

Guildhall Gainsborough  
Lincolnshire DN21 2NA  
Tel: 01427 676676 Fax: 01427 675170

## AGENDA

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

**Corporate Policy and Resources Committee**  
**Thursday, 11th April, 2019 at 6.30 pm**  
**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/s**

To confirm as a correct record the Minutes of the previous meeting.

i) For Approval

i) Corporate Policy and Resources Committee Meeting held on 14 February 2019 (PAGES 3 - 13)

ii) Concurrent Meeting held on 28 February 2019

ii) For Noting

Joint Staff Consultative Committee meeting on 28 March 2019 (PAGES 14 - 17)

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

Large Clear Print: Braille: Audio: Native Language

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 18)  
Setting out current position of previously agreed actions as at 3 April 2019.
  
6. **Public Reports for Approval:**
  - i) Recording of telephone calls (PAGES 19 - 51)
  
  - ii) Revenue, Capital and Treasury Management Monitoring Period 4 (PAGES 52 - 79)
  
7. **Committee Work Plan** (PAGES 80 - 82)
  
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.
  
9. **Exempt record of Concurrent meeting** (PAGES 83 - 86)  
To note the exempt record of the concurrent meeting held on 28 February 2019.

Mark Sturgess  
Head of Paid Service  
The Guildhall  
Gainsborough

Wednesday, 3 April 2019

Corporate Policy and Resources Committee- 14 February 2019  
Subject to Call-in. Call-in will expire at 5pm on 1 March 2019

## WEST LINDSEY DISTRICT COUNCIL

MINUTES of the Meeting of the Corporate Policy and Resources Committee held in the Council Chamber - The Guildhall on 14 February 2019 commencing at 6.30 pm.

### Present:

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

Councillor Mrs Sheila Bibb  
Councillor Matthew Boles (up to and including item 104)  
Councillor David Cotton  
Councillor Michael Devine  
Councillor Stuart Kinch  
Councillor Giles McNeill  
Councillor John McNeill  
Councillor Mrs Maureen Palmer

### In Attendance:

Mark Sturgess	Executive Director of Operations and Head of Paid Service
Alan Robinson	Strategic Lead Governance and People/Monitoring Officer
Tracey Bircumshaw	Strategic Finance and Business Support Manager
Cliff Dean	ICT Manager
Andy Gray	Housing and Enforcement Manager
Sue Leversedge	Principal Accountant
James O'Shaughnessy	Corporate Policy Manager & Deputy Monitoring Officer
Wendy Osgodby	Senior Growth Strategy & Projects Officer
James Welbourn	Democratic and Civic Officer

### Also in attendance:

Councillor Mrs Pat Mewis  
Councillor Mrs Angela White

### Apologies:

Councillor Ian Fleetwood  
Councillor Trevor Young

### Membership:

Councillor Giles McNeill substituted for Councillor Ian Fleetwood

## 97 PUBLIC PARTICIPATION PERIOD

There was no public participation.

## 98 MINUTES OF PREVIOUS MEETING

The minutes of the meeting held on 10 January 2019 were approved as a correct record.

## 99 DECLARATIONS OF INTEREST

There were no declarations of interests.

## **100 MATTERS ARISING SCHEDULE**

The Democratic and Civic Officer outlined the completed and ongoing matters arising as of February 6 2019.

The matters arising were noted by Committee.

## **101 PROGRESS AND DELIVERY REPORT PERIOD 3 - 2018/19**

Members considered the Progress and Delivery of the Council's services and key projects for period 3, 2018-19.

There had been two meetings of the Progress and Delivery working group, where the measures used in the Progress and Delivery reports could be shaped by Members.

Members queried whether benchmarking could be used for planning enforcement; officers replied that it was difficult to decide on a figure for 'days taken for enforcement cases'. However, other authorities were used as comparators.

It was pointed out to Members that there were large variances on time taken to complete different enforcement cases, as some cases can be solved within 2 weeks, and some can run for up to two years. Officers would be reporting cases under the banners of 'six months or more', and six months or less'.

Planning enforcement officers were working to a 20 working day acknowledgement policy for planning enforcement cases.

As a final comment, one Member remarked that Planning Enforcement still appeared to be under resourced, and that it would be good to look at caseloads in different ward, potentially through an online portal.

**RESOLVED** to note the report.

## **102 GAINSBOROUGH TOWN CENTRE - HERITAGE LOTTERY FUND APPLICATION**

Members considered an update on the application to the Heritage Lottery Fund (HLF) for Townscape Heritage funding for Gainsborough town centre.

The 'Round One' application to the HLF was successful, and resulted in the award of around £70,000 for working towards the Stage 2 bid.

The grants would be targeted at buildings in the Market Place, and Lord Street in Gainsborough. Alongside that work was a complementary activity programme to make sure the local community were involved in the project. Events such as the Gainsborough Beer Festival were visited by officers to make sure that 'hard to reach' groups were consulted about plans in Gainsborough town centre.

Officers travelled to Nottingham on 13 February to present their stage 2 bid to the HLF, and this was successful.

Members congratulated growth officers on their work in getting the scheme to this stage, and pointed to other examples in the district where similar schemes had already had an impact.

**RESOLVED** to:

- (1) agree to proceed with the submission of a Stage 2 Townscape Heritage bid to the National Lottery Fund;
- (2) approve the release of £0.348m from the Investment for Growth Reserve as capital match funding for the Townscape Heritage Delivery Phase, subject to the Stage 2 bid to the National Lottery Fund being successful;
- (3) agree to delegate the final signing of the Grant Funding Agreement to the Executive Director of Resources in the event that the Stage 2 bid is successful.

### **103 VALUE FOR MONEY STRATEGY**

Members considered a report on the Council's Value for Money (VfM) strategy, along with its outline action plan.

It was the opinion of the external auditors that the authority was in a position to provide VfM. The approach in the report was about strengthening this position.

Items such as greater commercialism and use of assets contribute to greater VfM. Against each of these activities, an assessment had been conducted looking at how effective the authority thought it was; out of this, a workplan had been developed. This would make sure that VfM was integral to business and service planning.

To support staff on VfM a strategy had been produced; this was also available for Members. Once Council had commented on the Corporate Plan, the VfM strategy would be refreshed.

An additional recommendation for housekeeping amendments was proposed and seconded, therefore it was:

**RESOLVED** to:

- (1) Support the Council's commitment to securing greater Value for Money across service delivery, and approve the strategy as outlined in the report;
- (2) Agree that any housekeeping amendments to the strategy be undertaken in consultation with the Chairman of the Corporate Policy and Resources committee.

### **104 REFRESH OF MEMBERS' IT DEVICES**

Members considered a report proposing to bring the provision of IT devices for Members 'in-house' in time for the start of the forthcoming municipal year.

The Democratic and Civic Officer introduced the item, and outlined how Members currently had their IT provided, and what had been done to try and provide a new solution:

- Members could be reimbursed up to the value of £500, as agreed back in 2015;
- They were free to purchase any device they liked; however, some rough guidelines had been provided for them to help them with their purchase;
- The General Data Protection Regulation (GDPR) rules that had been brought in were at odds with the current process of allowing Members to purchase their own devices;
- An invite to all Members to take part in a consultation was sent through the West Lindsey Members' Bulletin in July 2018; following this there were two steering groups later that year;
- There then followed a trial with 5 Members, who were asked to trial an iPad tablet to see whether they could access their West Lindsey email, committee papers, and whether they could do their everyday constituency work;
- The feedback from the trial was largely positive, albeit with some teething issues highlighted;
- The spend detailed at recommendation three was 'up to £29,000'; this had been agreed in the capital programme, but the plan was to spend around half of this amount;
- The trial Members had been selected on a cross-party basis, and a range of abilities had been chosen;

Following this introduction, three of the Members that had been part of the iPad trial provided insight into how they had coped with the device:

- The device gave access to secure emails;
- It was quick to use, and was light to carry. The addition of the keyboard had been very useful;
- Printing was available provided that Members had a wireless printer;
- Documents could be filed and stored on the device;
- The iPad's battery did not run down quickly between charges;
- The iPad performed all of the basic functions needed by Members;
- Members would need to get used to a change in working as some of them would be used to working on a bigger screen;
- It might not be possible universally, but some Members may need access to additional email accounts;
- 'Dual-hatted' Members, i.e. Members who were County Councillors as well as West Lindsey District Councillors could potentially have to carry around two devices with them;
- Members would need to be migrated to Microsoft Office 365 to enable access to Microsoft applications;
- The built in keyboard would enable those Members who are not familiar with Apple devices to interrogate documents as they would have done previously;

Debate ensued following these comments, and the points raised in favour of iPads are highlighted firstly:

- Democratic Services and the IT team at West Lindsey were not linked with their counterparts at Lincolnshire County Council. Therefore, it was not possible at this time to provide one device with both email accounts and committee papers to those 'dual-hatted' Members affected;
- There were numerous attacks on IT systems, from both in and outside the UK. This was also happening on personal email accounts;
- A secure platform for Members had been developed in conjunction with the Ministry for Housing, Communities and Local Government and the Cabinet Office;
- The iPads themselves were very robust, and could be supported remotely;
- North Kesteven District Council adopted iPads in 2015, and the Leader of that Council spoke favourably of them;
- Additional applications, such as Adobe Reader could be added to the device before being given to Members;
- The email forwards that were currently in place for many Members were a security risk and officers would look to turn these off as soon as practicable;
- The last few updates of iOS (Apple's operating system) should address any concerns Members have had with previous iterations of the iPad;
- Having two spare devices would enable the authority to get those Members who have found themselves without a device access to email in the short term whilst their original device was being fixed;
- As many Members were being asked to use a device that they were not familiar with, 'buddying up', along with iPad masterclasses would be provided by Democratic Services and IT;

Finally, some Members spoke against an iPad as the chosen device, and gave the following reasons for this:

- An iPad was more suitable as a leisure device rather than a work device;
- Members at Lincolnshire County Council have a choice between two devices; Members at West Lindsey should be afforded the same courtesy;
- iPads were too small to be an effective piece of kit;
- the introduction of Member iPads seemed too complicated; there wasn't a problem with the current setup;
- Some members were happier using a laptop rather than a tablet.

Following the debate, the recommendations were moved and seconded, and following the vote, it was:

**RESOLVED** to:

- (1) Accept the rollout of West Lindsey District Council owned devices, and in doing so, the previous policies related to this matter were revoked;
- (2) Approve the refresh of Member devices on a four year cycle (to run concurrently with the electoral cycle);
- (3) Approve the spend of up to £29,000 for the provision of IT devices to Members; this spend to take place in the 2018/19 financial year.

**Note:** Councillor David Cotton requested that his vote against the recommendations was recorded.

**Note:** Councillor Matt Boles left the Chamber following the conclusion of this item and did not return.

## **105 BUDGET AND TREASURY MANAGEMENT MONITORING - PERIOD 3 2018/19**

Members considered a report setting out the revenue, capital and treasury management activity from 1 April 2018 to 31 December 2018.

Currently, Finance colleagues were estimating a £379,000 surplus for 31 Mar 2019, which would be a contribution to the General Fund balance. This was after taking into account £248,000 of underspends which would be carried forward; these underspends include those projects who had a timescale that exceeded the year end.

The capital forecast outturn was estimated at £29.967m; that included £7million for commercial investment properties.

The scheme at Caistor Southdale, which had been provided as an addendum, related to the property and land that was partially owned by WLDC. The NHS owned the GP Surgery. Conversations had been held with LACE housing, and the GP and Property team at the NHS. A proposal had been reached which would allow the scheme to go ahead; the accommodation would be for over 55s, the GP surgery would be owned by WLDC, but be let to the GPs on a 20 year lease. A Parent Company guarantee would be granted by the Clinical Commissioning Group (CCG) for this. A further report including more detail on the scheme would be considered by Corporate Policy and Resources committee in due course.

The average interest rate achieved by the authority was 1.514%; the total cost of investments at the end of quarter 3 were £13.4 million. An additional loan of £2.5 million was borrowed from the Public Works Loans Board (PWLB) at a rate of 1.7%. This increased the amount of borrowing to £8.5 million as at 31 December. However, a further loan of £2.5 million was taken out in February 2019, and it was anticipated there would be further borrowing before the year end.

The commercial strategy approved in 2015/16 had now exceeded its target of £1million; officers were thanked for this.

### **RESOLVED** to:

- (1) Accept the forecast outturn position of a £379k net contribution to reserves as at 31 December 2018, as at section 2 of the report;
- (2) Note the use of Earmarked Reserves during the quarter approved by the Executive Director of Resources using delegated powers, as at paragraph 2.5.1 of the report;
- (3) Accept the Commercial Income position, as at paragraph 2.3 of the report;



- (4) Approve the revised Capital Budget of £30.17m to reflect the additional Disabled Facilities Grant (DFG) of £0.069m, and approve the budget and spend for the Trinity Arts Centre sound equipment of £0.032m and the reduction of £0.039m for Council owned asset maintenance as detailed in paragraphs 3.1.4, 3.1.5 and 3.1.6 of the report.

In addition, it was resolved to approve a capital budget of £1.92m for the Caistor Southdale Scheme and a spend of £340k for the acquisition of land.

- (5) Accept the Treasury Management position and prudential indicators for the quarter.

## **106 DRAFT CORPORATE PLAN 2019-2023**

Members were presented with the Draft Corporate Plan for 2019-23.

The Corporate Plan, the Medium Term Financial Plan and the Executive Business Plan were the key strategic documents for the Council.

The Draft Corporate Plan set out the new vision for the District, and the actions required to achieve this (known as the 'mission').

As this was still a draft version, there were still some tweaks and housekeeping needed prior to its presentation to Full Council.

**RESOLVED** to consent to the submission of the Draft Corporate Plan (2019-2023) to Full Council on 4 March 2019.

## **107 CORPORATE POLICY AND RESOURCES DRAFT BUDGET 2019/20 AND ESTIMATES TO 2023/24**

Members considered a report on the overall Draft Revenue Budget for 2019/20, which included the Budget specifically for Corporate Policy and Resources Committee, along with the Budget recommended by Prosperous Communities Committee. Also included were estimates for these budgets up to 2023/24.

The Budget included capital charges, and those pressures and changes that had previously been reported internally to Leader's Panel between November and January, as well as those that had been approved during the course of the year. The revenue implications of capital schemes and projects had also been built into the base budget figures.

For the Corporate Policy and Resources Committee, there had been a decrease of £48,000 from the 2018/19 base budget; this did exclude the use of earmarked reserves. There were significant movements within this figure, including the return on commercial property investment, which had increased income by £511,000 in 2019/20.

For Prosperous Communities Committee, there had been a decrease of £93,000 from the 2018/19 base budget, with net additional income of £205,000. The leisure management contract had resulted in a £206,000 reduction in year.

Planning fee income had reduced by £185,000; it was difficult to estimate the number of planning applications that would be considered by the Council, but work was underway with Planning Officers to develop a forecasting tool.

**RESOLVED to:**

- (1) Accept the Corporate Policy and Resources Committee Budget 2019/20 and recommend it to Council for inclusion in the overall Council budget 2019/20;
- (2) Accept the Prosperous Communities Committee Budget 2019/20 and recommend it to Council for inclusion in the overall Council budget 2019/20;
- (3) Recommend to Council the 2021 – 2023/24 estimates for both Corporate Policy and Resources and Prosperous Communities Committees for inclusion in the Medium Term Financial Plan 2019/20 – 2023/24.

**108 DRAFT EXECUTIVE BUSINESS PLAN, MEDIUM TERM FINANCIAL PLAN 2019/20 - 2023/24**

Members considered the Draft Executive Business Plan and the Medium Term Financial Plan (MTFP) for 2019/20 – 2023/24, which included the financial strategy, financial analysis and the capital programme.

The Strategic Finance and Business Support Manager highlighted to Members that there would be uncertainty in future years on funding; national issues were contained within the Executive Business Plan.

A balanced budget was being proposed; the authority was able to do this by allocating £119,000 to the general fund balance. It was also proposed to set aside £400,000 into earmarked reserves to support the Customer First programme, and £680,000 for the business rates volatility reserve.

The budget requirement was £14,709,200, and there would be a proposal to Council to set the Council Tax level at 2.99%. There was a 3% Council Tax cap set by central Government; West Lindsey's level would be set at 2.99% so that none of the bandings exceed 3%.

The MTFP looked at a five year profile for the Council. There was a funding gap of £439,000 by 2023/24; officers are working towards business planning to achieve that efficiency in the future.

Information on resilience, and the partnership in Riseholme with MUSE was highlighted by Members as being positive.

**RESOLVED to:**

- (1) Approve the new Retail Rate Relief scheme, fully funded by Government.

(2) Recommend to Council the approval of the Draft Executive Business Plan and Draft Medium Term Financial Plan 2019/20 to 2023/24.

(3) Approve the use of and contributions to Reserve.

(4) Recommend to Council the Revenue Budget 2019/20.

(5) Recommend to Council the Capital Investment Programme 2019/20 to 2023/24.

(6) Delegate any housekeeping changes to the Draft Executive Business Plan and the Draft Medium Term Financial Plan to the Executive Director of Resources in consultation with the Chairman of Corporate Policy and Resources Committee prior to the final consideration by Council on 4 March 2019.

(7) Accept the statement of the Chief Finance Officer on the Robustness of Estimates and Adequacy of reserves.

## **109 COMMITTEE WORK PLAN**

The workplan for the next 12 months was noted.

The meeting concluded at 8.30 pm.

Chairman

**WEST LINDSEY DISTRICT COUNCIL**

MINUTES of the Meeting of the Concurrent Meeting of the Prosperous Communities and Corporate Policy and Resources Committees held in the Council Chamber - The Guildhall on 28 February 2019 commencing at 6.30 pm.

**Present:** Councillor Jeff Summers (Chairman)  
Councillor Mrs Sheila Bibb (Vice-Chairman)

Councillor Mrs Gillian Bardsley  
Councillor Owen Bierley  
Councillor Matthew Boles  
Councillor David Cotton  
Councillor Michael Devine  
Councillor Steve England  
Councillor Ian Fleetwood  
Councillor Paul Howitt-Cowan  
Councillor John McNeill  
Councillor Mrs Pat Mewis  
Councillor Mrs Maureen Palmer

**In Attendance:**  
Eve Fawcett-Moralee Executive Director of Economic and Commercial Growth  
Ian Knowles Executive Director of Resources and S151 Officer  
Alan Robinson Strategic Lead Governance and People/Monitoring Officer  
Jo Walker Growth & Regeneration Manager  
James Welbourn Democratic and Civic Officer

**Apologies:** Councillor Malcolm Parish  
Councillor Mrs Lesley Rollings  
Councillor Trevor Young

**1 DECLARATIONS OF INTERESTS**

There were no declarations of interests at this stage of the meeting.

**2 PROCEDURE**

In light that the Committees were running in a concurrent format for the evening, the Chairman briefly summarised the procedure which had been adopted and which was attached to the agenda.

**3 EXCLUSION OF THE PUBLIC AND PRESS**

**RESOLVED** that under Section 100 (A)(4) of the Local Government Act 1972, the

Subject to Call-in. Call-in will expire at 5pm on 21 March

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.

#### **4 DEVELOPMENT PARTNER, PROJECT AND FUNDING STRATEGY UPDATE**

Members considered a report on the work taken to date with strategic partners in order to advance proposals for the redevelopment of identified sites, supporting the overall growth and regeneration of Gainsborough.

Also outlined was the strategy for the delivery of the proposed leisure scheme and complementary retail development within Gainsborough town centre.

As the recommendations required approval from both Prosperous Communities and Corporate Policy and Resources Committees, recorded votes were taken separately, with Prosperous Communities being first, following the resolutions being moved and seconded by both Committees. The resolutions were taken en bloc:

Following an alphabetical roll call, with a total of 8 votes cast in favour and 0 against it was **RESOLVED** by Prosperous Communities Committee to:

1. Note the progress which had been made in securing funds, market interest and wider support for the development of identified sites in Gainsborough as part of the overall growth and regeneration programme;
2. Authorise officers to continue to negotiate a final development solution for the Phase 1 sites in accordance with the principles set out in section 3 of the report;
3. Authorise officers to continue to develop business cases for the identified Phase 2 sites and to negotiate with strategic partners in order to secure viable development solutions. Where this involves direct intervention and/or delivery by the Council, full details will be presented to both Committees for approval prior to commencement.

The Corporate Policy and Resources Committee approved the same recommendations, with 9 votes cast in favour and 0 against.

The meeting concluded at 8.03 pm.

Chairman

# Agenda Item 3b

JOINT STAFF CONSULTATIVE COMMITTEE – Thursday, 28 March 2019

## WEST LINDSEY DISTRICT COUNCIL

MINUTES of a Meeting of the Joint Staff Consultative Committee held in the Council Chamber - The Guildhall on Thursday, 28 March 2019 commencing at 4.00 pm.

**Members:** Councillor David Cotton (Chairman)  
Councillor Mrs Jackie Brockway

**Representatives of Union members:** James Deacon

**Representatives of Non-union staff:** Rachel Parkin (Vice Chairman)  
Amy Potts

**In attendance:** Alan Robinson, Strategic Lead Governance and People/Monitoring Officer  
Emma Redwood, People and Organisational Development Manager  
Lyn Marlow, Customer Strategy and Services Manager  
Adam Thomas, Customer Service Apprentice  
Ele Snow, Democratic and Civic Officer

**Absent:** Councillor Matthew Boles  
Councillor Jessie Milne

### 32 CHAIRMAN'S WELCOME

The Chairman welcomed all present to the last meeting of the Civic Year and took the opportunity to congratulate the Democratic and Civic Officer who had got married since the last meeting. He passed on his best wishes on behalf of the Committee. The Chairman also welcomed the Customer Strategy and Services Manager and Customer Service Apprentice who had not previously attended a meeting of the Joint Staff Consultative Committee.

### 33 MEMBERS' DECLARATION OF INTEREST

There were no declarations of interest made at this point in the meeting.

### 34 MINUTES

**RESOLVED** that the Minutes of the meeting of the Joint Staff Consultative Committee held on 22 November 2018 be confirmed and signed as a correct record.

**35 MATTERS ARISING SCHEDULE**

There were no matters arising outstanding from previous meetings.

**36 RECORDING OF TELEPHONE CALLS**

The Committee heard from the Customer Strategy and Services Manager regarding the updated policy for recording of customer telephone calls. She explained that the Council created a call recording policy in 2009 however, following an upgrade to the telephone system and requirements to adhere to new legislation and compliance, the policy required a refresh. The Committee was asked to support the amended policy and recommend to the Corporate Policy and Resources Committee that the policy be adopted.

The Customer Strategy and Services Manager explained the main amendments to the policy, including a reduction in recording retention periods from 12 to six months and the option for customers to opt out of having their call recorded, although this would mean the call would be terminated. There was now a way to effectively pause the call recording whilst customers completed payment details, meaning no personal payment details would be kept and the call recording facility was to be rolled out to teams outside of Customer Services, as well as authority given to the People and Organisation Development Manager should calls be needed as evidence in disciplinary cases. There would be the means to email audio files to customers, should they request a copy of their recorded call, and there would be one telephone extension exempt from call recording in order for staff members to make confidential calls to their trade union or suchlike.

The Chairman enquired whether the customer would be informed that the choice to opt out of call recording would terminate their call and it was confirmed that they would be, they would also have the option to return to the call should they change their mind after they had pressed the corresponding opt out button. For example, it would be a recorded message informing them they could opt out and to press the # button. They would then be reminded this would terminate the call, if they wanted to return to the call, press 1.

There was a concern raised as to whether the retention period of six months was sufficient. It was clarified that, if relating to an open case, the calls would be kept for as long as the case remained open and would then come under the relevant retention policy, for example for complaints. It was also clarified that should a complaint be received in relation to a telephone call or specific incident, this complaint would usually be received very soon after the event, not six months or more after it occurred. This was accepted and the suitability of the six month retention period was agreed.

The Chairman noted that it would also work to protect staff members with regards to abusive phone calls, both by gathering the evidence of inappropriate language or behaviour from customers over the telephone but

also by acting as a deterrent in the first instance once customers knew they would be recorded.

**RESOLVED** that:

- a) Members, unions and staff representatives support, note and recommend the amended policy to the Corporate Policy & Resources committee for formal adoption; and
- b) Delegated authority be granted to the 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 the Joint Staff Consultative Committee.

### 37 **GENDER PAY REPORT 2018**

The People and Organisation Development Manager introduced a report for information regarding the gender pay gap for West Lindsey District Council. She explained that the data reported on was from March 2018 and so was a year out of date but this was in line with government guidance on reporting the gender pay gap. She explained that it was a snap shot of one day and was intended to give a picture of the general pay gap within any given organisation. The report would be published on the Council's website and reported to [www.gov.uk](http://www.gov.uk) by 30 March 2019.

It was noted that, as with the previous year, the gender pay gap for the Council went against the national trend in that overall, male employees had lower paid roles than female employees. It was highlighted that the Council had a clear policy of paying employees equally for the same or equivalent work, regardless of gender, and the pay gap was the result of the roles in which men and women worked within the organisation and the salaries that those roles attracted.

The Committee heard that previously, the Head of Paid Service had been interviewed by the media about the Council's median gender pay gap as it was significantly lower than both that for the whole economy and that for the local government sector. It was agreed that should he be approached again to discuss the results, the Council's policy of equal pay should be highlighted.

**RESOLVED** that Committee receive the report for information and the Head of Paid Service sign the report to be published.

### 38 **WORK PLAN**

The Democratic and Civic Officer explained that, due to a new system having been introduced for reports management, the work plan for the



Committee had not yet been populated however, as confirmed by the People and Organisational Development Manager, there were items scheduled for Committee later in the year.

**39 TO NOTE THE DATE OF THE NEXT MEETING**

Members of Committee noted that the next meeting of the Joint Staff Consultative Committee was due to be held on Thursday, 30 May 2019. It was explained that there was currently no business scheduled for that meeting and there were no work items that would be likely to need to be heard at that time.

The Chairman stated that as there would be no further meetings in the current Civic Year, he wished to extend his thanks to all Officers involved in the Committee, either as Staff Members, Union Members or otherwise and to thank the Monitoring Officer and Democratic Services Officers who had been involved in the administration of the Committee. He wished everyone present all the very best and thanked them for their support over the previous year.

The Monitoring Officer extended thanks to the Chairman on behalf of the Committee for his dedication and support given to the Vice Chairman and Committee Members.

The meeting closed at 4.30 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	Comments	Due Date	Allocated To
<b>Black</b>					
	<b>Members' Bulletin - circulate changes to policy</b>	At the CPR meeting on 10 January, Members expressed a desire to have any housekeeping, or other types of changes made to policies (Sundry Debt policy on this occasion) to be circulated via the Members' Bulletin.	<b>James and Katie to make it clear to Team Managers that any minor policy changes or revisions that aren't involving Chairmen go onto the Members' Bulletin.</b> <b>As part of the review of Members' Bulletin Katie has collated feed back including these comments and will be taking suggestions to Management Team for the updated Bulletin to take effect from May 2019.</b>	11/04/19	Katie Coughlan
	<b>P and D - average market figures</b>	At the February meeting of CPR, Members requested that the 'Average number of stalls on a Tuesday' figure for 'Markets' be expanded on, as it seemed quite high?  Could this explanation be emailed around to all Members of CPR?	<b>Information shared with Members via email 4 March 2019</b>	11/04/19	Ellen King



**Corporate Policy and  
Resources Committee**

**Thursday, 11 April 2019**

**Subject: Recording of telephone calls**

Report by:

Executive Director of Operations

Contact Officer:

Lyn Marlow  
Customer Strategy and Services Manager

lyn.marlow@west-lindsey.gov.uk

Purpose / Summary:

Approve updated policy for call recording of customer telephone calls

**RECOMMENDATION(S):**

**a) Members approve the amended policy for formal adoption;**

**b) Delegated authority be granted to the 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 JSCC**

## IMPLICATIONS

**Legal: N/A**

**Financial:** There are no financial implications resulting from this report

**FIN REF:** FIN224/19

**Staffing:** HR086-2-19

**Equality and Diversity including Human Rights: N/A**

**Risk Assessment: N/A**

**Climate Related Risks and Opportunities: N/A**

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

Telephone recording policy 2009 at appendix 1 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. Background**

- 1.1 The Council created a call recording policy in 2009 and a copy of this can be found at Appendix 1 of this report.
- 1.2 Following an upgrade to our telephone system and requirements to adhere to new legislation and compliance the policy requires a refresh. The new policies can be found at Appendix 2 (internal and 3 (external) of this report.

## **2. Changes of note**

- 2.1 The new policy now reflects the need to adhere to Information Security (GDPR)
- 2.2 The policy now advises that recorded calls will be retained for 6 months rather than the previous 12 months.
- 2.3 Call recording will now take place for the Revenues and Housing Benefits teams whereas previously it was calls to Customer Services only.
- 2.4 It is now possible to use manual intervention to record calls made to other extensions, outside of the contact centre, during periods of service monitoring.
- 2.5 The policy reflects that the Council has implemented a mid-call solution in order to comply with Payment Card Industry Security Standards (PCI DSS) which was not previously a compliance requirement.
- 2.6 Customers are advised that they can opt out of call recording by terminating their telephone call
- 2.7 Authorisation is now given to the POD manager to be able to use/listen to calls as a result of evidence gathering for a disciplinary investigation or hearing
- 2.8 Customers can ask to have a copy of their recorded calls emailed to them on an audio file
- 2.9 A telephone extension will be identified that staff can use to make a private calls to a trade union for example, that will be excluded from call recording.
- 2.10 Our GDPR obligations are set out in the policy.
- 2.11 A separate (external) customer policy has been created reflecting all of the above where appropriate

### 3. **Benefits of call recording**

3.1 **Compliance:** We are PCI DSS compliant and able to demonstrate this.

3.2 **Dispute Resolution:** Call recording provides an accurate version of events

3.3 **Training & Improved Customer experience:** Call recording is a great tool for training staff, can be utilised for quality monitoring, allows for continued development and identification of change to improve the customer experience.

## **Call recording policy Jan 2009**

### **Purpose**

The purpose of this policy is to govern the procedures for call recording within West Lindsey District Council and the management of access and use of telephone call recordings. The implementation of recording of telephone calls was agreed in order to support effective training, performance monitoring and delivery of excellent customer services, across the whole council, and to enable the council to deal efficiently with internal or external complaints.

### **Scope**

The policy aims to minimise intrusion by restricting access to and use of recording to limited and specified purposes only.

This policy outlines:

- Recorded information
- Purposes of call recording
- Access and availability
- Data Protection
- Monitoring and review

### **Recorded Information**

All calls received by the contact centre will be recorded and stored securely for up to 12 months

Call to and from other officers within the council are not currently recorded.

### **Purposes of call recording**

The purpose of call recording is to provide an exact record of the call which can:

- help protect officers from abusive or nuisance calls
- establish the facts in the event of a complaint either by a customer or a member of staff and to assist in resolving it
- help identify officer training needs and to support training new and existing officers; and

### **Internal access and availability**

Access and playback of recordings will be carefully controlled as per the requirements of Data Protection

Only those with the appropriate authority can access calls.

Access to calls may be for a number of reasons. We anticipate the three main reasons will be for;

- Checking accuracy
- Answering complaints
- Training to improve services and skills

An individual officer may request to hear call recordings in which they are personally involved, and any Head of Service may request to hear call recordings which involve a member of their team. They should make a request detailing the reason for hearing the recording to Lyn Marlow or Alan Robinson

Every caller to 676676 is notified that the call may be recorded. This is done through a pre-recorded message within the council's telephone welcome message before a connection is made to an officer.



**Internal Call recording policy**

<b>Document Control</b>	
Organisation	West Lindsey District Council
Title	Call Recording Policy
Version	1.0
Author	Lyn Marlow, Customer Services Manager
Filename	Call Recording Policy
Subject	Management of information
Review Date	January 2019

Revision History/date	Reviser	Previous version	Description of revision

Internal Telephone Call Recording Policy

**1: Purpose**

1.1 The purpose of this policy is to govern the procedures for telephone call recording within West Lindsey District Council and the management of access and use of telephone call recordings.

1.2 The implementation of recording of telephone calls was agreed in order to support effective training, performance monitoring and delivery of excellent customer services, across the whole council, and to enable the council to deal efficiently with internal or external complaints, implementation of customer standards and training of staff in the delivery of excellent customer service.

**2: Scope**

2.1 The policy aims to minimise intrusion by restricting access to and use of recording to limited and specified purposes only.

2.2 This policy outlines:

- Recorded information
- Purposes of call recording
- Access and availability
- Information Security (GDPR)
- Monitoring and review

### **3: Recorded Information**

3.1 All calls received or made from nominated extensions will be recorded using the Councils Red Box call recording system and will be stored securely for up to 6 months and will then be automatically deleted, unless highlighted for the purposes of evidence gathering.

3.2 Telephone calls currently included in the call recording scope are the following services:

- Customer Services
- Revenues and Benefits

3.3 Call recording will apply to all calls made and received and will include both external and internal calls

3.4 Calls to and from other officers within the council will not routinely be recorded but may be recorded during periods of mystery shopping events

3.5 Calls where the caller provides details of a payment card will be subject to a mid-call solution in order to comply with Payment Card Industry Security Standards (PCI DSS), ensuring that the Council will not hold any credit/debit card data.

### **4: Purposes of call recording**

4.1 The purpose of call recording is to provide an exact record of the call which can:

- 4.a help protect officers from abusive or nuisance calls
- 4.b establish the facts in the event of a complaint either by a customer or a member of staff and to assist in resolving it
- 4.c help identify officer training needs and to support training new and existing officers; and
- 4.d assist the council's quality control to identify any issues in council processes, with a view to improving them

4.2 In addition, recordings may provide evidence for crime prevention purposes or internal investigations.

### **5: Internal access and availability**

5.1 Access and playback of recordings will be carefully controlled as per the requirements of GDPR

5.2 Only those with the appropriate authority can access calls. (See below)

5.3 Access to calls may be for a number of reasons. We anticipate the six main reasons will be for;

- 5.a Checking accuracy
- 5.b Answering complaints
- 5.c Training to improve services and skills
- 5.d Mystery shopping events
- 5.e Internal investigations
- 5. f Maintenance of the call recording system by the ICT team

5.4 An individual officer may request to hear call recordings in which they are personally involved but must do this via their team manager, who will submit a request via request it option on Minerva.

5.5 Any team manager or above may request to hear call recordings which involves a member of their team. They should make a request detailing the reason for hearing the recording via request it option on Minerva.

5.6 It should be noted that Senior Customer Services officer and the Customer Experience officer will, on a weekly basis, listen to calls in order to undertake performance monitoring of staff within Customer Services. Exceptions to this are the following:

5.6.1 Where the Customer Strategy and Services Manager has delegated actions to a designated deputy or equivalent, for the purposes of mystery shopping or dealing with a complaint, listening to any calls that have been recorded be that in real time or retrospectively.

5.6.2 Where the People and Organisational Development manager has delegated actions to a designated deputy or equivalent, for the purposes of evidence gathering during a disciplinary investigation or hearing.

5.6.3 In addition, Team Managers, can request to hear the recordings of a specific call or a random selection of calls for quality monitoring purposes.

5.7 Calls to be listen to will be accessed via the red box system only, calls will not be downloaded unless required as part of evidence in an appeal, hearing or employment tribunal.

5.7.1 Downloaded calls will be sent via email in an audio file, if required to be used as evidence as stated in 5.7

5.8 Authorisation to review calls will be granted by the Customer Strategy and Services or the People and Organisational Development Managers.

5.9 A telephone extension, that will not be subject to call recording by being excluded from the recording system, can be made available for confidential calls e.g. to union/manager

## **6. GDPR**

6.1 A DPA has been carried out and is at Appendix A of this policy

6.2 Recordings constitute the personal data of the caller and the operator. Therefore they will be manage in such a way that the rights of the data subject (callers and operators) can be fulfilled, and all obligations of the data controller (WLDC) are observed, as per our data protection policy.

6.3 Every caller who telephones 01427 676 676 will be notified that the call may be recorded and why before the conversation commences. This is done through a pre-recorded message within the council's telephone welcome message before a connection is made to an officer. Details of call recording and the Councils GDPR requirements are also notified on our website

6.4 Recordings will be retained for 6 months and then automatically deleted

6.5 Some recording may be retained for longer than 6 months for the following reasons

6.a Required for a complaint. In this case the recording will be retained until the completion of the complaint process, including any appeals processes.

6.b Required as part of a staff disciplinary process which may result in use of employment tribunal

6.d Recording that have been identified by the following officers, Strategic leads for Customer First and Corporate Governance, Customer and Strategy and People and Organisational development managers and as identified as evidence for record keeping requirements in support of the dealing with unacceptable behaviour towards staff and unreasonable persistent complaints.

6.6 Staff need to be aware that customers/callers have the right to listen to or have copies of the recording made of their own calls, via the councils subject access request procedures.

6.7 Recording will be located by the customer/callers telephone number, date and time of the call and the officer's identity

6.8 Recordings will generally be emailed to customers. Exceptions to this will be reviewed as they occur.

Appendix A DPA

# Call Recording – Redbox system

## Data Protection Impact Assessment

### *Introduction*

The Data Protection Impact Assessment (DPIA) process is an important means of evidencing our compliance with the requirements of the Data Protection Act 1998 and, from May 25<sup>th</sup> 2018, the General Data Protection Regulation (GDPR).

Where we are introducing new (or amending existing) systems or processes which involve personal data, the proposal will be reviewed against a set of criteria which determines whether it needs to be formally assessed under a DPIA.

The DPIA process will capture:

- *Requirements:* Any compliance issues with the initial requirements of a proposed change
- *Design:* Approval of a design which brings any compliance issues within our risk tolerance
- *Build & Test:* Final confirmation that the implemented change satisfies the agreed measures identified during the process

Completed DPIAs will form part of our 'Record of Processing Activity' which documents our practice and provides assurance that we comply with our statutory data protection responsibilities.

The process is also designed to ensure appropriate measures are in place to safeguard non-personal data in our custody, complying with [HM Government Security Classification Policy](#) across the OFFICIAL classification; including the OFFICIAL-SENSITIVE caveat.

Our Data Protection Policy sets out the requirement for changes to be reviewed and this process to be followed where the relevant criteria are met, using associated guidance.

# The Proposal

## About this Assessment

Title of Project:	To implement Redbox call recording software which will record incoming telephone calls to licenced extensions and store the recordings for a period which we can determine. The recordings can be listened to by authorised officers for training, monitoring and the resolution of disputes.
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### Brief summary and description of the project:

The Council has an aspiration to implement call recording software which will record incoming phone calls to all or selected telephone extensions, subject to licensing. This will allow call recordings to be replayed in the event of a dispute; to provide evidence of conversations; to monitor the performance of our staff and to demonstrate any areas of strength or weakness to aid training and the provision of excellence in telephone communication.

The maintenance and development of the telephony system is provided on our behalf through a contract with Amtech.

The chosen software solution is provided by Redbox.

The software is PCI compliant by automatically suppressing recording when agents access payment services.

GDPR compliance is simplified through search and delete facilities, along with automated retention scheduling.

Callers are advised that call recording is active through the IVR message. Callers can request that their call is not recorded by terminating their call or a call recording can be deleted on request.

Access to recordings is limited to authorised officers and an audit trail is maintained.

## DPIA Risk Assessment

### Assessment of the proposal against the GDPR 'High Risk' criteria requiring a DPIA

#### High Risk Processing

Does the processing meet the criteria of 'high risk' processing?	Yes <input type="checkbox"/>
--	------------------------------

#### Comments:

The ICO Guide to GDPR high risk checklist completed and indicates that processing DOES NOT meet the criteria for 'high risk' processing.

## The Data

### Describe the data/ list the fields

What items of data are being processed and what is the sensitivity classification?

Field Name (or Data Type)	Format	Classification
Name	Electronic	Official
Contact details (address, telephone number, email)	Electronic	Official
All information disclosed during the telephone conversation which may include personal and sensitive information.	Electronic	Official

(add additional entries as required)

#### Comments:

It is expected that sensitive information of this nature will not occur on a large scale and will be freely given and not requested.

### 'Special Categories' of Personal Data

Tick a box if the Personal Data processed fits into a relevant 'Special Category' below.

Religion or beliefs	<input type="checkbox"/>	Genetic data	<input type="checkbox"/>
Race or ethnic origin	<input type="checkbox"/>	Health	<input type="checkbox"/>
Political opinions	<input type="checkbox"/>	Sex life	<input type="checkbox"/>
Trade-union membership	<input type="checkbox"/>	Criminal convictions	<input type="checkbox"/>

### Categories of Data Subject

Tick a box next to the categories of data subject whose personal data will be processed

Customers	<input checked="" type="checkbox"/>	Complainants (& Reps)	<input checked="" type="checkbox"/>	Suspected Offenders	<input checked="" type="checkbox"/>
Suppliers	<input checked="" type="checkbox"/>	Advisors/ Consultants	<input checked="" type="checkbox"/>	License/ Permit Holders	<input checked="" type="checkbox"/>
Offenders	<input checked="" type="checkbox"/>	Benefits Recipients	<input checked="" type="checkbox"/>	Inspected Persons	<input type="checkbox"/>
Claimants	<input checked="" type="checkbox"/>	Carers (& Reps)	<input checked="" type="checkbox"/>	Captured on CCTV	<input type="checkbox"/>
Students/ Pupils	<input checked="" type="checkbox"/>	Incident witnesses	<input checked="" type="checkbox"/>	Employees of other Orgs	<input checked="" type="checkbox"/>
Landlords	<input checked="" type="checkbox"/>	Employees/ Contractors	<input checked="" type="checkbox"/>	HOLDERS of Public Office	<input checked="" type="checkbox"/>

### Data Risk Profile

The general risk level associated with the data, derived from the Risk Treatment Process

For Personal Information		For Business Information	
Impact	Minor (1)	Impact	Minor (1)
Classification	Official	Classification	Official
Overall Risk Profile		Minor (1)	

## The Principles

*Processed lawfully, fairly and in a transparent manner*

### i. Legal basis for processing

#### Conditions for Processing

Tick all relevant conditions which provide a legal basis for the processing of personal and special category data.

Personal Data			Special Categories		
6(1)(a)	Consent	<input type="checkbox"/>	9(2)(a)	Explicit Consent	<input type="checkbox"/>
6(1)(b)	Contracts	<input type="checkbox"/>	9(2)(b)	Employment, Social Security, Social Protection law	<input type="checkbox"/>
6(1)(c)	Legal obligation	<input type="checkbox"/>	9(2)(c)	Vital interests	<input type="checkbox"/>
6(1)(d)	Vital interests	<input type="checkbox"/>	9(2)(d)	Not-for-profit body	<input type="checkbox"/>
6(1)(e)	Public Interest/ Official Authority	<input checked="" type="checkbox"/>	9(2)(e)	Made public	<input type="checkbox"/>
6(1)(f)	(not applicable to Public bodies)		9(2)(f)	Legal claims / Judicial	<input type="checkbox"/>
			9(2)(g)	Public Interest	<input type="checkbox"/>
			9(2)(h)	Medicine, Employee capacity, Medical Diagnosis, Health or Social Care	<input type="checkbox"/>
			9(2)(i)	Public Health	<input type="checkbox"/>
			9(2)(j)	Archiving, Scientific and Historical Research or Statistical Purposes	<input type="checkbox"/>



### Legal Gateway

List any applicable legislation if a 'legal gateway' is selected above


(add additional entries as required)

### Consent

If consent is being relied upon, confirm that the relevant conditions are in place

#### **Comments:**

We are not relying on consent for this processing

## ii. Rights

### The Right to be Informed

Does the processing support this right?

Yes

#### **Comments:**

- Callers are advised that calls are recorded for training and monitoring purposes through the IVR message
- Will be included on Corporate Privacy Notice and the Customer Services departmental privacy notice and any other dept where call recording is in place

### The Right of Access

Does the processing support this right?

Yes

#### **Comments:**

- Information and recordings can be provided if requested

### The Right to Rectification

Does the processing support this right?

Yes

#### **Comments:**

- Calls can't be amended once made

### The Right to Erasure

Does the processing support this right?

Yes

#### **Comments:**

- If a customer requests this, recordings can be searched by a variety of criteria including, date and time, officer name or extension, etc and can be deleted from the database, providing the legal basis enables that right.

### The Right to restrict Processing

Does the processing support this right?

Yes

#### **Comments:**

- **This Right is not absolute. It applies in this case when:**
  - subject contests data accuracy and controller is verifying
  - data has been unlawfully processed
  - if data no longer needed but subject needs it for legal claim

•

### The Right to Data Portability

Does the processing support this right?

Yes

#### **Comments:**

- **Right to Data Portability is absolute where the legal basis is “consent” or “contract”.**

•

### The Right to Object

Does the processing support this right?

Yes

#### **Comments:**

- **Right to object is not available where the legal basis is “consent” or “contract”.**

•

### Rights related to automated decision making and profiling

Does the processing support this right?	Yes <input checked="" type="checkbox"/>
<b>Comments:</b>	
<ul style="list-style-type: none"><li>• N/A</li><li>• NO decision making or profiling will take place</li></ul>	

### iii. Data Subject consultation

#### Describe any consultation with Data Subjects over appropriate processing of personal data

Has any consultation been undertaken with Data Subjects?	Yes <input type="checkbox"/>
<b>Comments:</b>	
N/A	

### Collected for specified, explicit and legitimate purposes

State the 'purpose(s)' for which personal data is being obtained

Purpose 1	Quality assurance and training
Purpose 2	Resolution of queries and to provide evidence
Purpose 3	

(add additional entries as required)

Further processing

Confirm that no further use is intended to be made of the data	<input checked="" type="checkbox"/>
<b>Comments:</b>	
No intention to use data for any other purposes than listed above	

### Adequate, Relevant and Limited

#### Minimising Personal Data

Confirm that the personal data being obtained is a minimal amount necessary to fulfil the purposes above	<input checked="" type="checkbox"/>
Confirm if any pseudonymisation or anonymisation processes will take place, and if so, describe them below	<input type="checkbox"/>
<b>Comments:</b>	

**It is not possible to perform pseudonymisation or anonymisation of data as this will prevent the customer from receiving this service**

***Accurate and, where necessary, kept up to date***

**Accuracy**

Confirm that there is a process in place for ensuring that personal data is accurate and is reviewed where necessary

**Comments:**

N/A

***Kept no longer than is necessary***

**Retention**

The process effectively manages retention of personal data and is aligned to the Organisation's published retention schedule

List the relevant Retention Period(s):

All data will be deleted in accordance with our retention policy of 6 months

All data will be held on WLDC servers, not Redbox hosted service

**Comments:**

***Appropriate Security***

**i. Organisational Controls**

**a) Procurement**

**The Tender process:**

Based on the risk rating of the data, this is the level of assurance required for the procurement process

Procurement Assurance requirement

Stage 1 Only (Minor (1))

**Contractual Control:**

The contract contains the Organisation's standard contract schedule relating to Information Governance requirements	<input type="checkbox"/>
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If the schedule is not in the contract, what equivalent control is in place?
--

Formal contract in place with Amtech
--------------------------------------

**Contract Term: 2 years + year extension option**

Start Date:	28 Feb 2018	End Date:	27 Feb 2020
Optional extension period (years):			1 year

**Contract Term:**

Start Date:	Feb 18	End Date:	Feb 2020
Optional extension period (years):			

**The Selected Supplier(s) & Accreditation**

Supplier Name(s) and whether they are accredited to a recognised Code of Conduct

Supplier Name	Accredited
Amtech	<input checked="" type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

(add additional entries as required for framework contracts/ 'lot' winners)

**b) Training****Training in how to securely process the data**

Confirm that employees (and users where relevant) of the system will receive appropriate training	<input checked="" type="checkbox"/>
---	-------------------------------------

Confirm that comprehensive written guidance will be available to employees and users	<input checked="" type="checkbox"/>
--	-------------------------------------

**Comments:**

- **WLDC is responsible for ensuring that training and written guidance is available to designated employees**

c) Policy

**Capture issues impacting on Organisational Policy**

Confirm that the proposal does not impact current Organisational Policy in a way that requires a review of a Policy's adequacy? (identify affected Policies below)	<input checked="" type="checkbox"/>
<b>Comments:</b>	
<ul style="list-style-type: none"><li>• Will review if any Policies are effected</li></ul>	

ii. Technical Controls

a) Access

**Access controls**

Confirm that the Access Controls in place will effectively ensure that only those with a valid need to access the data can do so	<input checked="" type="checkbox"/>
Confirm that the Access Controls in place will effectively ensure that a management scheme is in place which assigns and reviews appropriate permissions to view, create, amend and delete data	<input checked="" type="checkbox"/>
<b>Comments:</b>	
<ul style="list-style-type: none"><li>• Requests for access to recordings to be made to designated officers who will assess how the recording is going to be used and who it can be shared with</li><li>• Process for requests and authorisation to be in place</li><li>• Access through URL link only – this does not allow the recording to be saved to any other location and the link is deactivated in accordance with the retention period.</li><li>• Audit trail in place</li></ul>	

b) Security at Rest

**Securing the data within a system**

Confirm that appropriate technical security is in place to protect the data at rest from threats appropriate to the security classification of the data	<input checked="" type="checkbox"/>
<b>Comments:</b>	
<ul style="list-style-type: none"><li>• Redbox service is PCI and GDPR compliant and has ISO9001 accreditation. Calls are fully encrypted.</li></ul>	

**c) Security in Transit**

**Securing the data when transferred from one system to another**

Confirm that appropriate technical security is in place to protect the data in transit from threats appropriate to the security classification of the data	<input checked="" type="checkbox"/>
--	-------------------------------------

**Comments:**

**Data is encrypted and transmitted securely.**

**Demonstrate Compliance**

**Records of Processing Activity (ROPA)**

Have the Organisation's ROPA entries relating to Information Assets and Data Flows been updated to reflect any change?	Yes <input checked="" type="checkbox"/>
--	---

**Comments:**

- Any dept requesting a call recording will need to amend their ROPA**

## Transfer outside the EEA

### Transfer of Personal Data to Third Countries

No personal data is anticipated being transferred to third countries, but the activity manager will refer to the Data Protection Officer for assessment if a need arises	<input checked="" type="checkbox"/>
--	-------------------------------------

There is an expectation that it may be necessary to transfer personal data to third countries and this activity will meet the required criteria in law (comment below)	<input type="checkbox"/>
--	--------------------------

#### **Comments:**

- **The server is located within the EEA and there is no requirement or intention to transfer personal data elsewhere.**



# Risk Management

#	Risk Ref	Risk Description	Mitigating Control(s)	Likely	Impact	Score
1	Sharing	Personal data and special categories of personal data of citizens could be compromised if inappropriately shared or Redbox is not accessed by an approved user. This will cause potential loss of reputation to partners and the possibilities of actions taken by the regulator as defined under article 58 of GDPR.	<ul style="list-style-type: none"> <li>• Training and guidance to be available for all users</li> <li>• User access will be controlled/approved by the system administrator</li> </ul>	1	1	(1) Minor
2	Sharing	Official Sensitive information regarding Partners' vulnerabilities and risks could be compromised if inappropriately shared or the database is not accessed by an approved user. This will cause potential loss of reputation to Partners and the possibilities of actions taken by the regulator as defined under article 58 of GDPR.	<ul style="list-style-type: none"> <li>• Training and guidance to be available for all users</li> <li>• User access will be controlled/approved by the system administrator</li> <li>• Access to recordings through application only specifying reason for request and who will listen to it.</li> </ul>	1	1	(1) Minor
3	GDPR	Some of the recordings may be given an extended retention period if they are to be used as evidence etc	<ul style="list-style-type: none"> <li>• Retention periods for the data held within the ROPA database will need to be defined.</li> </ul>	1	1	(1) Minor

		Would this would breach principle 1(e) of GDPR, action may be taken against Partners by the regulator as defined under article 58 of GDPR				
4	Governance	Payment card details recorded	<ul style="list-style-type: none"> <li>The software automatically suppresses recording when the agent connects to the council payment provider website.</li> <li>Training and guidance to be available to users</li> </ul>	Select	Select	Select

**Linked to Risk Register Information Risks**

<b>Education</b>	Breach of IG policies and guidance due to lack of visibility, communication and training
<b>GDPR</b>	Non-compliant with GDPR implementation
<b>Malware</b>	Threat from malicious links/ attachments
<b>Process</b>	Information is lost/ processed in a non-compliant manner due to gaps in processes and poor controls
<b>Purchasing</b>	Limited governance over low spends allows DPIA process bypass
<b>Sharing</b>	Sharing information inappropriately or illegally due to immature technology or understanding of legislation
<b>Supplier</b>	Suppliers breach Privacy Law due to poor information handling practices/ IT security

In accordance with the **Risk Treatment Process**

Score	Risk Class
1	Minor
2	Moderate
3	Major
4	Critical

		Impact			
		Minor (1)	Moderate (2)	Major (3)	Critical (4)
Likely	Critical (4)	Medium (4)	High (8)	Very High (12)	Very High (16)
	Major (3)	Medium (3)	High (6)	High (9)	Very High (12)
	Moderate (2)	Low (2)	Medium (4)	High (6)	High (8)
	Minor (1)	Low (1)	Low (2)	Medium (3)	Medium (4)

# Attachments

Please embed relevant documents below.

This section and the documents within will not be routinely published with the DPIA.

Document	Title/ Summary
<b>Information Governance</b> (Privacy Notice/ Consent Form)	
[Embed Doc]	N/A
[Embed Doc]	
<b>Project</b> (including Business Case, PIDs etc)	
[Embed Doc]	N/A
[Embed Doc]	
[Embed Doc]	
<b>Design</b> (including Specification, High level, Low level, network diagrams etc)	
[Embed Doc]	N/A
[Embed Doc]	
[Embed Doc]	
<b>Procurement</b> (including IG evaluation(s), Contract/ Agreement)	
[Embed Doc]	N/A
[Embed Doc]	
[Embed Doc]	

# Reviews

## Regularity of Reviews

The processing does not meet the criteria requiring a review	<input checked="" type="checkbox"/>
A timetable for reviewing the processing has been identified, taking into account the intended length of the activity and the risk rating	<input type="checkbox"/>
<b>Comments:</b>	
•	

## Review Outcomes

### Review 1

Where items below cannot be ticked, explain why in the comments and explain what action is to be taken

Date Review Undertaken:	
Confirm that the processing as initially approved in this assessment remains unchanged	<input type="checkbox"/>
All mitigations remain in place and are effective and appropriate to the level of risk	<input type="checkbox"/>
No further action is required as a result of the review	<input type="checkbox"/>
<b>Comments:</b>	
•	

### Review 2

Where items below cannot be ticked, explain why in the comments and explain what action is to be taken

Date Review Undertaken:	
Confirm that the processing as initially approved in this assessment remains unchanged	<input type="checkbox"/>
All mitigations remain in place and are effective and appropriate to the level of risk	<input type="checkbox"/>
No further action is required as a result of the review	<input type="checkbox"/>
<b>Comments:</b>	
•	

(Add additional sections for further reviews)

# Approvals

Stage 1 – Requirements Approval (IGIA Stage)			
<i>Function/Role</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
Customer Services Manager	Lyn Marlow	Sept 18	• N/A
	Cliff Dean	Sept 18	• N/A

Stage 2 – Design Approval (LLD Stage)			
<i>Function/Role</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
SIRO	Ian Knowles		•
Role 2			•

DPO Sign-off (Design approval – if required)			
<i>Function</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
DPO	Steve Anderson		•

**Stage 3 – Build & Test Approval (All IG mitigations have been delivered in the live solution)**

<i>Function/Role</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
Customer Services Manager	Lyn Marlow	Feb 19	• N/A
	Cliff Dean	Feb 19	• N/A

**DPO Sign-off (Build & Test Approval – if required)**

<i>Function</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
DPO			•

**SIRO Sign-off (Build & Test Approval – if required)**

<i>Function</i>	<i>Officer Approving (Name)</i>	<i>Date</i>	<i>Comments</i>
SIRO			•

## Appendix 3 Call recording policy – external

### West Lindsey District Council

#### Policy:

#### Recording Customer telephone calls

January 2019

#### 1: Introduction

1.1 West Lindsey District Council uses call recording technology and like many organisations, this is standard practice and allows us to monitor the quality of calls, to train and develop our staff, and adhere to compliance and security procedures.

1.2 All calls made from or received into the Customer Services Centre, our reception desks and the Revenues and Benefits Team will be recorded, without exception, if the customer does not wish their call to be recorded then they need to terminate the call and make contact with the Council in a different way.

1.3 Where a call is transferred outside of these teams, recording of the call will end at the point the call is handed over.

1.4 Exception may occur when as part of a planned mystery shopping event other teams telephones calls will be recorded. In this event customer will be advised that the call is being recorded.

1.5 In future the Council will include other teams to be subject to daily telephone call recording and when this occurs this policy will be reviewed.

1.6 The recordings will only be used for the purposes set out in this policy.

1.7 Data/recordings will be held securely and only accessible to authorised users/managers

#### 2: The Purpose

2.1 We will ensure that the recording are used fairly, and that we comply with the requirements of relevant legislation, including:

- The Regulation of Investigatory Powers Act 2000
- The Telecommunications (Lawful Business Practice) (Inception of Communications Regulations) 2000
- The Telecommunications (Data Protection and Privacy) Regulations 1999
- Payment Card Industry Data Security Standards (PCI DSS)
- The General Data Protection Regulations 2018
- The Data Protection Act 2018
- The Human Rights Act 1998

### **3: The Scope**

3.1 All calls made from or received into the Customer Services Centre, Reception desks or the Revenues and Benefits team will be recorded.

Under normal circumstances, all calls will not be retrieved or monitored unless:

- 3a. It is necessary to assist with the investigation of a complaint
- 3b. It is part of our “spot checks” to ensure customer services standards are being met
- 3c. To help us to improve standards of call handling through use in training and coaching with West Lindsey staff.
- 3d. There is a threat to the health and safety of staff and/or visitors
- 3e. To check compliance with regulatory procedures

3.2 The Council reserves the right to undertake planned mystery shopping events of teams not currently subject to daily telephone call recording. During these events customers will be advised that telephone call recording is taking place.

### **4: Collecting your information**

4.1 Any personal data collected in the course of our recording activities will be processed fairly and lawfully, in accordance with Data Protection

Law. It will be:

- 4a. Adequate, relevant to the purpose and not excessive
- 4b. Used for the purposes stated in this procedure only
- 4c. Treated confidentially
- 4d. Stored securely
- 4e. Accessible only to relevant managers for the purposes stated in this procedure
- 4f. Not kept longer than 6 months
- 4g. Under the Payment Card Industry Data Security Standard (PCiDSS) we will not record any payment card information on our telephone recordings, by using a mid call solution.

### **5. Advising callers that calls are being recorded**

5.1 On telephone lines where call recording is taking place, we will inform the caller that this is the case so that they have the opportunity to consent by continuing with the call or terminating the call.

5.2 Callers are advised that call recording is in operation via the telephone menu message and our website

### **6. Accessing call recordings**

6.1 Recording will be located by the callers telephone number, the officer extension and the date and time of the call.



6.2 Customers and callers asking for the recordings of their calls will have to provide information about callers telephone number, date, time and extension called to enable the recording to be located.

6.3 If a customer or callers wishes to access call recording of their calls they must submit a subject access request (SAR) providing the information outlined in 6.2.

6.4 The SAR process will be followed to determine that the customer requesting the call recording is the customer within the call recording

6.5 A permanent copy of the recording will be provided by email as an audio file only.

6.6 To request a call recording submit a [subject access request \(SAR\)](#)

6.4 A customer can request that call recordings relating to them are deleted retrospectively, this will be carried out as long as the recording does not contain information that will help the Council in performing its duties or protecting its staff

6.5 If the Council needs to retain the recording/s the customer will be advised that this is the case and why the Council feels it is necessary to do so

### 36 RECORDING OF TELEPHONE CALLS

The Committee heard from the Customer Strategy and Services Manager regarding the updated policy for recording of customer telephone calls. She explained that the Council created a call recording policy in 2009 however, following an upgrade to the telephone system and requirements to adhere to new legislation and compliance, the policy required a refresh. The Committee was asked to support the amended policy and recommend to the Corporate Policy and Resources Committee that the policy be adopted.

The Customer Strategy and Services Manager explained the main amendments to the policy, including a reduction in recording retention periods from 12 to six months and the option for customers to opt out of having their call recorded, although this would mean the call would be terminated. There was now a way to effectively pause the call recording whilst customers completed payment details, meaning no personal payment details would be kept and the call recording facility was to be rolled out to teams outside of Customer Services, as well as authority given to the People and Organisation Development Manager should calls be needed as evidence in disciplinary cases. There would be the means to email audio files to customers, should they request a copy of their recorded call, and there would be one telephone extension exempt from call recording in order for staff members to make confidential calls to their trade union or suchlike.

The Chairman enquired whether the customer would be informed that the choice to opt out of call recording would terminate their call and it was confirmed that they would be, they would also have the option to return to the call should they change their mind after they had pressed the corresponding opt out button. For example, it would be a recorded message informing them they could opt out and to press the # button. They would then be reminded this would terminate the call, if they wanted to return to the call, press 1.

There was a concern raised as to whether the retention period of six months was sufficient. It was clarified that, if relating to an open case, the calls would be kept for as long as the case remained open and would then come under the relevant retention policy, for example for complaints. It was also clarified that should a complaint be received in relation to a telephone call or specific incident, this complaint would usually be received very soon after the event, not six months or more after it occurred. This was accepted and the suitability of the six month retention period was agreed.

The Chairman noted that it would also work to protect staff members with regards to abusive phone calls, both by gathering the evidence of inappropriate language or behaviour from customers over the telephone but also by acting as a deterrent in the first instance once customers knew they would be recorded.

**RESOLVED** that:

- a) Members, unions and staff representatives support, note and recommend the amended policy to the Corporate Policy & Resources committee for formal adoption; and
- b) Delegated authority be granted to the 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 the Joint Staff Consultative Committee.

# Agenda Item 6b



Corporate Policy and Resources  
Committee

11 April 2019

**Subject: Budget and Treasury Management Monitoring – Period 4 2018/19  
Capital Update and Fees and Charges update.**

Report by:

Executive Director of Resources (S151)  
Ian Knowles

Contact Officer:

Tracey Bircumshaw  
Strategic Finance and Business Support Manager  
(Deputy S151)  
01427 676560  
[tracey.bircumshaw@west-lindsey.gov.uk](mailto:tracey.bircumshaw@west-lindsey.gov.uk)

Sue Leversedge  
Business Support Team Leader  
01427 676541  
[Sue.leversedge@west-lindsey.gov.uk](mailto:Sue.leversedge@west-lindsey.gov.uk)

Purpose / Summary:

This report sets out the revenue, capital and treasury management activity from 1 April 2018 to 31 March 2019. In addition it provides an update on 2019/20 Capital Budget requests and a new fee rate proposal.

## **RECOMMENDATION(S):**

- a) That Members accept the forecast out-turn position of a £634k net contribution to reserves as at 31 March 2019, as at section 2 and approve the final out-turn surplus be transferred to the General Fund Balance.
- b) Members accept the Revenue budget carry forwards of £919k approved in year (Appendix A).
- c) Members approve a new Car Park fee of £6.50 (incl. VAT) for 24 hours, specifically for users of the Travelodge (2.4.3)
- d) Members accept the use of Earmarked Reserves during the quarter approved by the Executive Director of Resources using Delegated powers (2.5.1)
- e) Members accept the Commercial Income position (2.3)
- f) Members approve the Capital budget carry forwards of £8,939k (3.1.4) and they accept the final Capital out-turn position of £21,079k.
- g) Members approve new Capital Budgets for 2019/20 (Income Management System £82k and £100k for Market Rasen Leisure Centre construction contingency). (3.3)
- h) That Members accept the Treasury Management and Prudential Indicators to 31 March 2019.

## **IMPLICATIONS**

**Legal:** None arising as a result of this report.

## Financial: FIN/1/20

The draft revenue forecast out-turn position for 2018/2019 is currently reflecting a net contribution to reserves of £634k as at 31 March 2019 (£379k as at 31 December 2019).

This is after taking account of approved carry forwards of £919k, detailed at Appendix A.

£263k of the forecast contribution to reserves relates to the net Treasury Management activity on investment and borrowing interest. To ensure sustainability any capital investments funded from borrowing are assumed to require PWLB borrowing to finance the expenditure. This committee have previously approved that any net surplus be set aside at the year end to the Valuation Risk Reserve.

Summary of Out-turn Position 2018/19		
	£ 000	
FORECAST OUTTURN AS AT 01.04.19	(1,553)	BEFORE CARRY FORWARDS
<b>CARRY FORWARDS:</b>		
BASE BUDGET-APPROVED IN YEAR	242	ALREADY APPROVED
USE OF EARMARKED RESERVES	342	ALREADY APPROVED
<b>SUB-TOTAL:</b>	<b>(969)</b>	
SERVICE CARRY FORWARD REQUESTS	335	APPROVED BY MANAGEMENT TEAM 18.03.19
<b>NET CONTRIBUTION TO RESERVES:</b>	<b>(634)</b>	
TO VALUATION VOLATILITY RESERVE	263	
<b>NET CONTRIBUTION TO GENERAL FUND BALANCES</b>	<b>(371)</b>	

The items with significant variances are contained within this report at 2.1.

The capital out-turn position for 2018/19 is £21,079k, carry forwards of £8,893k are requested for approval.

The 2019/20 update for Capital schemes requests approval of up to £82k for the 3 year extension and enhancement to the Income Management System, this will be funded from the Project Investment Reserve.

The Treasury Management activities during the reporting period are disclosed in the body of this report. In February 2019 the Council externally borrowed £2,500k for 25 years from the PWLB at an interest rate of 2.53%. Taking our external borrowing level to £11,000k

There have been no breaches of Treasury or Prudential Indicators within the period of this report. Average investments for the Quarter (Jan-Mar) was £15.493m which achieved an average rate of interest of 1.592% in Quarter 4 (1.757% Oct-Dec).

**Staffing:** None arising as a result of this report.

**Equality and Diversity including Human Rights:** None arising as a result of this report.

**Risk Assessment:** This is a monitoring report only.

**Climate Related Risks and Opportunities:** This is a monitoring report only.

**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**

**Key Decision:**

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

**Yes**

**No**

## 1. Executive Summary

This report provides the oversight of financial performance for;

- Revenue Forecast Out-Turn - Surplus £634k (4.11% of Net Revenue Expenditure)
- Capital Forecast Out-Turn - £21,314k (Budget £30,267k)
- Treasury Management Report and Q4 monitoring
  - Average investment Interest rate 1.581%
  - Total Investments at end Q4 £14,265k (incl. £65k bank account)
  - New external borrowing £2.5m Public Works Loans Board (PWLB) @ 2.53% over 25 years

The tables below reflect investment movements and prudential borrowing analysis.

	Q3 £'000	Q4 £'000
<b>Investment Movements</b>		
Investments B/fwd (at 31.3.2018 incl bank)	15,316	15,316
Less Capital expenditure funded from borrowing	-16,757	-18,448
Add PWLB Borrowing in year	8,500	11,000
Less Net Revenue Expenditure	-11,219	-14,793
Add Net Collection Fund Movement (Council Tax/NNDR)	15,611	16,234
Add Working Capital Movement	2,122	4,956
<b>Investments c/fwd (at 31.3.2019 incl bank)</b>	<b>13,573</b>	<b>14,265</b>

	Q3 £'000	Q4 £'000
<b>Prudential Borrowing</b>		
Total External Borrowing (PWLB)	8,500	11,000
Total Internal Borrowing	11,867	11,058
<b>Total Prudential Borrowing</b>	<b>20,367</b>	<b>22,058</b>



## REVENUE BUDGET MONITORING PERIOD 4 (Forecast out turn for 2018/19)

2. The Revenue Budget forecast out-turn currently stands at a net contribution to reserves of £634k as detailed in the table below, this is after taking account of £919k of budget carry forwards, the details of which are provided at Appendix A.

SERVICE CLUSTER	2018/19 Budget £	2018/19 Actual £	2018/19 Variance £
People	4,376,700	3,631,769	(744,931)
Places	1,071,100	1,225,536	154,436
Policy and Resources	4,924,900	4,552,984	(371,916)
<b>Controllable Total</b>	<b>10,372,700</b>	<b>9,410,290</b>	<b>(962,410)</b>
<b>Corporate Accounting:</b>			
Interest Receivable	(282,300)	(272,239)	10,061
Interest Payable	371,800	108,673	(263,127)
Investment Income	(570,600)	(672,034)	(101,434)
Precepts and Levies	2,260,749	2,260,715	(34)
<b>Statutory Accounting:</b>			
Capital Expenditure Charged to General Fund	6,024,300	1,976,551	(4,047,749)
<b>Movement in Reserves:</b>			
To / (From) General Fund	(877,200)	(927,629)	(50,429)
Use of Specific Reserves	(6,827,200)	(2,779,451)	4,047,749
Contribution to Specific Reserves	6,016,293	5,040,602	(975,691)
Repayment of Borrowing	32,400	32,373	(27)
<b>Net Revenue Expenditure</b>	<b>16,520,942</b>	<b>14,177,850</b>	<b>(2,343,092)</b>
Funding Total	(16,520,942)	(15,731,161)	789,781
<b>NET SUBSIDY FROM / (CONTRIBUTION) TO RESERVES FOR THE YEAR</b>	<b>0</b>	<b>(1,553,311)</b>	<b>(1,553,311)</b>

Carry Forwards - approved in year	241,700
Carry Forwards - approved at year end	335,100
Carry Forwards - use of Earmarked Reserves	342,400
(Surplus)-to Valuation Volatility Reserve	262,700
<b>(Surplus)/Deficit-to General Fund</b>	<b>(371,411)</b>

Details of headline variances by Cluster can be found below at 2.1.

2.1 The significant movements being;

Cluster	EXPENDITURE	Total £000	Direction of Travel
	<b>BUDGET UNDERSPENDS</b>		
	Salary savings.	(£268)	↑
Interest & Investment Income	Net impact of investment property acquisitions, and forecast acquisitions.	(£90)	↑
Interest & Investment Income	Treasury management activities.	(£263)	↑
Policy & Resources	Audit Fees - reduced contract price with current Auditors (£10k). Reduction in amount payable in current year (£15k).	(£25)	new
	<b>PRESSURES</b>		
People	Fuel - forecast pressure on fuel due to average prices being greater than budgeted.	£19	↓
People	Legal costs settlement.	£19	↔
Places	Leisure - final invoice plus annual retention fee for previous financial year.	£26	↑
Places	Property Services costs - net pressure across all properties (service charges/utilities/NNDR).	£26	↑
Policy & Resources	IT Shared Services - pressure of £43k offset by savings within the service.	£13	↑
	Various forecast outturn variances <£10k	(£41)	↑
		<b>(£584)</b>	

Cluster	INCOME	Total £000	Direction of Travel
<b>BUDGETED INCOME EXCEEDED</b>			
People	Green Waste service income target exceeded.	(£289)	↑
Places	Trinity Arts Centre - increased performances, film showing & additional hire.	(£17)	↓
Policy & Resources	Share of Legal Services surplus (£22k) - payable by LCC for previous financial year.	(£22)	↔
Funding	NNDR - additional income renewables and S31 Grant.	(£96)	↓
Funding	LCTS Admin Grant higher than anticipated (£31k), Autumn budget statement-distribution of levy surplus (£46k) & other grant income (£29k).	(£106)	↑
<b>BUDGETED INCOME NOT ACHIEVED</b>			
People	Trade Waste income target not due to be achieved - average income per customer below target set for budget.	£31	↓
People	Housing Benefits - forecast net subsidy position.	£7	↑
Places	Rental income lost due to sale of assets and voids.	£52	↓
Places	Car park income - not achieving target based on actuals to date, offset by surplus on car park permits (£6k)	£95	↓
Places	Planning fee income.	£162	↓
Places	Impact of acquisition not expected to be leased out until April 19 - loss of rental income and NNDR.	£133	↑
		(£50)	
<b>TOTAL VARIANCE</b>		<b>(£634)</b>	

## 2.2 Significant items (>£10k) of note by Cluster:

### 2.2.1 Interest & Investment Income

Approval to spend up to £30m on investment property (with £16m budgeted this financial year). The 2018/19 base budget assumed £20m of expenditure to provide a net contribution of £270k in 2018/19 raising to £600k by 2020/21. Acquisitions totaling £16m have been made to date and this will achieve a £360k contribution (after borrowing costs) to the savings target in 2018/19 and ongoing net income of £563k. We continue to identify suitable properties which meet our Policy criteria however we are not forecasting further income to be generated in this financial year. A carry forward of £7m has been proposed within the Capital Monitoring report.

### 2.2.2 People

- Green Waste Charging commenced in 2018/19 and with the Budget reflecting a net contribution of £502k. With actual income at £884k from subscriptions achieved during this period the forecast net contribution is £791k, £289k above the prudent original forecast. (£277k additional income, plus £12k additional savings across transport and administration).
- Trade waste is reporting a £31k pressure for the year. The customer base has not increased to reflect the estimates on which the income target was based due to factors including;
  - Long term staff absence and temporary staff redeployment affecting the resources available to promote and sell the service in 2018.
  - A more competitive market place, as existing suppliers have reacted to WLDC winning a greater market share.

The business case has been revised during the year and the amended income target has been built into the MTFP for future years. Recruitment has taken place and the team are once again operating at optimal staffing levels. Pipeline sales and payoff from business development activities undertaken give confidence for the year ahead.

- Included in the significant variances at 1.1 is a £19k legal costs settlement.

The Magistrates Court deemed that the Council had, on the balance of probability, committed an abuse of process in relation to the serving of a Section 16 notice, for which the Court felt there was no justification. As a result the Council was liable for the defendants' legal costs, after negotiation the amount of £19k was the final settlement. A review of the process followed in relation to this notice has been undertaken as a result. The court also recognised that due to the circumstance the case was an exceptional one.

### 2.2.2 Places

- The acquisition of the former Lidl building was anticipated to generate a full years lease income and additional car parking income. Whilst the property remains on the market, we have not been able to secure a tenancy to

commence in the current financial year, resulting in a £133k pressure (void rent, repairs and maintenance and Business Rates costs).

- New industrial units at Saxilby were budgeted to be leased for a full year, whilst in Q3 it was reported that the units would be operational from February 2019, the contractor has advised that there is a problem with electricity supply and this will now take some time to resolve.

The agreement to acquire these units will therefore be delayed and tenancies cannot be formalised. This has resulted in a pressure of £18k in the current year.

- Property rental income is reporting a pressure of £52k due to sale of assets during the year and voids levels. There is also a pressure of £26k across all property expenditure budgets relating to service charges, utilities and NNDR.
- Car park income is £95k under the budgeted target. This is due to a number of factors, closure of Roseway Car Park for improvement works, Riverside not achieving the levels of ticket sales estimated and below target levels across all car parks. It is anticipated this position will improve with the re-opening of Roseway. The situation will continue to be monitored.
- Planning fee income is reporting a £162k pressure for the year. We have benefitted from significant levels of planning fee income over the past 3 years. A variety of economic factors and the adoption of the Local Plan is now impacting above the reductions projected, reflected by less applications to date and no complex or large cases being anticipated over the remainder of the current year.
- Trinity Arts Centre has achieved additional income of £17k, with the appointment of a new Centre Manager and the improvement to the programme offer and marketing, has resulted in increased performances and film showings which are proving to be very popular.

### **2.2.3 Policy & Resources**

- LCC legal services are distribute surplus balances to WLDC of £22k above the budgeted amount.
- The ICT shared services costs are forecast to be £43k above budget. This has been offset by savings across the service of £30k.

Anticipated costs for the shared services contract this financial year are estimated to be £45k. This is made up of Net Staff costs of £11k and incidental costs of £33k. This would result in an over spend against budget of £32k. The balance of the remaining overspend is due to contract dispute at the end of 17-18 which is now resolved but lead to us not accruing sufficiently for 17-18 outstanding commitments.

We have worked with NK to resolve issues and the budgets have been set more appropriately based on an agreed 5 year plan within the MTFP.

## 2.2.4 Establishment

- Current vacancy levels after costs of interim staffing resources has achieved a £268k budget underspend this represents 2.47% of the overall employee budget. This is broken down by cluster as follows;

Cluster	Actual £
People	(150,939)
Places	(26,168)
Policy and Resources	(90,902)
<b>Grand Total</b>	<b>(268,009)</b>

## 2.3 Commercial Projects and Income Target

**2.3.1** The Commercial Plan 2015/16 – 2019/20 was intended to be a proactive response in contributing to future financial sustainability. This was to be achieved through charging, trading and investment in order to reduce the net subsidy on services. A target contribution of £1m was set.

**2.3.2** Progress against this target has delivered £1,355k of ongoing additional income.

**2.3.3** For 2018/19 the net contribution is detailed below;

- £356k Investment in Commercial Property (Target £600k by 2020/21)
- £172k Trade Waste Income
- £790k Green Waste
- £ 3k Building Control Complimentary Services
- £ 50k Pre-Application Planning Advice
- £ 12k Surestaff Lincs Ltd (Recruitment Agency)
- £ 30k Commercial Loan income

## 2.4 Fees and Charges

**2.4.1** £1,850k has been received in Fees and Charges up to the end of the period against a budget for the period of £2,175k, a pressure to date of £325k. The significant variances are included in the table at 1.1.

**2.4.2** The most significant pressures being Planning Fee income, and Car Park income as previously mentioned at 2.2.2 above.

### 2.4.3 New Car Park Fee

During the construction of the new Gainsborough Travelodge, the developer requested that the council provide free parking in Roseway car park for guests between the hours of 5pm and 10am the following day. The council have an interest in the success of the hotel for a number of reasons, demonstrated by the gap funding grant that was awarded to enable the development to proceed. Consequently it was decided to grant free parking to hotel guests in line with the Travelodge request.

shoppers and short stay town centre visits and is therefore important in terms of town centre viability. Consequently members had previously decided to make the car park 4 hour maximum stay and bar its use by permit holders. When the decision was made to provide free parking to hotel guests it was necessary to find a solution that worked operationally, i.e. that would work for hotel guests but also enable enforcement of the car park for all users i.e. hotel guests and the public. The arrangement was implemented by WLDC and Travelodge but it has proved unpopular with guests, and Travelodge local and area management have now requested that a single, all-day charging tariff be implemented by WLDC as they feel this will be an offer that guests will be happier with.

This offers the opportunity for WLDC to receive car park income from hotel users, but does come with some one-off costs, i.e. software changes to the ticket machines and a change to the legal order with associated advertising costs. These costs are estimated to total around £2,000. Subject to approval by members, it is proposed to set a 24 hour tariff of £6.50 (incl. VAT) to be agreed with Travelodge. This income will contribute to the overall car parking strategy.

This request was received too late to be considered by Prosperous Communities committee but the Chair has given her support for the proposal providing that it doesn't impact on the availability of spaces for other users, and has said that in the circumstances (i.e. the lengthy period before the next round of committees) that she is happy for CP&R to consider this request.

Officers have informally monitored levels of usage since the hotel opened and have not observed a significant decrease in availability of parking spaces. Furthermore there has not been any feedback to indicate that the public are struggling to find spaces. Travelodge have provided information on usage which suggests that the majority of stays are for one night, which is likely to leave greater availability of spaces during the daytime, i.e. guests arrive late afternoon to evening and leave early to mid-morning.

In order to preserve the 4 hour max stay limit for non-hotel guests, that is, to prevent other car park users buying a "hotel" tariff ticket and staying all day, arrangements will be put in place with Travelodge to ensure that hotel guests cars can be identified by enforcement officers and non-entitled users of the 24 hour tariff would be subject to a penalty notice being issued

Members are therefore requested to support the request to implement a 24 hour charging tariff for hotel guests only in Roseway car park at a rate of £6.50 per 24 hours stay.

## **2.5 Use and Contribution to Reserves**

### **2.5.1 2018/19 Use of Reserves – Delegated Decisions**

The Executive Director of Resources has used delegated powers to approve the use of earmarked reserves up to £50k, new delegated decisions totalled £91.3k;

- £9.5k from Vehicle Replacement reserve. To replace tractor (D702 TFE) for car park gritting.

- £24.3k from Unapplied Grant (Social Impact Bond-DCLG) – grant now payable to City of Lincoln as they have taken control of the post the funding was for (Homelessness Prevention Manager)
- £6.2k from Elections Reserve. To cover the cost of District Elections 2019/20 incurred during 2018/19.
- £24.3k from Unapplied Grants to cover deficit in Housing Benefits subsidy due to Universal Credit claim errors by WLDC.
- £7.3k from Maintenance of Facilities reserve (RE01). Property condition surveys.
- £3k from Investment for Growth reserve (RE83). Contribution towards CCTV service at Hemswell Cliff for 18/19 (£100k approved by CP&R (fin/12/17) FOR Hemswell Cliff Masterplan. Balance remaining £64.8k).
- £16.7k from Unapplied Grants (RE13). Repossessions Prevention Fund grant to offset pressure on the Frontline Homelessness Service in 18/19.

## 2.6 Grants

As at 1st April 2018 we had an amount of £564k relating to grants received which had yet to be expended. Budget provision will be created throughout the financial year as required to deliver projects in accordance with grant terms.

### 2.6.1 Successful Grant Bids and New Grant determinations

The following grants have been awarded during this period:

Grant Issued By	Name of Grant	Revenue/ Capital	£
Office for Low Emission Vehicles	On-street Residential Chargepoint scheme	Revenue	5,490
DWP	Adhoc	Revenue	11,550
DCLG	Local Authority Parks Improvement Funding	Revenue	14,808
DCLG	EU Exit Funding	Revenue	17,484
DCLG	High Street Clean Clean Grant	Revenue	16,538
DCLG	New Burdens - Brownfield Register & PIP LA	Revenue	3,687
		<b>TOTAL:</b>	<b>69,557</b>

## Other Items for information

### 2.7 Planning Appeals

In period 4 2018/19 there were 4 appeals determined, as follows;

Period	Number of Appeals	Allowed	Dismissed
January 2019	2	1	1
February 2019	1	0	1
March 2019	1	0	1
<b>Total for Period 4</b>	<b>4</b>	<b>1</b>	<b>3</b>



There are two live applications for costs.

There has been one partial award of costs during the period totaling £2.9k

## 2.8 Aged Debt Summary – Sundry Debtors

### Aged Debt Summary Period 3 Monitoring Report

At the end of March 2019 there was a total of £177k outstanding debt in the system over 90 days. The majority of this debt was over 150 days old and mainly comprised of:

Housing Benefits overpayments £69k the majority of which will look to be recovered through ongoing entitlement or where appropriate on agreed repayment schedules.

Housing £29k

Property Services £26k

Environmental Protection & Licensing £23k

Month	90 – 119 days £	120 – 149 days £	150+ days £	Total £
April	4,249	12,747	179,284	196,280
May	3,719	3,904	186,931	194,554
June	25,602	3,390	189,349	218,341
July	18,497	25,242	186,602	230,342
August	22,510	4,266	205,409	232,184
September	32,070	995	204,840	237,906
October	3,756	20,727	195,897	220,380
November	32,925	3,292	201,919	238,135
December	5,538	32,323	199,559	237,421
January	1,329	4,171	206,236	211,736
February	3,832	1,125	193,622	198,579
March	14,486	12,470	149,581	176,537

## 2.9 CHANGES TO THE ORGANISATION STRUCTURE

There have been the following changes to the organisation structure during period 4;

- 1) Delete Team Manager post in Land Charges and use this to fund increase in hours from 18.5 to 37 for Support Assistant in Licensing - £nil effect on MTFP.
- 2) Garden Waste Coordinator – temporary post made permanent. Impact is £25k increase on MTFP, funded from garden waste income.
- 3) Housing Re-structure– new post x 1 and increase/decrease in grades. Impact is an increase in budget of £42k in 19/20. Approved through MTFP.
- 4) Delete 18.5hr Support Officer post in Civic and increase part time Support Officer post in elections from 18.5hrs to 37hrs – £nil effect on MTFP.

- 5) Localism – new post, Community Broadband Officer – impact on MTFP £24.8k.
- 6) New post of Food Safety officer has been approved. Net impact of £35k pa on the MTFP.
- 7) New post – Community Support Officer has been approved. Net impact of £31k pa on the MTFP.

### **3.1 CAPITAL BUDGET MONITORING – Quarter 4**

3.1.1 The Capital Budget out-turn for schemes approved for spend (Stage 3 and Business as Usual) totals £21,079k against a revised budget of £3,267k, resulting in a variance of £9,188k, of which a net £8,939k is requested for carry forward and £0,249k being underspends on scheme budgets.

3.1.2 Approvals to Carry Forward £8,939k, are requested as detailed in the table below, with the most significant being;

- £7,015k for investment properties – no further bids were made prior to the year end, however, we continue to assess opportunities.
- £607k as the acquisition of the Saxilby Units has not taken place prior to the year end, as envisaged and is now likely early in the new financial year.
- £500k Food Enterprise Zone (FEZ) Grant funding agreements recently signed to enable scheme to progress.
- £210k Desktop refresh – anticipated roll out commencing in May.

3.1.3 There is £249k of net underspending recorded which will enable the respective financing to be utilised for future investment schemes.

3.1.4 The out-turn position for capital schemes is provided in the table below;

**Capital Investment Programme 2018/19**

<b>Corporate Priority / Scheme</b>	<b>Actuals 2018/19</b>	<b>Original Budget</b>	<b>Revised Budget 2018/19</b>	<b>Final Outturn</b>	<b>Over/ (Underspend)</b>	<b>Carry Forward Requests/ Drawbacks</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
<b>People First</b>						
Disabled Facilities Grants	554,341	555,200	698,172	554,341	0	(143,831)
Independent Living	(2,071)	0	0	(2,071)	(2,071)	0
Telephony	80,440	150,000	107,400	80,440	0	(26,960)
CCTV	22,735	0	50,000	22,735	0	(27,265)
<b>Asset Management</b>						
Capital Enhancements to Council Owned Assets	0	36,000	51,100	0	0	(51,100)
Carbon Efficiency Project	79,714	225,000	85,000	79,714	(5,286)	0
Development Loan	24,026	0	24,026	24,026	0	0
Commercial Investment - Crematorium	2,476,757	2,900,000	2,201,757	2,476,757	0	275,000
Car Park Strategy Investment	460,744	700,000	450,000	460,744	10,744	0
Leisure Facilities - Gainsborough	1,417,923	1,397,500	1,417,000	1,417,923	923	0
Leisure Facilities - Market Rasen	441,041	0	240,200	441,041	0	200,841
Commercial Investment - Property Portfolio	13,494,356	10,000,000	20,509,645	13,494,356	0	(7,015,289)
<b>Central Lincolnshire Local Plan</b>						
Gainsborough Growth Fund	12,144	139,000	195,754	12,144	(183,610)	0
Saxilby Industrial Units	63,000	0	670,000	63,000	0	(607,000)
Unlocking Housing living over the shop	65,000	150,000	130,000	65,000	0	(65,000)
Gainsborough Regeneration		2,450,000	0	0	0	0
Gainsborough Shop Front Improvement Scheme	25,000	45,000	45,000	25,000	0	(20,000)
Viability Funding - Capital Grant	957,342	700,000	1,235,952	957,342	0	(278,610)
Rural Transport	0	0	40,000	0	0	(40,000)
Food Enterprise Zone	0	1,900,000	500,000	0	0	(500,000)
Private Sector Renewal	36,453	500,000	150,000	36,453	0	(113,547)
<b>Excellent, VFM Services</b>						
Vehicle Replacement Programme	565,765	628,000	602,081	565,765	0	(36,316)
Desktop Refresh and experience	29,177	29,000	239,000	29,177	0	(209,823)
Commercial Loans	133,332	0	200,000	133,332	0	(66,668)
IT Infrastructure Refresh and Software	91,613	154,000	105,000	91,613	0	(13,387)
Upgrade Council Chamber Technology	50,311	10,000	50,000	50,311	311	0
<b>Total Capital Programme Gross Expenditure - Stage 3 and BAU</b>	<b>21,079,144</b>	<b>22,668,700</b>	<b>29,997,087</b>	<b>21,079,144</b>	<b>(178,988)</b>	<b>(8,738,955)</b>
<b>Stage 2</b>	<b>0</b>	<b>945,310</b>	<b>120,000</b>	<b>0</b>	<b>(70,000)</b>	<b>(50,000)</b>
<b>Stage 1</b>	<b>0</b>	<b>1,842,560</b>	<b>150,000</b>	<b>0</b>	<b>0</b>	<b>(150,000)</b>
<b>Pre-Stage 1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Capital Programme Gross Expenditure</b>	<b>21,079,144</b>	<b>25,456,570</b>	<b>30,267,087</b>	<b>21,079,144</b>	<b>(248,988)</b>	<b>(8,938,955)</b>

## Commercial Investment Properties 2018/19

3.1.5 The Council has invested in 4 commercial properties during the year which totalled £13,494k (including costs) bringing our total portfolio of properties to 5 and our total Gross Yield to 7.27%.

3.1.6

Property	Acquisition Price	Total Capital Costs
Bradford Road, Keighley	£2,350,000	£2,490,354
43 Penistone Road Sheffield	£2,550,000	£2,699,466
Unit 7 Drake House Sheffield	£3,000,000	£3,174,913
5 Sandars Road, Heapham Road, Gainsborough	£6,105,000	£6,470,070
Heaton Street Gainsborough	£1,100,000	£1,149,644
<b>Total</b>	<b>£15,105,000</b>	<b>£15,984,447</b>
<b>Portfolio Gross Yield</b>		<b>7.27%</b>

## 3.2 Acquisitions, Disposals and Capital Receipts

3.2.1 The Council has made no asset acquisitions during Quarter 4, but have paid deposits for land at Saxilby Industrial Units and Market Rasen Leisure Centre land.

3.2.2 The Council has made no asset disposals during Quarter 4.

3.2.3 Capital Receipts - The total value of capital receipts for the year total £346k relating to;

- £234k from the Housing Stock Transfer Agreement share of Right to Buy receipts,
- £11k loan repayments
- £92k asset sale proceeds
- £12k insurance payout for refuse freighter.

## 3.3 Capital Programme Update 2019/20

3.3.1 Approval of a capital budget and expenditure of up to £82k is required for the 3 year extension of contract and enhancement to the Income Management system to facilitate digital payments in line with our Customer First Programme.

3.3.2 We are currently projecting that the Market Rasen Leisure Centre build will come in on budget at £6.4 million. However this does not allow for any contingency for unknown events during construction. Therefore a request of £100k additional funding to be ring fenced and spent only if any unknown issues occur.

It has been difficult to get the scheme to budget as there have been several site abnormalities:

- 4 The cost of the site
- 5 There has been asbestos buried on site which has to be removed
- 6 Enhanced foundations due to poor ground conditions
- 7 There is a high water table which has resulted in an expensive drainage strategy
- 8 We have had to re-route a BT phone line
- 9 The proposed footpath has added in additional cost

#### 4. TREASURY Q4 REPORT INCL MONITORING – Quarter 4 (April - March)

The CIPFA (Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management recommends that members be updated on treasury management activities regularly (TMSS, annual and midyear reports). This report, therefore, ensures this Council is implementing best practice in accordance with the Code.

4.1 There have been no breaches of Prudential Indicators as detailed at 3.7 below.

#### 4.2 Economic Background (Appendix B)

#### 4.3 Interest Rate Forecasts

The Council's treasury advisor, Link Asset Services, has provided the following forecast:

Interest Rate Forecasts								
Bank Rate	Jun-19	Sep-19	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21
Link	0.75%	1.00%	1.00%	1.00%	1.25%	1.25%	1.25%	1.50%
Cap Econ	0.75%	1.00%	1.00%	1.00%	1.00%	1.25%	1.50%	-
<b>5Y PWLB RATE</b>								
Link	1.90%	2.00%	2.10%	2.20%	2.30%	2.30%	2.40%	2.50%
Cap Econ	1.70%	1.80%	1.90%	1.90%	2.10%	2.30%	2.40%	-
<b>10Y PWLB RATE</b>								
Link	2.30%	2.40%	2.50%	2.60%	2.60%	2.70%	2.80%	2.90%
Cap Econ	2.00%	2.10%	2.20%	2.20%	2.30%	2.50%	2.60%	-
<b>25Y PWLB RATE</b>								
Link	2.80%	2.90%	3.00%	3.10%	3.20%	3.20%	3.30%	3.40%
Cap Econ	2.50%	2.60%	2.70%	2.70%	2.80%	2.90%	2.90%	-
<b>50Y PWLB RATE</b>								
Link	2.60%	2.70%	2.80%	2.90%	3.00%	3.00%	3.10%	3.20%
Cap Econ	2.40%	2.50%	2.60%	2.60%	2.70%	2.80%	2.90%	-

4.4 Interest received has been in excess of the 7 day average libid benchmark at the end of March (0.570%) with an average yield of 1.581% (including CCLA) and 0.79 (0.65% Q3) (excluding CCLA).

4.5 The overall weighted average interest rate on all treasury investments for the year is 1.563% and has generated circa £0.244m in investment interest.

#### 4.6 Investments

The table below details cash movements affecting total amounts invested, including the Councils bank balance.

	Q3	Q4
Investment Movements	£'000	£'000
Investments B/fwd (at 31.3.2018 incl bank)	15,316	15,316
Less Capital expenditure funded from borrowing	-16,757	-18,448
Add PWLB Borrowing in year	8,500	11,000
Less Net Revenue Expenditure	-11,219	-14,793
Add Net Collection Fund Movement (Council Tax/NNDR)	15,611	16,234
Add Working Capital Movement	2,122	4,956
<b>Investments c/fwd (at 31.3.2019 incl bank)</b>	<b>13,573</b>	<b>14,265</b>

The Council held investments of £14.265m in addition to a bank balance of £0.65m. The table below details where these investments were held as at Q4

	Q3	Q4
Investments at Q4	£'000	£'000
Lloyds Deposit Account	2,700	1,200
Lloyds Bank Account	173	65
LGIM Money Market Fund	700	1,750
CCLA Money Market Fund	5,000	3,250
CCLA Property Fund	3,000	3,000
Santander (365 day Notice Account)	2,000	0
Santander (95 day Notice Account)	0	3,000
Thurrock Council	0	2,000
<b>Total Prudential Borrowing</b>	<b>13,573</b>	<b>14,265</b>

#### 4.7 Investment in Local Authority Property Fund (CCLA)

The total the Council has invested now stands at £3m. Interest is receivable on a quarterly basis with Q4 due in April. We estimate that the total interest on investment for the year will be circa £0.154m.

#### 4.8 New External Borrowing

Due to the overall financial position and the underlying need to borrow for capital purposes, the Council borrowed a further £2.5m from the PWLB on 13/2/2019. The borrowing has been taken for a period of 25 years at a rate of 2.53%. This brings the total external borrowing from PWLB to £11m.

#### 4.9 Total Prudential Borrowing at Q4.

	Q3	Q4
Prudential Borrowing	£'000	£'000
Total External Borrowing	8,500	11,000
Total Internal Borrowing	11,867	11,058
<b>Total Prudential Borrowing</b>	<b>20,367</b>	<b>22,058</b>

#### 4.10 Borrowing in advance of need

The Council has not borrowed in advance of need.

#### 4.11 Compliance with Treasury and Prudential Limits

It is a statutory duty for the Council to determine and keep under review the affordable borrowing limits. The Council's approved Treasury and Prudential Indicators (affordability limits) are included in the approved TMSS.

During the financial year to date the Council has operated within the treasury and prudential indicators set out in the Council's Treasury Management Strategy Statement and in compliance with the Council's Treasury Management Practices.

The prudential and treasury Indicators are shown below.

	Original £'000	P1 £'000	Q2 £'000	Q3 £'000	Q4 £'000
<b>Treasury Indicators</b>					
Authorised limit for external debt	42,202	42,202	42,202	42,202	42,202
Operational boundary for external debt	22,916	26,666	28,653	28,653	23,170
External Debt	21,298	18,412	24,369	24,128	11,000
Long term Leases	27	27	27	27	0
Investments	(13,403)	(17,076)	(12,629)	(14,334)	(14,200)
<b>Net Borrowing</b>	<b>7,922</b>	<b>1,363</b>	<b>11,767</b>	<b>9,821</b>	<b>(3,200)</b>
<b>Prudential Indicators</b>					
Capital Expenditure	25,456	27,822	30,088	29,967	21,079
Capital Financing Requirement (CFR)*	23,821	24,103	29,700	29,700	23,170
<i>Of Which Commercial Property</i>	12,400	15,910	22,910	22,910	15,921
Annual change in CFR*	15,048	19,387	24,983	24,983	18,456



In year borrowing requirement	22,756	19,446	25,043	25,043	18,488
Under/(over)borrowing	2,524	5,692	5,332	5,572	12,170
Ratio of financing costs to net revenue stream*	1.39%	0.28%	0.08%	0.08%	-0.91%
<b>Incremental impact of capital investment decisions:</b>					
Increase/Reduction (-) in Council Tax (band change per annum)	(£6.77)	£0.76	(£7.85)	(£15.46)	(£15.68)

4.12 Due to the timing of this report the Monthly Investment Review report for March has yet to be published.

## REVENUE CARRY FORWARDS – BASE BUDGET ALREADY APPROVED

Budget underspends to be carried forward into 2019/20 which have been approved during the year are provided below for information only.

BASE BUDGET C/FWDS APPROVED IN YEAR			FINAL	
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	People	Housing Strategy	40	Selective Licensing - to fund fixed term posts to 31.08.18
PC	People	Food Safety	35	Appointment of Food Safety Officer - to be funded from cfwd in 19/20, and built into the MTFP as a pressure thereafter.
PC	Places	Economic Development	31	Development Partnership - delay in project spend, legal fees (FIN/134/17)
CP&R	Policy and Resources	Corporate Management - Finance	136	Any Board Budget savings (business case development) will be carried forward. Original funding from Earmarked Reserves
TOTAL			242	

## REVENUE CARRY FORWARDS – USE OF EARMARKED RESERVES ALREADY APPROVED

Budget underspends to be carried forward into 2019/20 which have been approved during the year are provided below for information only.

USE OF EARMARKED RESERVES			FINAL	
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	People	Community Action & Community Safety	3	Community Rail Partnership Post Funded from EMR Connectivity Fund - balance of WLDC contribution to be carried forward
PC	People	General Grants etc	48	Remaining balance of Supporting Vulnerable Communities reserve allocation. Further report to be presented to Committee to allocate remaining balance
PC	People	General Grants etc	133	Balance on Community Grants budget. Grants to be issued early 19/20
PC	People	General Grants etc	37	Community Transport scheme - carry forward balance on project spend
PC	People	Waste Management	5	Enhancements to dustcart due to take place early 19/20 (camera, weighing machine)
PC	People	Waste Management	6	Replacement of manager van - due April 19
CP&R	Places	Commercial Properties	12	To carry out agreed works on the former Lidl building prior to new tenant occupancy.
PC	Places	Development Management	14	New Burdens funding from reserves - Planning & Monitoring Officer Post
PC	Places	Economic Development	17	Released from Invest for Growth in 18/19 but development phase slipped by 3 months into 19/20

## REVENUE CARRY FORWARDS – USE OF EARMARKED RESERVES ALREADY APPROVED

Budget underspends to be carried forward into 2019/20 which have been approved during the year are provided below for information only.

USE OF EARMARKED RESERVES			FINAL	
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	Places	Economic Development	19	Unapplied Grants - HCA grant - slipped Housing related projects spend
PC	Places	Neighbourhood Planning & Local Plans	11	Neighbourhood Planning - unspent grant to be carried forward into 19/20
Page 76	Places	Neighbourhood Planning & Local Plans	20	Neighbourhood Planning - 'Top Up' funding (£25k allocated per annum) - not used in 18/19 so needs rolling into 19/20
76	Places	Visitor Economy	15	Invest to Earn reserve - approved to fund Visitor Economy Officer (FIN/VAC/16/19)
CP&R	Policy and Resources	Register of Electors	2	Was to support District Elections in May - estimated but struggled to appoint so delay has led to underspend
TOTAL			342	

## REVENUE CARRY FORWARDS – APPROVED BY MANAGEMENT TEAM

Bids for budget underspends to be carried forward into 2019/20, approved by Management Team 18 March 2019, are as follows;

BASE BUDGET C/FWDS APPROVED BY MT 18.03.19			FINAL	
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	People	Building Control	2	<b>Corporate Training budget</b> - spans multiple years - Certificate in Building Control £3k. Delayed training (SAP) to occur 19/20 £1k
CP&R	People	Customer Services	8	<b>Corporate Training budget</b> - approx. half will be implemented 19/20
PC	People	Cemeteries and Churchyards	21	Delay in procurement for repairs to stone walls for churchyards
PC	People	Environmental Initiatives	14	C/fwd from 17/18 for footpath & refurb work at Ashcroft Road Park-slipped as didn't receive any tenders for 1st procurement exercise. Hope to complete by Easter 19
PC	People	Homelessness/ Housing Advice	0	Flexible Homelessness Support Grant received 18/19 was allocated for project spend. No spend has been incurred during the year but is proposed to carry forward the underspend as a contribution towards the development of a Housing Company in 19/20. Business Case to follow.
PC	People	Parish Lighting	10	Additional parish lighting repairs work anticipated 19/20 as lights continue to be upgraded to LED

## REVENUE CARRY FORWARDS – APPROVED BY MANAGEMENT TEAM

Bids for budget underspends to be carried forward into 2019/20, approved by Management Team 18 March 2019, are as follows;

BASE BUDGET C/FWDS APPROVED BY MT 18.03.19			FINAL	
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	People	Private Sector Housing Renewal	22	<b>Corporate Training budget</b> - agreed for delivery of training across Housing service staff as identified through 18/19 Development Appraisals but not yet completed
PC	People	Town Centre Markets	7	Markets - promotional & marketing spend for events 2019/20
CP&R	Places	Admin Buildings	13	<b>Board Budget allocation</b> £30k. North Warren Road Depot Provision report to Portfolio Board - contamination works carried out Feb/Mar, remaining balance to be spent during 19/20
CP&R	Places	Admin Buildings	54	Was a one off budget to improve facilities at Market Rasen Depot. Slippage - awaiting final business case regarding future depot options.
PC	Places	Culture, Heritage & Leisure	13	<b>Board Budget allocation.</b> Options appraisal work for Trinity Arts Centre due to be completed 19/20
PC	Places	Culture, Heritage & Leisure	56	Mayflower project - project slippage to be spent in 19/20
PC	Places	Economic Development	2	Officer training approved but due to take place April/May 19

## REVENUE CARRY FORWARDS – APPROVED BY MANAGEMENT TEAM

Bids for budget underspends to be carried forward into 2019/20, approved by Management Team 18 March 2019, are as follows;

BASE BUDGET C/FWDS APPROVED BY MT 18.03.19				FINAL
Committee	Cluster	Business Unit	£ 000	Purpose of Carry Forward
PC	Places	Economic Development	34	Delay in project spend. Economic Development projects - £6k Foxby lane, £15k Consultancy Support, £1k Employment & Skills and £12k Place Board.
PC	Places	Parks & Open Spaces	4	Memorial testing on a 5 year programme, to take place 19/20 (£3k). Garden seats - survey to be carried out 19/20 in conjunction with Gainsborough Town Council
CP&R	Policy and Resources	Business Improvement & Commercial Development	5	Request to roll forward into 19/20 for project works performance management and project software.
CP&R	Policy and Resources	Corporate Management - Finance	17	EU Exit Funding for Local Government grant received 18/19. Carry forward to support any costs resulting from Brexit
CP&R	Policy and Resources	Corporate Systems	9	Project costs for final training days on Telephony Project in 19/20
CP&R	Policy and Resources	Financial Services	10	Approved training delayed due to CIPFA not running anticipated course during 18/19
CP&R	Policy and Resources	Financial Services	34	Carry forward requested to cover transitional arrangements during restructure implementation period
TOTAL			335	

**CPR Work Plan as at 3 April 2019**

**Purpose:**

This report provides a summary or reports that are due on the Forward Plan.

**Recommendation:**

1. That members note the contents of this document.

Date	Title	Lead Officer	Purpose of the report
<b>11 APRIL 2019</b>			
11 Apr 2019	Recording of telephone calls	Lyn Marlow, Customer Strategy and Services Manager	Policy for the recording of telephone calls made by customers to the Council
11 Apr 2019	Revenue, Capital and Treasury Management Monitoring Period 4	Tracey Bircumshaw, Strategic Finance and Business Support Manager	To provide members with the Period 4 (April 2018 - March 2019) financial performance
<b>13 JUNE 2019</b>			
13 Jun 2019	Progress and Delivery Report - Period 4 2018/19	Mark Sturgess, Executive Director of Operations and Head of Paid Service	To present performance for the Council's key services against agreed performance measures and indicate areas where improvements should be made, having regard to remedial measures set out in the report.
13 Jun 2019	Budget and Treasury Monitoring Final Outturn 2018/19	Tracey Bircumshaw, Strategic Finance and Business Support Manager, Sue Leversedge, Principal Accountant	report to detail final outturn position for 2018/19
13 Jun 2019	5-7 Market Place	Marie Jackson, Capital Projects Officer	Refurbishment of 5-7 Market Place
13 Jun 2019	Treasury Management Annual Report 2018/19	Tracey Bircumshaw,	To provide members with the annual report on treasury



		Strategic Finance and Business Support Manager	management performance 2018/19
13 Jun 2019	Caistor Southdale Development	Karen Whitfield, Communities & Commercial Programme Manager	To approve plans for GP and residential development

**25 JULY 2019**

25 Jul 2019	Progress and Delivery Report - Period 1 2019/20	Mark Sturgess, Executive Director of Operations and Head of Paid Service	This report presents performance of the Council's key services against agreed performance measures and indicates areas where improvements could be made, having regard to the remedial measures set out in the report.
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25 Jul 2019	Budget Monitoring and Treasury Performance Period 1	Tracey Bircumshaw, Strategic Finance and Business Support Manager	To provide members with the financial and treasury performance as at May 2019
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25 Jul 2019	Provision of Operational Depots	Ady Selby, Strategic Manager - Services	Current depot facilities not fit for purpose. Report considering options for future delivery to be considered at Committee
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25 Jul 2019	Gainsborough Green Corridor & Riverside Walk Acquisition	Jo Walker, Growth & Regeneration Manager	To seek approval to pursue the acquisition of land adjacent to the River Trent for the purposes of extending and completing the Riverside Walkway in Gainsborough. To seek approval to make a final funding bid to support the works to extend the walkway and to carry out related ecological improvements to the river corridor and nearby green spaces.
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**7 NOVEMBER 2019**

7 Nov 2019	Progress and Delivery Report - Period 2 2019/20	Mark Sturgess, Executive Director of Operations and Head of Paid Service	To present performance of the Council's key services against agreed performance measures and indicate where improvements should be made, having regard to
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the remedial action set out in the report.

7 Nov 2019	Proposed Fees & Charges 2020/21	Sue Leversedge, Principal Accountant	proposed fees and charges for CP
7 Nov 2019	Budget and Treasury Monitoring Mid Year Review 2019/20	Tracey Bircumshaw, Strategic Finance and Business Support Manager, Sue Leversedge, Principal Accountant	Forecast outturn position as at 30th September 19
<b>9 JANUARY 2019</b>			
<b>6 FEBRUARY 2020</b>			
6 Feb 2020	Corporate Policy & Resources Committee Draft Budget 2020/21 & estimates to 2024/25	Sue Leversedge, Principal Accountant	draft budget for PC & CPR budgets 2020/21 - 2024/25
Feb 2020	Progress and Delivery Report - Period 3 2019/20	Mark Sturgess, Executive Director of Operations and Head of Paid Service	To present performance of the Council's key services against agreed performance measures and indicate where improvements should be made, having regard to the remedial action set out in the report.
6 Feb 2020	Budget and Treasury Monitoring Period 3 2019/20	Tracey Bircumshaw, Strategic Finance and Business Support Manager, Sue Leversedge, Principal Accountant	forecast outturn position as at 31st December 2019
<b>9 APRIL 2020</b>			
9 Apr 2020	Budget and Treasury Monitoring Period 4 2019/20	Tracey Bircumshaw, Strategic Finance and Business Support Manager, Sue Leversedge, Principal Accountant	to report final outturn position 2019/20

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

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