officers are based at County Offices, Newland, Lincoln LN1 1YL unless otherwise stated)	DIVISIONS AFFECTED
I015623	Building Communities of Specialist Provision: A Collaborative Strategy for Children and Young People with Specialist Educational Needs and Disabilities (SEND) in Lincolnshire	Open	Executive 6 Nov 2018	Lincolnshire Parent Carer Forum; Special School Head Teachers; Trustees and Governing Body members; Lincolnshire Schools' Forum; Lincolnshire Learning Partnership; Mainstream School Leaders; Staff, parents/carers and friends of the special schools; union representative; all parent/carers of pupils attending Special Schools in and outside of the county; all SENDCo's registered with Lincolnshire County Council's (LCC) SENDCo network; all independent non-maintained special schools and out of county schools where LCC have pupils placed; Health: commissioning and providers; key interested parties noted on the list; general public and the Children and Young People Scrutiny Committee	Report	SEND Project Office Tel: 01522 554943 Email: eileen.mcmorrow@lincolnshire.gov.uk	All Divisions
I015181	Revenue and Capital Budget Monitoring Report 2018/19	Open	Executive 5 Feb 2019	Overview and Scrutiny Management Board	Report	County Finance Officer Tel: 01522 553642 e-mail: david.forbes@lincolnshire.gov.uk	All Divisions
I013959	Future Model of the Heritage Service	Open	Executive 2 Apr 2019	Public Protection and Communities Scrutiny Committee	Report	Chief Community Engagement Officer Tel: 01522 553831 Email: nicole.hilton@lincolnshire.gov.uk	All Divisions