

Guildhall Gainsborough
Lincolnshire DN21 2NA
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AGENDA

This meeting will be recorded and the video archive published on our website

Corporate Policy and Resources Committee
Thursday, 10th January, 2019 at 6.30 pm
The Council Chamber - The Guildhall

Members:

- Councillor Jeff Summers (Chairman)
- Councillor Owen Bierley (Vice-Chairman)
- Councillor Mrs Sheila Bibb
- Councillor Matthew Boles
- Councillor David Cotton
- Councillor Michael Devine
- Councillor Ian Fleetwood
- Councillor Stuart Kinch
- Councillor John McNeill
- Councillor Mrs Maureen Palmer
- Councillor Tom Regis
- Councillor Trevor Young

1. **Apologies for Absence**
2. **Public Participation Period**
Up to 15 minutes are allowed for public participation. Participants are restricted to 3 minutes each.
3. **Minutes of Previous Meeting** (PAGES 3 - 13)
To confirm as a correct record the Minutes of the previous meeting held on 13 December 2018:
4. **Declarations of Interest**
Members may make declarations of Interest at this point or may make them at any point in the meeting.
5. **Matters Arising Schedule** (PAGE 14)
Setting out current position of previously agreed actions as at 2 January 2019.
6. **Public Reports for Approval:**

Agendas, Reports and Minutes will be provided upon request in the following formats:

Large Clear Print: Braille: Audio: Native Language

- i) Review of Earmarked Reserves (PAGES 15 - 24)
 - ii) Review of the Disciplinary Procedure (PAGES 25 - 38)
 - iii) Managing Staff During Disruptions at Work (PAGES 39 - 49)
 - iv) Sundry Debt Recovery Policy and Procedures (PAGES 50 - 62)
 - v) GDPR Implementation Update (PAGES 63 - 73)
 - vi) Review of Key Strategic Partnerships (PAGES 74 - 115)
 - vii) Asset Management Policy (PAGES 116 - 128)
 - viii) Compliance Policy (PAGES 129 - 137)
7. **Committee Work Plan** (PAGES 138 - 142)
8. **Exclusion of Public and Press**
To resolve that under Section 100 (A)(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Act.
- i) Market Street Renewal Ltd - Financial Management (TO FOLLOW)

Mark Sturgess
Head of Paid Service
The Guildhall
Gainsborough

Wednesday, 2 January 2019

Agenda Item 3

Corporate Policy and Resources Committee- 13 December 2018
Subject to Call-in. Call-in will expire at 5pm on 31 December 2018

WEST LINDSEY DISTRICT COUNCIL

MINUTES of the Meeting of the Corporate Policy and Resources Committee held in The Council Chamber - The Guildhall on 13 December 2018 commencing at 6.30 pm.

Present: Councillor Jeff Summers (Chairman)
Councillor Owen Bierley (Vice-Chairman)

Councillor Mrs Sheila Bibb
Councillor Matthew Boles
Councillor David Cotton
Councillor Michael Devine
Councillor Ian Fleetwood
Councillor Paul Howitt-Cowan
Councillor John McNeill
Councillor Thomas Smith

In Attendance:
Ian Knowles Executive Director of Resources and S151 Officer
Eve Fawcett-Moralee Executive Director of Economic and Commercial Growth
Michelle Carrington Strategic Lead Customer First
Katy Allen Corporate Governance Officer
Jeannette Anderson Corporate Systems Development & ICT Manager
Ellen King Senior Performance Officer
Alison McCulloch Revenues Manager
Ady Selby Strategic Manager Services
James Welbourn Democratic and Civic Officer
Karen Whitfield Communities & Commercial Programme Manager

Also in attendance: One member of the public

Apologies: Councillor Stuart Kinch
Councillor Mrs Maureen Palmer
Councillor Tom Regis
Councillor Trevor Young

Membership: Councillor Thomas Smith substituted for Councillor Maureen Palmer
Councillor Paul Howitt-Cowan substituted for Councillor Tom Regis

66 PUBLIC PARTICIPATION PERIOD

There was one question from a member of the public, as detailed below:

"I call into question the actions of this Committee."

My first concern is with regard to the overwhelming desire to plunge this District into a massive amount of long term debt. I am fully aware of the reduction in Government funding but according to the statement in the year-end financial report there was almost £20m in useable reserves and the Financial Officer said "we have adequate revenue balances to provide financial security".

CIPFA have issued warnings to all Councils to temper overly excessive borrowing to support purchases of commercial property and I strongly suggest that this Council takes heed of this before purchasing anymore properties. For a £6m investment in a commercial property to show a return it relies on one tenant to pay the rent and in the current economic climate that is always a risk. For that same £6m you could build over 100 houses in the old Wilson Street area and rent these out, giving both rent and council tax revenue with virtually no risk; yes there will be maintenance costs along the way, but as these would be new properties this should not happen straight away.

My second concern is regarding the decision making in regard to purchase of properties and the so called 'Delegated Powers' whereby deals are done by a couple of people and then brought to Committee as a 'done deal', where papers have already changed hands - this is fundamentally wrong in so many ways.

My next concern relates to companies under either full or partnered ventures currently under this Council's umbrella, Sure Staff and MSR Ltd. The former losing money year on year and the latter being a total disaster. MSR Ltd was formed with joint capital of £750k and received grants of £171k, making a total of £921k. 3 properties were purchased for a total of £333k; there is currently a balance of £19k and two of the properties are not even finished. That means that it has taken almost £600k to complete the works. That is a ridiculous overspend for this project and you blame this on 'Heritage Factors'; I blame it on poor management, as can be said for the old Gainsborough Standard office. Purchased, stood empty for 5 years, worth considerably less than the original purchase price plus money spent on refurbishment and now likely to cost over £400k to get it to market; again poor management.

My final concern is with the Crematorium venture and cost involved in the process. The Parish Council at the Planning meeting opposed the plan citing both location and their research on cost. I do not concern myself with the location and I also welcome the new facility, but, I have also looked at cost and find similar builds in the middle of a field where all utilities have to be installed and the total cost was £3.6m; mind you I will point out that this particular company have built 187 crematoria around the country, so they know what they are doing. You on the other hand employ DESIGN CONSULTANTS costing over £50k to come up with a £6m crematorium.

So my question is are you looking after this regions money or, at £6m for Coveris, £6m for Market Rasen Leisure centre, £6m for Crematorium, which makes (666) so do we in actual fact have the devil amongst us?

The response was as follows:

"Thank you Mr Morley for your reflections on our investment strategy. I can assure you that all our investments are made based on appropriate professional advice, due diligence and in

line with the governance of the organisation. Our approach is supported by the outcome of both internal and external audits.

CIPFA's concerns are with those local authorities that have borrowed significantly above what might be considered reasonable. I assure you that our borrowings for this purpose will not exceed more than three times our turnover and is fully explained in our treasury management and asset management strategy.

Your reference to housing whilst optimistic with regards the level of risk, is timely, as we are currently exploring the opportunities housing may offer and I appreciate your support for this strategy."

67 MINUTES OF PREVIOUS MEETINGS

The minutes of the Corporate Policy and Resources meeting held on 8 November 2018 were approved as a correct record.

The minutes of the Joint Staff Consultative Committee meeting held on 22 November 2018 were noted.

68 DECLARATIONS OF INTERESTS

Councillor Matt Boles declared an interest in item 74 as the Leader of Gainsborough Town Council and a trustee of the Trinity Foundation; he would not take part in the debate or the vote and left the Chamber for the duration of that item.

69 MATTERS ARISING SCHEDULE

The Executive Director of Economic and Commercial Growth updated the committee on the matter related to ACIS and Japan Road.

Discussions with ACIS have concluded for the moment; other discussions have commenced with Ongo housing association. The viability of the site was complex, so one option could be to break it down into smaller phases.

The remainder of the matters arising were noted.

70 BUDGET CONSULTATION REPORT 2018

Members considered a report on the Budget Consultation from 2018.

The following points were highlighted:

- The response rates for the consultation were good, and better than the previous year, but not the highest ever seen;
- The most popular support for a raise in Council tax was at 3%, rather than 1% or 2%;
- The service priorities receiving the greatest support, or the highest priority were

Waste, Environmental, Housing and Economic Development;

- Significant support was received to use the New Homes Bonus across the whole of the West Lindsey district;
- The Fees and Charges policy received support;
- Support for third party organisation partnership working was given;
- The Rural Services Development Grant was supported at the same level as currently seen;
- The Financial Statement from government agreed not to go ahead with a negative Revenue Support Grant (RSG) (saving £65,000). The level of the 0.4% achievement rate for the New Homes Bonus rate had been maintained;
- There were still deficits for future years that would need to be tackled;
- During the last two years, the consultation had been done through a digital format where people would prioritise where they would make cuts; however people still wanted more information to make a more intelligent decision;
- A new Corporate Plan was being developed; ideally, this would be used as a base for the Budget Consultation;
- The number of Councillors listed as having responded within the survey did not take into account the Councillors that attended budget events; this was a further 6 Councillors, making 8 in total.

RESOLVED to:

- (1) Accept the findings from the 2018 budget consultation and agree to publication of the final report.
- (2) Agree to the proposals for the 2019 consultation exercise.

71 PROGRESS AND DELIVERY REPORT - PERIOD 2 2018/19

Members considered the Progress and Delivery report for Period 2, 2018-19.

The following points were highlighted:

- The report covered the period from June to September 2018; performance across all areas was broadly static, and comparable to the Period 1 report earlier this year;
- The number of complaints had fallen significantly;
- The return on capital investment and the overall budget forecast was exceeding the target that had been set;

- Garden waste was exceeding performance indicators;
- There was an increase in new participants at West Lindsey Leisure Centre;
- A further paper was being brought to Corporate Policy and Resources committee in January 2019 on the amount of time being spent processing Housing and Enforcement cases;
- The figure within the report relating to enforcement was 'days taken'; currently the figure was an average number of days. The cases closed could be long-standing, or short, and the final figure tended to get skewed;
- There had been a concerted effort to close long-standing Enforcement issues; they would get to a point where they would plateau, as the level of Planning cases was consistent.

The whole case load was generally around 120 cases, with around 20 being the highest priority. The challenge for the team was focussing on the highest priority cases, continuing the focus, and then moving onto the smaller cases.

RESOLVED to note the performance of the Council's services and key projects through agreed performance measures.

72 CONTENT MANAGEMENT SYSTEM (WEBSITE) REPLACEMENT

Members considered a report requesting approval to spend the capital budget of £75,000 to procure and implement a new Content Management System (CMS).

The website contract was coming to an end in March 2020. Before that date, there would be customer engagement and preparation for the transition to the new website.

One Member wanted, if possible, to see an industry standard product that would have a longer shelf life.

RESOLVED to give approval to spend capital budget of £75,000 for the procurement and implementation of a new website.

73 ICT & DIGITAL STRATEGY - 6 MONTH PROGRESS UPDATE

Members considered a report on the delivery of progress made against the Council's ICT and Digital Strategy since Members signed off the Strategy back in June 2018.

The ICT strategy was a key enabler in moving the Council forward with IT, and outlined how digital technology can be used in the best way.

Members provided comment on the update, and the following points were highlighted:

- Members' ICT was not explicit in the paper, but was part of the overall Strategy;

- All green waste customers would be sent an email and/or text message in the first instance, and then the renewals list would be used as a comparison list to see who hadn't renewed. It was expected that an individual would receive no more than three texts during the renewal period;
- There was a 'moving house process' for council tax payers in the district. Any move that happened from January 2019 onwards would be acted on. In addition, if a resident had notified the Council of a change in address within the district, then that could be acted on, and their record at the old address would be removed.

Residents moving out of the district would need to be looked at;

- Whilst the move towards digitisation was positive in terms of the customer experience, it did not mean that other ways of communicating and conducting transactions would be forgotten.

RESOLVED to:

- (1) Accept progress on the delivery against the ICT and Digital Strategy;
- (2) Accept the direction taken.

74 SUB-LEASE OF ROSE'S SPORTS GROUND

Note: Councillor Matt Boles left the room prior to the start of this item and was absent for its entirety.

Members considered a report on the potential sub-lease of Rose's Sports Ground by Gainsborough Town Council to the Trinity Foundation, with a one-off capital grant to support the development of a 3G community pitch.

The following points were highlighted:

- WLDC own the sports ground, and it was leased to Gainsborough Town Council (GTC) for a period of 99 years back in 2010;
- The Trinity Foundation had identified a funding opportunity to provide a 3G facility;
- A sub-lease to the Trinity Foundation would ensure that they were bound by the terms of the original lease from 2010;
- Aspirations of the Trinity Foundation were to open up the site for wider community use, increase daytime use, establish links with educational establishments and provide sports courses;
- The development of the site would increase the value of a Council-owned asset and would increase opportunities for residents to access facilities to aid physical activity;
- Positive conversations had taken place with the Football Foundation who had

indicated they were likely to fund the Trinity Foundation to the region of £600,000, leaving a funding gap of around £150,000;

- Any funding not used by the development could be 'clawed back' by the Council;
- The suggested Heads of Terms attached to the report not only addressed the financial aspects of the development, but also ensured that any users of the facilities who were displaced by the development were rehomed and given alternative facilities.

Members then asked questions of officers present. Further information was then provided, and is listed below:

- The Trinity Foundation had been in initial discussions with English Cricket, who had no issues with the potential relocation of the cricket club to Marshall's;
- If the report were to be approved, it would facilitate an application to the Football Foundation in January 2019, for a decision in April 2019. Any facility would not be ready until the following winter, which allowed a large portion of time for consultation with those clubs affected;
- The site would not be predominantly for football; there had also been discussions with the rugby club;
- The feasibility study showed that there were approximately 72 teams that currently had nowhere to train;
- The facility would not be solely for the use of Gainsborough Trinity. They would use the site for training, but would pay the same rate as other users and would only require it on two occasions per week. Other teams bearing the Trinity name were not actually affiliated to Gainsborough Trinity Football Club;
- In some ways, the granting of a licence to GTC would ensure the original terms and conditions of this lease would be maintained. WLDC would have influence as accountable body for the Grant provided by the Football Foundation.

GTC approached WLDC some months ago on the basis that they didn't have the resources to invest in the asset – the proposed £750,000 investment would be towards something that was not currently in the area;

- Members requested that an officer from WLDC sit on the Stakeholder Management Group (Steering Group) mentioned at Page 140 of the Heads of Terms document;

Several Members also made it clear that WLDC as landlords should handle the situation very carefully when it came to existing users of the sports ground.

RESOLVED TO:

- (1) Approve in principle to grant a licence to Gainsborough Town

Council in order that Rose's Sports Ground may be sub-let to the Trinity Foundation;

- (2) Approve a Capital Budget and expenditure capped at £150,000 to provide a grant as match funding towards the cost of constructing a 3G pitch at Rose's Sports Ground; this is to be subject to the terms of a grant funding agreement;
- (3) Agree to delegate the final amount and the Grant Funding Agreement to the Executive Director of Resources in conjunction with the Chairman of the Corporate Policy and Resources committee.

75 REVIEW OF THE GARDEN WASTE SUBSCRIPTION SERVICE ROLL-OUT

Note: Councillor Matt Boles returned to the Council Chamber, but Councillor Mick Devine briefly left.

Members considered a report on the performance of the garden waste subscription roll-out.

The following points were highlighted:

- A total of 58.3% of householders subscribed to the service by the end of October 2018, and almost 10000 transactions had been dealt with by Customer Services. In Nettleham and Sudbrooke wards, an uptake rate of 75% was achieved;
- The tonnage of waste collected in 2018/19 was currently down on that collected in 2017/18. There had been a slight rise in residual waste. Officers concluded that the variances in the tonnage collected was due to the long hot summer of 2018; however officers also recommended a minimum of three years' data for a clearer picture;
- There had been a slight increase in the amount of compost bins sold;
- Garden waste fly-tipping had decreased in year, along with fly-tipping as a whole;
- There had been 11 formal complaints, and 11 comments about the service, which had been dealt with acceptably;
- A smaller project team was planned for year 2 of the scheme. The team had knowledge of when residents subscribed, and through which channels. There would be a focus in dealing with the subscriptions online; however, the phone lines would be opened up in February to deal with anyone who couldn't, or didn't want to register over the internet;
- In the next year, addresses would be printed on bin stickers rather than leaving them blank for residents to fill in. There were other options here, such as in-cab technology, but these options would be more costly;

- There were no immediate plans to change collection rounds;
- Financial costs had increased due to a higher than expected take-up of the service, and also due to the pay award for staff;

Note: Councillor Mick Devine rejoined the Chamber at 1940, prior to Members discussing the item.

Following comments from Members, further information was provided:

- The Council must make sure they were contactable by those residents who have no access to IT;
- Officers hope to be able to include a wait time on the telephone when residents call to sign up, or renew their garden waste subscription;
- 121 composters were sold through the Council scheme in the previous year, compared to 33 in the year before that. Unfortunately there was no accurate overall figure for the District as residents can buy compost bins from a number of outlets;
- One Member praised Customer Services when he registered to use the service on the telephone.

RESOLVED to approve a charge of £35 per subscription for the 2019/20 garden waste season.

76 LOCAL COUNCIL TAX SUPPORT SCHEME FOR 2019/20 AND EMPTY PROPERTY CHARGES

Members considered a report on the local council tax support (LCTS) scheme for West Lindsey District Council (WLDC) for 2019/20.

As well as the LCTS, new legislation afforded Local Authorities (LAs) to increase the premium for long term empty properties. Long term empty properties were defined as those that had been empty for 2 years or more.

There was a scheme for council tax hardship relief; as an example, if a resident encountered problems in a property higher than Band E (above the cap), then they could be considered under that scheme.

RESOLVED to:

- (1) Note the contents of the report; and
- (2) **Recommend that full council** adopt Option 1 of the report for the Local Council Tax Support Scheme for West Lindsey District Council for 2019/20:
 - *To cap council tax support to Band E*
 - *Award 100% council tax support to care leavers on a low income until they*

reach the age of 25 years

- *to apply any new legislative requirements and the uprating of the non-dependent charges (these are detailed at 3.4 option 4), applicable amounts and household allowances and deductions, used in the calculation of the reduction in accordance with the Department for Works and Pensions (DWP) annual up-ratings.*

(3) **Recommend that full council** adopt Option 2 of the report for the empty property charges for council tax for West Lindsey District Council for 2019/20:

- *In accordance with new government legislation increase the amount charged in respect of properties that have been empty for 2 years or more from 150% to the maximum amount determined by Government (currently 200%).*

77 COMMITTEE WORK PLAN

The Executive Director for Resources reminded Members that purdah would apply to the April 2019 meeting.

The workplan was noted.

78 EXCLUSION OF PUBLIC AND PRESS

RESOLVED that under Section 100 (A)(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in paragraphs 1,2 and 3 of Part 1 of Schedule 12A of the Act.

79 NATIONAL NON DOMESTIC RATES, COUNCIL TAX AND HOUSING BENEFIT OVERPAYMENTS WRITE OFFS

Members considered a report detailing irrecoverable debts.

RESOLVED to:

- (1) Write off arrears of National Non Domestic rates to the value of £59,070.92;
- (2) Write off arrears of Housing Benefit Overpayments to the value of £7,135.14;
- (3) Write off arrears of Council Tax to the value of £3,373.67.

80 SUN INN REDEVELOPMENT - PROPOSED VARIATION TO GRANT FUNDING AGREEMENT

Members considered a variation to the Grant Funding Agreement for the Sun Inn development.

RESOLVED to approve the recommendations as written in the report.

Corporate Policy and Resources Committee- 13 December 2018
Subject to Call-in. Call-in will expire at 5pm on 31 December 2018

The meeting concluded at 8.21 pm.

Chairman

Corporate Policy & Resources Committee Matters Arising Schedule

Purpose:

To consider progress on the matters arising from previous Corporate Policy & Resources Committee meetings.

Recommendation: That members note progress on the matters arising and request corrective action if necessary.

Status	Title	Action Required	Due Date	Allocated To
Black				
	Enforcement Update	<p>The minutes for P and R in December reported that:</p> <p>"A further paper was being brought to Corporate Policy and Resources committee in January 2019 on the amount of time being spent processing Housing and Enforcement cases"</p> <p>This will now be brought as an appendix to the next P and D report in February</p>	14/02/19	Ian Knowles
	Digital Customer Engagement	<p>AT the CPR meeting on 13 December, Cllr Bibb backed up the ICT report (Michelle's report) and said that it would be good to get communications out there that reinforced that customers can interact with the Council digitally, but there are other means of doing so, such as phone, and cash transactions.</p>	10/01/19	Julie Heath



**Corporate Policy and
Resources Committee**

10 January 2019

Subject: Annual Review of Revenue Reserves 2018/19

Report by:

Executive Director of Resources

Contact Officer:

Tracey Bircumshaw
Strategic Finance and Business Support Manager

tracey.bircumshaw@west-lindsey.gov.uk

Purpose / Summary:

To consider the proposals informed through the annual review of reserves process.

RECOMMENDATION(S):

- 1. To approve the General Fund minimum working balance of £2m.**
- 2. To approve the changes as proposed and informed by the Earmarked Reserves review, including returning £0.323m to the General Fund Working Balance.**
- 3. To approve £0.200m be transferred from the Commercial Contingency Budget to the Valuation Volatility Reserve.**
- 4. To approve £0.163m of the General Fund Working Balance be transferred to the Valuation Volatility Reserve.**

IMPLICATIONS

Legal: None from this Report

Financial: FIN/137/19/TJB

As at 31 March 2018 Earmarked Reserves totalled £12.636m. After taking account of all approved movements and taking into account the proposals within this report the forecast balance as at 31 March 2019 is £13.135m

The review of Earmarked Reserves identified £0.323m which can be returned to the General Fund Working Fund Balance.

In relation to the Valuation Volatility Reserve the Commercial Portfolio Strategy approved in July 2017 identified that a reserve should be created to mitigate any loss on investment from the sale of commercial investment properties, and a reserve of £250k (5%) of expected £5m acquisitions, created in 2017/18 from the General Fund Working Balance. In light of the additional acquisitions during 2018/19, it is proposed that to maintain a 5% risk level the reserve needs to be increased to £0.756m in 2018/19 based on the current level of purchases. To enable this the Commercial Contingency budget of £0.2m will be transferred to this reserve in addition to £0.163m from the General Fund Working Balance

Careful monitoring of the Commercial Property valuations is undertaken on an annual basis. It is currently considered prudent to maintain a reserve of between 3-5% to meet any adverse valuations at point of sale.

After taking account of the transactions above and in addition to previously reported movements, the General Fund working balance is forecast to be £2.593m as at 31 March 2019 (See 5.3 below)

As Earmarked Reserves are expended to reduce to around £5.6m by 2023/24 as we continue to deliver services, investment and growth. Future financial planning will need to identify resources to enable funds to be increased to support further investment and growth projects over the longer term. (See 6.2 below)

Staffing : None from this report

Equality and Diversity including Human Rights :

None from this report

Risk Assessment :

The council is required to set a minimum balance for the General Fund to mitigate future financial risk.

Climate Related Risks and Opportunities :

None from this report.

Title and Location of any Background Papers used in the preparation of this report:

None.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Executive Summary

- 1.1 There is a Statutory requirement for Local Authorities to have regard to the level of reserves needed for meeting estimated future expenditure when calculating the budget requirement. In addition as part of the budget process the Chief Finance Officer (Director of Resources at WLDC) is required to make a statement on the robustness of estimates and adequacy of reserves.
- 1.2 In advance of finalising the Base Budget 2019/20, this report gives members the opportunity to consider in detail the outcome of the annual Earmarked Reserves Review and the level of General Fund Working Balance. The Base Budget 2019/20 which will be presented to this Committee in February and recommended to Council in March 2019.
- 1.3 In summary the Earmarked Reserves review proposes to;
- To return from Earmarked Reserves no longer required £0.323m to the General Fund Working Balance
 - Transfer £0.050m to the Finance Risk Reserve
 - To transfer £0.015m to the Investment for Growth Reserve
 - To amalgamate the Business Improvement and Transformation Reserve, Invest to Earn Reserve and Invest to Save Reserve into one reserve named Project Investment Reserve
- 1.4 It is proposed that the General Fund Working Balance be increased from £1.5m to £2m to provide additional resilience for any detrimental impact from the Fairer Funding Review 2020/21.
- 1.5 It is proposed that the £0.200m Commercial contingency budget be transferred, along with £0.163m of the General Fund Working Balance to the Valuation Volatility Reserve to maintain a 5% risk mitigation based on purchase price for the Council's Commercial Investment Properties.

2. Background

- 2.1 The council retains a healthy position of Useable Reserves, with balances at 31 March 2018 totalling £19.933m as detailed below;
- General Fund working balance totals £3.913m, (£4.838m 2016/17) (Minimum balance policy £1.5m or 10% of Budget Requirement)
 - General Fund Earmarked reserves total £12.636m, (£13.334m 2016/17)
 - Capital receipts total £3.016m (£2.896m 2016/17)
 - Capital Grants unapplied totalled £0.368m (£0.153m 2016/17)
- 2.2 Reserves are sums set aside to meet possible future costs where there is no certainty about whether or not the costs will actually be incurred. The requirement for financial reserves is acknowledged in statute. Sections 32 and 43 of the Local Government Finance Act 1992 require billing and precepting authorities in England and Wales to have regard to the level of reserves needed for meeting estimated future expenditure when calculating the budget requirement.

- 2.3 When reviewing the medium term financial plan and preparing the annual budget an annual review of reserves is undertaken to consider future need, establishment of new reserves and maintenance of existing reserves. Reserves are held for three main purposes:
- a working balance to help cushion the impact of uneven cash flows and avoid unnecessary temporary borrowing – this forms part of general reserves known as the General Fund Working Balance.
 - a contingency to cushion the impact of unexpected events or emergencies – this also forms part of the General Fund Working Balance;
 - a means of building up funds, often referred to as earmarked reserves, to meet known or predicted requirements or set aside for future investment; earmarked reserves are accounted for separately but legally remain part of the over General Fund Balance.
- 2.4 Local authorities also hold other reserves that arise out of the interaction of legislation and proper accounting practice. These are reserves, which are not resource-backed and cannot be used for any other purpose. An example is the Revaluation Reserve which is a reserve that records unrealised gains in the value of fixed assets. The reserve increases when assets are revalued upwards, and decreases as assets are depreciated or when assets are revalued downwards or disposed of. Reserves of this type do not form part of the annual review of the adequacy of reserves.
- 2.5 Section 25 (1) (b) of the Local Government Act 2003 requires the Chief Financial Officer (at West Lindsey District Council, this is the Director of Resources) to report to the Council on the adequacy of the proposed financial reserves. Guidance is published by the Chartered Institute of Public Finance and Accountancy (CIPFA) on the establishment and maintenance of local authority reserves and balances. The level and utilisation of reserves will be determined formally by the Council, informed by the advice and judgement of the Chief Financial Officer on an annual basis.
- 2.6 In respect of the General Fund Working Balance, it is the view of the Chief Finance Officer that the minimum level of the General Fund Working Balance for West Lindsey should increase from £1.5m to £2m. At this level it represents 13% of the Council's revenue budget 2018/19. This will provide some element of resilience for any detrimental impact on our resources of the Fairer Funding Review, due for 2020/21.
- 2.7 The Earmarked reserves and Revenue Grants unapplied totalling £12.636m have been reviewed for relevance, accuracy and sustainability.
- 2.8 The full list of Earmarked Reserves (including Revenue Grants Unapplied) and their current balance is attached at Appendix A.

3. Outcome of 2018/19 Review of Earmarked Reserves and Revenue Grants Unapplied

3.1 A review of the Earmarked reserves for 2018/19 identified the following:

- 1 Reserve with a balance that is no longer required – therefore balance to be returned to the General Fund and the reserve deleted

3.2 The Reserve carrying balances which are no longer required are as follows:

Area	Reserve	Purpose Held	Balance
Service Investment	Members Initiative Fund – Local Needs	To meet costs of the scheme for ward members to support local projects.	£31,347

3.3 Members Initiative – Local Needs

The Member initiative fund has been fully expended and a report to request additional funds of £0.144m from the General Fund Working Balance for the new scheme, which was presented to this Committee on 8th November 2018. The Local Needs Fund is therefore no longer required and can be returned back into the General Fund Working Balance.

3.4 The Capital Programme Financing Reserve, set aside revenue reserves for specific projects which have been completed under budget and therefore there remains £0.319m of reserve funding no longer required.

- £0.085m related to the Community Asset Fund – proposed that £0.050m be transferred to the Financial Risk to mitigate any risk to an outstanding loan from this scheme.
- £0.015m for the Gainsborough Regained Scheme – this be transferred to the Investment for Growth Reserve

The remaining balance of £0.254 be returned to the General Fund Balance.

3.5 There are no reserves in 2018/19 carrying insufficient funds.

3.6 It is proposed that the 3 Earmarked Reserves set aside to fund Projects delivering either transformation and improvement, new income streams, or a reduction in costs (Business Improvement and Transformation Reserve (£0.844m), Invest to Earn for a commercial return (£0.473m) and Invest to Save (£0.103m) Reserves are amalgamated to form one reserve called Project Investment Reserve. Projects are subject to full Business Cases, are supported by either the Portfolio Board or Management Team and will require the approval of the Corporate Policy and Resources Committee for release of funding.

3.7 A review of Revenue Grants Unapplied Reserve for 2018/19 identified the following grants where contributions are no longer required and have no conditions for repayment, therefore the balances can be returned to the General Fund, total £0.037m

- High Street Renovation Fund (£0.016m) contribution received in 2014/15
- Creative Councils (£0.006m) contribution received in 2012/13
- CSP Funding (0.007m) contribution received in 2012/13
- FIP Grant (0.008m) contribution received in 2012/13

3.8 There are no proposals for new reserves at this time.

4. Future Earmarked Reserves

4.1 Valuation Volatility Reserve –

The reserve was approved by CP&R in 2017/18 to protect the Council against valuation fluctuations of the Commercial Property acquisitions. The reserve currently stands at £0.392m being 2.6% of acquisition values of £15.105m. The Capital Investment Strategy 2018/19 aims for a 5% reserve.

4.2 The Investment Property Portfolio is reviewed annually and consideration of the financial impact of any sales will be taken at that point in time.

4.3 With contractual rent rises built into current leases this will in turn increase the value of the assets, all things being equal. Obviously property values can go up as well as down and it will only be upon sale of the asset where we would need to recognise any gain or loss and consider repayment of borrowing, dependent upon the treasury position.

4.4 To enable this increase within the revenue base budget we have a £0.200m commercial contingency, which due to commercial investment property acquisitions exceeding targets in the current year, the budget will not be expended and therefore this surplus can be transferred to the Valuation Volatility Reserve, bringing the total to £0.593m (3.92%) of current investments.

4.5 An additional £0.163m will be required from the General Fund Working Balance to bring the reserve to the 5% level of £0.756m based on £15.105m of expenditure to date.

5. Impact on General Fund Balance

5.1 The current GFB totals, £2.570m by transferring £0.068m from existing earmarked reserves (including Revenue Grants Unapplied), allowing for increased capital expenditure £0.090m (Council Chamber Technology and Income Management System) and increasing the balance of the Valuation Risk Reserve by £0.163m the General Fund Balance will reduce to £2.593m.

5.2 West Lindsey District Council's minimum working balance is currently set at £1.5m or 10% of Net Revenue Expenditure. Due to the projected funding gap it is proposed that the minimum working balance be set at £2m

5.3 The Medium Term Financial Plan current forecasts the following movements on the General Fund Balance

General Fund Balance	FORECAST		MTFP			
	2018/19	2019/20	20/21	2021/22	2022/23	2023/24
Bal Bfwd	-3,913,395	-2,592,556	-2,400,556	-2,400,556	-2,400,556	-2,400,556
Approved Carry Forwards	875,300	129,000				
MTFP Creation of Earmarked Reserves	500,000					
MTFP Use of GFB	55,700					
Use of reserves approved previously	234,000	63,000				
Use for Planning for growth (Devolution)	15,000					
In year contributions to reserve	-45,100					
Amounts to be carried forward	-129,000					
Estimated in year surpluses	-175,000					
Capital Grant funding	150,000					
Review of Earmarked Reserves	-323,061					
To Valuation Volatility Reserve	163,000					
Balance Carried Forward	-2,592,556	-2,400,556	-2,400,556	-2,400,556	-2,400,556	-2,400,556

6. Draft - Overall Reserves Position – and future Forecast

6.1 Taking into account the adjustments above, and future commitments for capital funding, revenue contributions and usage of reserves, the table below provides the current overall forecast position with an expected £19m of reserves at the end of 2018/19 reducing to £10.351m by 2023/24.;

RESERVE	YEAR END		MTFP			
	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
General Fund Working Balance	2,592,556	2,400,556	2,400,556	2,400,556	2,400,556	2,400,556
Earmarked Reserves	13,135,222	10,501,095	7,026,390	5,985,190	5,406,990	5,594,390
Capital Receipts	3,312,987	3,151,299	2,791,811	2,236,911	2,296,911	2,356,911
TOTAL	19,040,765	16,052,950	12,218,757	10,622,657	10,104,457	10,351,857

6.2 Earmarked Reserves are forecasts take into account previous Committee approvals, the draft Medium Term Financial Plan and Capital Programme financing upto 2023/24. Earmarked Reserves are held in the following categories;

EARMARKED RESERVES	YEAR END		MTFP			
	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Budget Smoothing	1,239,623	1,083,823	1,140,223	1,303,623	1,382,023	1,389,423
Capital Funding Total	501,115	404,915	743,715	623,515	126,315	288,115
Risk/Insurance Reserves	1,269,123	1,263,123	1,257,123	1,251,123	1,245,123	1,241,723
Economic Regeneration	7,803,796	6,280,269	2,561,164	1,461,164	1,361,164	1,361,164
Invest to Save	1,459,949	786,949	645,349	645,349	570,349	570,349
Service Investment Total	861,616	682,016	678,816	700,416	722,016	743,616
Grand Total	13,135,222	10,501,095	7,026,390	5,985,190	5,406,990	5,594,390

6.3 Further detailed analysis of provided at Appendix A

APPENDIX A

Reserve Name	Purpose	Balance at 31.3.2018 £	Estimated Balance c/f 1/4/19 £	Estimated Balance at 31.3.2024 £
NNDR Retention Volatility	To meet the costs of any variances of the business rate retention scheme	-15,447	484,553	484,553
Civic	To allow funds approved in specific financial years to be aligned to Civic years.	4,825	4,825	4,825
IT Upgrade/Refresh	To meet the costs of Information & Communications Technology Upgrades and Revs & Bens System	344,502	135,002	476,502
Local Development Framework	Set up to manage the impact on revenue budgets of reviews of the Local Development Framework. (JPU)	58,770	58,770	58,770
Maintenance of Facilities	To meet future property maintenance requirements.	504,858	384,158	265,458
Carbon Reduction	Established to support the commitment towards a reduced carbon footprint.	119,315	81,315	99,315
Elections	To finance future Election costs - held every 4 years	41,600	91,000	0
Budget Smoothing Total		1,058,423	1,239,623	1,389,423
Capital Programme Financing	Grants and contributions received in advance for financing of revenue expenditure funded by capital under statute and funding set aside to finance the capital programme.	319,714	0	0
Vehicle Replacement Programme	To support service development and replacement fleet across the Authority.	838,996	501,115	288,115
Capital Funding Total		1,158,710	501,115	288,115
Valuation Volatility		250,000	755,693	755,693
Dangerous Structures	To support any costs incurred relating to the building control service for dangerous structure work.	10,000	10,000	10,000
Enforcement - Works in Default	To assist with costs incurred in carrying out enforcement works across the Housing and Planning service. Works in Default	33,430	27,430	30
Finance Budget risks	to meet any budget risks and corporate legal costs	95,850	145,850	145,850
Financial Instrument Valuation Reserve			0	0
Insurance Fund	To meet any excess on insurance claims.	80,000	80,000	80,000
Redundancy Contingency	To meet costs of staff redundancies	210,600	210,600	210,600
Severe Weather	To meet costs incurred in the event of severe weather conditions.	20,000	20,000	20,000
Support for Monitoring Officer	To support the role and duties of the Council's Monitoring Officer.	19,550	19,550	19,550
Contingency/Insurance Total		719,430	1,269,123	1,241,723

Reserve Name	Purpose	Balance at 31.3.2018 £	Estimated Balance c/f 1/4/19 £	Estimated Balance at 31.3.2024 £
Investment in Gainsborough South West Ward	To support the regeneration activity.	49,770	49,770	49,770
Property Asset Fund	To support strategic housing and commercial property initiatives.	825,330	675,330	10,330
Investment for Growth Fund	To support internal and local housing and business growth.	5,977,802	6,569,850	1,247,118
Park Springs Community Centre	Contingency budget (capped at £20k) for unforeseen R&M events at Park Springs Community Centre-WLDC is obliged to pay/contribute under current arrangements.	0	20,000	20,000
Connectivity Fund	To support rural transport initiatives	213,546	88,846	33,946
Community Grant Scheme	New scheme all reserves amalgamated	0	400,000	0
Economic Regeneration Total		7,066,448	7,803,796	1,361,164
Business Improvement & Transformation	To assist with costs associated with Business Case Development.	1,033,101	1,459,949	570,349
Invest To Save	To support efficiency projects to provide a positive net payback over the Medium Term Financial Strategy.	103,193	0	0
Invest to Earn commercial returns	To support commercial investment projects which generate new income streams	513,455	0	0
Invest to Save/Earn Total		1,649,749	1,459,949	570,349
Generic Equalities	To meet the ongoing costs of Generic Equalities work.	20,180	13,180	80
Revenue Grants Unapplied	Revenue grants which have yet to be expended.	564,081	511,936	526,136
Supporting Vulnerable Communities	Support for vulnerable communities	238,000	107,800	24,700
CCTV Replacement Equipment	To allocate commercial CCTV income achieved above budgeted levels to invest in future CCTV equipment replacement.	0	2,400	2,400
Neighbourhood Planning Grant	To allocate Neighbourhood Planning Grant income from DCLG to support cost of Neighbourhood Planning process.	9,300	11,900	11,900
Local Development Order (LDO)		53,800	38,800	38,800
Members Initiative Fund	To provide Members with a fund to award grants over a three year period	33,900	144,000	0
Members Initiative Fund-Local Needs	To meet costs of the scheme for ward members to support local projects and activities.	31,347	0	0
Wheeled Bin Replacement	To cushion the impact of the replacement of wheeled bins as they begin to come to the end of their useful life.	32,300	31,600	28,100
Car Park Strategy Investment Reserve	Car Park Strategy	0	0	111,500
Service Investment Total		982,908	861,616	743,616
Grand Total		12,635,668	13,135,222	5,594,390



**Corporate Policy and
Resources Committee**

10 January 2019

Subject: Review of the Disciplinary Procedure

Report by:

Emma Redwood
People & OD Team Manager

Contact Officer:

Emma Redwood
People and Organisational Development Team
Manager
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Purpose / Summary:

To review the Disciplinary Procedure and
recommend changes to be adopted.

RECOMMENDATION(S):

That members support the attached Disciplinary Procedure for formal adoption.

Delegated authority be granted to the Executive Director of Resources to make minor housekeeping amendments to the policy in future, in consultation with the Chairman of the Corporate Policy & Resources committee and Chairman of Joint Staff Consultative committee.

IMPLICATIONS

Legal:

Financial: FIN-181-19 - There are no changes to the policy which impact the finances of the council

Staffing: None

Equality and Diversity including Human Rights:

West Lindsey District Council has a commitment to equal opportunities. It seeks to ensure that no potential or current employee receives less favourable treatment than another on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

Risk Assessment:

Climate Related Risks and Opportunities:

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

x

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

x

1. Introduction

The council has a Disciplinary Procedure which has needed reviewing, this review has taken place and an amended policy is brought to committee for support.

2. Purpose

To ensure the council has a consistent and fair procedure in place.

3. Scope

This policy applies to all employees within the council with exceptions for statutory officers.

4. Engagement

The policy has been reviewed by the HR team and sent to unison and staff representatives for comment.

5. Training and Awareness

This policy will be made available to view on the Minerva site and hard copies available at the depots once formally agreed.

A clear communication will be sent to Managers to make them aware that the policy has been reviewed and to update them on their responsibilities. Training and support will also be offered by HR in the implementation and application of this policy.

Disciplinary Procedure

JSCC Approved –

NSP Approved



1.1 Purpose

This procedure supports managers in undertaking their responsibilities for encouraging employees to achieve and maintain acceptable standards of conduct and behaviour in relation to their employment. It provides them with an effective process for dealing with potential or actual misconduct. Managers considering taking action under this procedure should contact Human Resources in the first instance.

NOTE: This document does not set out examples of what may be regarded as misconduct, or gross misconduct as such guidance is provided within the separate Disciplinary Rules and Officer Code of Conduct

1.2 Scope

It applies to all employees within the Council, **excluding the posts of Head of Paid Service, Monitoring Officer and Section 151 Officer**. It should not be used for issues relating to capability, probationary periods issues, or attendance problems (which are covered by separate provisions). It may be applicable in the case of bullying and harassment.

1.3 Key Principles

- Minor instances of unsatisfactory conduct and/or behaviour are usually best dealt with initially outside this procedure. It can be dealt with informally by the manager bringing the matter to the attention of the employee and discussing how the necessary improvements can be achieved.
- No formal disciplinary action will be taken against any employee until the case has been fully investigated.
- A trade union representative's or work colleague's role in supporting employees during the disciplinary process is recognised and encouraged.
- No employee will be dismissed for a first breach of discipline, except in the case of gross misconduct when the response will normally be dismissal without notice or payment in lieu of notice.
- Grievances with regard to Managers, received by employees being investigated, will not be heard until after the disciplinary process is completed.
- In exceptional circumstances it may not be possible to comply with the disciplinary procedure (for example, where there is a threat of violence). Further advice must be sought from Human Resources in any such potential cases.

1.4 Disciplinary Procedure and Absence

Employees subject to the disciplinary procedure, who are absent from work due to sickness, may be referred to occupational health for advice on assisting their return to work and/or their participation in the investigation and/or disciplinary process.

Whilst an employee may feel stressed and anxious under such circumstances issues will not be put on hold indefinitely awaiting an employee's return to work.

If sickness or other absence prevents an employee attending an investigation meeting or disciplinary hearing it may be postponed and re-arranged within 5 days or as soon as is practicable.

Employees will be advised at that time that if they fail to attend the re-arranged meeting or hearing, then their case may be considered in their absence based on the written submissions.

THE DISCIPLINARY PROCEDURE

2. INVESTIGATION

In summary, the key responsibilities of the investigating manager at this stage are to:-

- identify the potential seriousness of the matter
- determine any need to suspend the employee (see 2.2)
- investigate and gather all relevant information, which may include an investigation interview
- review the need for further investigation; and
- upon completion of a full and proper investigation, determine how to proceed (see 2.3)

It is important that investigation information is appropriately documented.**2.1 Investigation**

Where potential misconduct has been identified, that is serious enough to begin enquiries under this procedure, an investigating officer, , will need to gather sufficient evidence to be able to reach a decision on whether or not to proceed with a disciplinary hearing. In exceptional cases it may be necessary to undertake covert surveillance of an employee as part of an investigation. Under statutory provisions, covert surveillance may be conducted though this will require the approval of designated senior officers in accordance with the Council's policy.

If there is a need to question the employee(s) concerned at any stage during the investigation, this should be done by holding an investigation interview, at which the investigating officer should outline a description of the potential misconduct and explore further investigatory information with the employee. This provides the investigating officer with information to decide whether or not there is a disciplinary case to answer, and possibly avoid the need for a disciplinary hearing.

The employee, however, must be given at least 3 working days notice of the time and date of the investigation interview, the allegations to be discussed and their right to be accompanied (by a trade union representative or work colleague), which should be confirmed in writing. If the employee's trade union representative or work colleague is not available on the date given, a reasonable alternative date should be sought within a period of five days of the original date.

It may well be the case that during the investigation, other matters/allegations come to light. If this happens prior to the investigation meeting, then these matters should be put to

the employee at an investigation meeting after being given prior notice of any amended or additional allegations.

2.2 Precautionary Suspension

Suspension is precautionary action and does not imply guilt or any form of disciplinary action against the employee:

- It can be carried out at any stage in the investigation by the manager
- There is no requirement to give advanced notice
- Full pay continues during this period
- In all cases suspension must be confirmed in writing
- Where possible Human Resources advice should be sought before taking action
- Employees facing suspension can be accompanied by their trade union representative or work colleague (if this causes undue delay then it can be carried out without representation)
- The need for the employee to continue to remain on suspension must be reviewed throughout the investigation.

Examples where suspension may be appropriate include:

- Where the matter under investigation is one of potential gross misconduct
- To safeguard the personal welfare of employees, clients or members of the public
- To allow an investigation to take place which could not be undertaken if the employee remains in the workplace.

An employee who is suspended should not discuss the case with witnesses or work colleagues without permission to do so nor should they enter council premises or systems without prior approval. The employee will be afforded all reasonable access to materials pertinent to the investigation where appropriate. While a suspended employee is not required to attend work, other contractual obligations remain in place and a suspended employee should remain available to assist in the disciplinary investigation.

Contravention of this instruction without reasonable excuse will, in itself, be a potential disciplinary matter.

2.3 How to Proceed

When the evidence has been gathered the investigating officer needs to consider how to proceed. If there is:

- a) No further action – if it is decided that the allegations do not justify action or there is no evidence to substantiate the allegations then the employee will be informed and details of the investigation and outcome will be recorded
- b) Informal management action - minor misconduct has occurred but the matter should be dealt with by informal measure this should be undertaken as soon as possible and the manager should record the issue and improvement required.
- c) a disciplinary case to answer and it is serious enough, if substantiated, to warrant disciplinary action, then the following procedure must be initiated.

NOTE : If further information relevant to the case comes to light following completion of the investigation, advice should be sought immediately from Human Resources to agree how to proceed.

3. THE DISCIPLINARY HEARING

3.1 The Hearing Procedure

The disciplinary hearing should be chaired by a manager with the appropriate level of authority to take disciplinary action (see table 3.3).

3.1.2 Arranging the Hearing

The employee will be given at least 5 working days' written notice by the investigating officer of the arrangements for a disciplinary hearing. Guidance **MUST** be sought from Human Resources

It must include the following:

- sufficient detail of the allegation(s)
- a copy of this procedure and the disciplinary rules
- any documents to be produced by management as evidence at the hearing
- the right to be represented by a trade union representative or work colleague, pointing out the employee's responsibility to make the arrangements. If the representative/work colleague will not be available and an alternative time is proposed, the hearing will be rearranged providing the proposal is reasonable and no later than 5 working days from the original date
- a statement explaining that the employee needs to provide to the hearing manager, any documents which they wish to be presented, together with the names of any witnesses to be called, as far in advance as reasonably possible.

Templates of letters can be obtained from Human Resources

3.1.2 Re arranging Hearings

After the hearing date has been set, should the employee or their representative/work colleague be unable to reasonably attend due to unforeseen circumstances they should inform the Investigating Officer as soon as possible so that another hearing can be arranged. The new hearing date should be within a period of 5 working days of the original date, where possible.

A decision may be taken in the employee's absence if they fail to attend the re arranged hearing and in confirming the revised arrangements this should be made clear to the employee.

There is only an obligation to rearrange once. However, advice can be sought from Human Resources about whether this is reasonable in the circumstances.

3.1.3 The Conduct of the Hearing

The meeting should be conducted in a formal and polite manner by all parties concerned. Any arguments or personal remarks should be avoided and any abusive or aggressive language or behaviour on the part of any parties will not be tolerated. If an employee becomes upset or distressed during the process, the hearing manager may offer a short adjournment.

The hearing should take place as follows:

- introduction by the hearing manager
- presentation of the facts regarding the alleged misconduct by the investigating officer or nominated officer, calling witnesses if necessary
- questioning of the investigating officer and witnesses by the employee or their representative and as appropriate by the hearing manager and/or their adviser
- response to the allegation by the employee and/or their representative, calling witnesses if necessary
- questioning of the employee and/or their representative and witnesses by the investigating officer and as appropriate by the hearing manager and/or their adviser
- final questioning by those conducting the hearing followed by the opportunity for the investigating officer and the employee or their representative (in this order) to summarise in the form of a final statement.

All parties will then withdraw, with the exception of the Human Resources Adviser, to allow the hearing manager to come to a decision. Before reaching a decision, the hearing manager may need to re-examine witnesses and/or gather further information. This must be done by re-calling both parties and re-examine the witnesses in their presence. However, if the hearing manager considers appropriate further investigation of evidence or witnesses are not available at the hearing, an adjournment may be called at this stage.

The hearing manager will reach a decision, based on the information available and on the balance of probabilities. Any sanction imposed will also take into account any previous disciplinary warnings on file, the sanction imposed on similar cases within the organisation and any mitigating factors presented.

3.2 The Decision

The employee will be informed of the decision verbally and of their right of appeal (where appropriate). This will be confirmed in writing no later than 5 working days after the hearing.

The decision options available are as follows:

- a) **No Action.** In cases where it is decided that there has been no misconduct or where there is insufficient evidence that misconduct has occurred, or the employee has offered enough mitigation to render any kind of disciplinary sanction inappropriate or unnecessary
- b) **Improvement Note.** In cases where misconduct has occurred but it is not felt serious enough to be dealt with by a formal warning. This may include a warning

that disciplinary action may be considered if there is no satisfactory improvement. The hearing manager may issue an improvement note which will include:

Details of the conduct and/or behaviour issue

What improvement is required

Timescales for improvement (maximum of 12 months)

A review date

Any additional support that will be provided by the council

c) Formal Action:

Written Warning: In cases where the misconduct is considered to be serious enough to warrant a written warning, the employee must be notified of the reason for the warning and the improvement required, the timescale for the warning and the right to appeal. It will warn that further disciplinary action will be considered if there is no satisfactory improvement. Details of the written warning will be entered on the employee's personal record. It will be disregarded after 12-24 months (depending on the sanction/**confirmed in writing to the employee**) from the conclusion of the disciplinary hearing, subject to no further misconduct during this period.

Final Written Warning: In cases where the offence is a substantial breach of conduct which warrants only one warning before dismissal is considered, or where further misconduct occurs within 12-24 months (depending on the sanction/**confirmed in writing to the employee**) of the issue of a written warning, a final written warning may be issued. This will advise the employee of the reason for the warning, the improvement required, the timescale for the warning and the right to appeal. It will warn that dismissal will result if there is a further breach of discipline within the period of the warning. Details of the final written warning will be entered on the employee's personal record. It will be disregarded after 12-24 months (depending on the sanction/**confirmed in writing**) from the date of the conclusion of the disciplinary hearing, subject to no further misconduct during this period.

Dismissal: In cases where the offence constitutes gross misconduct or where the employee commits a further act of misconduct following a final written warning, which had been issued within the previous 12-24 months (depending on the sanction/**confirmed in writing to the employee**), then dismissal may result. Dismissal will be without notice in cases of gross misconduct and the date of the hearing managers decision will be the effective date of dismissal, Dismissalwith due notice in cases of further misconduct whilst in receipt of a final written warning and the effective date of termination will be the day notice expires The employee will be provided with written reasons for dismissal, the date on which employment will terminate and informed of the right of appeal.

3.3 Limits of Authority to Take Disciplinary Action

Action	Minimum Level of Authority
Written Warning	Manager (misconduct)

Final Written Warning	Manager (misconduct/gross misconduct)
Dismissal	Manager (gross misconduct)

4. Appeals

4.1 Right of Appeal and General Requirements

Appeals should be put in writing within 5 working days of receiving notification of the disciplinary decision. Appeals should be sent to:

- The Human Resources Department

The appeal letter should contain the following:

- disciplinary action being appealed against
- clear reason for the appeal e.g unfairness of judgement by the officer, severity of sanction, or disregard of key information
- the name and address of their representative (where applicable).

Following the appeal hearing the employee should be informed of the decision, in writing, and that this is the final stage of the procedure.

The outcome of the appeal may be that:

The decision in the original disciplinary hearing is upheld and the sanction issued remains in place;
 The decision in the original hearing is dismissed and the sanction issued is removed;
 The original sanction is altered, and the sanction is reduced but not removed; or
 The original sanction is altered and the sanction is increased.

4.2 Levels of Authority for Hearing Appeals

Appeal Against	Heard by
First and Final Written Warning	Manager not previously involved
Dismissal	Director/Chief Executive
Dismissal of Director (not a statutory officer	A Panel of Members

5. Employment Tribunal

Following the Appeal Stage the employee can make a claim to an Employment Tribunal

6. Monitoring Arrangements

Responsibility for the implementation, monitoring and development of this procedure lies with the People & OD Manager. Day to day operation of the procedure is the responsibility of nominated officers who will ensure that this procedure is adhered to.

Policy Statement

West Lindsey District Council has a commitment to equal opportunities.

It seeks to ensure that no potential or current employee receives less favourable treatment than another on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

West Lindsey District

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Corporate Policy and
Resources

10 January 2019

Subject: Managing Staff During Disruptions at Work

Report by:

Emma Redwood
People & OD Team Manager

Contact Officer:

Emma Redwood
People and Organisational Development Team
Manager
01427 676591
Emma.redwood@west-lindsey.gov.uk

Purpose / Summary:

The implement a policy for managing staff during
disruptions at work

RECOMMENDATION(S):

That members support the attached 'Managing Staff During Disruptions at Work' policy for adoption.

Delegated authority be granted to the Executive Director of Resources to make minor housekeeping amendments to the policy in future, in consultation with the Chairman of the Corporate Policy & Resources committee and Chairman of Joint Staff Consultative committee.

IMPLICATIONS

Legal: None

Financial: FIN-180-19 - None

Staffing: None

Equality and Diversity including Human Rights:

West Lindsey District Council has a commitment to equal opportunities. It seeks to ensure that no potential or current employee receives less favourable treatment than another on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

Risk Assessment:

Climate Related Risks and Opportunities:

Title and Location of any Background Papers used in the preparation of this report:

None.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

x

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

x

1. Introduction

The council does not currently have a policy in place for dealing with disruptions at work

2. Purpose

The policy gives direction to the council with regards to managing staff during a disruption and to be able to do this consistently and fairly.

3. Scope

This procedure applies to all employees within the council.

4. Engagement

The policy has been reviewed by the senior officers involved with Emergency Planning, Exec Director of Operations, Strategic Manager Services and the Senior Emergency Planning and Business Continuity Officer, it has also been sent to Unison and Staff representatives and managers within the council.

Managing Staff During Disruptions at

JSCC Approved –

NSD Approved



Managing Staff During Disruptions At Work

The guidance is for use in situations where major incidents/emergency affect service delivery, provision and work arrangements and in addition where adverse weather affects employees' travel to and from work, this guidance should be used.

Therefore the document is in two main sections:

- What to do in the event of any service disruption/closure of service/incident affecting provision of normal services.
- What to do when adverse weather conditions affect employees' travel to and from work.

This document applies to all West Lindsey District Council staff affected by an emergency situation or adverse weather conditions.

Introduction

This guidance provides managers and employees with relevant information in the event of any service disruption/closure of service/incident affecting provision of normal services.

The objective is to ensure that there are lawful, fair and consistent arrangements in place to ensure that all employees and the provision of council services are protected accordingly.

Employees will be expected to attend their normal place of work during a major service disruption unless prevented or otherwise instructed.

When instructed to return to work employees will be expected to maintain a flexible approach to work and work patterns until council services are back to normal.

In addition, this document includes guidance where adverse weather conditions affect travel to and from work.

Service Disruption

The type of emergency situation that can result in a service disruption or closure of services includes (this list is not exhaustive):

- Declared civil or national emergency
- Acts of terrorism
- Loss of staff e.g. due to communicable, contagious or pandemic disease
- Loss of access to work premises e.g. due to fire, flooding etc
- Loss of utilities for any reason
- Loss of transport or closure of transport infrastructure
- Loss of IT systems/telecommunications for any reason where there is limited or no access to work or information technology

- Loss of key suppliers/contractors support
- Strike action, either by council employees or others in vital service functions that support the council
- Adverse weather conditions affecting employee ability to get to work

Guidance for Managers

If normal work facilities cannot be provided owing to a service disruption the manager's prime responsibility will be to maintain the critical and essential functions of their own service.

Corporate Response

If there is a need for a coordinated corporate response and steer to an incident affecting the council significantly, an Incident Management Group may be activated and chaired by one of WLDC's Management Team.

Instruction on staff working may be issued from this group but otherwise, managers should instruct staff as per this policy. The Incident Management Group will be utilising WLDC's Business Continuity and Emergency Response Plan which is produced by the WLDC Emergency Planning & Business Continuity Service.

Service Response

If normal work facilities cannot be provided owing to a service disruption, the manager's prime responsibility will be to maintain the critical and essential functions of their own service, by utilising their service's business continuity plans. These are designed to minimise the impact on services during a disruption and set out the specific amendments to normal working arrangements.

Communications to Staff

Managers are responsible for cascading down to their teams details of what actions will be expected in an emergency and what temporary arrangements have been put in place.

Options For Managers

Managers are encouraged to use their discretion to manage their areas and teams and to ensure that service delivery and provision continues as usual during the period of the incident. Options include:

Temporary Working Arrangements

- A number of temporary working arrangements might be identified and implemented which may apply to employee working hours, work locations, duties, working from home or remaining at home for a period of time.
- Any changes in working arrangements will be discussed with the employee in advance, where possible. All requests will be reasonable and will take into account individual skills and personal circumstances balanced against the needs of the organisation.

- Employees will be expected to demonstrate a high level of flexibility in an emergency situation and make all reasonable attempts to find solutions to personal circumstances in order to attend work during the period of the emergency.

Temporary Deployment Elsewhere

- The council reserves the right to temporarily deploy employees elsewhere as the need arises. This could be in a different department or location.
- Once adequate and safe operating cover is established in a service area staffing levels will be assessed by managers to see if support can be provided elsewhere.
- Any training or health and safety risk assessment necessitated by the redeployment will be organised by the 'host' manager.
- If lone working is required this will need to be assessed and appropriate control measures put in place.
- Special consideration will be given to employees covered by the provisions of the Equality Act 2010 who should not be deployed into inappropriate roles.

Temporary Alternative Duties

- Employees may possess easily transferable or generic skills e.g. manual, customer care, IT, admin and clerical that can be used in their normal place of work or elsewhere in an emergency situation.
- Employees may, therefore, be required to undertake reasonable alternative work outside of their normal job role. This is so support can be given to overstretched internal services. It is not expected that an employee would undertake a role for which they do not have the basic necessary skills or abilities nor undertake a professional role that they are not qualified in.

Contact During Disruptions

Where employees are advised to stay at home, they must remain contactable and available for work as they may be called into work at short notice (i.e. the same day).

Employees should ensure that regular contact is maintained with their manager to keep abreast of the latest situation regarding the emergency. When instructed to return to work employees will be expected to maintain a flexible approach to work and work patterns until council services are back to normal.

Where employees have booked annual leave during the period these stipulations will not apply.

Paid Leave During Period of Disruption

Where some functions or services are suspended for a period of time and there is no immediate deployment requirement and home working is not possible, employees may be sent home if already at work or asked to stay away from work. This will be regarded as paid leave and affected employees will receive normal contractual pay.

Sickness During Period of Disruption

Should an employee become unwell during the period of the emergency they should follow the normal sickness absence reporting procedures.

Adverse Weather

Adverse weather can include any kind of extreme weather, usually snow or ice, which might create hazardous driving or travelling conditions or significantly impair normal operations of the council.

Employee unable to attend usual place of work

Where attendance at the usual place of work is impossible because of weather conditions, employees must contact their manager to notify them that they are unable to attend.

If the manager is unavailable, the most senior officer available must be notified.

If an employee is unable to attend their workplace, the appropriate annual leave, flexi leave or unpaid leave must be taken.

Working from home may also be an option where a member of staff is unable to attend their usual place of work because of adverse weather conditions. However, staff are not permitted to make a unilateral decision to work from home. Such a decision can only be made following prior discussion with the manager and where home working arrangements have previously been authorised and necessary risk assessments undertaken. Please see the Home Working Policy for more details.

Employee unable to attend at normal starting time

An employee's hours will only be counted from the time they arrive into work.

If the weather conditions are poor in the morning but proceed to clear up later in the working day, employees should endeavour to attend work if possible and the principles above will apply.

Employees leave the workplace early

Where adverse weather occurs during the working day, no employee should leave the workplace without the prior approval of their manager.

No special leave will be granted where an employee decides to leave work early because of weather and/or travel conditions.

The employee will be paid until the end of their normal working day where the council decides to:

- Suspend the operation of a service and/or
- Close a building due to severe weather conditions, and
- The employee is instructed to go home by their manager because the workplace will close.

Employees who decide to leave will be required to use their own time either in the form of annual leave, flexi leave or unpaid leave where a decision is made that:

- Allows staff to leave the workplace if there are travel or care issues, but
- The workplace remains open.

Due regard will be taken for staff who are disabled or pregnant.

Any employee who abuses this guidance or fails to:

- Attend his/her usual place of work if buildings are open and accessible
 - Contact his/her manager to notify the reason for non attendance,
- may be dealt with under the council's disciplinary policy.

Policy Statement

West Lindsey District Council has a commitment to equal opportunities.

It seeks to ensure that no potential or current employee receives less favourable treatment than another on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

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Agenda Item 6d



Corporate Policy and Resources
Committee

Date 10 January 2019

Subject: Sundry Debt Recovery Policy and Procedures

Report by:

Ian Knowles, Executive Director of Resources &
Section 151 Officer

Contact Officer:

Alison McCulloch
Revenues Team Manager
Alison.mcculloch@west-lindsey.gov.uk
01427 676508

Purpose / Summary:

This report seeks to clarify the Council's policy with regard to the collection of sundry debtor accounts owed to the Council.

RECOMMENDATION(S):

1. That members agree the amendments to the Sundry Debt Recovery Policy (see Appendix A)
2. That members delegate authority to the Section 151 Officer to make housekeeping changes to this policy when necessary.

IMPLICATIONS

Legal :

The council has a legal duty to ensure cost effective billing, collection and recovery of sums due through raising charges for a wide range of services provided.

Financial Implications : FIN/164/19

The report relates to the update of the Sundry Debtor Recovery Policy and Procedures document. The recovery actions detailed in the policy for the collection of over £300m of council income annually. There are no direct financial implications from this report.

Staffing :

None directly resulting from this report

Equality and Diversity including Human Rights :

None directly from this report

Risk Assessment :

The policy is designed to ensure consistency of approach when collecting unpaid sundry debt accounts using the full range of recovery methods available and thus improving accountability.

Climate Related Risks and Opportunities :

None arising from this report.

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

Yes No

Key Decision:

Yes No

Executive Summary

This report is written in response to an internal audit report, which received substantial assurance, on the sales and invoicing system.

Although there is a published Sundry Debt Recovery Policy it has not been updated for a number of years and it was recommended to revisit the policy and update it if necessary. The policy attached is a complete re-write of the original policy.

Feedback has been sought from all Team Managers as they contribute towards the raising of sundry debtor invoices and all suggestions have been incorporated into the new policy.

- 1.1 This report is written in response to an audit recommendation that the Sundry Debt Recovery Policy and Procedures were out of date.
- 1.2 Keeping up to date policies, procedures and guidance ensures consistency with all staff working towards the same outcomes and thus improving accountability.

2. The Policy

- 2.1 The policy is attached at Appendix A
- 2.2 The policy is intended to explain how West Lindsey will, in accordance with its financial policies, aim to recover all income due to it in an efficient manner.
- 2.3 The policy will be reviewed on a 2 yearly basis to ensure any changes are made in a timely manner.

Sundry Debt Recovery Policy and Procedures

December 2018

Sundry Debt Recovery Policy and Procedures

Contents

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Purpose

In accordance with the Council's financial policies it is the Council's aim to recover all income due to it in an efficient manner.

1. Introduction

- 1.1 This policy covers the collection and recovery of Sundry Debt due to West Lindsey District Council
- 1.2 The Revenues Section is responsible on behalf of the Council for the collection of Sundry Debts.
- 1.3 The department has a legal duty to seek to recover all outstanding debts.
- 1.4 It is the Council's policy to recover all collectable debt owed to it. With this objective in mind this policy aims to:
 - i. Maximise the Council's income
 - ii. Reduce the time taken to collect charges
 - iii. Reduce the level of debt owed to the Council
 - iv. Reduce the incidence of debt that cannot be collected
- 1.5 This policy supports these aims by:
 - i. Promoting ownership of debts by service providers
 - ii. Ensuring wherever possible that collection of the fee or charge involved takes place prior to the service being provided so that a sundry debtor account is only issued when it is impractical for the payment to be made in advance and it is therefore essential to do so
 - iii. Ensuring invoicing procedures are carried out in an accurate and timely manner
 - iv. Requiring evidence to support the issue of the invoice
 - v. Encouraging debtors to pay promptly
 - vi. Making collection and enforcement activity more efficient
- 1.6 The Council will publicise this policy and that it intends to pursue the collection and recovery of all debts owed to it.
- 1.7 This policy is intended to ensure that all debtors are treated in a fair and consistent way and in accordance with the Council's customer care policy. Customers with serious debt problems are referred to the citizens advice bureau for debt counselling.
- 1.8 The council ensures that prompt, firm but fair action is taken to ensure the efficient and cost effective collection of Sundry Debts.

2. Exclusions

- 2.1 The following areas are not included in this policy.
 - i. Council Tax
 - ii. National Non Domestic Rates
 - iii. Housing Benefit Overpayments

- iv. Council Tax Support Overpayment

3. Key Objectives of Fees and Charges

- 3.1 The fee or charge imposed by the Council should be fair in relation to the goods and/or service provided and in accordance with the Council's fees and charging policy.
- 3.2 The charge should, wherever possible, be obtained in advance of the goods and/or service being provided.
- 3.3 The charge should be collectible.
- 3.4 There should be a clear and prompt billing and collection process.

4. Responsibilities

- 4.1 Team Managers must ensure that:
 - i. Financial regulations in relation to the collection of sundry debts are adhered to
 - ii. The parts of the policy that apply to their service are correctly followed
 - iii. They proactively support the achievement of corporate targets for debt collection
 - iv. Budget managers are fully appraised of their responsibilities
 - v. Relevant systems and procedures are put in place
 - vi. Staff involved in the debt collection process are appropriately trained

5. Invoicing

- 5.1 Services are responsible for raising invoices in respect of the goods and/or services they provide
- 5.2 An invoice should be raised within 10 working days of the goods and/or service being supplied
- 5.3 An invoice should not be raised:
 - i. For less than £10 unless it is a statutory charge (fees and charges below this level should be paid in advance)
 - ii. When it cannot be proven that the goods and/or service has been provided
- 5.4 For period charges, a direct debit should, wherever possible, be set up in advance of the service being provided.

6. Payment Methods

Invoices should be paid by the following methods:

- i. Credit or Debit card – via the telephone using the automated payment line
- ii. Credit or Debit card – via the West Lindsey District Council website
- iii. Standing order
- iv. Bacs

- v. Cheques or postal orders to the Council

7. Payment Terms

- 7.1 The Council aims to collect monies owing to it fully and promptly.
- 7.2 Payment arrangements should only be accepted where the debtor is unable to settle the debt in full in one payment.
- 7.3 Payment arrangements can be made to settle payment by weekly, fortnightly or monthly instalments.

8. Collection

- 8.1 A written reminder notice shall be sent in respect of all unpaid invoices after 28 days.
- 8.2 If after a further 14 days the account still remains unpaid a final reminder notice will be issued.
- 8.3 If after a further 14 days the accounts unpaid a letter and/or telephone call will be issued explaining the next course of recovery action will be Debt Collection Agency.
- 8.4 The Council employs two debt collection agencies.
- 8.5 Once a case has been referred to the debt collection agency any payment arrangement must be made directly with the agency.
- 8.6 Recovery action can be withdrawn during any part of the process if the debtor enters into a payment arrangement to clear the debt by instalments.
- 8.7 Recovery action can be withdrawn if the originating department decides not to pursue recovery of the goods and/or service.
- 8.8 In the event of failure to pay legal action can be taken in the County Court which can result in the following action being ordered:
 - i. County Court Judgement (CCJ) – this will appear on the credit record of an individual and can make it difficult for the person to obtain hire purchase (HP), credit card, mobile phone contract, mortgage or loan.
 - ii. Warrant of execution – a court bailiff will enforce a warrant and attempt to remove goods to the value of the debt.
 - iii. Attachment of earnings order – direct deductions are taken from an individual's wages until the debt is cleared
 - iv. Charging order on a property – a charge is placed on an individual's property which if, when sold, there is sufficient equity available after all other charges have been settled will be used as security for the debt.
 - v. Insolvency proceedings – this is expensive and gives no guarantee of securing the debt
- 8.9 The debt recovery process flowchart is attached at Appendix A

9. Queries and Disputes

If there is a dispute the Service that raised the invoice must attempt to resolve the matter within 35 days of the query being raised.

10. Credit Notes

- 10.1 In conjunction with financial regulations there must be a clear distinction between raising a credit note and writing off a debt.
- 10.2 A credit note to cancel or reduce a debt must only be issued to:
- i. Correct a factual inaccuracy
 - ii. Correct an administrative error
 - iii. Process a discount granted by the Team Manager where the account was originated
- 10.3 Once authorised staff should issue credit notes
- 10.4 A credit note should only be issued when the credit request memo is signed by an authorised signatory and an explanation of the credit note is stated in every case.

11. Write Offs

- 11.1 Every effort is made to ensure that all amounts due to the council are rigorously pursued and at the end of each financial year a provision for bad debt is established. Write off of bad debt will be in line with the provisions of the Financial Procedural Rules.
- 11.2 Bad debts can be written off by the following:
- i. Under £2,500 – Executive Director of Resources/Section 151 Officer
 - ii. Over £2,500 – Corporate Policy and Resources Committee
- 11.3 The reasons for write off are:
- i. The debtor is deceased and left no will or traceable executors
 - ii. The debtor is formally insolvent
 - iii. The debtor has absconded and cannot be traced
 - iv. It is uneconomical to take action to enforce the debt
 - v. The debtor is living outside the UK and unlikely to return
 - vi. The debtor is living in Scotland or Northern Ireland and it is uneconomical to transfer proceedings to the appropriate court
 - vii. The debtor is serving a prison sentence of sufficient length to make the recovery unlikely
 - viii. The debtor is sectioned under the mental health act
 - ix. It is the interests of the council or wider community to write off the debt
 - x. The age of the debt precludes recovery or the debt is Statute Barred
 - xi. The credit has remained unclaimed for a period of 6 months or more and the customer cannot be located

12. Refunds

Before a refund of an overpayment is authorised, the debt recovery section will ensure there are no other balances outstanding. Where other balances are identified, any credit due will be offset against it.

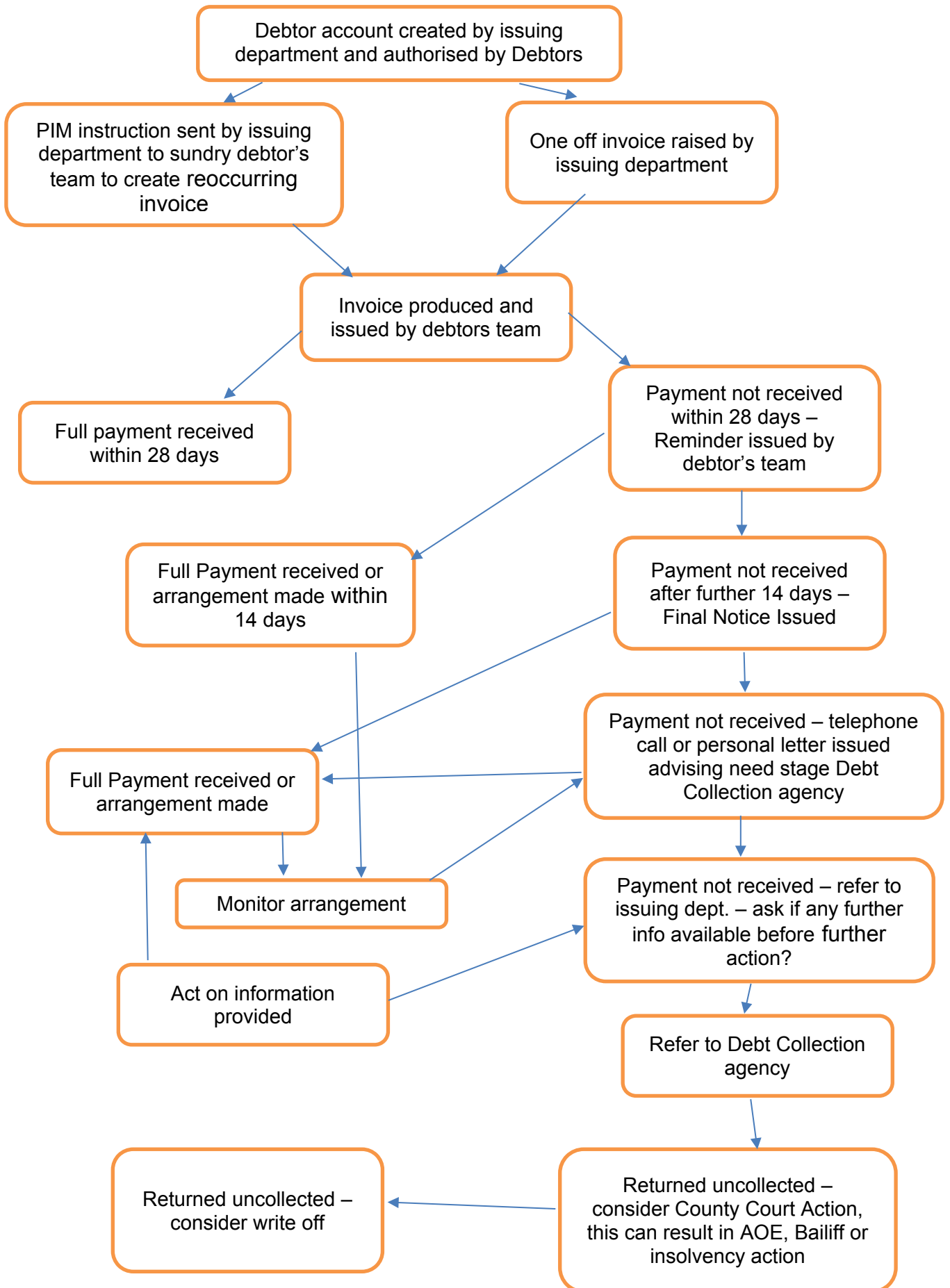
13. Debt Management

- 13.1 Revenues will provide all Team Managers with an aged debtor report which shows the amount in value and the debts due on a monthly basis to enable all service debts to be considered.
- 13.2 Finance Business Partners will meet with Budget Managers during the year to assess how collection of their particular service sundry debt accounts is progressing.
- 13.3 Revenues will enable regular meetings with any Team Manager that requests to do so, in order to discuss debts and recovery processes.

14. Review

This policy once approved will be regularly reviewed and updated as necessary.

Appendix A – below – Recovery Process



**For further information please contact the Council Tax Section
on 01427 676566**

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**Corporate Policy and
Resources Committee**

Date: 10 Jan 2019

Subject: GDPR Implementation Update

Report by:

Executive Director of Resources

Contact Officer:

Steve Anderson
Data Protection Officer
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steve.anderson@west-lindsey.gov.uk

Purpose / Summary:

This report is an update on our compliance with the EU General Data Protection Regulation (GDPR). The report provides a summary of the work we've done so far, gives an assessment of our current compliance position, and sets out our plan for continuous improvement over the next 2 years.

RECOMMENDATION(S):

Members welcome and support this report and agree that future updates be provided quarterly in the Members' Newsletter.

IMPLICATIONS

Legal:

Supports compliance with the General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018)

Financial :

N/A

Staffing :

N/A

Equality and Diversity including Human Rights :

This report supports the rights and freedoms of all individuals by demonstrating West Lindsey District Council's compliance with the General Data Protection Regulation (GDPR) Article 5(1)(a) which states: "Personal data shall be processed lawfully, fairly and in a transparent manner in relation to the data subject".

Risk Assessment :**Climate Related Risks and Opportunities :**

N/A

Title and Location of any Background Papers used in the preparation of this report:

None.

1 Purpose

1.1 The purpose of this report is to update Members on our compliance with the EU General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA). The report summarises the work we've done so far, gives an assessment of our current compliance position, and sets out our plan for continuous improvement over the next 2 years.

2 Background

2.1 In May 2018 we saw the most significant change to data protection law in 20 years with the introduction of the GDPR. GDPR came into effect on 25 May 2018 after a 2 year implementation period alongside the DPA.

2.2 The new Regulation strengthens the rights of individuals, addresses the impacts on them of the advances in modern technology, and introduces a new principle of accountability on data controllers.

2.3 The DPA sits alongside GDPR and details provisions for how GDPR is applied in the UK. The DPA also:

- Deals with processing that does not fall within EU law (i.e. immigration);
- Transposes the EU Law Enforcement Directive into UK law;
- Ensures that processing carried out by the intelligence services is required to comply with internationally recognised data protection standards; and
- Sets out the duties, functions and powers of the Information Commissioner.

2.4 GDPR and the DPA are inter-related and one cannot be applied without the other.

2.5 In 2016, the Director of Resources agreed a plan to become compliant with the new laws based on the Information Commissioner's Office (ICO) "12 Steps for preparing for the GDPR"

2.6 The most significant task proposed in the "12 Steps" required us to carry out a complete data audit to identify the personal data held by teams in file shares, email boxes and stored in back-office systems. From this, officers developed a more detailed action plan to properly identify and cost the work needed to comply with the new regulations.



3 What have we done so far?

3.1 Major Milestones

1. Completed the applicable steps of the "12 Steps" plan.
2. Completed a data audit and used this to create a Record of Processing Activities (RoPA) to comply with GDPR Article 30.
3. Compiled and presented audit findings to team managers and agreed corrective actions.

4. Reviewed and updated our Data Protection and Data Breach Reporting policies.
5. Updated our full privacy notice to comply with Articles 13 and 14 of the GDPR and developed privacy notices for each team.
6. Appointed a Data Protection Officer (DPO) as required by Article 37 of the GDPR.
7. Procured and rolled out GDPR awareness training to all staff.
8. Started a complete review of our data processing contracts and data sharing agreements.
9. Implemented a centralised management system for the recording and management of data subject requests (subject access, right to erasure, right to object etc.).
10. Integrated a Data Protection Impact Assessment (DPIA) process into the corporate project methodology to comply with Article 35 of the GDPR.
11. Achieved “Substantial Assurance” in an audit carried out by Internal Audit on our GDPR preparedness in Feb 2018.
12. Delivered 3 GDPR Awareness Sessions to Members and Parishes.
13. Co-founded a Data Protection Officer (DPO) Forum to share best practice and discuss DP issues with other Lincolnshire DPOs.

3.2 What evidence do we have to back this up?

3.2.1 To confirm that we were moving in the right direction and at the required pace to become compliant with GDPR by 25 May 2018, the Management Team commissioned an audit of our preparations. Internal Audit completed their work in Feb 2018 and gave our GDPR Readiness a “Substantial Assurance” rating.



3.2.2 We will be further testing our progress since then with a follow-up audit early in the New Year.

3.3 Cost of Implementing GDPR

3.3.1 We tried, where possible, to absorb the resource utilisation and costs of complying with GDPR into our “business as usual” activities and in the main this has been very successful. Tangible costs incurred between Jun 2017 and 1 Nov 2018 are summarised in the table below:

ITEM	DETAIL	COST
1	Subscription to Record of Processing Activities Tool	£ 445.00
2	Training/Seminars	£2981.00
3	Reference Materials/Documentation Templates	£ 269.94
4	Updates to Business Systems	£6050.00
5	Data Protection Fees (see below)	£2940.00
TOTAL		£12685.94

3.4 Data Protection Fees

3.4.1 From 25 May 2018, the Data Protection (Charges and Information) Regulations 2018 (enacted alongside the DPA) requires every organisation or sole trader who processes personal information to pay an annual data protection fee to the ICO, unless they are exempt.

3.4.2 The cost of the fee depends on the size of the organisation and turnover. There are three tiers of fee ranging from £40 and £2,900 and it is a criminal offence to pay the wrong fee.

3.4.3 Because we employ more than 250 employees (based on headcount) then we now need to pay the tier 3 fee of £2900. Members should note that in previous years the calculation was based on FTEs and we paid £35 discounted to £30 for paying by direct debit so this is a significant increase.

3.4.4 We also pay the tier 1 (£40) fee for the Electoral Registration Officer.

3.4.5 Prior to 25 May 2018, elected members were liable to pay an annual fee of £30 each for processing carried out in respect of their constituency work. These fees were managed and paid for by the Council. The fee increased to £40 on 25 May 2018 but, following a recent consultation, the Department of Culture and Media Services (DCMS) has announced that MPs and other elected officials will be exempt from paying the fee in future.

4 So where are we now?

4.1 According to the Local Government Association (LGA), a district council can be responsible for delivering more than 600 individual services. We currently have 206 active processing activities listed in our Record of Processing Activities with many more planned or anticipated through the Customer First programme. This illustrates the challenge the new legislation presents to the smaller local authorities when compared to large multi-nationals who carry out fewer but more highly-intrusive activities.

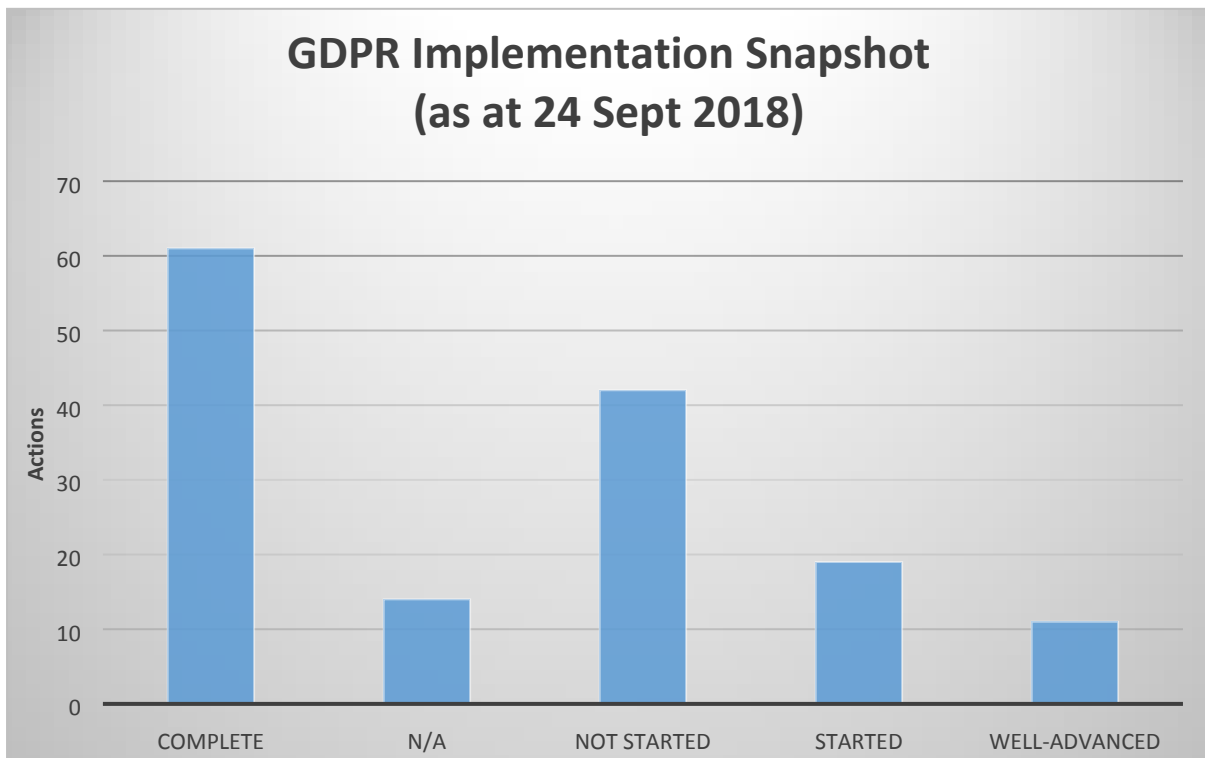
4.2 The ICO describes compliance with GDPR as “evolution, not revolution” and they have said



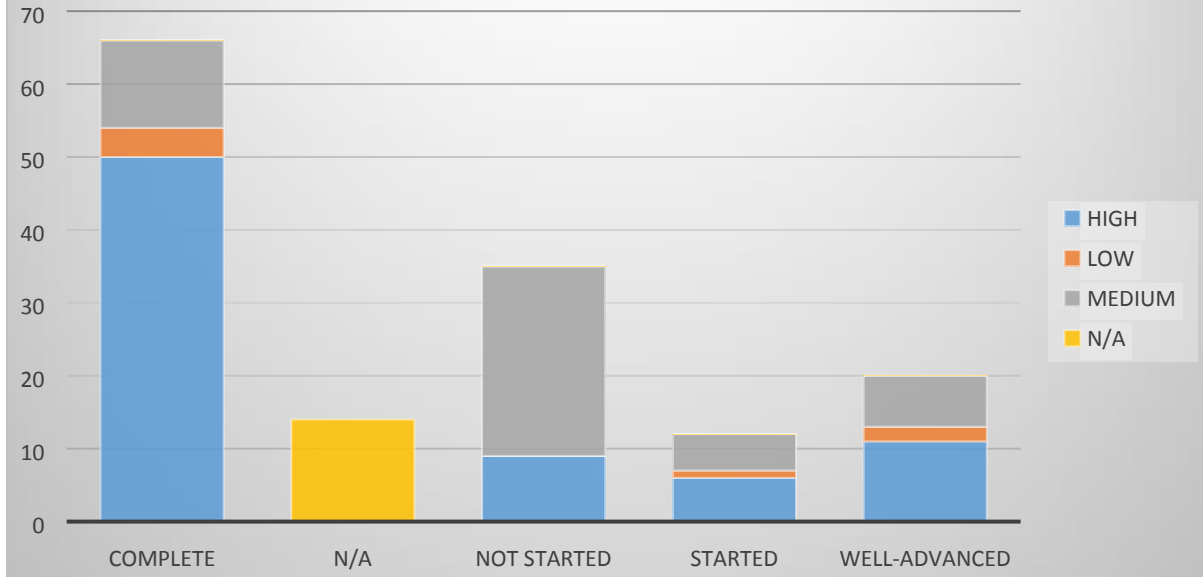
they will not use enforcement as the preferred tool where organisations can evidence progress towards full compliance. No-one should assume that the work we have done and the progress we've made makes us "GDPR-compliant". We are still a long way from that but anecdotal evidence suggests we are further along the journey than most.

4.3 With this in mind we can be cautiously confident that the work we have done so far and the progress we are making will minimise our exposure to the risk of enforcement action over the coming 12 months or so.

4.4 The following 2 charts show the status with regards the GDPR Implementation Project Plan actions reported to Management Team on 24 Sep 2018 and the current status. They provide a good indication of our progress towards full compliance



GDPR Implementation Snapshot (Current Status)

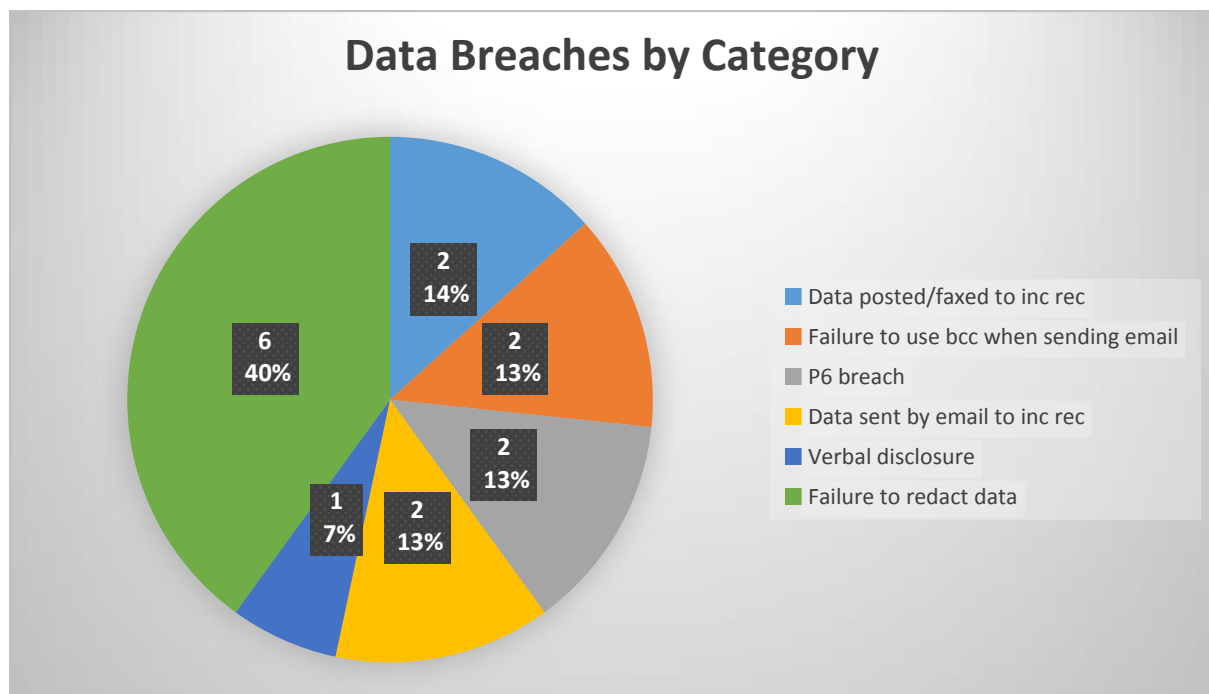


5 Data Breach Statistics

5.1 GDPR requires organisations to have a robust and effective data breach reporting and management process in place. Data breaches that pose a risk to the rights and freedoms of individuals must be reported to the ICO within 72 hours. Breaches that pose a **high** risk must be reported to the data subjects themselves without undue delay.

5.2 A small number of data breaches have occurred in the Council since 25 May 2018 and these are summarised below. Fortunately, with one exception, they have not posed any significant risk to the data subjects affected and, therefore, we have not had to report most of them to the ICO.

5.3 We have, however, reported one breach to the ICO where the contact details of 2 individuals was inadvertently published online. We are awaiting a response.



(Note: “P6 breach” = a breach of the GDPR security principle as defined in GDPR Article 5(f). i.e a risk to the confidentiality, integrity or availability of personal data)

5.4 Whilst it is too early yet to glean any real information from the statistical data, there are a couple of things we can take from them:

- Our biggest risk factor is currently “human error” as opposed to any systemic flaws in our processes and procedures.
- We may need to impose technical controls that could prove unpopular with managers and staff.

5.5 To address these we are developing and improving training materials for staff and consulting on possible implementation of tighter security controls with staff through the Corporate Information Governance Group (CIGG).

6 What do we plan to do next

6.1 General

6.1.1 We must demonstrate over the next two years steady progress towards full assurance and we are developing a programme of work to achieve this. We plan to tackle some immediate and medium-term priorities and introduce a rolling programme of “Advisory Visits” to teams (see Para 6.4).



6.1.2 Whatever we do in terms of compliance, though, has to be balanced with the needs of the Council’s business priorities and this could prove a significant challenge over the next 2 years. In the ICO’s latest newsletter Elizabeth Denham says *“Across the world people have woken up to the importance of personal data and how it’s used. Personal data has become the currency by which society does business, but **advances in technology should not mean organisations racing ahead of people’s rights – individuals should be the ones in control.**”*

6.2 Immediate Priorities

1. Roll out annual GDPR/Cyber Security

Awareness and Data Protection training to staff.

Module 1 of the mandatory training has been rolled out to staff. Modules 2 and 3 are scheduled to be rolled out between February and March 2019/

PRIORITIES

- 1.
- 2.
- 3.



2. Provide privacy information for full and part-time staff and Elected Members.

We have understandably focussed during our GDPR compliance work on our residents and service customers. However, elected members and employees have the same rights under the new regulation as everyone else. It is important that members and staff are informed about how their data is handled and what monitoring is being carried out.

3. Consider how members can be assured of data protection compliance when making decisions in committee.

To demonstrate the GDPR principle of “accountability” and to comply with the “data protection by design and default” requirement (GDPR Article 25), elected members need to be assured that privacy has been considered in everything we do before making decisions. In particular, members need confirmation that any processing of personal data they approve is lawful. Adding a field to the committee report template had been discussed and agreed during meetings with the committee admin staff but has not yet been implemented.

6.3 Medium-Term Priorities

6.3.1 Data Quality. While monitoring the progress of a recent Subject Access Request (SAR) it quickly became evident that some of the data held in our business systems is of poor quality. This view was supported during a meeting with the Revenues Manager who suggested that multiple records exist of individuals making data searches unreliable. Issues highlighted include:

- Duplicate records of same individual for different services
- Multiple records due to entering names in different formats (ie J Smith; John Smith; J. Smith; Mr J Smith etc)
- Addresses incorrectly formatted or not verified to the LLPG
- Out of date records not being archived or deleted

6.3.2 The requirement to maintain accurate data is a fundamental principle of GDPR. Corrective measures will be agreed and included in individual team action plans developed during the advisory visits detailed in para 6.4.

6.3.3 Data Protection Toolkit for Managers and Staff. A lot of work has been carried out to prepare for GDPR. This has included developing training materials, recording systems for processing activities and data breaches, and various guidance and templates for use by managers and staff. This needs to be pulled together into a “Data Protection Toolkit” to provide a “one-stop-shop” for managers and staff.

6.4 Advisory Visits

6.4.1 As previously mentioned, we carried out a series of audits with teams to assess their GDPR-readiness. From these we provided them with a set of recommendations and actions.

6.4.2 Starting in October the DPO started a rolling programme of “Advisory Visits” to teams. These visits look at progress on the audit actions and examine in more depth the activities and processes to measure compliance and consider potential improvements.

6.4.3 To direct the visits, the DPO has adapted a set of checklists which the ICO provided primarily to support SMEs. The DPO will maintain a set for each team.

6.4.4 The checklists cover:

- Data Controller Actions
- Information Security Actions
- Records Management

- Data Sharing Actions
- Subject Access Actions
- CCTV Actions

6.4.5 A reporting system has been developed to present the findings for each service team, the management team, Human Resources, ICT and Corporate Policy.

6.4.6 The Records Management checklist will be brought into use when the new Information Architecture has been agreed and the new SharePoint system has been implemented.

6.5 Follow-up Audit

6.5.1 To provide the management team with added assurance that the organisation is continuing to move in the right direction towards full GDPR-compliance, Internal Audit have been invited to carry out a follow up audit in the New Year.

7 Conclusion

7.1 This report summarises the work we have done to date and confirms that we are further along the path than some. We recognise, however, that there is still a long way to go and so we have put a realistic plan in place to ensure we continue this progress towards full compliance.

Agenda Item 6f



**Committee: Corporate
Policy & Resources**

Date: 10th January 2019

Subject: Review of Key Strategic Partnerships

Report by:

Executive Director of Resources

Contact Officer:

Corporate Policy & Governance Manager
Telephone: 01427 676537

Purpose / Summary:

1. To provide the Committee with details of the key strategic partnerships that the Council are involved in and the associated costs.
2. To set out an approach to ensure greater oversight and evaluation of the effectiveness of such partnerships.

RECOMMENDATION(S): The Committee is asked to:

- a) Review the details provided of the key partnerships and support the Council's approach to partnership working
- b) Support the proposed actions detailed at 6.1 et seq

IMPLICATIONS

Legal: None, each partnership assesses its own legal obligations

Financial: FIN-173-19 – Associated costs are absorbed within current structures/budgets.

Staffing: None – staff resources for partnership working are considered within the overall requirements to ensure effective service delivery

Equality and Diversity including Human Rights: None

Risk Assessment: None

Climate Related Risks and Opportunities: None

Title and Location of any Background Papers used in the preparation of this report:

None.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Definition of Partnership

- 1.1 To provide consistency of approach and common understanding for colleagues involved in partnership working, the following definition of partnership has been used in this review: “A joint working arrangement where the partners are otherwise independent bodies; agree to co-operate to achieve a common goal and to achieve it, create an organisational structure or process and agreed programme while sharing information, risks and rewards proportionately.” (The Audit Commission (2003).

2. Background

- 2.1 The purpose of this review was to ensure that the risks, benefits and costs of partnership working were assessed in order to allow them to be appropriately monitored in the future, with the intention of achieving a more efficient and effective approach to partnership working across the Council.
- 2.2 Prior to this review, it had been a number of years since a concerted effort was made to undertake a co-ordinated review of the partnerships the Council was involved in. In early 2015, work was undertaken with the Wider Leadership Team (as then) to discuss the concept of partnership working and to create and populate a partnership register. The content of the register however was made up of not only formal outcome focused partnerships, but also informal networks and professional relationships. This resulted in 54 separate ‘partnerships’ detailed within the register. Details are available in Appendix A.
- 2.3 The work undertaken in 2015 was in part response to limited assurance audit findings of 2011 and 2014 in relation to the Council’s consideration of, approach to and oversight and evaluation of partnership working.
- 2.4 Since 2015, the workforce of the Council has changed, new areas of work have commenced and new partnerships have been created while others may have ceased to operate. Therefore a review was timely.
- 2.5 Also, since 2015 two audits have been undertaken into specific partnerships the Council is involved in. A further audit reviewed the Council’s application of the ‘Intelligent Client’ role. Further details are set out below.

Audit	Finding
CBL Partnership (Aug 16)	Limited Assurance
CBL Partnership Follow-Up (Jan 18)	Substantial Assurance

Intelligent Client (Jun 17)	Substantial Assurance
NK/WL Partnership (Nov 17)	Substantial Assurance

2.6 Despite this evidence of progress, it is acknowledged that there is no formally agreed system or requirement for partnership lead officers to report progress and performance to management. In general this matter is addressed via one to one meetings and relevant discussions with Directors and is regarded as business as usual activity. However, this approach could lead to inconsistency and lack of understanding and transparency in respect of the effectiveness of the Council's key strategic partnerships.

3. Review

3.1 Scope of the Review

3.2 The following Terms of Reference were adopted In order to clarify the scope and objectives of the review:

- To re-iterate the definition of a partnership
- To use the information within the existing partnership register as a baseline for the review
- To establish a list of the key strategic partnerships the Council is involved in
- To review the level of involvement and costs/benefits of these partnerships
- To identify which partnerships should be maintained or cease
- To develop an effective monitoring approach to partnerships
- To develop a mechanism for annual reporting

3.3 The review entailed discussions with each team manager. These initially produced a list of the partnerships and meetings attended by officers in their service areas. This included formal partnerships, joint working groups, networking meetings, board meetings and contract management arrangements. However, once the definition of partnership as set out above was applied, the key partnerships associated with each service became apparent.

3.4 To assess the relative value of each partnership, a series of questions were posed. These are available at Appendix B below

3.5 Additionally an attempt was made to quantify the costs involved in partnership working. This includes the monies paid into the partnership by the Council, plus associated staff costs (a Team Manager average hourly rate of £30.38 inc on-costs has been used). Travel costs were also estimated.

4 Results of the Review

- 4.1 Having applied the strong definition of partnership, 18 key strategic partnerships have been identified. These are set out in Appendix C which is attached, along with supporting information.
- 4.2 Of the other 36 'partnerships' from the original 54 identified, 23 did not meet the definition of a key strategic partnership (as they were a combination of either informal or organisational networks or professional relationships) and the remaining 13 no longer exist, or we no longer participate in them.
- 4.3 The review has established that generally, the partnerships currently in place are healthy and of benefit to the Council.
- 4.4 The main exception is the Strategic Health Partnership. The lead officer has set out the background to its formation. It derives from the Challenge & Improvement Committee's Health Commission which sought to identify and address the health related issues facing the District. This brought together health related providers to discuss matters and there has been a desire for some form of partnership to continue. However, due to both the success of the Health Commission, and the incorporation of health into wider Council policies and work, there is currently no clear role for a Strategic Health Partnership at the present time.
- 4.5 Health is not a statutory obligation for the Council, nor do we directly fund any resource in this area. Therefore, until there is a clear understanding as to the role and influence this Council has in health provision it is felt that the partnership should not continue at this time, as the benefits are difficult to identify.

5. Costs of Partnership Working

- 5.1 The estimated annual costs associated with each partnership have also been calculated. These have been based on any annual financial contributions the Council make (£557,400), estimated travel costs associated with attending meetings (£1,835) and also an estimate of the staff costs, based on the number of staff attending each meeting and the frequency of meetings associated with each partnership (£26,110).
- 5.2 The estimated total annual costs have therefore been calculated as £585,345. Details are available in Appendix D below.

6. Proposed Next Steps

- 6.1 Following this review, an on-going structured approach to partnership monitoring will be developed. This will entail an annual review of partnerships which will be incorporated into the service/business

planning cycle. The product of this review will form part of the Monitoring Officer's annual report on the Council's governance arrangements.

- 6.2 To enable this, partnership lead officers will be expected to monitor the effectiveness of their partnerships and to justify on-going involvement, assess the likely costs/benefits before becoming involved with a new partnership. As part of service/business planning, each partnership lead will provide brief details of the activities/achievements of the partnership over the previous year and planned activity for the forthcoming year
- 6.3 To increase accountability and transparency, officers will report back on partnership meetings and provide notes and other associated documents to be stored centrally within a newly cleansed register.
- 6.4 The current Partnership Approved Code of Practice (ACoP) will be revised, taking account of the above and will be presented for approval by Management Team early in 2019.
- 6.5 Finally, a greater use should be made of video/teleconferencing to reduce travel costs and the time taken to attend partnership meetings, thus making this work more efficient.
- 6.6 The above actions will be communicated to colleagues via workshops and Senior Leadership Team meetings.

Service Area	Name	Lead Officer	Type of Partnership	Partnership Objectives	List of Partner Organisations Involved	Financial Commitment	Frequency	Impact of Partnership Failure	Health of Partnership
Development Management	Central Lincolnshire Joint Strategic Planning Committee	Oliver Fytche-Taylor	Formal (delivery focused)	1. To develop a robust Local Plan to cover central Lincolnshire Area comprising WLDC; NKDC ; CoLC and LCC	NKDC; CoLC; WLDC and NKDC. A number of stakeholders are involved at the appropriate time	£171,000 per annum	On-going	High	Green
Housing, Renewal & Community Safety	Central Lincolnshire Housing Growth and Viability Group	Andy Gray	Formal (delivery focused)	To contribute to the housing and viability aspects of Central Lincs Local Pan. To develop strategy & policy related to housing growth & viability.	Central Lincs Authorities		Bi-Monthly	Medium	Green
Housing, Renewal & Community Safety	Lincolnshire Affordable Housing Group	Andy Gray	Organisational Network	Share best practice across the County. Provide representations to District Housing Network	Lincs local authorities 3rd sector housing organisations Housing providers Homes and Communities Agency		Quarterly	Low	Green

Housing, Renewal & Community Safety	Lincolnshire Private Sector Housing Group	Andy Gray	Formal (delivery focused)	Lead on private sector housing issues which impact all County authorities	All Lincs Authorities Private sector related bodies are invited as required		Bi-Monthly	Medium	Green
Housing, Renewal & Community Safety	Domestic Abuse Strategic Management Board	Emma Waters	Formal (delivery focused)	To have a coordinated county wide approach in the response to Domestic Abuse	West Lindsey DC, ELDC, NKDC, SKDC, SHDC, BBC, CoL, Health and Wellbeing, Children's Services, Safeguarding, Adult Services Lincolnshire Probation	None	2 monthly	Low	Green
Housing, Renewal & Community Safety	Lincolnshire Children and Adult's Safeguarding Board	Mark Sturgess	Formal (delivery focused)		Lincolnshire County Councils All seven district council's		2 monthly	Medium	Green
Housing, Renewal & Community Safety	Lincolnshire Community Safety Partnership	Mark Sturgess	Formal (delivery focused)		Lincolnshire Police Fire & Rescue Road Safety Partnership Addaction DART		Quarterly	Medium	Green

					Lincolnshire Probation				
Housing, Renewal & Community Safety	Lincolnshire County Homeless Group	Michelle Howard	Formal (delivery focused)	To prevent homelessness through early intervention and targeted prevention. • To offer support where homelessness has already occurred. To prevent and tackle rough sleeping, single homelessness	NKDC, ELDC, WLDC, BBC, CoL, SKDC, SHDC, Lincolnshire Probation Lincolnshire Action Trust,	£1725 per year contribution to officer post £4000 contribution for Zest Youth Homeless Awareness session	Monthly	Low	Green
Housing, Renewal & Community Safety	Lincs Homefinder	Michelle Howard	Formal (delivery focused)	To provide a common housing register for Central Lincolnshire.	City of Lincoln DC North Kesteven DC Acis Group West Lindsey DC	Licence of £3000 + ad hoc payments for essential updates to CBL system	Quarterly	Low	Green
Human Resources	Warn and Inform Group	Julie Heath	Formal (delivery focused)	To adopt a common communications approach in the event of a emergency planning scenario and agreed ways of working	LCC, and all Lincs Districts	-	Quarterly	Medium	Green
ICT	Five District ICT Partnership	Ian Knowles	Formal (delivery focused)		North Kesteven District Council South Kesteven District Council City of Lincoln Council	£20,000 per year	Monthly	Medium	

					Boston District Council West Lindsey District Council				
ICT	ICT Shared Service	Ian Knowles	Formal (delivery focused)	To deliver a shared infrastructure appropriate for both authorities	WLDC NKDC		Monthly	High	Green
ICT	Central Lincolnshire Web Group	Jeannette Anderson	Formal (delivery focused)	Investigate, procure, and implement replacement CMS system. All relevant documents stored in CMR replacement project in projects office. Once Go Live (31 March 2016) the partnership involvement with CoL will officially cease.	City of Lincoln North Kesteven West Lindsey	Shared post SDDO with NKDC Project costs 25% of CoL officer time upto the end of March 2016	Monthly	Medium	Green
ICT	Joint Planning Unit GIS Support	Jeannette Anderson	Formal (delivery focused)	To ensure that appropriate support re GIS management is provided for the JPU	JPU WLDC	None	Two Monthly	Medium	Green
ICT	North Kesteven Collaboration	Jeannette Anderson	Formal (delivery focused)	To oversee the following joint functions: LLPG GIS R&B Tech Support CIGG - delivery of shared info governance role	WLDC NKDC	Shared Partnership Agreement in place to offset costs of both councils on a per officer basis.	On-going work function	Medium	Green

Localism	Armed Forces Community Covenant Partnership	Grant White	Formal (delivery focused)	To support and deliver the aims of the Community Covenant in Lincolnshire.	Lincolnshire Armed Forces Lincolnshire County Council Royal British Legion Involving Lincs Greater Lincolnshire Local Enterprise Partnership NHS Lincolnshire Reserve Forces District Councils Lincolnshire Association of Local Councils	WLDC grant schemes sometimes match fund applications to the Armed Forces Community Covenant Grant.	Quarterly partnership meetings and quarterly grant panels	Medium	Green
Localism	Big Society Project Board	Grant White	Formal (delivery focused)	To strategically look at funding for the Voluntary and Community Sector (VCS) infrastructure. This includes confirming funding arrangements from County and District Councils for infrastructure organisations.	Lincolnshire County Council All District Councils Involving Lincs	WLDC financial commitment for 2015/2016 to VCS infrastructure is £25,000 in a formal grant funding agreement.	2 Meetings per year	High	Green

Localism	Community Hub Project Board	Grant White	Formal (delivery focused)	Steers the delivery of the Community Hub work by Lincolnshire County Council. This covers supporting community venues and community libraries to become community hubs.	Lincolnshire County Council All District Councils	None	Quarterly board meetings	High	Green
Localism	East Midlands Funders Forum	Grant White	Organisational Network	To network and share information on funding practice and policy in the East Midlands.	East Midland Local Authorities Regional and national grant funders Social finance providers	£100 per year membership fee	Quarterly meetings	Low	Green
Localism	Ex-MoD Steering Group	Grant White	Formal (delivery focused)	Strategic working group looking at issues on Ex-MoD villages including RAF Scampton.	Lincolnshire County Council Lincolnshire Police RAF Local residents Parish councils Local community organisations	None	Quarterly meetings	High	Green

Localism	Lincolnshire Funding Advice Network	Grant White	Formal (delivery focused)	To promote and share best practice amongst funding professionals in Lincolnshire. The network also co-ordinates funding related activities including funding events.	Lincolnshire County Council All District Councils BIG Lottery Fund Involving Lincs Lincolnshire Sports One East Midlands Heritage Lottery Fund Waste Recycling England (WREN) Business in the Community Lincolnshire Community Foundation	As and when funding events take place in West Lindsey.	3 network meetings and 7 funding events per year	Low	Green
Localism	SIB Local Impact Fund	Grant White	Informal	To establish a Local Impact Fund that can provide financial support to social enterprises in the GLLEP area.	Social Investment Business (SIB) Greater Lincolnshire Local Enterprise Partnership Humber Local Enterprise Partnership	None	As required	Low	Amber

Localism	West Lindsey Voluntary Sector Forum	Grant White	Organisational Network	Voluntary sector forum to share local knowledge and best practice.	Voluntary Centre Services Various voluntary, community and charitable organisations in West Lindsey.	None	4 to 6 forums per year	Medium	Green
Operational Services	A4E	Ady Selby	Formal (delivery focused)	To provide work experience for A4E clients	Action for Employment & WLDC			Low	Green
Operational Services	Cherry Willingham Parish Council Litter Pick Partnership	Ady Selby	Informal	To undertake litter picks	Cherry Willingham Parish Council			Medium	Green
Operational Services	Environment Agency Partnership	Ady Selby	Professional Relationship	To receive feedback on site management	Environment Agency and WLDC			Low	Green
Operational Services	Freight Transport Partnership	Ady Selby	Professional Relationship	To look at transport related issues and advances in technology	Freight Transport Association and WLDC		Annual	Low	Green
Operational Services	Lincolnshire Waste Partnership	Ady Selby	Formal (delivery focused)	To develop strategy in relation to Operational Services for Lincs County residents	All Lincs District and LCC. Environment Agency and LEA	-	Monthly	High	Amber
Operational Services	Saxilby Parish Council Litter	Ady Selby	Informal	To undertake litter-picks on our behalf	Saxilby Parish Council			Medium	Green

	Pick Partnership								
Operational Services	Voluntary Groups Involved in Litter Picks	Ady Selby	Informal	To undertake litter picks	There are 60/70 such exercises per year			Low	Green
Operational Services	Operational Services Health and Safety Group	Robert Gilliot	Formal (delivery focused)	To review H&S issues across Lincolnshire and assess risk assessments and working practices.	All Lincs Districts and LCC H&S representatives and H&S officers			Medium	Green
Regeneration	Lincolnshire One Venues	Karen Whitfield	Organisational Network	To work collaboratively to support the Arts in Lincolnshire. To support new artists, encourage high quality work to the County and to support youth participation in the Arts	Lincoln Arts Trust LPAC South Kesteven District Council South Holland District Council West Lindsey District Council North Kesteven District Council Lincolnshire County Council	£500 per year but £1500 is returned via projects	Monthly	Low	Amber
Regeneration	Agri-food steering group	Marina Di Salvatore		Promote the agri-food business in WL	WL agri-food businesses	£10k		Low	
Regeneration	Caistor Town Council	Marion L Thomas		Caistor Business	Caistor businesses and organisations	HSIF £20k		Low	

Regeneration	Gainsborough Town Partnership	Riddell, Joanna		Gainsborough businesses	Gainsborough businesses			Low	
Regeneration	GLLEP								
Regeneration	Lindsey Action Zone							Low	
Regeneration	Mr BIG				Market Rasen Businesses	Portas pilot and HSIF		Low	
Regeneration	Skills Board		Formal (delivery focused)	Enhanced skills, employability of workforce and job creation				Low	
Regeneration	Talent Match			To enhance life opportunities fro Neets in Gainsborough SWW	NEETs Business and training partners, Core scheme partners			Low	
Revenues, Benefits & Customer Services	IRRV Forum Meetings	Alison McCulloch	Organisational Network	To provide a platform for discussion on revenues and benefits issues at both a national and local level. The IRRV Forum Service enables members to network with hundreds of practitioners working within the above areas of the profession.	All public bodies Local Authorities Private companies	Forum membership costs £1260 pa	Quarterly	Medium	Green

<p>Revenues, Benefits & Customer Services</p>	<p>Lincolnshire Counter Fraud Partnership - SPD Review</p>	<p>Alison McCulloch</p>	<p>Professional Relationship</p>	<p>To seek funding to deliver a program for a co-ordinated review of all records where an SPD is awarded to identity whether the discount is accurately awarded and to reduce the fraudulent claiming of SPD.</p>	<p>Lincolnshire District Authorities: Boston Borough Council City of Lincoln Council East Lindsey North Kesteven District Council South Holland District Council South Kesteven District Council</p>		<p>Once every 2 years if funding available</p>	<p>High</p>	<p>Green</p>
<p>Revenues, Benefits & Customer Services</p>	<p>Lincolnshire Revenues Managers Meetings</p>	<p>Alison McCulloch</p>	<p>Professional Relationship</p>	<p>Look at best practice, joint working, regulation changes</p>	<p>7 Lincolnshire districts: Boston Borough Council City of Lincoln Council East Lindsey District Council North Kesteven District Council South Holland District Council South Kesteven District Council</p>	<p>None</p>	<p>Quarterly</p>	<p>Low</p>	<p>Green</p>

Revenues, Benefits & Customer Services	Northgate North East User Group	Alison McCulloch	Professional Relationship	To receive new product updates from Northgate and work together to resolve issues each site has with the product	All North East district councils who are users of Northgate		Quarterly	Low	Green
Revenues, Benefits & Customer Services	Single Person Discount Review	Alison McCulloch	Professional Relationship	To engage a third party supplier to carry out this review using data matching and cross referencing techniques and appropriate follow up actions.	Lincolnshire Districts: Boston Borough Council City of Lincoln Council East Lindsey District Council North Kesteven District Council South Holland District Council South Kesteven District Council Lincolnshire County Council		Once every 2 years	Low	Green
Revenues, Benefits & Customer Services	Lincolnshire Benefits Managers Group	Angela Matthews	Professional Relationship	To share best practice, give support, develop Lincolnshire-wide Benefit policies and to share the burden of new legislation or changes.	WLDC NKDC City of Lincoln SKDC Boston Borough Council East Lindsey DC South Holland DC	Officer Time	Quarterly	Low	Green

Revenues, Benefits & Customer Services	Lincolnshire Counter fraud Partnership - Local Council Tax Support Fraud	Angela Matthews	Formal (delivery focused)	To detect, penalise and prosecute Council Tax Support Fraud with the aim of reducing the LCTS expenditure and publicising prosecutions as a deterrent to committing fraud	WLDC City of Lincoln NKDC	Officer Time	ad hoc until 31.3.16	Medium	Green
Revenues, Benefits & Customer Services	Lincolnshire Fraud and Error Reduction Incentive Publicity Project	Angela Matthews	Formal (delivery focused)	To develop and publish co-ordinated Lincolnshire-wide Benefit publicity regarding Fraud and changes to Benefit claims	East Lindsey DC SHDC City of Lincoln Boston BC NKDC SKDC WLDC	Officer Time	Ad hoc until 31.3.16	Medium	Green
Revenues, Benefits & Customer Services	Welfare Reform Steering Group Partnership	Anita Foster	Organisational Network	to develop policies and practices in preparation for the introduction of Universal Credit	West Lindsey District Council City of Lincoln NKDC	Officer Time	Monthly	Medium	Green
Revenues, Benefits & Customer Services	Disability Network for West Lindsey	Lyn Marlow	Formal (delivery focused)	To discuss and monitor accessibility to services for the disabled and to raise awareness of issues and consultation.	LAPD; DWP; WLDC; NACRO; Voiceability; LCC; VCS; Disabled Volunteers	-	Bi-Monthly	Medium	Green
Revenues, Benefits & Customer Services	Lincolnshire Customer Services Forum	Lyn Marlow	Professional Relationship	To share best practice and developments/opportunities in customer service.	LCC; Compass Point; CoL; NKDC; BBC; SKDC	-	Quarterly	Low	Green
Revenues, Benefits & Customer Services	Local Beekeeper Provision	Lyn Marlow	Professional Relationship	To direct calls about bees to relevant professionals	Local Beekeepers		Yearly	Low	Green

Customer Services									
Revenues, Benefits & Customer Services	Public Sector Customer Services Forum	Lyn Marlow	Organisational Network	To establish best practice and avail of training opportunities	Country-wide Local Authorities and RSLs	-	Six Monthly	Low	Green
Technical & Contracts	Joint Venture Thonock and Somerby Estates	Gary Reevell	Formal (delivery focused)	To create Heapham Rd Industrial Estate. Partnership will be formally dissolved once all land sales have been completed.	Thonock and Somerby Estates & WLDC	£1m approx. (grant funds)	As required	Medium	Green

Appendix B: Key Partnerships Information

Partnership Name	
Type of Partnership	<i>Statutory Instrumental in developing/influencing policies Instrumental in managing finances and other resources Liaison/Networking Other:</i>
Brief description of purpose	
Key achievements 2016/17	
Key current activities 2017/18	
Key planned activities 2018/19 -	
Lead Officer name	
Other officers who attend	
Which organisation is the accountable body	
What are the governance arrangements of the partnership?	
Any legal liabilities	

Benefits:

Does the partnership help to deliver any statutory duties	
Does the partnership help to deliver any of our services	
Does the partnership help to deliver any of our corporate objectives	
How important/valuable do you consider the meetings to be?	<i>Very valuable/always attend Some vale/attend infrequently Hardly ever/never attend</i>
Are the meetings well attended by other key organisations?	<i>Yes always Sometimes Attendance is very patchy</i>
Are meetings well planned and purposeful	<i>Yes Sometimes Never</i>
Do you feel that you have enough information and support to fully take part in the meetings?	<i>Yes I am well informed and clear about my role I do not feel well enough briefed to fully participate in the meeting I am unclear of my role and reasons for attending</i>
Other comments on the benefit of the partnership:	

Costs:

Annual number of officer hours	<i>Time to attend meetings: Preparation for meetings: Report writing: Time briefing officers/members: Other:</i>
Travel costs	<i>Location of meetings: Number of meetings per year:</i>
Annual financial contributions	
Other Financial Costs e.g. free use of office space, seminar costs etc	

Additional information:

Page	Titles
1	<u>Lincolnshire Homelessness Strategy Partnership</u>
2	<u>Lincolnshire Networking Partnership</u>
3	<u>WL/LiNK Subsidy Partnership</u>
4	<u>Safer Lincolnshire Partnership</u>
5	<u>WL/NK ICT</u>
6	<u>Joint Planning Unit</u>
7	<u>Lincs Legal shared service</u>
8	<u>Sport and Leisure Management Ltd</u>
9	<u>Lincolnshire Fraud Partnership</u>
10	<u>Lincolnshire Procurement Partnership</u>
11	<u>Market Street Renewal Ltd</u>
12	<u>Place Board</u>
13	<u>Skills Partnership</u>
14	<u>Strategic Health Partnership</u>
15	<u>Lincolnshire Waste Partnership</u>
16	<u>Lincolnshire Safeguarding Children Partnership</u>
17	<u>MAPPA – Multi Agency Public Protection Agency</u>
18	<u>Vulnerable Adult Panel</u>

Background Information

Partnership Name	Lincolnshire Homelessness Strategy Partnership
Type of Partnership	Instrumental in developing/influencing policies
Brief description of purpose	To develop and implement a homeless strategy for Lincolnshire.
Any key achievements to date	ACTion Lincs – Put into action following a bid for Social Impact Bond. Works with entrenched rough sleepers to deliver housing and support
Officer name	Rachel Parkin
Other officers who attend	None from West Lindsey
Which organisation is the accountable body	East Lindsey is the Chair/Col has the coordinator post
Any legal liabilities	None

Benefits

Does the partnership help to deliver any statutory duties	Helps provide objectives for each authority's homeless teams and reduce duplication of work.
Does the partnership help to deliver any services	Social Impact Bond
Does the partnership help to deliver any corporate	Supporting the vulnerable
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	Yes always
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	Helps to deliver priorities from Government and put into a local context without 7 districts repeating the same work.

Costs

Annual number of officer hours	Time to attend meetings:	8
	Preparation for meetings	2
	Report writing:	0
	Time briefing officers/members:	1
	Other:	0
Travel costs	Location of meetings:	
	Number of meetings per year:	4
Annual financial contributions		None
Additional information:		

Background Information

Partnership Name	Lincolnshire Networking Partnership	
Type of Partnership	Instrumental in developing/influencing policies	
Brief description of purpose	To enable or support agencies in Lincolnshire to work together to deliver the homeless strategy and produce examples of problems/good practice that are occurring in the county. Opportunity to update on national legislation and funding opportunities.	
Any key achievements to date	Ongoing delivery homeless of strategy	
Officer name	Rachel Parkin	
Other officers who attend	None	
Which organisation is the accountable body	East Lindsey is the Chair/Col has the coordinator post	
Any legal liabilities	None	
Benefits		
Does the partnership help to deliver any statutory duties	Yes – Prevent and reduce homelessness	
Does the partnership help to deliver any services	Enables current services to be streamlined and to collate issues so that the LA's can get the best out of services that are delivered	
Does the partnership help to deliver any corporate	Supporting vulnerable people	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs		
Annual number of officer hours	Time to attend meetings:	8
	Preparation for meetings	2
	Report writing:	0
	Time briefing officers/members:	1
	Other:	0
Travel costs	Location of meetings:	
	Number of meetings per year:	4
Annual financial contributions	None	
Additional information:		

Background information:

Partnership Name	WL/LiNK Subsidy Partnership
Type of Partnership	WL/LiNK Subsidy Partnership
Brief description of purpose	To provide advice and resilience in managing the HB subsidy claim and to provide training to the Benefit Team on subsidy issues
Any key achievements to date	Saved staffing costs in not recruiting a dedicated Subsidy Officer
Officer name	Angela Matthews
Other officers who attend	Margaret Woodward
Which organisation is the accountable body	LiNK
Any legal liabilities	LiNK have corporate insurance cover to draw on should they give any incorrect advice or complete the claims incorrectly

Benefits:

Does the partnership help to deliver any statutory duties	Yes – Subsidy claim and management
Does the partnership help to deliver any services	Housing Benefit
Does the partnership help to deliver any corporate	
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	The partnership was formed as part of succession planning following the retirement of the WL dedicated Subsidy Officer and the proposed retirement of the current officer who is subsidy trained.

Costs:

Annual number of officer hours	Time to attend meetings:	
	Preparation for meetings	
	Report writing:	
	Time briefing officers/members:	
	Other:	
Travel costs	Location of meetings:	WLDC
	Number of meetings per year:	Ad Hoc
Annual financial contributions		£10,000

Additional information:

The partnership is based on LiNK providing a resource as and when necessary to assist manage the WL HB Subsidy process. The majority of the cost incurred is by LiNK for which we pay £10k annually.

Background information:		
Partnership Name	Safer Lincolnshire Partnership	
Type of Partnership	Statutory	
Brief description of purpose	To consider all community safety based matters across the County and across partner agencies. Meeting coordinated by LCC and attended by Police, Fire and Rescue, Prison Service, Police and Crime Commissioner, Lincolnshire Partnership NHS Foundation Trust as well as other community safety related bodies. The partnership is governed and scrutinised by a group elected members including WLDCs Chair of Prosperous Communities Committee.	
Any key achievements to date	Key working groups with individual work plans in relation to ASB, Fraud, Modern Slavery, Reducing Offending and youth offending	
Officer name	Andy Gray	
Other officers who attend	N/A	
Which organisation is the accountable body	LCC	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	Yes, partnership helps to provide support and advice in regards to the Councils Community Safety functions	
Does the partnership help to deliver any services	It provides a resource across the County for specific issues. The districts supports the working groups and these are divided across agencies to ensure that there is countywide buy in.	
Does the partnership help to deliver any corporate		
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	4
	Preparation for meetings	N/A
	Report writing:	N/A
	Time briefing officers/members:	2
	Other:	0
Travel costs	Location of meetings:	Lincoln
	Number of meetings per year:	6
Annual financial contributions	£1,250 -ASB System	
Additional information:		

Background information:		
Partnership Name	WL/NK ICT Partnership	
Type of Partnership	Instrumental in developing/influencing policies	
	Instrumental in managing finances and other resources	
Brief description of purpose	To create a single domain within a shared infrastructure for North Kesteven District Council and West Lindsey District Council, maintained and managed by a single ICT support team; thereby reducing costs of ICT provision for both councils.	
Any key achievements to date	Creation of a shared infrastructure 30% financial savings based on baseline costs. Improved resilience across both Councils. Appointment of shared ICT manager	
Officer name	James O'Shaughnessy	
Other officers who attend	Ian Knowles, Michelle Carrington, Cliff Dean (shared manager)	
Which organisation is the accountable body	Shared accountability	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	Ensures PSN compliance, Assists with data, protection and GDPR requirements	
Does the partnership help to deliver any services	Delivers the ICT service and maintains the infrastructure across both sites.	
Does the partnership help to deliver any corporate	Excellent Value for Money Services Partnership working	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:	Partnership was audited in 17/18 and received a substantial assurance rating. Review underway to assess achievement of initial desired outcomes and to establish the focus of the next phase of partnership operations	
Costs:		
Annual number of officer hours	Time to attend meetings:	12
	Preparation for meetings	2mins
	Report writing:	4
	Time briefing officers/members:	3
	Other:	6
Travel costs	Location of meetings:	Both Sites
	Number of meetings per year:	4
Annual financial contributions	£240k across partnership for 17/18 – costs split 50/50. £120k contribution for WLDC	
Additional information:		

Background information:

Partnership Name	Joint Planning Unit
Type of Partnership	Statutory
Brief description of purpose	Responsible for producing the Central Lincolnshire Local Plan which contains planning policies that relate to the delivery and management of development in Central Lincolnshire.
Any key achievements to date	Local Plan and associated documents
Officer name	Eve Fawcett-Moralee
Other officers who attend	Oliver Fytche-Taylor
Which organisation is the accountable body	NKDC
Any legal liabilities	Statutory requirements for each document. Will be stated in the management documents.

Benefits:

Does the partnership help to deliver any statutory duties	Local Plan
Does the partnership help to deliver any services	Local Plan
Does the partnership help to deliver any corporate	Central Lincs Local Plan
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	Yes always
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	

Costs:

Annual number of officer hours	Time to attend meetings:	*
	Preparation for meetings	0
	Report writing:	0
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	4 Authorities
	Number of meetings per year:	Varies
Annual financial contributions		£98,000

Additional information:

*Steering Group – Eve and Oliver quarterly 2 hours
 Heads of Planning – Oliver monthly 3 hours
 Leaders Meetings – Eve, Oliver and Jeff quarterly 1 hour

Background information:

Partnership Name	Lincs Legal shared service
Type of Partnership	Shared Service
Brief description of purpose	To provide legal advice and carry out legal work for the council
Any key achievements to date	10 years of excellent service with numerous case successes
Officer name	Alan Robinson
Other officers who attend	James O'Shaughnessy
Which organisation is the accountable body	LCC
Any legal liabilities	None

Benefits:

Does the partnership help to deliver any statutory duties	Planning licensing in particular
Does the partnership help to deliver any services	Most services use the partnership for legal work and advice
Does the partnership help to deliver any corporate	Only as an enabler
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	Yes always
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	

Costs:

Annual number of officer hours	Time to attend meetings:	10
	Preparation for meetings	5
	Report writing:	0
	Time briefing officers/members:	%
	Other:	0
Travel costs	Location of meetings:	Both Sites
	Number of meetings per year:	4
Annual financial contributions		None
Additional information:		

Background information:

Partnership Name	Sport and Leisure Management Ltd	
Type of Partnership	Contractual	
Brief description of purpose	To manage the leisure facilities.	
Any key achievements to date	New contract	
Officer name	Karen Whitfield	
Other officers who attend	An officer from Property Services	
Which organisation is the accountable body	WLDC	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	None	
Does the partnership help to deliver any services	Leisure and health	
Does the partnership help to deliver any corporate	People First, Asset Management	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	2
	Preparation for meetings	1
	Report writing:	0
	Time briefing officers/members:	1
	Other:	0
Travel costs	Location of meetings:	WLDC
	Number of meetings per year:	12
Annual financial contributions	None	
Additional information:		

Background information:

Partnership Name	Lincolnshire Fraud Partnership	
Type of Partnership	Statutory	
Brief description of purpose	The share information on countering fraud and to ensure best practice.	
Any key achievements to date	Improved practices and knowledge sharing	
Officer name	Tracey Bircumshaw	
Other officers who attend	None	
Which organisation is the accountable body	LCC	
Any legal liabilities	The contract will state legal liabilities	
Benefits:		
Does the partnership help to deliver any statutory duties	Financial stewardship	
Does the partnership help to deliver any services	Fraud service	
Does the partnership help to deliver any corporate	Partnerships/Devolution, Excellent Value for Money Services	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	2
	Preparation for meetings	2
	Report writing:	Ad Hoc
	Time briefing officers/members:	1
	Other:	0
Travel costs	Location of meetings:	LLC
	Number of meetings per year:	4
Annual financial contributions		£3,000
Additional information:		

Background information:

Partnership Name	Lincolnshire Procurement Partnership	
Type of Partnership	Instrumental in managing finances and other resources	
Brief description of purpose	The partnership supports the LAs with their strategic procurement. And aims to obtain best value contracts, engage with suppliers to promote the local economy and embrace socially responsible procurement.	
Any key achievements to date	Significant savings on contract renewals.	
Officer name	Tracey Bircumshaw	
Other officers who attend	Anna Grieve	
Which organisation is the accountable body	LCC	
Any legal liabilities	The contract will state legal liabilities	
Benefits:		
Does the partnership help to deliver any statutory duties	Section 151 duties	
Does the partnership help to deliver any services	Procurement service	
Does the partnership help to deliver any corporate	Excellent Value for Money Services	
How important/valuable do you consider the meetings to	Some value/attend infrequently	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	1
	Preparation for meetings	0
	Report writing:	0
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	WLDC
	Number of meetings per year:	4
Annual financial contributions	£36,000	
Additional information:		

Background information:

Partnership Name	Market Street Renewal Ltd	
Type of Partnership	Joint Venture Company	
Brief description of purpose	To regenerate Market Street and Gainsborough through acquisition of premises on Market Street	
Any key achievements to date	Refurbishment taking place of 3 properties on Market Street and a further 2 on North Street.	
Officer name	Wendy Osgodby	
Other officers who attend	Eve Fawcett-Moralee	
Which organisation is the accountable body	50% share from each of WLDC and Dransfield	
Any legal liabilities	The contract will state legal liabilities	
Benefits:		
Does the partnership help to deliver any statutory duties	None	
Does the partnership help to deliver any services	Regeneration objectives	
Does the partnership help to deliver any corporate	People First, Asset Management, Partnerships/Devolution	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	2
	Preparation for meetings	part of Role
	Report writing:	part of Role
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	Sheffield/WLDC
	Number of meetings per year:	12
Annual financial contributions	Shareholder loan for £250,000 per side plus grants received.	
Additional information:		

Background information:

Partnership Name	Place Board	
Type of Partnership	Instrumental in developing/influencing policies	
Brief description of purpose	Promoting Gainsborough as a place to invest and develop	
Any key achievements to date	Marketing literature. Online presence through Invest Gains.	
Officer name	Wendy Osgodby	
Other officers who attend	Eve Fawcett-Moralee, Julie Heath, Jessica Shakespeare	
Which organisation is the accountable body	WLDC	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	None	
Does the partnership help to deliver any services	Regeneration service	
Does the partnership help to deliver any corporate objectives	Open for Business, People First, Asset Management, Partnerships/Devolution	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	2
	Preparation for meetings	part of Role
	Report writing:	part of role
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	Gains
	Number of meetings per year:	6
Annual financial contributions	£20,000 initial then ongoing costs yearly after	
Additional information:		

Background information:

Partnership Name	Skills Partnership	
Type of Partnership	Instrumental in managing finances and other resources	
Brief description of purpose	To act as the designated, time-limited, partnership body responsible for driving, overseeing and promoting all aspects of the delivery of the respective action plan, and achieving associated objectives. It is also intended that the very process of forging new relations and working closely together to make a difference and deliver beneficial local outcomes, will in itself lead to new learning, insight and joint initiatives, and provide a useful platform and legacy for future action in its own right, as well as being a good reason to get involved.	
Any key achievements to date	Careers events, Networking events, engineering brochure.	
Officer name	Amanda Bouttell	
Other officers who attend	Rachel Parkin	
Which organisation is the accountable body	WLDC	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	None	
Does the partnership help to deliver any services	Skills support	
Does the partnership help to deliver any corporate objectives	Open for business, Partnerships/Devolution	
How important/valuable do you consider the meetings to be?	Very valuable/always attend	
Are the meetings well attended by other key organisations?	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	2
	Preparation for meetings	4
	Report writing:	Prep
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	WLDC
	Number of meetings per year:	4
Annual financial contributions	£10,000	
Additional information:		

Background information:	
Partnership Name	Strategic Health Partnership
Type of Partnership	Instrumental in developing/influencing policies
Brief description of purpose	No clear purpose has been determined
Any key achievements to date	None to date
Officer name	Karen Whitfield
Other officers who attend	None
Which organisation is the accountable body	WLDC
Any legal liabilities	None
Benefits:	
Does the partnership help to deliver any statutory duties	None
Does the partnership help to deliver any services	None
Does the partnership help to deliver any corporate objectives	If effective the partnership would contribute to the priorities of housing, health and vulnerable groups (new Corporate Plan content)
How important/valuable do you consider the meetings to	
Are the meetings well attended by other key	
Are meetings well planned and purposeful	
Other comments on the benefit of the partnership:	Benefits are hard to identify
Costs:	
Annual number of officer hours	Time to attend meetings:
	Preparation for meetings
	Report writing:
	Time briefing officers/members:
	Other:
Travel costs	Location of meetings:
	Number of meetings per year:
Annual financial contributions	None
Additional information:	<p>This partnership has derived from the Challenge & Improvement Committee's Health Commission which sought to identify and address the health related issues facing the District. This brought together health related providers to discuss matters. However no clear action plan resulted from this work other than a desire to continue in some shape or form, overseen by the Prosperous Communities Committee. Hence the notion of a Strategic Health Partnership. Despite best intentions of Members, there appears to be a lack of understanding as to the role and influence the District Council has in health provision. It is not a statutory obligation, nor do we directly fund any resource in this area. Unless a clear plan of action can be determined, it is felt that the partnership is not something that should continue and another means of keeping abreast of health related matters that affect the District will need to be identified.</p>

Background information:

Partnership Name	Lincolnshire Waste Partnership	
Type of Partnership	Instrumental in developing/influencing policies	
Brief description of purpose		
Any key achievements to date	Energy from waste, Waste transfer sites, Revised waste strategy	
Officer name	Ady Selby	
Other officers who attend	Steve Leary or Rob Gilliot can attend but only 1 officer would attend at any time.	
Which organisation is the accountable body	No overall accountable body. Chair is rotated yearly around the authorities	
Any legal liabilities	None	
Benefits:		
Does the partnership help to deliver any statutory duties	Deliver/collect waste	
Does the partnership help to deliver any services	Waste Service	
Does the partnership help to deliver any corporate	People First, Partnership/Devolution	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:		
Costs:		
Annual number of officer hours	Time to attend meetings:	3
	Preparation for meetings	Adhoc
	Report writing:	Adhoc
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	Lincoln/Metheringham
	Number of meetings per year:	12
Annual financial contributions	None	
Additional information:	Member meetings also take place quarterly and take around 3 hours.	

Background information:		
Partnership Name	Lincolnshire Safeguarding Children Partnership	
Type of Partnership	Statutory	
	Instrumental in developing/influencing policies	
Brief description of purpose	To ensure all agencies are working to the safeguarding priorities set by Lincs County Council.	
Any key achievements to date	Safeguarding Training Plan and 5 year strategy which ends in 2020	
Officer name	Emma Shoobridge	
Other officers who attend	Rachel parkin	
Which organisation is the accountable body	LCC	
Any legal liabilities	Ensuring the council meets its objectives and safeguards children appropriately.	
Benefits:		
Does the partnership help to deliver any statutory duties	Yes – safeguarding vulnerable residents	
Does the partnership help to deliver any services	Sets the priorities for safeguarding for each district to act upon	
Does the partnership help to deliver any corporate objectives	Delivers core priority groups which focus on modern slavery, child exploitation and Domestic Abuse	
How important/valuable do you consider the meetings to	Very valuable/always attend	
Are the meetings well attended by other key	Yes always	
Are meetings well planned and purposeful	Yes	
Other comments on the benefit of the partnership:	Offers guidance to districts and any examples of good or bad practice are shared preventing duplication of errors.	
Costs:		
Annual number of officer hours	Time to attend meetings:	40
	Preparation for meetings	8
	Report writing:	1
	Time briefing officers/members:	4
	Other:	0
Travel costs	Location of meetings:	Lincoln
	Number of meetings per year:	16
Annual financial contributions	£4010 + £1500 contribution to Domestic Homicide Reviews, Paid to LCC	
Additional information:	This partnership feeds into 5 strategic priorities. Emma attends representing all districts. This is so that each district doesn't have to attend each meeting but this is replicated on other meetings so that Emma doesn't have to attend. This is split into quarterly meetings for LSOP, 4x district safeguarding groups, 4x child exploitation group and 4 x modern slavery.	

Background information:

Partnership Name	MAPPA – Multi Agency Public Protection Agency
Type of Partnership	Statutory
Brief description of purpose	To manage high risk offenders within the community
Any key achievements to date	None
Officer name	Rachel parkin
Other officers who attend	None
Which organisation is the accountable body	Lincs Police
Any legal liabilities	Guidance and good practice to cooperate with MAPPA

Benefits:

Does the partnership help to deliver any statutory duties	Prevent homelessness from high risk offenders and accommodate in a planned way
Does the partnership help to deliver any services	None
Does the partnership help to deliver any corporate	Supports vulnerable people
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	Yes always
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	We've been able to prevent crisis management situations when we have not been aware of a high risk offender

Costs:

Annual number of officer hours	Time to attend meetings:	84
	Preparation for meetings	6
	Report writing:	0
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	Lincoln
	Number of meetings per year:	12

Annual financial contributions

£3646. This is paid by each 7 authorities plus county council

Additional information:

Background information:

Partnership Name	Vulnerable Adult Panel
Type of Partnership	Liaison/Networking
Brief description of purpose	Early intervention of high needs residents who are facing homelessness
Any key achievements to date	Accommodation of complex people
Officer name	Emma Shoobridge
Other officers who attend	Minute taker
Which organisation is the accountable body	Chair – West Lindsey but all agencies have actions to take away
Any legal liabilities	None

Benefits:

Does the partnership help to deliver any statutory duties	Helps to prevent homelessness and fulfil statutory duties in regards to providing support, advice and accommodation
Does the partnership help to deliver any services	None
Does the partnership help to deliver any corporate	Supporting people
How important/valuable do you consider the meetings to	Very valuable/always attend
Are the meetings well attended by other key	Yes always
Are meetings well planned and purposeful	Yes
Other comments on the benefit of the partnership:	

Costs:

Annual number of officer hours	Time to attend meetings:	24
	Preparation for meetings	18
	Report writing:	12
	Time briefing officers/members:	0
	Other:	0
Travel costs	Location of meetings:	Guildhall
	Number of meetings per year:	10
Annual financial contributions		None
Additional information:		

Appendix D: Current Key Strategic Partnerships & Associated Costs

Partnership	Officer Hours (Yearly)	Travel Costs (Yearly)	Financial Contribution	Total Costs
Joint Planning Unit	£2,630	£325	£98,000	£100,955
Lincs Legal Partnership	£1,870	£130	£0	£2,000
Lincolnshire Waste Partnership	£1,120	£240	£0	£1,360
Skills Partnership	£1,500	£0	£10,000	£11,500
Market Street Renewal Ltd	£1,500	£200	£250,000	£251,700
Place Board	£1,500	£0	£20,000	£21,500
WL/NK ICT Partnership	£1,360	£100	£120,000	£121,460
Safeguarding Partnership	£3,200	£260	£5,500	£8,960
Vulnerable Adult Panel	£1,680	£0	£0	£1,680
Lincs Fraud Partnership	£620	£65	£3,000	£3,685
Procurement Partnership	£240	£0	£36,000	£36,240
Safer Lincs	£810	£100	£1,250	£2,160
WL Subsidy Partnership	£240	£0	£10,000	£10,240
MAPPA	£2,800	£200	£3,650	£6,650
Sport & Leisure Mgt	£2,000	£0	£0	£2,000
Homelessness Strategy	£1,370	£150	£0	£1,520
Strategic Health	£300	£0	£0	£300
Lincs Networking	£1,370	£65	£0	£1,435
Totals	£26,110	£1,835	£557,400	£585,345

Agenda Item 6g



Committee CP&R

Date 10th January 2019

Subject: Asset Management Policy

Report by:

Executive Director of Resources

Contact Officer:

Gary Reeve
Team Manager Property & Assets
01427 676561
Gary.reeve@west-lindsey.gov.uk

Purpose / Summary:

The new Asset Management policy reflects the Authorities commitment to the development of an effective system of "Asset Management" which will align to the Council's corporate and public commitments and obligations. This policy is to apply to employees of the Council and all land and property assets held by the Council.

RECOMMENDATION(S):

That members note the requirements of managing and maintaining public assets and approve the new Asset Management Policy

IMPLICATIONS

Legal:

Legislative & Statutory

Financial :

To date a majority of the work on the policy and guidance has been performed in-house. Although it is anticipated that this will continue to be the case, it is envisaged that external resources may be required to further develop the strategy framework. Any additional resources required will be funded using the vacant post within Property services, this has been built into budget monitoring.

FIN REF: FIN/169/19

Staffing :

Development of the policy, strategy and plans is to be performed by existing officers

HR REF: HR077-11-18 - Having read the report and attached policy I can see no HR implications at this stage

Equality and Diversity including Human Rights :**Risk Assessment :**

Risk – That current policy may not align corporate objectives and may lead to ineffective management of the estate.

Mitigation – Development of new policy and strategic plans to align with corporate objectives and identify key elements to deliver effective asset management.

Climate Related Risks and Opportunities :**Title and Location of any Background Papers used in the preparation of this report:**

None.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Introduction

- 1.1 The Council has a document called 'Corporate Property and Asset Management Plan 2015 – 2020 Unlocking the Potential' - this Asset Management Policy has been written to replace and simplify this paper making it more a practical and effective policy.

2. Purpose

- 2.1 This new Asset Management policy has been developed based on good practice guidance from internationally recognised sources having being drawn to comply with the requirements of the ISO55000 series of standards. It defines the key asset management principles and requirements that this Authority will apply to its land and property assets in order to achieve its organisational objectives.
- 2.2 The new policy document will replace the old document and will be supported by an Asset Management framework and series of key documents including the Asset Management Strategy, Strategic Asset Management Plan and Sub Plans.

3. Scope

- 3.1 The new Asset Management policy reflects the Authorities commitment to the development of an effective system of "Asset Management" which will align to the Council's corporate and public commitments and obligations. This policy is to apply to employees of the Council and all land and property assets held by the Council.

4. Engagement

- 4.1 This policy has been reviewed by the Property & Assets team and Corporate Health & safety. It has been developed in conjunction with an externally sourced RICS Chartered Surveyor (Asset Management Specialist).

5. Training and Awareness

- 5.1 Clear communications will be sent to all managers to make them aware of the new policy and to update them on their responsibilities.
- 5.2 Training and support will be identified in relation to this policy and in conjunction with the further development of associated strategies and sub policies.

ASSET MANAGEMENT POLICY

ASSET MANAGEMENT POLICY

Version 1.0 [November 2018]

WEST LINDSEY DISTRICT COUNCIL

Foreword.

By Eve Fawcett-Moralee- Executive Director of Economic and Commercial Growth

West Lindsey District Council owns; manages or is otherwise in control of 196 physical assets (buildings; land and property) spread across five identifiable asset definitions.

Defined as either Operational Property; Community Assets; Investment Assets; Surplus Assets or Miscellaneous Other, these assets have a net book value (as at 31st March 2018) of circa £23 million.

Each asset is supported by a varied array of infrastructure elements such as power supplies; power generation; staff & public support systems and community welfare all of which demand further management, maintenance and investment.

The effective management of these assets requires a clear and robust understanding of their condition; behaviour and requirements allied to clear and precise actions and plans designed to mitigate their degradation and failure and to maintain or improve their monetary and/or social value.

A focused management approach must be supported by reliable information, effective and transparent processes and procedures, trained & competent professional staff and a determination by the executive and council leaders to achieve our aspirations.

This objective drives the Authority's approach to our management of physical assets or 'Asset Management'.

In 2014 the Authority embarked on a programme of 'Asset Management' development which is guided by the 'International' principles of 'Asset Management' [PAS 55 and ISO 55000] and which will allow the Authority to fully develop and deliver an effective asset management plan and programme. The (ongoing) programme was designed to demonstrate the Authority's commitment to effective performance based asset management and develop the appropriate systems and processes required.

Since 2014, we have introduced a 'Computer Aided Asset Management' system which will provide the data required to support our objectives and which will fully support our principal objectives of;

- *Effective and controlled management of physical assets*
- *Cost control by developing optimised whole life cost analysis and management*
- *Safe and fully compliant physical assets delivering a safe work & visitor environment*
- *Sustainability at the heart of asset management*
- *Defendable investment planning and decision making which is attractive to potential partners and investors*
- *Supporting economic growth and social opportunities within our own administrative area.*

*This policy document is designed to identify the key elements required to deliver effective asset management and give direction to the development of an effective '**Strategy and Strategic Asset Management Plan**', with lower order policies, plans and the co-ordinated activities required to promote quality management.*

Signed by

Date

OUR APPROACH TO ASSET MANAGEMENT

Overview

In developing our approach to 'Asset management' we have adopted the definition as proposed by the International Standard for Asset Management [ISO 55000] that is, asset management is;

"Coordinated activities of an organisation to realise value from physical assets"

To achieve this, we will adopt a robust management structure and follow best practice at all times, learn from the experiences of peer groups and apply learning outcomes wherever applicable.

Asset management is directed towards aligning the way in which we [West Lindsey District Council] manage our assets with our '**Corporate objectives**'. For the Authority, this means that we will manage in a way which promotes safe compliant buildings [premises and property] providing a safe environment for staff and customers; support the use and development of sustainable buildings and dispose of buildings which do not meet [or cannot economically be made to meet] statutory requirements, maintain our assets in a way which maximises capital and revenue value and, balances cost in use when (assets are) retained.

Purpose and Objectives

As a Local Authority, West Lindsey District Council is obligated to deliver a wide range of public services in a way which is transparent; cost effective and above all safe. The management of retained physical assets is a critical element in our overall approach to achieving quality local government and as such it is recognised that the management [of physical assets] must be co-ordinated with and aligned to, all other activity. It is not a stand- alone activity but a fully considered, integrated and co-ordinated approach.

In order to achieve this, we will continue to develop an 'Asset Management' structure and approach which;

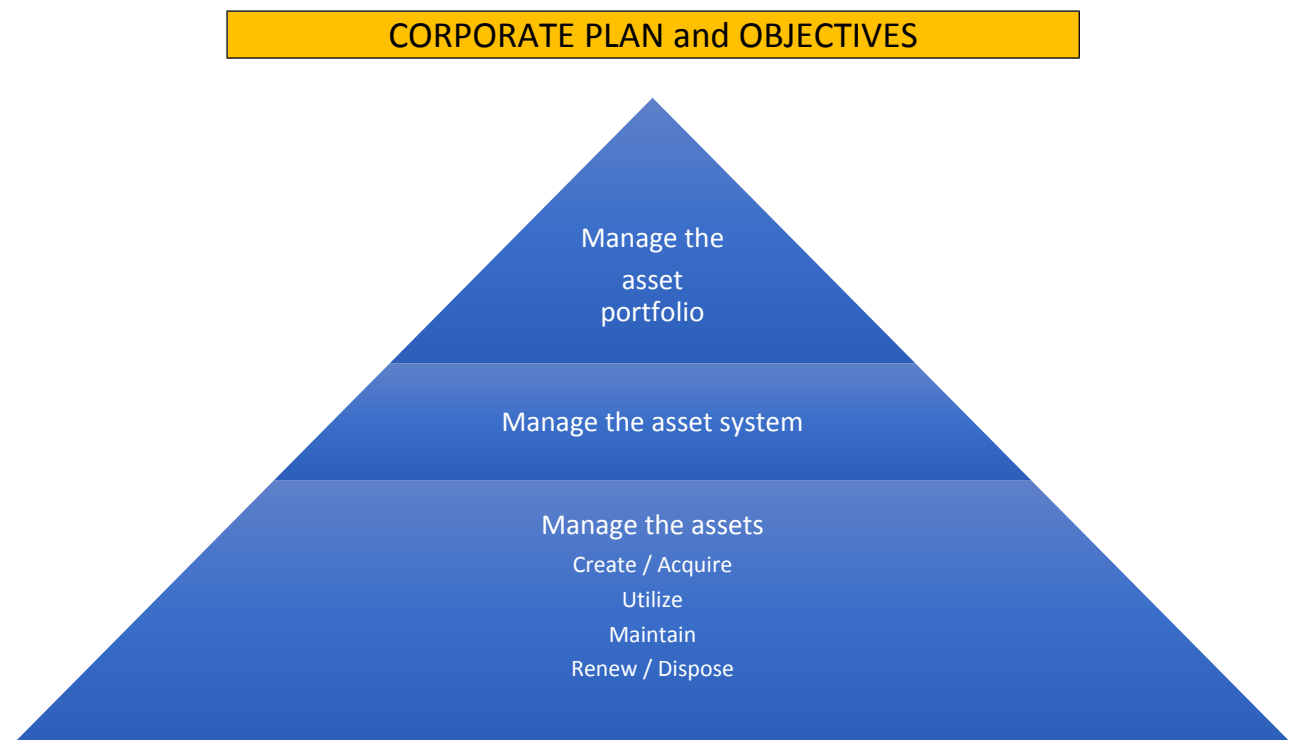
- Follows the internationally accepted structure and model
- Aligns [asset] objectives with 'Corporate 'objectives
- Supports our Role and Vision as an 'entrepreneurial council
 - *To work independently and with potential partners, and use our full potential to improve safety, reliability, capacity and value for money.*
 - *Support local and regional regeneration activity*
 - *Carefully consider asset investment*
- Supports and develops our espoused behaviours
 - Accountable; Transparent; customer focused; collaborative.
- Supports the basic strategic themes of;
 - Safety and Sustainability
 - Development of capabilities [management and project delivery]
- Co-ordinates its activities to direct, control and mitigate identified risks.
- Identifies 'Key enablers' which will support our work.
 - Technology; people and organisational change
 - Systems; procedures and processes

Asset Management System

Our asset management structure and approach to delivery will follow the structure as proposed by the institute of asset management and highlighted in PAS 55 and ISO 55000.

The system places West Lindsey's Corporate Planning Objectives at the head of the management structure with increasingly detailed operations filtering down to day to day asset operations. Application of the system guides our staff in the delivery of key objectives and aligns day to day requirements with our wider horizon [service delivery] targets.

The Asset Management System



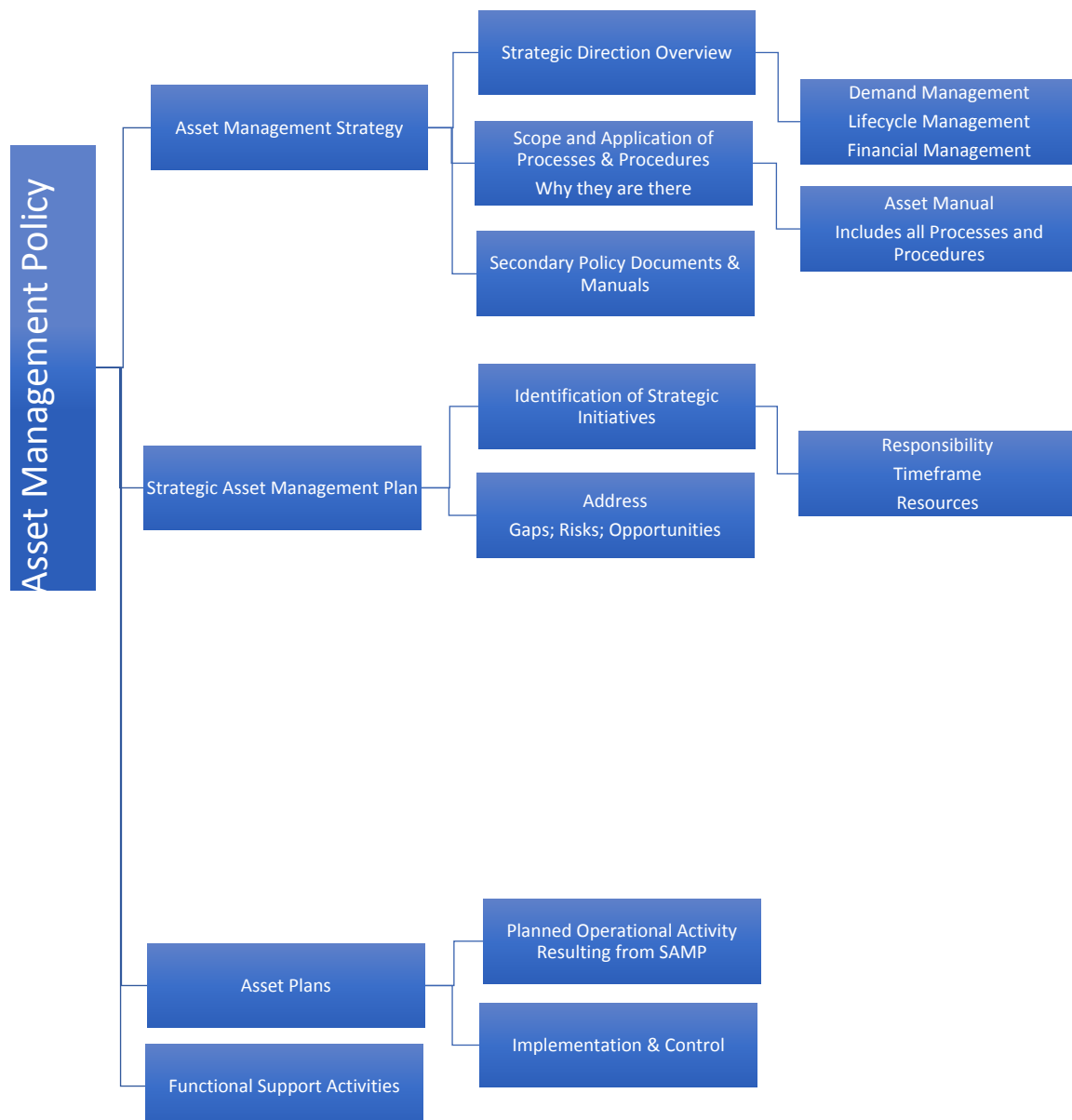
- I. The Asset portfolio. The complete range of assets and systems owned and controlled by the Authority.
- II. The Asset System. Comprises the asset management policy; asset management strategy; asset management objectives and the asset management plans. Also, the activities; processes and organisational structure necessary for implementation and improvement.
- III. Management of assets. Day to day operations and decisions in respect of the physical assets.

Asset Management Delivery Structure.

Our asset management [delivery] structure embodies the principles as outlined in PAS 55 and ISO 55000. The structure ensures that our strategic goals and priorities are identified, documented and reflected in increasingly detailed, and asset, specific plans.

Life cycle costs, risks and performance can be considered; optimised and fed into the managed element of the system.

Our Delivery Structure;



Asset Management Policy.

Identifies our intentions; principles and approach in relation to asset management. Our policy forms the basis of our strategic objectives; goals and targets, and mandated requirements. It identifies the framework for management control and reinforces our commitment to Health and Safety; compliance; governance and efficiency and plays a key role demonstrating our overall commitments.

Asset Management Strategy

The principles by which the Authority applies asset management to achieve its objectives and aligns asset management decision making.

Strategic Management. Identifies the financial and operational parameters of the Authority, its broad legal obligations and all stakeholders in relation to asset management.

The document will summarise the key scope and purpose of high and lower level processes and procedures and indicates the relevant routes to pursue to achieve level two compliance and secure due diligence.

It will identify the principal measures required to ensure effective control over the implementation of life cycle activity plans and in association with our partner organisations will establish control and transparency over outsourced activity.

The strategy will take account of asset and asset related risks and identify the function; performance and condition of our existing assets; asset system and any critical assets and their ability to support wider corporate objectives. The principal methods by which the assets and asset system(s) will be managed will be identified.

Objectives. Will identify the current level of performance of the assets and asset system and their ability to continue to support the Authority's corporate objectives. Identify and plan for continuous improvement and risk mitigation.

Identify Secondary Policy Documents. Outline the principles and parameters to be followed by the Authority and its officers when pursuing core asset activity e.g.

- Investment
- Acquisition and Disposal of assets
- Sustainability
- Outsourcing
- Building Compliance
- Health & Safety

(The above is not a comprehensive list)

Strategic Asset Management Plan

The S.A.M.P. outlines the high-level strategic actions deemed necessary to ensure that the assets and asset management system will meet the Authority's stated

organisational 'Asset Management' objectives. The main focus of the document is the identification of the 'Strategic Initiatives' required to bridge identified gaps in asset management and achieve a forecast position.

The plan will cover a broad range of initiatives and for each initiative will identify:-

- High level action required
- Responsibilities for delivering each action
- Timeframes for completing each action
- The resources (people; funding etc.) required to complete each action.

The Asset Management Plan should be regarded as a live document, subject to frequent review and up-dated as objectives are achieved and new objectives and/or initiatives are identified.

Asset Plans

Creation of Plans. We will develop a series of plans detailing the activity required to fully implement the asset management strategy. Plans will be developed for operational activities covering 'Life Cycle Activities'.

- Creation; acquisition; re-development of assets
- Utilisation of assets
- Maintenance
- Disposal and/or decommissioning of assets.
- Business continuity and crisis management plans.

Functional Activity. Comprises the day to day activity required to maintain our physical assets.

Implementation.

Transferring the written statements into practice is crucial to successful delivery. Referencing both international standards and models of good / best practice, the Authority will, in its drive for quality, address the four principal foundations of [asset] management.

This policy will be reviewed by the strategic team annually.

Accountability. We will identify key personnel responsible for both the development of strategic initiatives and the delivery of operational activity. The strategic team will maintain the 'Asset Management' strategy and identify the systems; mechanisms and accountabilities applied across the Authority. Identified personnel will be accountable for establishing lines of communication and delivering accurate reporting.

Asset System The 'Asset Management System' and its component parts will be maintained and subject to periodic review. The system will support the documentation of key processes and the identification of key competences & training; critical

risk factors and compliance. The system should be monitored against best practice and be reviewed to mirror change across the Authority.

Communication.

This policy will be clearly communicated (and made freely available) to all internal and external stakeholders; service providers & business partners who may require knowledge of the content of the policy. The policy can be viewed via;

- West Lindsey D.C. Mineva Property & Assets Pages
- West Lindsey D.C. Website

Key Enablers.

The Executive Director of Economic and Commercial Growth will ensure that the supportive systems; procedures; processes and resources are available to ensure that the Authority can maintain its asset management system and deliver the documented outcomes. Resources include appropriate professional training.

Our Targets and Goals.

By 2018/19	By 2019/20	End of 2020/21
<ul style="list-style-type: none"> • Secured approval for our property Compliance Policy. • Reviewed and updated all current sub-policies relating to 'Asset Management' • Identified & completed new policy requirements • Approved the compliance control management system 	<ul style="list-style-type: none"> • Completed compliance surveys for all physical assets • Updated the CAAM system with survey results • Developed action plans for non-compliant assets • Completed first formal 'Strategic Asset Management Plan' in accordance with the principles of ISO55000 	<ul style="list-style-type: none"> • Established individual asset action plans for all estate assets • Completed first review of 'Asset Management' system.

THE POLICY

WEST LINDSEY DISTRICT COUNCIL

EFFECTIVE APRIL 2018

The Asset Management policy developed by the Authority reflects its commitment to the development of an effective system of 'Asset Management' which aligns with its corporate and public commitments and obligations.

The policy outlines core principles which are at the centre of its strategic operations.

Policy statements.

We will take all reasonable and practical steps to ensure the health, safety and wellbeing of staff, visitors and contractors who use or visit our buildings, land or property and who use or are in contact with supporting asset infrastructure.

We will ensure that all our buildings and landed property assets are fully compliant with current legal requirements, are fit for purpose and managed and maintained in accordance with best practice.

We will ensure that infrastructure supporting our physical assets is safe and fully compliant with relevant legislative and regulatory requirements.

All activity on our assets will be carried out in compliance with relevant legislative and statutory requirements.

We will assess asset related risks and manage such risk in accordance with our corporate risk management policy or in accordance with procedures relevant to the specific asset, its use and function.

We will retain and/or acquire physical assets which are appropriate to our business and function and dispose of those assets which are not fit for purpose or which cannot support our business or investment criteria.

We shall continue to actively develop our asset management systems; processes and procedures in a way which is appropriate; efficient; transparent and sustainable and which supports the best management outcomes for our physical assets.

We shall continue to train and develop staff across the asset management discipline and apply technology and innovation where practical.

We shall seek continual improvement of our management capability and activities to ensure value for money for all stakeholders.

Revision Summary	Revision Number	Current Issue Date	File Name	Page of Total Pages
Original	Original v1	13 th November 2018	Asset Management Policy	1



Committee CP&R

Date 10th January 2019

Subject: Compliance Policy

Report by:

Executive Director of Resources

Contact Officer:

Gary Reeve
Team Manager Property and Assets
01427 676561
Gary.reeve@west-lindsey.gov.uk

Purpose / Summary:

To keep customers, clients, employees and the general public safe, and to ensure that buildings and premises are compliant with current laws and regulations.

RECOMMENDATION(S):

That members note the requirements of the "Duty Holder" and approve the Compliance Policy.

IMPLICATIONS

Legal:

Legislative & Statutory

Financial :

To date a majority of the work on the policy and guidance has been performed in-house. Although it is anticipated that this will continue to be the case, it is envisaged that external resources may be required to further develop the strategy framework. Any additional resources required will be funded using the vacant post within Property services, this has been built into budget monitoring.

FIN REF: FIN/170/19

Staffing :

Development of the policy, strategy and plans is to be performed by existing officers

HR REF: HR078-11-18 - Having read the report and attached policy I can see no HR implications at this stage

Equality and Diversity including Human Rights :

Risk Assessment :

Risk - The Authority having piecemeal systems and governance/guidance on this matter risks non-compliance.

Mitigation – Procedures and systems are further developed

Climate Related Risks and Opportunities :

Title and Location of any Background Papers used in the preparation of this report:

None.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Introduction

- 1.1 West Lindsey District Council hold, manage or are otherwise responsible for a wide portfolio of buildings, premises and supporting infrastructure. In this position they become statutory duty holders responsible for Health & Safety (Compliance) across the estate, with responsibility for compliance existing both corporately and via responsible persons.
- 1.2 Experts commissioned in the Grenfell inquiry advised that the building was plagued by a 'culture of non-compliance' and listed an astonishing series of shortcomings in the systems intended to mitigate fire risks.
- 1.3 Although such duties are currently well managed by West Lindsey District Council, the events at Grenfell and subsequent findings prompted the Property & Assets team to review West Lindsey's current compliance procedures and process. It was found that compliance levels are good but there are opportunities for improvement. These can be summarised as changes that would produce better systems, management, responsibility and accountability to provide greater assurances on compliance.
- 1.4 This new policy is the first step and has been developed having reference to relevant statutory directives, legislation, codes of practice, guidance notes and industry best practice.

2. Purpose

- 2.1 To keep customers, clients, employees and the general public safe.
- 2.2 To ensure that buildings and premises are compliant with current laws and regulations.
- 2.3 To inform any and all interested and affected parties the scope, nature and intent of this Authority "as Duty Holders" to ensure that it complies with the legislative and statutory obligations.
- 2.4 To identify the structure, strategic and operational procedures which will be applied in fulfilling the Councils obligations and intent.

3. Scope

- 3.1 This policy will apply to all property assets (fixed and mobile) held and/or controlled by West Lindsey District Council.

4. Engagement

- 4.1 This policy has been reviewed by the Property & Assets team and Corporate Health & safety. It has been developed in conjunction an external sourced RICS Chartered Surveyor (Asset Management Specialist)

5. Training and Awareness

- 5.1 Clear communications will be sent to all managers and identified responsible persons to make them aware of the new policy and to update them on their responsibilities.
- 5.2 Training and support will be identified in relation to this policy and in conjunction with the further development of associated strategies and sub policies.

Compliance Policy – Property & Physical Assets

COMPLIANCE POLICY (Statement of Intent)

PROPERTY and PHYSICAL ASSETS

WEST LINDSEY DISTRICT COUNCIL

Nov 2018

It is incumbent on West Lindsey District Council, as 'Duty Holders' to ensure that they comply with their legislative and statutory obligations and ensure that all physical assets [buildings; premises and associated assets] are operationally safe and secure. This will be achieved by:-

- ❖ A regime of Inspection, maintenance, servicing and testing in accordance with legislation, statutory requirements and approved codes of practice (ACOP's)
- ❖ Appointment of 'responsible person(s)' to ensure that such inspections, maintenance and testing are carried out in accordance with approved sub-policy and statute.
- ❖ Ensuring that detailed records of 'Compliance' activity are maintained & fully visible.

Application

This policy applies to all property assets [fixed and mobile] held and / or controlled by West Lindsey District Council and will include:-

- ❖ All operational properties, whether owned or leased, from which the services provided by the authority are delivered.
- ❖ All property assets held for commercial gain and for which the authority may have, by way of statute or contract [implied or direct] responsibility for safe operation and use.
- ❖ Equipment [fixed or mobile] which supports the operation and use of the property asset and the delivery of services from the asset.

The policy has been developed having reference to relevant statutory directives (legislation); codes of practice; guidance notes and industry best practice.

The policy is intended to inform, any and all interested and affected parties, the scope; nature and intent of the authority in respect of the safe use; operation and maintenance of physical assets within their portfolio and to identify the structure, strategic and operational procedures which will be applied in fulfilling its obligation and intent.

Effective date 1st February 2018

Revision date 1st February 2019 (Earlier where statute or ACOP dictate)

POLICY

To keep customers; clients; employees and the general public safe and ensure that buildings and premises are compliant with current laws & regulations.

It is the policy of the 'Executive; Members; Responsible Officers and all Staff' of West Lindsey District Council to ensure that all property, premises and buildings (and supporting infrastructure) under the control of the council are safe to use, meet, and where agreed exceed, all statutory requirements in terms of Health & Safety; Sustainability and Value.

The council will achieve this objective by ensuring that all assets under their control are:-

- ❖ Fully inspected at prescribed intervals to ensure that they are structurally safe, sound and fit for purpose.*
- ❖ Fully inspected to ensure that all supporting systems and associated infrastructure elements are safe and compliant.*
- ❖ Able to support and sustain safe and legally compliant operations.*

The executive and responsible person(s) will remove any concerns in respect of any element of Health & Safety and Statutory Compliance by ensuring that they develop and support robust governance and demonstrate effective leadership and by:-

- ❖ Ensuring that they fully understand the impact of level 1 and 2 compliance.*
- ❖ Develop, support and maintain effective Policy; Procedures and Processes.*
- ❖ Constantly review actions, activities and responsibilities.*
- ❖ Be certain that they can verify 'assurance'.*
- ❖ Place 'compliance' at the centre of Strategic Asset Management planning.*

Management Structure.

The authority will develop and maintain a strategic and operational compliance management system to ensure effective control which will support the development and delivery of a comprehensive approach to compliance.

Guidance Notes.

A complete set of guidance notes and accompanying matrix will be developed, managed and maintained by the asset management team.

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Original	Original V1	13 th Nov 2018	Compliance Policy	1

Policy Addendum

The guidance notes with identify;

- ❖ The responsible persons and duty holders.
- ❖ The compliance structure and approach to be followed by the Authority.
 - Management structure
 - Document management and review procedures
 - The requirement for building manuals
 - Property schedules
 - Compliance levels
 - Inspection schedules
 - Gap analysis
 - Approved contractor lists
 - The primary elements of compliance
- ❖ Health & Safety Legislation; Obligations and General Requirements
- ❖ Processes to follow when initiating inspections; testing; reporting and effecting remedial works where required. (*work to be initiated following sub-policy approval*)

Level 1 and Level 2 Compliance. [Physical assets; buildings & premises]

Level 1 compliance is considered to be all those elements of compliance which are statutorily considered to be applicable to the safe operation and management of physical assets [buildings; premises and associated assets] and which support safe occupation and operation.

Level 1 compliance is obligatory for all organisations within the United Kingdom who control; manage and who are responsible for buildings, premises and physical assets.

Level 2 compliance constitutes strategic and operational requirements; procedures and processes relevant to the subject matter and which are specific to individual organisations and the organisations governance and set by that organisation. Level 2 compliance may exceed or extend the obligations of the organisation, direct actions associated with level 1 compliance or, where specific approval has been secured, modify level 1 obligations.

The level of compliance will be clearly identified in the operational matrix, reporting and action planning.

Responsible Persons.

As a Local Authority, West Lindsey District Council hold, manage or are otherwise responsible for a wide portfolio of buildings; premises and supporting infra-structure. In this position, they become statutory “Duty Holders” responsible for Health & Safety (compliance) across that portfolio / estate

Responsibility exists both corporately and via responsible persons. The principal responsible persons and duty holders are identified below and, assume full responsibility, for property compliance across the estate and should be regarded as principle points of contact for the Authority

- Executive Director of Economic and Commercial Growth
- Executive Director of Resources and S151 Officer
- Executive Director of Operations and Head of Paid Service
- Team Manager Property & Assets
- Health & Safety Coordinator

Corporate Policy & Resources Committee Work Plan

Purpose:

This report provides a summary of reports that are due on the Forward Plan over the next 12 months for the Corporate Policy & Resources Committee.

Recommendation:

1. That members note the schedule of reports.

Date	Title	Lead Officer	Purpose of the report
14/02/2019	GAINSBOROUGH TOWN CENTRE TOWNSCAPE HERITAGE APPLIC	Wendy Osgodby	To provide an update on the application to the Heritage Lottery Fund for Townscape Heritage funding for Gainsborough Town Centre, thereby obtaining formal commitment and financial support.
	Budget and Treasury Monitoring 3	Tracey Bircumshaw	To set out the revenue, capital and treasury management activity from Period 3
	Base Budget 19/20	Tracey Bircumshaw	To set the budget for 2019/20
	Medium Term Financial Plan/Executive Business Plan	Tracey Bircumshaw	The MTFP for 19/20 and Executive Business Plan
	Caistor Southdale Development	Karen Whitfield	To agree development of Caistor Southdale site to include new GP surgery and homes in conjunction with Lace Housing
	P&D Period 3 Report 2018/19	Ellen King	To consider the Progress and Delivery report for period 3 of 2018/19

	5-7 Market Place, Gainsborough	Marie Jackson	Agreement to draw funds on renovation of building to make fit-for-purpose. Discussion of Stage Two will occur at September's Portfolio Board
	Gainsborough Riverside Walk Acquisition	Joanna Walker	Officers have negotiated the Heads of Terms to purchase the currently closed section of the Riverside Walk (along the existing factory and outside the Riverside Approach development). The acquisition of the land will be £30,001. However, approximately £481,000 will be required to construct a publically accessible walkway. Officers envisage to seek external funding to assist with the delivery of the Riverside Walk.
	Report on Value for Money	James O'Shaughnessy	To present Members with an overview of the work the Council is undertaking to embed VfM considerations across the Council
	Refresh of Members' ICT Devices	James Welbourn	To provide Members with a proposed ICT device solution following elections on May 2019

	NNDR - Retail Discount 2019/20 & 2020/21	Alison McCulloch	In accordance with Government Guidance policy to award discretionary retail relief for the years 2019/20 & 2020/21
11/04/2019	Review of Recruitment & Selection Policy	Emma Redwood	Review of the recruitment and selection policy
	Budget and Treasury Monitoring 4	Tracey Bircumshaw	To set out the revenue, capital and treasury management activity from Period 4
13/06/2019	P&D Period 4 Report 2018/19	Ellen King	To consider the Progress and Delivery update for period four, 2018/19
	Treasury Management Annual Report 2018/19	Caroline Capon	This annual treasury report is a requirement of the Council's reporting procedures. It covers the treasury activity during 2018/19 and the actual Prudential Indicators for 2018/19.
	P&D Period 4 Report 2019/20	Ellen King	To present the period four progress and delivery report for 2019/20
25/07/2019	Budget and Treasury Monitoring Period 1 2019/20	Sue Leversedge	This report sets out the revenue, capital and treasury management activity from 1 April 2019 to 31 May 2019.
	P&D Period 1 Report 2019/20	Ellen King	To present the period 1 Progress and Delivery report for 2019/20

07/11/2019	Mid Year MTFP Update	Tracey Bircumshaw	This report seeks to update members on the Mid-Year MTFP position
	Budget and Treasury P2 and Mid Year Report	Sue Leversedge	This report sets out the revenue, capital and treasury management activity from 1 April 2019 to 30th September 2019 and provides the Mid-Year update report for Treasury Management.
	Proposed Fees and Charges	Sue Leversedge	Propose revised Fees and Charges to take effect from 1 April 2020.
	P&D Period 2 Report 2019/20	Ellen King	To present the progress and delivery report for period 2, 2019/20
09/01/2020	Council Tax Surplus and Council Tax Base 20/21	Tracey Bircumshaw	The report sets out the declaration of the estimated surplus on the Council's Collection Fund relating to Council Tax at the end of March 2020 and how it is shared amongst the constituent precepting bodies. It also sets out the Council tax base calculation for 2020/21. The tax base is a key component in calculating both the budget requirement and the council tax charge.
06/02/2020	Base Budget 20/21	Sue Leversedge	To set the budget for 2020/2021

	Budget and Treasury Monitoring P3 2019/20	Sue Leversedge	To set out the revenue, capital and treasury management activity from Period 3
09/04/2020	Budget and Treasury Monitoring Period 4 19/20	Sue Leversedge	To set out the revenue, capital and treasury management activity from Period 4