



County Offices
Newland
Lincoln
LN1 1YL

9 December 2020

In accordance with the powers granted by the Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 this will be a virtual meeting.

Overview and Scrutiny Management Board

A meeting of the Overview and Scrutiny Management Board will be held on **Thursday, 17 December 2020 at 10.00 am as a Virtual - Online Meeting via Microsoft Teams** for the transaction of the business set out on the attached Agenda.

Access to the meeting is as follows:

Members of the Overview and Scrutiny Management Board and officers of the County Council supporting the meeting will access the meeting via Microsoft Teams.

Members of the public and the press may access the meeting via the following link: <https://lincolnshire.moderngov.co.uk/ieListDocuments.aspx?CId=553&MId=5903&Ver=4> where a live feed will be made available on the day of the meeting.

Yours sincerely

A handwritten signature in black ink that reads 'Debbie Barnes'.

Debbie Barnes OBE
Chief Executive

Membership of the Overview and Scrutiny Management Board (11 Members of the Council and 3 Added Members)

Councillors R B Parker (Chairman), R Wootten (Vice-Chairman), B Adams, Mrs W Bowkett, Mrs J Brockway, R J Kendrick, C S Macey, C E H Marfleet, Mrs A M Newton, N H Pepper and E W Strengiel

Added Members

Church Representative: Reverend P A Johnson

Parent Governor Representatives: Mrs M R Machin and Miss A E I Sayer

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD AGENDA
THURSDAY, 17 DECEMBER 2020**

Item	Title	Pages
1	Apologies for Absence/Replacement Members	
2	Declarations of Interest	
3	Minutes of the meeting held on 26 November 2020	5 - 14
4	Announcements by the Chairman, Executive Councillors and Chief Officers	
5	Consideration of Call-Ins	
6	Consideration of Councillor Calls for Action	
7	Scrutiny Review Report: Developer Contributions <i>(To consider a report from Tracy Johnson, Senior Scrutiny Officer, on a scrutiny review on Developer Contributions)</i>	15 - 38
8	Draft Infrastructure Funding Statement <i>(To consider a report from Brendan Gallagher, Principal Planning Officer – Infrastructure, on a draft Infrastructure Funding Statement, which will be presented to the Leader of the Council between 18 December 2020 and 23 December 2020. The views of the Board will be reported to the Leader as part of his consideration of this item)</i>	39 - 52
9	Corporate Support Services Review – Scope, Prime Provider Update and Draft IMT Model <i>(To consider a report from John Wickens, Assistant Director - IMT and Enterprise Architecture, and Sophie Reeve, Assistant Director, Commercial, on the Corporate Support Services Review Project which sought the views of the board on: the scope of services included within the Corporate Support Services Review (CSSR) Project; the validity of a single Business Process Outsourcing (BPO) type provider for future services; and the principles and rationale of the early draft IMT model which is under development)</i>	53 - 74
10	Update on IMT Services - Data Services and Serco Contract Performance <i>(To consider an update report from Sue Cline, Head of Data Services and Business Intelligence, on Data Services and Legacy ERP data (SAP) and Paul Elverstone, ICT Contracts and Licenses Officer, on Serco Contract Performance against Key Performance Indicators January – October 2020)</i>	75 - 84

11 Covid-19 Update

To Follow

(To consider an update report from Michelle Andrews, Assistant Director – Corporate Recovery, on Covid-19)

ITEMS FOR INFORMATION ONLY

12 Overview and Scrutiny Management Board Work Programme

85 - 94

(To receive a report which enables the Board to note the content of its work programme for the coming year)

Democratic Services Officer Contact Details

Name: **Nick Harrison**

E Mail Address nicholas.harrison@lincolnshire.gov.uk

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

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

Contact details set out above.

All papers for council meetings are available on:

<https://www.lincolnshire.gov.uk/council-business/search-committee-records>



**OVERVIEW AND SCRUTINY
MANAGEMENT BOARD
26 NOVEMBER 2020**

PRESENT: COUNCILLOR R B PARKER (CHAIRMAN)

Councillors R Wootten (Vice-Chairman), B Adams, Mrs W Bowkett, Mrs J Brockway, R J Kendrick, C S Macey, C E H Marfleet, Mrs A M Newton, N H Pepper and E W Strengiel

Added Members: Mrs M R Machin (Parent Governor Representative)

Councillors: R D Butroid, L A Cawrey, M A Whittington and B Young attended the meeting as observers

Officers in attendance:-

Michelle Andrews (Head of Early Years), Debbie Barnes OBE (Chief Executive), Justin Brown (Assistant Director - Growth), Pam Clipson (Head of Finance - Adult Care and Community Wellbeing), Andrew Crookham (Executive Director - Resources), James Drury (Executive Director - Commercial), John Giblin (Strategic Communications Team Leader), Michelle Grady (Assistant Director - Strategic Finance), Nick Harrison (Democratic Services Officer), Tracy Johnson (Senior Scrutiny Officer), Keith Noyland (Head of Finance - Communities), Mark Popplewell (Head of Finance - Children's Services), Dan Quinn (Assistant Chief Fire Officer), Dave Simpson (Head of Technical and Development Finance), Karen Tonge (Treasury Manager) and Nigel West (Head of Democratic Services and Statutory Scrutiny Officer)

51 APOLOGIES FOR ABSENCE/REPLACEMENT MEMBERS

Apologies for absence were received from Reverend Philip Johnson (Church Representative) and Miss Alexandra Sayer (Parent Governor Representative).

52 DECLARATIONS OF INTEREST

There were no declarations of interest.

53 MINUTES OF THE MEETING HELD ON 29 OCTOBER 2020

RESOLVED:

That minutes of the meeting held on 29 October 2020 be approved as a correct record and signed by the Chairman.

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020****54 ANNOUNCEMENTS BY THE CHAIRMAN, EXECUTIVE COUNCILLORS
AND CHIEF OFFICERS**

The Chairman reported that he had attended the meeting of the Executive on the 3rd November and presented the comments from the Board on the Transformation Programme and Smarter Working Programme. In relation to the Transformation Programme, he had highlighted the Board's comments about the involvement of overview and scrutiny committees and the use of individual councillors as sources of intelligence. The Executive agreed that there should be more emphasis on the role of councillors as part of the programme, encompassing the One Council approach, and officers confirmed this would be reflected in future reports.

He reported that with Councillor R Wootten he had met with officers on 23rd November to discuss the future reporting arrangements for the Transformation Programme to the Board. It had been agreed that an overview report would be provided to the January meeting and a progress report would be provided to the March meeting.

Democratic Services was currently looking into an alternative date for the March meeting to enable the Board to conduct its usual business before the pre-election period which was expected to start around 22nd March.

Councillor M Whittington, Executive Support Councillor for Resources and Communications, reported that following the recent Government Spending Review announcement on 25th November, he had met with the Leader of the Council and finance officers to commence a review. The Executive Director - Resources, reported that the review was underway on how the details of the announcement would impact the County Council. He reported on the key themes of the announcement which included a public sector pay freeze and further financial support in the light of the Covid pandemic. He reported that the annual financial settlement from the Government was expected mid December.

The Chief Executive reported on the expected Government announcement due on 26th November on which tier of Covid lockdown restrictions Lincolnshire would be in following the end of the national lockdown from 2nd December. All members would be notified as soon as the information became available.

55 CONSIDERATION OF CALL-INS

None had been received.

56 CONSIDERATION OF COUNCILLOR CALLS FOR ACTION

None had been received.

57 REVENUE BUDGET MONITORING REPORT 2020/21 - QUARTER 2 TO
30 SEPTEMBER 2020

Consideration was given to a report by the Assistant Director – Strategic Finance, on Revenue Budget Monitoring 2020/21 Quarter 2, which was due to be presented to the Executive on 1 December 2020. The views of the Board would be reported to the Executive as part of its consideration of this item.

The report compared the Council's projected expenditure with the approved budget for 2020/21, and provided explanations for any significant over or under spending.

The overall revenue position was a forecasted underspend this year of £1.973m (excluding schools and Covid-19). There was also a forecast underspend on capital financing charges of £7.868m, this was excluded from this forecast position at this stage. It was planned that the capital financing underspend would be used to manage future fluctuations in the annual capital financing budget by transferring it to the capital financing earmarked reserve. It was assumed that the forecasted Covid-19 position would be contained within the government emergency grant forecasting a surplus of £7.673m. Included in this forecast was an estimated additional grant of around £4.200m which could be claimed to cover losses of income. It was forecast that general reserves at the end of the year would remain within the target range of 2.5% to 3.5%. The impact of the revenue budget forecast on the Council's resilience had been assessed and the conclusion was that financial resilience remained strong due to the current forecast of an underspend. There were healthy reserve balances and financial resilience would continue to be strengthened.

Members discussed the report, and during the discussion the following points were noted:

- The impact of Covid-19 – the current forecast surplus of £7.673m would be used to cover the additional costs arising due to a rapidly changing situation. The Government had announced additional support going into the new year for Covid-19, and the Council was expecting some additional costs to filter into the new year, particularly in relation to adult social care but also in relation to Children's Services and home to school transport. The Government had so far provided funding when pressures were known and had committed to supporting councils in the new year with any shortfalls such as around council tax and tax base losses. There was no immediate concern for the finances of the Council, however it was expected that some businesses and members of the public were likely to struggle to pay rates and council tax in the future. Concerns were highlighted about the longer term impact on funding in future years.
- Cost pressures in Children's Services social care budget – the high cost pressures related to Higher Needs, an increase in requests for Education, Health and Care Plans due to children being off school for a significant amount of time, and Looked After Children requiring specialist placements and the lack of market provision for children with complex needs in the independent sector. To address these two cost pressures, the Transformation Programme contained two projects to look at how best to support Special Educational

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020**

Needs and Disabilities (SEND) and children who were at risk of becoming looked after by the local authority. In relation to SEND, a Specialist Advice Hub had been set up to enable SENCOs in schools to access specialist advice early and signpost schools to other services such as mental health who could better meet the needs of children and young people. This was still in the early stages but was already demonstrating positive results. For Looked After Children, a Valuing Care project was being considered to better meet and match the needs of children looked after in their foster placements and also investment in specialist small residential homes to be more local and cost effective, and provide better quality services. These would be brought to future meetings of the Children and Young People Scrutiny Committee for consideration.

- Cost pressures in Children's Services Home to School Transport budget – the impact of Covid-19 on school transport had resulted in additional vehicles needing to be put in place to cope with social distancing rules in line with national guidance. The Council had received a grant from the Government for school transport and this was currently covering the increased costs for the additional vehicles but there was a risk that this could become a future cost pressure. A wider issue post Covid-19 could be less competition for school transport contracts which could create further cost pressures. A wider project under the Transformation Programme was being scoped out to address the ongoing cost pressures on the school transport budget.
- Out of county placements for SEND – through the Building Communities of Specialist Provision Strategy, the Council was investing capital in special schools to create more spaces and investing in new special schools as well. This strategy would enable more children and young people to receive education within Lincolnshire.
- Overspend on Waste Services – this was due to the previous contractor going into administration and needing to find a new contractor, from a limited number of providers, to quickly take over running the services. Due diligence was undertaken before entering into a contract with a provider to check cashflow and that they had a sufficient viable trading record. However there was always a time lag and it would be based on a snapshot at the end of the financial year. Some contracts had been going for a number of years now, and during this time the financial position of a contractor could have changed. The level of contamination in recycled material continued to be an issue as this degraded the value of the waste. The proposals to do a separate cardboard collection should reduce contamination going forward. In addition, due to Covid-19, more waste and recycling had been created due to people being at home more. A forward plan of priorities for the next three to five years was being drafted which would look at measures to mitigate cost pressures and invest to save. The importance of working closely with district councils and The Waste Partnership on any new measures and issues was highlighted. The forward plan would be brought to a future meeting of the Environment and Economy Scrutiny Committee for consideration.
- Underspend on the Redundancy budget – this was a base budget which was included each year to cover any potential redundancy costs and pension costs as a result of restructuring. As there had been relatively low level of restructuring taking place across the Council recently, an underspend was

OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020

anticipated of approximately £1.5m. Going forward, there might be some changes in the workforce as a result of the Transformation Programme and therefore a redundancy budget might be required in future.

- The Chairman of the Adults and Community Wellbeing Scrutiny Committee highlighted that the Committee had considered the adults social care budget at its meeting on 25 November. The Committee was impressed with the service area continuing to provide its services within budget and on target despite Covid-19. The staff and partners had been thanked for this great achievement. It was suggested that other Chairmen of Scrutiny Committees may want to write to staff in their service areas to recognise their efforts in maintaining services during these challenging times.

RESOLVED:

1. That the Board unanimously support the recommendations to the Executive, as set out in the report;
2. That a summary of the above comments be passed on to the Executive as part of its consideration of this item.

58 CAPITAL BUDGET MONITORING REPORT 2020/21 - QUARTER 2 TO 30 SEPTEMBER 2020

Consideration was given to a report from the Assistant Director – Strategic Finance, which invited the Board to consider the Capital Budget Monitoring Report 2020/21 – Quarter 2 which was being presented to the Executive on 1 December 2020. The views of the Board would be reported to the Executive as part of its consideration of this item.

The report compared the Council's projected expenditure with the approved budget for 2020/21 and provided explanations for any significant over or under spending. It also compared total projected expenditure for capital projects spanning more than one year with the total approved budget. The current forecasted position was an underspend of £5.424m (Block schemes £0.763m, Project schemes £4.661m). For the project schemes, the whole life budget was forecast to be overspent by £22.542m. The whole life position would be considered as part of the forthcoming budget setting process to ensure that the overall capital programme remained affordable.

The current year's forecast underspend of £5.424m would not increase the need to borrow. The forecast underspend in the current year on Capital Projects would not adversely impact on the Council's financial resilience. However, the forecast whole life overspend was a significant amount and was currently being considered as part of the budget setting process. The Capital Strategy 2020/21 required the capital programme to be affordable over the longer term and this assessment of affordability would need to be made. If necessary the capital programme would need to be modified to ensure this affordability, thereby maintaining financial resilience.

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020**

Members discussed the report, and during the discussion the following points were noted:

- Overspend of £8.755m on the Lincoln Eastern Bypass – the forecast overspend on the Lincoln Eastern Bypass was due to a number of issues which could not be foreseen. This included the public inquiry, the bankruptcy of the original contractor Carillion, flooding, redesigns and Covid-19. There were always a number of unknowns, such as bad weather, which were factored in as risks. The project should be physically completed this calendar year, but would not be financially completed for some time due to outstanding claims such as for bad weather.
- Overspend of £8.833m on Grantham Southern Relief Road – Delays and costs were increasing, mainly due to Covid-19 and waiting for third parties, namely Network Rail, Highways England and utility companies, to divert power and water supplies.
- Overspend trends – the Board suggested that it would be useful to have a breakdown of overspends in previous quarters included in the report going forward so that quarters could be compared and any trends could be identified.
- Review and analysis of major projects on completion – there was no formal process to review and consider lessons learnt at the end of a major project. An officer led Capital Review Group was in place to strengthen reporting to scrutiny committees and the Executive. Lessons learnt from major projects could be considered by the Capital Review Group going forward.
- Managing overspends from within the existing capital programme – it was likely that there would be an impact on other capital projects from managing forecast overspends for the Lincoln Eastern Bypass and the Grantham Southern Relief Road. Work was being undertaken to rebalance the programme and this would be set out in the Budget report for 2021/22 which would be presented to the Board early in the new year.
- Risk assessments for funding from other developments for highways projects – Section 106 agreements would be put in place to ensure funding from developers was made available to help provide infrastructure. The Council was reliant on developers working with district councils to deliver developments and provide funding. The Council forward funded infrastructure, such as roads, in case there was any delay to funding being received from developers.

RESOLVED:

1. That the Board unanimously support the recommendations to the Executive, as set out in the report;
2. That a summary of the above comments be passed on to the Executive as part of its consideration of this item.

59 COVID-19 UPDATE

Consideration was given to an update report from the Assistant Director – Corporate Recovery and the Assistant Director – Growth, on Covid-19 and its economic impact. The report provided an overview of the work by the Local Resilience Forum (LRF), partners and Lincolnshire County Council (LCC) to manage Lincolnshire's response to the Covid-19 pandemic. The significant disruption created by Covid-19 had forced authorities and communities to change their behaviours and routine working practices, which had demonstrated what was achievable through collaborative working. The Council and its strategic partners aimed to ensure that positive outcomes were maintained to help inform future service delivery to improve services. As well as serious implications for people's health and public services, Covid-19 was having a significant impact on the economy and the response / recovery approach would need to be considered against an uncertain economic backdrop. This issue was compounded by increased demand in areas of service activity such as social care teams, wellbeing services, infection control etc.

Since the meeting in October, there had been a significant resurgence of the disease nationally and this had been reflected locally with a significant increase of infection within the communities in Lincolnshire. On the 5th November 2020, the UK began a second period of lockdown. The new measures would apply nationally for four weeks up to and including Wednesday 2nd December. At the end of that period, the UK may return to a regional approach, based on the latest data.

The report highlighted the recent data which included the number of cases and number of deaths. The report also made reference to activities on homelessness, vaccination roll-out plans, communities and volunteer coordination, mortality planning, education, business and exit strategy post lockdown. The Assistant Director, Corporate Recovery, updated the Board on the latest figures relating to Lincolnshire for Covid cases and made comparisons to neighbouring areas. He suggested that the curve of infection rates was flat lining and that some areas of the County had shown signs of decreases, although Boston. Lincoln and East Lindsey were slightly above national average rates. He reported on the positive discovery of a number of vaccines and plans underway for roll out, possibly later in the year.

Consideration was given to a report from the Assistant Director – Growth, which described:- the economic impact of Covid-19 as currently known; set out the actions that had already been carried out by Lincolnshire County Council (LCC), the Greater Lincolnshire Local Enterprise Partnership (LEP), and other partners to reduce the impact; and explained the priorities of the midterm economic recovery strategy which the LEP had co-ordinated and would communicate to Government. The report outlined the main economic impacts of Covid-19 as: rising unemployment, tightening labour market, reduced business investment, rapid digitisation, and localised impacts particularly on the tourism and hospitality sectors which provided a high proportion of jobs/business activity. Also outlined was the detail of the mid-term strategy which was structured around three headings: protect, progress, and prosper.

The report also outlined examples of support given to businesses as follows:- District councils had distributed more than 19,000 grants with a value of £227m to

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020**

businesses; LCC's Business Growth Hub had provided advice to 600 businesses and provided web based information that had been used by 42,000 users; redundancy task forces had been designed by the LEP and trained so that they could stand up should significant redundancies occur; the Local Enterprise Partnership had attracted £26m of infrastructure grant funding which was being invested in accelerating schemes like LCC's Holbeach Food Enterprise Zone; weekly assessments of the economic impact in Lincolnshire had been produced and government officials had been briefed weekly.

It was noted that there was a significant risk that young people with no qualifications would find it more difficult to enter the labour market. It was also noted there had been a reduction in part-time jobs available.

Members discussed the report, and during the discussion the following points were noted:

- The report was welcomed as informative and detailed.
- It was noted that the relationships between Lincolnshire County Council, the District Councils and other partners had been strengthened due to the large amount of joint working to mitigate the impacts of Covid-19. Also digitisation of some functions had happened more rapidly than expected or planned for.
- It was noted that the Environment and Economy Scrutiny Committee had discussed the report of the Assistant Director – Growth, and had come up with a number of suggestions. These included for example:- Could LCC and District Councils spend more money in the local economy? Were the LCC procurement powers being used in the most optimal way? How could self-employment be promoted further? There had been support for assisting businesses with their digital offering and moving to online trading and for looking at repurposing the high streets.
- It was acknowledged that the broadband signal was poor in some areas of the County and there was a need for rapid improvement.
- There was disappointment that there had been no testing facilities for the coastal areas.
- Publicity would be required to alert the public and businesses of any changes to Covid rules and guidelines and other information which came to light. This included information about supermarkets as being a high risk area for spreading Covid and the time it was suggested to leave between obtaining a Flu jab and receiving a Covid jab for example.
- It was noted that businesses had found it difficult to plan for Brexit due to the Covid pandemic and also because there were no details available as an agreement had not yet been reached on a final exit deal. Reference was made to the support being provided by the Business Lincolnshire Growth Hub.
- During the meeting it was reported that Lincolnshire would be in tier three following the end of the national lockdown on 2nd December and plans would be firmed up accordingly as a result of this.
- The Board expressed a preference for regular reports on key areas going forward with oral updates at the meetings on the latest information.

OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020

The Chairman, on behalf of the Board, thanked Dan Quinn, Assistant Director – Corporate Recovery, for his hard work and dedication to the work of the Board and the Council's response to the Covid pandemic and wished him well in his new position in another local authority.

RESOLVED: That the report be noted and an update be presented to the next Board meeting on 17th December.

60 TREASURY MANAGEMENT PERFORMANCE - QUARTER 2 TO 30
SEPTEMBER 2020

Consideration was given to a report from the Treasury Manager, on the treasury management activities and performance for Quarter 2 of 2020/21 to 30th September 2020, comparing this to the Treasury Management Strategy and Annual Investment Strategy 2020/21 that was approved by the Executive Councillor for Resources and Communications on 20th March 2020. The report made reference to activity and performance in relation to interest rates, investments and borrowing. It was reported that the Government announced its response to the PWLB Consultation as part of Spending Review and one result was to lower interest rates for borrowing for eligible Councils by 1% across the board. The Council, who was eligible for this new rate cut and who had not borrowed yet in 2020/21, welcomed this announcement.

It was reported for information that LCC had lent £5M this year to the London Borough of Croydon. This was over a one year period and part of the Council's Investment lending strategy. It had been reported that the London Borough of Croydon had been in some financial difficulties and would be reviewing their budget as part of a S114 Notice strategy. It was confirmed, however, they were not seen as a credit risk and there was no concern that the money would not be repaid. The Council had a total of £170m investments with other Councils at present and another £30M committed future lending. The amount lent by the Council was driven by cash flow and Local authorities were seen as low Government risk and hence had a maximum limit of £20M over a two year period per local authority. It was reported that lending amongst local authorities had significantly increased over the last year to over £11bn, due to the impact of the Covid-19 pandemic measures on the money market. Councillor M Whittington, Executive Support Councillor for Resources and Communications, reported that the Council's lending exposure to other local authorities was being reviewed.

(Councillor B Adams gave his apologies for the remainder of the meeting)

RESOLVED: That the report be noted and the comments outlined above be passed onto the Executive Councillor for Resources and Communications.

10

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD
26 NOVEMBER 2020**

61 OVERVIEW AND SCRUTINY MANAGEMENT BOARD WORK
PROGRAMME

Members were advised that this item was for information only.

RESOLVED:

That the work programme be noted.

The meeting closed at 12.18 pm



**Open Report on behalf of Andrew Crookham,
Executive Director - Resources**

Report to:	Overview and Scrutiny Management Board
Date:	17 December 2020
Subject:	Scrutiny Review Report: Developer Contributions

Summary:

In September 2020, the Executive Councillor for Economy and Place, Councillor C J Davie, with the backing of Group Leaders, requested that a short urgent scrutiny review be undertaken by Scrutiny Panel A on Developer Contributions, on behalf of the Overview and Scrutiny Management Board.

The Board is requested to consider the draft final report, attached at Appendix 1, by Scrutiny Panel A. Following this, and subject to the Board's approval, the report will be submitted to the Council's Executive on 5 January 2021.

Actions Required:

The Overview and Scrutiny Management Board is invited to consider approving the draft final report, attached at Appendix 1, as the final report on Developer Contributions for submitting to the Executive.

1. Background

In September 2020, the Executive Councillor for Economy and Place, Councillor C J Davie, with the backing of Group Leaders, asked Scrutiny Panel A to carry out an urgent short review of Developer Contributions to see how the County Council can maximise the benefits for local communities from such contributions.

The following key lines of enquiry for the scrutiny review were agreed by the Panel:

1. To examine how Developer Contributions could be utilised to maximise the benefits to the local community and how a list of potential local schemes to fund through Developer Contributions could be developed, while taking into consideration the National Planning Policy Framework, local circumstances and the views of the local member.
2. To examine the impact of the proposals in the Government's consultation paper 'Planning for the future' and what the proposals would mean for Lincolnshire.

3. To examine how to achieve better quality design and more sustainable communities in new developments through the use of Developer Contributions, recognising that the viability of new developments can be marginal to the development industry.

Scrutiny Panel A consisted of Councillors L Wootten (Chairman), M T Fido (Vice Chairman), Mrs A M Austin, R Renshaw, S P Roe and M A Whittington. The Panel met three times in October and November 2020. Councillors C J Davie, Executive Councillor for Economy and Place, and E J Poll, Executive Councillor for Commercial and Environmental Management, attended the meetings as advisors on behalf of the Executive.

The attached report on Developer Contributions sets out the findings of Scrutiny Panel A. There are six recommendations contained in the report for the Executive's consideration.

2. Conclusion

The Board is requested to consider the attached report, including the six recommendations, and approve the report for submitting to the Executive.

3. Consultation

a) Risks and Impact Analysis

Not Applicable

4. Appendices

These are listed below and attached at the back of the report	
Appendix 1	Review of Developer Contributions – Draft Final Report by Scrutiny Panel A

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 07552 253814 or by e-mail at tracy.johnson@lincolnshire.gov.uk



DEVELOPER CONTRIBUTIONS

Report by Scrutiny Panel A on behalf of the
Overview and Scrutiny Management Board

December 2020

1. Executive Summary

Developer Contributions help to ensure that the impacts of development are appropriately mitigated and that the right infrastructure is in place to ensure that the needs of current and future communities are met.

The Scrutiny Panel recognised that there is an inconsistent approach to Developer Contributions across Lincolnshire with three District Councils having a Community Infrastructure Levy (CIL) schedule in place, but the rest still using Section 106 agreements. However, even where CIL is in place, additional Developer Contributions can still be sought to mitigate impact.

The Scrutiny Panel also recognised that a more joined up approach between the County Council and the District Councils would enable more collaborative partnership working to maximise the benefits from Developer Contributions to the residents of Lincolnshire. This will be even more crucial if the proposals for Developer Contributions in the 'Planning for the future' White Paper are introduced which could see the County receiving much lower levels of funding in future.

The Scrutiny Panel identified that the local authority is currently attracting a high level of Developer Contributions and is doing well at attracting this funding despite the private sector developers struggling with viability.

However, it is considered that income from Section 106 contributions could be improved if a 'One Council' centralised system for requesting, recording and monitoring is developed, rather than individual service areas considering requests in isolation.

This approach is essential to ensure that development is delivered without prejudicing important infrastructure and services, and Developer Contributions are used appropriately and effectively to achieve the maximum benefit in order to support the Corporate Plan's four ambitions for Lincolnshire which are:

1. High aspirations
2. The opportunity to enjoy life to the full
3. Thriving environments
4. Good-value council services

The recommendations within this report seek to support our key findings and some key strategic areas for improvement, which focus on:

- A need for clear criteria which allow for appropriate councillor engagement in the planning process.
- The development of a centralised system for Section 106 recording and monitoring for use across the Council rather than separate business units doing this on an individual basis.
- A need for appropriate lines of accountability to be able to effectively manage the Section 106 process going forward, particularly given the known and future growth in the County.

- A need to improve the strategic oversight of Section 106 agreements, improving visibility and transparency of Section 106 across the organisation.

Scrutiny Panel A has agreed the following recommendations for the Executive's consideration:

Recommendation 1

That Lincolnshire County Council continues to oppose those aspects of the 'Planning for the future' White Paper which will limit the Council's ability to ensure that new developments have as little impact as possible on existing residents, communities, and businesses.

Recommendation 2

That officers continue to work with developers, building a strong relationship so that developers continue to see Lincolnshire County Council as a partner with whom to engage and whose priorities should be adhered to, whatever the recommendations that are made through new legislation next year.

Recommendation 3

That the Council establishes a strategic approach to requesting, co-ordinating, and monitoring Developer Contributions. The Executive Councillor for Commercial and Environmental Management and the Executive Councillor for Economy and Place should work with the Head of Development Management in its establishment.

Recommendation 4

On those occasions where a scheme cannot viably fulfil all requests for Developer Contributions, then the Executive should decide which schemes should be prioritised using a published escalation process. The Executive Councillor for Commercial and Environmental Management and the Executive Councillor for Economy and Place should work with the Head of Development Management in its establishment.

Recommendation 5

An Infrastructure Funding Statement should be produced annually by the Executive in line with the requirements in the Community Infrastructure Levy Regulations 2019.

Recommendation 6

That the Executive approves the implementation of the Councillor Engagement Action Plan attached at Appendix A.

2. Terms of Reference

In September 2020, the Executive Councillor for Economy and Place, Councillor Colin Davie, with the backing of Group Leaders, asked Scrutiny Panel A to carry out an urgent short review of Developer Contributions to see how the County Council can maximise the benefits for local communities from such contributions.

Scrutiny Panel A consisted of Councillors Linda Wootten (Chairman), Matthew Fido (Vice Chairman), Mrs Alison Austin, Robin Renshaw, Stephen Roe and Mark Whittington.

The following key lines of enquiry for the scrutiny review were agreed by the Panel:

- (1) To examine how Developer Contributions could be utilised to maximise the benefits to the local community and how a list of potential local schemes to fund through Developer Contributions could be developed, while taking into consideration the National Planning Policy Framework, local circumstances and the views of the local member.
- (2) To examine the impact of the proposals in the Government's consultation paper 'Planning for the future' and what the proposals would mean for Lincolnshire.
- (3) To examine how to achieve better quality design and more sustainable communities in new developments through the use of Developer Contributions, recognising that the viability of new developments can be marginal to the development industry.

The Panel met three times in October and November 2020.

3. Background

Respective roles of local authorities in Lincolnshire

In a shire county with two tiers of local government, the statutory local planning authority for a particular area is the appropriate district council. In Lincolnshire, the seven District Councils, as Local Planning Authorities, determine planning applications for housing development.

The County Council is responsible for delivering vital infrastructure and services, such as highways and schools, which can face extra demand resulting from new development. Where this occurs the County Council seeks to ensure that developers make provision for appropriate infrastructure and services through the use of Developer Contributions.

What Are Developer Contributions?

Developer Contributions is a collective term used to refer to

- planning obligations, commonly referred to as 'Section 106' or 'S106' obligations after Section 106 of the Town and Country Planning Act 1990.
- the Community Infrastructure Levy (CIL).
- highways works secured under Section 278 of the Highways Act 1980.

Section 106 Planning Obligations

Section 106 of the **Town and Country Planning Act 1990** sets out the statutory provisions for planning obligations which may:

- restrict development or use of the land in any specified way;
- require specified operations or activities to be carried out in, on, under or over the land;
- require the land to be used in any specified way; or
- require a sum or sums to be paid to the authority on a specified date or dates or periodically.

Planning obligations under Section 106 of The Town and Country Planning Act 1990, commonly known as S106 agreements, are a mechanism which makes a development proposal acceptable in planning terms that would not otherwise be acceptable. Section 106 agreements can be used to secure financial and non-financial contributions (including affordable housing), or other works, to provide infrastructure to support development and mitigate the impact of development.

In 2015, limitations to Section 106 planning obligations came into force which has meant that planning obligations may only be requested when they meet three key tests:

- Necessary to make the development acceptable in planning terms;
- Directly related to the development; and
- Fairly and reasonably related in scale and kind to the development.

S106 agreements are designed to mitigate the specific impacts of that individual development while the Community Infrastructure Levy, as set out below, is a tool to deal with the cumulative impacts of development on infrastructure.

Community Infrastructure Levy (CIL)

A key element of the **Planning Act 2008** was the introduction of the Community Infrastructure Levy (CIL) to finance infrastructure.

The **Community Infrastructure Levy Regulations 2010** were introduced as a tool for local authorities in England and Wales to help deliver infrastructure to support the development of their area. The CIL Regulations came into force in April 2010 and a development may be liable for a charge under CIL, if a Local Planning Authority has chosen to set a charge in its area.

The Community Infrastructure Levy is a charge which can be levied by local authorities to raise funds for a wide range of infrastructure that is needed as a result of new development in their area. This can include transport, education and leisure facilities. The levy is charged on eligible development and is calculated using the size and type of development that will be created. The legal tests for when a planning obligation can be applied are set out in Regulation 122 of the CIL Regulations:

'A planning obligation may only constitute a reason for granting planning permission for a development if the obligation is:

- necessary to make the development acceptable in planning terms;
- directly related to the development; and
- fairly and reasonably related in scale and kind to the development.'

The levy only applies in areas where a local authority has consulted on, and approved, a charging schedule which sets out its levy rates and has published the schedule on its website. In Lincolnshire, City of Lincoln Council, North Kesteven District Council and West Lindsey District Council, implemented their own CIL schedules in 2018.

The Community Infrastructure Levy (Amendment) (England) (No. 2) Regulations 2019 came into force on 1 September 2019. Under these regulations, Infrastructure Funding Statements (IFS) will replace CIL Regulation 123 Lists as the mechanism through which projects are identified for CIL funding. The IFS will be published annually, and provide a summary of all financial and non-financial Developer Contributions relating to Section 106 and CIL within the area.

Section 278 of the Highways Act

A Section 278 (or s278) agreement is a section of the **Highways Act 1980** that allows developers to enter into a legal agreement with the County Council, as the Highway Authority, to make permanent alterations or improvements to a public highway, as part of a planning approval.

Where highway objections to proposals can be overcome by improvements to the existing highway, developers can enter a Section 278 agreement that requires them to pay for or undertake such works. These works could include minor highway realignments, roundabouts, traffic signals, right-turning lanes, and passing bays.

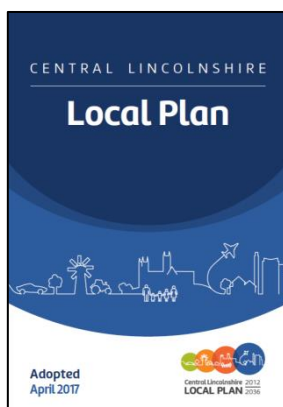
Development should only be prevented or refused on highway grounds if there would be an unacceptable impact in terms of safety or a severe impact in terms of capacity on the existing highway network.

Local Plans

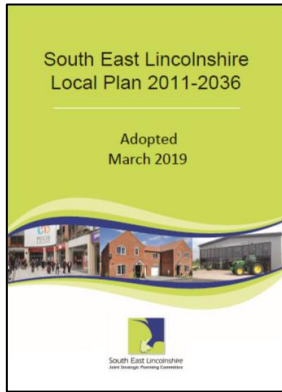
The **National Planning Policy Framework (NPPF)**, first published in 2012 and updated in 2019, sets out the government's planning policies for England and how these are expected to be applied. It provides the framework for producing Local Plans for housing and other development, which in turn provide the background against which applications for planning permission are decided.

A Local Plan sets out the vision for future development of a local area, drawn up by the Local Planning Authority. Local Plans are used to help decide on planning applications and other planning related decisions. In effect, they are the local guide to what can be built where, shaping infrastructure investments and determining the future pattern of development in the area.

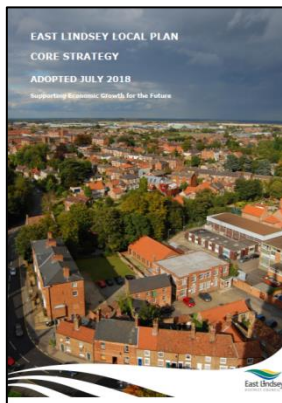
In Lincolnshire there are four Local Plans.



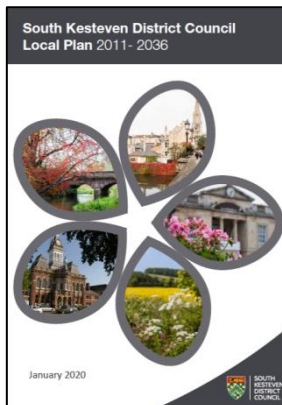
The **Central Lincolnshire Local Plan 2012-2036** was adopted by the Central Lincolnshire Joint Strategic Planning Committee in April 2017. Central Lincolnshire refers to the combined area covered by the City of Lincoln Council, North Kesteven District Council and West Lindsey District Council. Lincolnshire County Council is also a member of the Central Lincolnshire Joint Strategic Planning Committee.



The **South East Lincolnshire Local Plan 2011-2036** was adopted by the South East Lincolnshire Joint Strategic Planning Committee in March 2019. South East Lincolnshire refers to the combined areas covered by Boston Borough Council and South Holland District Council. Lincolnshire County Council is also a member of the South East Lincolnshire Joint Strategic Planning Committee.



The **East Lindsey Local Plan Core Strategy 2016 – 2031** was adopted by East Lindsey District Council in July 2018.



The **South Kesteven Local Plan 2011 – 2036** was adopted by South Kesteven District Council in January 2020.

4. Findings

'Planning for the future' White Paper

What are the main proposals?

In August 2020, the Government published the White Paper 'Planning for the Future' for consultation which proposed the most radical reform of the planning system in England since its creation in 1947. The proposals seek to streamline and modernise the planning process, improve outcomes on design and sustainability, reform Developer Contributions and ensure more land is available for development where it is needed.

The White Paper has been contentious, as it proposes to replace a locally based discretionary system of decision-making, via detailed planning applications considered by elected members on planning committees, with a more remote, standardised approach based on the zoning of areas conferring "permission in principle" without the need for planning applications. There is already a situation in which the National Planning Policy Framework dictates the tolerance levels of new developments, often permitting higher volumes of traffic than are acceptable to the local community. The White Paper risks exacerbating this situation.

The National Planning Policy Framework, not Local Plans, would be the place for setting development management policies. Local Plans would be substantially slimmed down with a shift towards map-based plans, allocating 'zones' for development or protection. Housing requirements would be set by the Government for each district and will be fixed numbers based on a national formula.

Another major announcement in 'Pillar 3: planning for infrastructure and connected places' is the abolition of Developer Contributions via Section 106 agreements and CIL. In their place would be a centralised, nationally fixed 'tariff', based on development value. The White Paper highlights several problems with the current system:

*"Planning obligations are broadly considered to be uncertain and opaque, as they are subject to negotiation and renegotiation based in part on the developer's assessment of viability. This creates uncertainty for communities about the level of affordable housing and infrastructure that development will bring. In turn, this brings cost, delay and inconsistency into the process. Over 80% of local authorities agree that such negotiations create delay, despite the planning application being acceptable in principle. This acts as a barrier to entry to the market, and major developers are better placed to devote the legal and valuation resource needed to negotiate successfully. This unevenness is a problem too for local authorities, with significant variation in skill and negotiation in negotiating viability across authorities."*¹

¹ <https://www.gov.uk/government/consultations/planning-for-the-future/planning-for-the-future#pillar-3-planning-for-infrastructure-and-connected-places>

The White Paper proposes that the existing parallel regimes for securing Developer Contributions are replaced with a new, consolidated 'Infrastructure Levy':

*"The Community Infrastructure Levy should be reformed to be charged as a fixed proportion of the development value above a threshold, with a mandatory nationally-set rate or rates and the current system of planning obligations abolished."*²

The Levy would be based upon a flat-rate, valued-based charge, set nationally, at either a single rate, or at area-specific rates. It would be charged on the final value of the development, be levied at the point of occupation, and include a value-based minimum threshold below which the levy is not charged, to prevent low viability development becoming unviable.

What will be the impact on Lincolnshire?

A number of key impacts from the proposals in the White Paper have been identified for Lincolnshire County Council (LCC):-

- No planning applications would be required for major developments in designated Growth Areas. There would therefore be less opportunity for the County Council to scrutinise planning applications and there would also be less public consultation and challenge.
- Under the proposal to introduce three zonal areas – growth, renewal and protection, there was no mention of how waste and minerals, which the County Council is responsible for, fitted into the process.
- Payments would be made at the end of the development. This would mean that any schemes which need to be completed before the development could commence, such as highways improvements, would have to be funded upfront by the County Council.
- There would be a cost to the County Council in producing digital mapping and a move away from paper processes. Design codes would be needed for each area and this would be expensive and labour intensive.
- There would be a need to train and educate planning officers on any new regulations and process changes.

With regards to the proposals for Developer Contributions, although simplifying a complicated system that does not generate enough funding for infrastructure and affordable housing would be a positive outcome, a consolidated system as described in the White Paper could possibly be worse for Lincolnshire.

The proposed system would yield relatively large sums in high-value areas of London and southern England and low amounts in low-value areas, or even zero in the lowest value areas since a threshold is proposed. The standardised national rate would be set high so that it would only be applicable for major developments.

As Lincolnshire is an area of relatively low land values, there is a risk that the county would receive much lower amounts of Developer Contributions under the new

² <https://www.gov.uk/government/consultations/planning-for-the-future/planning-for-the-future#pillar-3-planning-for-infrastructure-and-connected-places>

planning system, if any at all. This would lead to a reduction in the availability of affordable housing and money towards the provision of infrastructure and therefore, mitigations for developments. This in turn would negatively impact on Lincolnshire's highways, education and flood defences as there would be less funding available to the County Council to make the necessary improvements to support housing growth.

Another impact would be the loss of the CIL schedules which participating councils, such as City of Lincoln Council, West Lindsey District Council, and North Kesteven District Council, have had to prepare to identify shortcomings in physical and social infrastructure. There is no mention of whether Infrastructure Delivery Plans would be retained and these are essential for identifying and prioritising growth related needs when allocating funding.

If the new Infrastructure Levy goes forward, more clarity is required as to what level the new Infrastructure Levy is at, and what it should and should not provide.

The Panel felt that local democratic functions were being side-lined and eroded, leaving considerably less scope for public and Council consultation, involvement and challenge. The Panel agreed that as there would potentially be a significant reduction in money received from Developer Contributions in the future, it would be even more important to ensure any money received was well spent.

How can Lincolnshire County Council mitigate the impact of the White Paper?

The Panel considered some possible measures to mitigate and manage the impact of the White Paper. Two key areas were examined:

Promoting the Impact on Lincolnshire to Decision Makers / Shapers

Although the legislation required to convert the White Paper into law is set to be included in the Queen's Speech in April 2021, there is still time for local authorities, MPs and the Local Government Association to campaign to minimise the most serious impacts of the White Paper, namely:

- Local Democracy: reinstate the right of councillors and local communities to decide on the final detail of development either through planning applications or an alternative mechanism;
- Local Housing Need: continued use of the current method of calculation to prevent unrealistic increases in housing figures across the country; and
- Developer Contributions: continued use of Section 106 and Community Infrastructure Levy to ensure local authorities maintain local leverage in negotiating affordable housing and identifying infrastructure priorities.

Developers

The proposals in the White Paper tilt the playing field to the advantage of developers. If the White Paper is implemented, there will be few "sticks" with which to influence house builders, in particular given their rigid business model and requirements around cost minimisation/price maximisation. Any "carrots" would involve:

- Practical partnership, working on site assembly, land decontamination and sustainable design advice;
- Willingness of local authorities to play the role of a "critical friend", for example, in establishing minimum infrastructure requirements and environmental standards. This could include highlighting that the absence of accessible schools and GP surgeries will reduce marketability of new homes;
- Accelerating build out rates on development land with planning permission by refusing to renew lapsed permissions. This, however, would need government support;
- Promoting Modern Methods of Construction to speed up housing delivery by offering technical advice on location and design.

The Panel felt that the County Council should continue to work closely with District Councils on promoting views and concerns on the White Paper and in working with developers. The Panel emphasised that any planning system should be democratic and accountable and these aspects should be highlighted in any future lobbying. The Panel agreed that it was important that the right infrastructure was built at the right time and that delivering the infrastructure for sustainable development was crucial. The Panel also agreed that the County Council should build on and strengthen relationships with District Councils to ensure a clear message on infrastructure is provided to developers, and should work proactively with developers to enable both parties to have a clearer understanding of needs.

Consideration was also given by the Panel to the impact of Covid-19 on future housing needs. The Panel felt that, in future, digital infrastructure would become a very important aspect for homebuyers as would additional space within houses for a home office. If home working does become more prevalent, then the Panel felt that this would also impact on commuting patterns and change the use of the high street. Work is on-going within the Council to look at whether high tech, secure connected spaces could be made available to businesses within the County Council and District Councils offices and business centres which would not be used in future as a result of different working patterns post Covid-19. The Panel agreed that the Strategic Economic Plan, which sets out the Greater Lincolnshire Local Enterprise Partnership's economic priorities, would need to be reviewed in light of Covid-19 and that an assessment should be undertaken to reflect on the impact of Covid-19 on future housing requirements.

Recommendation 1

That Lincolnshire County Council continues to oppose those aspects of the 'Planning for the future' White Paper which will limit the Council's ability to ensure that new developments have as little impact as possible on existing residents, communities, and businesses.

Recommendation 2

That officers continue to work with developers, building a strong relationship so that developers continue to see Lincolnshire County Council as a partner with whom to engage and whose priorities should be adhered to, whatever the recommendations that are made through new legislation next year.

The Developer Contributions Process

How does the process currently work?

When the County Council, as a statutory consultee, is notified of a planning application for a new housing development, each individual department, such as Highways and Flood, Education, and Public Health, responds separately to the District Councils to request Developer Contributions to mitigate any impact identified in relation to their areas. There are no discussions between the individual departments before making the requests. Consequently, there is no corporate approach by the County Council when making requests for Developer Contributions to the District Councils.

How can the process be improved?

The Panel reviewed what other county councils do and considered other local authority reviews in relation to Developer Contributions. The main themes identified were better partnership working, centralised processes, clarity on the accountability for decisions, and processes for deciding where contributions were spent.

The Panel identified that there was a need for a more joined up approach across the Council's departments to enable one co-ordinated response for Developer Contributions to be sent to the District Councils. This would also enable all areas of the Council to benefit equally from Developer Contributions which in turn would benefit local communities more widely. In addition, the Panel identified that an escalation process needed to be developed when it is identified that a scheme is not able to fund all of the Section 106 requests made by the authority to decide which service area needs to be prioritised. The Panel also agreed that there is a need for greater clarity on responsibilities and accountability; a centralised system for monitoring across the County Council; and opportunities for councillor engagement, including regular scrutiny of Developer Contributions by the relevant scrutiny committee to ensure there was visibility and monitoring of the Developer Contributions Process by councillors.

The Panel also identified that a 'trigger point' for when a development would become unviable due to insufficient Developer Contributions for sustainable infrastructure should be included within the corporate escalation process to be developed.

Through having a more centralised system for Developer Contributions, the Panel concurred that this would enhance the benefits to local communities, lead to more sustainable developments, and enable collaborative working with the District Councils to present a common view for local communities to developers.

Recommendation 3

That the Council establishes a strategic approach to requesting, co-ordinating, and monitoring Developer Contributions. The Executive Councillor for Commercial and Environmental Management and the Executive Councillor for Economy and Place should work with the Head of Development Management in its establishment.

Recommendation 4

On those occasions where a scheme cannot viably fulfil all requests for Developer Contributions, then the Executive should decide which schemes should be prioritised using a published escalation process. The Executive Councillor for Commercial and Environmental Management and the Executive Councillor for Economy and Place should work with the Head of Development Management in its establishment.

How will the Council develop an Infrastructure Funding Statement?

Under the Community Infrastructure Levy Regulations 2019 which came into force in September 2019, the eight authorities in Lincolnshire will each need to prepare an annual Infrastructure Funding Statement. The Panel considered how the County Council's Infrastructure Funding Statement would be developed and what it would involve.

The Panel established that the Infrastructure Funding Statement will be a document which will include:

- A statement of infrastructure that *“will, or may be, wholly or partly funded by CIL”*;
- An annual CIL report on the receipts, allocations and expenditure of CIL; and
- An annual Section 106 report on the receipts, allocations and expenditure of S106. The December 2020 report will also include some unallocated Section 106 funding.

The Panel ascertained that requests for coordination with the District Councils have been made by officers at the County Council, and internal coordination is underway to produce the first Infrastructure Funding Statement.

The Infrastructure Funding Statement could be addressed very narrowly, or it could be used to send a clear statement about the Council's requirements from Developer Contributions. Whilst broadening the scope of the Infrastructure Funding Statement

would mean that it goes beyond the requirements of the Community Infrastructure Levy regulations, it would also mean that the Council would be able to exert leadership by setting out its clear requirements for funding. This would be particularly helpful for setting out the Council's position when the National Planning Policy Framework would allow a development to take place without mitigation but the Council felt that its impact on communities should be tackled.

Recommendation 5

An Infrastructure Funding Statement should be produced annually by the Executive in line with the requirements in the Community Infrastructure Levy Regulations 2019.

Councillor Engagement with the Developer Contributions Process

The Panel considered the role of county councillors in the Developer Contribution process and how much awareness and understanding there is about their role and that of the County Council.

How much do councillors know about Developer Contributions?

The Panel felt that there was an assumption that the average councillor, who was not on a Planning Committee, would have a limited knowledge of the planning processes and how they could respond to applications which were notified to them. However, the Panel concurred that knowledge about planning and Developer Contributions amongst councillors was wide ranging and that there were potentially a number of councillors who did not fully understand Developer Contributions and their role in the process.

The Panel agreed that it would be helpful for all county councillors to be offered training in relation to planning processes and Developer Contributions as they were all involved indirectly and it was important for councillors to be able to fulfil their duties in being able to advise constituents on the basics of how the planning system worked. This should be included as part of the councillors induction after the May local elections, and then ongoing councillor development sessions should be offered, based on the areas covered by the four Local Plans. In addition, a short guide to the planning system and Developer Contributions should be developed to accompany the training for county councillors.

How are councillors currently engaged?

There are approximately 6000 planning applications a year and county councillors receive an email notification about those applications in their division which are for consultation in respect of highway and Lead Local Flood Authority advice. Executive Councillors receive a further notification of developments in their areas of responsibility.

With regards to these email notifications, some of the Panel members highlighted that they were unsure about how they should respond to the planning applications relating to their areas, and whether they were expected to respond with an agreement or comments. The Panel recognised that there was a need for clarity regarding what was expected of councillors in relation to the email notifications received for planning applications, and to identify what the response rate was from councillors to see whether emails were the best method for communicating with councillors on these matters or whether, for example, the emails required simpler language or summaries of the main issues to aid councillor and public understanding.

The Panel agreed that further clarification needed to be included in these email notifications to advise county councillors what they needed to do on receipt of these emails. Under the proposed centralised approach, these email notifications could also become part of the corporate process and cover all areas of the Council rather than just flooding and highways issues.

As part of the new training offer for county councillors, the Panel also agreed that the ongoing training sessions, based on the areas covered by the four Local Plans, could provide an excellent opportunity for county councillors to identify potential schemes in their local communities to help create a list of future schemes for funding through Developer Contributions.

How can councillors be supported better?

Consideration was given to how much officers in the relevant service areas, such as planning, highways, education and public health, understood the role of the county councillor in the Developer Contribution process and what support they required to carry out their role.

The Panel felt that councillors would find it helpful if more information could be provided on how decisions had been reached, particularly those which were controversial in their local constituencies. In addition, the Panel felt that it would be helpful if potential problems with proposed developments could be better highlighted. This additional information would help councillors communicate from a more informed platform with their constituencies.

The Panel agreed that training for relevant officers should be provided to raise awareness of the role of county councillors and improve their understanding of the needs of councillors in being able to explain planning applications and Developer Contributions, and reasons for decisions, to their constituents, parish councillors and the general public.

How could the County Council's role in the process be made clearer to councillors, the public and Parish and District Councils?

The Panel considered how well Lincolnshire County Council's role in the planning process and in relation to Developer Contributions was understood by other councils and members of the public. Members of the Panel highlighted there had been times when they had attended meetings, such as Parish Council meetings, and there had been misunderstandings about what their role, and the role of the County Council, was in planning applications.

The Panel felt that a clear message needed to be sent out to other councils and residents as to what the County Council's role was in relation to Developer Contributions and the planning process. The message needs to make it clear that the County Council is not the Local Planning Authority, as that responsibility lies with the District Councils, but as a statutory consultee on planning applications.

The Panel agreed that a Communications Strategy should to be developed to provide a clear message to other local councils and members of the public and raise awareness of what the County Council's role is in the Developer Contributions process. The Communications Strategy should also inform the public of what the County Council and District Councils could claim for and clarify that any health infrastructure needs had to be requested by the NHS. The Panel agreed that the latter issue should be addressed by the Health Scrutiny Committee for Lincolnshire to try to encourage greater input from the NHS on Developer Contributions in future.

How will these concerns be addressed?

The Panel has raised a number of concerns about the level of councillor engagement at all levels, throughout the planning process. In summary, the following areas of improvement have been identified by the Panel:

- Training for county councillors as part of the induction process in respect of Developer Contributions along with ongoing training sessions;
- Improvements to the existing councillor notification process, which should include consultation on all areas of the Council, not just flooding and highways;
- Training for officers in the relevant service areas to raise awareness of the role of county councillors, and provide them with the knowledge and skills to answer queries from their constituents, parish councillors and the general public regarding Developer Contributions; and
- Improving awareness of the County Council's role in the Developer Contribution process to the public and parish/district councils.

The Panel has developed an action plan, attached at Appendix A, consisting of four objectives to address these concerns, with a number of proposed actions to improve awareness and understanding of the role of county councillors, and the County Council, in the Developer Contributions process. The proposed actions are summarised below:

- Democratic Services will arrange training for councillors as part of their induction after the May local elections and on-going Councillor Development

sessions to be arranged by Local Plan areas. A short guide for councillors on Developer Contributions including a flow chart of the planning process will also be provided.

- Councillors will receive emails with notification of any planning applications in their divisions. Emails will outline a process that is accessible to all councillors, explain what is expected of councillors in their response and cover all areas of the Council. Councillors will input into the development of a list of potential local schemes in their area to fund through Developer Contributions, via the on-going Councillor Development sessions to be arranged by Local Plan areas.
- The Development Management Team will develop a training package for relevant officers to raise awareness of the role of county councillors and provide them with the knowledge and skills to answer queries from parish councillors and the general public regarding Developer Contributions.
- The Communications Team will develop a Communications Strategy to provide podcasts and guidance to parish/town councils and district councils, and to place on the County Council's website and in libraries to provide clarity of the County Council's role in the Developer Contributions process.

Recommendation 6

That the Executive approves the implementation of the Councillor Engagement Action Plan attached at Appendix A.

5. Key Contributors

Scrutiny Panel A would like to thank the following contributors and officers for their advice and support during this scrutiny review:

- Councillor Colin Davie, Executive Councillor for Economy and Place
- Councillor Eddy Poll, Executive Councillor for Commercial and Environmental Management
- Justin Brown, Assistant Director – Growth
- Liz Burnley, County Manager for Development
- Brendan Gallagher, Principal Planning Officer – Infrastructure
- Nicholas Harrison, Democratic Services Officer
- Phil Hughes, Strategic Planning Manager
- Tracy Johnson, Senior Scrutiny Officer
- Warren Peppard, Head of Development Management
- Nigel West, Head of Democratic Services and Statutory Scrutiny Officer

Further Information

If you would like to find out more about this Scrutiny Review or Overview and Scrutiny at Lincolnshire County Council, please contact the Scrutiny Team at scrutiny@lincolnshire.gov.uk.

Objective	Action	Evidence	Lead	Completion date
<p>2. Improve the process for councillor notification of planning applications in their divisions and their engagement in identifying potential uses for Developer Contributions.</p>	<p>Councillors will receive emails with notification of any planning applications in their divisions. Emails will outline a process that is accessible to all councillors, explain what is expected of councillors in their response and cover all areas of the Council.</p> <p>Councillors will input into the development of a list of potential local schemes in their area to fund through Developer Contributions, via the on-going councillor development sessions to be arranged by Local Plan areas.</p>		Warren Peppard	

Objective	Action	Evidence	Lead	Completion date
<p>3. Training for officers in the relevant service areas to raise awareness of the role of councillors and provide them with the knowledge and skills to answer queries from their constituents, parish councillors and general public concerning Developer Contributions.</p>	<p>The Development Management Team will develop a training package for relevant officers to raise awareness of the role of county councillors and provide them with the knowledge and skills to answer queries from parish councillors and the general public regarding Developer Contributions.</p>		Warren Peppard	
<p>4. To improve awareness of the County Council's role in the Developer Contributions process to the public, and parish / district councils.</p>	<p>The Communications Team will develop a Communications Strategy to provide podcasts and guidance to parish/town councils and district councils, and to place on the County Council's website and in libraries to provide clarity of the County Council's role in the Developer Contributions process.</p>		Communications Team	



Open Report on behalf of Andy Gutherson, Executive Director – Place

Report to:	Overview and Scrutiny Management Board
Date:	17 December 2020
Subject:	Draft Infrastructure Funding Statement

Summary:

This report invites the Overview and Scrutiny Management Board to consider a report on the Draft Infrastructure Funding Statement, which will be presented to the Leader of the Council between 18 December 2020 and 23 December 2020. The views of the Board will be reported to the Leader as part of his 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 Leader of the Council as set out in the report.
- 2) agree any additional comments to be passed on to the Leader in relation to this item.

1. Background

The Leader of the Council is due to consider a report on the Draft Infrastructure Funding Statement between 18 December 2020 and 23 December 2020.

2. Conclusion

Following consideration of the attached report to the Leader of the Council, 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 Leader. Comments from the Board will be reported to the Leader.

3. Consultation

a) Risks and Impact Analysis

Not Applicable

4. Appendices

These are listed below and attached at the back of the report	
Appendix 1	Report on Draft Infrastructure Funding Statement to be presented to the Leader of the Council between 18 December 2020 and 23 December 2020

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 Brendan Gallagher, who can be contacted on 07500 814114 or brendan.gallagher@lincolnshire.gov.uk.

Open Report on behalf of Andy Gutherson, Executive Director – Place

Report to:	Councillor M J Hill OBE, Leader of the Council (Executive Councillor: Resources and Communications)
Date:	Between 18 December 2020 and 23 December 2020
Subject:	Draft Infrastructure Funding Statement
Decision Reference:	I021471
Key decision?	No

Summary:

The report seeks approval for the publication of the Infrastructure Funding Statement (IFS) in the form attached at Appendix A.

Recommendation(s):

That the Leader of the Council (Executive Councillor: Resources and Communications) approves the publication of the document attached at Appendix A as Lincolnshire County Council's Infrastructure Funding Statement (IFS) for the financial year 2019/20.

Alternatives Considered:

- | | |
|----|--|
| 1. | There are no alternatives to publication of the IFS in some form. However, officers could review part(s) of the draft IFS subject to Member views. |
|----|--|

Reasons for Recommendation:

To meet the obligation to publish an IFS annually as is necessary from this year: 1st April 2019 to 31st March 2020.

1. Background

Under Regulation 121A of the Community Infrastructure Levy Regulations 2010 the Council must not later than 31 December 2020 publish an annual infrastructure funding statement detailing:

- a) a statement of the infrastructure projects or types of infrastructure which the charging authority intends will be, or may be, wholly or partly funded by Community Infrastructure Levy;
- b) a report setting out specific information about Community Infrastructure Levy, in relation to the previous financial year; and
- c) a report containing specified information about planning obligations, in relation to the previous financial year.

Planning obligations, commonly referred to as 'Section 106' or 'S106' obligations after Section 106 of the Town and Country Planning Act 1990, are most frequently used to require a sum or sums to be paid to the local planning authority and/or other signatories to the agreement. Obligations can also be used to restrict development or use of the land in any specified way; require specified operations or activities to be carried out in, on, under or over the land; and, require the land to be used in any specified way.

The Community Infrastructure Levy (CIL) Regulations 2010 were introduced following the Planning Act 2008. A development may be liable for a charge under CIL, if a Local Planning Authority has chosen to set a charge in its area. The levy is charged on eligible development and is calculated using the size and type of development that will be created.

The draft IFS attached at Appendix A provides relevant summary details of financial and other contributions Lincolnshire County Council has secured and/or spent for the year ending March 2020 and fulfils the obligations set out in the Regulations.

The document has an introduction followed by three main parts to follow the regulation requirements.

The second and third parts of the IFS are backward looking and contain factual information about money received and spent.

The first part relates to the future use of monies received. The IFS identifies the funding of the Lincoln Eastern Bypass as the purpose for which future receipts of Community Infrastructure Levy will be used. As set out in paragraph 1.6 of the draft IFS this has been a longstanding principle of Lincolnshire County Council and partner authorities' joint assessments and strategies around the Local Plan and CIL. It has also been a key part of the Lincolnshire Local Transport Plan and Lincoln Transport Strategy, as well as fitting with the objectives of the Lincolnshire County Council Corporate Plan.

For the current financial year to date, Lincolnshire County Council has received over £650,000 in CIL. This is lower than can be expected in future years primarily because there are still many developments in the relevant districts land supply which have planning permissions that pre-date CIL. It is when planning permission is given that CIL liability is generated. The annual CIL received by Lincolnshire County Council will gradually increase as more of the Central Lincolnshire land supply comes under CIL. That revenue may see more notable increases should

CIL rates be reviewed through potential new CIL schedules for the relevant districts.

No figure for future planning obligations (Section 106) is provided since the regulations do not seek such a statement. In any case, planning obligations are more site specific in nature and therefore more difficult to predict.

This is the first such annual statement because the legal obligation to publish an IFS started for the year 2019/2020.

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

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

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

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

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

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

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

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

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process.

No considerations relevant to the Equality Act duty are considered to arise from the Report.

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

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

No considerations relevant to the JSNA or the JHWS are considered to arise from the Report.

Crime and Disorder

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

No considerations relevant to the section 17 duty are considered to arise from the Report.

3. Conclusion

The IFS as drafted addresses the obligations of the Regulations and is therefore recommended for publication.

4. Legal Comments:

Under Regulation 121A of the Community Infrastructure Levy Regulations 2010 the Council must not later than 31 December 2020 publish an Infrastructure Funding Statement.

The decision is consistent with the Policy Framework and within the remit of the Leader of the Council.

5. Resource Comments:

Publication of the Infrastructure Funding Statement does not have any direct Resources implications, it does however report on the sources and utilisation of resources. The monies received for CIL and S106 are recorded and reconciled within our finance controls. CIL contributions are set against Lincolnshire County Council borrowing for the construction of the Lincoln Eastern Bypass (LEB) and the use of S106 deposits are managed through appropriate service delivery processes.

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 Overview and Scrutiny Management Board at its meeting on 17 December 2020 and any comments of the Board will be reported to the Leader of the Council.

d) Risks and Impact Analysis

See the body of the Report.

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Draft Infrastructure Funding Statement

8. 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 Brendan Gallagher, who can be contacted on 07500 814114 or brendan.gallagher@lincolnshire.gov.uk.

This page is intentionally left blank

Lincolnshire County Council Infrastructure Funding Statement 2019/2020

November 2020 Draft

Awaiting approval

COVER PAGE, SUITABLE IMAGE, LOGO, ETC

I. Introduction

- i.1. This statement provides relevant summary details of financial and other contributions Lincolnshire County Council (LCC) has secured and/or spent for the year ending March 2020. This is to fulfil the obligation for all Councils to report annually as set out in the second of the 2019 amendments to the original *Community Infrastructure Levy Regulations 2010*, under the *Planning Act 2008*. These regulations may be referred to elsewhere as the 2019(no2) Regulations.
- i.2. The sections of this statement provide the following to meet the obligations of Regulation 121A:
1. Statement on how future Community Infrastructure Levy or CIL is intended to be used to fund infrastructure. For completeness, this includes CIL received between April 2020 and December 2020;
 2. CIL Report. This gives confirmation that no CIL payments were transferred to Lincolnshire County Council to March 2020; and,
 3. Section 106 Report. Relevant summary details of "section 106 agreements" to March 2020.
- i.3. While the Regulations allow for inclusion of "section 278 agreements", there is no obligation therefore LCC is not reporting those in this annual statement. This is the first such annual statement because the legal obligation to publish a statement started for the year 2019/2020. References in this statement to 'the year' or 'the reported year' are 1st April 2019 to 31st March 2020 and references to any other days, months or years will be made clear.

1. Statement on future Community Infrastructure Levy (CIL)

- 1.1. This part of the IFS relates to clause 'a' of Regulation 121A.
- 1.2. Notwithstanding the Government's White Paper on the planning system and its proposals to potentially replace CIL, the following statement was relevant at the time of writing.
- 1.3. Lincolnshire is a "two-tier" area with Lincolnshire County Council and seven district councils. Although LCC works very closely with each district council on infrastructure planning matters, it is the district councils who are the charging authorities. Local Plan preparation and CIL preparation are often closely aligned. Statements below are made in relation to the Local Plan and CIL processes for the respective areas.
- 1.4. Four of the seven districts are not actively pursuing CIL in the short term as is their choice with this optional charge: Boston Borough, East Lindsey, South Holland and South Kesteven. LCC will continue to engage with these authorities on their Local Plans, including relevant infrastructure planning. This will involve the consideration of policies for planning obligations (section 106) and potentially CIL or successors to those regimes.

1.5. Three district councils moved forward together in alignment to adopt and implement CIL at virtually the same time: City of Lincoln, North Kesteven and West Lindsey. Those three authorities, with LCC, also formed a Joint Strategic Planning Committee (CLJSPC) to produce the Central Lincolnshire Local Plan and other relevant documents.

1.6. From April 2020 to and including November 2020, LCC received £54,952 from City of Lincoln and £613,292 from North Kesteven. In both cases this has been spent to repay a small part of the cost of the Lincoln Eastern Bypass. This has been a longstanding principle of LCC and partner authorities' joint assessments and strategies around the Local Plan and CIL. The bypass is also the subject of a signed Memorandum of Understanding between the four authorities that agrees the importance of LEB in developer contributions funding. It has also been a key part of the Lincolnshire Local Transport Plan and Lincoln Transport Strategy as well as fitting with the objectives of the LCC corporate plan. LCC intends that this same purpose continue for future CIL from those three districts in the short term so this will be LCC strategy, working with those three district councils and the CLJSPC.

2. CIL Report

2.1. This part of the IFS relates to clause 'b' of Regulation 121A.

2.2. There were no receipts of CIL (matter 1b) via district councils and no CIL expenditure (matter 1e and 1g) in the year from 1st April 2019 to 31st March 2020. The months from and including April 2020 are considered in the previous section.

2.3. LCC is not a CIL collecting authority. "County matters" development almost exclusively relates to minerals and waste operations or to infrastructure itself which do not usually involve buildings. In instances where buildings are developed under relevant permissions, these would rarely if ever meet the legal tests to attract CIL. Therefore, matters 1a to l (where not covered above) do not apply to LCC. In short, LCC did not collect any CIL for the relevant year and is unlikely to do so in future years.

3. Section 106 Report

3.1. This part of the IFS relates to clause 'c' of Regulation 121A. The following paragraphs each address a matter as it appears in Schedule 2 of the 2019(no2) Regulations.

3.2. During the year to March 31st 2020, Lincolnshire County Council (LCC) entered into obligations which, when triggered, will total £11,854,236.

3.3. LCC received £2,193,115 in total during the year from planning obligations.

- 3.4. At 1st April 2020, LCC had received but not allocated £620,132.63 that had been received before the reported year. During the months to November 2020, when this statement was drafted, much of that money had been allocated.
- 3.5. In relation to non-monetary contributions for the reported year, one fire hydrant has been agreed at Colsterworth. In order to provide sufficient school places, 2.2 hectares of land for a two from entry primary school (420 places) in the south of Gainsborough as part of the Warren Wood/Foxby Lane/South Sustainable Urban Extension and a separate 1 hectare (approximately) of land to support a one form entry (210 place) expansion of Witham St Hughs Primary School are to be provided.
- 3.6. During the year, LCC allocated but did not spend £696,340. For money allocated but not spent, summary details are provided in table 1 overleaf.
- 3.7. During the year, LCC spent £2,012,162 in respect of all planning obligations. Summary details of money spent by LCC during the year are shown in table 2 in the following pages.
- 3.8. At 1st April 2020, LCC retained £1,992,209 in total from all contributions and no money was retained for maintenance. During the months to November 2020, when this statement was drafted, much of that money had been spent.

Table 1: Details for money allocated but not spent

Location	Amount	Details
Empingham Road, STAMFORD	£276,561.96	To be spent at Stamford Welland (primary element already spent on Malcolm Sargent)
Poplar Cose, RUSKINGTON	£93,020.74	Towards additional secondary capacity in Ruskington only - to be drawn down towards scheme delivered by St George's
LINCOLN, Brayford Wharf Nth	£65,138	Sustainable Transport Infrastructure to Lincoln Policy Area (or Brayford Area). Money to be paid in 2 stages (1st within 6 months of the use of the hotel, 2nd within 12 months of the 1st). Money to be used by LHA within 10 years from the date of final payment.
BRANT BROUGHTON, High Street, Land Adj Fire Station	£3,511.37	Towards the cost of moving roads signs in the locality. To be paid prior to the occupation of the 10th dwelling.
HEIGHINGTON, Land south of Fen Road	£3,681	Towards the cost of introducing a traffic regulation order to reduce the existing speed limit on Fen Road adjacent to the proposed access to the site.
WADDINGTON, Station Road, Former Brick Pits	£191,630	£40,000 on or before the first occupation on the site, £40,000 on or before first occupation of the 27th dwelling, £40,000 on or before first occupation of the 56th dwelling, and £37,000 on or before first occupation of the 81st dwelling. To be spent on any of the following works: 1. Improvements to existing uncontrolled pedestrian crossings 2. Provision of new uncontrolled pedestrian crossings 3. Existing bus stop improvements (Station Rd adj 147 - new shelter and new high kerbs, Station Rd adj 122A - new shelter, Station Rd adj 82A - new shelter and new high kerbs) 4. Bar Lane environmental improvements (part contribution to works) 5. Brant Road footway improvements (between 459 Brant Rd and Station Rd) 6. Byway/footpath improvements (opposite 459 Brant Rd - part contribution to works) 7. Station Rd footway improvements (between nos. 14 & 66 Station Rd) 8. Melbourne Way/Holywell Road cycleway provision
BARDNEY Manor Farm	£10,376	Bus subsidy contribution (for existing Lincoln and Horncastle via Bardney route) - £30,000 in full on/before commencement or £131,000 paid in instalments 1st £33,906 on/before development of Phase 3a
DUNHOLME - land at Lincoln Road/Honeyholes	£8,000	Bus stop works - part of major works not yet completed 25.11.20
WELTON, Land off Cliff Road / Heath Lane	£10,000	Contribution towards infrastructure improvements relating specifically to the Lincoln Road/A46 (Centurion Garage) and the A15 junction. Money to be paid: 10% - occupation of 1st dwelling, 45% - occupation of 30th dwelling, 45% - occupation of 45th dwelling.
WELTON, Land East of Hacktorn Road	£103,071	Contribution towards A46 Centurion Garage junction. Money to be paid occupation of 20th dwelling.

Table 2: Details for money spent 2019/2020

Location	Amount	Details
NORTH HYKEHAM, south of Whisby Road/east of A46 Lincoln by-pass, Teal Park	£401,911	Smarter Travel Measures; public transport promotion and provision of an extended bus route to serve the site; "Travel Plan Bond" which may be used to implement additional sustainable travel.
Wherry Yard Phase 2, BOURNE	£170,623.31	Two classroom extension at Bourne Academy
53 Harrowby Lane, GRANTHAM	£56,214.83	Towards 2019/20 Walton Secondary expansion
Belvoir Close, STAMFORD	£48,222.70	Towards self-delivered Stamford Welland refurbishment bringing 4 classrooms into use that were derelict
Ramsgate Rd, LOUTH	£50,370.55	Towards 2015 expansion of Eastfield Primary School
Land off Broad Lane and Westmoreland, MOULTON	£120,907.06	Towards 2019/20 mathematics classrooms self-delivered by University Academy Holbeach
Wardentree Lane PINCHBECK	£225,279.96	Towards extension of Pinchbeck Primary in 2016/17, drawn down to replace basic need in line with request
Station Street, HOLBEACH	£28,334.56	Towards 2019/20 mathematics classrooms self-delivered by University Academy Holbeach
Godsey Lane, MARKET DEEPING	£492,149.37	Towards The Deepings 6 th form scheme which provided additional Y7-11 capacity via vacating rooms previously used for sixth form to replace basic need forward funding.
Godsey's Lane, Phase 3, MARKET DEEPING	£418,149.37	Towards The Deepings 6 th form scheme which provided additional Y7-11 capacity via vacating rooms previously used for sixth form to replace basic need forward funding.



Open Report on behalf of James Drury, Executive Director - Commercial

Report to:	Overview and Scrutiny Management Board
Date:	17 December 2020
Subject:	Corporate Support Services Review - Scope, Prime Provider Update and Draft IMT Model

Summary:

This report is seeking views from the Overview and Scrutiny Management Board (OSMB) on:

- The scope of services included within the Corporate Support Services Review (CSSR) Project;
- The validity of a single Business Process Outsourcing (BPO) type provider for future services; and
- The principles and rationale of the early draft IMT model which is under development.

Actions Required:

The Board is requested to consider the report and presentation, and provide feedback on

1. The scope of services included within the Corporate Support Services Review (CSSR) Project;
2. The validity of a single Business Process Outsourcing (BPO) type provider for future services; and
3. The principles and rationale of the early draft IMT model which is under development.

1. Background

The Corporate Support Services Review (CSSR) Project has been established as part of the Council's Transformation Programme to support informed decision making around the future delivery of services in the current Corporate Support Services Contract we have with Serco. This contract will reach its natural conclusion in March 2024, as further extensions are not possible beyond then, and as such the Council needs to have alternative arrangements in place for 1 April 2024 at the latest.

The CSSR project has commenced now to ensure the Council is able to make an informed decision in a timely manner, whilst all potential options remain genuinely viable (ie it would allow sufficient time for procurement or insourcing or partnerships / shared services for all potential models and nothing is ruled out prior to the decision being sought).

The intention is to report progress to OSMB at regular intervals to coincide with the existing quarterly updates on the performance of the existing corporate support services contract. This is the first such report and deals with IMT, scope and the market.

Given the nature of IMT services, in order to establish a potential model which meets the Council's requirements beyond 2024, whilst also ensuring services continue to be commissioned and delivered in the most appropriate way in the meantime, we need to understand the nature and principles of a potential new IMT 'to be' model now.

To achieve this, the CSSR project has been phased to focus on IMT initially and then, in April 2021, widen the detailed work required for all services in the current contract. This will facilitate an informed decision on all services by April 2022. Additionally, however for phase one of the CSSR project, we need to be clear about the scope of services that should be included in the review and also assess current market conditions for the services under consideration.

The briefing slides attached at Appendix A detail the potential scope for the project and market conditions for back office functions as well as an early draft of the principles, models and timeframe which may apply specifically to the future delivery of IMT. This briefing will be presented at OSMB to facilitate discussions and explore the work undertaken to date.

2. Conclusion

The work embarked upon to date suggests the proposed draft high-level model for IMT services would best meet the Council's future needs.

Additionally, there is no benefit in expanding the scope of the CSSR project to services beyond the current Corporate Support Services Contract and the market conditions have changed so significantly that alternative options to a single BPO type provider should be explored.

3. Consultation

a) Risks and Impact Analysis

The key risk for this work not being undertaken now is that the Council will be unable to make an informed decision in April 2022. After that time some options become unviable, due to the required implementation timeframes, and as a result the Council's choice would be limited.

A full risk log is maintained for the CSSR project and monitored through weekly reporting to the Project Sponsor (Sophie Reeve) and the Transformation Programme Management Office, with supplementary monthly reporting to the Transformation Governance Board and the Corporate Leadership Team.

An initial Equality Impact Assessment has been undertaken. This will be updated for each work-stream within the project as the options appraisal work commences for each service in scope.

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Presentation to be provided to OSMB on 17 December 2020

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 Sophie Reeve and John Wickens, who can be contacted on 07717340625 / 01522 553651 or sophie.reeve@lincolnshire.gov.uk / john.wickens@lincolnshire.gov.uk.

This page is intentionally left blank

Transformation Programme



Corporate Support Services Review Project

OSMB – 17th December 2020

- Scope, assessment of prime BPO providers & timeline
- Future IMT service delivery

James Drury, Sophie Reeve and John Wickens



Corporate Support Services Review

OSMB

Scope and Prime Provider

Sophie Reeve – AD Commercial

Background

Through our Corporate Support Services Contract, Serco currently provide IT service delivery, People Management (Payroll and HR Admin), Finance (Adult Social Care Finance) and the Customer Service Centre (CSC). This contract has been in place since April 2014 and is due to expire at the end of March 2024, having reached the maximum duration possible.

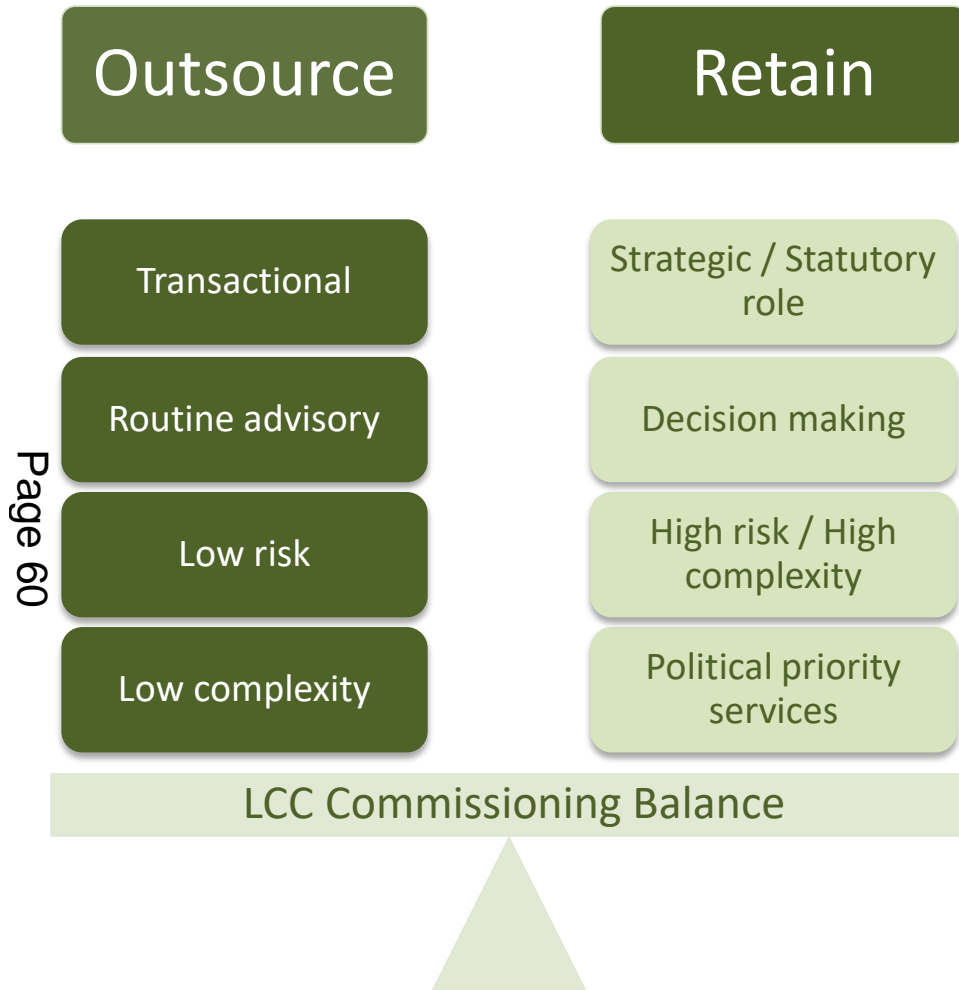
This provides the Council with an opportunity to consider how best to provide these corporate support services moving forward. Given the length of time the contract has been in place, there have been changes in how the Council operates the services it needs, and the delivery options and approaches available for corporate support services. So for example the existing contract with Serco is a prime provider Business Process Outsourcing (BPO) contract where a single provider is responsible for carrying out a mix of processes and in our case professional services.

The Corporate Support Services Review Project (CSSR) has been established to facilitate informed decision making with regards to future service delivery.

At this stage we are seeking OSMB feedback on:

- The scope of services we should consider within the CSSR Project
- The validity of a prime BPO type provider model for corporate support services
- Implications for future delivery of our IMT services

Scope – Commissioning Principles



Key fundamental **prerequisite** to any outsourcing:
There is a market to outsource to

Strategic role includes:

- Direction
- Planning, policy making & advice
- Council governance
- Management of key infrastructure
- Commissioning
- Working with other major partners
- Procurement & contract management
- Control of change management

Where there is an appropriate market, outsource services that are primarily transactional, low risk and routine. Retain high risk services which require strategic direction and control.

Scope – Consideration

We MUST consider options for these services to ensure alternative arrangements are in place when the current Serco contract ends.

IMT

Payroll

HR Admin

CSC

Exchequer

AC
Finance

Recommendation

No expansion of scope beyond the current Serco contract

Prime BPO Provider – Reviews and previous recommendations

Recent options appraisals concluded that pursuing a similar single, large scale Business Process Outsource (BPO) type provider would not be in the Councils best interest and there was no ready market for this type of outsourcing.

Evidence
from:

Arvato
Report

Ashford's
Market
Review

Other
Authorities

Page 62

2018 - The option for a new BPO procurement was rejected as it would mean:

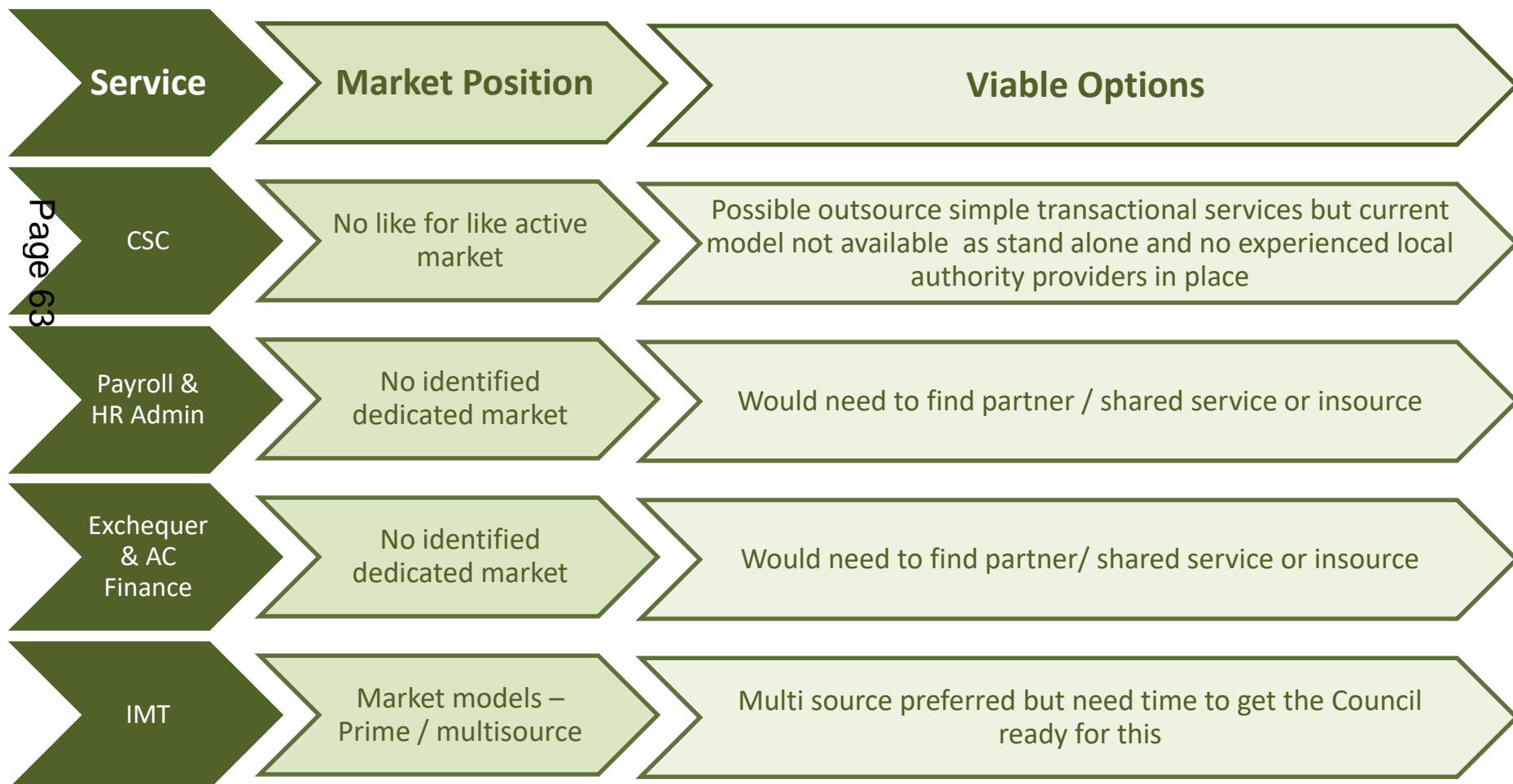
“continued use of a model which is falling out of favour with Councils and providers alike and which has not always delivered across all service streams”

2020 – The BPO option was again rejected as:

“it would not suit the Council's commissioning intentions...there is no ready market...suppliers would want a long [10 year] contract...[and] is not the best way to procure the services in question”

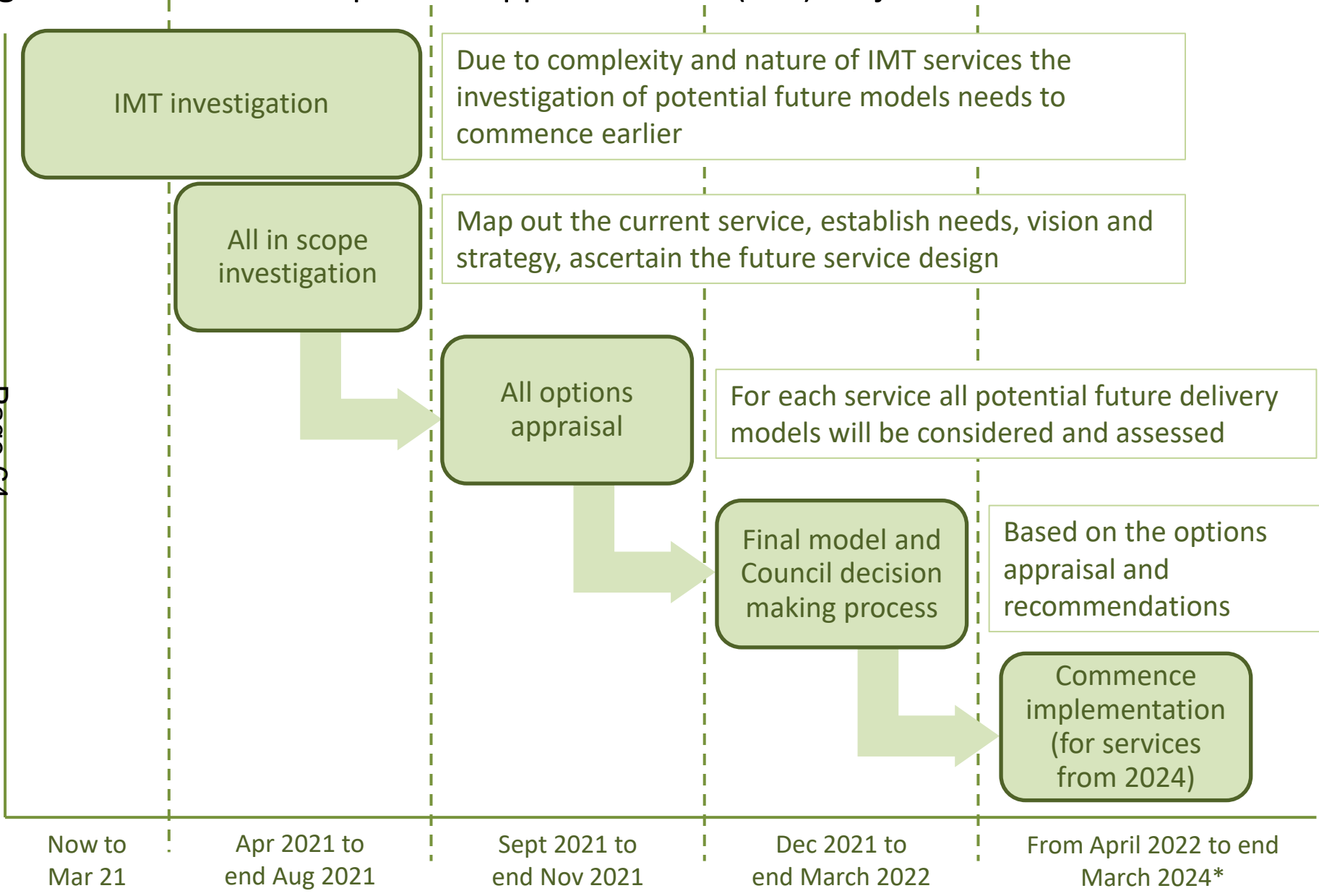
Without a Prime BPO – Likely Viable Options

Having established that there is no ready market for such large-scale mixed outsourcings of authority back-office functions and that such contracts are probably not the best way to procure the services in question, the market review concluded our viable options to be.....



High Level Timeline - Corporate Support Services (CSS) Project

Page 64



* The implementation stage commencement for each service is determined by the Council's decisions on the future delivery model and any procurement /insourcing/partnership timeframes required to ensure services are in place for April 2024.



Future IMT Service Delivery

OSMB

Principles, Potential Model and Timeframes

John Wickens – AD IMT Enterprise Architecture, IMT

Future IMT Service Delivery: Drivers for change.....

Given the changing nature of IMT services since 2014, there are compelling reasons to consider changing our service delivery model when the current contract expires in 2024. These include:

Operational Drivers

- Our growing need for agility
- Ability to manage ongoing change
- To be responsive and delivery focused

Technical Drivers

- The shift to the cloud
- Our need for services, not technology
- Requirement for specialism & expertise

Commercial Drivers

- The market has changed
- There are limited 'prime providers'
- Prime providers now act as a broker - adds cost but not value

New model for IMT service delivery

Future IMT Service Delivery: Principles for a new model...

In exploring the kind of new model that might be appropriate for IMT service delivery beyond 2024, we believe the following principles are important to the Council:

Page 67

Principles The future model must.....

Deliver IT that works and ensure service quality with value for money principles, without increasing the 'gross cost' of IT services*

Enable agility in provision and delivery of business solutions

Facilitate the Council's operations and service delivery, supporting the shift to becoming increasingly digital

Focus on buying services, not technology, from experts in each field

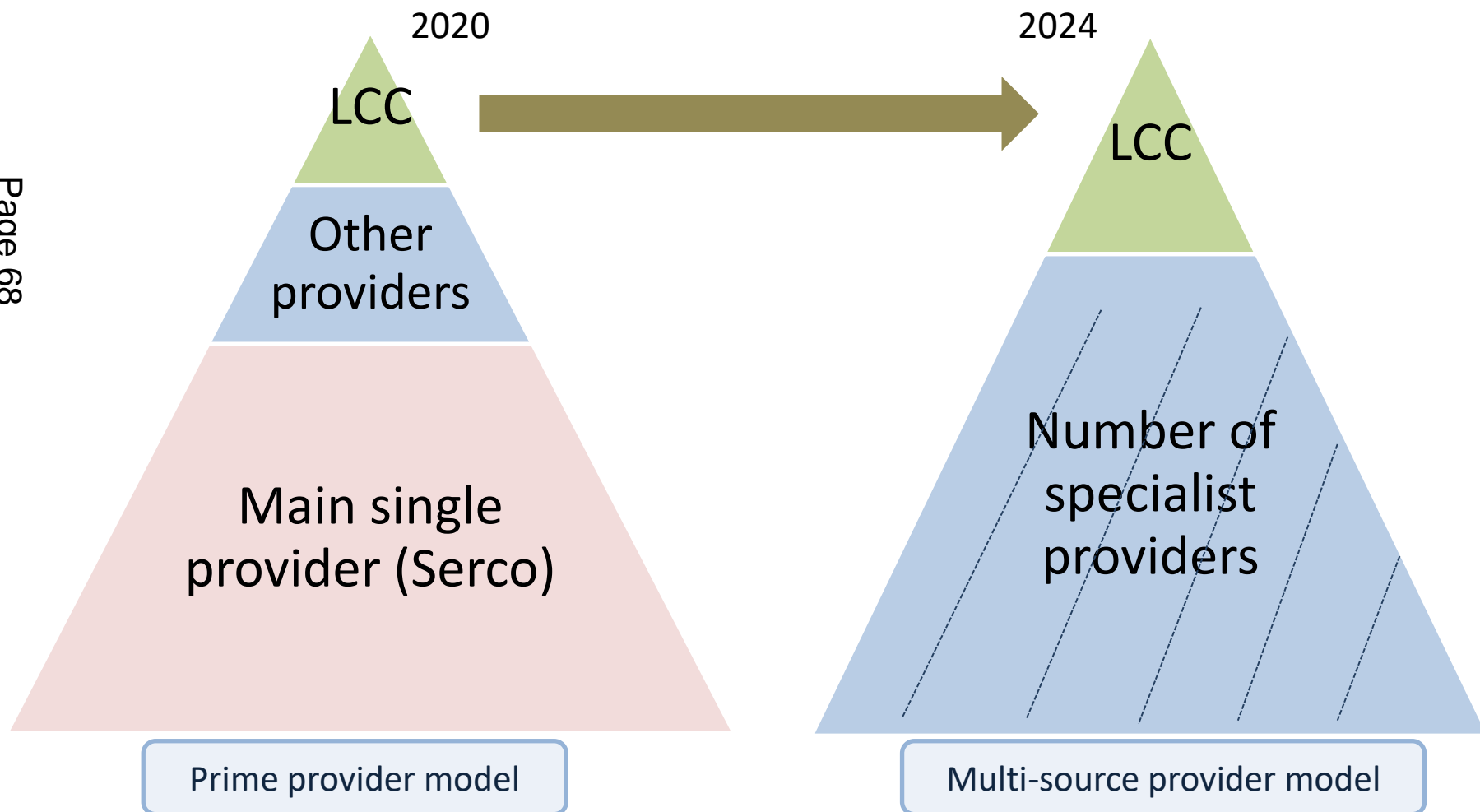
Be open to IT specialists who do not typically offer non ICT services (eg Business Process Outsourcing in HR, Payroll etc)

*This excludes transitional investment for IMT

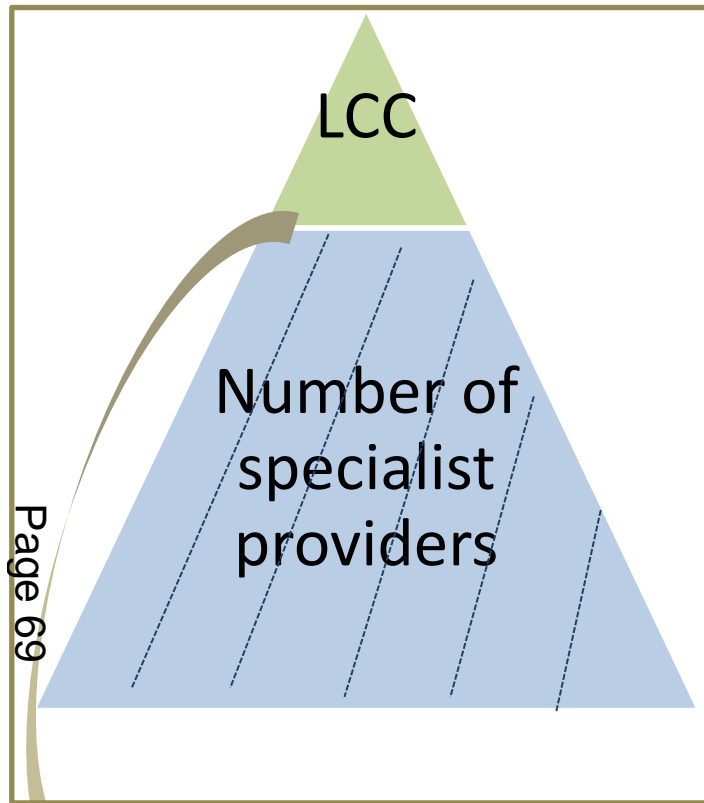
Future IMT Service Delivery: Now and then...

We currently operate through a 'prime provider' model, with Serco providing the bulk of our IMT service delivery. A move to a 'multi-source provider' model, where the Council commissions services from specialist IT providers, would address the drivers for change outlined on slide 10.

Page 68



Future IMT Service Delivery: The Practice of Multi Source...



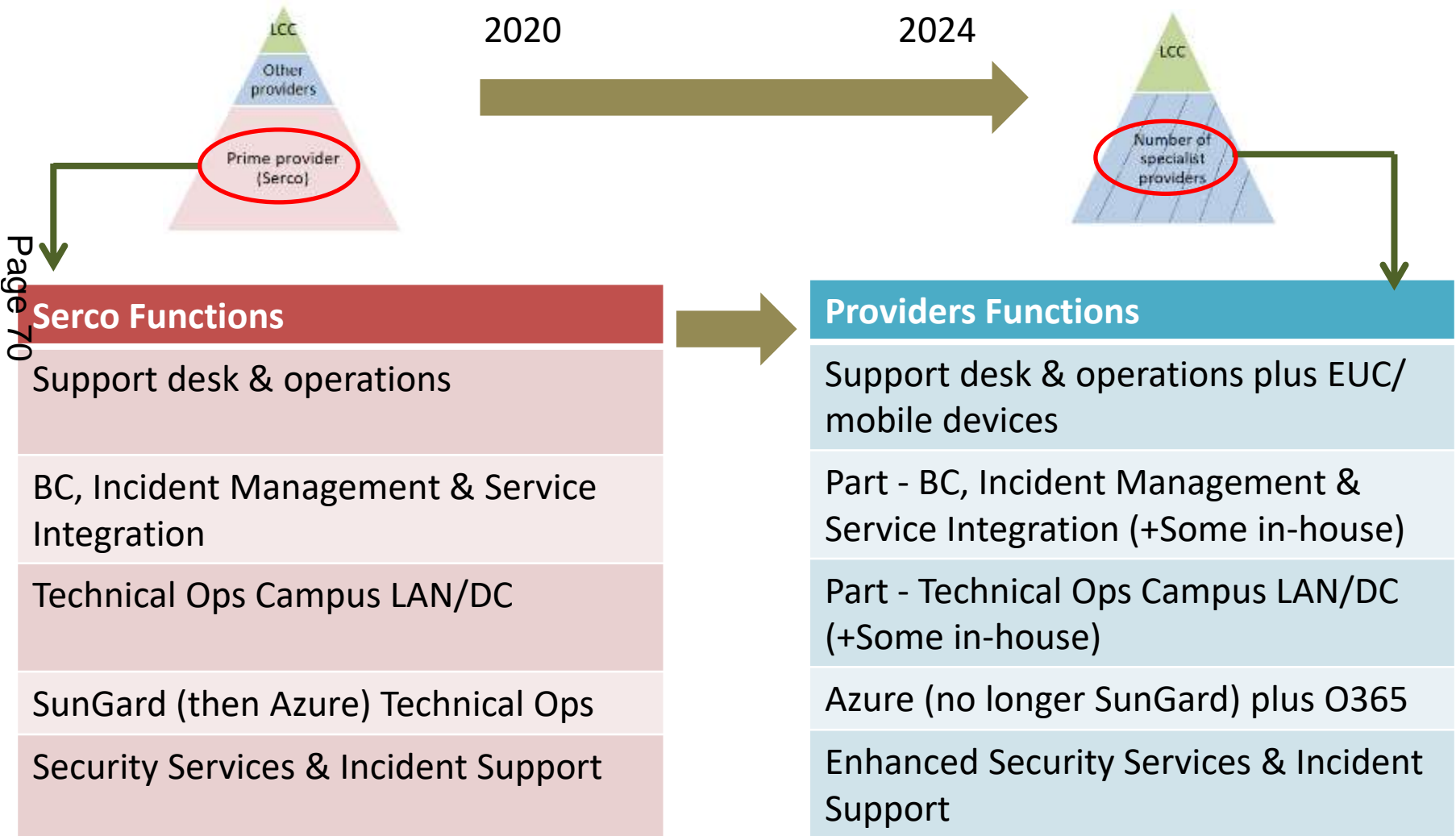
In addition to being an intelligent client LCC must become a 'Service Integrator' to manage the complexity of service delivery and relationships between multiple providers.

External providers are commissioned and managed by the LCC team. LCC ensures the right provider is procured for each IT service, within the cost, quality and risk criteria set by the Council.

Where the Council draws the line between in-house and commissioned services is critical to exploit the benefits of a multi-source provider model. Service delivery is contracted out, but the Council sets the direction, retains ownership of strategy, remains responsible for quality and ensures both agility and coherency of the overall service. Crucially, the overall 'gross cost' of IMT will remain unchanged.

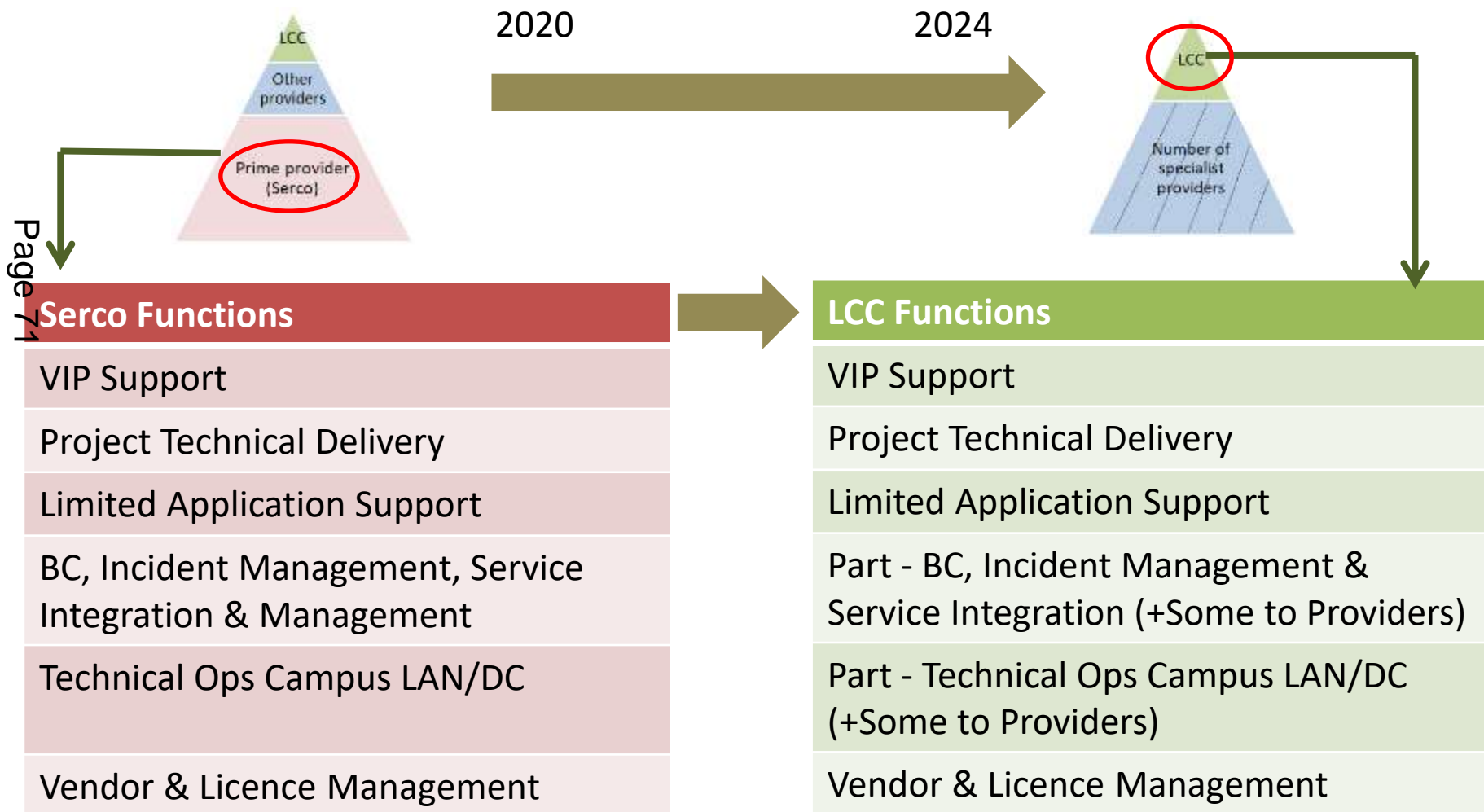
Future IMT Service Delivery: Now and then... for our current prime

Through a multi-source provider model, services currently delivered by Serco would be contracted out to specialist providers who are experts in their field. The tables below illustrate which IMT services would move from Serco to a range of providers.



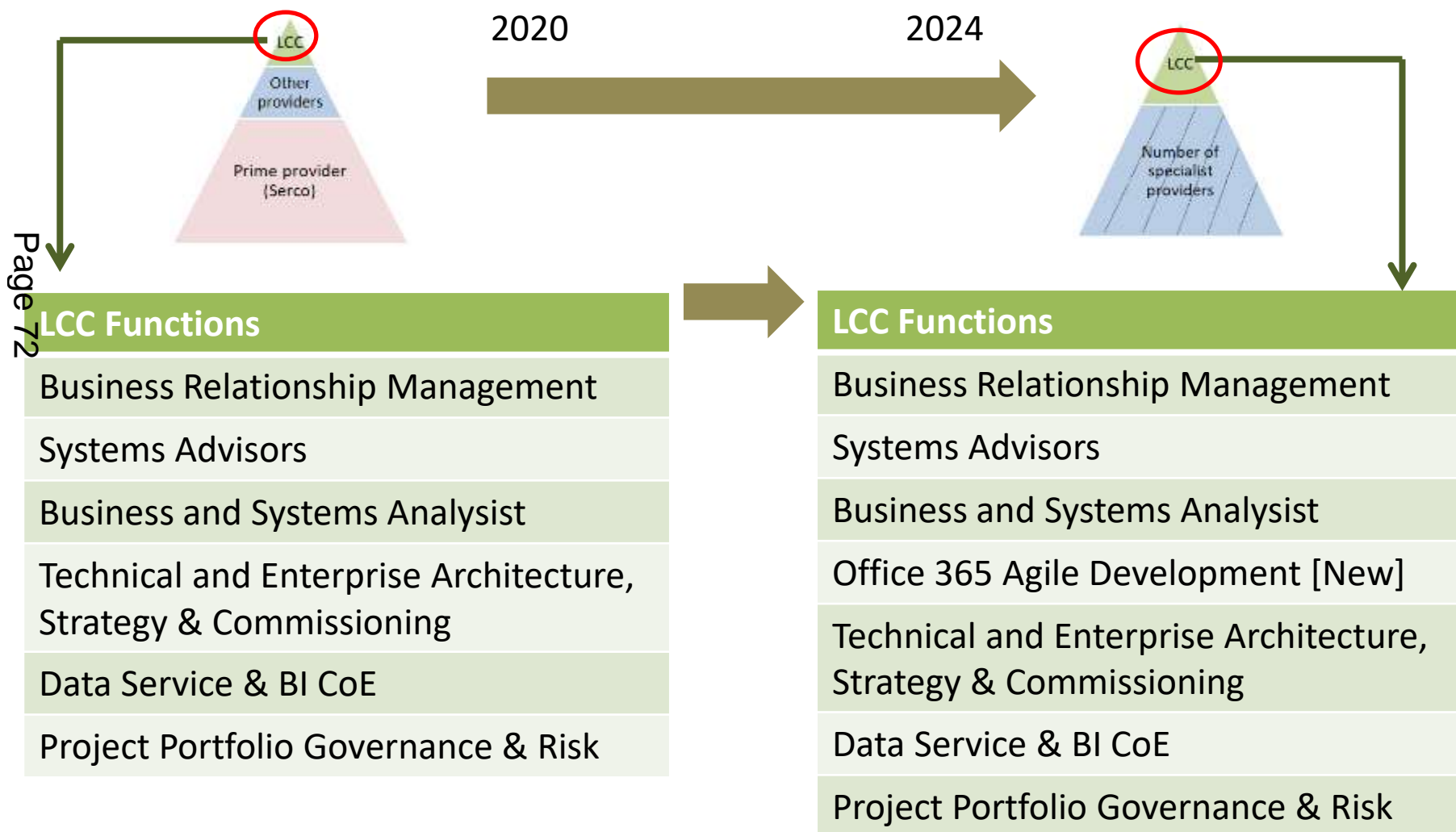
Future IMT Service Delivery: Now and then... for our in-house delivery

Using multiple expert providers to deliver different parts of our IMT services requires a Service Integration function within the Council to ensure effective delivery of the end to end service experience. The tables below illustrate functions currently in the Serco contract which would be best suited to internal delivery.



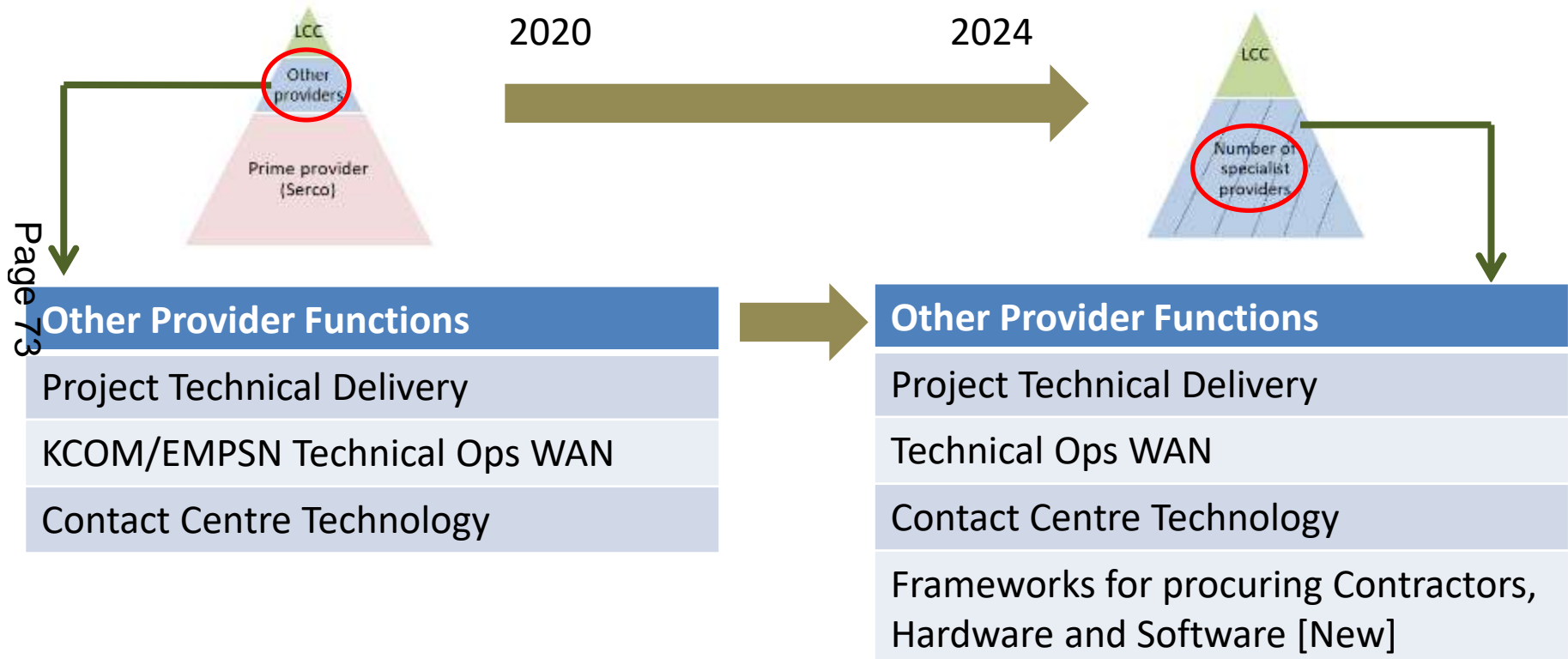
Future IMT Service Delivery: Now and then... for our in-house delivery

Further development of our Intelligent Client function e.g. establishing an 'Office 365 Agile Development' capability, and the need for a Service Integration layer, requires us to retain, and in some cases enhance, existing capabilities currently delivered by our in-house team.



Future IMT Service Delivery: Now and then... for smaller contracts

We currently have a small number of contracts which are beyond the scope of the Serco contract. Under the multi-source provider model, these would be commissioned separately in line with the expiration of the current arrangements, in order to maintain this specialist provision.



This page is intentionally left blank

**Open Report on behalf of John Wickens,
Assistant Director - IMT and Enterprise Architecture**

Report to:	Overview and Scrutiny Management Board
Date:	17 December 2020
Subject:	Update on IMT Services - Data Services and Serco Contract Performance

Summary:

This report serves to inform the Board on:-

1. The function and current work programme of the IMT Data Services Department; and
2. Serco's performance against its contract key performance indicators (KPIs) between January and October 2020.

Actions Required:

The Board is requested to seek assurance on the performance of the:-

1. IMT Data Services Department; and
2. Serco contract against its Key Performance Indicators.

1. Background

This report responds to a request for regular routine updates to the Overview and Scrutiny Management Board on all aspects of the Council's IMT function which, following agreement with the Chairman and Vice Chairman of the Board, will be made sequentially on a quarterly basis over a 12 month period. Whilst performance against the KPIs attached to the Serco contract will continue to be included in reports in June and December, this quarter also provides an update on the function and current focus of the Data Services Department. Update reports from other divisions of the IMT Department will follow in March, July and September.

2. Conclusion

The IMT Department has responded to the request of the Board to update it regularly on all aspects of the IMT function and on this occasion, this report serves to enable the Board to scrutinise two of them. Appendix A updates on the function, progress and future work programme of the Data Services Department, and Appendix B updates on Serco's performance against its KPIs over the period January – October 2020.

3. Consultation

a) Risks and Impact Analysis

Not applicable.

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	Data Services
Appendix B	Serco Contract Performance against Key Performance Indicators: January to October 2020

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 Sue Cline, Head of IMT Data Services and Business Intelligence who can be contacted on 07876 217180 and Paul Elverstone, ICT Contracts and Licensing Officer who can be contacted on 07920 581720. Alternatively, via e-mail to sue.cline@lincolnshire.gov.uk and paul.elverstone@lincolnshire.gov.uk respectively.

DATA SERVICES

Background

Excellent information and intelligence are essential in supporting Lincolnshire County Council (LCC) to deliver cost effective and efficient services.

The amount of data collected and stored by Lincolnshire County Council has increased radically over the years; as such it should be managed as an organisational asset. The value of this asset should be respected throughout its life, from collection, storage, processing, sharing to disposal.

Technology has advanced significantly in the last few years to enable improved solutions to our data storage, processing, analysis and presentation needs in a cost-effective way. With developments in Artificial Intelligence (AI), the Internet of Things, and smart technology there are opportunities to improve LCC service delivery, but only if it has a comprehensive, considered and joined up data platform on which to base these developments. Deciding which developments serve the County's interests requires analysis to be undertaken based upon sound and reliable data curated to recognised standards.

The aim of the Data Services function is to:

- Provide data and information in a consistent business language for reporting and analysis teams.
- Deliver one version of the truth for data across the organisation to reduce confusion and disparity in reporting.
- Remove the barriers between silos of data providing quicker and easier data analysis for planning improved service provision.
- Reduce costs of data storage through de-duplication of data sets and one flexible efficient data storage solution.
- Reduce manual processing through automated procedures eliminating duplication of work.
- Embed the 'One Council' ethos and be a pivotal part of the Business Intelligence (BI) strategy.
- Ensure data and information is secure, adhering to all legal and best practice security principles.
- Adhere to General Data Protection Regulation.
- Be reactive to business need.

Progress

A small team has been established to initiate the fundamental components on which LCC will develop its internal service delivery model.

The Data Services team has:

- Set up an environment to hold and store corporate data, implementing internal processes and communication channels.
- Rolled out new software tools to reporting and analysis staff.
- Automated the collection of data from the Care Quality Commission about regulated providers (GPs, Care Homes etc); provider and location information; inspection results.
- Automated the collection of metrics published by data.gov.uk about the COVID-19 pandemic; local and national data.
- Built a corporate store for information about addresses to be used to underpin many reporting functions within LCC.
- Developed a corporate data warehouse.
- Designed and built a Master Data Management solution to enable cross system reporting where appropriate.

Next steps

In the coming months the Data Services team will:

- Increase capacity to support work in the Transformation Programme and wider roll out to services to LCC.
- Continue to support the development of the Corporate Business Intelligence Strategy.
- Work closely with the Corporate Leadership Team and service areas to understand their data needs, and develop solutions that reduce repetition and support more efficient data processing for reporting and analysis.
- Establish the Centre of Excellence for data management and data automation.

Legacy Human Resource, Pensions and Finance Data - SAP®

During the original migration to the corporate ERP/Finance system “Business World On”, many years’ worth of payroll, pensions and HR data was abandoned on the original SAP system. This system was due for decommission when the Pensions service raised a critical issue that the data had to be retained, both to remain compliant and to support the day to day operations of the Pensions and other services.

The platform was not owned by LCC. It was even then archaic and unstable, and the platform contained other organisations’ data meaning LCC did not have administrative access to the system once operated by Mouchel and then transferred to Kier. Kier had lost the staff who had SAP skills and SAP is a complex platform. The business, legal and technical hurdles in recovering this data have been very significant.

The historic Enterprise Resource Planning (ERP) data has now been successfully transferred to a secure database created outside of the SAP® solution.

The project commenced by undertaking a requirement gathering exercise to identify what data from SAP® was required by LCC and Serco in order for them to undertake their day to day duties and to ensure legal compliance. These requirements were then used to inform the approach and system design.

With Serco support, Cap Gemini SAP consultants were commissioned to extract the data needed to meet the business needs. This was a long process, with in excess of 280 million records requiring to be moved from SAP® to a LCC staging area.

Whilst the data extraction was underway the user interface was created and developed by Serco from the specification, feeding in the data as it became available.

Over the last two months LCC staff have been undertaking user acceptance testing to ensure that the new system works as designed and that the data needed is available. As part of this, some useful feedback was received which has been considered and incorporated where appropriate.

There are some final developments to be completed, which will be rolled out in a release in a few weeks. Staff are now using the system in their roles and it is anticipated that LCC will release the Legal hold exercised allowing the decommissioning of the legacy SAP® solution which it is expected Kier will commence in January 2021.

SERCO CONTRACT PERFORMANCE AGAINST KEY PERFORMANCE INDICATORS JANUARY – OCTOBER 2020

Background

This report provides an update on Serco's performance against the contract key performance indicators (KPIs) between January and October 2020 (months 58 to 67 since the service commencement date 1 April 2015).

Performance

Table 1 below provides a summary of the red/amber/green (RAG) status of the IMT Service Key Performance Indicator (KPI) results for the ten months of service delivery from January to October 2020.

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.

The table gives the "Raw" outcome without any agreed mitigation. Where mitigation was agreed this is shown separately.

Exceptions

The only exceptions in the current reporting period relate to mitigations.

Table 2 below shows the background and rationale for the Council granting mitigation where a dependency outside of Serco's control (e.g. implementation of Mosaic) prevents agreed targets from being fully met. Granting mitigation relieves Serco from the application of Service Credits (deductions).

Table 1: Overall IMT-KPI Summary Performance

Overall (All Services) Contract Performance	Number of ICT KPIs									
	Yr 5 Jan- 20	Yr 5 Feb- 20	Yr 5 Mar- 20	Yr 6 Apr- 20	Yr 6 May-20	Yr 6 Jun-20	Yr 6 Jul-20	Yr 6 Aug-20	Yr 6 Sep-20	Yr 6 Oct-20
TSL achieved	13	13	11	10	9	11	11	11	11	11
MSL achieved	0	0	1	2	4	0	0	0	1	2
Below MSL	0	0	1	1	0	2	2	2	1	0
TOTAL	13	13	13	13	13	13	13	13	13	13
Mitigation Agreed	0	0	2	3	4	2	2	2	2	2

Table 2: Details of KPI Mitigation, Mar 20 – Oct 20:

KPI Ref No	Short Description	Reason for granting Mitigation	Impact	Path to Green
IMT_KPI_02 (April and May)	Priority 1 Incidents not Resolved within Resolution Time	The introduction of national lockdown because of COVID-19 and introduction of the Business Continuity Plan (BCP) meant that the demand on the service desk rose along with the demand for sudden unplanned rollout of technology to enable large numbers of people to work from home. Consequently, it was recognised that the limited resources available would have to be targeted away from normal working patterns.	Serco continued to deliver the service but in some cases were unable to meet normal timescales. As the extremely high demand for unplanned changes reduced, Serco were able to return to normal response times.	This KPI returned to green in June and has remained green since.
IMT_KPI_09 (March to October)	% Achievement of Service Request Fulfilment within Service Request Fulfilment Time	The COVID-19 BCP described above meant that incidents (i.e. something is not working and requires fixing) were prioritised over requests for service.	Serco continued to deliver the service but continue to prioritise fault fixing over service requests. There is a steady improvement in service request fulfilment within SLA but the ongoing problems caused by Always On Virtual Private Network (AOVPN) continue to hamper the return to normal service.	The TSL is 95% and the MSL is 85%. The rationale for continuing mitigation is discussed every month and progress is carefully monitored. September and October have shown month-on-month improvements to the extent that the performance has gone from failure to meet the minimum level in August (73.22%) to being close to the target level in October (87.07%).

KPI Ref No	Short Description	Reason for granting Mitigation	Impact	Path to Green
IMT_KPI_14 (March to October)	% of Windows end user devices patched within 21 days of release of critical operating system updates.	Software patches rely on a network connection in order to download on to user devices. The COVID-19 response prevented most staff from visiting LCC's offices and therefore did not connect to the Council's network. Once remote connectivity had been rolled out there was a substantial backlog of downloads to complete. Meanwhile software suppliers continue to release patches in response to new and emerging security issues and additional functionality requirements.	Serco continued to deliver the service but it is hampered by the ongoing connectivity issues.	The TSL is 95% and the MSL is 90%. The latest three months have seen improved performance from 86.52% in August to 94.04% in October. October's score was 1% below target. The patch downloads happen automatically when a device is connected remotely to the network but they require the end user to restart their device in order for the downloaded patch to be installed. Communications have been issued to remind users to restart their devices regularly. Serco has recently been asked to investigate whether it is possible to measure how many devices have downloaded the patches separately from whether the patch has been installed.
CSC_KPI_17 (May)	CMDB (Configuration Management Data Base) Integrity.	The COVID-19 BCP described above meant that there was an exceptionally high number of changes to the IMT estate.	Serco continued to deliver the service but in some cases were unable to meet normal timescales. As the extremely high demand for unplanned changes reduced Serco were able to return to normal timescales.	This KPI has remained green since June.

Trend Analysis

This section aims to note any significant changing trends in those KPIs that have met the TSL but may be showing signs of significant performance change - deterioration or improvement. This 'green' KPI trend data has been reviewed for the period from January to October 2020.

All of the 'green' KPIs are currently stable or improving and none look likely to reach their TSL limit before the contract ends.

Conclusion

The general picture is one of good performance when the effects of the COVID-19 Working from Home scenario are taken into account. It is notable that even during the height of the COVID lockdown, only four KPIs failed to perform at green. The two KPIs remaining in mitigation, i.e. KPI 09 and KPI 14, are receiving attention and both continue to improve.

A long running fault condition with remote access (aka AlwaysOnVPN) has given rise to a longer than expected period of KPI relief. The root causes for the protracted time to fix will be analysed after the condition is rectified, and there are now signs we have a solution and this has been deployed to around 20% of the work force at the time of writing. It is not thought the time elapsed represents any failure of service or quality.

Closing that fault condition will also allow a planned transition to a new KPI-09 basis to begin. The new KPI definition places equal priority on service requests and incidents (user reported faults) and will improve the user perception of the service, all other factors being equal.

During the last six months a considerable backlog of tickets has developed that will be analysed to determine the risk of identifying those with no business value for automatic closure. Given it could take many months, even over a year to manually work through the backlog, active consideration is being given to a bulk closure and a moratorium on old tickets which may require those users with unrectified faults or service requests to re-raise their ticket. This exceptional action would allow a return to near normal demand levels on the service in early 2021.



**Open Report on behalf of Andrew Crookham,
Executive Director - Resources**

Report to:	Overview and Scrutiny Management Board
Date:	17 December 2020
Subject:	Overview and Scrutiny Management Board Work Programme

Summary:

This item informs the Board of its current work programme for 2020/21. These meetings may be held remotely under the new "Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020" which have been introduced in April 2020 in response to the Coronavirus pandemic.

Actions Required:

This item is for information only.

1. Background

Work Programme

The current version of the work programme for the Overview and Scrutiny Management Board is set out in Appendix A.

Executive Forward Plan

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

2. Conclusion

This item is to inform the Overview and Scrutiny Management Board of its current work programme for 2020/21, which is attached at Appendix A to this report.

3. Consultation

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

OVERVIEW AND SCRUTINY MANAGEMENT BOARD

Each agenda includes the following standard items:

- Call-in (if required)
- Councillor Call for Action (if required)

17 December 2020 – Virtual Meeting		
Item	Contributor	Purpose
Scrutiny Review Report: Developer Contributions	Councillor Linda Wootten, Chairman of Scrutiny Panel A	Scrutiny Review Activity
Draft Infrastructure Funding Statement	Brendan Gallagher, Principal Planning Officer – Infrastructure	Pre Decision Scrutiny (Leader decision between 18 - 23 December 2020)
Corporate Support Services Review - Scope, Prime Provider Update and Draft IMT Model	Sophie Reeve, Assistant Director - Commercial John Wickens, Assistant Director – IMT and Enterprise Architecture	Policy Development
Update on IMT Services - Data Services and Serco Contract Performance	Sue Cline, Head of Data Services and Business Intelligence Paul Elverstone, ICT Contracts and Licensing Officer	Performance Scrutiny
Covid-19 Update	Michelle Andrews, Assistant Director – Corporate Recovery	Policy Development / Review

28 January 2021 – Virtual Meeting		
Item	Contributor	Purpose
Performance Reporting against the Corporate Plan Performance Framework 2020-2021 - Quarters 1 and 2	Jasmine Sodhi, Performance and Equalities Manager	Pre Decision Scrutiny (Executive decision on 2 February 2021)

Covid-19 Update	Michelle Andrews, Assistant Director – Corporate Recovery	Policy Development / Review
Service Budget Proposals 2021/22	Keith Noyland, Head of Finance - Communities	Budget Scrutiny (Executive decision on 2 February 2021) (Council Decision on 19 February 2021)
County Council Budget 2021/22	Michelle Grady, Assistant Director - Strategic Finance	Budget Scrutiny (Executive decision on 2 February 2021) (Council Decision on 19 February 2021)
Capital Strategy 2021/22	Sue Maycock, Head of Finance - Corporate Michelle Grady, Assistant Director for Strategic Finance	Pre-Decision Scrutiny (Executive decision on 2 February 2021)
Overview of the Transformation Programme	Andrew McLean, Assistant Director – Corporate Transformation, Programmes and Performance Clare Rowley, Head of Transformation	Policy Development / Review
Business World ERP System Re-Design – Progress Report	Louisa Harvey, ERP System Delivery Manager Andrew McLean, Assistant Director – Corporate Transformation, Programmes and Performance	Performance Scrutiny

25 February 2021 – Virtual Meeting		
Item	Contributor	Purpose
Treasury Management Performance Quarter 3 (1 October 2020 to 31 December 2020)	Karen Tonge Treasury Manager	Performance Scrutiny
Treasury Management Strategy Statement and Annual Investment Strategy 2021/22	Karen Tonge Treasury Manager Chris Scott, Link Asset Services	Pre-Decision Scrutiny (Executive Councillor Decision on 11 March 2021)
Performance Reporting against the Corporate Plan Performance Framework 2020/21 - Quarter 3	Jasmine Sodhi, Performance and Equalities Manager	Pre Decision Scrutiny (Executive decision on 2 March 2021)
Covid-19 Update	Michelle Andrews, Assistant Director – Corporate Recovery	Policy Development / Review
Revenue Budget Monitoring Report 2020/21 – Quarter 3	Michelle Grady, Assistant Director - Strategic Finance	Pre Decision Scrutiny (Executive decision on 2 March 2021)
Capital Budget Monitoring Report 2020/21 – Quarter 3	Michelle Grady, Assistant Director - Strategic Finance	Pre Decision Scrutiny (Executive decision on 2 March 2021)

17 March 2021 – Virtual Meeting		
Item	Contributor	Purpose
Status Update on the Transformation Programme	Andrew McLean, Assistant Director – Corporate Transformation, Programmes and Performance Clare Rowley, Head of Transformation	Policy Development / Review

17 March 2021 – Virtual Meeting		
Item	Contributor	Purpose
Performance of the Corporate Support Services Contract and Update on the Corporate Support Services Review	Sophie Reeve, Assistant Director - Commercial Arnd Hobohm, Serco Contract Manager	Performance Scrutiny
Update on IMT Services <ul style="list-style-type: none"> • Project Portfolio • Business Enablement 	Donna Fryer, Head of Portfolio and Resources Allison Kapethanasis, ICT Business Relationship and User Engagement Manager	Performance Scrutiny
Establishment of the Legal Services Company – Progress Report	David Coleman, Chief Legal Officer	Performance Scrutiny
Covid-19 Update	Michelle Andrews, Assistant Director – Corporate Recovery	Policy Development / Review
Property Services Contract Year Five Report	Stuart Wright , Contract Manager - Corporate Property	Performance Scrutiny

29 April 2021		
Item	Contributor	Purpose

17 June 2021		
Item	Contributor	Purpose
Introduction to Service Areas reporting to the Overview and Scrutiny Management Board	Debbie Barnes, Chief Executive Andrew Crookham, Executive Director – Resources James Drury, Executive Director - Commercial	Induction

1 July 2021		
Item	Contributor	Purpose
Treasury Management Annual Report 2020/21	Karen Tonge, Treasury Manager Chris Scott, Link Asset Services	Performance Scrutiny
Review of Financial Performance 2020/21	Michelle Grady, Assistant Director - Strategic Finance	Pre-Decision Scrutiny (Executive decision on 6 July 2021)
Performance Reporting against the Corporate Plan Performance Framework 2020/21 - Quarter 4	Jasmine Sodhi, Performance and Equalities Manager	Pre Decision Scrutiny (Executive decision on 6 July 2021)
Update on IMT Services <ul style="list-style-type: none"> • Plan Delivery • Service KPI's & Service Issues 	John Wickens, Assistant Director - IMT and Enterprise Architecture Miranda Johnson, Head of Contracted Services, IMT	Performance Scrutiny
HR Management Information and Workforce Plan Update Report	Lucy Shevill, Strategic HR Business Partner Fiona Thompson, Head of Human Resources	Performance Scrutiny

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

FORWARD PLAN OF KEY DECISIONS FROM 04 JANUARY 2021

PUBLISH DATE 4 DECEMBER 2020

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
I020062	Council Budget 2021/22	Open	Executive 5 Jan 2021		Report	Assistant Director for Strategic Finance Email: michelle.grady@lincolnshire.gov.uk	All Divisions
I021480	Exception to the Contract and Procurement Procedure Rules - Behaviour Outreach Support Service	Exempt	Executive Councillor: Adult Care, Health and Children's Services Between 18 Jan 2021 and 21 Jan 2021	Children and Young People Scrutiny Committee	Exempt Report	Interim Commissioning Manager - Commercial Email: saraj.gregory@lincolnshire.gov.uk	All Divisions
I021492	A1084 Caistor Safer Roads Primary Route Network	Open	Executive Councillor: Highways, Transport and IT And Leader of the Council (Executive Councillor: Resources and Communications), Between 18 Jan 2021 and 29 Jan 2021	Highway colleagues and utility companies	Report	Senior Project Leader Email: karl.gibson@lincolnshire.gov.uk	North Wolds
I021123	Schools funding update 2021/22 - mainstream schools	Open	Executive Councillor: Adult Care, Health and Children's Services 20 Jan 2021	Children and Young People Scrutiny Committee	Report	Head of Finance (Children's Services) Email: mark.popplewell@lincolnshire.gov.uk	All Divisions

I021047	The expansion of St Bernard's School, Louth	Exempt	Leader of the Council (Executive Councillor: Resources and Communications) Between 25 Jan 2021 and 29 Jan 2021	Children and Young People Scrutiny Committee	Exempt Report	Head of Property Development Email: dave.pennington@lincolnshire.gov.uk Programme Manager, Special Schools Strategy Email: eileen.mcmorrow@lincolnshire.gov.uk	Louth South
I021482	Highway Fees and Charges Annual Review	Open	Executive Councillor: Highways, Transport and IT Between 26 Jan 2021 and 29 Jan 2021	Highways and Transport Scrutiny Committee	Report	Traffic Manager Email: mick.phoenix@lincolnshire.gov.uk	All Divisions
I021125	Charging for Pre-Application Advice	Open	Executive 2 Feb 2021	Environment and Economy Scrutiny Committee	Report	Head of Planning Email: neil.mcbride@lincolnshire.gov.uk	All Divisions
I021124	Hoplands, Sleaford Extra Care Housing Scheme	Open	Executive 2 Feb 2021	Adults and Community Wellbeing Scrutiny Committee	Report	Senior Project Manager Email: emma.rowitt@lincolnshire.gov.uk	All Divisions
I021368	Green Master Plan	Open	Executive 2 Feb 2021	Environment and Economy Scrutiny Committee; Transformation Programme Board; Departmental Leadership Team; Corporate Leadership Team; Partner organisations	Report	Head of Environment Email: david.hickman@lincolnshire.gov.uk	All Divisions
I021361	Review of the Lincolnshire Minerals and Waste Local Plan	Open	Executive 2 Feb 2021	Environment and Economy Scrutiny Committee	Report	Minerals and Waste Policy and Compliance Manager Email: adrian.winkley@lincolnshire.gov.uk	All Divisions
I020523	County Council Budget 2021/22	Open	Executive 2 Feb 2021	Overview and Scrutiny Management Board	Report	Assistant Director - Strategic Finance Email: michelle.grady@lincolnshire.gov.uk	All Divisions
I021473	Lincolnshire Homes for Independence blueprint	Open	Executive 2 Feb 2021	Lincolnshire Health and Wellbeing Board; and the Housing Health and Care Delivery Group	Report	Assistant Director, Prevention and Early Intervention Email: semantha.neal@lincolnshire.gov.uk	All Divisions

021494	Tattershall Household Waste recycling Centre	Open	Executive Councillor: Commercial and Environmental Management Between 24 Feb 2021 and 26 Feb 2021	Environment and Economy Scrutiny Committee	Report	Delivery & Transformation Manager (Waste) Email: mike.reed@lincolnshire.gov.uk	
I021048	The expansion of the Priory School, Spalding	Open	Leader of the Council (Executive Councillor: Resources and Communications) Between 10 Mar 2021 and 15 Mar 2021	Children and Young People Scrutiny Committee	Report	Head of Property Development Email: dave.pennington@lincolnshire.gov.uk Programme Manager, Special Schools Strategy Email: eileen.mcmorrow@lincolnshire.gov.uk	Spalding South
I021497	The future of the boarding provision at The St Francis Special School, Lincoln (Final decision)	Open	Executive Councillor: Adult Care, Health and Children's Services Between 15 Mar 2021 and 19 Mar 2021	Interested parties as DfE guidance including: school staff, schools, County, Parish and District Councils, MPs, Trade Unions; Diocese; local NHS; and the Children and Young People Scrutiny Committee	Report	Interim Head of Education Support Email: matthew.clayton@lincolnshire.gov.uk	All Divisions
I021049	The expansion of St Lawrence's School, Horncastle	Open	Leader of the Council (Executive Councillor: Resources and Communications) Between 28 Jun 2021 and 2 Jul 2021	Children and Young People Scrutiny Committee	Report	Head of Property Development Email: dave.pennington@lincolnshire.gov.uk Programme Manager, Special Schools Strategy Email: eileen.mcmorrow@lincolnshire.gov.uk	Horncastle and the Keals
I021050	The expansion of St Christopher's School, Lincoln	Open	Leader of the Council (Executive Councillor: Resources and Communications) Between 29 Nov 2021 and 3 Dec 2021	Children and Young People Scrutiny Committee	Report	Head of Property Development Email: dave.pennington@lincolnshire.gov.uk Programme Manager, Special Schools Strategy Email: eileen.mcmorrow@lincolnshire.gov.uk	Swallow Beck and Witham