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County Offices
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Lincoln
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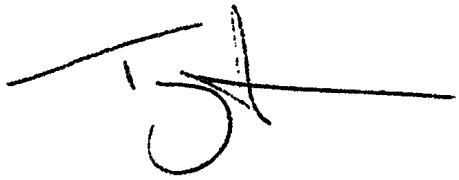
19 July 2017

Overview and Scrutiny Management Board

A meeting of the Overview and Scrutiny Management Board will be held on **Thursday, 27 July 2017 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



Tony McArdle
Chief Executive

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

Councillors R B Parker (Chairman), L A Cawrey (Vice-Chairman), T Bridges, Mrs J Brockway, M Brookes, R L Foulkes, C S Macey, C E H Marfleet, Mrs A M Newton, N H Pepper and E W Strengiel

Added Members

Church Representatives: Mr S C Rudman and Reverend Sue Evans

Parent Governor Representatives: Mrs P J Barnett and Dr E van der Zee

OVERVIEW AND SCRUTINY MANAGEMENT BOARD AGENDA
THURSDAY, 27 JULY 2017

Item	Title	Pages
1	**Apologies for Absence/Replacement Councillors**	
2	**Declarations of Members' Interests**	
3	**Minutes of the meeting held on 29 June 2017**	5 - 10
4	**Announcements by the Chairman, Executive Councillor for Resources and Communications and Chief Operating Officer**	
5	**Consideration of Call-Ins**	
6	**Consideration of Councillor Calls for Action**	
7	**Performance of the Corporate Support Services Contract** *(To receive a report which provides an update of Serco's performance against contractual Key Performance Indicators (KPI) specified in the Corporate Support Services Contract between January 2017 and May 2017. The report also provides an update on the progress made on key transformation projects being undertaken by Serco)*	11 - 40
8	**Trade Union Recognition of the Royal College of Nursing** *(To enable the Board to consider a report being presented to the Executive on 5 September 2017, regarding the Trade Union Recognition of the Royal College of Nursing. The views of the Board will be reported to the Executive as part of its consideration of this item)*	41 - 48
9	**Working Group into the UK's Exit from the European Union** *(To receive a report which provides an update on the previously established Working Group formed to consider the impact of the UK's exit from the European Union. It also provides details on progress that the Working Group made and recommends that the Working Group be re-established with a cross-council remit)*	49 - 54
10	**Scrutiny Reviews 2017/18** *(To receive a report which invites the Board to agree the topics for in-depth scrutiny reviews to be undertaken by the two Scrutiny Panels, taking into account the Prioritisation Toolkit)*	55 - 62
11	**Overview and Scrutiny work Programmes** *(To receive a report which sets out the work programmes of the Adults and Community Wellbeing Scrutiny Committee; and the Health Scrutiny Committee for Lincolnshire)*	63 - 70
12	**Overview and Scrutiny Management Board Work Programme** *(To receive a report which 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)*	71 - 92

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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.

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www.lincolnshire.gov.uk/committeerecords

OVERVIEW AND SCRUTINY MANAGEMENT BOARD
29 JUNE 2017

PRESENT: COUNCILLOR R B PARKER (CHAIRMAN)

Councillors L A Cawrey (Vice-Chairman), Mrs J Brockway, M Brookes, R L Foulkes, C S Macey, Mrs A M Newton, N H Pepper and E W Strengiel

Added Members

Church Representatives: Mr S C Rudman

Parent Governor Representatives: Mrs P J Barnett

Councillors: M J Hill OBE and M A Whittington attended the meeting as observers.

Officers in attendance:-

David Forbes (County Finance Officer), Justin Hackney (Assistant Director Specialist Adult Services), Steve Houchin (Head of Finance (Adult Care)), Tracy Johnson (Senior Scrutiny Officer), Claire Machej (Head of Finance (Corporate)), Andrew McLean (Service Manager Commissioning), Pete Moore (Executive Director, Finance and Public Protection), Mark Popplewell (Head of Finance (Children's Services)), Jasmine Sodhi (Performance and Equalities Manager), Fiona Thompson (Service Manager - People Management), Karen Tonge (Treasury Manager) Nigel West (Head of Democratic Services and Statutory Scrutiny Officer) and Richard Wills (Executive Director, Environment and Economy), Catherine Wilman (Democratic Services Officer)

1 APOLOGIES FOR ABSENCE/REPLACEMENT COUNCILLORS

Apologies for absence were received from Councillors A Bridges, C E H Marfleet and Added Members Mr P Thompson and Dr E van der Zee.

2 DECLARATIONS OF MEMBERS' INTERESTS

There were no declarations of interests.

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

It was noted that this would be a standing item on the agenda, however there were no announcements to be made on this occasion.

4 CONSIDERATION OF CALL-INS

No call-ins had been received.

5 CONSIDERATION OF COUNCILLOR CALLS FOR ACTION

There were no Councillor Calls for Action.

6 INTRODUCTION TO SERVICE AREAS

Presentations were received which included introductory information for Members relating to the Children's Services; Adult Care and Community Wellbeing; Finance and Public Protection; People Management; and Environment and Economy (and Monitoring Officer) service areas of the Council.

The presentations covered issues such as resources, priorities for the areas, and budgets.

RESOLVED

That the presentations on service areas be noted.

7 REVIEW OF FINANCIAL PERFORMANCE REPORT 2016/17

Consideration was given to a report on the review of financial Performance which would be presented to the Executive at its meeting on 4 July 2017. The views of the Board would be reported to the Executive to assist with its consideration of the item.

Officers took the Board through the report and the following comments were made by the Board in relation to the under and over spends:

- Readiness for Adult Life - it was questioned what the options were for meeting the growing demands of Care Leavers and homeless 16-17 year olds and it was suggested that a report should be presented to the Children and Young People Scrutiny Committee outlining these options.
- Children are Safe and Healthy – concerns were raised about the staffing vacancies in the early help teams and it was questioned what the current staffing situation was and if it was critical.
- Adult Care – it was suggested that in future it would be useful to have a link between expenditure and activity to see what the impact of activity was on spending. The Board was informed that Mosaic had just been implemented and care records were in the process of being transferred to the new system. The next stage of the Mosaic implementation was to bring in the financial information which would mean that a direct correlation between activity and spend would become visible. Planning for this would need to take into consideration the work to upgrade Agresso from its current configuration to version 6.2. Work to implement Mosaic finance functionality would not start

until this work was complete and an assessment of the links between the two systems had taken place. Therefore work was unlikely to start until the end of this financial year or the start of the next financial year.

- Environment and Economy – support was given to the winter maintenance underspend being put into the general reserves as there was £0.5M still in the contingency budget for winter maintenance.
- Schools – concerns were raised that there was £12.683M underspend in schools budgets and it was questioned how this compared to schools budgets nationally. The Board was informed that the Council had a policy in place where there was a cap of 8% carry forward of schools budgets, and if the carry forward was higher the policy would be triggered. Schools were advised to hold some reserves to provide some flexibility as their budget was driven by pupil numbers. The Lincolnshire Schools Forum regularly received reports on the budgetary position of maintained schools. However, with regards to academies, it was reported that their level of reserves were likely to start decreasing due to the cessation of the LACSEG (Local Authority Central Spend Equivalent Grant), especially once the transition protection ended.

The following comments were made by the Board in relation to the carry forwards:

- The Board accepted the proposed allocations of carry forwards as set out in paragraph 1.84.
- It was suggested that more narrative about the business case for each of the carry forward proposals would be useful in future reports to justify the reasons for creating new reserve accounts. However, it was recognised that there was a need for flexibility to withdraw from some proposals if new financial pressures arose in future.
- Highways Advanced Design Reserve – support was provided for this reserve as it was recognised that it was essential to have schemes ready to go when funding became available.
- Horncastle Salt Barn Reserve – support was provided for this proposal especially in light of the savings from the winter maintenance budget.
- It was suggested that it would be useful for some staff to have two screens for working to improve their productivity.

RESOLVED

1. That the Board support the recommendations to the Executive as set out in the report;

2. That the comments made in relation to this item be passed to the Executive.

8 COUNCIL BUSINESS PLAN 2016 - 2017 PERFORMANCE REPORT, QUARTER FOUR

The Board considered a report which was to be presented to the Executive at its meeting on 4 July 2017. The views of the Board would be reported to the Executive to assist its consideration on this item.

Officers provided a summary of the report which included use of performance information held on the Lincolnshire Research Observatory website.

In addition, the following comments were made:

- In relation to the Learn and Achieve Commissioning Strategy, concerns were raised about the high number of permanent exclusions in the academic year 2014-15. The Chairman of the Children and Young People Scrutiny Committee confirmed that the Committee had an item on the Inclusive Lincolnshire Strategy programmed in for its meeting on 21 July 2017 and he expected to see some progress as a result of this strategy and the new Behaviour Outreach Support Service (BOSS).
- In relation to the measure "pupils aged 16-18 participating in learning" the Chairman of the Children and Young People Scrutiny Committee noted that the issue of data collection from independent learning providers needed to be looked into.
- In relation to the measure "reported incidents of domestic abuse", the Chairman of the Public Protection and Communities Scrutiny Committee confirmed that the Committee would be looking at this issue in future.

RESOLVED

1. That the Board support the recommendations to the Executive as listed in the report;

2. That comments be agreed and passed to the Executive.

9 TREASURY MANAGEMENT ANNUAL REPORT 2016/17

Consideration was given to a report which had been prepared in accordance with the reporting recommendations of the CIPFA Code of Practice 2011 and detailed the result of the Council's treasury management activities for the financial year 2016/17.

It was noted that the Treasury Management Annual Report 2016/17 would be considered by the Executive Councillor for Resources and Communications in due course.

A representative of CAPITA was present and reported that borrowing activity had mirrored the drop in interest rates.

In response to questions it was confirmed that:

- The County Council and District Councils had a policy of lending to each other as well as lending within the County Council. Neither of these methods incurred interest;
- Long term borrowing was on fixed rates, however, the rates for short term borrowing were not expected to move substantially in the near future.

RESOLVED

That the content of the report be supported and commended to the Executive Councillor for Resources and Communications.

10 PROPOSALS FOR SCRUTINY REVIEWS

Consideration was given to a report which enabled the Board to identify and agree potential topics for in-depth scrutiny reviews to be undertaken by the two Scrutiny Panels.

It was explained that the position of Chairman and Vice Chairman on the Scrutiny Panels were standing positions. The membership of both panels (non-Executive Councillors only) would be formed once the topics had been decided.

A Brexit Working Group had been established in the previous Council term, but had not held a meeting for some time.

Following discussion, it was agreed that background research on potential topics needed to be completed before a final decision could be made, to ensure that the review process could be maximised to its full potential. The Board agreed to delegate this to the two Scrutiny Panel Chairmen, Councillors Mrs J Brockway and Mrs A M Newton, along with the Board's Chairman and Vice Chairman, Councillors R B Parker and L A Cawrey.

Mr Rudman questioned how far his involvement as an education representative would go, given that many topics touched on education. It was agreed that education matters and the role of education added members could be interpreted broadly, when considering the involvement of the education added members.

RESOLVED

That the Board delegate the selection of topics for scrutiny review to the Chairman and Vice Chairman and the Chairmen of the Scrutiny Panels and receive a report back on the proposed topics for scrutiny review at the next meeting.

11 REPORTING ARRANGEMENTS FOR SCRUTINY COMMITTEES' WORK PROGRAMMES FOR 2017/18

Consideration was given to a report which enabled the Board to agree the reporting arrangements for the scrutiny committees' work programmes in 2017/18.

It had become apparent that there was a need to change the way scrutiny work programmes were reported. It was suggested that committee programmes be staggered with each Board meeting focussing on two or three different committees.

It was required that either the Chairman or Vice Chairman from the Committees in question, attend the Board meeting to present their work programme.

RESOLVED

That the reporting arrangements for scrutiny committees' work programmes for 2017/18 be approved.

12 OVERVIEW AND SCRUTINY MANAGEMENT BOARD WORK PROGRAMME

The Board considered a report which presented its own work programme for the coming months. No additional items were identified at this time.

The Board was informed that the report on the Housing Company Business Case had been deferred from the meeting on 27 July 2017 to the meeting on 28 September 2017 to allow for further work to be undertaken.

RESOLVED

That the report and changes to the work programme be agreed.

The meeting closed at 1.35 pm

Lincolnshire COUNTY COUNCIL Working for a better future

Policy and Scrutiny

Open Report on behalf of Sophie Reeve, Chief Commercial Officer

Report to:	**Overview and Scrutiny Management Board**
Date:	**27 July 2017**
Subject:	**Performance of the Corporate Support Services Contract**

Summary:

This report provides an update of Serco's performance against contractual Key Performance Indicators (KPI) specified in the Corporate Support Services Contract between January 2017 and May 2017, although the narrative largely focuses on the latest performance in April and May. Performance up to and including December 2016 had previously been reported to and scrutinised by the Value for Money Scrutiny Committee at its meeting held on 28 February 2017.

During this period an additional KPI was added to separately monitor Lincolnshire Road Safety Partnership (LRSP) contacts received by the Customer Services Centre (CSC) bringing the total number of KPIs to 41.

The report also provides an update on the progress made on key transformation projects being undertaken by Serco.

Actions Required:

The Board is asked to seek reassurance about the performance of the Corporate Support Services Contract and provide feedback and challenge as required.

1. Abbreviations

CSS	Corporate Support Services	**PM**	People Management
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		

2. Background

The purpose of the report is to provide an update of Serco's performance against the contract KPIs between January 2017 and May 2017 (months 22 to 26 since services commencement date) although the narrative largely focuses on more recent performance in April and May 2017. The report also provides an overview of the strategic transformation projects being delivered by Serco.

The report enables the Overview and Scrutiny Management Board (OSMB) to fulfil its role in scrutinising performance of one of the Council's key contracts.

3. Performance

Appendix A to the report provides the detailed Key Performance Indicators (KPIs) results for the previous 5 months of service delivery (January 2017 to May 2017) broken down by service area. At the time of writing this report the KPI results for June 2017 are still to be agreed – this is normal as KPI performance results are not normally available until at least working day 15 of the following month in this case the 21 July 2017. This is to allow time for the performance data supporting the KPI score to be compiled by Serco and then to be properly scrutinised by the Council. An addendum report detailing June's KPI results should be available shortly before the OSMB meeting takes place.

Table 1 below provides summary red/amber/green (RAG) status of the KPIs used to measure all of the service areas for the period January 2017 to May 2017. Red status indicates that Serco's performance against the KPI has failed to meet Minimum Service Levels (MSL), amber status indicates a failure to meet the Target Service Levels (TSL) but has achieved MSL, and green indicates that Serco's performance as measured against the KPI has either met or exceeded the TSL as set out under the CSS Contract.

Table 1: Overall KPI Summary Performance

Overall (All Services) Contract Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	27	30	33	29	30
Minimum Service Level (MSL) achieved	3	2	1	4	3
Below Minimum Service Level (MSL)	3	4	3	5	5
Mitigation Agreed	7	4	3	3	3
TOTAL	40	40	40	41	41

The five KPIs which failed to meet the MSL (thus red) in May were:

- CSC_KPI_03 - % avoidable Contact Rate per month – consolidated
- CSC_KPI_04 - % of total Calls that are Abandoned Calls
- CSC_KPI_05 - % of Contacts referred to in CSC_PI_01, _02 & _03 responded to within timescale per month
- CSC_KPI_06 - % First Contact Resolution Rate
- PM_KPI_06 - Number of People Mgt. Records assessed in Spot Checks to contain errors, omissions or inaccuracies

The three KPIs which met MSL but failed to meet TSL (thus amber) in May were:

- IMT_KPI_04 - Priority 1 VIP Incidents not Resolved within Resolution Time
- IMT_KPI_11 - % of project milestones achieved each month
- F_KPI_01 - % of Undisputed invoices paid in accordance with vendor terms

As can be seen in Table 1, in April and May there was an increase in the number of KPIs failing to meet the MSL target (thus red) compared to earlier months. These additional KPI failures were largely in the CSC service area and are discussed in further detail below.

Failed KPIs

Table 8 (in section 9) of this report sets out all of the KPIs which have failed to meet the MSL (thus red) in May 2017 and the effect this failure has on the Council along with an estimated time to resolve.

Mitigation

Additionally Table 9 (in section 10) sets out the background and rationale for the Council granting mitigation for three KPIs in May. The blue colour indicates mitigation, this means that because of a dependency outside of Serco's control e.g. implementation of Mosaic; it is not appropriate to expect the agreed targets to be fully met. Granting mitigation relieves Serco from the application of abatement points. Abatement points are used to calculate service credits applied to the monthly payment to Serco.

4. People Management (PM)

Table 2 below shows the summary KPI performance for the People Management (PM) service.

Table 2: PM KPI Summary Performance

People Management (PM) Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	5	5	7	7	8
Minimum Service Level (MSL) achieved	0	0	0	1	0
Below Minimum Service Level (MSL)	3	4	2	1	1
Mitigation Agreed	1	0	0	0	0
TOTAL	9	9	9	9	9

In the PM service area there was only 1 KPI failure in May, PM_KPI_06 (Number of errors in People Management Records identified in spot checks). Six errors were identified (in circa 350 separate spot checks) which meant the KPI failed to meet the MSL of 3. The KPI is measured to ensure that staff records managed by Serco are kept up to date and are accurate.

Payroll

Appendix C to this report shows the payroll contacts received by Serco between August 2016 and May 2017. All contacts received by Serco before August 2016 have been resolved.

Table 3 below shows payroll contacts received by Serco over the last 6 months (December 2016 – May 2017).

The table (and appendix) details the contacts made by corporate staff and schools staff separately and then provides a total of the two sections. Additionally the table provides detail of how many of the contacts received have been resolved and what number remains outstanding. The final row of the table provides an overall resolution rate for contacts received for both schools and corporate staff.

Please note that the resolution rate and the number of resolved/outstanding contacts stated within the table and appendix represents a snapshot of the position as of 06 July 2017. Serco continuously works to resolve the outstanding payroll contacts and it is to be expected that more recent contacts have a lower resolution rate as Serco has had less time to resolve them when compared to older contacts.

Table 3: Payroll contacts received by Serco over the last 6 months (Figures correct as of 06 July 2017)

Payroll Contacts Received by Serco	Dec 2016	Jan 2017	Feb 2017	Mar 2017	Apr 2017	May 2017
Corporate Contacts (of which Resolved / Outstanding)	**132** (132/0)	**163** (162/1)	**137** (137/0)	**143** (142/1)	**153** (147/6)	**137** (110/27)
School Contacts (of which Resolved / Outstanding)	**233** (233/0)	**217** (217/0)	**128** (127/1)	**115** (115/0)	**63** (62/1)	**76** (71/5)
Total Contacts (of which Resolved / Outstanding)	**365** (365/0)	**380** (379/1)	**265** (264/1)	**258** (257/1)	**216** (209/7)	**213** (181/32)
Overall Resolution Rate (Corporate + Schools) (Correct as of 06/07/2017)	**100%**	**99.43%**	**99.62%**	**99.61%**	**96.76%**	**84.98%**

As reported to the last Value for Money Scrutiny Committee meeting in February 2017, the number of Payroll Contacts in December 2016 and then January 2017 was at the lowest levels since service commencement. This downward trend has continued in the following months up to May 2017. Serco is confident that the numbers in Table 3 now probably represent the numbers you might expect in a business as usual situation for a service covering circa 15,000 staff.

It is welcome to note that along with the fall in the number of payroll contacts being received that the overall resolution rates have improved with very few calls remaining outstanding for more than two months.

5. Information Management Technology (IMT)

Table 4 below shows the summary KPI performance for the Information Management Technology (IMT) service.

Table 4: IMT KPI Summary Performance

Information Management and Technology (IMT) Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	9	10	11	10	10
Minimum Service Level (MSL) achieved	2	1	0	1	2
Below Minimum Service Level (MSL)	0	0	1	1	0
Mitigation Agreed	1	1	0	0	0
TOTAL	12	12	12	12	12

Serco's performance against the IMT KPIs in the last 6 months (December 2016 to May 2017) has seen a marked improvement compared to the previous 6 months (June 2016 to November 2016) which can be demonstrated by:

- Only 3 KPI failures in the past 6 months (compared to 41 KPI failures in the 6 months prior)
- Only 4 Priority 1 incidents reported in the past 6 months (compared to 41 Priority 1 Incidents reported in the 6 months prior)
- Only 6 Priority 2 incidents reported in the past 6 months (compared to 20 Priority 2 incidents reported in the 6 months prior)

Issues still remain with the overall IMT service delivery to the Council. For example there are issues with the IMT help desk used by staff and in particular the service provided by the back-up centre in Birmingham used during times of high call volumes to Lincoln. Serco recognises that the level of service provided by Birmingham could be improved and are working to rectify this with the aim to provide a common high quality experience regardless of the location of the engineer who answers the call.

Channel shift project remain largely undelivered resulting in lost opportunity for Council savings.

6. Customer Service Centre (CSC)

Table 5 below shows the summary KPI performance for the Customer Service Centre (CSC).

Table 5: CSC KPI Summary Performance

Customer Service Centre (CSC) Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	5	6	6	3	4
Minimum Service Level (MSL) achieved	0	0	0	1	0
Below Minimum Service Level (MSL)	0	0	0	3	4
Mitigation Agreed	2	1	1	1	0
TOTAL	7	7	7	8	8

Performance against the CSC KPIs in April and May has resulted in failures against 4 KPIs albeit two of these are due to disagreement between Serco and LCC in how to measure them, these were CSC_KPI_03 and CSC_KPI_06. As part of the KPI refresh negotiations, agreement was reached to record the required information on the Customer Service Centre System (Lagan). For April and May 2017 Serco only sampled a percentage of the calls and so the Council rejected the score. For the future Serco asked the Council to agree a minimum sampling rate to avoid advisor time being tied up on non-delivery activity and agreement has now been reached in principle on this.

The report that was relied upon by Serco to evidence performance against CSC_KPI_05 was found to be faulty. A revised report has now been created and checked which resulted in lower scores being reported in April and May 2017 compared to previous months. The faulty report was set up by a third party contractor and neither Serco nor LCC were aware of any issues with it until April 2017. As the maximum service credit deduction has already been taken this has not resulted in any material overpayment.

Of ongoing concern is Serco's performance against CSC_KPI_04 (Abandoned Calls) which has been above 10% (the MSL target) since September 2016. In May 17.53% of all Calls to the CSC were abandoned. The causes can be attributed to:

- CSC capacity – the number of call advisors available to take Calls
- Sickness absence
- Specialised staffing requirements in Children's Hub (includes safeguarding)
- The implementation of the Mosaic adult care system including a period of dual running with old systems

Action is being taken by Serco to improve performance including:

- Ongoing recruitment exercises
- Looking at trends and reasons for sickness
- Working with the Council's Mosaic, Adults and Children's team to make processes more efficient
- Direct inputting into Mosaic

Customer satisfaction with the CSC service remains high with 95.90% of Customers rating their experience as Good or Very Good.

7. Adult Care Finance (ACF)

Table 6 below shows the summary KPI performance for the Adult Care Finance (ACF) service.

Table 6: ACF KPI Summary Performance

Adult Care Finance (ACF) Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	6	7	7	7	6
Minimum Service Level (MSL) achieved	0	0	0	0	0
Below Minimum Service Level (MSL)	0	0	0	0	0
Mitigation Agreed	3	2	2	2	3
TOTAL	9	9	9	9	9

There were no KPI failures within the ACF service area in May albeit the Council granted mitigation against 3 KPIs, please refer to Table 9 for more detail, all are Mosaic related.

Work continues on the implementation of the Mosaic adult care case handling system with Serco taking on more responsibility for service delivery. Additionally Serco is exploring ways to deliver the direct payments service more efficiently through the use of a payment card system which would remove the need for a bank account to be set up.

8. Financial Administration

Table 7 below shows the summary KPI performance for the Finance Service.

Table 7: Finance KPI Summary Performance

Finance (F) Performance	Jan 2017 (no of KPIs)	Feb 2017 (no of KPIs)	Mar 2017 (no of KPIs)	Apr 2017 (no of KPIs)	May 2017 (no of KPIs)
Target Service Level (TSL) achieved	2	2	2	2	2
Minimum Service Level (MSL) achieved	1	1	1	1	1
Below Minimum Service Level (MSL)	0	0	0	0	0
Mitigation Agreed	0	0	0	0	0
TOTAL	3	3	3	3	3

There were no KPI failures within the Finance service area in May. Achieving the TSL for F_KPI_01 (Paying Invoices on time) has proved difficult to achieve although performance is still relatively high with performance of 90.16% in May. Serco attributes some of the issues to LCC staff not authorising payment in a timely fashion, a view LCC has some sympathy with.

An exercise between the Council and Serco to examine the issues related to F_KPI_01 is ongoing at the time of writing this report to identify service improvement initiatives and/or changes to the method of measurement.

9. KPI Performance failure - Effect on LCC Services

The table below tabulates the effect on the Council's service provision for the KPIs where TSL was not achieved in May 2017.

Table 8: Effect on LCC Services where performance measured against a KPI has failed to meet MSL

Failed KPI (May 2017)	Short Description	Effect of performance failure on LCC	Estimated date for resolution
CSC_KPI_03	% avoidable Contact Rate per month - consolidated	The absence of agreed data on this KPI means that the Council has no confident oversight on the effectiveness of our 'front door', in particular in ensuring that customers do not have to call back a second time.	An agreed sample size for the KPI was agreed in June and the KPI will be reported against the revised sample size. Target Service Level expected by June 2017
CSC_KPI_04	% of total Calls that are Abandoned Calls	A high amount of abandoned calls would generally be accompanied by longer than usual wait times and may lead to a negative impression of the Council on those callers who have to wait or hang up instead of queuing. Additionally there is a risk that this will delay or prevent a customer accessing a service that they require.	Performance Improvement Plans have been initiated and we are working through several initiatives to reduce the high abandonment rate currently being experienced.
CSC_KPI_05	% of Contacts referred to in CSC_PI_01, _02 & _03 responded to within timescale per month	This KPI measures how quickly the Customer Service Centre responds to emails and white mail where the target response time is within 1 day. Failure to achieve this KPI means that customers have to wait longer for an initial response which may negatively impact customer experience and lead to delays in accessing services.	Serco has amended their process in dealing with emails to enable achievement against the targets. Expected achievement is June 2017
CSC_KPI_06	% First Contact Resolution Rate	The absence of agreed data on this KPI means that the Council has no information on the effectiveness of the Customer Service Centre in terms of dispensing the right information and making the right choices at the first point of contact. If customers have to call back there is an avoidable cost to this.	An agreed sample size for the KPI was agreed in June and the KPI will be reported against the revised sample size. Target Service Level expected by June 2017

Failed KPI (May 2017)	Short Description	Effect of performance failure on LCC	Estimated date for resolution
PM_KPI_06	Number of People Mgt. Records assessed in Spot Checks to contain errors, omissions or inaccuracies	If there are omissions/inaccuracies on the personnel records this could impact on any inspections (e.g. Ofsted, UK Border Agency). Also important to have proper recruitment checks recorded (Right to Work, Criminal record check, qualifications etc.) Errors in the records can also impact on accurate reporting on the Council's workforce such as: • Days Sickness per FTE calculations, • Tracking changes in the workforce (e.g. people that move positions, leavers)	There is no underlying reason that would prevent the TSL for this KPI from being achieved in June and that is what Serco is working towards

10. KPIs granted Mitigation Relief

The table below details the background/reasoning for the grant of mitigation relief against three KPIs in May 2017. The effect of the mitigation is to relieve Serco of Abatement Points, and thus Service Credits, that would otherwise have been due for these specific KPIs. Abatement Points and Service Credits were applied as per normal contract arrangements to all other KPIs.

Table 9: Details of KPI Mitigation Relief

KPI Ref No	KPI Short Description	Reason for the granting of Mitigation Relief
ACF_KPI_03	% 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 12th 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	% of new, and change of circumstance, financial assessments for residential care completed within 15 Business Days of referral from the Council	**Mosaic Implementation -** Mosaic was implemented on 12th 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.

KPI Ref No	KPI Short Description	Reason for the granting of Mitigation Relief
ACF_KPI_10	% 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 is a new KPI that cannot be measured until the full finance module of Mosaic is implemented. The go-live for Mosaic financials implementation is dependent on a successful Agresso 6 upgrade that is expected to be in place early 2018.

11. Current Serco Projects

Appendix B to this report provides a summary position on the projects that Serco are currently delivery for the Council.

12. Conclusion

KPI performance across most service areas is relatively good with the exception of the CSC. Reasons for this poorer KPI performance have been set out above and are not indicative of an overall deterioration of service provision.

Although KPI performance is generally good, wider service delivery issues still remain.

13. Consultation

a) Have Risks and Impact Analysis been carried out?

Not Applicable

b) Risks and Impact Analysis

Not Applicable

14. Appendices

These are listed below and attached at the back of the report	
Appendix A	CSS Contract Performance Tables by Service Area (rolling 12 month period)
Appendix B	Projects in progress with Serco
Appendix C	Payroll Contacts Received by Serco (Aug 2016 – May 2017)

15. 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 Ciaran Gaughan and Sophie Reeve who can be contacted on 01522 55 4872 or 01522 55 2578 respectively. Alternatively, they can be contacted via email at Ciaran.Gaughan@lincolnshire.gov.uk or Sophie.Reeve@lincolnshire.gov.uk.

Appendix A – CSS Contract Performance Tables by Service Area (rolling 12 month period)

The tables below provide the detailed performance results for each KPI by Service Area as follows:

- Part 1 - People Management (PM) Service
- Part 2 - Information, Management &Technology (IMT) Service
- Part 3 - Customer Service Centre (CSC) Service
- Part 4 - Adult Care Finance (ACF) Service
- Part 5 - Finance Service

Notes:

1. Data not available (with red status) – Where Serco provide insufficient or inaccurate performance data to establish that the required service levels have been met those KPIs affected are allocated a red status i.e. MSL has not been achieved. These KPIs are recorded as "data not available" in the tables below and in these instances, the KPI attracts the full amount of abatement points and thus the maximum service credit is applied to the Monthly Payment to Serco.
2. Not measured / Mitigation Agreed (with blue status) – The blue colour indicates mitigation, or in initial contract months a "glide" period; this means that because of a dependency outside of Serco's control e.g. implementation of Mosaic; it is not appropriate to expect the agreed targets to be fully met. In some instances, performance was still recorded but abatement points were not applied. Abatement points effect the level of service credits applied to the Monthly Payment to Serco.

Part 1 - People Management (PM) Service

PM KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Jan-2017	Feb-2017	Mar-2017	Apr-2017	May-2017
PM_KPI_01	% of Payroll Recipients paid on the Payment Date per month	99.9	99	99.90	99.90	99.97	99.98	99.98
PM_KPI_02	% of errors in Payments (caused by Service Provider) identified and resolved per month	100	99	100.00	100.00	100.00	100.00	100.00
PM_KPI_03	% of Payment Deductions paid within Third Party Payment Date per month	100	100	96.97	97.06	100.00	100.00	100.00
PM_KPI_04				KPI Reference Not in Use				
PM_KPI_05	People Management First Contact Resolution Rate of Tier 1 Contacts in each month	85	80	14.34	46.97	95.00	98.91	99.32
PM_KPI_06	Number of People Mgt. Records assessed in Spot Checks to contain errors, omissions or inaccuracies	1	3	9.00	10.00	15.00	3.00	6.00
PM_KPI_07	% of recruitments via electronic vacancy form taking 40 Business Days or less from Authorisation to Appointment to Post	99	96	100.00	100.00	100.00	100.00	100.00
PM_KPI_08	% of managers rating their experience of contact as "Good" or better per month	95	90	100.00	98.21	100.00	100.00	100.00
PM_KPI_09				KPI Reference Not in Use				
PM_KPI_10				KPI Reference Not in Use				
PM_KPI_11	% of People Management transaction activity completed within the relevant required timescale / target service level as detailed in the 'PM_KPI_11 Service Level Agreement'.	92[1]	85[1]	100.00	92.86	92.86	92.86	100.00
PM_KPI_12	% of users in any month who score the PM My Helpdesk as 'good' or 'very good' in response to the way a People Management My Helpdesk has been managed on a range of measures	80	75	Mitigation Agreed	58.42	72.00	74.00	85.00

1. Between December 2016 and March 2017 the TSL and MSL for IMT_KPI_11 was 80% and 75% respectively. From April 2017, following the initial baselining period, the TSL and MSL were revised upwards to reflect good performance.

Part 2 - Information, Management &Technology (IMT) Service

IMT KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Jan-17	Feb-17	Mar-17	Apr-17	May-17
IMT_KPI_01	% Users are able to raise Incidents and make Service Requests (Service Availability?) during Service Desk Hours	99.8	99.3	99.80	100.00	100.00	99.98	99.96
IMT_KPI_02	Priority 1 Incidents not Resolved within Resolution Time	1	5	1.00	1.00	1.00	1.00	0.00
IMT_KPI_03	Priority 2 Incidents not Resolved within Resolution Time	3	5	2.00	0.00	1.00	1.00	0.00
IMT_KPI_04	Priority 1 VIP Incidents not Resolved within Resolution Time	1	5	0.00	0.00	0.00	0.00	2.00
IMT_KPI_05	Number of Priority 1 Incidents reported to Service Desk	1	5	0.00	1.00	1.00	1.00	1.00
IMT_KPI_06	Number of Priority 2 Incidents reported to Service Desk	3	5	4.00	0.00	1.00	0.00	1.00
IMT_KPI_07	% Availability of Platinum Applications & Specified Services	99.8	99.3	100.00	99.89	99.94	99.99	99.97
IMT_KPI_08				KPI Reference Not in Use				
IMT_KPI_09	% Achievement of Service Request Fulfilment within Service Request Fulfilment Time	95	85	Mitigation Agreed	95.36	96.79	96.35	95.55
IMT_KPI_10	% of CMDB Changes applied within 14 Core Support Hours of the move or change	100	90	100.00	98.60	100.00	98.73	100.00
IMT_KPI_11	% of project milestones achieved each month	85	70	72.00	Mitigation Agreed	Data Not Available	Data Not Available	81.00
IMT_KPI_12	% of users who score the IT Service as "Good" or above for IT Incident handling	75	60	86.70	87.60	89.80	91.60	82.60
IMT_KPI_13	% of user activities within monitored applications that meet the required response timescales set out in the Performance Standards Measurement Plan for that user activity each month	95	85	97.00	97.20	97.10	97.30	97.24

Part 3 - Customer Service Centre (CSC) Service

CSC KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Jan-17	Feb-17	Mar-17	Apr-17	May-17
CSC_KPI_01	% of all Contacts received through Digital Access Channels per month	20[2]	17[2]	21.51	25.40	24.07	24.41	22.69
CSC_KPI_02				KPI Reference Not in Use				
CSC_KPI_03	% avoidable Contact Rate per month - consolidated…	10	15	7.29	6.63	7.11	Data Not Available	Data Not Available
CSC_KPI_04	% of total Calls that are Abandoned Calls	7	10	Mitigation Agreed	Mitigation Agreed	Mitigation Agreed	Mitigation Agreed	17.53
CSC_KPI_05	% of Contacts referred to in CSC_PI_01, _02 & _03 responded to within timescale per month	95	90	100.00	100.00	99.62	72.10	74.26
CSC_KPI_06	% First Contact Resolution Rate	85	80	94.72	94.96	95.87	Data Not Available	Data Not Available
CSC_KPI_07	% of Customers rating their experience of contact as "Good" or better per month	90	85	94.10	93.87	95.95	96.19	95.90
CSC_KPI_08				KPI Reference Not in Use				
CSC_KPI_09	% of carers assessments (reviews and new), as completed by the CSC, completed accurately and within 20 Business Days	98	95	Mitigation Agreed	100.00	100.00	95.08	98.11
CSC_KPI_10	% of LRSP Calls that are Abandoned Calls	25	30	KPI Reference Not in Use			16.03	18.74

2. The TSL/MSL for CSC_KPI_01 rises over time, details of this are set out below:

Target Service Level	Year 1: ≥10% Year 2: ≥20% Year 3 (Apr 2017 – Sept 2017): ≥20% Year 3 (Oct 2017 – Mar 2018): ≥25% Year 4 (Apr 2018 – Sept 2018): ≥35% Year 4 (Oct 2018 – Mar 2019): >35% Year 5 (Apr 2019 – Sept 2019): ≥40% Year 5 (Oct 2019 – Mar 2020): ≥45%
Minimum Service Level	Year 1: ≥7% Year 2: ≥17% Year 3 (Apr 2017 – Sept 2017): ≥17% Year 3 (Oct 2017 – Mar 2018): ≥20% Year 4 (Apr 2018 – Sept 2018): ≥25% Year 4 (Oct 2018 – Mar 2019): ≥30% Year 5 (Apr 2019 – Sept 2019): ≥37% Year 5 (Oct 2019 – Mar 2020): ≥42%

Part 4 - Adult Care Finance (ACF) Service

ACF KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Jan-17	Feb-17	Mar-17	Apr-17	May-17
ACF_KPI_01	% of ACF First Contact Resolution Rate per month	85	75	**98.08**	**98.21**	**98.49**	**99.38**	**97.52**
ACF_KPI_02				**KPI Reference Not in Use**				
ACF_KPI_03	% of new, and change of circumstance, financial assessments for non-res care completed within 15 Business Days of referral from the Council/	75*	60	**Mitigation Agreed**	**Mitigation Agreed**	**Mitigation Agreed**	**Mitigation Agreed**	**69.30 Mitigation Agreed**
ACF_KPI_04	% of new, and change of circumstance, financial assessments for residential care completed within 15 Business Days of referral from the Council	75*	60	**Mitigation Agreed**	**77.78**	**79.03**	**79.26**	**74.07 Mitigation Agreed**
ACF_KPI_05	% of Adult Care Service Users who receive their first Direct Payment within 10 Business Days of referral from the Council	95	80	**100.00**	**100.00**	**100.00**	**100.00**	**100.00**
ACF_KPI_06	% of Adult Care Income due which is more than 28 days old	5	10	**1.83**	**1.76**	**1.49**	**1.83**	**2.03**
ACF_KPI_07	% of cases where necessary paperwork to enable Council's legal services to secure charges are submitted within time	100	90	**100.00**	**100.00**	**100.00**	**100.00**	**100.00**
ACF_KPI_08	% of court protection and appointeeship cases that have been actioned correctly and commenced within 5 Business Days of referral	90	85	**100.00**	**100.00**	**100.00**	**100.00**	**100.00**
ACF_KPI_09	% of Adult Care Finance Users rating their experience of contact with the Council as "Good" or better per month	95	90	**98.68**	**96.91**	**97.92**	**96.94**	**99.44**
ACF_KPI_10	% 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	95	90	**Mitigation Agreed**	**Mitigation Agreed**	**Mitigation Agreed**	**Mitigation Agreed**	**Mitigation Agreed**

1. For the months March 16 – May 16 agreement was made to lower the TSL to 65% (from 75%) of ACF_KPI_03 and ACF_KPI_04 as a result of additional work being undertaken by Serco on the contribution policy change introduced by LCC

Part 5 - Finance Service

Finance KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Jan-17	Feb-17	Mar-17	Apr-17	May-17
F_KPI_01	% of Undisputed invoices paid in accordance with vendor terms	95	80	**85.23**	**91.47**	**90.98**	**86.89**	**90.16**
F_KPI_02	% of payment runs executed to agreed schedule (as agreed one Business Day in advance)	100	95	**100.00**	**100.00**	**100.00**	**100.00**	**100.00**
F_KPI_03	% of debt due to the Council (excluding Adult Care Financial Assessment Income not set-up as an exchequer reference and health authority debt) which is more than 30 days old.	5	10	**1.86**	**1.11**	**1.47**	**4.29**	**2.02**

Appendix B - Projects in progress with Serco

The table below shows the outcomes being delivered for the Council; each outcome may require the delivery one more than one project. The individual projects (shown previously) are managed through the technical and project delivery boards. This view is intended to show the impact on the Council's services.

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
External customers / citizens of Lincolnshire	Online booking of driver training courses – reducing need to call the CSC.	Q1 2018	The Channel Shift projects have had a new governance model applied to enable more specific focus on individual modules as they have seen slippage in delivery dates. The Key cause of slippage is due to: • The planned Authentication and Verification Capability/Service, which is a dependency on Driver Training and Registrars, being withdrawn and hence an alternative solution is required. • Payment Gateway change in approach to testing. A decision by the board has been made to test the entire payment gateway end to end prior to allowing individual modules to test it for their components. This has impacted the driver training UAT schedule. UAT sessions are currently in final stages of planning for Payment Gateway, Driver Training and Registrars modules. There were 28 improvements identified, of which 9 have been addressed. Of the outstanding improvements 6 are
	Online fault reporting for Highways issues – improvements to current service. **COMPLETED** Phase 2 - Enhancements– in progress	16/12/16 – complete Q4 2017 – phase 2	
	Online booking of appointments for Registrars services and online ordering of certificates.	Q1 2018	
	Online purchase of Highways licences.	TBC	
	Online application for Blue Badges	TBC -	

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			dependent on the resolution of how the system consumes the GIS platform and 12 are progressing in partnership with the service. One is on hold until October 2017 to demonstrate final GIS system to councillors The Registrars module has largely been completed and is ready to move into validation of the system and subsequent User Acceptance Testing. Similarly to the Driver Training module, Registrars has dependencies on the enabling functions of Authentication & Verification and the Payment Gateway, both of which need to be in place to allow progress to these next stages. The Highways Licensing module has come off hold and is in the requirements definition stage we have a set of 9 licenses currently in scope for the module. However it is known that new licenses will be coming on line at a later date. A workshop has been held to understand the business processes behind the service and the next stage will be to develop and agree a requirements document. An approach/scope needs to be agreed with LCC
	New website – improve ability to present and search for information	Q4 2017	Hosting options are currently under review following withdrawal of the planned platform, this has delayed the project.

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			Progress continues on content rationalisation. The decision on the Content Management Systems has been made and High Level Designs are in the advanced stage (only awaiting hosting decision in order to finalise). LCC style guides expected to be agreed by 20th July.
	Replacement of Children's Services system Edica – used by parents for schools admissions	Q1 2018 (Schools Admissions module)	LCC have selected a preferred option from the 3rd party options paper and the project team are proceeding on that basis to provide a costed proposal for solution delivery and ongoing service costs. LCC have made decision to remove transport from scope due to additional requirement not being met by the transport module.
Financial and HR Services / internal efficiency and ease of use for staff	Upgrade of the Agresso system to improve efficiency and accuracy of the finance and HR services. **COMPLETED**	30 Nov 2016	The Agresso upgrade completed successfully on schedule, and is fully operational on v4.7.
	Process improvements in financial services **COMPLETED**	31 Mar 2017	A review of the current Accounts Payable processes will be initiated to assess if any further improvements need to be delivered as part of the transformation programme. Following the review of the current Accounts Payable processes no further initiatives were identified and as a result the project has been completed
	Process improvements in HR and Payroll: Recruitment Redesign demand **Completed** Employee Lifecycle Redesign	Oct 2017	Recruitment Redesign The service went live on the 5th of June which introduced a new Recruitment and Resourcing service. This will deliver

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
	Electronic Personnel Files Variable Payments and Deductions		multiple efficiencies and value-adding services to hiring managers, and will assist in driving down both on and off contract agency spend through advanced self-service, moderate business process re-engineering, and restructure of Serco resources in order to best meet customer demand. Employee Lifecycle Redesign As part of an employee's journey from starting their careers with Lincolnshire County Council, this project has now completed the design phase and is passing into build & delivery. It will see a number of new e-forms be developed to enhance and improve both the current processes and the user experience whilst also reducing the amount of failure demand relating to starters, movers, leavers, and other employee changes. In addition and as part of the approach, additional value-add tools are being developed for manager use which aims to decrease the number of foreseeable errors, whilst increasing the visibility of key management information. Electronic Personnel Files As part of Serco's commitment to contract delivery, the Electronic Personnel File project cuts across all business areas to rationalise the storage of employee

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			documentation for better ease of access, clear alignment of manager involvement, and improve personnel file management. A solution design is currently in the final stages of development with potential scanning suppliers under review. New processes have been implemented for all new personnel files and paper records are no longer printed. Variable Payments and Deductions Looking to streamline the business processes surrounding 'variable payments' (e.g. payments paid to officers outside of regular pay, such as mileage claims, expenses, etc), this project is in the final stages of design. This work has been well supported by colleagues within Business Support and Audit and a key opportunity has arisen for a large consumer of the service to use self-service in order to provide the council with business efficiencies, whilst improving audit controls and providing a better user experience.
	Automatic integration of e-training with Agresso training record – better ability to monitor staff training	Q4 2017	This project is on hold due to a dependency on HR Admin data remediation. Once this is complete the testing can commence on Lincs2Learn and Agresso integration.
Adults and Children's Services	Improved efficiency for staff – Mosaic **COMPLETED**	12 Dec 2016	The Mosaic system go-live was successfully achieved, and the Serco team are now working with the CMPP team through the

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			project early life support arrangements. The focus of attention will now fall on the secondary go live of Financial processes. A date for this is awaiting advice from CMPP.
Highways	Introduce Permits for Highways use and mobile staff devices **COMPLETED**	5 Oct 2016	This Project has completed successfully and is closed.
Technology improvements	Provision of replacement mobile phones for staff **COMPLETED (additional rollouts in planning)**	Q1 2017	Rollout Complete (approx. 700 devices deployed). The next phase has been commissioned to deploy a further 400 devices. A Proof of Concept for Android phones is also being accessed.
	Provision of improved access to the internet **COMPLETED**	14 Oct 2016	The Web Access Modernisation Phase 1 & 2 completed on schedule and is in closure.
	Provision of Windows tablets for mobile staff	Q3 2017	Initial pilot for Mosaic field users confirmed at 47 (reduced from 200). Deployment schedule was impacted as a result of a Windows10 build issue (Microsoft provided a fix that has resolved the issue) and LCC prerequisite communication actions required. LCC are planning comms and dates will be confirmed following this.
	Delivery of network improvements	TBC	The development and enhancement of the LCC network and infrastructure is at the core of current operations and Serco is working very closely with LCC's Chief Architect to deliver his long-term goal of an up-to-date, flexible, fast and efficient network. To that end a number of initiatives have already been delivered around removing redundant processes or paths

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			within the network that have been slowing down traffic. Network flow is being targeted by the improved and extended use of monitoring tools to more speedily identify and resolve issues. Further work is being done to strengthen the network's resilience by removing single points of failure. A Lincoln Campus Distribution project was commissioned and is awaiting LCC approval to enter the Low Level Design and Proof of Concept stage.
	Delivery of security improvements and ISO27001 **COMPLETED**	26 Oct 2016	The project to deliver the Information Security Management System, which involves accreditation through independent audit, has completed successfully on schedule and is closed
	Provision of replacement desktops for staff	Sept 2017	The PC Refresh project is in its 4th week of the deployment phase, with Windows10 devices being rolled out to the first tranche of 650 desktop and laptops. 129 corporate devices & 48 Members devices have been rolled out. 20% of users have failed to make their appointment resulting in rescheduling being required.
	Upgrade of telephony – for security purposes	Q4 2017	The Vodafone proposal was accepted by LCC and an order placed end of June to enable the design phase to commence.
	Preparation of Lancaster House for staff use	Oct 2017	Changes to High Level Design have been made following additional requirement surfacing. Build preparation is in planning.

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
	Support to provision of new printers/photocopiers/scanners – cost saving	TBC	All POC MFD's deployed and POC underway. Planning for full rollout in progress with Konica Minolta
	Close down of SAP – securing historic data – removes risk	Q4 2017	A detailed analysis and review of legacy SAP data access and usage by operational users has been completed. A review of the appropriate technical solutions to meet these business requirements has taken longer than anticipated due to complexity, engagement with Kier and prioritisation of Channel Shift initiatives.
	Enterprise data warehouse – increasing ease and efficiency of reporting across Council data	Q4 2017	Legacy Social Care release is Live (1st of the 5 planned project releases). Project implementation continues. Project work to complete and (remaining) project plan under review. Updated plan expected to be agreed within July.
	Data centre relocation – improving resilience in the event of system failure/disaster	Q3 2017	The Data Centre migration project has continued to progress well, however, has slipped (primarily due to business areas decisions regarding application requirements /upgrades). Each tranche of system migrations are carefully planned and agreed with LCC stakeholders.
	Identity management – including management of starters, movers and leavers – security and efficiency improvements	Q4 2017	Project high level design approved. Detailed design now being undertaken ahead of the solution build
	Improved system for reporting HR and IT issues – easier for staff to use and more efficient to manage **COMPLETED** – MyIT/MyMosaic	31 Dec 2016 (MyIT and MyMosaic)	MyIT achieved go-live successfully as scheduled in Oct 2016. MyMosaic successfully went live on 12/12/16.

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
		Q3 2017 (MyHR)	The MyHR aspects have been developed and we are working with LCC to move to the next stage.

Appendix C – Payroll Contacts Received by Serco (Aug 2016 – May 2017)

Notes:

1. The table below details the contacts made by corporate staff and schools staff separately and then provides a total of the two categories of contact.
2. Additionally the table provides detail of how many of the contacts received have been resolved and what number remains outstanding.
3. The final row of the table provides an overall resolution rate for contacts received for both schools and corporate staff.
4. The numbers in the table were correct as of **06 July 2017**. Serco continuously work to resolve the outstanding payroll contacts and it is a natural course of events that more recent contacts have a lower resolution rate, as Serco have had less time to resolve them, when compared to older contacts.
5. All Payroll Contacts received by Serco prior to August 2016 have been resolved.

Payroll Contacts Received by Serco	**Aug 2016**	**Sept 2016**	**Oct 2016**	**Nov 2016**	**Dec 2016**	**Jan 2017**	**Feb 2017**	**Mar 2017**	**Apr 2017**	**May 2017**
Corporate Contacts (of which Resolved / Outstanding)	**220** (220/0)	**213** (213/0)	**218** (218/0)	**164** (164/0)	**132** (132/0)	**163** (162/1)	**137** (137/0)	**143** (142/1)	**153** (147/6)	**137** (110/27)
School Contacts (of which Resolved / Outstanding)	**310** (310/0)	**447** (447/0)	**414** (414/0)	**433** (432/1)	**233** (233/0)	**217** (217/0)	**128** (127/1)	**115** (115/0)	**63** (62/1)	**76** (71/5)
Total Contacts (of which Resolved / Outstanding)	**530** (530/0)	**660** (660/0)	**632** (632/0)	**597** (596/1)	**365** (365/0)	**380** (379/1)	**265** (264/1)	**258** (257/1)	**216** (209/7)	**213** (181/32)
Overall Resolution Rate (Corporate + Schools) (Correct as of 06/07/2017)	**100%**	**100%**	**100%**	**99.83%**	**100%**	**99.43%**	**99.62%**	**99.61%**	**96.76%**	**84.98%**

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Policy and Scrutiny

Open Report on behalf of Debbie Barnes, Executive Director responsible for People Management

Report to:	**Oveview and Scrutiny Management Board**
Date:	**27 July 2017**
Subject:	**Trade Union Recognition of the Royal College of Nursing**

Summary:

This report invites the Overview and Scrutiny Management Board to consider a report on the Trade Union Recognition of the Royal College of Nursing which is being presented to the Executive on 5 September 2017. The views of the Board will be reported to the Executive as part of its consideration of this item.

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.

1. Background

The Executive is due to consider a report on the Trade Union Recognition of the Royal College of Nursing at its meeting on 5 September 2017. The full report to the Executive is attached at Appendix 1 to this report.

2. Conclusion

Following consideration of the attached report, 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

Not Applicable

4. Appendices

These are listed below and attached at the back of the report	
Appendix 1	Report on Trade Union Recognition of the Royal College of Nursing to be presented to the Executive at its meeting on 5 September 2017

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 Marie Robertson, who can be contacted on 01522 554519 or marie.robertson@lincolnshire.gov.uk.

Open Report on behalf of Debbie Barnes, Executive Director responsible for People Management

Report to:	**Executive**
Date:	**05 September 2017**
Subject:	**Trade Union Recognition of the Royal College of Nursing**
Decision Reference:	**I014017**
Key decision?	**No**

Summary:

Public Health transferred to Local Authorities in 2013, when the Councils became responsible for commissioning public health services for 5 to 19 year-olds (up to 25 for young people with Special Educational Needs and Disabilities (SEND). On 1st October 2015, Local Authorities were further delegated commissioning responsibility for public health services for 0 to 5 year olds.

In November 2016, the Council's Executive made the decision that the children's health service 0-19 (25 SEND) is in-sourced and provided by the Council's Children's Services Department. The recommended model for Lincolnshire children's health services has been developed taking into account findings from a review completed in 2015; this is believed to offer the best approach to securing value for money services that will improve outcomes for children, young people and families.

240 employees are due to transfer into Lincolnshire County Council (LCC) on 1st October 2017. The 2 main Trade Unions who support this staff group are Unison and the Royal College of Nursing. Although Unison is currently recognised by LCC, the Royal College of Nursing (RCN) is not.

The Royal College of Nursing has requested Trade Union Recognition by LCC as a result of this.

Recommendation(s):

That the Executive approves the recognition of the Royal College of Nursing as a LCC recognised Trade Union.

Alternatives Considered:	
1.	Not to recognise the Trade Union. However, there is a statutory process that could be followed by the union if we did not recognise so they could seek to secure recognition that way.

Reasons for Recommendation:

The RCN meets the criteria laid down in the Council's policy.

This is a new staff cohort transferring by operation of law under the TUPE Regulations. The Council will be relying on these staff to deliver the newly acquired services and it would give a negative impression of the Council as their new employer to remove from the recognition of their Trade Union that they currently enjoy. This may impact on the Council's ability to recruit and retain.

1. Background

The employees who will be transferring into LCC from the NHS will have the right to Trade Union Representation.

The Council's policy on Trade Union Recognition states the following:

A request for full recognition by Lincolnshire County Council for collective bargaining purposes will be considered if the trade union concerned:

a) is an independent registered trade union
b) is on the staff side of the appropriate National negotiating body; and
c) has substantial membership in the employment group concerned

If a Trade Union wishes to apply to be recognised by Lincolnshire County Council they should write to the Head of People Management. Such requests will be considered by the Council's Executive and will need to evidence that they meet the criteria and a, b and c above.

As per the LCC policy the RCN is an independent registered trade union and is on the staff side of the appropriate National negotiating body.

Approximately 38% of the transferring workforce are members of the RCN.

This means they have a substantial membership which is also a requirement of the County Council's policy as above.

Members of the unions pay their own membership fees and the Council as their employer allows for facilities time for any accredited representatives to undertake representation and to attend relevant meetings. The Council's policy on this states that this is "limited to an aggregate total of 9 whole days or 18 half days in any 12

month period although officials may apply for further time off with or without pay in exceptional circumstances".

It is not anticipated that this will incur a cost to the Authority. If, by exception, additional facilities time is required and is deemed to be affecting the service area and back-fill is required then this is agreed on an individual basis and a business case is presented to the Executive Director responsible for People Management for approval on a time limited basis.

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 staff cohort affected by this decision and the membership of the RCN generally is understood to be predominantly female and it is considered to be likely to remain so given the historic patterns of recruitment to such roles. It is therefore considered that the adverse effects of non-recognition will impact disproportionately on women as a group with a protected characteristic. There is no mitigation that could be put in place to remove or reduce this impact.

In those circumstances if this is treated as a provision criterion or practice that places employees with a particular protected characteristic at a disadvantage then it could potentially give rise to claims for indirect discrimination.

Recognition of the RCN is therefore considered to be most consistent with the Council's Equality Act duties.

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.

Consideration has been given to the JSNA and the JHWS. The overall impact of the services delivered by the transferring staff impacts positively on the aims of the JHWS. Insofar as union recognition supports good employee relations and therefore on the delivery of the services it also positively impacts on the JHWS.

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

Consideration has been given to these matters and there is not considered to be any direct impact of this decision.

3. Conclusion

As a result of the information noted above it is recommended that the Council recognises the Royal College of Nursing (RCN) as part of its Trade Union Recognition Policy.

4. Legal Comments:

The legal considerations relating to this decision are set out in detail in the Report.

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

5. Resource Comments:

There are no additional budget implications arising from this proposal.

6. Consultation

a) Has Local Member Been Consulted?

Yes

b) Has Executive Councillor Been Consulted?

Yes

c) Scrutiny Comments

This report will be considered by the Overview and Scrutiny Management Board on 27th July 2017 and the views of the Committee will be reported to the Executive on 5th September 2017.

d) Have Risks and Impact Analysis been carried out?

No

e) Risks and Impact Analysis

See the body of the Report.

7. Background Papers

The following Background documents have been used in the preparation of this Report

Document title	Where the document can be viewed
Trade Union Recognition Policy	People Management

This report was written by Marie Robertson, who can be contacted on 01522 554519 or marie.robertson@lincolnshire.gov.uk.

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Lincolnshire COUNTY COUNCIL Working for a better future

Policy and Scrutiny

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

Report to:	**Overview and Scrutiny Management Board**
Date:	**27 July 2017**
Subject:	**Working Group into the UK's Exit from the European Union**

Summary:

Lincolnshire County Council previously established a Working Group to consider the impact of the UK's exit from the European Union on the County Council and on Lincolnshire more generally. This report provides an update on the progress that the Working Group made and it recommends that the Working Group is re-established with a cross-council remit.

Actions Required:

The Overview and Scrutiny Management Board is asked to:

1. Re-establish the Working Group on the UK's exit from the European Union with a new membership consisting of one member from each Scrutiny Committee;
2. Authorise the Working Group on the UK's exit from the European Union to meet more than three times during the Brexit negotiation period;
3. Request that the Working Group on the UK's exit from the European Union reports back to the Overview and Scrutiny Management Board after each meeting.

1. Background

In late 2016 the Council created a Working Group on the impact of the UK's exit from the European Union (EU).

Although the Working Group only met twice, it conducted a significant amount of work. The Working Group monitored the announcements about Brexit coming from Whitehall and considered how they might impact on Lincolnshire; surveyed senior managers about the potential implications of Brexit on their service; gave evidence to a parliamentary committee on Brexit; and analysed recent migration patterns in Lincolnshire.

Government committee on Brexit's visit to Lincolnshire

The parliamentary committee on the UK's exit from the EU visited Boston on Thursday 2nd February 2017, and Lincolnshire County Council (LCC) was invited to join other organisations (Boston Borough Council, Greater Lincolnshire Local Enterprise Partnership (GLLEP), NHS, Police, etc) for a short meeting with the committee and their researchers.

Cllr Mrs M J Overton MBE attended that meeting, accompanied by Justin Brown, Commissioner for Economic Growth. Cllr Mrs Overton made points to the committee about the fast rise in the migrant population of Lincolnshire, cost of translation services, and potential pressure on adult social care and school services. She also suggested that better community cohesion programmes, mechanisation and new employment support policies could effectively address some of the risks that migration policies could bring to those employers who rely on migrant labour.

Interim recommendations of the Working Group

Shortly before the County Council elections – and subsequent general election - the Working Group made the following recommendations to Group Leaders:

1. Between 12% and 14% of businesses in Lincolnshire trade internationally. Any new international trade deals will take a long time to agree. ***It is recommended that LCC writes to Department for International Trade urging them to work quickly to agree the fine detail of trade agreements***. Whilst this is unlikely to make a difference to the pace at which Department for International Trade (DIT) are working, it will show businesses in Lincolnshire that the County Council is business focused.

   Officers continue to discuss priorities with the Department for International Trade and whilst DIT's motivation is nationally focused, they recognise the importance of helping local partners to achieve their own objectives for international trade. For example, in Lincolnshire, DIT has committed an extra £1m over a three year period to increase the number of exporters and the Foreign and Commonwealth Office has allocated Lincolnshire County Council to help to promote trade opportunities with China.

2. The Working Group's analysis has shown that businesses and local government are encouraged by the possibility that restrictive legislation will be reduced once the UK exits the EU. Procurement, personnel, and legislation concerning data have particularly been identified. Both subjects are extremely complex, and ***it is recommended that we seek more detailed advice on procurement, personnel and legislative considerations***.

   As the Repeal Bill was only recently tabled in parliament there has been little concrete information on how, and whether, the legislation will change. Officers continue to monitor this issue.

3. The Working Group's survey of senior managers showed that the level of information to help us to assess the detailed impact of Brexit on local authority services is limited. A few other local authorities are starting to explore the impact of Brexit in the way that we have, but we expect that the Local Government Association has started to do some work in this regard. ***It is recommended that we approach the Local Government Association and explore ways that their work on assessing the impact of Brexit on local government could help us to understand the local impact.***

   A telephone conference has been held with the Local Government Association's representatives in Brussels. They are currently occupied with making local government's voice heard in the Brexit negotiations rather than interpreting the outcome of them but they recognise the need to do both.

4. Negotiations over Brexit and the implementation of post EU policy need to be considered during the 2-year period of negotiation following the triggering of Article 50 and potentially beyond. The Working Group had two recommendations in this regard. Firstly, ***it is recommended that each committee's work programme for 2017/2018 and beyond includes consideration of the impact of Brexit on that committee's work area.*** And secondly ***it is recommended that the Working Group on the UK's exit from the European Union continues to meet three times per year throughout the period of negotiation following the triggering of Article 50***. This will enable Group Leaders to receive advice from a "whole council" perspective.

<u>Looking ahead</u>

Brexit will dominate the parliamentary agenda for the next two years and beyond. It will have a significant impact on the way that the country, local authorities, and businesses operate. From an LCC perspective, Brexit should be considered at four levels:

1. **National policy and negotiations** – it is highly unlikely that LCC will be able to influence the major negotiating positions of the UK government and the European Union. However, we do need to understand what is being proposed and what impact it will have on the services that LCC commissions and on the wider Lincolnshire economy. Without that understanding there is little chance of us being able to respond and adapt effectively. There is one area where LCC might have a role in influencing (future agricultural policies) where LCC may be able to help the farming and food production community to make representations via the Greater Lincolnshire Forum for Agriculture and Horticulture.

   A recent report by City, Cardiff, and Sussex universities has suggested that there will be a significant negative impact on national food security, and on areas that produce food (e.g. Lincolnshire which produces roughly a quarter of the nation's food supply) if the agricultural and food policies which follow Brexit are not successful. Similar reports have identified other sectors, like paper

manufacturing and the service sector, which will be impacted. It is important that LCC understands the importance of reports like these, testing their findings with industry, and helping industry and local communities to respond accordingly.

2. **Turning policy into operation** – once the policy positions have been agreed between UK government and the European Commission then the operational detail of these policies will be developed. UK government is already discussing the operational detail of, for example, the National Productivity Investment Fund which is proposed as a replacement for EU regeneration funding. It is important that LCC makes strong representations on how the operational detail of agreed government policies can be developed in a way which is beneficial to our county.

3. **Responding proactively to new policies and legislation** – the survey that the Working Group conducted with senior managers identified that issues such as workforce recruitment, procurement rules, and data protection (this is not an exhaustive list) are all likely to be affected by the UK's exit from the European Union. Issues like these will affect the way that all of the Council's services are commissioned and delivered. If LCC is simply reactive to new rules and circumstances then it is likely that the benefits of any action we might take will be slow to come to fruition. It is important that we analyse issues as they start to emerge, gaining an understanding of how they will affect our services, and identifying how we might need to respond.

4. **Understanding the impact of Brexit on Lincolnshire** – the impact of Brexit will not only be on those services that LCC delivers. It will also be on communities, businesses, and other services. Migration changes are one example of the possible impact, but others are possible too. These might include trade patterns or changes to environmental legislation.

Assuming that the impact of Brexit should be considered at these four levels, then the natural conclusion is that LCC needs to consider the impact of Brexit regularly, and on a cross council basis.

Re-instating the Working Group on the UK's exit from the European Union will enable the Council to consider these issues. However, in order to achieve the requirement of taking a cross-council view it would be preferable to move from populating the Working Group on a semi-voluntary basis and instead to ask each of the Council's scrutiny committees to nominate a representative. Ideally the Working Group will be comprised of councillors with useful sector/issue knowledge and from across the whole of the county. It may be useful to identify substitutes so that there is a continuity of knowledge across the Working Group. In order to achieve the requirement of considering the impact on a regular basis it would be useful for the Working Group to meet at least three times per year and to feed its findings back to the Overview and Scrutiny Management Board.

2. Conclusion

The UK's exit from the European Union will have a substantial impact. By re-instating the Working Group on the UK's exit from the European Union LCC will be taking action to monitor these impacts and to recommend appropriate responses.

3. Consultation

a) Have Risks and Impact Analysis been carried out?

No

b) Risks and Impact Analysis

N/A

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 Justin Brown, who can be contacted on 01522 550630 or justin.brown@lincolnshire.gov.uk.

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Policy and Scrutiny

Open Report on behalf of Richard Wills, Director responsible for Democratic Services	
Report to:	**Overview and Scrutiny Management Board**
Date:	**27 July 2017**
Subject:	**Scrutiny Reviews 2017/18**

Summary:

This item invites the Board to agree the topics for in-depth scrutiny reviews to be undertaken by the two Scrutiny Panels, taking into account the Prioritisation Toolkit.

Actions Required:

The Overview and Scrutiny Management Board is invited

1. To agree that a scrutiny review on “Impact of IT provision on operational field workers in adults and children's social care” will be undertaken by Scrutiny Panel A.
2. To agree that a scrutiny review on “Impact of the new Street Lighting Policy” will be undertaken by Scrutiny Panel B.
3. To delegate to the Chairman and Vice Chairman of the Board approval of the terms of reference for each scrutiny review, which will be completed by the Scrutiny Panels.

1. Background

At the last meeting of the Overview and Scrutiny Management Board on 29 June 2017, a report was considered regarding proposals for scrutiny reviews to be undertaken by the two Scrutiny Panels. It was agreed at the meeting that background research needed to be completed on potential topics before a decision could be made to ensure that the review process was maximised to its full potential. The Board agreed to delegate this to the Chairman and Vice Chairman of the Board and the Chairmen of the two Scrutiny Panels.

The Chairman and Vice Chairman of the Board, Councillors R B Parker and L A Cawrey, and the Chairmen of the two Scrutiny Panels, Councillors Mrs J Brockway and Mrs A M Newton, met on 13 July 2017 to discuss the potential topics for the scrutiny reviews. Out of this meeting, the following topics have been identified as potential scrutiny reviews to be undertaken by the Scrutiny Panels, subject to the approval of the Overview and Scrutiny Management Board.

Scrutiny Panel A – Impact of IT provision on operational field workers in adults and children's social care

This scrutiny review will look at the impact of current IT provision on operational field workers in adults and children's social care. It will look at how the roles of field workers could be enhanced by updated IT provision to further improve the Council's ability to deliver safeguarding services to the public. The review will consider what the field workers need to maximise their use of IT, what opportunities are available to communicate better, such as Skyping, and the costs involved.

Scrutiny Panel B - Impact of the new Street Lighting Policy

This scrutiny review will look at the impact of the change in the Street Lighting Policy to turn street lights off in certain areas at midnight. The review will consider a number of different areas where there may have been an impact as a result of this change. This includes the impact on the environment and wildlife; crime rates; fears about safety and crime; social life; emergency services; health and public health services such as from sleep deprivation and slips/trips/falls. It will conduct comparisons with other Local Authorities who have also changed their street lighting policy.

Both scrutiny reviews will last for six months, starting in September 2017.

Since the meeting on 13 July 2017, the chairmen and vice chairmen of the relevant scrutiny committees, relevant Executive Councillors and senior officers have been consulted to seek their views about the potential scrutiny reviews.

In relation to the potential scrutiny review on "Impact of IT on operational field workers in adults and children's social care", the suggested areas of focus for the review are:

- Connectivity and speed
- The kit itself – Potential productivity gain through the use of a much improved digital 'offer'
- Connectivity with partner agencies such as health, the sensory impairment service, wellbeing or Lincolnshire Partnership NHS Foundation Trust (LPFT). This will give fieldworkers the ability to see who is doing what to avoid duplication and enhance co-operative work. This would also help ensure urgent action is better informed and does not cut across what others are already doing.
- Skype facilities
- Self-service for service users/carers/young people

It is worth bearing in mind that the Audit Committee has asked for information on IT and the Serco process. Therefore, there is a need to ensure that the strands to be investigated through a scrutiny review and the holding to account of Serco by the Audit Committee do not become entangled.

With regards to the potential scrutiny review on “Impact of the new Street Lighting Policy”, the Chairman of the Highways and Transport Scrutiny Committee and senior officers have been consulted.

It was stressed that the timing of the review was key. In particular there was a need to include data from the winter months, to ensure that any seasonal variations were considered.

For some time there has been the intention to undertake an officer review of the impact of the Street Lighting Transformation project, taking into account actual crime and accident data. The intent was to undertake a factual review against the comparative data used in the original project process when identifying exception areas where part night lighting should not be introduced. This is actual data from the Lincolnshire Road Safety Partnership and the Lincolnshire Community Safety Partnership, back-checked with the Police. The scope included in this potential scrutiny review is significantly wider than this and will be more costly in terms of officer time to support.

Future Scrutiny Review Topics for Scrutiny Panels

Going forward, there will be a need to identify potential topics for future scrutiny reviews by the Scrutiny Panels to be carried out once the first two reviews have been completed. The chairmen of the scrutiny committees are encouraged to bring forward potential topics for scrutiny reviews, subject to evidence being available to support the need for an in-depth scrutiny review. However, there also needs to be consideration as to what the most appropriate route is for a topic to be considered which can include the following:

- **Reports to Scrutiny Committee**

Committee meetings are formal meetings and usually involve one or more substantive written reports being tabled on issues selected by the committee and its chairman on the basis of the work programme. Reports to committee allow members to discuss written information they have received and hear evidence from officers, experts and representatives from other organisations. Reports to Committee allow members to question witnesses or officers to gain a better understanding of the issues, draw conclusions from discussions and the evidence examined, and undertake any actions required.

- **Committee Working Groups**

Working groups involve a small group of members to consider a generally smaller piece of scrutiny. The working group would be time limited and meet up to a maximum of three times. Members will work independently to meet with service departments and come up with a way forward on the issue being considered. Scrutiny Officers will support the initial arrangements for setting up the working

group and for offering guidance to members and service departments when drafting recommendations and any final report. For these reasons, working groups are less resource intensive and can be a more economical way of conducting a smaller piece of scrutiny work.

PROS	CONS
• Informal setting • Direct discussions with officers • Unbureaucratic • Quick and efficient • Limited resource requirement	• Narrow focus – only reflects the views of a few members • Limited support for members • Provides overview of the issues not a detailed look

Each scrutiny committee can have up to two working groups at any one time. The types of items that a working group could consider include:

- responding to consultations on behalf of the Committee
- working with officers on developing a policy or strategy, or to identify issues and solutions for future service priorities
- working with other scrutiny committees on crosscutting issues

The working group would then report back to the Committee on the outcomes either at a future meeting or by email.

Recent working groups have looked at the UK's exit from the European Union, Lincoln's Walk In Centre consultation, and the Joint Health and Wellbeing Strategy for Lincolnshire.

- **Scrutiny Review undertaken by a Scrutiny Panel**

Scrutiny Panels represent an opportunity for scrutiny councillors to delve deeper into a particular subject or issue to find out more, speak to the individuals responsible and service users and recommend any ways in which things might be improved at a level of scrutiny not always possible within the time limits and formal setting associated with Committee meetings.

Scrutiny Panels allow a small panel of eight Members to meet several times to look in detail at a particular issue or service. They will be time limited and involve a number of meetings where evidence is gathered through discussions with witnesses and officers.

Scrutiny Panels involve a significant time commitment both on the part of Members and officers and are a resource intensive operation. Members will be assisted by Scrutiny Officers, who will draft the Final Report.

PROS	CONS
• Thorough • Involvement of key witnesses • Involvement of senior officers from service area • Scrutiny Officer Support • Final Report with formal recommendations	• Resource intensive • Significant time commitment for officers and Members • Formal setting

2. Conclusion

The Overview and Scrutiny Management Board is invited to approve the two topics identified for scrutiny reviews which will be undertaken by Scrutiny Panel A and Scrutiny Panel B.

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	Prioritisation Toolkit

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 Nigel West, Head of Democratic Services and Statutory Scrutiny Officer, who can be contacted on 01522 552840 or by e-mail at nigel.west@lincolnshire.gov.uk

APPENDIX A

Scrutiny prioritisation

Prioritisation is a key tool for successful scrutiny. Selecting the right topics where scrutiny can add value is essential for scrutiny to be a positive influence on the work of the Council. Scrutiny committees must be selective about what they look at and need to work effectively with limited resources. Scrutiny activity should be targeted, focused and timely and include issues of corporate and local importance, where scrutiny activity can influence and add value.

The questions below are a guide to help members and officers consider and identify key areas of scrutiny activity for consideration.

Will Scrutiny input add value?

- Is there a clear objective for scrutinising the topic?
- What are the identifiable benefits to residents and the council?
- Is there evidence to support the need for scrutiny?
- What is the likelihood of achieving a desired outcome?
- Is the topic strategic and significant rather than relating to an individual complaint?
- Are there adequate resources to ensure scrutiny activity is done well?

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?
- Has the issue been identified by Members through surgeries and other contact with constituents?
- Is there user dissatisfaction with service (e.g. increased level of complaints)?
- Has the topic been covered in the local media or social media?

Is it a Council or partner priority area?

- Does the topic relate to council corporate priority areas?
- Is there a high level of budgetary commitment to the service/policy area?
- Is it a poor performing service (evidence from performance indicators /benchmarking)?

Are there relevant external factors relating to the issue?

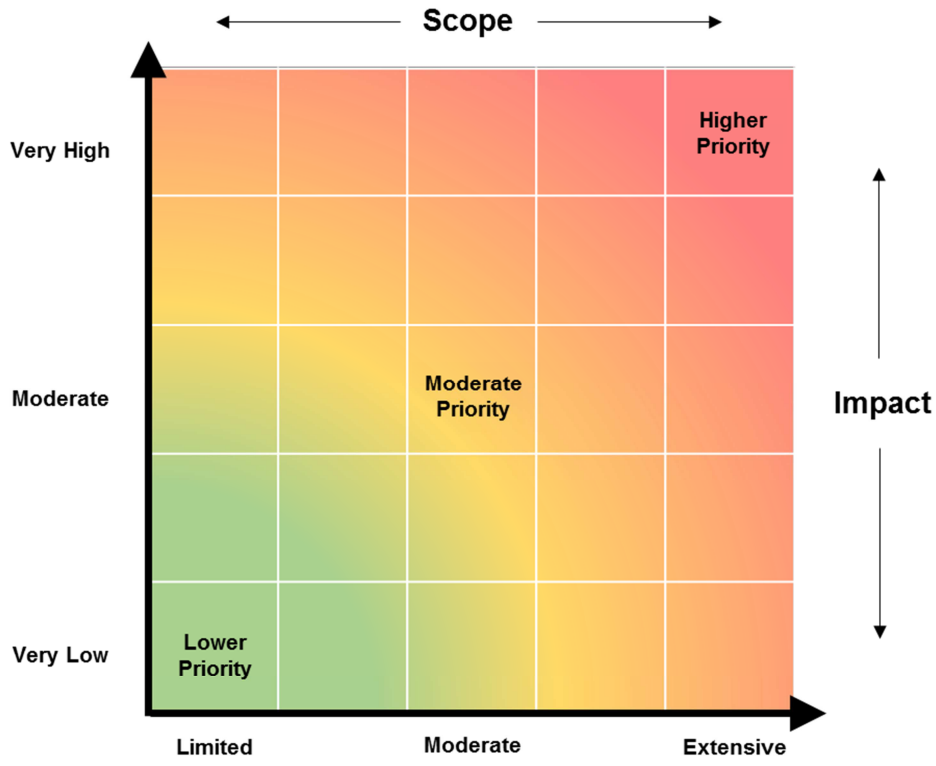
- Central government priority area
- New government guidance or legislation
- Issues raised by an internal or external audit or from formal inspections, etc.
- Key reports or new evidence provided by external organisations

Criteria for not considering topics

- There is no scope for scrutiny to add value/make a difference or have a clear impact.
- New legislation or guidance is expected within the next year.
- The issue is being examined elsewhere - e.g. by the Executive, working group, officer group or other body.
- The objective of scrutiny involvement cannot be achieved in the specified timescale required.

Prioritisation Matrix

The prioritisation matrix shown below is a framework to aid in prioritising a number of scrutiny options or topics. Each topic should be assessed in terms of the impact it would have and the overall scope of the activity.



When considering the scope and impact of a Scrutiny item it is important to consider the following areas:

- People / Communities
- Assets / Property
- Financial
- Environmental
- Reputation
- Likelihood of Impact
- Resource Required
- Cost Effectiveness

Prioritisation tool

The prioritisation tool below can be used in deciding on whether an issue would warrant being considered by Scrutiny or the subject of a Scrutiny Review.

Does the topic affect a number of people living, working and studying in Lincolnshire?

Yes

Is the issue strategic and significant?

Yes

Can scrutiny add value? Is there evidence to support the need for scrutiny?

Yes

Will scrutiny topic be duplicating other work?

No

Is the topic likely to lead to effective outcomes?

Yes

Is the Council due to review the relevant policy area *(allowing scrutiny recommendations to influence the new direction to be taken)?*

Yes

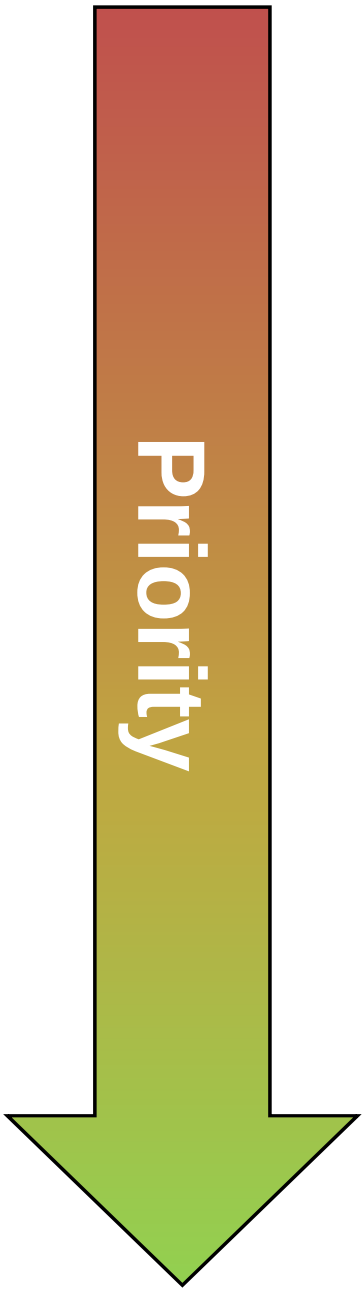
Are there adequate resources available to do the activity well?

Yes

Is the Scrutiny activity timely?

Yes

HIGH PRIORITY



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Policy and Scrutiny

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

Report to:	**Overview and Scrutiny Management Board**
Date:	**27 July 2017**
Subject:	**Scrutiny Committee Work Programmes: -** • **Adults and Community Wellbeing Scrutiny Committee** • **Health Scrutiny Committee for Lincolnshire**

Summary:

On 29 June 2017, the Overview and Scrutiny Management Board agreed a process for reviewing the work programmes of scrutiny committees whereby the work programme of each scrutiny committee would be considered on a quarterly basis, with the focus on two or three scrutiny committee work programmes at each meeting of this Board. This would allow in-depth consideration of the work programme; both in terms of the outcomes from the items considered and intended future activity.

In accordance with the Board's agreed programme, this report sets out the work programmes of the Adults and Community Wellbeing Scrutiny Committee; and the Health Scrutiny Committee for Lincolnshire. These two committees are the first to be considered as part of this reporting process.

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

One of the roles of the Overview and Scrutiny Management Board is to challenge, review and hold to account the work programmes of each scrutiny committee.

On 29 June 2017, the Board agreed a process whereby the work programme of each scrutiny committee would be considered on a quarterly basis to allow for more in-depth consideration. 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 that their committee will be focussing on.

On 29 June 2017, the following reporting timetable was agreed:

Scrutiny Committee	First Review	Second Review	Third Review
Adults and Community Wellbeing	27 Jul 2017	30 Nov 2017	29 Mar 2018
Health	27 Jul 2017	30 Nov 2017	29 Mar 2018
Children and Young People	28 Sept 2017	25 Jan 2018	26 Apr 2018
Public Protection and Communities	28 Sept 2017	25 Jan 2018	26 Apr 2018
Environment and Economy	26 Oct 2017	22 Feb 2018	24 May 2018
Highways and Transport	26 Oct 2017	22 Feb 2018	24 May 2018
Flood and Water Management	26 Oct 2017	22 Feb 2018	24 May 2018

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

As part of the new reporting arrangements of the work programmes of scrutiny committees, 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

APPENDIX A

ADULTS AND COMMUNITY WELLBEING SCRUTINY COMMITTEE

Work To Date – 15 June 2017

Prior to the despatch of this agenda, one meeting of the Adults and Community Scrutiny Committee had taken place in the new County Council term. At this meeting on 15 June 2017, the Committee considered presentations on:

- An Introduction to Adult Care and Community Wellbeing;
- An Overview of Adult Care and Community Wellbeing Finance in Lincolnshire; and
- the Lincolnshire Joint Strategic Needs Assessment.

These introductory items have enabled the Committee to develop its understanding of the services provided by Adult Care and Community Wellbeing, as well as some of the challenges outlined in the Joint Strategic Needs Assessment. The remit of the Committee includes both adult care and public health, and this is reflected in the planned programme of work.

As well as quarterly performance reports, the Committee agreed to receive regular monitoring reports on the budget.

Work Planned – From 26 July

26 July 2017 – 2.00pm
Supplementary Improved Better Care Fund:- • Presentation on Better Care Fund • Report to Executive Councillor *(Pre-Decision Scrutiny)*
Quarterly Performance Report – Adult Care (Quarter 4 and 2016/17)

6 *September 2017 – 10.00am*
Strategic Market Support Partner - Procurement *(Pre-Decision Scrutiny)*
Domestic Abuse Support Services Procurement *(Pre-Decision Scrutiny)*
Quarterly Performance Report - Adults and Community Wellbeing (Quarter 1 of 2017/18)
Adults and Community Wellbeing - Budget Monitoring Report

26 October 2017 – 10.00am
Care Quality Commission Update
Shared Lives Services – Procurement *(Pre-Decision Scrutiny)*

29 November 2017 – 10.00am
Quarterly Performance Report – Adults and Community Wellbeing (Quarter 2 of 2017/18)
Adults and Community Wellbeing - Budget Monitoring Report
Health and Wellbeing Board's Housing, Health and Care Delivery Group
Adult Care Local Account 2016/17
Lincolnshire Safeguarding Boards Scrutiny Sub-Group Minutes - 26 September 2017

Other Potential Items for Autumn 2017

- Wellbeing Service
- Telecare Update.
- Transforming Care – Learning Disabilities.
- National Carers Strategy

10 January 2018 – 10.00am
Budget Proposals 2018/19

14 February 2018 – 10.00am
Quarterly Performance Report – Adults and Community Wellbeing (Quarter 3 of 2017/18)
Residential and Nursing Care Fee Levels - Adult Care
Lincolnshire Safeguarding Boards Scrutiny Sub-Group Minutes - January 2018

11 April 2018 – 10.00am
Annual Report of the Director of Public Health

APPENDIX B

HEALTH SCRUTINY COMMITTEE FOR LINCOLNSHIRE

Regulations and Guidance

Unlike most other overview and scrutiny committees, the Health Scrutiny Committee for Lincolnshire is required to follow specific regulations *(The Local Authority [Public Health, Health and Wellbeing Boards and Health Scrutiny] Regulations 2013)*. In addition, the Committee is also required to have regard to guidance issued by the Secretary of State for Health *(Local Authority Health Scrutiny – Guidance to Support Local Authorities and Their Partners to Deliver Effective Health Scrutiny – Department of Health – June 2014)*.

A key element in the regulations and guidance is the focus on responding to consultations by NHS commissioners on their plans for service changes. As a result of this, such activity plays a dominant role in the Committee's work programme.

Work To Date

The Health Scrutiny Committee for Lincolnshire has met once in the new Council Term on 14 June. At this meeting the Committee received an introductory presentation from United Lincolnshire Hospitals NHS Trust and considered an introductory item on the Joint Strategic Needs Assessment.

The Committee established two working groups on 14 June:

> Joint Health and Wellbeing Strategy Prioritisation – This working group met on 4 July 2017, and its statement on the prioritisation of the themes in the Joint Strategic Needs Assessment has been submitted to the Committee for approval on 19 July 2017. There are no plans for further meetings of the working group.
>
> Lincoln Walk-In Centre Consultation – This working group met on 14 July and sought clarification on a number of issues, such as the ability to extend the contract, which is due to expire on 30 September 2017, and the timing of introduction of alternative provision, such as extended GP opening hours (evenings and weekends), in the Lincoln area. Arrangements for finalising the consultation will be made at the Committee on 19 July.

Work Planned

19 July 2017 – 10 am
United Lincolnshire Hospitals NHS Trust – Care Quality Commission Inspection
Lincoln Walk In Centre – Consultation
Lincolnshire Partnership NHS Foundation Trust – Update
Joint Health and Wellbeing Strategy Prioritisation

13 September 2017 – 10 am
Commissioning Arrangements for East Midlands Ambulance Service
East Midlands Ambulance Service – Outcomes of Care Quality Commission Inspection
Commissioning of Continuing Health Care
Long Leys Court Consultation

11 October 2017 – 10 am
Sustainability and Transformation Plan Update
Dental Procurement

8 November – 10 am
Lincolnshire Pharmaceutical Needs Assessment

13 December – 10 am

17 January 2018 – 10 am
Outcomes of NHS England Consultation on Congenital Heart Disease

21 February 2018 – 10 am

21 March 2018 – 10 am
Annual Report of the Director of Public Health
Arrangements for the Quality Accounts 2018-19

18 April 2018 – 10 am

Items to be Programmed

- Lincolnshire Sustainability and Transformation Plan Consultation Elements: -
  - Women's and Children's Services
  - Emergency and Urgent Care
  - Stroke Services
  - Cancer Care

- Specialised Commissioning

Lincolnshire COUNTY COUNCIL
Working for a better future

Policy and Scrutiny

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

Report to:	**Overview and Scrutiny Management Board**
Date:	**27 July 2017**
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, consider and comment on the 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 is attached at Appendix B to the report. The 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 C.

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 D.

Executive Forward Plan

The Executive Forward Plan of key decisions to be taken from 1 August 2017 is set out at Appendix E. 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 and Executive Protocol
Appendix C	Scrutiny Panel Activity
Appendix D	Working Group Activity
Appendix E	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

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APPENDIX A

OVERVIEW AND SCRUTINY MANAGEMENT BOARD

Chairman: Councillor Robert Parker
Vice Chairman: Councillor Lindsey Cawrey

27 July 2017		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Performance of the Corporate Support Services Contract	Sophie Reeve Chief Commercial Officer Ciaran Gaughan Serco Contract Manager	Performance Scrutiny
Application for TU recognition by the Council for the Royal College of Nursing	Fiona Thompson Service Manager – People Marie Robertson Strategic People Management Adviser	Pre-Decision Scrutiny (Executive decision on 5 September 2017)
Working Group into the UK's Exit from the European Union	Justin Brown Commissioner for Economic Growth	Scrutiny Review Activity
Scrutiny Reviews 2017/18	Nigel West Head of Democratic Services and Statutory Scrutiny Officer	Scrutiny Review Activity
Overview and Scrutiny Work Programme • 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

28 September 2017		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Revenue and Capital Budget Monitoring Report 2017/18	David Forbes County Finance Officer	Pre-Decision Scrutiny (Executive Decision on 3 October 2017)

28 September 2017		
Item	**Contributor**	**Purpose**
2017/18 Council Business Plan Quarter 1	Jasmine Sodhi Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 3 October 2017)
Housing Company Business Case	Kevin Kendall County Property Officer	Policy Development
Overview and Scrutiny Work Programme • 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
Future Scrutiny Reviews		Scrutiny Review Activity
Treasury Management Performance Quarter 1 (1 April to 30 June 2017)	Karen Tonge Treasury Manager	Performance Scrutiny (For Information)

26 October 2017		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Performance of the Corporate Support Services Contract	Sophie Reeve Chief Commercial Officer Ciaran Gaughan Serco Contract Manager	Performance Scrutiny
Corporate Health and Safety Annual Report 2016/17	Fraser Shooter Corporate Health & Safety Advisor	Performance Scrutiny
Council Workforce Plan 2017/18 – Progress Report	Fiona Thompson Service Manager - People	Performance Scrutiny
Overview and Scrutiny Work Programme • Environment and Economy Scrutiny Committee • Flood and Water Management Scrutiny Committee	Cllr Tony Bridges Chairman of Environment and Economy Scrutiny Committee Cllr Daniel McNally Chairman of Flood and Water Management Scrutiny Committee	Performance Scrutiny

26 October 2017		
Item	**Contributor**	**Purpose**
• Highways and Transport Scrutiny Committee	Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee	
Future Scrutiny Reviews		Scrutiny Review Activity

30 November 2017		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Review of Financial Risk Assessment	David Forbes County Finance Officer	Budget Scrutiny
2017/18 Council Business Plan Quarter 2	Jasmine Sodhi Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 5 December 2017)
Overview and Scrutiny Work Programme • 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
Future Scrutiny Reviews		Scrutiny Review Activity
Treasury Management Performance Quarter 2 (1 July to 30 September 2017)	Karen Tonge Treasury Manager	Performance Scrutiny (For Information)

21 December 2017		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Future Scrutiny Reviews		Scrutiny Review Activity

25 January 2018		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Revenue and Capital Budget Monitoring Report 2017/18	David Forbes County Finance Officer	Pre-Decision Scrutiny (Executive Decision on 6 February 2018)
Corporate Budget 2018/19	David Forbes County Finance Officer	Budget Scrutiny (Council Decision on 23 February 2018)
Service Budget Proposals 2018/19	David Forbes County Finance Officer	Budget Scrutiny (Council Decision on 23 February 2018)
Final Draft Council Business Plan 2018/19	Jasmine Sodhi Performance and Equalities Manager	Pre-Decision Scrutiny (Executive Decision on 6 February 2018)
Performance of the Corporate Support Services Contract	Sophie Reeve Chief Commercial Officer Ciaran Gaughan Serco Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programme • 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
Future Scrutiny Reviews		Scrutiny Review Activity

22 February 2018		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
2017/18 Council Business Plan Quarter 3	Jasmine Sodhi Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 6 March 2018)
Treasury Management Strategy Statement and Annual Investment Strategy 2018/19	Karen Tonge Treasury Manager	Pre-Decision Scrutiny

22 February 2018		
Item	**Contributor**	**Purpose**
Overview and Scrutiny Work Programme • Environment and Economy Scrutiny Committee • Flood and Water Management Scrutiny Committee • Highways and Transport Scrutiny Committee	Cllr Tony Bridges Chairman of Environment and Economy Scrutiny Committee Cllr Daniel McNally Chairman of Flood and Water Management Scrutiny Committee Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee	Performance Scrutiny
Future Scrutiny Reviews		Scrutiny Review Activity
Treasury Management Performance Quarter 3 (1 September 2017 to 31 December 2017)	Karen Tonge Treasury Manager	Performance Scrutiny (For Information)

29 March 2018		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Performance of the Corporate Support Services Contract	Sophie Reeve Chief Commercial Officer Ciaran Gaughan Serco Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programme • 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
Future Scrutiny Reviews		Scrutiny Review Activity

26 April 2018		
Item	**Contributor**	**Purpose**
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA
Overview and Scrutiny Work Programme • 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
Future Scrutiny Reviews		Scrutiny Review Activity

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

APPENDIX B

DEVELOPING RELATIONSHIPS BETWEEN THE EXECUTIVE AND OVERVIEW AND SCRUTINY

This protocol sets out practical working arrangements, which will help develop a unity of purpose between the Executive, overview and scrutiny committees as well as the Council's senior managers. This 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 this protocol.

The Executive accepts that discharging the Overview and Scrutiny function should be a core responsibility of the Council, with appropriate and meaningful support from the Chief Executive, other members of the Corporate Management Board, and all the Council's officers.

The Overview and Scrutiny Management Board accepts that to be effective the scrutiny process must be positive, constructive, independent, fair and open. It should complement the decision-making powers of the Executive and enable the voice and concerns of the public to be heard.

Overview and Scrutiny should be challenging, as its aim is to identify areas for improvement, but the process should not be confrontational or simply a means through which to apportion blame if things go wrong. Overview and Scrutiny will act as a ‘critical friend’ to the Executive and other decision makers in order to promote better services, policies and decisions. Trust and tolerance are key to the success of this protocol.

Councillor Martin Hill
Leader of Lincolnshire County Council

Councillor Robert Parker
Chairman of the Overview and Scrutiny Management Board

A. EARLY INVOLVEMENT IN POLICY DEVELOPMENT

The Executive would like to involve overview and scrutiny committees at an early stage in the development of new policies or changes to existing policies, or in the development of proposals for any significant changes in service provision. This early involvement extends beyond the provisions in the Constitution on the development of the policy and budget framework[1]. Examples of the need for early involvement are when there are issues of a contentious nature, sizeable budgetary implications, an impact on the whole community, or an impact on outside bodies or organisations. Early involvement could be carried out in a number of different ways:-

- An overview and scrutiny committee may adopt an informal meeting arrangement or workshop, to which all members of the committee would be invited, or establish a working group, comprising a group of members from the committee. These approaches enable options to be explored in detail and the outcomes or statement from the informal meeting, workshop, or working group could be reported directly to the Executive or Executive Councillor, or to a subsequent meeting of the overview and scrutiny committee.

- Where a topic requires in-depth consideration, a Scrutiny Panel may be established, subject to the availability of resources, which would lead to the submission of an evidence-based report with recommendations for the new policy or a change to an existing policy or on changes to service provision.

- A cross party briefing could be held with senior officers to inform councillors of a particular issue and collaboratively explore options in detail, with the outcomes shared with the relevant overview and scrutiny committee.

In each of the early involvement scenarios listed above the Executive would expect information shared to be used to explore the options available rather than for political point-scoring. Statements from the overview and scrutiny committee will be acknowledged by the decision maker, and a response made to the committee. This could either take the form of a written or an oral report at the next relevant meeting of the committee, which can be recorded in the committee's minutes.

In the case of in depth scrutiny reviews, which contain evidence-based recommendations, there is a requirement that a formal response to the recommendations from the Executive or Executive Councillor be prepared within two months[2], which will indicate whether recommendations have been accepted or

[1] Rule 3 of the Policy and Budget Framework Procedure Rules (Lincolnshire County Council Constitution) and Regulation 4 of the Local Authorities (Functions and Responsibilities) (England) Regulations 2000.
[2] Section 9FE of the Local Government Act 2000.

rejected, with appropriate reasons. Ideally, the response will contain an action plan, indicating how the accepted recommendations will be implemented.

B. EXECUTIVE DECISION MAKING

Each relevant overview and scrutiny committee is encouraged to consider any proposed decisions, which are due to be made by the Executive or by an individual Executive Councillor, or any proposed key decision due to be made by a chief officer. This consideration would usually involve the relevant committee reviewing the report containing the proposed decision and preparing a statement on the proposals, including an indication of whether the committee supports the proposals, either wholly or in part. The committee's statement should be included in the report containing the proposed decision and submitted to the decision maker(s). If the statement is not available at the time the report is finalised due to exceptional circumstances, it will be circulated to the decision maker(s) for their consideration.

Consensus and Minority Views

When overview and scrutiny committees reach a consensus, this will be reflected in the committee's statement. However, there will be circumstances where the committee's statement will reflect a range of views, including majority and minority opinions, and these should be so indicated in the committee's statement.

Whenever possible statements from the overview and scrutiny committee will be acknowledged by the decision maker, and a response made to the committee, which could either take the form of a written or an oral report. Any responses will be recorded in the committee's minutes.

C. ATTENDANCE AT MEETINGS OF THE EXECUTIVE

The Chairman or Vice Chairman of the Overview and Scrutiny Management Board will as far as possible attend each meeting of the Executive. Following these meetings the Chairman or Vice Chairman of the Overview and Scrutiny Management Board will highlight any pertinent issues to the next meeting of the Overview and Scrutiny Management Board. The Chairman may also raise any issues with any other overview and scrutiny committee of the Council.

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. Where chairmen or vice chairmen can attend, they will be invited to present any statements to the Executive. This will help to facilitate a good working relationship between the Executive and Overview and Scrutiny, and ensure that the

Executive directly hears the reasons for the overview and scrutiny committee's recommendations and comments and to clarify the outcome from the overview and scrutiny committee.

Where an overview and scrutiny committee has requested an in-depth review, the Chairman or Vice Chairman of the overview and scrutiny committee will present the report and recommendations in conjunction with the Chairman of the Scrutiny Panel which undertook the in-depth review.

D. ATTENDANCE AT MEETINGS OF THE OVERVIEW AND SCRUTINY COMMITTEES

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.

Each overview and scrutiny committee should consider whether to include Statements from Executive Councillor(s) as a standard agenda item, where the Executive Councillor(s) or Executive Support Councillor(s) could advise the committee of any relevant matters, including any responses to statements or recommendations, in accordance with sections A and B above.

E. SETTING THE AGENDA

<u>Briefing Meetings Between Executive Councillors and Overview and Scrutiny Committee Chairmen</u>

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. Ideally, such meetings should take place every quarter if possible. These meetings will support the development of a dialogue, leading to a unity of purpose, between overview and scrutiny and the Executive. The meetings could inform the content of the committee's work programme, with suggestions for future scrutiny reviews and agenda topics, including items which would involve the committee in developing new policies or reviewing existing policies.

Setting the Agenda

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. Overview and scrutiny committees should not be used as an opportunity to argue over issues which are of an overtly party political nature, which can be dealt with more appropriately through meetings of the County Council.

The management of the work programme of each scrutiny committee is a role for the Overview and Scrutiny Management Board (OSMB). Each year the OSMB will draw up in advance the annual scrutiny programme, based on the results of meetings between the scrutiny chairmen, vice-chairmen and officers in the various service areas. Adequate resource should be identified for delivering the programme, with some unallocated time for unplanned scrutiny items.

At each meeting of an overview and scrutiny committee, there will be an opportunity to review the committee's future work programme. This provides an opportunity for individual members of each committee to ask for a particular item to be included but, depending on resource, this may be at the expense of something else in the programme. All members on an overview and scrutiny committee should be encouraged to bring forward important items of community interest to the committee whilst recognising that not all items will be taken up.

Requests by the Executive to Overview and Scrutiny Committees

The Leader of the Council, the Executive, or an individual Executive Councillor, may request an overview and scrutiny committee to consider a particular matter within its remit which could be related to issues of a contentious nature, sizeable budgetary implications, an impact on the whole community, or an impact on outside bodies or organisations. This could range from consideration of a matter at a single committee meeting to a full scrutiny review, taking place over several months.

Depending on the timing of the request, a report may be submitted to the next meeting of the committee. Alternatively, a request for a more extensive piece of work may be considered by the committee as part of its work programme item on its next agenda.

F. COUNTY COUNCIL OFFICERS

General

All officers are employees of the County Council as a whole. Corporate Management Board and other senior officers are responsible for day-to-day managerial and operational decisions. Whilst most of their work is directed to supporting the activities of the Executive, they have a role in supporting all councillors, including councillors involved in the overview and scrutiny function. The Chief Executive, as head of the paid service, will ensure that sufficient and independent support is given to the overview and scrutiny function.

The Role of Statutory Scrutiny Officer

The role of the statutory scrutiny officer is defined by statute[3] as:

(a) promoting the role of the Council's overview and scrutiny committees;
(b) providing support to the Council's overview and scrutiny committees and their members; and
(c) providing support and guidance to all members of the Council and its officers on the functions of the Council's overview and scrutiny committees.

The Council's Scrutiny Officers will support the Statutory Scrutiny Officer in their role and provide support to the overview and scrutiny function. The Council's Scrutiny Officers should play a proactive role in ensuring effective scrutiny of decision making. Accordingly there should be a close working relationship between Scrutiny Officers and councillors involved in scrutinising decisions. Both Scrutiny Officers and Scrutiny councillors should be involved in testing the merits of proposals under consideration with Scrutiny Officers acting in an advisory role with councillors.

[3] Section 9FB of the Local Government Act 2000

APPENDIX C

Scrutiny Panel Activity

(as at 19 July 2017)

Current Reviews

Scrutiny Panel A	Membership	Next Meeting(s)	Completion Date

Scrutiny Panel B	Membership	Next Meeting(s)	Completion Date

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

APPENDIX D

Working Group Activity

(as at 19 July 2017)

Committee	Working Group	Meeting Date(s)	Membership

Lincolnshire COUNTY COUNCIL
Working for a better future

FORWARD PLAN OF KEY DECISIONS FROM 01 AUGUST 2017

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
I014000	Strengthening the vocational education sector to further reduce secondary exclusions	Open	Executive Councillor: Adult Care, Health and Children's Services 28 Jul 2017	Children and Young People Scrutiny Committee	Report	Children's Services Manager Tel: 01522 554549 Email: mary.meredith@lincolnshire.gov.uk	All Divisions
I014011	A17 Sleaford Embankment Slip	Open	Executive Councillor: Highways, Transport and IT Between 18 Aug 2017 and 23 Aug 2017	Highways colleagues; all the local affected stakeholders; businesses; landowners; network Rail; Anglian Water; The Environment Agency; and Western Power Distribution	Report	Senior Project Leader (Major Schemes) Tel: (01522) 782070 Email: lcchighwaystsp@lincolnshire.gov.uk	Heckington; Sleaford
I014029	The re-procurement of the Domestic Abuse Support Services	Open	Executive Councillor: Adult Care, Health and Children's Services Between 11 Sep 2017 and 15 Sep 2017	Adults and Community Wellbeing Scrutiny Committee	Report	Senior Commercial and Procurement Officer Tel: 01522 554087 Email: marie.kaempfe-rice@lincolnshire.gov.uk	All Divisions
I013959	Future Governance Structure for the Heritage Service	Open	Executive 4 Apr 2018	Public Protection and Communities Scrutiny Committee	Report	Chief Community Engagement Officer Tel: 01522 553831 Email: nicole.hilton@lincolnshire.gov.uk	All Divisions

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FORWARD PLAN OF KEY DECISIONS FROM 01 AUGUST 2017

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

EXECUTIVE MEMBERS

Councillor Name	**Portfolio**
Councillor M J Hill OBE (Leader of the Council)	Resources and Communications
Councillor Mrs P A Bradwell (Deputy Leader)	Adult Care, Health and Children's Services
Councillor C J Davie	Economy and Place
Councillor R G Davies	Highways, Transport and IT
Councillor E J Poll	Commercial and Environmental Management
Councillor Mrs S Woolley	NHS Liaison and Community Engagement
Councillor C N Worth	Culture and Emergency Services *(Libraries, Heritage, Culture, Registration and Coroners Service, Fire and Rescue and Emergency Planning)*
Councillor B Young	Community Safety and People Management *(Crime Reduction, Trading Standards, Equality and Diversity People Management and Legal)*