



County Offices  
Newland  
Lincoln  
LN1 1YL

18 October 2017

**Overview and Scrutiny Management Board**

A meeting of the Overview and Scrutiny Management Board will be held on **Thursday, 26 October 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

A handwritten signature in black ink, appearing to be 'Tony McArdle', written over a horizontal line.

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, 26 OCTOBER 2017**

<b>Item</b>	<b>Title</b>	<b>Pages</b>
<b>1</b>	<b>Apologies for Absence/Replacement Members</b>	
<b>2</b>	<b>Declarations of Members' Interests</b>	
<b>3</b>	<b>Minutes of the meeting held on 28 September 2017</b>	5 - 12
<b>4</b>	<b>Announcements by the Chairman, Executive Councillor for Resources and Communications and Chief Officers</b>	
<b>5</b>	<b>Consideration of Call-Ins</b> <i>(An opportunity for the Board to consider Call-Ins, should any have been received)</i>	
<b>6</b>	<b>Consideration of Councillor Calls for Action</b> <i>(An opportunity for the Board to consider Councillor Calls for Action, should any have been received)</i>	
<b>7</b>	<b>Performance of the Corporate Support Services Contract</b> <i>(To receive a report which provides an update of Serco's performance against contractual Key Performance Indicators specified in the Corporate Support Services Contract between June 2017 and August 2017 along with an update on progress made on key transformation projects being undertaken by Serco)</i>	13 - 54
<b>8</b>	<b>ESPO Trading Company Limited</b> <i>(To receive a report which invites the Overview and Scrutiny Management Board to consider a report on the ESPO Trading Company Limited being presented to the Executive on 7 November 2017. The views of the Board will be reported to the Executive as part of its consideration of this item)</i>	55 - 70
<b>9</b>	<b>Review of Financial Risk Assessment</b> <i>(To receive a report which updates the Board on a review of financial risks which took place in November 2016. It also considers the outcomes from the financial risk assessment for 2016/17 and updates the risk assessment to help determine an appropriate target level for the council's general reserves for 2018/19)</i>	71 - 82
<b>10</b>	<b>Council Workforce Plan 2017 - 18 Progress Report</b> <i>(To receive a report which provides an update on the progress being made relating to the projects within the Council Workforce Plan. This plan provides the corporate framework for the Director Area workforce planning and development strategies. The report therefore details progress made for corporate level projects and activities)</i>	83 - 96
<b>11</b>	<b>Overview and Scrutiny Work Programmes</b> <i>(To receive a report which sets out the work programmes of the Environment and Economy Scrutiny Committee, the Flood and Water Management Scrutiny Committee and the Highways and Transport Scrutiny Committee in accordance with the Board's agreed programme)</i>	97 - 110

- |           |  |                  |
|-----------|--|------------------|
| <b>12</b> | <b>Future Scrutiny Reviews</b><br><i>(An item which provides the Board with the opportunity to discuss potential topics for future scrutiny reviews)</i>   | Verbal<br>Report |
| <b>13</b> | <b>Overview and Scrutiny Management Board Work Programme</b><br><i>(To receive an item 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)</i> | 111 - 136        |

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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

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## OVERVIEW AND SCRUTINY MANAGEMENT BOARD 28 SEPTEMBER 2017

### **PRESENT: COUNCILLOR R B PARKER (CHAIRMAN)**

Councillors Mrs J Brockway, M Brookes, C S Macey, C E H Marfleet, N H Pepper, E W Strengiel, B M Dobson and R Wootten

### **Added Members**

Church Representatives: Mr S C Rudman

Parent Governor Representatives: Mrs P J Barnett

Councillor: M A Whittington (Executive Support Councillor for Resources and Communications) attended the meeting as an observer.

Officers in attendance:-

Simon Evans (Health Scrutiny Officer), Michelle Grady (Head of Finance (Communities)), Steve Houchin (Head of Finance (Adult Care)), Tracy Johnson (Senior Scrutiny Officer), Claire Machej (Head of Finance (Corporate)), Mark Popplewell (Head of Finance (Children's Services)), Jasmine Sodhi (Performance and Equalities Manager), Daniel Steel (Scrutiny Officer), Tony Warnock (Operations and Financial Advice Manager), Nigel West (Head of Democratic Services and Statutory Scrutiny Officer), Richard Wills (Executive Director, Environment and Economy) and Catherine Wilman (Democratic Services Officer)

### 25 APOLOGIES FOR ABSENCE/REPLACEMENT MEMBERS

Apologies were received from Councillors A Bridges, L A Cawrey, R L Foulkes and Mrs A M Newton.

The Chief Executive reported that, under Local Government (Committee and Political Groups) Regulations 1990, Councillors B Dobson and R Wootten had been appointed to the Overview and Scrutiny Management Board to replace Councillors A Bridges and R Foulkes respectively for this meeting only.

### 26 DECLARATIONS OF MEMBERS' INTERESTS

No interests were declared.

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD  
28 SEPTEMBER 2017**27 MINUTES OF THE MEETING HELD ON 27 JULY 2017

RESOLVED

That the minutes of the meeting held on 27 July 2017 be agreed as a correct record and signed by the Chairman.

28 ANNOUNCEMENTS BY THE CHAIRMAN, EXECUTIVE COUNCILLOR  
FOR RESOURCES AND COMMUNICATIONS AND CHIEF OPERATING  
OFFICER

The Chairman reported that he had attended the meeting of the Executive on 5 September 2017 where he had raised concerns with the Leader regarding the Quarter 1 Performance report not coming to the Board before the Executive meeting. It was noted that the Quarter 1 performance report would be considered by Executive before the Board again next year due to when the information would be available in the meeting cycle.

A solution to this would be to cancel the Overview and Scrutiny Board meeting on 26 July 2018 and move it to Thursday 30 August 2018. The information would be available for an August 2018 Board meeting and could therefore be considered before the Executive would meet on 4 September 2018.

29 CONSIDERATION OF CALL-INS

No call-ins had been received.

30 CONSIDERATION OF COUNCILLOR CALLS FOR ACTION

There had been no Councillor Calls for Action.

31 REVENUE AND CAPITAL BUDGET MONITORING REPORT 2017/18

The Board was presented with a report which would be considered by the Executive at its meeting on 3 October 2017. Any comments made by the Board would be noted and passed to the Executive as part of its consideration of the item.

During discussion of the item, the following comments were made:

- Children are Safe and Healthy – in relation to the in-house transfer of the 0-19 health services from 1 October 2017, it was queried if the one-off transition costs were being managed. It was confirmed that a proportion of the 1% carry forward was being used to cover the costs for staff transfers and IT. Capacity had been built in to manage any unexpected costs. It was highlighted that it was a gradual process and there would be more definitive costs next time round.
- Adult Safeguarding – in relation to Deprivation of Liberty Safeguards (DoLs), it was queried what the impact had been on the Council. It was highlighted that

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**28 SEPTEMBER 2017**

since the Cheshire West ruling, the number of assessments had increased from around 40 per year to around 40 per week. In conjunction with Lincolnshire Community Health Services, additional investment had been provided for more assessors and back office staff to deal with the reviews. Funding had been allocated to the Council to help cover the costs for clearing the backlog, but funding was still required to deal with the assessments. It was noted that legislation would be needed to clarify the position and reduce the impact of the ruling, but there was nothing included in the current legislation programme.

- Adult Frailty and Long Term Conditions – in relation to budget pressures, it was questioned whether it would be more significant in a difficult winter. It was noted that winter brought specific pressures such as increased attendance at A and E particularly with elderly people, but there were pressures all year round. There were also pressures in summer due to high temperatures as well as in winter from cold weather and slippery conditions. However, funding was available to cope with any peaks in pressure.
- Adult Frailty and Long Term Conditions – with regards to the increase in unsecured debts, it was questioned whether the debts could be recovered from the people themselves. It was highlighted that before the Care Act 2015, the Council was able to charge against probate for outstanding debts, but the Care Act removed that right. As a result, there was now an increased risk to the Council. Other councils responsible for adult social care were having similar issues and were having to safeguard against the cost of unsecured debts. There was an expectation of a Green Paper during the next 12 months which would look at establishing funding for adult social care in future.
- Other Budgets – it was queried why there was an underspend of £4.603m on the National Living Wage. It was explained that the Better Care Fund had changed over the last few years which had enabled the Council to be in receipt of an allocation to protect adult social care. The Government had allocated £1bn for the Better Care Fund nationally, of which the Council received £2.1m. Subsequently, there was the supplementary Better Care Fund of £2bn nationally, of which the Council received £15.3m. There were conditions of receipt for the additional funding and the Council had to show how the funding was being utilised. As the majority of National Living Wage pressures were in adult social care, it was decided to fund the costs to the Council and providers arising from the introduction of the National Living Wage. There were three priorities given nationally for the use of the Better Care Fund which were the stabilisation of the market, stabilisation of the system, and reduction in delayed transfers of care. The Council was expected to deliver the terms agreed to receive the funding, which were set out in the Better Care Fund Plan. This was currently going through the assurance process and was expected to be approved.
- Council's General Funding – with regards to Partners in Practice, it was queried if all the funding had to be spent this year. It was noted that this was a four year programme and the funding was under strict control with strict key performance indicators. In 2017/18, the Council would receive £2.678m of funding for the programme and had certain actions it had to complete to continue to receive the rest of the funding over the next two years.

## OVERVIEW AND SCRUTINY MANAGEMENT BOARD 28 SEPTEMBER 2017

- Council's General Funding – in relation to the Independent Living Fund, it was questioned whether all this funding would have to be spent this year. It was highlighted that the funding had been transferred from the Department of Work and Pensions (DWP) to the Council and it was used for payment for delivery of care services initially funded by the DWP. An assessment process had been carried out with service users which had identified some duplication. As a result of reassessment, the package of care received by some service users had been reviewed. It was noted that all the funding would be utilised.

### RESOLVED

1. That the Overview and Scrutiny Management Board supports the recommendation to the Executive as set out in the report;
2. That the comments made be agreed and passed to the Executive as part of its consideration of the item.

### 32 2017/18 COUNCIL BUSINESS PLAN QUARTER 1

The Board was presented with a report which had been considered by the Executive at its meeting on 5 September 2017.

During discussion of the item, the following comments were made in relation to Appendix B (Summary of those measures where the target was not achieved in Quarter 1):

- Carers – the Chairman of the Adults and Community Wellbeing Scrutiny Committee confirmed that there was to be a performance workshop after the next meeting on 25 October 2017 and that he would highlight the concerns regarding the performance indicators in the Carers commissioning strategy.
- Protecting the Public – in relation to the "Alcohol related antisocial behaviour incidents" measure, it was queried whether this target was outside of the Council's responsibility. It was noted that this was one of the indicators outside of the Council's control but the Council could have an influence on it. It was also queried whether the measure could include drug use as well as alcohol and whether the information could be broken down by district council areas to highlight any hotspots. Officers agreed to look into these queries.
- Protecting the Public – with regards to the "juvenile first time offenders" measure, it was noted that there was now a downward trend for this measure which should continue with the recent introduction of restorative justice. However, concerns were raised as to whether the reduction in PCSOs and police officers would have a negative impact on this trend.
- Protecting the Public – in relation to "reported incidents of domestic abuse", it was highlighted that it would be useful to see more figures such as for second time and third time offences before the police take action. The Chairman of the Public Protection and Communities Scrutiny Committee confirmed that this issue was on the work programme for the Committee.



**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**28 SEPTEMBER 2017**

- Protecting the Public – with regards to the "alcohol related violent crime incidents" measure, it was questioned whether the Council had figures in relation to Public Space Protection Orders (PSPO's). Officers confirmed that they would look into whether it would be possible to present this information.
- Protecting and Sustaining the Environment – in relation to the Household Waste Recycling Centre recycling rates being below target, it was suggested whether there needed to be more national pressure on manufacturers and packaging companies to make the recycling symbols clearer to help improve recycling rates. It was further suggested that the Lincolnshire Waste Partnership should be asked to consider this issue in the first instance and then potentially refer the issue onto the Local Government Association (LGA) for its consideration.
- Wellbeing – with regards to "Chlamydia diagnosis", it was noted that the biggest rise had been amongst people in their 50's and 60's yet the measure was focussed on young people. Officers highlighted that it was recognised that this was not necessarily the best measure to report against, but it was a NHS England measure. It was suggested that it might be useful to find out what other counties who were performing better were doing to address the issue.

RESOLVED

That the Board be reassured in relation to the performance for Quarter 1 against the Council Business Plan and the comments made by the Board be passed onto the Executive.

33     SCRUTINY COMMITTEE WORK PROGRAMMES

Consideration was given to a report which set out the work programmes of the:

- Children and Young People Scrutiny Committee; and
- Public Protection and Communities Scrutiny Committee.

The Board was requested to make any necessary suggestions on the content of the work programmes.

Statements from the Chairmen in relation to the work programmes were circulated at the meeting.

Children and Young People Scrutiny Committee

In the absence of the Chairman, a member of the Children and Young People Scrutiny Committee, Councillor R Wootten updated the Members on the work being undertaken by the Committee.

It was noted that the Chairman of the Committee, Councillor R Foulkes wished to highlight the following areas of work to the Committee:

- SEND Review;
- Prevent Strategy; and

## OVERVIEW AND SCRUTINY MANAGEMENT BOARD 28 SEPTEMBER 2017

- Restorative Panels Pilot.

It was highlighted that a Councillor training session on Prevent was being organised to take place in November 2017 to which all Councillors would be invited.

The Restorative Panels Pilot was being considered at the Committee's March 2018 meeting. The benefits of restorative justice for the small core of repeat young offenders in Lincolnshire, was considered to be of high importance, especially if they came from a family of criminals where committing crimes was deemed normal.

It was noted that, at its last meeting, Councillor S R Dodds had been elected as Chairman of the Lincolnshire Safeguarding Boards Scrutiny Sub Group.

With a 50% reduction in the number of children excluded from primary schools, Mr Rudman, (Church Representative) explained that an alternative curriculum for excluded pupils had been used and this had reduced the number of exclusions.

Items yet to be programmed included School funding and the impact of the National Funding Formula implementations. There was discussion regarding the suggestion from NASUWT that some schools were squirreling away spare cash. Questions were asked regarding how much schools in Lincolnshire were saving. Mrs Barnett, (Parent Governor Representative) highlighted that at her school, the governors were privy to the accounts each year, and could see where money was going.

### Public Protection and Communities Scrutiny Committee

It was highlighted at this point, that it was considered good practice for the Chairman and Vice Chairman to regularly meet with their Committee's relevant Executive Councillor.

There were three key areas that the Chairman, Councillor N H Pepper wished the Committee to be made aware of:

- The Committee would consider The Citizen Engagement Strategy at its next meeting;
- Assisting Rehabilitation through Collaboration would be considered by the Committee sitting as the Crime and Disorder Scrutiny Committee in early 2018;
- The Theatre in Education play Too Fast Too Soon would be performed for Councillors at its next meeting on 31 October 2017 at 1.30pm. Any Councillors wishing to see this were welcome to attend;
- The Committee's current working group on Future Governance Models for the Heritage Service had held its first and second meetings.

### RESOLVED

1. That the Overview and Scrutiny Management Board be satisfied with the content of the work programmes of:

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**28 SEPTEMBER 2017**

- The Children and Young People Scrutiny Committee (Appendix A to the report); and
  - Public Protection and Communities Scrutiny Committee (Appendix B to the report)
2. That no suggestions on the content of the work programmes of the two committees listed above be put forward by the Board.

34     FUTURE SCRUTINY REVIEWS

The Board was given an opportunity to consider any potential topics for future scrutiny reviews. The following suggestions were made:

- Prevent and community cohesion;
- Restorative justice.

It was highlighted by the Chairman that the two Scrutiny Panels had taken some time to make progress with their first meetings. Officers explained that it had taken some time for the membership of the Panels to be decided and that they were now taking shape.

Councillor C Macey, Chairman of the Health Scrutiny Committee for Lincolnshire reported that he and Councillor Marfleet, the Chairman of Adults Scrutiny Committee, had met to look at the synergies between the two committees and had identified a number of areas to take forward.

Following a question, it was confirmed that no more than two scrutiny reviews could take place at the same time.

In conclusion, as proposer of the potential scrutiny review topics, Councillors Mrs J Brockway and R Wootten were asked to come back to the Board with a formed proposal for the two suggested topics.

RESOLVED

That the proposal of two possible review topics be noted.

35     OVERVIEW AND SCRUTINY MANAGEMENT BOARD WORK  
PROGRAMME

The Board considered its own programme of forthcoming work and it was noted that there were no changes to the programme since the publication of the agenda.

It was reported that at the Board's next meeting on 26 October, the following work programmes would be considered:

- Environment and Economy Scrutiny Committee;
- Flood and Water Management Scrutiny Committee;
- Highways and Transport Scrutiny Committee.

8

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD  
28 SEPTEMBER 2017**

It was noted that due to the current scrutiny review on street lighting, this issue had been removed from the work programme of Highways and Transport Scrutiny Committee.

RESOLVED

That the Overview and Management Board's work programme be noted.

36 INFORMATION ITEMS

36a Treasury Management Update 2017/18 - Quarter 1 Update Report to 30 June 2017

This item had been circulated to the Board for information only and was not discussed at the meeting.

The meeting closed at 11.50 am

**Open Report on behalf of Sophie Reeve, Chief Commercial Officer**

Report to:	<b>Overview and Scrutiny Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>Performance of the Corporate Support Services Contract</b>

**Summary:**

This report provides an update of Serco's performance against contractual Key Performance Indicators specified in the Corporate Support Services Contract between June 2017 and August 2017.

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

**Actions Required:**

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

## 1. Abbreviations

<b>CSS</b>	Corporate Support Services	<b>PM</b>	People Management
<b>KPI</b>	Key Performance Indicator	<b>F</b>	Finance (Exchequer)
<b>TSL</b>	Target Service Level	<b>ACF</b>	Adult Care Finance
<b>MSL</b>	Minimum Service Level	<b>CSC</b>	Customer Services Centre
<b>IMT</b>	Information Management and Technology	<b>RAG</b>	Red / Amber / Green
<b>LRSP</b>	Lincolnshire Road Safety Partnership		

## 2. Background

The purpose of this report is to provide an update on Serco's performance against the contract KPIs between June 2017 and August 2017 (months 27 to 29 since the services commencement date of 1 April 2015).

Additionally, the report provides an overview of the strategic transformation projects being delivered by Serco.

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

### 3. Performance

Appendix A to this report provides the detailed Key Performance Indicator (KPI) results for the six months of service delivery from March 2017 to August 2017 broken down by service area.

At the time of writing this report, the KPI results for September 2017 are still to be agreed – this is normal as KPI performance results are typically not available until at least working day 15 of the following month; in this case 20 October 2017.

This is to allow time for the performance data supporting the KPI score to be compiled by Serco and then to be effectively scrutinised by the Council.

An addendum report detailing September's KPI results should be available shortly before the OSMB committee 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 March 2017 to August 2017.

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

Table 1b shows the total number of abatement points the Serco CSS Contract attracted in each month since contract start. A total of 1000 points is distributed amongst the KPIs, with each KPI attracting between 10-50 points save for CSC KPI 10 'abandoned LRSP Calls as a percentage of total LRSP Calls each month' which attracts only 2 points, and for each KPI a multiplier is applied to any consecutive months where targets are not achieved. For two consecutive months the multiplier is 1.5 and for two or more months, it is 2.0.

**Table 1: Overall KPI Summary Performance**

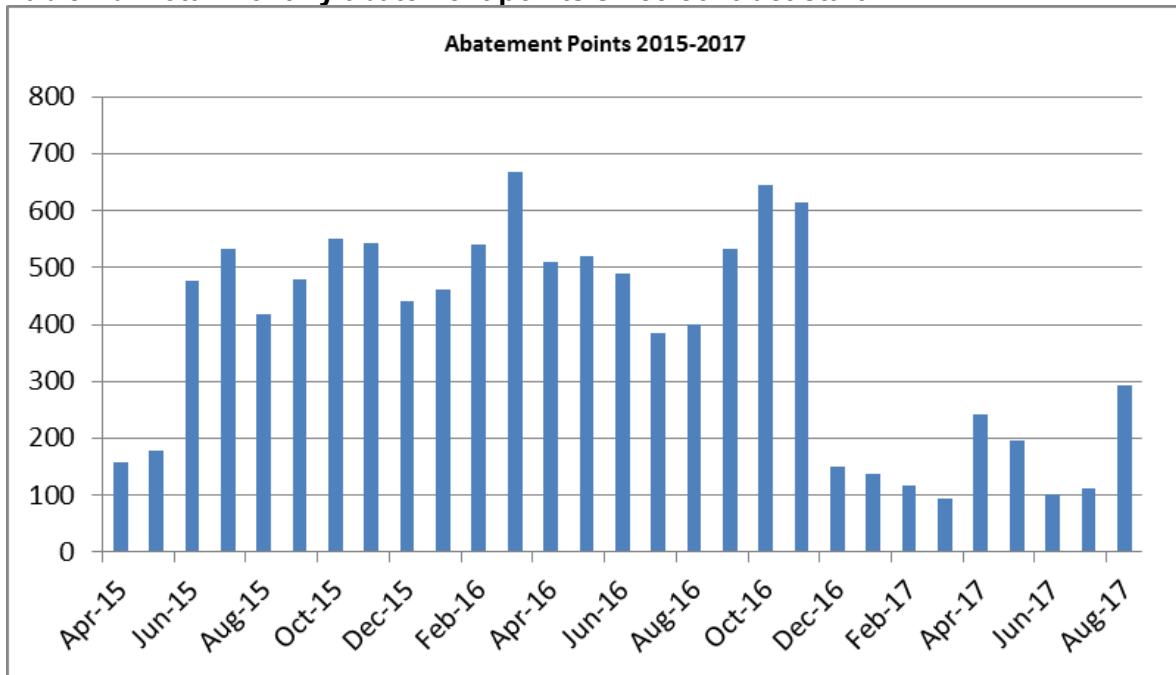
Overall (All Services) Contract Performance	Number of KPIs					
	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
Target Service Level (TSL) achieved	33	29	31 <sup>①</sup>	32	34	34
Minimum Service Level (MSL) achieved	1	5 <sup>①</sup>	3	4	4	3 <sup>②</sup>
Below Minimum Service Level (MSL)	3	4 <sup>①</sup>	4 <sup>①</sup>	2	1	3 <sup>②</sup>
Mitigation Agreed	3	3	3	3	2	1

<b>TOTAL</b>	40	41	41	41	41	41
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① As a result of formal escalations brought forward by Serco, the score in April 2017 for IMT\_KPI\_11 were changed from Red to Amber, and in May 2017 for PM\_KPI\_06 from Red to Green. The information contained in table 1 of July's OSMB report for performance in April and May 2017 is therefore amended here to reflect the outcome of the escalations.

② The KPI scores for IMT\_KPI\_01, 02, 05, and 07 are currently in escalation following the network outage in August 2017.

**Table 1b: Total monthly abatement points since contract start**



The points for August 2017 are subject to outcome of escalation of IMT\_KPI\_01, 02, 05, and 07.

### Failed KPIs

Table 8 (in section 10) of this report sets out the KPIs which have failed to meet the MSL (Red status) in either June, July, or August 2017 and the effect this failure has on the Council, together with an estimated time to resolve.

### Mitigation

Additionally table 9 (in section 11) sets out the background and rationale for the Council granting mitigation for three KPIs during June, July, and August 2017. Blue indicates mitigation; where a dependency outside Serco's control (e.g. implementation of Mosaic) prevents agreed targets from being fully met. Granting mitigation relieves Serco from the application of abatement points. Abatement points are used to calculate Service Credits (deductions) which are 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	Number of KPIs					
	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
<b>Target Service Level (TSL) achieved</b>	7	7	9❶	9	8	9
<b>Minimum Service Level (MSL) achieved</b>	0	1	0	0	1	0
<b>Below Minimum Service Level (MSL)</b>	2	1	0❶	0	0	0
<b>Mitigation Agreed</b>	0	0	0	0	0	0
<b>TOTAL</b>	9	9	9	9	9	9

❶ As a result of a formal escalation brought forward by Serco, the KPI score in May 2017 for PM\_KPI\_06 was changed from a fail to a pass. The information contained in table 2 of July's OSMB report for performance in May 2017 is amended here to reflect the outcome of the escalation.

During June, and August there were no KPI failures. In July, performance against PM\_KPI\_07 fell below TSL but still met the MSL. The result of 98.89% was the first time this KPI failed to meet the TSL. The failure represents one recruitment process (of 90 total recruitments in July) that fell outside the target timescales.

#### Payroll

Appendix C to this report shows the payroll contacts received by Serco for the twelve months between September 2016 and August 2017. All contacts received by Serco before April 2017 have been resolved.

Table 3 below shows payroll contacts received by Serco over the last six months (March 2017 – August 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 at 03 October 2017. Serco continuously work to resolve the outstanding payroll



contacts and it is to be expected that more recent contacts have a lower resolution rate as Serco have had less time to resolve them when compared to older contacts.

**Table 3: Payroll contacts received by Serco over the last six months (Figures correct as at 03 October 2017)**

<b>Payroll Contacts Received by Serco</b>	<b>Mar-17</b>	<b>Apr-17</b>	<b>May-17</b>	<b>Jun-17</b>	<b>Jul-17</b>	<b>Aug-17</b>
<b>Corporate Contacts</b> (of which Resolved / Outstanding)	<b>143</b> (142/0)	<b>153</b> (153/0)	<b>135</b> (134/1)	<b>126</b> (125/1)	<b>119</b> (117/2)	<b>99</b> (75/24)
<b>School Contacts</b> (of which Resolved / Outstanding)	<b>115</b> (115/0)	<b>63</b> (62/1)	<b>79</b> (77/2)	<b>74</b> (72/2)	<b>53</b> (51/2)	<b>45</b> (40/5)
<b>Total Contacts</b> (of which Resolved / Outstanding)	<b>258</b> (257/0)	<b>216</b> (215/1)	<b>214</b> (211/3)	<b>200</b> (197/3)	<b>172</b> (168/4)	<b>144</b> (115/29)
<b>Overall Resolution Rate (Corporate + Schools)</b> (Correct as of 03/10/2017)	<b>100%</b>	<b>99.54%</b>	<b>98.60%</b>	<b>98.5%</b>	<b>97.67%</b>	<b>79.86%</b>

The number of Payroll Contacts continues downwards and overall resolution rates remain strong with 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**

<b>Information Management and Technology (IMT) Performance</b>	<b>Number of KPIs</b>					
	<b>Mar-17</b>	<b>Apr-17</b>	<b>May-17</b>	<b>Jun-17</b>	<b>Jul-17</b>	<b>Aug-17</b>
<b>Target Service Level (TSL) achieved</b>	11	10	10	10	9	7
<b>Minimum Service Level (MSL) achieved</b>	0	2 <sup>①</sup>	2	2	3	3 <sup>②</sup>
<b>Below Minimum Service Level (MSL)</b>	1	0 <sup>①</sup>	0	0	0	2 <sup>②</sup>
<b>Mitigation Agreed</b>	0	0	0	0	0	0
<b>TOTAL</b>	12	12	12	12	12	12

① As a result of formal escalation brought forward by Serco, the score in April 2017 for IMT\_KPI\_11 was changed from Red to Amber. The information contained in table 4 of July's OSMB report for performance in April 2017 is therefore amended here to reflect the outcome of the escalation.

② The KPI scores for IMT\_KPI\_01, 02, 05, and 07 are currently in escalation following the network outage in August 2017.

There were no KPI failures in either June or July in the IMT service. In August there was a significant P1 (highest priority) event following a hardware failure in Orchard House. This resulted in multiple system failures affecting the entire Council. Due to the severity of the incident, Emergency Planning and Business Continuity plans were activated to mitigate the service disruption. The disruption started on 22 August and was not fully resolved until 30 August but in most cases the most severe effects were felt in the first three to four days with a number of staff having to relocate to other offices. The CSC, Finance, and People Management services provided by Serco were relatively unaffected as can be seen by their KPI results and the lack of mitigation requests stemming from this incident.

Largely as a result of this P1 event, there were two KPI failures in August: IMT\_KPI\_01 and 07, and two below TSL: IMT\_KPI\_02, and 05.

Work is in train to understand the root cause of the issues that led up to the service outage. Serco has requested mitigation which has been rejected and Serco has now escalated that mitigation request.

## 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	Number of KPIs					
	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
<b>Target Service Level (TSL) achieved</b>	6	3	4	5	7	7
<b>Minimum Service Level (MSL) achieved</b>	0	1	0	1	0	0
<b>Below Minimum Service Level (MSL)</b>	0	3	4	1	1	1
<b>Mitigation Agreed</b>	1	1	0	1	0	0
<b>TOTAL</b>	7	8	8	8	8	8

Performance against the CSC KPIs in June, July and August has improved month on month and in August resulted in achievement of 7 KPIs, with one remaining failure against CSC\_KPI\_04.

In April and May there had been disagreement between Serco and LCC in how to measure CSC\_KPI\_03 & CSC\_KPI\_06 and as a result the data presented was rejected by the Council. By June it had been agreed that no less than 30% of

answered calls would be sampled each month to strike the balance between measurement reliability and avoiding advisor time being tied up on non-delivery activity.

A revised report to evidence performance against CSC\_KPI\_05 has been checked and agreed by Serco and the Council. This resulted in lower scores being reported in April and May 2017 compared to previous months.

The revised reporting gave Serco the foundation to improve their score for CSC\_KPI\_05 with Target Service Level being achieved by July and maintained in August.

CSC\_KPI\_04 has seen three months of incremental improvement to August but still remains an ongoing concern. There are key activities in progress that, combined, are supporting the recovery of CSC\_KPI\_04:

- Improved absence management which has seen absence reduce and absence trends examined,
- Improving capacity through extra recruitment of the right people into the right teams to meet the calculated resource requirements,
- Accompanied by an effective induction and training programme and improved performance management.
- Direct inputting into Mosaic.

Customer satisfaction with the CSC service remains high with 95.81% of Customers rating their experience as Good or Very Good (as at August 2017).

At the request of OSMB Serco's Customer Service Manager has compiled a report which addresses the queries raised by OSMB at the last meeting when the Corporate Support services Contract was discussed on the 27 July 2017. The report is wide ranging and covers the scope of services delivered, the structure of the CSC, the average weekly call volumes, forecasting, using the Avaya functionality, including call backs, abandoned call performance, future activities and structure change. It is at Appendix D.

Serco repeat their invitation to members of the Committee to visit the CSC should they wish to do so.

#### Citizen Engagement and the CSC

At the OSMB on 27 July 2017 members queried how the Council might gain access to and make better use of information obtained by the Customer Service Centre. As part of the development of the Citizen Engagement Strategy, the intention is to build upon the principles of the Customer Insight Charter (which is still being worked on), to develop the better utilisation of intelligence data captured through CSC and citizen engagement in service improvement and Commissioning Strategy development/ review so that our Strategy outcomes meet the needs of our citizens.

As an organisation we collect and have access to significant levels of intelligence and information about Lincolnshire and the communities who live, work and visit here. Using this information gives the Council a deeper understanding of our customer, which leads to more efficient delivery of services and improved customer satisfaction.

We would like to better understand our customers to ensure we deliver services effectively. This is defined as 'Customer Insight', which is a view of customers based on the analysis of qualitative and quantitative data and information that we collect, including: demographic data, surveys and consultation, operational data, feedback from front line staff, formal and informal correspondence and customer feedback. We will know that we understand our customers better and are utilising insight more effectively when we:

- Have intelligence/data (quantitative or qualitative) available when we need it, whether from service information, complaints, surveys, feedback forms, surveys, telephone conversations or face-to-face contact.
- Only hold relevant and useful data (quantitative or qualitative) and in line with the Data Protection legal requirements.
- Don't have to repeat contact with customers on topics about which we already hold information.
- Effectively utilise the information we already have to make decisions and avoid duplication and feedback when we have done so.
- Communicate more effectively with our customers in the ways they prefer (for example more people talk to us via our social media account(s) or online).
- Resolve queries at the first point of contact.
- Provide the right services in the right place at the right time.
- Seek customer views on topics of interest and keep them informed on issues relevant to them.
- Operate a robust complaints and compliments process that is easy to use and responsive to the public, providing us with opportunities to learn and improve.

It is our intention to work closely with our colleagues in the CSC to review the intelligence we gather and hold, to explore how we can use it, where there are clear gaps and the analysis that can be applied to this rich source of data to better inform our understanding and decision making. The work is being led by the Community Assets and Resilience Commissioning Manager who would benefit from discussions with representatives of the Overview and Scrutiny Management Board as to the nature of the "Customer Insight" information and data which would be most helpful to Scrutiny Members including what CSC held information each Scrutiny Committee would like access to.

## 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	Number of KPIs					
	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
<b>Target Service Level (TSL) achieved</b>	7	7	6	6	7	8
<b>Minimum Service Level (MSL) achieved</b>	0	0	0	0	0	0
<b>Below Minimum Service Level (MSL)</b>	0	0	0	1	0	0
<b>Mitigation Agreed</b>	2	2	3	2	2	1
<b>TOTAL</b>	9	9	9	9	9	9

There were no KPI failures within the ACF service area in August and the Council granted mitigation against only one KPI related to Mosaic, please refer to table 9 for more detail.

Work continues on the implementation of the Mosaic adult care case handling system with Serco taking on more responsibility for service delivery. Work on direct payments services through the use of a payment card system which removes the need for a bank account to be set up has recently gone live.

## 8. Financial Administration

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

**Table 7: Finance KPI Summary Performance**

Finance (F) Performance	Number of KPIs					
	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
<b>Target Service Level (TSL) achieved</b>	2	2	2	2	3	3
<b>Minimum Service Level (MSL) achieved</b>	1	1	1	1	0	0
<b>Below Minimum Service Level (MSL)</b>	0	0	0	0	0	0
<b>Mitigation Agreed</b>	0	0	0	0	0	0
<b>TOTAL</b>	3	3	3	3	3	3

There were no KPI failures within the Finance service area in August. Following rebasing of the TSL and MSL for F\_KPI\_01 (Paying Invoices on time) Serco has been showing continuing improvement and achieved the TSL in July and August for the first time. It has been agreed that the TSL and MSL should both be reduced by 5% and this was done in July. The reason for that is that the KPI expects Serco only to measure undisputed invoices but there is no simple way to strip the disputed or invoices pending approval out of the measurement without compromising the work flows within Agresso. Consequently Serco's performance was being falsely decreased as invoices which were disputed and unpaid were counting against them. We considered the 5% reduction in the TSL and MSL to be a reasonable way of redressing this.

## 9. KPI Performance failure - Effect on LCC Services

The table below tabulates the effect on the Council 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, June – August 2017**

KPI Ref No	Short Description	Effect of performance failure on LCC	Estimated date for resolution
<b>CSC_KPI_04</b>	% of total Calls that are Abandoned Calls	A high volume 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 who 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.
<b>ACF_KPI_07 (June only)</b>	% of cases where necessary paperwork to enable Council's legal services to secure charges are submitted within time	Can cause delays in LCC's ability to secure legal charges	This was a single error where recurrence is not expected.
<b>IMT_KPI_01 (Aug only)</b>	% Users are able to raise Incidents and make Service Requests (Service Availability?) during Service Desk Hours	Not all incidents will be reportable leading to decrease in service effectiveness	This KPI is currently in escalation
<b>IMT_KPI_07 (Aug only)</b>	% Availability of Platinum Applications & Specified Services	Service effectiveness and productivity reduced if critical applications and services unavailable	This KPI is currently in escalation

### KPIs granted Mitigation Relief

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

**Table 9: Details of KPI Mitigation Relief, June - August 2017**

KPI Ref No	KPI Short Description	Reason for the granting of Mitigation Relief
<b>CSC_KPI_09</b> Mitigation granted for June only	% of carers assessments (reviews and new), as completed by the CSC, completed accurately and within 20 Business Days	Issues with the effectiveness of the measure, which has now been resolved.
<b>ACF_KPI_03</b> Mitigation granted for June and July only	% of new, and change of circumstance, financial assessments for non-res care completed within 15 Business Days of referral from the Council	<b>Mosaic Implementation</b> - Mosaic was implemented on 12 <sup>th</sup> 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.
<b>ACF_KPI_04</b> Mitigation granted for August only	% of new, and change of circumstance, financial assessments for residential care completed within 15 Business Days of referral from the Council	<b>Mosaic Implementation</b> - Mosaic was implemented on 12 <sup>th</sup> 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.

## 10. KPI Performance Overview

KPI performance across most service areas has been very good with MSL failures continuing to fall. A current escalation over four KPI in IMT remains an issue to resolve.

## 11. Serco IT Projects

A future action is for officers to support OSMB in a review of IT projects to include;

- the number of projects carried out to date;
- the number of projects likely to be delivered over the course of the next nine months;
- the extent of any delay in delivery;
- the impact on the Council and residents of Lincolnshire arising from that delay.



This work will complement the IT review activity being conducted by the Scrutiny Panel.

## 12. Conclusion

KPI performance overall has shown steady improvement over the past four months, with a notable improvement in the People Management service. Although KPI performance is generally good, some particular 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
Appendix B	Projects in progress with Serco
Appendix C	Payroll Contacts Received by Serco (Sept 2016 – Aug 2017)
Appendix D	Customer Service Centre report for OSMB

## 15. Background Papers

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

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## **Appendix A – CSS Contract Performance Tables by Service Area (rolling six 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	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
PM_KPI_01	% of Payroll Recipients paid on the Payment Date per month	99.9	99.0	99.97	99.98	99.98	99.97	99.95	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	100.00
PM_KPI_03	% of Payment Deductions paid within Third Party Payment Date per month	100	100	100.00	100.00	100.00	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	95.00	98.91	99.32	99.51	100.00	99.72
PM_KPI_06	Number of People Mgt. Records assessed in Spot Checks to contain errors, omissions or inaccuracies	1	3	15.00	3.00	1.00 <sup>1</sup>	0.00	0.00	0.00
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	98.89	100.00
PM_KPI_08	% of managers rating their experience of contact as "Good" or better per month	95	90	100.00	100.00	100.00	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	85	92.86	92.86	100.00	100.00	100.00	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	72.00	74.00	85.00	88.89	85.15	82.73

<sup>1</sup> In July's OSMB report, Serco's performance against PM\_KPI\_06 in May 2017 was reported as 6.00 which is a failure to meet the MSL (thus red). The score represents People Management Records containing errors, omissions or inaccuracies identified through a spot checking exercise undertaken by LCC. Serco disputed this score and following consideration of the case put forward by them, LCC agreed to amend the score to 1.00 record which represents a pass as it met the TSL (thus green).

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

### IMT KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
IMT_KPI_01	% Users are able to raise Incidents and make Service Requests (Service Availability?) during Service Desk Hours	99.8	99.3	100.00	99.98	99.96	100.00	99.92	97.50 <sup>②</sup>
IMT_KPI_02	Priority 1 Incidents not Resolved within Resolution Time	1	5	1.00	1.00	0.00	2.00	0.00	4.00 <sup>②</sup>
IMT_KPI_03	Priority 2 Incidents not Resolved within Resolution Time	3	5	1.00	1.00	0.00	1.00	0.00	0.00
IMT_KPI_04	Priority 1 VIP Incidents not Resolved within Resolution Time	1	5	0.00	0.00	2.00	2.00	2.00	0.00
IMT_KPI_05	Number of Priority 1 Incidents reported to Service Desk	1	5	1.00	1.00	1.00	1.00	2.00	5.00 <sup>②</sup>
IMT_KPI_06	Number of Priority 2 Incidents reported to Service Desk	3	5	1.00	0.00	1.00	2.00	2.00	0.00
IMT_KPI_07	% Availability of Platinum Applications & Specified Services	99.8	99.3	99.94	99.99	99.97	100.00	99.98	98.50 <sup>②</sup>
IMT_KPI_08				KPI REFERENCE NOT IN USE					
IMT_KPI_09	% Achievement of Service Request Fulfilment within Service Request Fulfilment Time	95	85	96.79	96.35	95.55	96.07	96.27	95.68
IMT_KPI_10	% of CMDB Changes applied within 14 Core Support Hours of the move or change	100	90	100.00	98.73	100.00	100.00	100.00	100.00
IMT_KPI_11	% of project milestones achieved each month	85	70	69.00 <sup>①</sup>	81.00 <sup>①</sup>	81.00	86.00	75.00	73.00
IMT_KPI_12	% of users who score the IT Service as "Good" or above for IT Incident handling	75	60	89.80	91.60	82.60	75.00	78.20	79.80
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	97.10	97.30	97.24	97.52	98.11	98.26

① As a result of formal escalation brought forward by Serco, the score in April 2017 for IMT\_KPI\_11 was changed from Red to Amber, ② The KPI scores for IMT\_KPI\_01, 02, 05, and 07 are currently in escalation following the network outage in August 2017.

## Part 3 - Customer Service Centre (CSC) Service

### CSC KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
CSC_KPI_01	% of all Contacts received through Digital Access Channels per month	20 ③	17 ⑤	24.07	24.41	22.69	25.45	23.24	21.25
CSC_KPI_02				KPI REFERENCE NOT IN USE					
CSC_KPI_03	% avoidable Contact Rate per month - consolidated...	10	15	7.11	Data Not Available	Data Not Available	3.55	3.27	3.09
CSC_KPI_04	% of total Calls that are Abandoned Calls	7	10	Mitigation Agreed	Mitigation Agreed	17.53	14.05	13.72	12.01
CSC_KPI_05	% of Contacts referred to in CSC_PI_01, _02 & _03 responded to within timescale per month	95	90	99.62	72.10	74.26	93.46	97.03	96.62
CSC_KPI_06	% First Contact Resolution Rate	85	80	95.87	Data Not Available	Data Not Available	97.49	97.46	97.46
CSC_KPI_07	% of Customers rating their experience of contact as "Good" or better per month	90	85	95.95	96.19	95.90	95.43	96.48	95.81
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	100.00	95.08	98.11	Mitigation Agreed	100.00	100.00
CSC_KPI_10	% of LRSP Calls that are Abandoned Calls	25	30	NEW KPI – FIRST USE IN APR-17	16.03	18.74	14.61	13.55	21.19

③ The TSL/ MSL for CSC\_KPI\_01 rises over time, details of this are set out below:

Target Service Level (TSL)	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 (MSL)	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	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
ACF_KPI_01	% of ACF First Contact Resolution Rate per month	85	75	98.49	99.38	97.52	98.05	98.79	98.03
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 ④	60 ④	Mitigation Agreed	Mitigation Agreed	Mitigation Agreed	Mitigation Agreed	Mitigation Agreed	84.13
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 ④	60 ④	79.03	79.26	Mitigation Agreed	77.96	75.02	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	99.20	100.00	99.39
ACF_KPI_06	% of Adult Care Income due which is more than 28 days old	5	10	1.49	1.83	2.03	2.29	2.89	2.33
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	83.88	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	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	97.92	96.94	99.44	98.57	99.61	99.62
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	100.00	100.00	100.00

④ ACF\_KPI\_03 and ACF\_KPI\_04 TSL and MSL are currently reduced targets due to ongoing implementation of Mosaic and specifically the finance module. Until the finance module is launched, Serco are required to use multiple systems to deliver the service which was not the basis on which they tendered. (Normal Contract target levels once Mosaic has gone fully live will be 90% TSL and 85% MSL)

## Part 5 - Finance Service

### Finance KPIs - Detailed Performance Results

KPI	KPI Short Description	TSL	MSL	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17
F_KPI_01	% of Undisputed invoices paid in accordance with vendor terms	90 ⑤	75 ⑤	90.98	86.89	90.16	92.26	92.99	92.62
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	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	1.47	4.29	2.02	1.00	1.72	2.36

⑤ F\_KPI\_01 TSL and MSL reduced by 5% from July 2017 to 90% and 75% respectively. Previously TSL = 95% and MSL = 80%.

## 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.	23/01/2018	The Channel Shift project has been fully reviewed and an option to move to a Software as a Service platform has been accepted by LCC. This reduces the amount of bespoke development and solves the hosting issue (the previous hosting platform was retired by SunGard). This solution will be hosted from Amazon Web Services (AWS).
	Online fault reporting for Highways issues – improvements to current service. <b>COMPLETED</b>	16/12/16 – complete	
	Phase 2 - Enhancements– in progress	27/12/2017	
	Online booking of appointments for Registrars services and online ordering of certificates. (Note we are currently working with the service to bring these dates forward if possible)	16/02/2018	
	Online purchase of Highways licences.	Q2 2018	
	Online application for Blue Badges (LCC have confirmed they do not require this service)	N/a	
	New website – improve ability to present and search for information	20/03/2018	Project plan has now been baselined, following agreement of a new hosting solution (after the withdrawal of the planned platform). The new website platform will be available on the 16/01/2018, however, due to work to cleanse the current content the citizen Go Live date is planned for the 20 <sup>th</sup> of March 2018.
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.	
Financial and HR Services / internal	Upgrade of the Agresso system to improve efficiency and accuracy of the finance and HR services.	30 Nov 2016	The Agresso upgrade completed successfully on schedule, and is fully operational on v4.7.



Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
efficiency and ease of use for staff	<b>COMPLETED</b>		
	Process improvements in financial services <b>COMPLETED</b>	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 <b>Completed</b> Employee Lifecycle Redesign Electronic Personnel Files Variable Payments and Deductions <b>In Closure</b>	Q1 2018  Complete Jan 2018 Q1 2018 Complete	<u>Employee Lifecycle Redesign.</u> As part of an employee's journey from starting their careers with Lincolnshire County Council, this project is now in the design and test phase with 3 corporate e-forms planned for release at the end of October 2017. This will 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. The remaining e-forms in scope will be developed within the new Agresso Version with a release in January to co-align with the Agresso Upgrade. <u>Electronic Personnel Files.</u> All new employee files are now electronic. The project has been on hold due to resource re-assignment to the Pay statements Project. It was agreed at the People Management Portfolio board this will come off hold in October and the final element progressed (A solution design is currently in the final stages of development with potential scanning suppliers under review). <u>Variable Payments and Deductions</u> – project in closure

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
	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 <b>COMPLETED</b>	12 Dec 2016	The Mosaic system go-live was successfully achieved, and the Serco team are now working with the CMPP team through the 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 <b>COMPLETED</b>	5 Oct 2016	This Project has completed successfully and is closed.
Technology improvements	Provision of replacement mobile phones for staff <b>COMPLETED (additional rollouts in planning)</b>	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 <b>COMPLETED</b>	14 Oct 2016	The Web Access Modernisation Phase 1 & 2 completed on schedule and Phase 3 is in development.
	Provision of Windows tablets for mobile staff	Q4 2017	Initial pilot for Mosaic field users confirmed at 47 (reduced from 200). Pilot commenced in September for a 6 week period. Following this pilot additional phases can be scoped.
	Delivery of network improvements	TBC	A Lincoln Campus Distribution project was commissioned and is commencing the 'implementation lab/proof of concept' build phase, which will build and test new appliances alongside LCC's current environment and create a migration path following successful configuration. The Lancaster House project is providing Lincoln

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
			Campus Resilience within the Local Area Network and removes the current Single Point of Failure for Wide Area Network connection which current exists with the single Orchard House Network connectivity
	Delivery of security improvements and ISO27001 <b>COMPLETED</b>	26 Oct 2016	
	Provision of replacement desktops for staff	Sept 2017	The PC Refresh project is in its final weeks of deployment and is schedule to close 13 <sup>th</sup> of October. It has seen Circa 600 devices being refreshed to Windows 10
	Upgrade of telephony – for security purposes	Q1 2018	The Vodafone proposal was accepted by LCC and an order placed end of June to enable the design phase to commence. Design is currently in progress.
	Preparation of Lancaster House for staff use	Oct 2017	Infrastructure installed and building ready for occupation. Staff moves scheduled for completion 16 <sup>th</sup> October.
	Support to provision of new printers/photocopiers/scanners – cost saving	TBC	MFD deployment in progress.
	Close down of SAP – securing historic data – removes risk	Q2 2018	A detailed analysis and review of legacy SAP data access and usage by operational users has been completed. PID to outline the remainder of the project has been developed and a new project manager has been assigned to drive the project to completion.
	Enterprise data warehouse – increasing ease and efficiency of reporting across Council data	N/A	Legacy Social Care release is Live (1st of the 5 planned project releases). Serco and LCC have reviewed the position of this project and have agreed to early closure. Serco will handover the project to the LCC EDW team.

Service Area	Outcomes to be delivered	Expected date for delivery of outcome	Update
	Data centre relocation – improving resilience in the event of system failure/disaster	Q4 2017	The Data Centre migration project has continued to progress well, however, has slipped (primarily due to business areas decisions regarding application requirements /upgrades). 12000 email accounts have been migrated to the new data centres and the File system migration is well underway.
	Identity management – including management of starters, movers and leavers – security and efficiency improvements	Q1 2018	Project high level design approved and Low level Design with the council for approval to proceed into the solution build
	Improved system for reporting HR and IT issues – easier for staff to use and more efficient to manage <b>COMPLETED – MyIT/MyMosaic</b>	31 Dec 2016 (MyIT and MyMosaic) Q4 2017 (MyHR)	MyIT achieved go-live successfully as scheduled in Oct 2016. MyMosaic successfully went live on 12/12/16. LCC gave approval to proceed with MyHR build following review of the technology stack and agreement that Serco will build the remaining MyHR enhancement with the same solution as the MyIT/MyMosaic components. This phase can now progress as it was on hold whilst the review was taking place.

## Appendix C – Payroll Contacts Received by Serco (Sept 2016 – Aug 2017) (rolling twelve month period)

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 at **03 Oct 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 April 2017 have been resolved.

<b>Payroll Contacts Received by Serco</b>	<b>Sept 2016</b>	<b>Oct 2016</b>	<b>Nov 2016</b>	<b>Dec 2016</b>	<b>Jan 2017</b>	<b>Feb 2017</b>	<b>Mar 2017</b>	<b>Apr 2017</b>	<b>May 2017</b>	<b>Jun 2017</b>	<b>Jul 2017</b>	<b>Aug 2017</b>
<b>Corporate Contacts</b> (of which Resolved / Outstanding)	<b>213</b> (213/0)	<b>218</b> (218/0)	<b>164</b> (164/0)	<b>132</b> (132/0)	<b>163</b> (162/0)	<b>137</b> (137/0)	<b>143</b> (142/0)	<b>153</b> (153/0)	<b>135</b> (134/1)	<b>126</b> (125/1)	<b>119</b> (117/2)	<b>99</b> (75/24)
<b>School Contacts</b> (of which Resolved / Outstanding)	<b>447</b> (447/0)	<b>414</b> (414/0)	<b>433</b> (432/0)	<b>233</b> (233/0)	<b>217</b> (217/0)	<b>128</b> (127/0)	<b>115</b> (115/0)	<b>63</b> (62/1)	<b>79</b> (77/2)	<b>74</b> (72/2)	<b>53</b> (51/2)	<b>45</b> (40/5)
<b>Total Contacts</b> (of which Resolved / Outstanding)	<b>660</b> (660/0)	<b>632</b> (632/0)	<b>597</b> (596/0)	<b>365</b> (365/0)	<b>380</b> (379/0)	<b>265</b> (264/0)	<b>258</b> (257/0)	<b>216</b> (215/1)	<b>214</b> (211/3)	<b>200</b> (197/3)	<b>172</b> (168/4)	<b>144</b> (115/29)
<b>Overall Resolution Rate (Corporate + Schools)</b>  (Correct as of 03/10/2017)	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>99.54%</b>	<b>98.60%</b>	<b>98.5%</b>	<b>97.67%</b>	<b>79.86%</b>

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## Appendix D

### OSMB Report Customer Service Centre (CSC)

Author Sara Johnson

Date 27<sup>th</sup> September 2017



## 1. Executive summary

This report is a summary of the current CSC performance, telephony delivery protocols and the future activities in progress and planned in order to achieve the contractually required improvements, specifically in relation to KPI 04, abandon call performance.





## 2. Introduction

The Customer Service Centre, CSC, delivers a range of services to the citizens of Lincolnshire on behalf of Lincolnshire County Council, predominately through voice and email channels. Due to the variety and nature of the of the services provided the CSC is split into 2 hubs, details listed below for clarity.

<b>Corporate Hub Telephony Service Provision</b>	<b>Care &amp; Wellbeing Telephony Service Provision</b>
Adult Learning	Adult Charging
FOI	Adult Care
Comments, Compliments & Complaints	Children Services
Heritage	Carers Service
Highways	Wellbeing Service
Fostering & Adoption	
Library Services	
Education	
Family Information Services	
OOH BRECKLAND	
OOH NKDC	
OOH SHDC	
OOH WEST LINDSEY	
School Appeals	
Switchboard	
Tourism	
Registration & Celebration Services	
WLDC Daytime Overflow	
School Transport	
Lincolnshire Road Safety Partnership	
Out of Hours - Adult Care	
Out of Hours - Children Services	

The CSC operational teams are supported by the Capacity & Planning Team, a Training & Development Officer and 2 Service Design Analysts.



The CSC is contractually obligated to deliver against a set of 8 Key Performance Indicators (KPIs). Detailed below are the scores for the last 3 months. These targets were in place 12 months prior to the TUPE of the CSC services to Serco, with the exception of KPI 10, which commenced in 2017.

KPI	KPI Short Description	Freq	TSL	MSL	Jun-17	Jul-17	Aug-17
CSC_KPI_01	% of all Contacts received through Digital Access Channels per month	M	20	17	25.45	23.24	21.25
CSC_KPI_03	% Avoidable Contact Rate	M	10	15	3.55	3.27	3.09
CSC_KPI_04	% of total Calls that are Abandoned Calls	M	7	10	14.05	13.72	12.01
CSC_KPI_05	% of email contacts responded to within 1/3 business working days	M	95	90	93.46	97.03	96.62
CSC_KPI_06	% First Contact Resolution Rate	M	85	80	97.49	97.46	97.46
CSC_KPI_07	% of Customers rating their experience of contact as "Good" or better per month	M	90	85	95.43	96.48	95.81
CSC_KPI_09	% of carers assessments (reviews and new), as completed by the CSC, completed accurately and within 20 Business Days	M	98	95	97.96 Mitigation Agreed	100.00	100.00
CSC_KPI_10	Abandoned LRSP Calls as a percentage of total LRSP Calls each month	M	25	30	14.61	13.55	21.19

Freq – Frequency of reporting  
 TSL – Target Service Level  
 MSL – Minimum Service Level

Whilst KPI 04, % of calls abandoned, remains a challenge the KPI has shown continual improvement over the past 3 months.



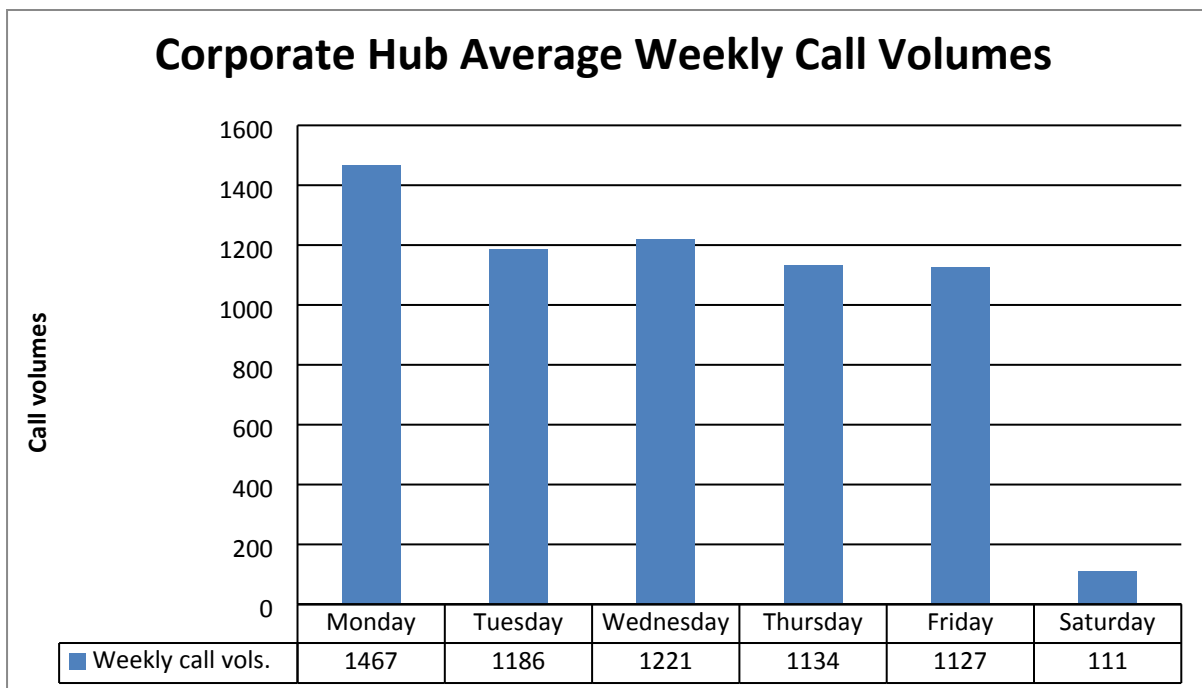
### 3. CSC Weekly call volumes

The graphical information below details the average number of inbound call receipts over an average week, split by hub, based on the past 6 months' worth of data.

The activities carried out in each hub varies and drives which hub a service sits in; the Corporate Hub services are comprised of low complexity and high volume contacts whereas in contrast the Care & Wellbeing Hub handles lower volumes but high complexity contacts, resulting in a much higher average handle times. In addition the Care & Wellbeing advisors carry out a much higher volume of offline activities resulting in 39% of the Adult Care, including Carers, advisors working on activities that stem from an inbound contact but in essence the next stage of the customer journey and a separate activity, as work flowed through Mosaic. For example an advisor maybe required to complete an Adult Care Assessments, taking on average 107 minutes to complete.

#### The Corporate Hub

The average trend of peak call receipts is between 0900-1100 Monday to Friday, with Saturday peak volumes received between 1000-1100. Email volumes follow the same pattern as calls and due to the constant delivery over the weekend, peak on a Monday morning. This is the case for both the Corporate and Care & Wellbeing Hub email contacts.

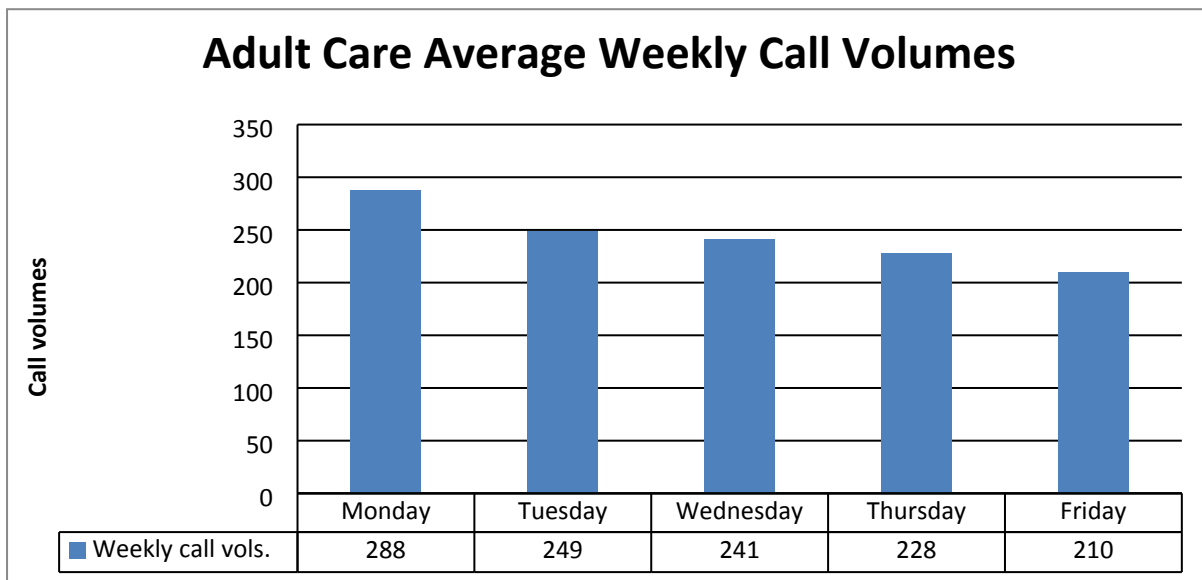




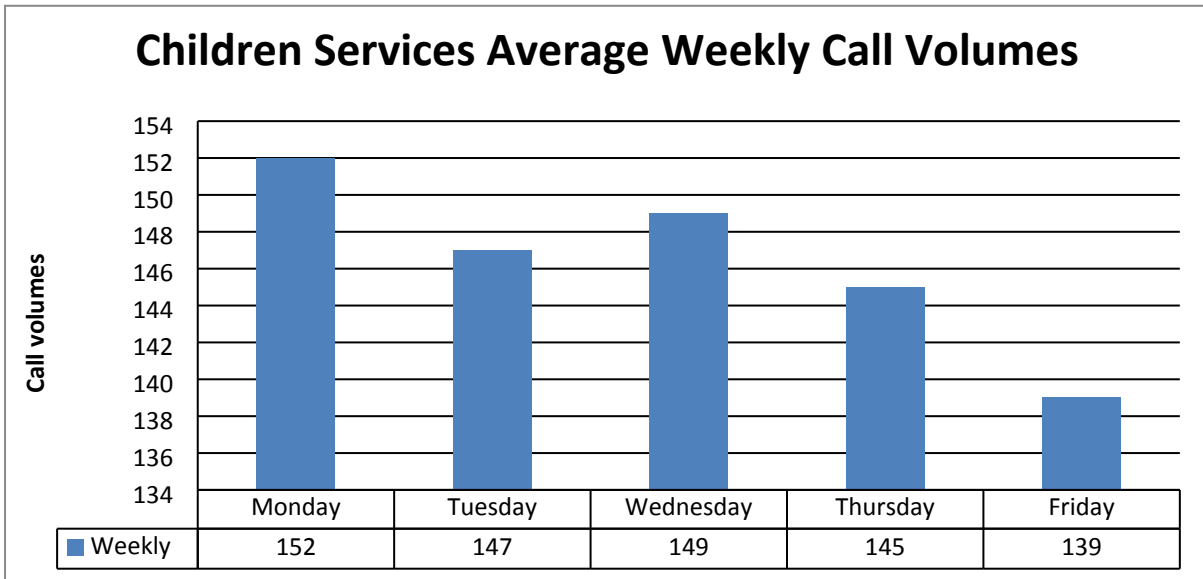
**The Care & Wellbeing Hub**

Whilst the Adult Care and Children's Service sit within the same Hub within the CSC we have traditionally forecast and scheduled the calls to be answered independently due to Children Service request for the service to remain a separate entity. On the 18<sup>th</sup> April 2017 permission was granted by the Council for advisors outside of the Children's Team to be trained to take Children's services safeguarding calls however whilst this remains a viable option that we would like to proceed with, we have been unable to progress this so far due to the resource restrictions across the centre and the impact on the Children's service due to training being provided by Children's advisors, resulting in off line time.

When reviewing the Adult Care call profile it can be summarised that the calls do not peak but remain high during both AM and PM with a respite during the lunch time period. Friday does however peak during the morning with call volumes reducing during the afternoon.



The opposite peak call trend can be seen in the Children's contacts, with peak volumes arriving on the afternoon following the lunch time period.



Understanding the expected contact volumes is only part of the information required to ensure an accurate forecast. We also consider the average call handling time for each service line into the CSC in addition to email volumes, callback volumes and other off line activities, including any additional external activities that may impact contact receipts.

#### How do we forecast call volumes and schedule advisors?

The CSC forecasts its expected call volumes based on historical contact activity, breaking receipts down into 15 minute intervals. The workforce management system is programmed to use the available resource in the most efficient way to ensure all planned activities are completed, this includes but is not limited to answering inbound calls, breaks, training and off line work activities, related to the services delivered, for example, handling email contacts, whilst meeting the deliverables inputted.



## 4. How has the CSC leveraged the available capability of the contact centre telephony system?

The CSC is continually exploring options to maximise the facilities available using the current Avaya Contact Centre telephony platform.

### Email handling

The CSC is measured through KPI 05, and related Performance Indicators (PIs) to ensure the customer receives a timely response to their email contact. Due to the need to measure the response time and ensure the volume of emails are handled by an advisor with the correct skills we use the Avaya telephony platform to deliver the emails to advisors when that Advisor becomes available, thus increasing the advisors occupancy and provides reliable performance data.

### Telephony messaging

The telephony system does have the capability to inform the customer where they are in the queue, however this has not been utilised as it does not provide any context to the customer in relation to expected wait time at other times of the day and therefore has the potential to raise the callers expectations if the fundamental reason for the delay in answering their call is outside of the CSC's control. Customer behaviour already shows us that a customer can make numerous attempts to contact the CSC if they feel that their wait time is unacceptable, which directly affects the % of calls abandoned, which the CSC is keen to avoid.

The telephony messaging strategy adopted by the CSC aims to compliment the KPIs set out within the contract and are as follows:

- Offer the customer the option to request a callback, ending their wait time and reducing the volume of calls abandoned.
- Inform the customer of alternative options for contacting the service they are calling, for example the Highways message informs the customer that the portal is available, promoting channel shift
- Advise the customer of any call requirements, for example the necessity of a debit/credit card for Speed Awareness course bookings, reducing avoidable contact and increasing first contact resolution.

### Callbacks

Through leveraging the technology available in the current contact centre telephony system the CSC has deployed a customer initiated callback facility that is offered to any customer waiting in the queue with the offer being repeated approximately every 90 seconds. The customer is given the option to enter their telephone number into their handset on the understanding that they will receive a callback from a trained advisor once they are available.



The feedback from our customers is very positive in relation to this service and provides a benefit to the CSC by flattening the demand on the service and increasing the occupancy of the advisors, as they are delivered the callback through the Avaya Agent desktop application when they are available due to no inbound calls waiting in the queue to be answered. Callbacks are given a lower answering priority to ensure that the contact is not presented to the advisor above an inbound call. In September 9.7% of answered contacts were callbacks

## **Interactive Voice Response (IVR)**

The CSC's use of interactive voice response telephony menu system across different services within the CSC enables identification, segmentation and routing of callers to the most appropriate agent within the service, and whilst is simple in its application it has proved a successful method. The example below shows how the CSC has used this facility, the outcomes are that we are able to provide a higher priority route in for urgent contacts and direct routing to area offices for those callers who do not need to come through the CSC, reducing costs and increasing advisor availability.

On calling the Adult Care number the customer is given 3 options through the Interactive Voice Response, messaging and has the ability to select the option that best suits their needs:

- Adult Care – general enquiries
- Adult Care Option 1 – for those callers that have an open case or social worker
- Adult Social care Option 2 Urgent

The messaging is as follows:

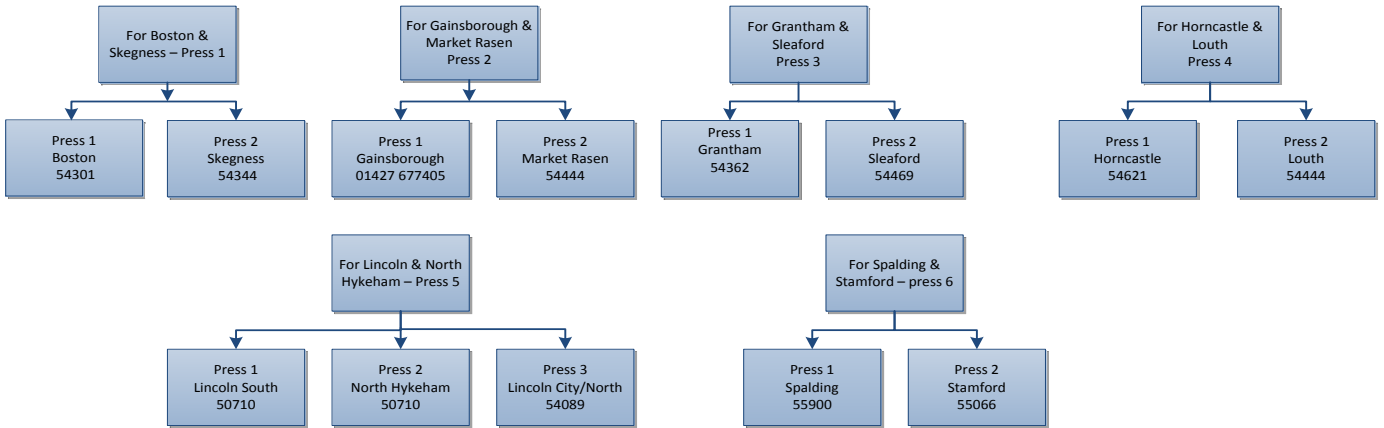
"Thank you for calling Lincolnshire County Councils Adult Care Team. If you wish to speak with one of our advisors please be aware that your call may be recorded for training and quality assurance purposes. All of your information will be safeguarded by the data protection act and may be shared with other social care or healthcare professionals.

If you are calling in relation to an adult who has had recent and ongoing contact with a social worker please press 1.

If you are calling in relation to an adult who has had recent contact and you know the area office where they are based please press 1."



In order for you to be transferred to the Area your worker is based please listen to the following options:



to hear these options again press 0  
to return to the main menu press 8

If your call is urgent and by urgent we mean it needs to be actioned today press 2

For all other queries press 3.

### 5. Abandon call performance

#### Abandon call performance impact on Customer Experience

The tolerance relating to how long a customer is willing to wait in the call queue will vary from service to service and it has been identified through the Customer Experience surveys that this does not determine the customer's experience of interacting with the CSC as greatly as one may perceive it to; the data tells us that the customer can still be extremely satisfied with the service they receive in spite of a lengthy wait time if the quality of the service they receive once answered is good. However this does not account for those customers who do abandon their call before it is answered. The Customer Experience performance can be seen in section 2, KPI 07 and has exceeded 97% for the last 3 months.





### Abandon call performance impact on call wait times

On average for every 7 seconds a customer has to wait, the CSCs abandoned rate will rise by 1%. This relationship is quite consistent. The quantity of abandoned calls will fluctuate based on the demand the service is experiencing, however the Target Service Level for KPI 04 is that no more than 7% of calls are abandoned across the CSC, in any given month.

The information below takes the average weekly call volumes detailed in section 3 and shows how many calls would be abandoned for different abandoned rate percentages. It also provides a useful indication of potential wait times.

	Abandon call performance	Actual abandon calls			Average wait time
		Corporate Hub	Adult Care	Children's Service	
Target Service Level	7%	438	85	51	00:00:47
Minimum Service Level	10%	625	121	73	00:01:06
	12%	750	145	87	00:01:33
	16%	1001	194	117	00:01:52
	20%	1251	243	146	00:02:18

The abandoned rate for August was 12.01% which means that on average a caller would likely wait a minute and 33 seconds to get through. There would of course be many occasions throughout the day when there was no queue and most calls in the CSC are answered within 30 seconds.

### 6. First Contact Resolution & Avoidable Contact reporting

These 2 KPIs measure how well the CSC has performed within its remit; the definitions used are detailed below.

#### First Contact Resolution (CSC\_KPI\_06)

The percentage of calls where the customer's needs are properly addressed the first time they call, thereby eliminating the need for the customer to follow up with a second call.

#### Avoidable Contact (CSC\_KPI\_03)

Any contact from a customer:

1. About the same issue (unless providing new/additional info not available at time of initial call); OR
2. Resulting from inaccurate or poor information from THE CUSTOMER SERVICE CENTRE is avoidable.



**How do we measure these KPIs?**

The CSC is required to provide this data for a minimum of 30% of the total calls answered by the CSC on a monthly basis, with no less than 20% for each service area. There is an agreement that the data will be collated throughout the month, ideally on a daily basis unless there are exceptional circumstances resulting in a forecasted impact on service provision. This quantity was agreed by the Council as a good balance between giving statistically viable information (at least 95% confidence level which is the industry best practice target) whilst not creating excessive burden on the CSC.

**The Corporate Hub**

The case management system, Lagan is used in the Corporate Hub to capture the information required. If the call results in the advisor creating a case within Lagan, due to the need to send the information to the back office for further action, the system will automate the First Contact Resolution outcome, based on a pre-determined list of categories. At the end of the Lagan contact the advisor will be prompted to input whether the case was an avoidable contact before closing the case.

For those calls that do not result in a Lagan case being created, as only advice and guidance is required, the advisor is instructed to open a call logging form within Lagan to input the First Contact Resolution and Avoidable Contact outcome.

Both of these forms are reported on through Lagan to calculate the performance against both KPIs, providing the volume of calls logged against each service. The CSC has committed to carrying out this activity on a daily basis and the reporting allows for this to be audited as required.

**The Care & Wellbeing Hub**

Due to Lagan and Mosaic not being integrated the information is captured using a Firmstep eform, accessed through GEORGE. The advisor is instructed to open a call logging form following the completion of their call to input the First Contact Resolution and Avoidable Contact outcome.

**First Contact Resolution (FCR)**

<b>Metric</b>	<b>Description</b>
A	Calls Resolved at the first point of contact with the Service Provider in month
B	Total Calls answered by the Service Provider in month



Formula of the measure:

$$(A / B) * 100$$

### Avoidable Contact (AC)

Metric	Description
A	Avoidable Calls received by the Service Provider in month by a CSC omission
B	Total Calls answered by the Service Provider in month

Formula of the measure:

$$(A / B) *$$

Both KPIs are measured using the same method however the systems used to capture the information is dependent on the service and is summarised below.



## 7. Future activities

The CSC has continued in earnest to improve its performance across all KPIs, the activities below are in track and have delivered the improvements seen to date however there is an acknowledgement that there is further work to do. The CSC is being supported by Serco service area specialist colleagues outside of the Lincolnshire contract and will continue to leverage all the benefits available to them through being a member of the Serco contact centre community.

### **Absence Management**

The CSC has experienced an unprecedented increase in the level of unplanned absence across the advisors working within both the Corporate and Care & Wellbeing Hubs. This has a detrimental impact on our ability to provide the commissioned service to the levels expected. Based on history we do predict a level of absence in our forecasts; however the recent absence levels far exceeded this.

To improve this area we have looked to our colleagues in Bolton, who have a proven record of managing their unplanned absence levels effectively. We have been supported on site by 2 full time Team Performance Managers that have been solely looking to support colleagues back to work or to provide the assistance they require to speed their recovery. In addition to our shared HR services visiting site weekly during May to support Team Leaders with complex cases. During this process skill gaps have been identified and training was delivered on the 28<sup>th</sup> September.

### **Resource review**

The CSC has conducted an internal review of its forecasting model and reviewed assumptions impacting its outcome. A further review of the CSC's forecasting model and outcomes is in progress with our colleagues in our Liverpool contact centre. An interim outcome, to ensure the accuracy of the forecast, has been to deploy software that allows us to accurately account for the time taken when completing offline activities.

This work will feed into the review of the Care & Wellbeing model to ensure that all activities required are accounted for accurately.

### **Recruitment**

Working in collaboration with the Council we have been able to advertise our latest advisor vacancies in the LCC jobs page, Facebook and Twitter feeds, resulting in a 62% increase in the number of application received. We have continued to refine our recruitment process and benchmarked our advertisement to ensure it is competitive in the marketplace.

We are continually reviewing our resource requirements, including our forecasted attrition, to ensure that the right numbers of trained advisors are available to meet the service demands. We are expecting our newly appointed advisors to start during November 2017.



## **Team Leader & Duty Manager Role review**

A review of the existing Team Leader role commenced in May of this year and it was quickly identified that the number of advisors within each team was hindering the effectiveness of the management the Team Leaders were able to deliver; including absence management, coaching, performance management and general levels of engagement.

In response to this we are going live with an increased number of Team Leaders in October in addition to the implementation of a new Duty Manager, who will have the responsibility to ensure changes in demand are reacted to in real time along with greater adherence management; ensuring that advisors are adhering to their scheduled work activities, for example, an advisor is scheduled to handle email contacts due to the forecasted call volumes being low however the service experiences a peak in inbound call traffic, the Duty Manager would identify the change in demand and make the required changes to the schedules to accommodate.

## **Management Information (MI)**

A review of the existing Management Information has taken place and we have adopted the Serco contact centre Management Information pack. This Management Information pack will enable us to provide effective intelligence to our Team Leaders at a team, service and advisor level with the objective to ensure all advisors are performing at an acceptable level.

Alongside this we are in the process of introducing deliverable for each role to create responsibility at each level with the CSC structure.

## **Care & Wellbeing Model**

Work has started and has been shared with the Adults service leads regarding the future delivery of the Care Wellbeing service from within the CSC, excluding Children services. As the next stage is resource heavy we are drafting in support from our Serco contact centre colleagues in Liverpool to understand the 'As Is' process; this in conjunction with the offline activity resource requirements being collated currently will give us a greater understanding of the best way to deliver this service in the future. It is our intention to continue the discussions with the Council service leads and deliver a model in collaboration that meets our contractual requirements.



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## 4. Conclusion

In conclusion the CSC is in a period of change all aimed to improve the performance to ensure the contractual KPIs are delivered and that services are delivered to the satisfaction of the service leads, all with the Customer Experience at the heart of everything we do.

Due to the complexities of the services we deliver there are no quick fixes. There is a strong link between the available advisor resource and our overall performance. We have identified opportunities to improve our position in these areas and activities are well underway to facilitate the improvements required, specifically in relation to our renewed approach to absence management, recruitment and performance management and therefore it is expected that the service will continue to improve.

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

Report to:	<b>Overview and Scrutiny Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>ESPO Trading Company Limited</b>

**Summary:**

This report invites the Overview and Scrutiny Management Board to consider a report on the ESPO Trading Company Limited which is being presented to the Executive on 7 November 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 ESPO Trading Company Limited at its meeting on 7 November 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**

N/A

### 4. Appendices

These are listed below and attached at the back of the report	
Appendix 1	Report on ESPO Trading Company Limited to be presented to the Executive at its meeting on 7 November 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 David Coleman, Chief Legal Officer, who can be contacted on 01522 552134 or [david.coleman@lincolnshire.gov.uk](mailto:david.coleman@lincolnshire.gov.uk).



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

Report to:	<b>Executive</b>
Date:	<b>07 November 2017</b>
Subject:	<b>ESPO Trading Company Limited</b>
Decision Reference:	
Key decision?	<b>Yes</b>

**Summary:**

This Report seeks Executive approval to the involvement of Lincolnshire County Council in the establishment, alongside its ESPO partner authorities, of a trading company to enable ESPO to expand the customer base to which it provides services beyond public bodies.

**Recommendation(s):**

That the Executive

- 1 Note the recommendation of the ESPO Management Committee, having reviewed the detailed business case and other documents, to establish a trading company;
- 2 Approve the establishment and the taking up of County Council membership of a new trading company, 'ESPO Trading Limited' on the basis outlined in this report;
- 3 Note that the Board of Directors of the trading company will include five officers, acting as Executive Directors made up as follows:
  - (i) Three officers from ESPO being the following office holders:
    - Director of ESPO
    - Deputy Director and Chief Commercial Officer
    - Assistant Director of Finance and IT
  - (ii) The Director of Corporate Resources (Leicestershire County Council) or his nominee;
  - (iii) An officer nominated by the other Shareholders (member authorities of ESPO);
- 4 Approve the granting by the Council of an indemnity within the scope

permitted by the Local Authorities (Indemnities for Members and Officers) Order 2004 to any County Council officers discharging the role of Executive Director of the Company;

- 5 Note that the Shareholders (member authorities) may nominate up to two Non-Executive Directors to serve on the Board of the Company;
- 6 Note that each of the six member authorities will be equal shareholders in the new Company and approve the appointment of Councillor Richard Butroid as the County Council's shareholder representative on the new company;
- 7 Note that the shareholder representatives (Elected Members) will be responsible for taking strategic decisions and agreeing the Annual Business Plan for the Company.
- 8 Delegate to the Executive Director for Finance and Public Protection in consultation with the Leader of the Council authority to agree the terms of and sign the necessary documentation to give effect to this decision and to agree the nomination of an officer from the ESPO member authorities to be an Executive Director of the company.

#### **Alternatives Considered:**

1. Not to establish a trading company

ESPO would remain restricted in the scope of its customer base to public bodies as defined in the Local Authorities (Goods and Services) Act 1970. Its ability to meet the target set in its Medium Terms Financial Strategy would be undermined.

#### **Reasons for Recommendation:**

ESPO is established as a joint committee set up in accordance with the Local Government Act 1972 and the Local Government Act 2000. Its servicing authority, Leicestershire County Council, is limited to trading under powers in section 1 of the Local Authorities (Goods and Services) Act 1970 with a limited number of organisations defined as public bodies under that Act.

Member authorities of ESPO have the opportunity to explore alternative markets that are not public bodies, by using the powers under:-

- i) Section 4 of the Localism Act 2011 and Section 95 of the Local Government Act 2003 to trade for profit, through the new separate company;
- ii) Section 3 of the Localism Act 2011 and Section 93 of the Local Government Act 2000 to make a charge through the existing joint

committee and servicing authority for goods and services to organisations other than those with which ESPO may trade by virtue of the Local Authority (Goods and Services) Act 1970.

By virtue of being able to trade with organisations in addition to public bodies, ESPO and the new Company will be able to secure ESPO's position in an increasingly competitive market and deliver the growth and profit targets set by the ESPO Management Committee in its Medium Term Financial Strategy.

## **1. Background**

### **Introduction**

1. ESPO is a public sector buying organisation operating as a Local Government Committee, jointly owned by six local authorities one of which is Lincolnshire County Council. As it is not a separate legal entity its functions are performed through Leicestershire County Council, which acts as the Servicing Authority to the joint committee.
2. Its main objective is the provision of a professional, comprehensive value for money purchasing, contracting and supplies service for its member authorities and other public bodies under the provisions of the Local Authority Goods and Services Act 1970. It does so by providing access to a catalogue containing nearly 27,000 product lines and over 150 framework solutions.
3. In financial terms ESPO not only has a statutory duty to recover its operating costs but also to keep these to a minimum commensurate with the level of service required and the long term development of the business. Any surpluses accrued are distributed to the member authorities in line with an agreed formula after a proportion of the profits have been set aside for a development reserve and as working capital. Last year ESPO generated a profit of nearly £4.2m of which £2.8m was distributed to the member authorities.
4. ESPO now trades successfully on a self-funded basis and is recognised as one of the leading public sector buying organisations in the country, supplying to a broad range of customers principally in the education sector. However, as its sole power to trade through its Servicing Authority is under the Local Authorities (Goods and Services) Act 1970 as a joint committee, ESPO is limited to being able to trade with organisations identified and listed under that Act. This list is updated from time to time but is strictly limited and does not include all contracting authorities that wish to buy ESPO's goods and services, such as central government departments. Whilst the Act and joint committee facilitated ESPO's creation of the organisation, it is also constrained by its constitution and structure and can trade only with other public bodies in the UK. This market is shrinking as local authority resources reduce and services are outsourced to private or voluntary sector organisations.

## **New Trading Company**

5. Restriction on trading has led ESPO's Management Committee to explore alternative markets: potential customers that are not public bodies. These fall into two groups:-
  - (a) customers that are not contracting authorities, such as charities and others in the voluntary sector, using alternative powers to trade through a separate company; and
  - (b) charging those that are contracting authorities but not public bodies, such as central government departments, on a cost recovery basis, using alternative powers to charge that do not require the use of a company.
6. The charging model for 5(b) above enables ESPO to continue to serve its existing customers from the wider public sector on a non-commercial basis. It is not intended as a means for actively pursuing commercial growth, rather to enable those customers to continue using ESPO as a public sector supplier. Charging will be based on the guidance laid down by the Chartered Institute for Finance and Accountancy (CIPFA).
7. In 2015/16 the ESPO Management Committee set a target to achieve a surplus of £6m by 2020/21. Whilst most of this (£4million) will be achieved by growth rate based on ESPO's existing core business, new projects and initiatives will be needed to deliver the target surplus. These include:-
  - Creation of a Private Trading Arm
  - Automation in Warehouse (in progress)
  - Personalised Procurement Service (PPS) (marketing activity)
  - International Sourcing (business as usual buying activity)
  - Mergers and Acquisitions (reviewed as opportunities arise).
8. The creation of ESPO Trading Ltd. is one of the key projects intended to drive future growth. Through it, ESPO intends to exploit the opportunity to trade in current products and services, through its existing infrastructure, but to new markets and customers. It will also allow ESPO to trade with confidence with organisations with a public sector ethos, but which are not designated as 'Public Bodies' under the Local Authority (Goods and Services) Act 1970.

## **Structure, Management and Staffing of the new company**

9. The Company will be a separate legal person, distinct from the local authorities that comprise ESPO's joint committee. The Company's operations, whilst related to those of ESPO, will not be governed by the Consortium Agreement. Instead, the Companies Act 2006 and the Company's Articles of Association will regulate in part the relationship between the local authorities who are or subscribe to become shareholders

in the Company. Overlaying these, a shareholders' agreement will complete the relationship between the shareholders.

10. The activities of the Company will be restricted to those agreed in a business plan that the shareholders will review and update when they determine.
11. Each shareholder will subscribe for an equal number of shares in the Company. Any prospective shareholder in the Company must join ESPO's joint committee, if not already a member, and agree to become bound by the shareholder agreement and the Consortium Agreement.
12. Control of the Company will be split between the shareholders and a Board of Directors. The Board of Directors will be responsible for the day-to-day management of the Company. It will comprise of up to five officers employed by the shareholders, three representing ESPO, one nominated by Leicestershire County Council and one nominated by the remaining shareholders. Each category of director must be present for the Board to be quorate.
13. In addition, shareholders will appoint two Non-Executive Directors to the Board and may appoint observers to attend Board meetings. Observers appointed will not have the right to speak or vote at Board meetings.
14. Shareholders will take strategic decisions in general meetings of the Company, where an elected member will represent each shareholder. This provides the option for shareholders to arrange for member participation in general meetings to coordinate with the separate management of ESPO through its Management Committee. These strategic decisions will concern matters reserved to shareholders and set out as such in the shareholders' agreement. This includes approval of the Business Plan.
15. The shareholders agreement also describes: how the directors of the Company will determine the distribution of the Company's profits as dividends to shareholders; the financial information to be provided to shareholders; the limitations on shareholders' ability to transfer shares to others and the potential for shareholders to be required to transfer shares if they cease to be members of ESPO's joint committee or act in breach of the shareholders' agreement; the mechanism for settling any dispute; and arrangements, should the Company be wound up.
16. The primary objective of the new Company is to legally trade outside of ESPO's current boundaries. It is not envisaged as an employment vehicle. It is intended that current ESPO employees will continue to be employed by Leicestershire County Council as the Servicing Authority. If additional staffing and resources are required to fulfil operational and governance requirements of the new company, a tax efficient transfer-pricing model will be adopted, under which a recharge will be made between the new Company and ESPO.

17. Leicestershire County Council (on behalf of ESPO) and ESPO Trading Ltd. will need to enter a management agreement under which the Council provides all the services and goods to the Company. ESPO Trading Ltd will, at least in the short term, simply be a shell company with no employees or assets as a necessary requirement of statute in order to act for a commercial purpose.

### **Business Case**

18. ESPO is an established, well known and reputable brand in its current markets of education, local government and the wider public sector.
19. ESPO provides a catalogue offer for goods. It also provides procurement services, primarily in the form of access to a range of frameworks (agreements with providers or a range of providers, enabling buyers to order services without running full tendering exercises). Frameworks enable customers to access goods and services by contracting directly with the supplier.
20. The education market accounts for the majority of ESPO's catalogue business. This market has been declining in recent years, reflecting real-term reductions in funding per pupil. According to the Institute for Fiscal Studies, this market is forecast to decline by 8% over the next five years.
21. ESPO's Medium Term Financial Strategy has financial growth expectations for which it has set a target to increase its market share. ESPO intends to obtain these new sales by accessing new customer markets through ESPO Trading Ltd.
22. ESPO Trading Ltd will prioritise the marketing of existing products where there is already a high level of internal experience. The impact on the organisation will therefore be limited with ESPO already well positioned to form a foundation on which ESPO Trading Ltd can be established and developed relatively easily.
23. Utilising the current products, staffing, and overall infrastructure will enable ESPO to enter the new and extended markets by simply extending its existing offer to new customers. Rather than being a new supplier in the market, ESPO Trading Ltd will simply be a new way of trading, and as such will not be subject to the barriers to entry most new company's face.
24. ESPO's competitors now trade with both private and public sector customers. They have already set out that public sector education providers can trade with private customers, so the work has been done to establish this as a viable proposition to the customers targeted. In addition, the attractive price point by which ESPO is known will also remain, making the sales pitches less difficult and will make converting new customers more achievable.

25. With the majority of ESPO's current catalogue sales in education, it has a good range of products to offer to the private, charitable and voluntary sectors. ESPO Trading Ltd also provides opportunities to expand the business, offering familiar products to organisations that fall outside the scope of public bodies and contracting authorities.
26. ESPO has examined its current trading trends and markets as well as those that will be most suited to ESPO Trading Ltd and, through a process of filtration and funnelling, has prioritised its target customer groups.
27. The commercial opportunities or target markets identified for the new Company are broadly: education sector collaboration, independent sector diversification, residential care, charities and volunteering groups, as well as potential for international education sector trade and the wider offering of framework solutions to private sector users. All of these draw on the existing infrastructure and skillsets within ESPO while addressing the legal limitations to trade within the current constitution.
28. ESPO's strong brand has performed well in the UK education market and is recognised in the wider public sector for its extensive framework solutions and individual contracts. The branding will feature in all marketing strategies in new growth areas.

**Summary of Sales Growth potential in years 1 and 2**

29. The consolidated commercial opportunities for growth outlined above equate to a combined indicative turnover of £1m to £1.4m. This is based on a cautious approach to the selected markets:

	£m	
	Year 1	Year 2
Education via collaboration		
Region A	0.104	0.156
Region B	0.175	0.260
Region C	0.300	0.450
Education via diversification	0.140	0.210
Care, Charity and local private sector	0.281	0.350
	<b>1.000</b>	<b>1.426</b>

30. Through the 'Charging' aspect of this proposal, catalogue sales and rebate income on frameworks will also be protected. Those customer types that are not included within the Local Government Goods and Services Act 1970 list of public bodies, but which nevertheless appear to be public bodies,

could be transferred from ESPO to ESPO Trading Ltd or continue to be served under a 'Charging' mechanism.

### **Finance**

31. The proposed share capital of ESPO Trading Ltd is 600 shares of £1 each held equally by each of the six member authorities. Working capital for ESPO Trading Ltd will come from ESPO's existing reserves through a mechanism which will reflect commercial rates.
32. ESPO Trading Ltd will operate within the assets of ESPO and therefore under the same IT systems and processes as ESPO.

### **Governance – Practical Considerations**

33. As stated earlier, ESPO Trading Ltd will not require a Servicing Authority. Instead, it will be governed by the Companies Act 2006, its Articles of Association, its shareholders' agreement, decisions of the shareholders in general meetings and by written resolution, and decisions of its Board of Directors.
34. As member authorities are also shareholders, each will have similar influence over ESPO Trading Ltd as they currently do over ESPO. It is therefore expected that these two entities will work under parallel but complementary systems ensuring good governance control.
35. The practicalities of running ESPO Trading Ltd are such that it would make sense for its governance arrangements to follow the meeting cycle and governance of the existing ESPO Management Committee and that matters relating to the new Company should be a separate item on the agenda for those meetings.

### **Risk Assessment**

36. If there is a failure of management to ensure proper governance such as being non-compliant with legislation (e.g. Health and Safety, Data Protection, Employment, Freedom of Information), this would result in fines and possibly legal action. This could make it difficult to obtain insurance cover or could increase premiums. The risk of this is, however, mitigated by the oversight provided by the Internal Audit of Governance arrangements, preparation of the Annual Governance Statement and the regular liaison meetings with the Servicing Authority.
37. There is also the possibility that existing customers loyal to ESPO for its public sector ethos may perceive the creation of a private trading company as tarnishing its public sector credentials leading to loss of business. This will be managed by appropriate marketing within both ESPO and ESPO Trading Ltd to ensure that customers understand that ESPO's commitment to the public sector is still at its core.



38. If ESPO Trading Ltd fails to achieve its business plan, then there is the possibility that ESPO would be unable to pay dividends to its members in line with the MTFs and unable to pay its suppliers. In addition, substantial interest charges could be incurred on borrowings and aggressive credit control practices would be required to maintain cash-flow.
39. This risk will be mitigated by balancing planned annual incomes and expenditure to ensure ESPO continues to generate trading surpluses and positive cash flows in line with its MTFs, maintaining robust customer credit control procedures and aged debtor reporting. Daily monitoring of Orders and Lines and weekly and monthly reporting of incomes and trading results against budget and target will also ensure that management have a detailed overview of the business and are able to course correct throughout the year as needed.
40. If ESPO Trading Ltd fails to achieve proper segregation from ESPO, this could result in inaccurate accounts, qualified audit reports, and an incorrect calculation of dividends. The risk of this happening will be minimised by employing Internal Audit investigations and Standard Operating Procedures designed to address segregation of duties.
41. There is also the risk of mergers in the market and emerging competitors coming from within existing key partners but as with ESPO itself, management will continue to undertake market monitoring and benchmarking.
42. While there are a range of risks as set out above, the Management Committee was satisfied that the proposed method of establishing ESPO Trading Ltd and its business model will ensure that risks are mitigated by control measures. Its risk profile will be within acceptable tolerances and will receive the same rigorous monitoring and audit as recommended by Leicestershire County Council's Internal Audit.

## **2. Legal Issues:**

43. Legal Advice has been obtained on the formation of the company from external specialist commercial solicitors who have worked closely with the in house legal teams of the ESPO member authorities including the County Council. This has enabled assurance to be obtained that the Council has the necessary powers to be involved in the company and that by establishing the company the ESPO member authorities including the County Council can lawfully trade as proposed in the Report. Assurance has also been obtained that the commercial arrangements can and will be appropriately structured so as to ensure that regulatory requirements will be complied with including State Aid and that constitutional and governance issues arising from the proposed company formation have been addressed.
44. As progress towards incorporation of the trading company is made, there will be a requirement for ongoing legal and regulatory advice. Thereafter,

once incorporation has taken place, the Company will require its own separate and independent legal advice.

45. The legal rationale for the trading company and the statutory limitations on trading as a joint committee are as set out in the report.

### Equality Act 2010

- 46 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.

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

- 48 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

- 49 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

- 50 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

- 51 Compliance with the duties in section 149 may involve treating some persons more favourably than others

- 52 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 Equality Act duties have been taken into account but there are not considered to be any implications arising out of this Report which deals with the governance structures under which ESPO services are provided. The Council will retain influence as a shareholder in the company to ensure that the company acts in ways that are consistent with the Council's Equality Act duties.

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

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

The JSNA and JHWS have been considered but there is no direct impact from the subject matter of this Report

### Crime and Disorder

- 54 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

Crime and disorder implications have been considered but there is no direct impact from the subject matter of this Report

## **3. Conclusion**

- 55 There is an underlying trend of volume decline in the core education marketplace and while ESPO continues to hold and even grow its market share, ESPO's Management Committee has agreed that continued growth will need to be underpinned by the development of new projects and initiatives. ESPO Trading Ltd is a cornerstone to ward off decline and to contribute towards ESPO's projected surplus growth being delivered to its members.
- 56 The member authorities' legal officers have scrutinised the legal basis for charging within ESPO and have been working with Browne Jacobson, independent legal advisors, to shape the shareholder agreement, articles of association and deed of variation required to establish a company, having due regard for the ESPO Management Committee Consortium Agreement and Constitution.
- 57 Having presented this groundwork to the Management Committee on 20 September 2017, they agreed to support the creation of ESPO Trading Ltd on

the basis as set out above, pending the necessary approvals by the six member authorities.

- 58 Once established, ESPO Trading Ltd will complement the existing operation and facilitate commercial opportunities which are currently not accessible via the existing consortium arrangement.

#### **4. Legal Comments:**

The Council has the power to enter into the formation and membership of the company as proposed. Detailed legal considerations are dealt with in the body of the Report.

The Local Authorities (Indemnities for Members and Officers) Order 2004 empowers the Council to grant an indemnity to officers against personal liability they may incur in exercising functions at the request or with the approval of the Council subject to certain limitations. This includes liabilities that may be incurred as the Director of a separate company of which they are a Director as a result of being appointed by the Council.

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 material direct financial implications from acceptance of the recommendations in this report. The establishment of a trading company will increase the likelihood that ESPO can achieve the trading surplus agreed by its Management Committee in 2015/16. A share of that surplus will accrue to the County Council and be applied, as part of the budget process, towards meeting the future general funding needs of this authority.

#### **6. Consultation**

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

N/A

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

Yes

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

The decision will be considered by the Overview and Scrutiny Management Board at its meeting on 26 October 2017 and the comments of the Committee will be reported to the Executive.

**d) Have Risks and Impact Analysis been carried out?**

Yes

**e) Risks and Impact Analysis**

See the body of the Report

**7. Background Papers**

No Background Papers were used in the preparation of this Report.

This report was written by David Coleman, Chief Legal Officer, who can be contacted on 01522 552134 or [david.coleman@lincolnshire.gov.uk](mailto:david.coleman@lincolnshire.gov.uk).

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

Report to:	<b>Overview and Scrutiny Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>Review of Financial Risk Assessment</b>

**Summary:**

The Council last reviewed its financial risks in November 2016. This report updates that review. It considers the outcomes from the financial risk assessment for 2016/17 and updates the risk assessment to help determine an appropriate target level for the Council's general reserves for 2018/19.

**Actions Required:**

The Board is asked to consider the risk assessment and any implications for the Council's general reserves and pass comments onto the Executive Councillor with responsibility for finance.

## **1. Background**

1.1 The Council's Financial Risk Register is appended to this report (**Appendix A**). It itemises each of the risks which could have a direct financial consequence for the Council. It also quantifies these risks in terms of potential financial cost to the Council. The intention is to help understanding of the potential issues and their scale. Members will appreciate that there remains a substantial element of judgement in assessing these risks.

1.2 The net total of the risks is some £15.210m. This can be interpreted as the total cost to the Council if all the items listed occurred in 2018/19. Ideally the Council should maintain its general reserve at a sum at least equivalent to the net total risk (i.e. £15.210m).

1.3 The net total of identified risks has increased from the previous assessment in November 2016 (net total risks were £12.265m). This is due to a reduction in the value of provisions against financial risk available in 2018/19. This includes a reduction in the estimated amount available in the Financial Volatility Reserve to address emerging issues and the proposal to budget for income from budget rates pooling.

1.4 The requirement of the Council's Financial Strategy in relation to general reserves is based on its financial risk assessment. The current requirement is that

the Council will maintain its general reserves within a range of 2.5% to 3.5% of its annual budget requirement. For information, the Council's general reserves at 31 March 2017 stood at £15.300m equivalent to 3.5% of its budget requirement at this date.

1.5 Maintaining the current 2.5% to 3.5% policy would require general reserves to be within the range of £11.200m to £15.700m for 2018/19.

1.6 This exercise implies a need for a general reserve of £15.210m from the updated assessment and is equivalent to 3.40% of the budget requirement. This is within the current range of the Council's financial strategy. It is therefore proposed that the general reserve balance should be maintained at the top end of the existing financial strategy range (e.g. at 3.5% of the budget requirement or £15.700m). Close monitoring of the risks during the financial year will be undertaken and remedial action taken if risks begin to materialise.

1.7 For additional information **Appendix B** to this report sets out the financial risk register for 2016/17 and comments on the actual outcomes for each of the risks in last year's financial risk assessment.

## 2. Conclusion

2.1 The Board is asked to consider the updated Financial Risk Register and other relevant factors with a view to making recommendations on the target level of general reserves to the Executive Councillor with responsibility for finance.

## 3. Consultation

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

No

### b) Risks and Impact Analysis

N/A

## 4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Financial Risk Register 2018/19
Appendix B	Financial Risk Register for 2016/17 Outcomes

## 5. Background Papers

Document title	Where the document can be viewed
The Council's Financial Strategy - 17 February 2017	Executive Director of Finance and Public Protection

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



## APPENDIX A - Financial Risk Register 2018/19

Ref. No.	Risk	Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	
				Impact - Annual Cost £m	Likelihood		
<b>Inflation</b>							
1	Pay	Pay awards are 1.0% higher than assumed in the budget.	leading to increased costs	There is a 1.0% provision in 2018/19 budgets for pay awards with the exception of Fire Fighters where there is a 3% provision. The Council has also made a budget provision for the National Pay Spine negotiations.	1.8	2	0.630
2	Price Increases	Inflation for general price increases is 1.0% more than allowed in budget.	leading to increased costs	There is a 0.0% provision in 2018/19 budgets for price increases.	3.6	3	2.700
3	Income	Increase is 1.0% less than provided for in budget.	leading to reduced income	There is a 0.0% provision in 2018/19 for income increases.	1.0	2	0.350
4	Interest rates	Longer term interest rates are 1.0% higher than assumed in the budget.	leading to increased costs on long term borrowing	The budget assumes longer term rates at 4.0% for 2018/19.	0.8	1	0.080
<b>Other Budget Assumptions</b>							
5	Demand-led Services	Demand for social care, waste disposal, home to school transport, property repairs and maintenance, highways winter maintenance, fire and rescue, coroners increase in total cost terms by (say) £10m more than budget.	leading to increased costs	Budget prepared on latest projections but, for example, a bad winter could lead to significant additional winter road maintenance or social care.	10.0	2	3.500
6	Estimated savings	Target savings not achieved fully in 2018/19.	leading to increased costs	Achieving fully the high level of savings required within the year will be very challenging. The Council's 2018/19 budget includes an estimated savings target of £30.8m. Monthly budget monitoring arrangements should highlight any potential budget pressures to allow corrective actions to be taken.	30.8	2	10.795
7	Income budgets	Income from charges is 10% less than estimated.	leading to reduced income	Budgets are set on past experience and future expectations.	6.8	2	2.380

Ref. No.	Risk		Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m
					Impact - Annual Cost £m	Likelihood	
8	Costs of change	A provision has been made within the Council's budget for redundancy costs. The Council also plans to use £8m of Capital Receipts Flexibly to fund transformation in 2018/19. Other costs transformation are included within service budgets. Provision for service transformation is insufficient by say £2m.	leading to increased costs	The current budget savings required for the 2018/19 budget may lead to costs associated with redundancies and service transformation. If costs are in excess of the current budget the additional costs could be funded from the Council's Contingency Budget, Financial Volatility Reserve or from the use of Capital Receipts, which from 2016/17 can be used to fund the cost of service transformation.	2.0	3	1.500
9	Capital Programme	The programme exceeds by (say) £5m the funding available, leading to use of additional revenue funding.	leading to increased costs	It is normal for the Capital Programme to be underspent, not overspent. An overspend would be funded by taking additional borrowing.	5.0	1	0.500
<b>Financial Management Arrangements</b>							
10	Current financial management arrangements	Overspend of 2% in Budget Requirement.	leading to increased costs	There are clear, written financial management procedures, regular staff training, good financial systems including monitoring information, and regular reporting to budget-holders, directorate management teams and the Executive. There have not been substantial overspendings in recent years other than on demand led services, however, as savings targets increase overspending may be more likely to occur.	8.2	2	2.870
11	Schools Expenditure	Overspend of 1% in Schools budget expenditure.	leading to increased costs	Schools expenditure covered by Dedicated Schools Grant. The County Council could be required to provide financial support if there were a major problem.	4.8	1	0.480

Ref. No.	Risk	Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	
				Impact - Annual Cost £m	Likelihood		
<b>Potential Losses</b>							
12	General Claims against the Council	Claims total £5m more than provided for in budget.	leading to increased costs	Extent of loss is limited by insurance arrangements. There is also an Insurance Reserve, the balance of this stood at £4.487m at 31 March 2017.	5.0	2	1.750
13	Bad Debts	Write-off of debts of 1%	leading to reduced income	The Council has an excellent record of income collection with a very low level of debt write-offs.	0.9	1	0.090
14	Treasury management	Default on loans from the Council	Reduction in the Council's cash balances	Authorised lending list restricted to lowest risk institutions with individual limits. The Council's lending policy is low risk.	25.0	1	2.500
15	Major emergencies or disasters	Such an event with a cost of (say) £5m	leading to increased costs	The government provides financial support under the Bellwin scheme for major emergencies or disasters. However, there is no automatic entitlement to financial assistance and where it is given it will not normally cover all the costs incurred.	5.0	1	0.500
							<b>30.625</b>

Ref. No.	Risk	Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m
				Impact - Annual Cost £m	Likelihood	
<b>Provisions Against Financial Risk</b>						
P1	Contingency Provision	The contingency provision may offset some of the increased costs noted above e.g. price increases above that allowed in budgets.	Budgets include a contingency provision of £3.0m p.a.	-3.0	4	-3.000
P2	Financial Volatility Reserve	At the end of 2011/12 the Council established a financial volatility reserve to help the Council deal with the future uncertainties around local government funding.	At the end of 2017/18 it is estimated that the balance in the reserve will stand at £43.339m it is currently estimated that we will use £18.464m from the reserve to balance the 2018/19 budget and £19.861m in 2019/20. This will leave £5.014m in the reserve. The £5.014m could be used to address any items arising in 2018/19, the £19.861m currently planned for use in 2019/20 could be utilised in 2018/19, but further savings would need to be identified in 2019/20.	-5.0	4	-5.000
				-19.9	2	-6.965
P3	Revenue Funding of Capital	Borrowing in place of revenue funding would allow approximately £0.6m, net of debt charges, to be made available for revenue spending.	This would require the Council to alter its policy on capital funding.	-0.6	3	-0.450
						<b>-15.415</b>
<b>Net Total</b>						<b>15.210</b>

**Key To Likelihood Scores:**

1	Very unlikely	10% of impact
2	Possible but unlikely	35%
3	Possible for example in view of current higher levels of risk	75%
4	Very probable or certain	100%

## APPENDIX B - Financial Risk Register 2016/17 - Outcomes

Ref. No.	Risk	Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	Comments	
				Impact - Annual Cost £m	Likelihood			
<b>Inflation</b>								
1	Pay	Pay awards are 1.0% higher than assumed in the budget.	leading to increased costs	There is a 1.0% provision in 2016/17 budgets for pay awards.	1.4	1	0.140	A pay award of 1% was made for 2016/17.
2	Price Increases	Inflation for general price increases is 1.0% more than allowed in budget.	leading to increased costs	There is a 0.0% provision in 2016/17 budgets for price increases.	3.9	3	2.925	Inflation for 2016/17 saw a rise of 2.9% (CPI), this was above the budgeted rate of 0%. This will have been managed by budget holders within individual budget areas.
3	Income	Increase is 1.0% less than provided for in budget.	leading to reduced income	There is a 0.0% provision in 2016/17 for income increases.	1.2	2	0.420	The Council's budget for 2016/17 included other income (from fees and charges) of £55.392m, actual income received was in excess of this budget at £69.407m.
4	Interest rates	Longer term interest rates are 1% higher than assumed in the budget.	leading to increased costs on long term borrowing	The budget assumes longer term rates at 5.0% for 2016/17	0.6	1	0.065	The actual cost of long term borrowing for 2016/17 was 4.068%, which was below the assumed rate of 5.0%. The cost of borrowing was less than anticipated.
<b>Other Budget Assumptions</b>								
5	Demand-led Services	Demand for social care, waste disposal, home to school transport, property repairs and maintenance, highways winter maintenance, fire and rescue, coroners increase in total cost terms by (say) £10m more than budget.	leading to increased costs	Budget prepared on latest projections but, for example, a bad winter could lead to significant additional winter road maintenance or social care.	10.0	2	3.500	The Council overall service budgets underspent by £7.006m.
6	Estimated savings	Target savings not achieved fully in 2015/16.	leading to increased costs	Achieving fully the high level of savings required within the year will be very challenging. The Council's 2016/17 budget includes an estimated savings target of £42.0m. Monthly budget monitoring arrangements should highlight any potential budget pressures to allow corrective actions to be taken.	42.0	2	14.700	Overall service budgets underspent in 2016/17 by £7.006m. In 2017/18 savings are being closely monitored to ensure these are delivered.

Ref. No.	Risk		Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	Comments
					Impact - Annual Cost £m	Likelihood		
7	Income budgets	Income from charges is 10% less than estimated.	leading to reduced income	Budgets are set on past experience and future expectations.	5.4	2	1.890	See point 3 above.
8	Localisation of Support for Council Tax Schemes	Local council tax support schemes were introduced by all council tax billing authorities (i.e. Districts Council's) from April 2013. It is at the discretion of the billing authorities to set the schemes. Funding received is 2% less than assumed in the budget.	leading to reduced income	Budget will be based on notification from District Council in January 2016.	4.8	1	0.480	Council Tax income received in 2016/17 was as budgeted for. In addition to this the seven Lincolnshire District Council's declared a total surplus on the Council Tax element of their collection funds in January 2017 of £3.156m. This was built into the Council's 2017/18 budget.
9	Local Government Funding - Business Rates Retention Scheme	The business rates retention scheme was launched from April 2013 as part of the changes to the local government funding regime. Under this new regime part of the business rates collected locally remain in Lincolnshire. The level of funding will reduce if a major business leaves the county. Funding received is 2% less than assumed in the budget.	leading to reduced income	Budget will be based on notification from District Council in January 2016.	0.4	1	0.040	Income from business rates was £1.2m higher than originally budgeted for. The majority of this has arisen from the pooling arrangement with six of the seven Lincolnshire District's (£1.1m). This income was not budgeted for due to the uncertainty around it's receipt. However the seven Lincolnshire District Council's declared a total deficit on the Business Rates element of their collection funds in January 2017 of £0.967m. This was built into the Council's 2017/18 budget.
10	Costs of change	A provision has been made within the Council's budget for redundancy costs. Other costs transformation are included within service budgets. Provision for redundancy costs and service transformation is insufficient by say £5m.	leading to increased costs	The current budget savings required for the 2016/17 budget may lead to costs associated with redundancies and service transformation. If costs are in excess of the current budget the additional costs could be funded from the Council's Contingency Budget, Financial Volatility Reserve or from the use of Capital Receipts, which from 2016/17 can be used to fund the cost of service transformation.	5.0	3	3.750	Funding set aside for Corporate and Service Redundancy in 2016/17 was underspent by £2.805m. In 2016/17 the majority of service savings have not been generated by restructuring and reducing staffing numbers. This change is reflected in a reduction in the Council redundancy budget in 2017/18 from £4.5m to £2.0m.

Ref. No.	Risk		Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	Comments
					Impact - Annual Cost £m	Likelihood		
11	Capital Programme	The programme exceeds by (say) £5m the funding available, leading to use of additional revenue funding.	leading to increased costs	It is normal for the Capital Programme to be underspent, not overspent. An overspend would be funded by taking additional borrowing.	5.0	1	0.500	The net capital programme for 2016/17 was reduced by £28.441m during the year due to rephasing into future years. At year end the revised capital programme was underspent by £37.990m.
12	Capital Receipts	Capital Receipts are less than target by (say) £1m.	revenue funds needed to fund capital programme	Targets for 2016/17 reflect estimated receipts. A shortfall in capital receipts in any particular year can be replaced by borrowing.	1.0	2	0.350	For the 3 year period 2016/17 to 2018/19 the Flexible Use of Capital Receipts Strategy is in place. Capital Receipts for 2016/17 were £0.9m less than budgeted for, the £3.601m was fully utilised in the financial year to fund revenue transformation projects. None of the capital receipts were applied to fund the capital programme.
<b>Financial Management Arrangements</b>								
13	Current financial management arrangements	Overspend of 2% in Budget Requirement.	leading to increased costs	There are clear, written financial management procedures, regular staff training, good financial systems including monitoring information, and regular reporting to budget-holders, directorate management teams and the Executive. There have not been substantial overspendings in recent years other than on demand led services, however, as savings targets increase overspending may be more likely to occur.	8.5	3	6.375	Overall service revenue spending, excluding schools, was underspent by £7.006m or 1.7%.
14	Schools Expenditure	Overspend of 1% in Schools budget expenditure.	leading to increased costs	Schools expenditure covered by Dedicated Schools Grant. The County Council could be required to provide financial support if there	4.8	1	0.480	Schools budgets were underspent by £12.683m or 5.1% of the schools budget.
<b>Potential Losses</b>								
15	General Claims against the Council	Claims total £5m more than provided for in budget.	leading to increased costs	Extent of loss is limited by insurance arrangements. There is also an Insurance Reserve, the balance of this stood at £6.221m at 31 March 2015.	5.0	2	1.750	The Council's insurance budget shows a deficit of £0.408m. The insurance fund is designed to enable the Council to 'self-insure' its insurable risks over the long term. The operating deficit this year has arisen mainly due to the increase in claim payments during the year. The deficit will be covered by the Council's Insurance Reserve. The balance in the reserve before meeting these costs was £4.895m

Ref. No.	Risk		Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m
					Impact - Annual Cost £m	Likelihood	
16	Bad Debts	Write-off of debts of 1%	leading to reduced income	The Council has an excellent record of income collection with a very low level of debt write-offs.	0.8	1	0.080
17	Treasury management	Default on loans from the Council	Reduction in the Council's cash balances	Authorised lending list restricted to lowest risk institutions with individual limits. The Council's lending policy is low risk.	25.0	1	2.500
18	Major emergencies or disasters	Such an event with a cost of (say) £5m	leading to increased costs	The government provides financial support under the Bellwin scheme for major emergencies or disasters. However, there is no automatic entitlement to financial assistance and where it is given it will not normally cover all the costs incurred.	5.0	1	0.500
							<b>40.445</b>

Comments
The Council wrote off £75,756 or 0.08% of debt raised in 2016/17.
No problems were experienced with loans made by the Council in 2016/17.
No major emergencies were experienced in 2016/17.



Ref. No.	Risk	Consequences	Controls & Contingencies	Residual Risk		Estimated value of reserve needed £m	Comments
				Impact - Annual Cost £m	Likelihood		
<b>Provisions Against Financial Risk</b>							
P1	Contingency Provision	The contingency provision may offset some of the increased costs noted above e.g. price increases above that allowed in budgets.	Budgets include a contingency provision of £4.0m p.a.	-4.0	4	-4.000	The contingency budget for 2016/17 was set at £4.000m. During the year £2.1m of this was utilised.
P2	Financial Volatility Reserve	At the end of 2011/12 the Council established a financial volatility reserve to help the Council deal with the future uncertainties around local government funding.	At the end of 2015/16 it is estimated that the balance in the reserve stood will stand at £41.632m it is currently budgeted that we will use £38.335m from the reserve to balance the 2016/17 budget.	-3.3	4	-3.300	The Council used £20.165m from the Financial Volatility Reserve to balance the budget in 2016/17. As at 31 March 2017 the Council had set aside £17.870m to balance the 2017/18 budget and £32.399m available for future uncertainties in 2018/19 and beyond.
P3	Capital Receipts - used to fund revenue transformation	The draft financial settlement from government proposed that Local Authorities could use income generated from capital receipts to fund the cost of service transformation. If additional costs are incurred in revenue capital receipts could be diverted from the Capital Programme to fund these costs.	The Council is currently budgeting to use £3.1m of capital receipts to fund the capital programme in 2016/17, these could be diverted into the revenue budget to fund transformation costs in revenue.	-3.1	3	-2.325	The Council planned to use £4.598m of flexible capital receipts in 2016/17. However, the Council generated £0.997m less receipts than expected due to the challenges faced in consent being obtained for the disposal of former playing field and school land. Nevertheless, it is still anticipated that the Council will meet its plan of £20.000m capital receipts covering the three year period, 2016/17 to 2018/19.
P4	Revenue Funding of Capital	Borrowing in place of revenue funding would allow approximately £0.5m, net of debt charges, to be made available for revenue spending.	This would require the Council to alter its policy on capital funding.	-0.5	3	-0.375	The Council took £12m of external borrowing during 2016/17 to finance the Capital Programme. The Council continued in 2016/17 to use a mixed approach of using internal balances and external borrowing to finance the Capital Programme.
P5	Business Rates Pooling	The Council will continue to pool business rates with six of the Lincolnshire District Council's. Due to significant volatility in this income in previous years no income has been budgeted for. However, the Council could benefit from up to £1.238m additional income.	Any income generate could be used to offset financial risks or reduce the need to use earmarked reserves to balance the 2016/17 budget.	-1.2	2	-0.420	Business Rates Pooling - £1.085m (more than was budgeted for). This income from business rates pooling was not budgeted for and is a significant increase from the £0.104m received in 2015/16.
						<b>-10.420</b>	
<b>Net Total</b>						<b>30.025</b>	

**Key To Likelihood Scores:**

1	Very unlikely	10% of impact
2	Possible but unlikely	35%
3	Possible for example in view of current higher levels of risk	75%
4	Very probable or certain	100%

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

Report to:	<b>Overview Scrutiny and Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>Council Workforce Plan 2017 - 18 Progress Report</b>

**Summary:**

The purpose of this report is to provide an update on the progress being made relating to the projects within the Council Workforce Plan. This plan provides the corporate framework for the Director Area workforce planning and development strategies. The report therefore details progress made for corporate level projects and activities.

**Actions Required:**

The Overview and Scrutiny Management Board is asked to

1. seek assurance on the progress being made relating to the projects within the Council Workforce Plan.
2. receive HR performance and workforce information at a future meeting.

## **1. Background**

### **1.1. Council Workforce Plan Overview**

The Plan incorporates the Council's people management commitments to support the delivery of the Council Business Plan and is overseen by the LCC People Management Service, working in partnership with the Serco People Management Service, the Workforce Planning and Development leads in Director Areas, and Director Area Management Teams (DMTs).

As the corporate framework for the development of workforce planning and development strategies, the overall Council Workforce Plan outcome is to ensure we maximise the organisational capacity, performance and resilience to deliver the Council's objectives. This means:

- Working as one Council and, through the Council's partners, to deliver effective and efficient services

- Developing and supporting all Council employees to do their jobs well to deliver the Council's priorities for the benefit of our customers and communities
- Having the right skills, in the right place, at the right time, to the required capacity to deliver the Council's priorities at the agreed standards
- Developing and retaining professional skills through further development of 'grow your own' career pathways
- Maximising the resilience and flexibility of our people and resources to deliver our key priorities

The 2017–18 Workforce Plan includes the continuation of some of the projects from 2016–17. The projects are managed in 3 inter-related workstreams covering: Recruitment and retention for shortage areas; Workforce performance and reward; and Leadership development and managing change.

The ability to recruit and retain staff in high risk areas is a corporate risk and the impact of the controls - the Workforce Plan Projects - are also monitored through the Strategic Risk Register assurance process overseen by the Audit Committee.

Underpinning the Workforce Plan is the Council's commitment to developing and supporting employees (**see Appendix A**). This set of commitments was produced following council-wide consultation with employees, managers and elected members from Value for Money Scrutiny Committee before being signed off by the Corporate Management and the Executive in 2012. (The original document has recently been reviewed, and other than minor updates, has not been changed as the principles continue to reflect the Council's ongoing commitment to developing and supporting its employees.)

## **1.2. HR/Payroll Information System and Process Developments**

Although the changes to transactional processes are not set out in detail in this report, it is acknowledged that many of the People Management Service resources in Serco and the Council continue to be allocated to the improvements in HR processes and systems including Agresso.

The current upgrade to Agresso is to be undertaken by early 2018, after which further improvements to the system and underpinning processes are planned. These processes underpin the Workforce Plan and assist in modernising and improving how the Council manages its recruitment, pay and reward, performance management, resourcing and learning management processes.

In relation to the availability of management information from Agresso, good progress has been made in partnership with Serco over the last 12 months in enabling Managers to run a suite of HR Management information reports direct from Agresso, so they can monitor people related performance, for example, sickness absence and appraisal completion.

The full suite of corporate HR performance information, for the period since Agresso was implemented, is currently being validated by Director Area Management Teams, and as such, will not be published until after the end of quarter four in the 2017-18 financial year. Whilst data input for sickness absence is now very robust, there are still some areas of the Council where appraisal records are not up to date. This is partly due to late scheduling of appraisals where there have been restructures, e.g. in Children's Services and Environment and Economy, with staff moving to new roles and different line management. There have also been technical Agresso challenges for some Managers. Whilst staff continue to receive regular 121 meetings and regular supervision meetings in social care, the target of 100% appraisal completion is a high priority for the Corporate Management Board and Senior Managers. Additional support is being made available to Line Managers from Business Support 'agresso champions' to ensure accurate recording of data.

However, workforce information, which is input and validated in the system by the back office HR administrative function, is available and the analysis is currently being completed but will not be ready in time for the 26 October 2017 meeting, therefore summary information is as set out in 1.3 below.

### **1.3. Workforce Information**

Together with other organisational information, the workforce information informs the priorities for the Workforce Plan projects and the solutions required to address current and future workforce challenges, in particular to attract, recruit and retain skills in high risk areas.

The 2017-18 information shows that:

- The Council employed 4,480 employees at 31<sup>st</sup> August 2017. Of these, 39% are part-time; 61% full time; 95% are permanent; 5% on fixed term and temporary contracts. (This excludes agency staff.)
- The hard to recruit and retain areas are predominantly in those skill areas where there are national shortages including Social Workers, Occupational Therapists, Engineers and Planners, Legal and Commercial. Typically agency usage to cover vacancies is highest in the areas of social care. There are a range of recruitment and retention initiatives which are referred to in this report which aim to assist in filling vacancies quickly and effectively. The initial focus has been in Children's Services, with the learning from this area being developed for other areas of the Council.
- The age profile of the workforce continues to reflect the trends seen in the last few years, and in the public sector as a whole, with 79% of the workforce being in the 30-59 age range. It also reflects that 42% of senior managers are 55 years and over. Again through initiatives such as the all age apprenticeship scheme, the Council is focussing on both the attraction and retention of key skills as part of its workforce planning activities and succession planning approaches.

The workforce data including 2017-18 is to be completed by November 2017 and will inform the review of the Workforce Plan. This will include analysis in high risk areas of recruitment trends; employee turnover; age/length of service of leavers; reason for leaving; trends in usage of agency staff. This information will be presented to the Overview and Scrutiny Management Board at a future meeting.

#### 1.4. Workstream Summaries – Progress in 2017 – 18

The Workstream Summaries below include progress on Workforce Plan projects and also include some business as usual activities to provide a comprehensive picture.

##### 1.4.1. Leadership – Enabling Leaders to Deliver Organisational/Workforce Change

**Continuous improvement in how the Council manages change.** The following activities have either been delivered or are in development:

Ref	Projects & Activities delivered by People Management Service	Type
1.4.1.1	<p><b>Provision of People Management advice relating to organisational change</b> in a range of Service Areas. The most significant level of change this year has been:</p> <ul style="list-style-type: none"> <li>• TUPE transfer of the 0 – 19 service from the NHS to Children's Services on 1<sup>st</sup> October 2017</li> <li>• the restructure in Economy &amp; Environment implemented in March 2017</li> </ul>	<b>Strategic activity</b>
1.4.1.2	<p><b>Building on the Leadership Development Programmes</b> delivered over 2012 – 15, the revised leadership development programme is now being delivered internally and focuses on aspiring/new leaders/managers and middle managers as well as all leaders in areas with significant change occurring. <b>The new approach to leadership development</b> has been taken up by 80 managers from across all Director Areas.</p>	<b>Strategic activity</b>
1.4.1.3	<p><b>Continuation of delivery of the Manager's Essentials programme</b> of learning through e-learning on Lincs2Learn and face to face events.</p> <ul style="list-style-type: none"> <li>• <b>Managers Essentials</b> has undergone a refresh and a revised programme was launched April 2017 based on the Core Values and Behaviours and has been very positively received so far</li> <li>• The <b>Managers Induction</b> e-learning module is currently being revised and refreshed with the intention that an updated package goes live at the end of October 2017</li> </ul>	<b>Strategic activity</b>

Ref	Projects & Activities delivered by People Management Service	Type
1.4.1.4	<p><b>Supporting leaders and managers through action learning activities.</b> These have included starting two Communities of Practice; one focused on Commercialisation and a second focused on Digital Transformation. Action Learning Sets have also been facilitated in Environment and Economy.</p>	<b>Strategic activity</b>
1.4.1.5	<p>Supported the leadership development approach over 2016/17 with interventions such as:</p> <ul style="list-style-type: none"> <li>• <b>Bridging the Gap for Social Workers</b></li> <li>• <b>Marketing the Food in Schools Service workshop in Children’s Service</b></li> <li>• Supporting the <b>development of a competency framework and approach to development</b> in an area of the Commercial team</li> <li>• <b>Team building events</b> in an area of Adult Social Care</li> </ul>	<b>Strategic activity</b>
1.4.1.7	<p><b>Delivery of health &amp; well-being initiatives</b> - continuation of delivery of programme including:</p> <ul style="list-style-type: none"> <li>• training in Mental Health Awareness for Line Managers and provision of toolkit;</li> <li>• update of the Absence Management Policy and training of managers;</li> <li>• audits of sickness absence management across the Council;</li> <li>• maintenance of portal for employee health and wellbeing information;</li> <li>• Effective partnership with the Council's occupational health provider to support the proactive absence management approach undertaken by the Council's Managers</li> </ul>	<b>Strategic activity</b>
1.4.1.8	<p><b>Planning is underway for the 2017 employee engagement survey in November 2017.</b> The findings from this will inform priorities for future employment policy reviews and other strategies that help employees carry out their roles as effectively as possible.</p>	<b>Workforce Plan</b>

#### 1.4.2. Strategic Workforce Planning

***To recruit and retain the required skilled workforce in a timely manner to deliver the Council's priorities.*** The following activities have either been delivered or are in development:

Ref	Projects & Activities delivered by People Management Service	Type
1.4.2.1	<p>The project to <b>implement the Apprenticeship Reforms, introduced in April 2017</b> continues and will be handed to business as usual operations in late 2018. Plans are in place to implement the Council's long term goal to increase the number of apprentices employed in substantive roles year on year in both schools and in the Director Areas of the Council with priority being given initially to apprenticeships in the hard to recruit and retain areas.</p> <p>The project supports the achievement of our statutory duty to provide education or training for 16- 18 olds, including care leavers.</p>	<b>Workforce Plan</b>
1.4.2.2	<p><b>Further developing our early careers offer through 'grow our own' approaches</b> in the hard to recruit and retain areas to provide framework for the apprenticeship programme. Marketing these opportunities will enhance our employment offer more generally to job applicants, including younger applicants.</p>	<b>Workforce Plan</b>
1.4.2.3	<p><b>Implementation of the pilot projects to recruit and retain qualified social workers in Children's Services.</b> The succession planning pilot is currently being evaluated to identify the learning for other services in the Council, where there are hard to recruit and retain challenges.</p>	<b>Workforce Plan</b>
1.4.2.4	<p>Serco working with the Council have <b>implemented improvements in the recruitment and resourcing service</b> which benefits Managers and Job Applicants, with more streamlined processes being implemented in June 2017. The changes are due to be evaluated in January 2018, 6 months after implementation.</p>	<b>Workforce Plan</b>
1.4.2.5	<p>The <b>review of the corporate contract for the provision of agency workers</b> has been undertaken during 2017, with the new arrangements with two contractors in place, one for specialist social care staff and one for back office services from September 2017.</p> <p>There are a range of benefits which the Council expects to see in the future, in the management of temporary staffing including a new system to manage off and on contract spend. With the changes made to tax legislation that applies to temporary agency staff, IR35, special care has been taken to ensure that these contracts help the Council fulfil its new obligations.</p>	<b>Workforce Plan</b>

### 1.4.3 Workforce Performance and Reward

**To develop and implement more flexible and performance focussed approach to pay and reward which supports the attraction, development and retention of talent.** The following activities have either been delivered or are in development:



Ref	Projects & Activities delivered by People Management Service	Type
1.4.3.1	<p>Following the Council's Collective Agreement, which amended some core terms and conditions from April 2015, the second phase of the implementation has been progressed during 2017. This included <b>piloting of the revised Performance Appraisal &amp; Development policy and process</b> in preparation for linking incremental pay progression directly to performance assessed from April 2018 onwards.</p> <p>The learning from the pilot has informed the revised policy and process. Formal consultation with the Green Book Trade Unions and all employees commenced on 12<sup>th</sup> September, and is due to close on 13<sup>th</sup> October 2017.</p>	<b>Workforce Plan</b>
1.4.3.2	<b>The Council's Core Values and Behaviours framework has been updated</b> to enable easier use, and forms a central element, in the new performance assessment process.	<b>Workforce Plan</b>
1.4.3.3	Improvements to council-wide employee benefits and improved access to information for the existing workforce and for potential employees/job applicants have been implemented during 2017. Planning for the implementation of <b>a modern, competitive and attractive staff benefits web based package</b> by March 2018.	<b>Workforce Plan</b>
1.4.3.4	<b>Improvements to the Council's Lincs2Learn platform and increasing usage of E-learning by employees</b> , enabling value for money learning for both corporate and service specific programmes. Over the last three financial years, there has been a 146% increase in course completions, with 21,539 completions in 2016-17.	<b>Strategic activity</b>
1.4.3.5	<b>Preparation for Government or national changes</b> through the Local Government Association including proposed new national pay spine to accommodate the new National Living Wage; IR35 changes; implementation of exit cap	<b>Strategic activity</b>

## 1.5. Governance Framework for Workforce Plan

The governance framework for the Workforce Plan comprises of the following key elements:

- **Corporate Management Board (CMB)** – to provide direction and strategic alignment with corporate requirements and priorities. The CMB Sponsor is the Executive Director for Children's Services and People Management. It is the responsibility of the Corporate Management Board to ensure the delivery of the Council Workforce Plan priorities and to review progress.

- **Service Manager – People** - accountable for the planning and delivery of the work streams under the Workforce Plan and for agreeing how best to align delivery and resources from Serco and the Council. This role ensures the Plan meets the Council corporate strategic people management and workforce planning requirements.
- **Organisation Development Steering Group** – a forum to enable engagement with Workforce leads in Director Areas; to collaborate on key priority areas for workforce development; to provide assurance on key corporate projects and activities.
- **Director Area Engagement** – through DMTs, to ensure two way communication and enable Managers in Director Areas to lead on implementing the changes through service levels actions. Addressing recruitment, resourcing and learning and development needs within services areas are the responsibility of DMTs for professional and technical (job specific) skills, supported by their workforce planning and development leads.

## 1. 6. Mapping Project Benefits

Work has taken place to assess key Workforce Plan projects and define what benefits these projects should deliver, when, and how success will be measured. Please see the Summary Map of Workforce Plan Outcomes and Benefits in **Appendix B**. This focusses on the following projects (not strategic or business as usual activity):

- Incremental pay progression
- Implementation of a modern benefits package
- Workforce planning
- Review of the recruitment service
- Implementation of a new apprenticeships strategy
- Implementation of a new agency worker contract

For the Early Careers/Grow your Own project and the evaluation of the Succession Planning pilot in Children's Services, work is being carried out to agree the detailed scope of these projects. The benefits of this work are still to be mapped and so these projects could not be included within the map, but will be added to future reports.

## 1.7. Benefits Realisation

The benefits are measured throughout the lifecycle of the Workforce Plan. It will be possible to measure some benefits through the year, whilst others require more long term monitoring and will not be fully realised until 2018/19. All Workforce Projects link directly or indirectly to the 4 strategic performance indicators:

- effective targeting of our resources to benefit communities;
- council commitment to be a good employer;
- sickness absence;
- employee turnover.

Realisation of the benefits once a project has been implemented are also evaluated through audits including Internal Audits of people management practices across all Director Areas.

There are 3 internal audits which have taken place or are planned during the 2017/18 financial year, to ensure that Council employment policies and procedures are embedded and working effectively including pay and pensions; appraisal process; management of sickness absence.

## **2. Conclusion**

Overall the projects within the Workforce Plan are being delivered on plan and evidence will be captured that supports the achievement of the planned benefits.

Through regular monitoring and review of the Workforce Plan, the Corporate Management Board have determined that a number of the existing projects will be required to continue into 2018-19, as set out in Appendix B, as well as ongoing priority being given by the People Management Service to the transformation of HR systems and processes through the further development of Agresso.

The detailed plan for 2018 -19 will be finalised, following consultation with Senior Managers between November 2017 and January 2018, together with the Organisation Development Steering Group.

## **3. Consultation**

### **a) Have Risks and Impact Analysis been carried out?**

Yes.

### **b) Risks and Impact Analysis**

The strategic risk of the ability to recruit & retain staff in high risk areas has been considered. The Council recognises that our staff are a valuable resource that requires investment by the council to help sustain their health & wellbeing. Low risk options are taken (averse) to minimise exposure. The current risk score is limited. The target risk score is improving. Monitoring of this risk is the responsibility of the Audit Committee.

The Strategic Risk Register can be viewed at

<http://lincolnshire.moderngov.co.uk/documents/g4709/Public%20reports%20pack%2030th-Jan-2017%2010.00%20Audit%20Committee.pdf?T=10>

#### 4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Council Commitment to Developing and Supporting Employees
Appendix B	Summary Map of Workforce Plan Outcomes and Benefits

#### 5. Background Papers

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

Document title	Where the document can be viewed
Workforce Plan Priorities for 2016 and Beyond	This document can be viewed at <a href="http://george/section.asp?catId=11573">http://george/section.asp?catId=11573</a>

This report was written by Fiona Thompson, who can be contacted on 01522 552207 or [fiona.thompson@lincolnshire.gov.uk](mailto:fiona.thompson@lincolnshire.gov.uk).

# Commitment to Developing & Supporting Our Employees - Appendix A

## Our Vision, Purpose and Values

The Workforce Plan is shaped by our vision, purpose and values, and reflects our commitment to continuous improvement by developing our employees.

For the council as a whole, our **Vision** is 'working for a better future' by

- Building on our strengths
- Protecting your lifestyle
- Ambitious for the future

Our **Purpose** is...

- Making the best use of all our resources
- Investing in infrastructure and the provision of services
- Commissioning for outcomes based on our communities' needs
- Promoting community wellbeing and resilience
- Influencing, coordinating and supporting other organisations that contribute to the life of Lincolnshire

To deliver the vision and purpose, our Business Plan sets out our priorities. The Council's Business Plan 2016-17 identifies 17 Commissioning strategies which set the outcomes for the Council Business Plan. These are categorised under the following four headings:-

- Our Communities are Safe and Protected from Harm.
- The Health and Wellbeing of the Population is Improved, People Remain Independent for Longer and Feel Responsible and in Control of Their Own Future.
- Businesses are Supported to Grow and Want to Invest in the County; People have the Skills and Training to Access Local Jobs, Supported by the Right Infrastructure and Environment.
- We Effectively Target our Resources, so that Individuals and Communities Experience the Desired Benefits and Results.

# Commitment to Developing & Supporting Our Employees - Appendix A (continued)

At the heart of this plan is the Council's commitment to ensure that our employees are developed and supported to perform at their best, to deliver the Council's priorities for the benefit of our customers and communities

Our commitments are to:

- **Be a good employer** which means our people management policies are lawful and fair, consistent yet flexible, and fit for a modern authority.
- **Be a developer of people** which means we support our employees to perform well, and to be agile and skilled to respond to the ever-changing conditions that we are operating in; we define team and individual objectives so they are clearly understood; we develop strong leaders; we promote professional development and we help our employees to take responsibility for their own development and learning.
- **Be a good communicator** which means that employees feel fully informed of new developments across the council and understand what it means for them individually. We consult employees about developments and proposals at the earliest opportunity and we work in partnership with recognised trade unions.
- **Work smarter** which means we will use technology to promote innovation and change and support employees to work in a more efficient and agile way.
- **Value all our workforce** which means that everyone who works here is inspired to get the most out of their working experience and is able to make the maximum contribution to our success as an organisation

## Our Values

The council has adopted a number of important values and behaviours which apply to all who work for the council. These are designed to ensure that the Council's employees and customers are treated with respect, that their expectations and concerns are treated seriously and that we all act to achieve the best possible outcomes. These behaviours form an important part of the council's overall approach to the development of employees. At the heart of the values and behaviours is the following important statement:

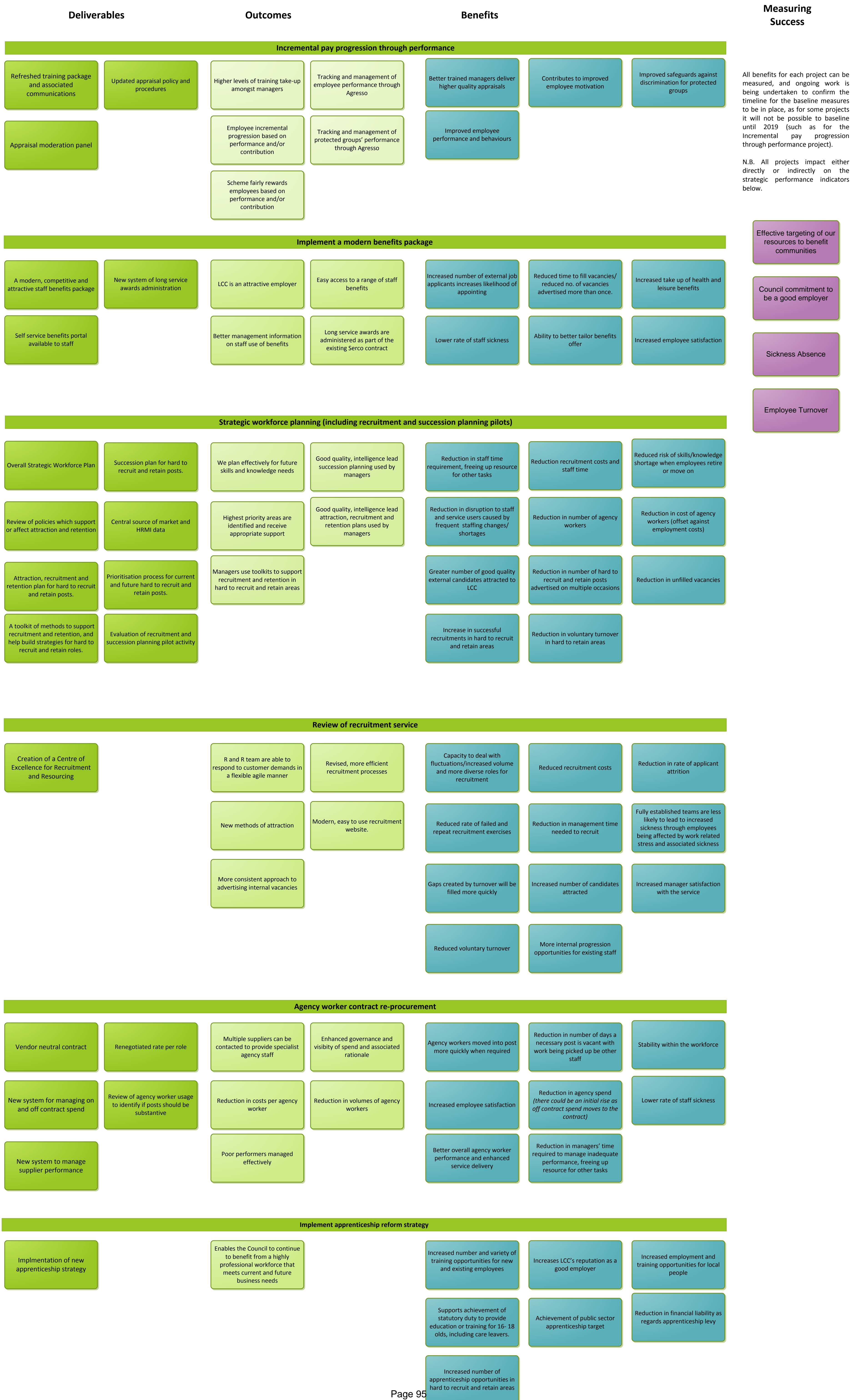
*We are proud to work here for the benefit of our customers and communities.*

• <i>Professional</i>	• <i>Resourceful</i>
• <i>Respectful</i>	• <i>Reflective</i>

For all managers this means directing, supporting and developing employees. For all employees, it means developing skills and creating a performance climate focused on achieving our key priorities.

We will continue to support this through the implementation of the Workforce Plan to enable us to be a forward thinking, flexible organisation which can cope well with changes, challenges and opportunities.

## Appendix B: Summary Map of Workforce Plan Outcomes and Benefits



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

Report to:	<b>Overview and Scrutiny Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>Scrutiny Committee Work Programmes: -</b> <ul style="list-style-type: none"><li>• <b>Environment and Economy Scrutiny Committee</b></li><li>• <b>Flood and Water Management Scrutiny Committee</b></li><li>• <b>Highways and Transport Scrutiny Committee</b></li></ul>

### **Summary:**

In accordance with the Overview and Scrutiny Management Board's agreed programme, this report sets out the work programmes of the Environment and Economy Scrutiny Committee, Flood and Water Management Scrutiny Committee and Highways and Transport Scrutiny Committee.

This item allows in-depth consideration of these work programmes; both in terms of the outcomes from the items considered and intended future activity.

### **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 Environment and Economy Scrutiny Committee (Appendix A to this report);
  - the Flood and Water Management Scrutiny Committee (Appendix B), and;
  - the Highways and Transport Scrutiny Committee.
- (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.

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

Environment and Economy Scrutiny Committee

The work programme of the Environment and Economy Scrutiny Committee is attached at Appendix A. Councillor Tony Bridges, the Chairman of the Environment and Economy Scrutiny Committee, will be making a statement to provide supporting information on the content of the work programme.

Flood and Water Management Scrutiny Committee

The work programme of the Flood and Water Management Scrutiny Committee is attached at Appendix B. Councillor Daniel McNally, the Chairman of the Flood and Water Management Scrutiny Committee, will be making a statement to provide supporting information on the content of the work programme.

Highways and Transport Scrutiny Committee

The work programme of the Highways and Transport Scrutiny Committee is attached at Appendix C. Councillor Chris Brewis, the Vice-Chairman of the Highways and Transport Scrutiny Committee, 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 Environment and Economy Scrutiny Committee, Flood and Water Management Scrutiny Committee and the Highways and Transport Scrutiny Committee.

### **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	Environment and Economy Scrutiny Committee
Appendix B	Flood and Water Management Scrutiny Committee
Appendix C	Highways and Transport Scrutiny Committee

### **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 Daniel Steel, Scrutiny Officer, who can be contacted on 01522 552102 or by e-mail at [daniel.steel@lincolnshire.gov.uk](mailto:daniel.steel@lincolnshire.gov.uk)

**Environment and Economy Scrutiny Committee**

**June 2017 – September 2017**

The Environment and Economy Scrutiny Committee combines two areas of responsibility - Protecting & Sustaining the Environment and Sustaining & Growing Business & the Economy.

Engaging with Midlands Engine and Midlands Connect

The Committee received a report at its meeting on 12 June 2017 on the Midlands Engine partnership, which seeks to promote growth across the whole of the East and West Midlands. The Midlands Engine provides a good opportunity to deliver the council's growth priorities and it appears that Midlands Engine will continue to be a priority for government from both a financial and policy perspective. The Committee supported proposals that a strong economic narrative for Lincolnshire's projects should be articulated to the Midlands Engine partnership through the Strategic Economic Plan in order to attract resources into Lincolnshire.

In addition the Committee supported the identified Newark improvements (A1/A17/A46 junction) as a project which would have economic benefits as a gateway to Lincolnshire and highlighted the Port of Boston as an important consideration for the Midlands Engine. The Committee strongly highlighted the need to ensure the whole of Lincolnshire benefited from the work of the Midlands Engine.

Future Priorities for Funding Post Brexit

At the meeting held on 17 July 2017 the Committee considered Future Priorities for Funding Post Brexit. As part of the Brexit process the government is committed to designing a new funding programme, to be known as the National Productivity Investment Fund. The National Productivity Investment Fund will replace EU funding; however, it will be combined with current government regeneration grants to create a single funding pot.

The Committee highlighted that future transitional arrangements, through the Brexit process, were key in ensuring the economy remained stable throughout this process. The Committee also emphasised the importance of a local focus on future funding arrangements and that the priorities arising from the Strategic Economic Plan be supported to achieve the level of growth necessary for Lincolnshire in the future.

Place Marketing Toolkit

At the meeting on 12 September 2017 the Committee had input into the testing of the Place Marketing Toolkit. This item followed on from reports considered by the previous Economic Scrutiny Committee and detailed the work which had been undertaken with the Greater Lincolnshire Local Enterprise Partnership (GLLEP) to create tools which will help businesses to promote the area more effectively. The purpose of the toolkit was the development of a compelling "Greater Lincolnshire story" and provides access to high quality videos, images, quotes and information about Lincolnshire that tells the story of the place and raises the area's profile. The Committee had chance to review some of the toolkit content and was informed that

testing was underway with a small number of businesses. The Committee supported the progress made on the Place Marketing Toolkit and the proposed additional testing and refinement before going live and being promoted to a wider audience.

#### Water Management Plan 2015 - 2040

At the meeting on 12 September 2017 the Committee considered recent work undertaken by Lincolnshire County Council (LCC) and the GLLEP on utilities which highlighted the cost and difficulty of installing a reliable water system for economic growth.

The Committee also considered the need for additional storage capacity of approximately 50,000 mega litres to deliver the capacity expected for the near future. This would equate to a new reservoir with approximately 40% of the capacity of Rutland Water, creating a circa £600m infrastructure project. The Committee recognised the benefits to growth should the reservoir be located within Lincolnshire.

It was also highlighted that Lincolnshire had been identified as an area that DEFRA (the Department for Environment, Food and Rural Affairs); the Environment Agency; and other partners could work with on water management. The County Council had therefore found funding for a time-limited piece of support, which would help to drive forward the water management plan in partnership with the GLLEP.

The Committee supported that the County Council continues to engage effectively with Water Resources East and other initiatives which will have a positive impact on Water Management in Lincolnshire.

#### Environment and Economy Measures 2017/18

The new scrutiny structure has provided an opportunity to join the Environment and Economy areas and encourage a more holistic approach and a greater focus on strategic outcomes as environment and economy are directly connected to supporting growth.

As part of this change in July 2017 the Committee considered the possibility of a new suite of performance indicators to help them to scrutinise performance against commissioning strategies in the future. The Committee supported that it would appear to be beneficial to prepare new indicators which would better help the Committee to scrutinise performance. Revised measures are expected to return back to the Committee for consideration at a future meeting.

#### **Future Work Planned**

The Committee continues to actively monitor and have input into the future work programme. This includes a planned visit to the Eventus Business and Innovation Centre Visit as part of the October 2017 meeting to allow the Committee to gain a better understanding of the state of the art buildings providing small to medium enterprises all inclusive facilities.

In addition, the Committee will consider a number of key items over the coming period, this includes:

- The Third Carbon Management Plan

- The future Joint Municipal Waste Management Strategy
- Implementing the Outcomes of the Utility Study

The forward Work Programme for the Committee is shown below:

<b>28 NOVEMBER 2017 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Quarter 2 Performance Report (1 July to 30 September 2017)</b>	Justin Brown, Enterprise Commissioner, David Hickman, Growth and Environment Commissioner	Review of the Key Performance and Customer Satisfaction Information.
<b>The Third Carbon Management Plan</b>	Vanessa Strange, Accessibility and Growth Manager	To consider the achievements of the second Carbon Management Strategy and shape the development of the third Carbon Management Strategy.
<b>Achieving added value for tourism and business from partnership investment in coastal management.</b>	Justin Brown, Enterprise Commissioner, David Hickman, Growth and Environment Commissioner	To review the initial plan on how LCC can promote tourism and the environment in the context of coastal management investment.

<b>16 JANUARY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Revenue and Capital Budget Proposals 2018/19</b>	Andy Gutherson, County Commissioner Economy and Place; Justin Brown, Enterprise Commissioner; David Hickman, Growth and Environment Commissioner	Pre-Decision Scrutiny Item on the budget proposals for 2018/19. The comments of the Committee will be passed to the Executive for consideration.
<b>The future Joint Municipal Waste Management Strategy</b>	Matthew Michell, Senior Commissioning Officer (Waste)	Initial consideration of the work being undertaken to develop a new strategy to deliver sustainable waste management services for Lincolnshire.
<b>Water Resources East</b>	David Hickman, Growth & Environment Commissioner	To shape LCC's contribution to strategic future development of water resources

<b>27 FEBRUARY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Greater Lincolnshire Local Enterprise Partnership – Accountable Body Progress Report</b>	Linsay Hill Pritchard, Principal Commissioning Officer	To scrutinise performance of the projects funded by greater Lincolnshire LEP (NB. Lincolnshire County Council is the accountable body for the GLLEP)
<b>Co-commissioning Historic Environment Services</b>	David Hickman, Growth & environment Commissioner	To shape development of a more integrated approach to LCC services relating to the historic environment

<b>10 APRIL 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Quarter 3 Performance Report (1 October to 31 December 2017)</b>	Justin Brown, Enterprise Commissioner, David Hickman, Growth and Environment Commissioner, Paul Rusted, Infrastructure Commissioner	Review of the Key Performance and Customer Satisfaction Information.
<b>Implementing the Outcomes of the Utility Study</b>	Andy Brooks, Commissioning Manager (Regeneration Programme)	
<b>Updating the Joint Flood Risk and Drainage Management Strategy</b>	David Hickman, Growth & Environment Commissioner	To shape the second edition of Lincolnshire Joint Flood Risk Strategy, with particular focus on integrating economic and environmental benefits

#### Items to be programmed

- Priorities within the Strategic Infrastructure Delivery Plan
- Opportunities for Commercialisation
- Holistic approach to Protecting the Coast (Infrastructure, Environment and Economy)
- Community Infrastructure Levy (CIL) and other developer funding regimes
- Environmental Services Property Review

**Flood and Water Management Scrutiny Committee**

**June 2017 – September 2017**

The Flood and Water Management Scrutiny Committee considers Lincolnshire County Council's delivery of its local leadership role in relation to flood and water management. The Committee also considers the effectiveness of the Lincolnshire Flood Risk and Drainage Management Partnership and related partnership developments.

The Flood and Water Management Scrutiny Committee meets on a quarterly basis.

Flood Risk Roles and Responsibilities

At the first meeting on 17 July 2017 the Committee consider a presentation on the key Flood Risk Roles and Responsibilities and agencies involved. This includes the Environment Agency, 14 Internal Drainage Boards, 7 District Councils, 2 Water Companies, Regional Flood & Coastal Committee and Emergency Planning & Response.

Lincolnshire has a wide range of potential flood risk and extensive existing infrastructure & water level management systems. The Committee continues to include key partners from Internal Drainage Boards, the Environment Agency and Anglian Water to build an effect partnership approach.

Section 19 of the Flood and Water Management Act 2010

The Committee continues to scrutinise Section 19 investigations undertaken to resolve flooding incidents. The majority of S.19 investigations relate to surface water flooding and at the July meeting the Committee requested future reports pay more attention to the outstanding recommendations arising from completed investigations.

**Future Work Planned**

The Committee continues to actively monitor and have input into the future work programme. Future highlights include further consideration and input into the plans for Water Resources East, a project which aims to bring together partners from a wide range of industries to develop a long-term, multi-sector water resource strategy for the East of England.

In early 2018 the Committee plan to input into the consultation on the review of the management of coastal flood risk on the Lincolnshire coast between Saltfleet and Gibraltar Point.

The Committee will also be involved in the review of the Lincolnshire Flood Risk and Water Management Partnership and aim to have an early engagement session on the future partnership arrangements.



The forward Work Programme for the Committee is shown below:

<b>23 OCTOBER 2017 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Environment Agency Update	Environment Agency	Updates to Committee on Environmental Agency Activities, including progress on key schemes.
Review of the Lincolnshire Flood Risk and Water Management Partnership	David Hickman, Growth & Environment Commissioner	Consultation and early engagement session on the future review the Lincolnshire Flood Risk and Water Management Partnership.
Water Resources East Opportunities	Andrew Jee, Senior Flood Risk & Special Projects Officer; Matthew Harrison, Senior Commissioning Officer – Flood Risk	Consideration Water Resources East Project and the opportunities that might emerge from it in relation to the Water Management Plan and Waterways Development Strategy.
Investigations undertaken under Section 19 of the Flood and Water Management Act 2010	Paul Brookes, Flood Risk Manager	This item provides the latest position of all the current investigations in the County under Section 19 of the Flood and Water Management Act 2010.

<b>26 FEBRUARY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Environment Agency Update	Environment Agency	Updates to Committee on Environmental Agency Activities, including progress on key schemes.
Water Resources East / Fens Waterways Partnership / Water Level Management	David Hickman, Growth & Environment Commissioner	To report on the options being considered for - 1) Future water supply within the county and the East of England 2) Developing the Fens Waterways Link project 3) Benefits that can be achieved through water level management within Boston post construction of the tidal barrier.

<b>26 FEBRUARY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Lincolnshire Partnership Response to Localised Flooding	Paul Brookes, Flood Risk Manager; John Cook, Assistant Chief Fire Officer Lincolnshire Fire and Rescue	Consideration of the emergency response arrangements for localised flooding.
Saltfleet to Gibraltar Point Strategy Review Consultation	David Hickman, Growth & Environment Commissioner	Consultation input into the review of the management of coastal flood risk on the Lincolnshire coast between Saltfleet and Gibraltar Point.
Investigations undertaken under Section 19 of the Flood and Water Management Act 2010	Paul Brookes, Flood Risk Manager	This item provides the latest position of all the current investigations in the County under Section 19 of the Flood and Water Management Act 2010

<b>29 MAY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Environment Agency Update	Environment Agency	Updates to Committee on Environmental Agency Activities, including progress on key schemes.
Input into the review of the Lincolnshire Flood Risk and Water Management Partnership	David Hickman, Growth & Environment Commissioner	Formal input into the work to review the Lincolnshire Flood Risk and Water Management Partnership.
Investigations undertaken under Section 19 of the Flood and Water Management Act 2010	Paul Brookes, Flood Risk Manager	This item provides the latest position of all the current investigations in the County under Section 19 of the Flood and Water Management Act 2010

Items to be programmed

- River Maintenance Transfer (De-maining) pilots - Black Sluice IDB
- Environment Agency visit to the Boston Barrier Site Works

**For more information about the work of the Flood and Water Management Scrutiny Committee please contact Daniel Steel, Scrutiny Officer on 01522 552102 or by e-mail at [daniel.steel@lincolnshire.gov.uk](mailto:daniel.steel@lincolnshire.gov.uk)**

## Highways and Transport Scrutiny Committee

### June 2017 – September 2017

#### Highways 2020

At the meeting on 16 June 2017 the Committee received an options appraisal on the Lincolnshire Highways Alliance (LHA) replacement arrangements, as the three contracts that form part of the LHA will reach their full term by 31st March 2020. The report advised the Committee of the actions required to ensure that appropriate arrangements are in place to provide service delivery continuity from April 2020.

The Committee supported three members joining the Highways 2020 Project Board to ensure effective member input throughout the process. Councillors M Brookes, C J T H Brewis and S P Roe, along with the Executive Councillor and Executive Support Councillor have worked with officers as part of the project board in order to help inform the option appraisal process. The aim of member involvement with the Project Board has been to ensure that the contract award reflects the political and community expectations on how our highway network is managed and maintained in the future.

It is expected that the contract development and award process will be a key focus of the Scrutiny work programme going forward. At the request of Committee members a well-received contract and commercial briefing session took place in early September 2017. Following feedback from this session it is expected that a version of this training will be offered to all County Councillors in the near future.

The Committee will consider the initial pre-decision scrutiny of the outcomes of the Highways 2020 option appraisal and preferred options at the meeting scheduled for 6 November 2017.

#### Well Managed Highway Infrastructure Code of Practice

At the meeting on 18 September the Committee considered the "Well Managed Highway Infrastructure Code of Practice". The changes to this national guidance will have significant implications for Lincolnshire's Highways Asset Management Policies and will require a thorough revision of the Plan.

Due to the comprehensive changes to the Highways Asset Management Plan required, the Committee approved that a sounding board/working group of members of the Committee be set up as and when it was required. The Committee also requested future updates to give forward visibility of the potential changes, before the revised Highways Asset Management Plan is brought back to the Committee in 2018.

The Highways and Transport Scrutiny Committee will continue to consider this item as it is important to have good forward visibility of the likely proposed changes and the impacts these may have on the service.

## Rail Franchising

The Committee has also considered the position in respect of the three rail franchises, which provide services across Lincolnshire. In particular the consultation being carried out by the Department of Transport for the re-letting of East Midlands rail franchise. The Committee supported a joint approach by East Midlands Councils to promote co-operation with other authorities outside of Lincolnshire.

In addition, the Committee supported exploring options for direct train services from Boston and Skegness to Lincoln, reviewing the connectivity at Sleaford, a direct Lincoln – Birmingham route and the Spalding to Sleaford route becoming a two shift line. The Committee also acknowledged that as more rail services were attracted to Lincoln, this would have an impact on the barrier down time, and that there was a need to consider the balance between the road network as well as the rail network.

After successful lobbying, the Committee will also welcome Network Rail in November 2017 to review the current Rail Plan and Joint Schemes in Lincolnshire. It is hoped that the Committee will build on the precedent set last year and continue to engage positively with Network Rail on an annual basis to promote the delivery of key rail schemes within Lincolnshire. In December the Committee will also visit the Network Rail Lincoln Signalling Centre, this visit will allow members to consider the issues in relation to level crossings across the County and the various considerations by Network Rail when managing barrier timings.

## **Future Work Planned**

The Committee continues to actively monitor and have input into the future work programme. A quarterly Executive Councillor / Scrutiny Briefing session was held on 29 August 2017 between Cllr R G Davies, Cllr C L Perraton-Williams, Cllr M Brookes and officers to support the development of a dialogue between scrutiny and the executive; and to develop the future content of the committee's work programme.

The following items were highlighted for future scrutiny consideration as appropriate:

- Highways and Transport Budget options
- Highways Asset Management
- Continued review of Highways Communications
- Re-consideration of the Speed Management in Lincolnshire Scrutiny Review (2014) Recommendation 5 (20mph Limits and Zones) – *The original review highlighted additional information on 20mph Limits and Zones would be released in 2017.*
- Highways Development Management / Planning for new developments and associated Transport and Parking issues.
- Local Transport Plan (LTP) and Bus Services Priorities
- Autonomous vehicles legislation / impact on Lincolnshire
- Non fossil fuel cars / electric cars and associated infrastructure requirements.
- Smart Highways Signage Benefits
- Possible scrutiny input into moving forward greater self-help for Parish Councils.

The feasibility and timing of these items will be explored over the coming months.

The forward Work Programme for the Committee is shown below:

<b>06 NOVEMBER 2017 – 1:30pm</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Network Rail Account Plan and Joint Schemes</b>	Paul McKeown, Route Director Network Rail	Annual engagement session with Network Rail which will include details of network performance and discussion of any key issues or concerns in Lincolnshire.
<b>Highways 2020 Options Appraisal</b>	Paul Rusted, Infrastructure Commissioner	<b>PRE DECISION SCRUTINY Executive - 5 December 2017</b>
<b>Update on grass verge cutting arrangements</b>	Paul Little, Highway Asset Manager	Review of current grass cutting arrangements and future plans.
<b>Update on weed control arrangements</b>	Paul Little, Highway Asset Manager	Review of current weed control arrangements and future plans.

<b>20 NOVEMBER 2017</b>
<b>Traffic Signals Team / Winter Maintenance Visit</b> An informal session will be held to inform Committee members and Councillors on the work of the County Council Traffic Signals and Winter Maintenance Teams.

<b>11 DECEMBER 2017 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Update on Highways 2020</b>	Paul Rusted, Infrastructure Commissioner	Update on progress towards replacement arrangements for Highways 2020.
<b>Quarter 2 Performance Report (1 July to 30 September 2017)</b>	Paul Rusted, Infrastructure Commissioner	Review of the Key Performance and Customer Satisfaction Information.
<b>Network Rail Visit to Lincoln Signalling Centre</b> A visit to the Network Rail Lincoln Signalling Centre has been arranged by the Highways and Transport Scrutiny Committee. This visit will allow members to develop an understanding of the crossings monitored throughout Lincolnshire by the Lincoln Signalling Centre.		

<b>22 JANUARY 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Revenue and Capital Budget Proposals 2018/19</b>	Andy Gutherson, County Commissioner Economy and Place, Paul Rusted, Infrastructure Commissioner	Pre-Decision Scrutiny Item on the budget proposals for 2018/19. The comments of the Committee will be passed to the Executive for consideration.

<b>12 MARCH 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Effective Highways Communication</b>	Satish Shah, Network Manager	Review of the work being undertaken to enhance service users' experience with regards to the Highways and Transport services.
<b>Permit Scheme Annual Report</b>	Mick Phoenix, Network Management Commissioner; Mandi Robinson Network Regulation Compliance Manager	Review of the first year of the Highway Permit Scheme which has been in place since October 2016 to aid minimise the disruption caused by works on Lincolnshire's road network.

<b>23 APRIL 2018 – 10:00am</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<b>Quarter 3 Performance Report (1 October to 31 December 2017)</b>	Paul Rusted, Infrastructure Commissioner	Review of the Key Performance and Customer Satisfaction Information.

Items to be programmed

- Priorities within the Strategic Infrastructure Delivery Plan
- New Highways Operating Model VfM Assessment
- Future Highways Programme
- Total Transport
- Local Transport Plan (LTP) / Public Transport Strategy
- Outcome of CCTV Pilot Scheme for Parking enforcement outside schools
- Roundabout Sponsorship

**For more information about the work of the Highways and Transport Scrutiny Committee please contact Daniel Steel, Scrutiny Officer on 01522 552102 or by e-mail at [daniel.steel@lincolnshire.gov.uk](mailto:daniel.steel@lincolnshire.gov.uk)**

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

Report to:	<b>Overview and Scrutiny Management Board</b>
Date:	<b>26 October 2017</b>
Subject:	<b>Overview and Scrutiny Management Board Work Programme</b>

**Summary:**

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

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

**Actions Required:**

Members of the Board are invited to:

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

### 1. Background

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

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

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

## Purpose of Scrutiny Activity

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

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

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

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

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

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

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

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

## Identifying Topics

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

- Will Scrutiny input add value?  
*Is there a clear objective for scrutinising the topic, what are the identifiable benefits and what is the likelihood of achieving a desired outcome?*
- Is the topic a concern to local residents?  
*Does the topic have a potential impact for one or more section(s) of the local population?*
- Is the topic a Council or partner priority area?  
*Does the topic relate to council corporate priority areas and is there a high level of budgetary commitment to the service/policy area?*
- Are there relevant external factors relating to the issue?  
*Is the topic a central government priority area or is it a result of new government guidance or legislation?*



## **Scrutiny and Executive Protocol**

The County Council's Scrutiny and Executive Protocol 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 November 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](mailto:tracy.johnson@lincolnshire.gov.uk)

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**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**

Chairman: Councillor Robert Parker  
 Vice Chairman: Councillor Lindsey Cawrey

<b>26 October 2017</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
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  Arnd Hobohm Serco Contract Manager	Performance Scrutiny
ESPO Trading Company Limited	David Coleman Chief Legal Officer	Pre-Decision Scrutiny (Executive decision on 7 November 2017)
Review of Financial Risk Assessment	David Forbes County Finance Officer	Budget Scrutiny
Council Workforce Plan 2017/18 – Progress Report	Fiona Thompson Service Manager - People	Performance Scrutiny
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"> <li>• Environment and Economy Scrutiny Committee</li> <li>• Flood and Water Management Scrutiny Committee</li> <li>• Highways and Transport Scrutiny Committee</li> </ul>	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

<b>30 November 2017</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA

<b>30 November 2017</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
2017/18 Council Business Plan Quarter 2	Jasmine Sodhi Performance and Equalities Manager	Performance Scrutiny / Pre-Decision Scrutiny (Executive decision on 5 December 2017)
Housing Company Business Case	Kevin Kendall County Property Officer	Policy Development
Property Service Contract Update	Kevin Kendall County Property Officer	Performance Scrutiny
Corporate Health and Safety Annual Report 2016/17 (TBC)	Fraser Shooter Corporate Health & Safety Advisor	Performance Scrutiny
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"> <li>• Adults and Community Wellbeing Scrutiny Committee</li> <li>• Health Scrutiny Committee</li> </ul>	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)

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

<b>25 January 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
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)
Council Budget 2018/19	David Forbes County Finance Officer	Budget Scrutiny (Council Decision on 23 February 2018)

<b>25 January 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
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  Arnd Hobohm Serco Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"> <li>• Children and Young People Scrutiny Committee</li> <li>• Public Protection and Communities Scrutiny Committee</li> </ul>	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

<b>22 February 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
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
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"> <li>• Environment and Economy Scrutiny Committee</li> <li>• Flood and Water Management Scrutiny Committee</li> </ul>	Cllr Tony Bridges Chairman of Environment and Economy Scrutiny Committee  Cllr Daniel McNally Chairman of Flood and Water Management	Performance Scrutiny

<b>22 February 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
<ul style="list-style-type: none"> <li>Highways and Transport Scrutiny Committee</li> </ul>	Scrutiny Committee  Cllr Mike Brookes Chairman of Highways and Transport Scrutiny Committee	
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)

<b>29 March 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
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  Arnd Hobohm Serco Contract Manager	Performance Scrutiny
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"> <li>Adults and Community Wellbeing Scrutiny Committee</li> <li>Health Scrutiny Committee</li> </ul>	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

<b>26 April 2018</b>		
<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Call-in (if required)		Call-in
Councillor Call for Action (if required)		CCfA



**26 April 2018**

<b>Item</b>	<b>Contributor</b>	<b>Purpose</b>
Overview and Scrutiny Work Programmes <ul style="list-style-type: none"><li>• Children and Young People Scrutiny Committee</li><li>• Public Protection and Communities Scrutiny Committee</li></ul>	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](mailto:tracy.johnson@lincolnshire.gov.uk)**



## **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<sup>1</sup>. 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<sup>2</sup>, which will indicate whether recommendations have been accepted or

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<sup>1</sup> 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.

<sup>2</sup> 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**

##### Briefing Meetings Between Executive Councillors and Overview and Scrutiny Committee Chairmen

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<sup>3</sup> 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.

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<sup>3</sup> Section 9FB of the Local Government Act 2000

## Scrutiny Panel Activity

(as at 18 October 2017)

### Current Reviews

<b>Scrutiny Panel A</b>	<b>Membership</b>	<b>Completion Date</b>
Impact of Current IT Provision on Council Working Practices	Councillors Mrs J Brockway (Chairman), S Dodds (Vice Chairman), B Aron, M Boles, Mrs P Cooper, S Roe and H Spratt	Overview and Scrutiny Management Board on 26 April 2018 (To be confirmed)

<b>Scrutiny Panel B</b>	<b>Membership</b>	<b>Completion Date</b>
Impact of the Part Night Street Lighting Policy	Councillors Mrs A Newton (Chairman), S Kirk (Vice Chairman), D McNally, R Renshaw, P Skinner, A Stokes, M Storer and Mrs R Trollope-Bellew	Overview and Scrutiny Management Board on 26 April 2018

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



## Working Group Activity

(as at 18 October 2017)

Committee	Working Group	Membership
Overview and Scrutiny Management Board	UK's exit from the European Union	To be confirmed.

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**FORWARD PLAN OF KEY DECISIONS FROM 01 NOVEMBER 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
I014212	Wolsey Way Wragby Road Improvement Scheme	Open	Executive Councillor: Resources and Communications  Between 23 Oct 2017 and 3 Nov 2017	Executive Councillor for Highways and Transport; and the Highways and Transport Scrutiny Committee on the funding source (National Productivity Investment Fund)	Report	Assistant Project Leader Tel: 01522 555586 Email: charlotte.hughes@lincolnshire.gov.uk	Ermine and Cathedral; St Giles
I014211	A17 Gedney, 2 +1 Carriage Widening		Executive Councillor: Resources and Communications  Between 23 Oct 2017 and 3 Nov 2017	Executive Councillor for Highways and Transport; and the Highways and Transport Scrutiny Committee on the funding source (National Productivity Investment Fund)	Report	Senior Project Leader (Major Schemes) Tel: 01522 550328 Email: sam.edwards@lincolnshire.gov.uk	Holbeach Rural; The Suttons
I014125	Shared Lives Services - Re-procurement	Open	Executive Councillor: Adult Care, Health and Children's Services  Between 26 Oct 2017 and 3 Nov 2017	Adults and Community Wellbeing Scrutiny Committee	Report	Commercial Team Tel: 01522 553658 Email: reena.fehnert@lincolnshire.gov.uk	All Divisions

**FORWARD PLAN OF KEY DECISIONS FROM 01 NOVEMBER 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
I014444	Lincolnshire Minerals and Waste Local Plan: Site Locations document	Open	Executive 7 Nov 2017	Widespread consultation carried out on the document prior to its examination by an Inspector appointed by the Secretary of State for Communities and Local Government. This included local members; district councils; statutory and non-statutory consultees; and the general public. Environment and Economy Scrutiny Committee	Report	Minerals and Waste Policy Team Leader Tel: 01522 554818 Email: adrian.winkley@lincolnshire.gov.uk	All Divisions
I014239	Stop Smoking Services Re-Procurement	Open	Executive Councillor: Adult Care, Health and Children's Services  Between 1 Dec 2017 and 6 Dec 2017	Adults and Community Wellbeing Scrutiny Committee	Report	Health Improvement Programme Manager Tel: 01522 550541 Email: philip.garner@lincolnshire.gov.uk	All Divisions

**FORWARD PLAN OF KEY DECISIONS FROM 01 NOVEMBER 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
I014443	Highways 2020 - Options Appraisal	Open	Executive 5 Dec 2017	Highways and Transport Scrutiny Committee; Commissioning and Consultancy Board; Executive Councillor for Highways, Transport and IT; Highways Service; current providers; market testing with potential suppliers; other local authorities; and Midlands Highways Alliance	Report	Infrastructure Commissioner Tel: 01522 553071 Email: paul.rusted@lincolnshire.gov.uk	All Divisions
I014285	Council Budget 2018/19	Open	Executive 19 Dec 2017		Report	County Finance Officer Tel: 01522 553642 Email: david.forbes@lincolnshire.gov.uk	All Divisions
I014286	Council Budget 2018/19	Open	Executive 6 Feb 2018	Overview and Scrutiny Management Board	Report	County Finance Officer Tel: 01522 553642 Email: david.forbes@lincolnshire.gov.uk	All Divisions
I014134	Revenue and Capital Budget Monitoring Report 2017/18	Open	Executive 6 Feb 2018	Overview and Scrutiny Management Board	Report	County Finance Officer Tel: 01522 553642 Email: david.forbes@lincolnshire.gov.uk	All Divisions

**FORWARD PLAN OF KEY DECISIONS FROM 01 NOVEMBER 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
I014208	Citizen Engagement Strategy	Open	Executive 4 Apr 2018	Public Protection and Communities Scrutiny Committee	Report	Programme Manager, Community Engagement Tel: 01522 550516 Email: bev.finnegan@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

**FORWARD PLAN OF KEY DECISIONS FROM 01 NOVEMBER 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
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**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 <i>(Libraries, Heritage, Culture, Registration and Coroners Service, Fire and Rescue and Emergency Planning)</i>
Councillor B Young	Community Safety and People Management <i>(Crime Reduction, Trading Standards, Equality and Diversity People Management and Legal)</i>

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