

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

## AGENDA

**This meeting will be webcast live and the video archive published on our website**

**Corporate Policy and Resources Committee  
Thursday, 16th December, 2021 at 6.30 pm  
Council Chamber - The Guildhall**

**PLEASE NOTE DUE TO CAPACITY LIMITS WITHIN THE GUILDHALL THE PUBLIC VIEWING GALLERY IS CURRENTLY SUSPENDED**

**This Meeting will be available to watch live via:  
<https://west-lindsey.publici.tv/core/portal/home>**

**Members:**

- Councillor Mrs Anne Welburn (Chairman)
- Councillor Jeff Summers (Vice-Chairman)
- Councillor Owen Bierley
- Councillor Matthew Boles
- Councillor Stephen Bunney
- Councillor Michael Devine
- Councillor Ian Fleetwood
- Councillor Paul Howitt-Cowan
- Councillor John McNeill
- Councillor Mrs Mandy Snee
- 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

Corporate Policy and Resources Committee meeting 11 November (PAGES 3 - 19)  
2021

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 20)  
Setting out current position of previously agreed actions as at 8 December 2021
6. **Public Reports for Approval:**
- i) Information Governance Policy (PAGES 21 - 36)
  - ii) Information Classification and Handling Policy (PAGES 37 - 61)
  - iii) Levelling Up Fund Resources (PAGES 62 - 68)
  - iv) Market Rasen Leisure Centre, Swimming Pool Business Case (PAGES 69 - 78)
  - v) Amendment to the Start Time for Meetings of the Governance and Audit Committee (PAGES 79 - 81)
  - vi) Local Council Tax Support Scheme 2022/23 (PAGES 82 - 91)
7. **Committee Work Plan** (PAGES 92 - 95)
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 items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1,2 and 3 of Part 1 of Schedule 12A of the Act.
9. **Exempt Reports**
- i) Council Tax, Business Rates and Sundry Debtor Write Offs 2021/22 (PAGES 96 - 113)
  - ii) Upgrade of Current Income Management system (PAGES 114 - 119)

Ian Knowles  
Head of Paid Service  
The Guildhall  
Gainsborough

Wednesday, 8 December 2021

Corporate Policy and Resources Committee – 11 November 2021  
Subject to Call-in. Call-in will expire at 5pm on 15 November 2021

## WEST LINDSEY DISTRICT COUNCIL

MINUTES of the Meeting of the Corporate Policy and Resources Committee held in the Council Chamber - The Guildhall on 11 November 2021 commencing at 6.30 pm.

**Present:** Councillor Mrs Anne Welburn (Chairman)  
Councillor Jeff Summers (Vice-Chairman)

Councillor Owen Bierley  
Councillor Stephen Bunney  
Councillor Michael Devine  
Councillor Ian Fleetwood  
Councillor Paul Howitt-Cowan  
Councillor John McNeill  
Councillor Mrs Mandy Snee  
Councillor Roger Patterson

**In Attendance:**

Ian Knowles	Chief Executive
David Kirkup	
Sally Grindrod-Smith	Assistant Director of Planning and Regeneration
Rachael Hughes	Development Contributions Officer
Andy Gray	Housing and Enforcement Manager
Darren Mellors	Performance & Programme Manager
Sue Leversedge	Business Support Team Leader
Caroline Capon	Corporate Finance Team Leader
Ady Selby	Assistant Director of Commercial and Operational Services
Katie Storr	Democratic Services & Elections Team Manager
Ele Snow	Senior Democratic and Civic Officer

**Apologies:** Councillor Matthew Boles  
Councillor Trevor Young

**Membership:** Councillor R. Patterson was sitting in place of the vacancy for this meeting

### 35 PUBLIC PARTICIPATION PERIOD

There was no public participation.

### 36 MINUTES OF PREVIOUS MEETING/S

The minutes of the meeting of the Corporate Policy and Resources Committee held on 23 September 2021 were **APPROVED** and signed as a correct record.

A Member of the Committee enquired as to whether the negative gender pay gap indicated that female employees were in higher paid roles than male employees, this was confirmed to be the case. It was also enquired as to whether the drivers' pay increase had been well received, it was confirmed that there had been no feedback either way.

With no further comments, the minutes of the meeting of the Joint Staff Consultative Committee held on 7 October 2021 were duly **NOTED**.

### **37 DECLARATIONS OF INTEREST**

There were no declarations of interest.

### **38 MATTERS ARISING SCHEDULE**

As at 3 November 2021, there were no matters arising outstanding.

### **39 RECOMMENDATION FROM PROSPEROUS COMMUNITIES COMMITTEE RE: FREE PARKING FOR CHRISTMAS MARKETS**

The Committee gave consideration to a report presented by the Senior Property Strategy & Projects Officer, seeking approval for free parking to support the Christmas markets in Gainsborough and Market Rasen. It was explained that at its meeting on 2 November, the Prosperous Communities Committee had agreed the proposal and recommended to the Corporate Policy and Resources Committee to also approve, given the financial impact. Specifically, it was suggested that the Council waived parking charges on the Saturday that coincided with each market, those being 4 December in Market Rasen and 11 December in Gainsborough. It was noted that 4 December was also Small Business Saturday. It was estimated that the cost to the Council would be in the range of £800 - £1000. It was also highlighted to Members that, as the request tended to be received each year, it was proposed that the forthcoming parking strategy refresh included the granting of future years' free parking for the duration of the strategy. This would remove the need to bring the request to the Committee every year. If approved, appropriate communications would be carried out each year to ensure that the gesture was publicised.

The Senior Property Strategy and Projects Officer was thanked for his report by the Chairman of the Prosperous Communities Committee, supporting the proposals and highlighting the importance of supporting local businesses and traders through what was still a recovery period after the considerable impact of the pandemic. He also agreed with the gesture being included in the refresh of the parking strategy and moved the recommendation.

Members of the Committee fully supported the proposals, citing the importance of supporting and growing the local economy as well as encouraging visitors to attend the events. It was enquired as to whether there could be an agreement with the Market Rasen Leisure Centre for use of their car park at times of events in the town and it was agreed this would be looked into.

Having been seconded during the course of the discussions, the Chairman called the vote and it was unanimously

**RESOLVED** that the recommendation from the Prosperous Communities Committee be accepted and free car parking on 11 December (Gainsborough) and 4 December (Market Rasen), when Christmas Events are to be held, be approved.

#### **40 BRIDGING RESOURCE NATIONALLY STRATEGIC INFRASTRUCTURE PROJECT NSIP**

The Committee heard from the Assistant Director of Planning and Regeneration regarding the Nationally Significant Infrastructure Projects (NSIPs) across the district. She noted that, during the September meeting of this Committee, she provided a brief update regarding the potential for a further decision to be required as a result of two Nationally Significant Infrastructure Project (NSIP) proposals for the development of large scale solar farms within West Lindsey. It was explained that, since then, a third NSIP proposal had been brought forward within the district. Additionally, in the time since the papers had been published eight days prior to the meeting, each of the proposals had been registered with the Planning Inspectorate and the pre-application process had officially commenced.

The paper for consideration by the Committee set out an early resourcing position to support the council in the management of Nationally Significant Infrastructure Projects through the Development Consent Order process. The three NSIPS all proposed large scale solar farm development. The scale of the proposal was measured in megawatts, with anything above 50 megawatts classed as an NSIP. All three proposals were significantly above this 50 megawatt scale, meaning they sat outside of the realms of the Town and Country Planning Act.

The Assistant Director of Planning and Regeneration explained that NSIPs were considered by the Planning Inspectorate for ultimate decision by the relevant Secretary of State, in this case it would be the SOS for Business, Energy and Industrial Strategy. West Lindsey District Council would perform the role of 'Host Authority' in the Development Consent Order Process. The role of Host Authority was clearly set out within the Planning Act and at their meeting on 2 November 2021, the Prosperous Communities Committee had approved the decision making and delegation protocol that would be used to manage this process.

It was further explained that, as the Development Consent Orders were considered directly by the Planning Inspectorate, the Local Planning Authority did not receive a planning fee. It was recognised, however, that resources were needed by the Council to support the process. The mechanism for securing such resource was a Planning Performance Agreement (PPA). Each developer had committed to preparing a PPA with WLDC and this process had begun.

The Committee heard that the host authority was required to work on a number of complex elements including responding to impact assessment, assessing adequacy of community consultations, preparing the PPA and S106 amongst other tasks. It was envisaged that dedicated officer resource would be required. In addition, external technical specialists across a range of disciplines would be required. This would ensure that every element of impact from the proposals would be understood. A working group of officers from across

Central Lincolnshire, together with Bassetlaw and Boston, had been established to work together on securing the technical specialities that would be required.

Due to the scale and nature of the proposals, it was recognised that it could take some time to agree the details of the Planning Performance Agreements. However, work on each of the proposals had begun and it was necessary to move quickly to secure the officer and technical support that would be needed. To this end, the proposal within the paper before the Committee was to seek approval for the use of up to £50,000 as a bridging resource, to allow the work to commence. It was expected that any costs would be reclaimed through the PPA process, which would of course be progressed at speed. As highlighted within the financial implications, there was always a risk that the developer walked away prior to signing the PPA, however it was felt this was unlikely in the case of the proposals in question, given they had already progressed to a pre application stage. As a final comment, the Assistant Director confirmed that any resource utilised would be reviewed through the budget monitoring process.

The Assistant Director was thanked by the Chairman of the Prosperous Communities Committee for a well presented report and he noted the importance of starting work as soon as possible, as recognised by his Committee on 2 November. He accepted that there would likely be competition for the specialist resources required and it was in the best interests of those communities who could potentially be impacted to ensure the Council was fully engaged from the outset. With this said, he moved the recommendations contained within the report.

It was noted that the receipt of three applications in such a short time scale was considered to be unprecedented and it was confirmed that the District Council had not acted in the Host Authority status and the scale of these NSIPs was much greater than anything seen previously.

Members of the Committee voiced disappointment that any final decision would be taken outside of the District, however in understanding the processes involved there was widespread support for Officers to be able to act as quickly as possible. Having been seconded and voted upon it was unanimously

**RESOLVED** that the allocation and spend of up to £50,000 from the General Fund Balance, to deliver the necessary resourcing requirements of the current Nationally Significant Infrastructure Projects as a bridging resource whilst Planning Performance Agreements are signed to resource the Development Consent Order process, be approved.

#### **41 ANNUAL INFRASTRUCTURE FUNDING STATEMENT**

The Committee heard from the Head of Policy and Strategy regarding the Council's Annual Infrastructure Funding Statement (IFS). It was explained that the Council was required to produce and publish an IFS annually, detailing financial activity in relation to developer contributions. The statement used information presented previously in financial papers, however the purpose of the IFS was to provide greater transparency and accessibility in relation to activity around developer contributions. As such, the IFS and associated report was brought to the Committee to draw it to Members' attention, specifically in the context of

previous reports relating to s106 spend being presented to the Committee in recent months. It was also noted that it was intended for future statements to be shared with Members through the Members' Newsletter.

The Chairman thanked the Head of Policy and Strategy and re-iterated that the report would not ordinarily be presented to the Committee as it was a predominantly information only report. Members enquired as to the allocation of monies based on town or parish boundaries as well as the percentage of monies received distributed out of the District Council. It was confirmed that CIL monies were paid to the Town or Parish Council where the development was taking place. With regard to CIL versus S106 monies, it was explained that S106 arrangements were required to meet three tests and were used for very specific schemes. CIL arrangements provided greater flexibility.

Having been moved, seconded and taken to the vote, it was unanimously

**RESOLVED** that

- a) the content of the Infrastructure Funding Statement, for publication by 31 December 2021, be approved; and
- b) future versions of the Infrastructure Funding Statement, for information only, be received through the Members Newsletter.

**42 RECOMMENDATION FROM PROSPEROUS COMMUNITIES COMMITTEE RE: SELECTIVE LICENSING - FUTURE OPTIONS AND PROPOSALS**

The Committee gave consideration to a report from the Housing and Enforcement Manager seeking approval of funding based on the feasibility information to consult on future proposals for Selective Licensing in West Lindsey. It was explained that, at their meeting on 2 November 2021, the Prosperous Communities Committee approved that the Council would commence consultation on its proposals to deliver a selective licensing scheme across a total of five wards within the district. These wards being Gainsborough South West Ward; Gainsborough North; Wold View; Hemswell and Market Rasen. The Prosperous Communities Committee also approved that the report be referred to the Corporate Policy and Resources Committee to seek a decision in relation to the financial commitment of £126, 921 needed to deliver phases 2 and 3 of the scheme.

Councillor O. Bierley, as Chairman of the Prosperous Communities Committee, explained to Members that the proposals had been discussed in detail at the meeting on 2 November and the Committee had been pleased to support the report. The direction of focus had been welcomed and allowed a priority based approach. If property was in need of improvement, it did not matter where in the district it was located, and these plans would help achieve those improvements. He reiterated his support and moved the paper.

Another Member of the Committee welcomed the further district approach and was happy to second the paper.

It was noted that the proposed fee was significantly increased and a Member of the Committee explained his understanding of the reasons for this, as well as understanding the

benefits to tenants under the scheme. The Housing and Enforcement Manager explained that the fee was over a five year period, not an annual fee and there was provision for those under the previous scheme to remain at the same level of fee. Additionally, there would be an 'early bird' fee for new landlords signing up to the scheme. This answer was welcomed by the Member of the Committee who had not realised it was not an annual fee and suggested, as that was a positive to note, it could be made more visible within the details of any future scheme.

With support from the Committee and the Chairman taking the vote it was unanimously

**RESOLVED** that

- a) a budget and at risk funding of £122.9k to deliver phase 2 and 3 of the Selective Licensing Scheme as recommended by the Prosperous Communities Committee on 2 November 2021 be approved; and
- b) the use of the £84.2k of general fund balance for the phase 2 consultation costs should a selective licensing scheme not progress, be approved; and
- c) a further report be received once the outcome of the consultation is known, and a Scheme be agreed, for the purpose of setting the Selective Licensing Fee.

### **43 PROGRESS AND DELIVERY QUARTER 2, 2021-22**

The Committee heard from the Performance and Programmes Manager with the report containing Progress & Delivery performance information for Quarter 2 2021/22, which covered the months of July through to September. Where Covid-19 had impacted performance, this was identified and explained within the narrative of the report.

The Chairman took the opportunity to extend her thanks to Ellen King, the Officer who had previously presented the P&D reports, and sent congratulations from the Committee on her new role.

Members heard that as well as the discussion of performance information for Quarter 2, it was also recommended to delete the measure EN04 "percentage of licensed properties in the South West Ward" as the selective licensing scheme ended in July 2021 meaning it was no longer possible to collect data for this measure. It would, however, be replaced for the next financial year.

As an exception report, those measures that had performed above or below agreed tolerances for two consecutive periods would be discussed with a pause at the end of each portfolio to allow for any questions to be asked.

Within the quarter two report, 57% measures had exceeded their target, 19% were within tolerance and 24% were performing below agreed target. In addition, 69% of measures had exceeded their target for two quarters or more whilst the remaining 31% had been below target for two quarters or more.



### Corporate Health

There had been a slight decrease in customer satisfaction compared to the same period last year however performance was still within agreed tolerances. There had been a reduction in calls volume and the performance of answering calls within 21 seconds. A review was to be undertaken to establish the cause of this.

### Finance & Property Services

Performance was returned as green as rental portfolio voids had performed better than target

### Homes & Communities

There were five performance measures that had performed better than target for at least two consecutive periods. Conversely, four measures had performed worse than target for two consecutive periods; these measures related to Home Choices and Homes, Health & Wellbeing. For Home Choices the measures below tolerance for two consecutive periods were regarding number of households and the number of nights in B&B accommodation. A plan had been introduced to reduce B&B stay and produce consistent exit plans for persons within temporary accommodation. It was anticipated that increased monitoring of cases should help to reduce B&B stay, and the team were also working with their partner Framework to reduce complex cases holding up spaces in the leased accommodation. It was expected to see the impact of this plan in next quarter's P&D report.

For Homes, Health & Wellbeing; two measures had performed worse than target for two consecutive periods and these measures included average number of days from DFG referral to completion and long-term empties brought back into use. The number of days taken to complete Disabled Facilities Grant applications was steadily decreasing. A report taken to Overview and Scrutiny committee in September highlighted the issues currently being faced when delivering DFG's which included the availability of both contractors and materials. It was agreed by the Overview and Scrutiny to undertake an internal review of the DFG processes to highlight any areas where timescales could be improved. This is work was scheduled to be undertaken during November and December.

The overall number of long-term empty homes remained low and equated to just 1% of the district's housing stock. The focus for empty homes work remained the Viable Housing Solution, which was looking at a specific area within Gainsborough. Complaints in regards to the worst empty properties were still being dealt with reactively using the Council's existing powers. Compulsory Purchase Orders in regards to specific empty properties were in the process of being pursued. It was not believed that at this stage any further interventions are needed to address this.

Members of the Committee enquired as to further details regarding the long-term empty properties and whether the percentage figure could be expressed as a number of houses, instead of or as well as, the percentage figure. Additionally, it was suggested that it would be useful to have statistics as to where the empty properties were located. The Housing and Environmental Enforcement Manager explained that 1.5% equated to approximately 500 houses and Gainsborough typically had around a third of the total amount across the district. It was possible to provide numbers and percentages, although this had been moved away from in the past as there had been more focus on the number of properties without recognition of how many could actually be dealt with through enforcement powers.

It was also questioned as to how resources were allocated to bring empty properties back into use, to which it was explained that in the past, there had been a very proactive grant scheme however action was now more through the enforcement route.

#### Operational and Commercial Services

There were six performance measures that had performed better than agreed targets for at least two consecutive quarters. On the flip side; there were four measures whose performance was below target for two consecutive quarters. The first of which was Leisure Facilities usages for the Gainsborough centre. Restrictions had now been lifted and both centres were fully open. SLM were working hard to build up the centres, increase the membership and develop more activities for all age groups. SLM were also working to develop a Social Wellbeing Programme to incorporate a range of suitable activities for the referral scheme.

In regards to Markets, quarter two saw traders being able to fully return to the market. Officers were currently working on a Market Traders Grant scheme to help support traders on the general market and farmers market following the impact of the pandemic.

A Member of the Committee highlighted the difficulties at the Trinity Art Centre with ongoing pressure due to staff sickness and sought reassurance that there were contingency plans in place. The Chief Executive explained there was a re-structure underway which would resolve the current issues.

#### Democratic Services

There were no measures where performance was below or above target for two consecutive periods. Apologies were given as there was an error within this section of the report. The performance for attendance at member training events (KPI DS02) should have read as green and not red.

The Chairman highlighted that attendance at development sessions was within the power of Members and asked for Group Leaders to help ensure Members did attend sessions.

#### Planning & Regeneration

There were four measures which had performed better than target for at least two consecutive periods, all of which relate to the Councils Development Management service. There had been no measures that had performed below target for at least two consecutive periods.

There were repeat comments from a Member of both policy committees regarding the performance of the Planning Department and asked for thanks to be passed on.

#### Change Management and Regulatory Services

Nine measures had performed above their targets for two consecutive periods and there were four that had performed below their targets. Of these four; NNDR Collection rate had been below target for the first half of the year due to the award of Emergency Relief Payments as detailed in the quarter one P&D report. This was beginning to show signs of improvement as instalments become due and were either paid or recovery action was able to be taken to secure payment. The Council continued to work with businesses to ensure they received all the reliefs to which they were entitled.

The number of Planning Enforcement reports received continued to exceed the Council's ability to respond. Additional resources were in place and the number of cases opened this year did exceed the number closed, which had resulted in some of the time delays for closure of cases and time taken to provide an initial response. A review of longer-term cases had been undertaken. Temporary agency support had also been brought in to assist

The number of food hygiene inspections was gradually increasing as the volume of Covid-19 related complaints and responsibilities reduced. There was still a general resource challenge in relation to meeting the target number of inspections in the Food Standards Agency recovery plan and steps were being taken to ensure that additional resources were in place to achieve this. Staff vacancies within Environmental Protection and subsequent issues recruiting into these vacancies had resulted in issues within the service. These vacancies were going out to advert shortly.

Having reached the conclusion of the portfolios, Members of the Committee were invited to make further comments. With regard to Member Development, it was noted by the Chairman of the Governance and Audit Committee that the Annual Report had been received that same week and there would be communications in the new year regarding online training options for Councillors, this would allow individuals to undertake sessions as and when it was convenient for them. Additionally, he enquired as to why the P&D report was received at both policy committees when there seemed to be little change between both versions of the presented report.

The Chief Executive explained that historically, there had not been such crossover between committee membership and, as the Prosperous Communities Committee had their own budget, separate to that which was overseen by the Corporate Policy and Resources Committee, there had previously been portfolios that warranted greater scrutiny by one committee or the other. It was acknowledged that this could be reviewed afresh.

There was further discussion regarding the environmental protection requests and whether it was possible to identify any cause for the significant increase. It was explained that the figure predominantly demonstrated the increase in requests but it was important to see whether they were dealt with in time. It would be possible to look at the data in greater detail and ascertain whether there was any preventative work that could be undertaken.

The final comments were in relation to climate change and sustainability and whether there were measures in place as a part of the P&D reporting. It was surmised that, as the strategy had only recently been adopted, performance measures would be incorporated in future years.

Having been moved and seconded it was unanimously

**RESOLVED** that

- a) the performance of the Council's services had been assessed through agreed performance measures and areas where improvements should be made had been indicated, having regard to the remedial measures set out in the report.
- b) the deletion of key performance indicator EN04 "% of licensed properties in

the Gainsborough South-West Ward” be approved, as the cessation of the Selective Licensing Scheme in July 2021 means it is no longer possible to collect data for this performance measure. EN04 to be replaced with a new measure to monitor wider activity relating to Selective Licensing as part of the annual review of the Council’s Progress and Delivery measures that is currently underway.

#### **44 BUDGET AND TREASURY MONITORING - QTR 2 2021/2022**

The Committee heard from the Business Support Team Leader with the mid-year outturn report for 2021/22, based on the forecast outturn for revenue and capital budgets as at 30 September 2021. With regard to revenue budgets, Members were advised that, as visible by the forecast contribution to reserves for the year of £17,000, it was very close to breaking even at this point. One significant pressure was that, based on last November’s budget announcement of a public sector pay freeze, the subsequent announcement of a pay award had not been budgeted for. Negotiations were ongoing, however the latest employer offer stood at 1.75%. The salary forecast within the report was based on a 1.75% increase for the year, pending the outcome of those negotiations. If a final agreement of 2% was reached, this would result in an additional pressure of around £20,000. The salary forecast also included the 2% vacancy factor of £183,000.

It was highlighted that there were four significant revenue variances which were new when compared to the quarter one report presented to the committee in July. The net cost of the transfer of housing stock to P3 of £27,000, which had been built into the MTFP as an ongoing pressure. Telephony costs for a compliant connection to the voter registration process and the DWP benefits system of £12,000. There was a saving of £20,000 on a corporate contingency budget and the planning pre-application advice income was forecast at £22,000 above budget, based on activity to date.

In relation to covid-19 implications, there was a total of £1.529m to support services with the ongoing implications of covid-19, £1.029m in government support grants and including £0.5m of Council funds which were set aside in reserves as part of the 2021/22 MTFP. It was currently forecast to allocate £789,000 of this to services to offset additional costs incurred and income losses, leaving a balance of £740,000. It was therefore not expected to need to draw down from the reserve at this stage.

In relation to capital, the forecast outturn on capital schemes totalled £8,755m against a budget of £11.331m, including pipeline schemes which were subject to formal approval. The most significant underspend being £2.084m relating to the Trinity Arts Centre improvement projects, where the current scheme had now closed and would be redesigned in line with the national heritage lottery fund bid (NHLF). £2.319m was planned to be re-phased, the most significant being the extra care provision scheme budget of £1.5m which was due to commence in 2022/23 and be finalised in 2024/25. It was highlighted that Members were being asked to approve the capital budget amendments as detailed in 3.2 of the report.

Furthermore, Members were also asked to approve the amendments to the fees and charges schedules proposed at section 2.3.2, for the crematorium, cemeteries and strategic housing. These fees had been included in the fees & charges report as though approved, the report was to be heard later in the meeting, and therefore would require an amendment

to that report if any changes were required.

In relation to the use of reserves, Members were asked to approve use of unapplied grants reserve detailed at section 2.4.1 of the report, to release the balance of the council tax hardship and national leisure recovery grant into service.

The Chairman thanked the Business Support Team Leader for her summary of the report and invited questions and comments from the Committee.

A Member of the Committee enquired as to what had caused the new telephony costs pressure, which was explained to be as a result of a reduced budget following a procurement exercise. It was also queried how the decision had been made in relation to the spend of a bequest received by the Council, it was agreed that further details be shared with Members of the Committee.

The lack of budget for a national pay award was queried, as it had been thought these pay award would be included in budget forecasts. It was explained that where there had been a budget for up to 2.5%, this had been taken out following the announcement in November 2020 that there would be a public sector pay freeze. Allowance for future salary increases had been left in the budget and this would continue to be the case.

There was discussion regarding the use of APSE consultancy services in relation to the climate change strategy and this was confirmed to be on an 'as and when' basis, which, as members of APSE, allowed the Council to access specialist climate change support not otherwise available within the Council. It allowed access to that level of expertise when necessary.

With no further comments, and having been moved and seconded, it was

**RESOLVED** that:

**REVENUE**

- a) the forecast out-turn position of a £0.017m net contribution to reserves as at 30th September 2021 (see Section 2) relating to business as usual activity be accepted;
- b) the use of Earmarked Reserves (2.4.1) be approved;
- c) the use of Earmarked Reserves during the quarter approved by the Chief Finance Officer using Delegated powers (2.4.2), and the contributions to Earmarked Reserves (2.4.4) be accepted;
- d) the use of Earmarked Reserves during the quarter approved by Prosperous Communities Committee under delegated powers (2.4.3) be accepted;
- e) the amendment to the fees and charges schedules (2.3.2), to be effective immediately and recommend to Council any new Fees and Charges be implemented immediately, be approved.

### **CAPITAL**

- f) the current projected Capital Outturn as detailed in 3.1.1 be accepted;
- g) the Capital Budget amendments as detailed in 3.2 be approved.

### **TREASURY**

- h) the report, the treasury activity and the prudential indicators be accepted..

## **45 MID YEAR TREASURY REPORT 2021-22**

Members gave consideration to the Mid Year Treasury Report, presented by the Corporate Finance Team Leader. Members heard that the report provided an update of the treasury management prudential indicators as required in the prudential code and local government act. It was highlighted that covid-19 continued to have an adverse effect on the economy and interest rates remained low at 0.1%. This was obviously having an impact on the Council's investment returns and would continue to do so in future financial years. It was estimated by the treasury advisors, Link Asset Services, to continue until June 2022 at the earliest.

The Capital Financing Requirement had reduced as a voluntary revenue provision was assumed in relation to the borrowing for investment properties of £374,000 and the original forecast did not take into account the voluntary revenue provision actioned at the end of the 2020/21 of £707,000. In addition, there had been small slippage on some schemes funded by borrowing.

The Council was holding around £20m of investments on a regularly monthly basis, this was mainly due to additional grants from government, however the Council's cash flow had been revised and, by year-end, balances were expected to be around £17m. This revision established that the Council's external borrowing would likely be £25m, the anticipated external debt had been revised and reduced down accordingly. Internal borrowing was likely to be around £15.867m at year-end, resulting in total borrowing £40.867m. Members were advised that this all impacted on the cost of council tax and financing costs in relation to the net revenue stream. The Committee was asked note the report, treasury activity and recommend approval of the changes to the prudential indicators to Full Council.

Members gave their support to the report and the Chairman expressed her thanks to the Corporate Finance Team Leader, who was due to leave the Council after a considerable time. The Committee joined in sharing their thanks and best wishes for the future.

With no further comment, and having been moved and seconded, it was

**RESOLVED** that it be recommended to Full Council to note the report, the treasury activity and recommend approval of any changes to the prudential indicators.

## **46 BUDGET CONSULTATION RESPONSES**

The Committee heard again from the Business Support Team Leader, presenting to Members the results of the Budget consultation process for 2021. She explained that

feedback this year saw a return rate of 30% and a reduction in the number of responses from 708 last year, to 513 this year. It was acknowledged that this was a disappointing response rate and it was unclear why this may be the case, however, it may have been due to the amount of people returning to work. In 2019 the response rate was 595 so this year was comparable to pre-pandemic times.

The low response was in spite of the promotion of the consultation with 1,587 members of the citizens' advice panel, over 2,000 registered businesses and market events in Gainsborough and Caistor where 105 forms were issued. Only 22 of these responded. The event in Market Rasen was unfortunately cancelled due to poor weather. Ways in which engagement could be improved for next year would continue to be explored.

It was explained that the consultation covered a number of topics ranging from corporate priorities, valued services, council tax increases, fees and charges and charging for green waste, and gave the opportunity for wider views and suggestions. Members were asked to consider the results and comments contained with the consultation report as part of the budget setting process for 2022/23.

The Chairman thanked the Business Support Team Leader and noted that it had been offered for Members to hold an additional Members' Forum regarding the Budget Consultation. Discussions focussed primarily on how best to improve engagement in the process, with Members enquiring as to whether the Youth Council had continued and had been involved and whether there were opportunities to engage with the under-represented demographics. It was noted that the lack of the usual run of face-to-face events had negatively affected the level of responses and options would be reviewed for the next year. A Member of the Committee suggested there had been an over-reliance on the use of social media and other avenues, even if not face-to-face should be considered.

There was further discussion regarding the setting of the questions, whether they were externally assessed and also the difference it could make if questions were re-phrased. It was explained that the Council had Officers who were trained in setting surveys, rather than using external providers. It was agreed there were always opportunities to consider new options both for content of the consultation and ways to engage with the district.

With no further comment, and having been moved and secondly, it was

**RESOLVED** that the results of the Budget Consultation be accepted and the results and comments be considered as part of the budget setting process 2022/23

#### **47 RECOMMENDATION FROM PROSPEROUS COMMUNITIES COMMITTEE RE: REVIEW OF BULKY WASTE CHARGES**

The Committee heard from the Assistant Director for Commercial and Operational Services regarding the recommendation from the Prosperous Communities Committee for the review of bulky waste charges. It was explained that at the meeting of the Prosperous Communities Committee on 2 November 2021, Members considered the charging regime for the bulky waste service having previously commissioned officers to look at whether changing the charging regime for bulky waste would help reduce levels of fly tipping.

The report considered why a charge was introduced a number of years ago, including the introduction of a user pays ethos and supporting local charities, with these reasons remaining valid when considering whether to reintroduce free or subsidised collections. It was suggested that, of greater relevance, was the negative environmental impacts including the additional fleet required and mileage travelled but also a reduction in reuse and recycling within the district.

The paper looked at the local and national context, with the majority of authorities charging for the service and most locally charging approximately the same as West Lindsey District Council. The exception was the City of Lincoln, where collections were free for pensioners, those entitled to benefit payments and those people with disabilities. No one outside of those groups could arrange a bulky waste collection, either free or paid.

Members heard that the report also highlighted levels of flytipping, particularly the dramatic rise last year, which had been in line with national trends. Further information was provided in a 2019 BBC report which found no link between flytipping and charging for waste services. There was also case study evidence in which one authority reverted to free bulky waste collections but did not benefit from a reduction in flytipping.

Options considered within the paper included introducing a free service, reducing the charge, introducing a 'buy one collection, get one free' schedule or, continuing with the current charge. Members heard that, having considered the benefits or otherwise of all four options, the Prosperous Communities Committee had resolved to recommend to this Committee that the Council should continue with the current charge of £33 for six points plus an inflationary rise for the financial year 2022/23.

The Chairman thanked the Assistant Director for his report and suggested there may be the opportunity to work with the City of Lincoln for the provision of bulky waste collections, given that some of the flytipping in West Lindsey was likely to originate in Lincoln.

**Note:** Councillor R. Patterson left the meeting at 8.23pm and returned at 8.25pm

Members were satisfied with the recommendation from the Prosperous Communities Committee and praised the team responsible for organising and conducting the bulky waste collections. It was suggested that improved communications could be undertaken regarding the points system as well as increasing publicising of the scheme.

Having been moved and seconded it was

**RESOLVED** that the continuation of the current pricing schedule, plus inflation, for bulky waste collections, as recommended by the Prosperous Communities Committee on 2 November 2021, be approved.

#### **48 RECOMMENDATION FROM PROSPEROUS COMMUNITIES COMMITTEE RE: GREEN GARDEN WASTE CHARGES 2022/23**

The Committee gave consideration to a report presented by the Assistant Director for Commercial and Operational Services regarding the green garden waste charges for 2022/23. It was explained that a subscription based garden waste model was introduced in



2018 and the service had continued to grow with over 28,000 subscriptions being achieved this year. The charge for the service had remained at £35 per bin per year throughout the three years of operation. Through the course of the budget consultation it had been ascertained that whilst residents would prefer no rise in the cost of subscription, it was clear that the charge should not turn into a 'stealth tax' and increase minimally each year. For this reason, it had been proposed to fix the price for two years.

Members heard that whilst the subscription costs had stayed the same, the cost of delivering the service had risen with increases in pay for operational staff, vehicle costs increasing and including the cost of vehicle purchase, maintenance, fuel and tyres. There were also increased costs resulting from the move to the new depot at Caenby Corner.

Having considered all options presented in the report, as well as taking note of the proposal from Government to make garden waste collections free for all through its Environment Bill, possibly from 2024, the Prosperous Communities Committee had resolved to recommend to the Corporate Policy and Resources Committee to increase the subscription for receipt of the Garden Waste collection service to £39 per bin per year, for the 2022/23 financial year and £39 per bin per year for the 2023/24 financial year.

Members thanked the Assistant Director for the detail of the report and supported the service provided to residents. Members noted it was the first time the charge was increasing and agreed with the premise of not increasing it each year. Having been moved and seconded it was

**RESOLVED** that the increase for the subscription for receipt of the garden waste collection service to £39 per bin per year, for the 2022/23 financial year and £39 per bin per year for the 2023/24 financial year, as recommended by Prosperous Communities committee on 2 November 2021, be approved.

#### **49 PROPOSED FEES AND CHARGES 2022/2023 - INCLUDING THOSE RECOMMENDED BY THE PROSPEROUS COMMUNITIES COMMITTEE**

The Committee heard for the final time from the Business Support Team Leader regarding the proposed fees and charges for 2022/2023, including those recommended by the Prosperous Communities Committee on 2 November 2021. Members heard that, in addition to the content of the report, the appendices provided service specific detail around performance, future demand and the rationale behind the proposed fee for next year. It was explained that consideration had been given to total cost recovery, benchmarking data, and team manager knowledge of the market when proposing fees, in line with the fees, charges and concessions policy. Additionally, during this years' budget consultation exercise, nearly two thirds of respondents felt that fees should only be increased by inflation this year, and then reviewed again next year. In the majority of cases, this was the increase that had been applied. The percentage would appear higher than inflation in the schedules where the fee had been rounded up to the nearest pound or 50p. Inflation had been applied as at June's RPI rate of 3.9% for 2022/23, then 2% thereafter. Where no increase had been proposed, or an increase above inflation, the reasoning for this was contained within the report. In the majority of cases, the non-statutory fees had 2% inflation already built into the MTFP from 2022/23, therefore the impact of an inflationary increase was minimal.

It was explained that the budget implications included in the report for information, reflected both the impact of proposed amendments to fees, and the forecast demand over the period of the MTFP. The net impact of the fees and charges review across both committees was an increase in income of £20,700 in 22/23, rising to £154,800 in 26/27. The significant increase in the third year related to forecast crematorium capacity and demand, and the increase in the fifth year related to forecast demand for planning fee applications.

Of the 59% of fees which were non-statutory, those with significant budget implications were:

- Lea Fields Crematorium – an increase for cremation services of 2.5% rather than inflation, to ensure the Council remained competitive with other cremation providers.
- Car parking fees – no amendment was proposed at this time, pending the strategy due later in the civic year
- Building control – it was proposed to keep the hourly rate at the same level as currently charged, as this brought the Council in line with other local authorities
- Land charges – inflation had been applied at 3.9%
- Planning pre-application advice – inflation had been applied at 3.9%

Members were asked to consider the proposed fees and charges, and to make recommendation to Council for approval.

On opening discussions, a Member of the Committee noted that an inflationary increase was a positive option and consequently moved the recommendations as written.

A Member of Committee indicated that he wished to discuss the contents of the appendix regarding CCTV services, As this was a restricted document, it was proposed and seconded that the meeting move into closed session. On taking the vote it was

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

**Note:** The meeting moved into closed session at 8.40pm at which time a short adjournment was called. The meeting reconvened at 8.44pm

The Committee discussed the details contained within the appendix relating to CCTV services and it was confirmed that the pandemic restrictions had impacted on the work of the service, with Officer deployed elsewhere. Members were satisfied with the service review plans as detailed by the Chief Executive and suggested options to be explored regarding the provision of CCTV services in the district.

**Note:** The meeting returned to open session at 8.50pm

The paper, having been moved, was subsequently seconded and on taking the vote it was

**RESOLVED** that Members **recommend to Full Council** the proposed Fees and Charges at Appendices 1 – 3, as well as those recommended by Prosperous

Corporate Policy and Resources Committee – 11 November 2021  
Subject to Call-in. Call-in will expire at 5pm on 15 November 2021

Communities Committee detailed at Appendices 4 – 18, for approval.

## **50 COMMITTEE WORK PLAN**

The contents of the Committee Work Plan were **NOTED**.

The meeting concluded at 8.52 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
Black	Further information regarding bequest to WLDC	Following an enquiry as to how the decision was made for use of the bequest, it was agreed for further information to be shared with Members	<p>The initial decision was made by the Monitoring Officer, under delegated powers and in consultation with the Leader of the Council, that a bench be located at the strewing site at Lea Fields Crematorium, with a named plaque in Mr Burton's memory. Having been made aware of difficulties with this proposal by the Crematorium Manager, the Assistant Director for Commercial and Operational Services discussed this matter further with the Leader, where it was suggested naming the strewing area after Mr Burton would be more feasible. A plaque with the name of the strewing area on it would also be erected.</p> <p>The Assistant Director of Commercial and Operational Services, having consulted with the Leader of the Council who was fully agreeable, has approved such and the plaque is in the process of being erected.</p>	16/12/21	Ady Selby
Green	Event parking in Market Rasen	to liaise with SLM re opportunities for parking provision in Market Rasen on event days	A Member of the Committee suggested liaising with SLM re use of the leisure centre parking for events such as the Christmas Market, if not for this year perhaps for future events,	31/12/21	David Kirkup



**Corporate Policy and  
Resources**

**16 December 2021**

**Subject: Information Governance Policy**

Report by:	Director of Corporate Services and Monitoring Officer
Contact Officer:	John Bingham Assistant Data Protection and Freedom of Information Officer  John.Bingham@west-lindsey.gov.uk
Purpose / Summary:	The purpose of this document is to set out the Information Governance Policy, including the Information Governance Management Framework, for West Lindsey District Council ("the Council"). It demonstrates management commitment to having in place sound information governance arrangements, gives clear direction to managers and staff, and will ensure that legal requirements and best practice standards are met.

**RECOMMENDATION(S):**

**CP&R to approve formal adoption of the Information Governance Policy**

**Agree that any future housekeeping amendments can be delegated to the Chief Executive in consultation with the Chairs of the JSCC and CP&R.**

## IMPLICATIONS

### Legal:

(N.B.) Where there are legal implications the report **MUST** be seen by the MO

### Financial : FIN/109/22/SL

There are no financial implications arising from this report. (N.B.) All committee reports **MUST** have a Fin Ref

### Staffing :

(N.B.) Where there are staffing implications the report **MUST** have a HR Ref

### Equality and Diversity including Human Rights :

*NB: Please explain how you have considered the policy's impact on different groups (for example: young people, elderly, ethnic minorities, LGBT community, rural residents, disabled, others).*

### Data Protection Implications :

### Climate Related Risks and Opportunities:

### Section 17 Crime and Disorder Considerations:

### Health Implications:

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

*Wherever possible please provide a hyperlink to the background paper/s  
If a document is confidential and not for public viewing it should not be listed.*

### Risk Assessment :

**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**

## **Changes to Policy:**

The changes made to the Information Governance Policy are below:

Update Review Date – This has been changes to 3 yearly review and was agreed with Alan Robinson in capacity of MO prior to his departure.

Inclusion of single line under Para 1 Legal Compliance – To provide a simple explanation as to the reasoning for the need for legal compliance.

General tidy up inc removing additional wording, lines and grammatical issues – Housekeeping

Update of the DPO responsibilities page 7 – DPO roles and responsibilities are now reflected that which is a legal requirement as per the UK GDPR

Information rights page 5 – Change DPA 1998 to 2018. Change also on Page 11 – The DPA 1998 was superseded by the DPA 2018, this is now reflected in the policy.



# Information Governance Policy

<b>Version Number</b>	2.0
<b>Approved by</b>	Corporate Policy and Resources Committee
<b>Date approved</b>	27/10/2016
<b>Review Date</b>	27/10/2018
<b>Authorised by</b>	Director of Resources
<b>Contact Officer</b>	Information Governance Officer

## Table of Contents

Table of Contents .....	2
1 Overview .....	3
2 Purpose .....	3
3 Scope .....	3
4 Policy .....	4
4.1 The Information Governance Management Framework .....	4
4.1.1 Risk Management .....	4
4.1.2 Key Policies .....	5
4.1.3 Information Governance Roles .....	6
4.1.4 Key Bodies .....	9
4.1.5 Staff Awareness .....	11
4.1.6 Information Security Incident Management .....	11
5 Policy Compliance .....	11
5.1 Compliance Measurement .....	11
5.2 Non-Compliance .....	12
5.3 Policy Review .....	12
6 Relevant Legislation, Standards, Policies, and Guidance .....	12

## 1 Overview

The organisation collects and uses a wide range of information for many different purposes. As such, information is a vital asset that the organisation is reliant on, both for the provision and for the efficient management of services and resources. It is essential that there is a robust information governance management framework and policies to ensure that information is effectively managed and that the risks of loss of information confidentiality, integrity and availability are reduced.

The objectives of Information Governance are specifically:

**Legal Compliance.** To achieve the necessary balance between openness and security by complying with the relevant legislative requirements, **thereby protecting individuals, the council and its employees.**

**Information Security.** To apply security measures that are appropriate to the contents of the information.

**Information and Records Management.** To ensure that the creation, storage, movement, archiving and disposal of information and records is properly managed.

**Information Quality.** To support the provision of quality service delivery by the availability of quality information.

**Information Sharing.** To ensure that information can be effectively shared internally and between partner organisations while complying with the law and best practice standards.

**Awareness and Guidance.** To develop support arrangements which provide employees with awareness training and access to information governance policies and guidance.

## 2 Purpose

The purpose of this document is to set out the Information Governance Policy, including the Information Governance Management Framework, for West Lindsey District Council (“the Council”). It demonstrates management commitment to having in place sound information governance arrangements, gives clear direction to managers and staff, and will ensure that legal requirements and best practice standards are met.

## 3 Scope

This policy, framework and supporting policies apply to:

All data, information and records owned by the Council, but also including those held by contractors or partner organisations.

It applies to any information that is owned by other organisations, but may be accessed and used by Council employees, where there is no specific information sharing agreement in place.

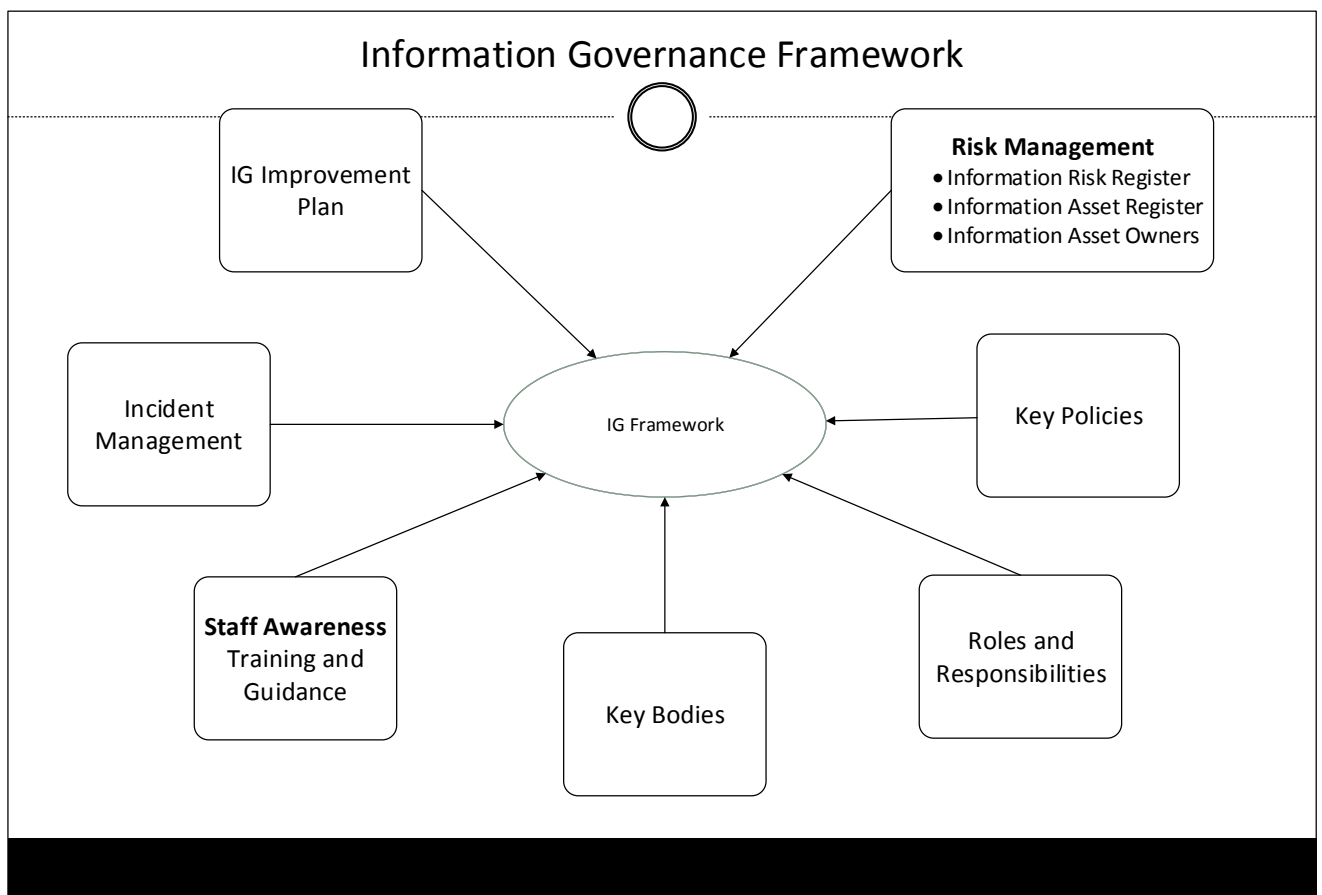
Information in whatever storage format and however transmitted (i.e. paper, voice, photo, video, audio or any digital format).

All employees of the council, and also council members, temporary workers, volunteers, student placements etc.

The employees of any other organisations having access to Council information; for example, auditors, contractors, and other partner agencies where there is no specific information sharing agreement in place.

## 4 Policy

### 4.1 The Information Governance Management Framework



#### 4.1.1 Risk Management

It is important that information risks are acknowledged, documented, assessed and managed through the Council risk management arrangements. This puts information governance on the same footing as other corporate governance areas, and is reflected in its importance in the Senior Information Risk Owner's (SIRO) role.

### **4.1.2 Key Policies**

An effective information governance structure is dependent on having key policies in place that cover 3 areas:

#### **Information Compliance**

Information Compliance is primarily concerned with the governance around, and the laws relating to, an organisation's information. It is also concerned with making sure information is of good quality and is properly and legally shared both internally and externally. The Council will make sure that there is:

- a. An Information Governance Policy (this document) to set out a framework to manage its information governance responsibilities;
- b. A Legal Responsibilities Policy to set out the main information-related legislation and the individual and collective responsibilities arising from it;
- c. An Information Sharing Policy to cover any sharing of personal or confidential information with partner agencies or involving individual large transfers of such information. This Policy will make sure that an information sharing agreement based on a Council information sharing standard is in place and will set out the expected process and the standards of security and information handling.

#### **Information Rights**

The main legislation applying to information rights is the Data Protection Act 2018, the Freedom of Information Act 2000, the Environmental Information Regulations 2004 and the UK GDPR. In addition, Common Law has established a "duty of confidence" requiring us to keep other categories of information such as intellectual property confidential. In order to make sure that the requirements of information law are covered there will be:

- a. A Data Protection Policy setting out the eight principles that all users of Council information must be aware of and adhere to. The principles specify how personal information and sensitive personal information must be collected and managed to ensure the fair treatment of individuals and their personal information within the rights that are given under the Act. The Act gives individuals the right to access their personal information. There are potentially severe penalties for any breach of the data protection principles.
- b. A Data Protection Breach Policy detailing the actions we will take in the event of a security breach involving personal information covered by the Data Protection Act.
- c. A Freedom of Information Policy that sets out the Council's policy with respect to The Freedom of Information Act (FOI) which gives any individual the right of access to information held by the organisation. This is subject to some exemptions, most notably for personal information, as

defined by the DPA. To comply with the law the Council must respond to any such request within 20 working days; and

- d. A Records Management Policy to make sure that information and records are effectively managed, and that the Council can meet its information governance objectives and which sets out the Council's standards for handling information during each phase of the information lifecycle; creation, use, semi-active use, and final outcome.

## **Information Security**

Information security is concerned with the confidentiality, integrity and availability of information in any format. This is an important and challenging area since new technologies are changing both the way we work and how we expect to access and use information. The Council's reliance on information is so great that difficulties in this area could severely impact on our ability to deliver services. Consequently, there will be an Information Security Policy of which the IT team will be responsible for with supporting policies and guidance that will comply with the law, best practice and any current certification standards.

Other relevant policies and guidance are listed at Para 6.

### **4.1.3 Information Governance Roles**

These are the Senior Information Risk Owner, the Data Protection Officer, the Information Governance Officer, and the Information Asset Owners.

#### **The Senior Information Risk Owner (SIRO)**

The SIRO will be a member of the corporate leadership team, with an understanding how the strategic business goals of the organisation may be impacted by information risks.

Key tasks are to:

- Make sure that information risks are fully recognised in corporate risk registers;
- Take overall ownership of the risk assessment process for information risk, including review of an annual information risk assessment
- Review and agree action in respect of identified information risks;
- Make sure that the organisation's approach to information risk is effective in terms of resource, commitment and execution and that this is communicated to all staff;
- Provide a focal point for the resolution and/or discussion of information risk issues; and
- Make sure the corporate leadership team is adequately briefed on information risk issues.

## **The Data Protection Officer (DPO)**

The role of the Data Protection Officer is laid out in Articles 38 and Articles 39 of the UK GDPR. The Data Protect Officer shall have at least the following tasks:

- To inform and advise the controller or the processor and the employees who carry out processing of their obligations pursuant to the UK GDPR and to other Union or Member State data protection provisions;
- To monitor compliance with this Regulation, with other Union or Member State data protection provisions and with the policies of the controller or processor in relation to the protection of personal data, including the assignment of responsibilities, awareness-raising and training of staff involved in processing operations, and the related audits;
- To provide advice where requested as regards the data protection impact assessment and monitor its performance pursuant to Article 35;
- To cooperate with the supervisory authority;
- To act as the contact point for the supervisory authority on issues relating to processing, including the prior consultation referred to in Article 36, and to consult, where appropriate, with regard to any other matters.

## **The Information Governance Officer (IGO)**

The IGO will act as the Information Governance Lead and co-ordinate the information governance work programme. The IGO will be accountable for ensuring effective management, accountability, compliance and assurance for all aspects of information governance and will provide a focal point for the resolution and/or discussion of information governance issues.

Key tasks are to:

- Provide direction in formulating, establishing, promoting and maintaining the policies and documentation that demonstrate commitment to and ownership of information governance responsibilities;
- Make sure that there is top level awareness and support for information governance resourcing and implementation of improvements;
- Make sure that the approach to information handling is communicated to all staff, made available to the public, and monitored to ensure compliance;
- Make sure that appropriate training is made available to staff and completed as necessary to support their duties;
- Establish working groups, if necessary, to co-ordinate the activities of staff given information governance responsibilities and progress initiatives;

- Make sure annual assessments and audits of information governance policies and arrangements are carried out, documented and reported; and
- Make sure that the annual assessment and improvement plans are prepared for approval by the senior level of management.

### **Information Asset Owners (IAO)**

The Information Asset Owners will be senior members of staff who are the nominated owners for one or more identified information assets of the Council. It is a core information governance objective that all information assets of the Council are identified and that their business importance is established.

The role of Information Asset Owners is to:

- Identify and document the scope and importance of all Information Assets they own. This will include identifying all information necessary in order to respond to incidents or recover from a disaster affecting the Information Asset;
- Take ownership of their local asset control, risk assessment and management processes for the information assets they own. This includes the identification, review and prioritisation of perceived risks and oversight of actions agreed to mitigate those risks;
- Provide support to the SIRO and the Corporate Information Governance Group (CIGG) to maintain their awareness of the risks to all information assets that are owned by the organisation and for the organisation's overall risk reporting requirements and procedures;
- Make sure that staff and relevant others are aware of and comply with expected information governance working practices for the effective use of owned Information Assets. This includes records of the information disclosed from an asset where this is permitted.
- Provide a focal point for the resolution and/or discussion of risk issues affecting their Information Assets;
- Make sure that the Council's information security requirements are applied to their information assets;
- Foster an effective information governance and security culture for staff and others who access or use the information assets to ensure individual responsibilities are understood, and that good working practices are adopted in accordance with Council Policy; and
- Set out local procedures that are consistent with corporate information security policies and guidelines.

### **Specialist Supporting Roles and Knowledge**



There will be trained staff with specialist knowledge both to support the senior information roles, and to provide staff and managers with specific advice about the policies and guidance. The specialist knowledge covers information law (Data Protection and Freedom of Information Acts), information security, data quality, information and records management.

## **Managers**

All managers will make sure that:

- The requirements of the information governance policy framework, its supporting policies and guidance are built into local procedures;
- That there is compliance with all relevant information governance policies within their area of responsibility;
- Information governance issues are identified and resolved whenever there are changes to services or procedures; and
- Their staff are properly supported to meet the requirements of information governance and security policies and guidance, by ensuring that they are aware of:
  - The policies and guidance that apply to their work area;
  - Their responsibility for the information that they use; and
  - Where to get advice on security issues and how to report suspected security incidents.

## **All Staff**

All staff are responsible for:

- Making sure that they comply with all information governance policies and information security policies and procedures that are relevant to their service and consulting their manager if in doubt.
- Seeking further advice if they are uncertain how to proceed.
- Reporting suspected information security incidents.

### **4.1.4 Key Bodies**

#### **Corporate Information Governance Group (CIGG)**

The CIGG is chaired by the Council's Senior Information Risk Owner (SIRO) and comprises the information specialists from across all service areas who can share knowledge and experience where necessary. The group has a pivotal and central role in ensuring that Information Governance is effectively communicated and managed and across the organisation.

## **Corporate Leadership Team (CLT)**

CLT comprises the Council's Chief Executive, Directors and Monitoring Officer and is responsible for:

- the leadership, development and organisation of the Authority;
- the stewardship of Authority assets;
- the development and delivery of the Authority's policies;
- the service provided by the Authority; and
- Corporate Governance and oversight of the Authority's resources.

## **Service Leadership Team (SLT)**

The Strategic Leadership Team (SLT) is a key part of the management of the council. SLT reports to the Corporate Leadership Team and its primary function is to ensure that council services are delivered efficiently, effectively and economically and are aligned to the delivery of the council's Corporate Plan.

## **Governance and Audit Committee**

The Governance and Audit Committee is responsible amongst other things for:

- Reviewing the adequacy of the Council's corporate governance arrangements (including matters such as internal control and risk management) and approving the annual governance statement.

## **Joint Staff Consultative Committee (JSCC)**

The JSCC is a committee involving Councillors and employee representatives and is supported and advised by appropriate officers depending on the topics that are under consideration. The group meet regularly and are responsible for:

- Establishing regular methods of communication and negotiation between the Council and employees in order to prevent differences.
- Considering and advising on any relevant matter referred to it by any committee of the Council or by any of the employee groups.

Making recommendations to the Policy and Resources Committee as to the adoption of policies affecting employee interests (except those relating to the terms and conditions).

## **Corporate Policy and Resources Committee**

The principal committee of the Council responsible for (amongst other things not relevant to this policy):

- The adoption and approval of strategies and policies not forming part of the Policy Framework apart from those policies for which delegated power is given to the Chief Executive to approve under Part IV of the Constitution.

#### **4.1.5 Staff Awareness**

- Staff awareness is a key issue in achieving both compliance with information governance policies and the improvements required by the improvement plan. Accordingly there will be:
- Mandatory base line training in key information governance competencies for all staff who have not received any recent relevant training as well as for all new starters;
- Additional training for all employees routinely handling 'sensitive personal information', as defined by the DPA 1998;
- All information governance policies and guidance to be available on Minerva; and,
- Staff with specialist knowledge available to provide advice across the full range of information governance areas.

#### **4.1.6 Information Security Incident Management**

There will be an information security incident management policy and procedures that set out how incidents will be reported and managed. The results of incident investigations will be reported to the CIGG by the IT Manager and from there feed into risk management and the information governance improvement plan.

## **5 Policy Compliance**

### **5.1 Compliance Measurement**

The Council will regularly review its organisational and technological processes to ensure compliance with this Policy and the relevant legislation.

Where there are particular compliance measurements, such as those required by the Data Protection Act 2018 and the Freedom of Information Act 2000 and Environmental Information Regulations 2004, these are detailed in the Council's relevant Policies.

All Policies and procedures relating to information management will be subject to scrutiny by the Joint Staff Consultative Committee (JSCC) and the Corporate Policy and Resources Committee (CP&R) and by the Governance and Audit Committee through its Annual Governance Statement monitoring activities.

## **5.2 Non-Compliance**

Non-compliance with this Policy could have a significant effect on the efficient operation of the Council and may result in financial loss and an inability to provide necessary services to our customers.

## **5.3 Policy Review**

This Policy will be reviewed every three years by the IGO, CIGG, JSCC and CP&R and updated in the interim as required.

# **6 Relevant Legislation, Standards, Policies, and Guidance**

The primary legislation governing the Council's information management activities is described in the Legal Responsibilities Policy.



**Corporate Policy and Resources**

**16 December 2021**

**Subject: Information Classification and Handling Policy**

Report by:

Director of Corporate Services and Monitoring Officer

Contact Officer:

John Bingham  
Assistant Data Protection and Freedom of Information Officer

John.Bingham@west-lindsey.gov.uk

Purpose / Summary:

The purpose of this document is to define the policies and standards that will be applied to maintain the confidentiality, integrity and availability of the information systems supporting the business functions of the council.

**RECOMMENDATION(S):**

**CP&R approve the Information Classification and Handling Policy for formal adoption.**

**Agree that any future housekeeping amendments can be delegated to the Chief Executive in consultation with the Chairs of the JSCC and CP&R.**

## IMPLICATIONS

### Legal:

(N.B.) Where there are legal implications the report **MUST** be seen by the MO

### Financial : FIN/110/22/SL

There are no financial implications arising from this report.

(N.B.) All committee reports **MUST** have a Fin Ref

### Staffing :

(N.B.) Where there are staffing implications the report **MUST** have a HR Ref

### Equality and Diversity including Human Rights :

*NB: Please explain how you have considered the policy's impact on different groups (for example: young people, elderly, ethnic minorities, LGBT community, rural residents, disabled, others).*

### Data Protection Implications :

### Climate Related Risks and Opportunities:

### Section 17 Crime and Disorder Considerations:

### Health Implications:

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

*Wherever possible please provide a hyperlink to the background paper/s*

*If a document is confidential and not for public viewing it should not be listed.*

### Risk Assessment :

**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**

## Changes to Policy:

The changes made to the Information Classification and Handling Policy are list below:

New cover page – To comply with the current WL corporate templates

3.3 Update policies – The list of policies at part 3.3 has been updated to reflect that which is relevant to WL now.

4.1 Update policy responsibilities – Include the location for breach reporting through the WL system.

4.6 include additional CIGG responsibility (Corporate Information Governance Group) being the review of DP policies prior to JSCC and CP&R

10.1 Minor update to sentence

12.4.1 Update footer of policy to comply

12.7.2 Change of policy name and wording

12.7.3 Change of policy and wording

13.1 Sentence ended half way, remove additional words, still made reference to a different council, I have changed this to reflect WL, policy was last updated a couple of years ago so should not contain any information regarding other authorities.

13.3 include WL specific information – The policy made reference to another local authority and the information contained within was relevant to said 3<sup>rd</sup> party authority.

17.5 Change to policy name – Incorrect Policy was listed.

21.1 Remove old policy information and improve description – Description did not fully explain the requirements of security for third party access.

22.1 Change to policy name

22.3 Change to policy name

28.1 Minor Grammatical/punctuation correction (others throughout document)



# Information Classification and Handling Policy

Information Governance Policy

## Contents

1	Aims of the policy.....	2
2	Scope and definitions .....	2
3	Other considerations and references.....	3
4	Responsibilities under this policy .....	3
5	Accountability for assets .....	5
6	Legislation .....	5
7	Confidentiality agreements .....	5
8	Acceptable use .....	6
9	Documents and records management.....	6
10	Transmitting and receiving information assets .....	6
11	Security of information assets off premises .....	6
12	Classification of information.....	7
13	Confidential Waste .....	11
14	Information Sharing Protocols .....	13
15	E-mail .....	14
16	User Access Management .....	14
17	Password Use .....	14
18	Unattended User Equipment .....	15
19	Legislative Requirements .....	15
20	Clear Desk and Clear Screen Policy .....	15
21	Third Party Access .....	15
22	Logging into/accessing Council systems .....	15
23	Reporting an Information Security Weakness, Threat, Event or Incident .....	16
24	Intellectual Property.....	16
25	Software Licencing .....	16
26	Mobile Computing and Communications .....	17
27	Remote Working.....	17
28	Reporting of Malfunctions.....	17
29	Removal of Property.....	17
30	Policy Compliance .....	18
31	Exceptions.....	18
32	Penalties.....	19
33	Policy Review .....	20

## **1 Aims of the policy**

- 1.1 Information is a valuable asset and aids a local authority to carry out its legal and statutory functions. The information that West Lindsey District Council (WLDC) processes can be highly confidential and very personal and therefore the Council has a legal duty to take care of it. Like any other strategic asset, information must be protected appropriately depending on the level of sensitivity of the information.
- 1.2 The purpose of this document is to define the policies and standards that will be applied to maintain the confidentiality, integrity and availability of the information systems supporting the business functions of the council.
- 1.3 This policy provides direction and support for the implementation of information security and is designed to help council employees carry out the business of the council in a secure manner. By complying with this policy, the risks facing the council are minimised.
- 1.4 Anyone who uses the council's systems should be made aware of and be expected to comply with this policy and need to understand that the council has a responsibility to ensure that staff must be cleared and trained to handle protectively-marked information.
- 1.5 The policy is not designed to be obstructive. If you believe that any element of this policy hinders or prevents you from carrying out your duties, please contact the council's Shared ICT Service Desk.

## **2 Scope and definitions**

- 2.1 This policy applies to all employees, contractors, agents and representatives and temporary staff working for or on behalf of the council.
- 2.2 The policy is also applicable to councillors who create records in their capacity as representative of the council. When councillors create records when acting as representatives of a resident in their ward they are recommended to apply the policy, but officers should consider whether it has been correctly applied on receipt of a councillor's enquiry. It does not apply to those records councillors create when acting as a representative of a political party.
- 2.3 The above groups will be referred to as "users" for the remainder of this document.
- 2.4 Persons whose information is being used are referred to as "data subjects". A user can also be a data subject.
- 2.5 Partner organisations / third parties who access the council's information systems should also be aware of this policy and adhere to it when accessing council information systems.

- 2.6 This policy applies to all information created or held by the council, in whatever format (e.g. paper, electronic, email, microfiche, film) and however it is stored, (for example ICT system/database, network drive folders, email, filing cabinet, shelving and personal filing drawers) as well as that communicated verbally if recorded. These will be referred to in this document as Information Assets. The persons responsible for managing, using or creating these will be designated as Information Asset Owners (IAO). All information assets must have an owner.

### **3 Other considerations and references**

- 3.1 The retention and disposal of information assets is in many instances a legal requirement, but we must also remember those that follow after us and decide what records must be kept for historians. This does not mean that all information must be retained forever, since the majority will not be looked at and we do not have the capacity to store it.
- 3.2 Responsibilities must therefore also be assigned to ensure that information assets are stored on a suitable medium and retained or destroyed in accordance with the council's Retention and Disposal Schedule.
- 3.3 The following documents should be read in conjunction with this policy:
- Acceptable Use Policy
  - IT Access Policy
  - Officer Code of Conduct
  - Records Management Policy
  - Data Protection Policy
  - Freedom of Information and Environmental Information Policy
  - Specific Departmental Records Management Policies
  - Register of Information Sharing Protocols and information assets
  - Contracts, Service Level Agreements and Data sharing Agreements The above documents are available online.

### **4 Responsibilities under this policy**

- 4.1 All users are responsible for:
- Adhering to Council policies and processes;
  - Ensuring that they maintain the confidentiality of information assets disclosed to them as part of their duties;
  - Reporting information security incidents to the WLDC service desk they become aware of, including those caused by themselves, on the main Minerva page Data breaches can be reported using the quick links area. WLDC operates a data protection breach policy for reported information security incidents in a similar manner to whistleblowing policy.
- 4.2 All managers are responsible for:
- Authorising the publication of council data or information

- Approving exchange agreements with third parties
- Approving acceptable risks following risk assessment
- Authorising access to council information systems
- Reviewing access rights for users for whom they are responsible at least quarterly
- Ensuring that contingency plans and recovery procedures are in place to recover their business and operational processes
- Ensuring that their team members comply with the council's policies.

#### 4.3 Information Asset Owners and Authors are responsible for:

- Understanding what information is held and how it is used
- Determining the business requirements for the use of the information and signing them off
- Defining the classification/protective marking of the information asset
- Maintaining in conjunction with the Information Security Team the asset inventory including Data Protection Impact Assessments, risk registers for the information assets and all information required for compliance with the current data protection law.
- Specifying who has access - access may be given according to 'need to know' or role based
- Defining information sharing agreements and data interchange agreements
- Authorising changes in use of assets, following consultation with the Data Protection Officer whose advice must be recorded and, if disagreed with, reasons for disagreement recorded and justified
- Specifying back up and business continuity requirements
- Ensuring information is retained in accordance with policy and legislation
- Advising system administrators of access requirements
- Periodically reviewing users' access rights to ensure they meet business requirements, at least quarterly
- Ensuring information asset disposal is correctly carried out at the right times.
- Taking part in information asset and control audits

#### 4.4 System administrators are (where appropriate) responsible for:

- Managing / reviewing / analysing fault calls / issues
- Administering access to council information systems
- Reviewing / analysing system security logs
- Identifying information security breaches and weaknesses
- Ensuring that housekeeping, especially data backup schedules are in place and taken on a regular basis

#### 4.5 The Shared ICT Service Desk is responsible for:

- Managing / reviewing / analysing security breaches
- Reviewing / analysing network logs for potential / actual threats to information assets

- Maintaining threat intelligence and advising others on actions needed

4.6 The Corporate Information Governance Group is responsible for:

- Acting upon reports of information security incidents
- Raising with the Senior Information Risk Owner areas of concern where it believes information asset handling could create threats to the council or data subjects.
- Review and discuss changes to an information policies prior to publication.

## **5 Accountability for assets**

5.1 All information and information assets will be identified and an owner assigned. Owners of information assets may delegate their security authority (power to act) to individual user managers or service providers, but they remain ultimately accountable for ensuring the adequate security protection for the information assets maintained.

5.2 A list of information assets will be drawn up and maintained by Information Asset Owners. This inventory must be accessible to all staff. The Information Asset Owners must update the inventory annually, and when any new data use is undertaken. The inventory should contain all information required by the data protection law. This will ensure effective asset protection takes place and can be used by other business processes such as health and safety and for insurance purposes.

5.3 Information asset owners must be identified for each information asset used within the Council. Accountability to an identified owner helps to ensure appropriate protection is maintained. The owner may delegate responsibility for the implementation of controls, however, accountability for the implementation of controls and their enforcement will stay with the owner at all times.

## **6 Legislation**

6.1 All users who operate council information systems must comply with all UK information legislation and in particular the council's Data Protection Policy and be aware of any legislation pertinent to their own service area.

## **7 Confidentiality agreements**

7.1 All users will be required to sign that they have read and understood the council's Code of Conduct or a confidentiality / non-disclosure agreement prior to commencement of work with the council, dependent on status. These agreements identify the requirement for confidentiality whilst employed with the council, and include:

- A definition of the information to be protected (e.g. confidential information)
- Expected duration of an agreement, including cases where confidentiality

- might need to be maintained indefinitely
- Required actions when an agreement is terminated
- Responsibilities and actions of signatories to avoid unauthorised disclosure
- Ownership of information, intellectual property rights and how this relates to the protection of confidential information
- The permitted use of confidential information
- The right to audit and monitor activities that involve confidential information
- Process for notification and reporting of unauthorised disclosure or confidential information breaches
- Terms for information to be returned or destroyed and agreement cessation, and expected actions to be taken in case of a breach of agreement

## **8 Acceptable use**

8.1 To ensure that all information is protected, an Acceptable Use Policy has been established. All users are required to comply with this policy.

## **9 Documents and records management**

9.1 Documents and records are another term for Information Assets.

9.2 There is a separate Records Management Policy updated by a senior systems development officer giving high-level strategic goals which this policy implements.

## **10 Transmitting and receiving information assets**

10.1 Resources may be used to exchange information with customers and other third parties provided that:

- The risk has been assessed by the CIGG, FOIA for all Data Requests under the relevant legislation and/or the DPO if required and any significant change to the overall profile approved.
- Any additional controls demanded by organisations under data sharing agreements are implemented.

10.2 Users must comply with relevant legislation and data sharing agreements when transmitting information. Where necessary, users must:

- Not transmit data to 3rd parties without a valid Data Processing Agreement or Information Sharing Agreement.

## **11 Security of information assets off premises**

11.1 Information assets which are held for home or mobile working or are transported away from normal work location must be carefully protected.

- 11.2 Home working controls should be determined by a risk assessment and suitable controls applied as appropriate. Adequate insurance cover should be in place to protect equipment off site. See also the Council's Acceptable Use and BYOD Policies.
- 11.3 All reasonable precautions must be taken to safeguard Council equipment and paper when outside the office.
- 11.4 Laptops and tablet devices are vulnerable to theft, loss or unauthorised access when travelling. They should be provided with an appropriate form of access protection to prevent unauthorised access to their contents.
- 11.5 If it should become necessary to leave an information asset in an unattended vehicle, lock the asset securely in the boot of the vehicle.
- 11.6 Paper files must be carried in a way that does not allow others to read them, and should never be left unattended. If kept at home, this must be in a secure locked cabinet to which only council officers have access.
- 11.7 Devices in use in public spaces should have precautions to avoid information leakage via people reading over shoulders or via interception of WiFi.
- 11.8 Any loss or theft of equipment or paper must be reported to the ICT Service Desk (see front page) as soon as possible and in any case within 24 hours. Additionally, any theft should be report to the police and a crime reference number obtained.

## **12 Classification of information**

### **12.1 Introduction to classification**

- 12.1.1 Asset classification and control is an essential requirement, which will ensure the Confidentiality, Integrity and Availability of information used by the council. An information classification system is used to define appropriate protection levels and to communicate the need for special handling measures. Each information asset is classified to indicate its sensitivity and to identify the controls required to protect it.
- 12.1.2 The current Government Security Classification Policy (GCSP) came into effect on 2nd April 2014 and was last updated on 21 May 2018 and replaced the old Government Protective Marking Scheme (GPMS) that was in place prior to that date.
- 12.1.3 The aim of the classification scheme is to provide a more straightforward, proportionate and risk managed approach to the way that the public sector classifies and protects information, with more onus on users taking individual responsibility for the information they manage.
- 12.1.4 The council has adopted the government's information classification scheme which requires only one level of classification for all council



information in conjunction with a number of handling qualifiers.

12.1.5 The scheme is widely used by government, local authorities and statutory agencies so that there is a common understanding across organisations as to how information needs to be protected.

## **12.2 Classification Guidelines**

12.2.1 ALL information that the council needs to collect, store, process, generate or share to deliver services and conduct Council business has intrinsic value and requires an appropriate degree of protection, whether in transit, at rest or whilst being processed.

12.2.2 Information classification or protective marking of information assets are used to:

- Determine the level of protection needed for the data
- Indicate that level of protection to other people
- Establish a consistent approach to ensuring that data is appropriately protected.

12.2.3 Classification and protective information controls are established to meet with the council's need for sharing or restricting information. Information classification and their protective controls will be suited to the business need for sharing or restricting information and the business impact associated with such a need.

12.2.4 Classified data will be reviewed on a regular basis to assess if the security control is appropriate. The level of criticality of information assets will change due to changes in circumstances and / or expiry of legal retention periods.

## **12.3 The Council's Classification Scheme**

12.3.1 The current government classification scheme has three levels of classification. These are TOP SECRET, SECRET and OFFICIAL.

12.3.2 The council will only be using the OFFICIAL classification. However, the OFFICIAL classification also includes a handling caveat of OFFICIAL-SENSITIVE in order to identify information that should only be available on a strictly need to know basis and may need additional measures of protection. These classifications should be applied to all information including emails, paper documents, electronic documents, systems etc.

12.3.3 All council information will be classified as OFFICIAL unless there are specific handling requirements.

12.3.4 For OFFICIAL – SENSITIVE data common sense handling is required; extra care must be taken with storage and sharing. As this is a broad category and there will be variety of handling instructions associated with this information, the Council is introducing sub-categories that give clear guidance on access arrangements for the information.

12.3.5 The complete list of protective markings and handling requirements for use is given below:

Classification Marking	Uses
OFFICIAL	Not covered under other categories and no special handling needed
OFFICIAL - SENSITIVE	Common sense handling required, extra care must be taken with storage and sharing. Encryption will be automatically applied externally on email.
OFFICIAL - SENSITIVE [PERSONAL]	As Official - Sensitive, contains information relating to individuals.
OFFICIAL - SENSITIVE [COMMERCIAL]	As Official - Sensitive, contains information with commercial implications.
OFFICIAL - SENSITIVE [MEMBERS]	As Official - Sensitive, contains information for Members and involved officers only. Cannot be sent externally.
OFFICIAL - SENSITIVE [LEGAL]	As Official - Sensitive, contains information with sensitive legal advice.

12.3.6 Any information that is not marked will be assumed to be OFFICIAL.

12.3.7 The OFFICIAL-SENSITIVE caveat should be used at the discretion of staff depending on the subject area, context and any statutory or regulatory requirements where it is particularly important to enforce the need to know rules.

12.3.8 However, the caveat should be used by exception in limited circumstances where there is a clear and justifiable requirement to reinforce the 'need to know' as compromise or loss could have severe and damaging consequences for an individual (or group of individuals), another organisation or the council more generally. This might include, but is not limited to the following types of information:

- The most sensitive corporate or operational information, e.g. relating to organisational change planning, contentious negotiations, or major security or business continuity issues;
- policy development and advice to members/Management Team on contentious and very sensitive issues;
- commercial or market sensitive information, including that subject to statutory or regulatory obligations, that may be damaging to the council or to a commercial partner if improperly accessed;
- Information about investigations and civil or criminal proceedings that could compromise public protection or enforcement activities, or prejudice court cases;
- more sensitive information about security assets or equipment that

- could damage capabilities or effectiveness;
- very sensitive personal data that would be extremely damaging to an individual if lost or compromised, e.g. child protection cases, HR compromise agreements; and
- Government data where they have defined it as OFFICIAL-SENSITIVE and insist on strict sharing protocols

12.3.9 OFFICIAL-SENSITIVE data cannot be shared externally except through an approved secure email system / secure network or appropriate data encryption and password protection and should be accompanied by a defined distribution list. Data sharing with external organisations must be in line with corporate data sharing agreements or contract terms.

12.3.10 Where large volumes of OFFICIAL-SENSITIVE information about particular topics are regularly shared between organisations, the respective information asset owners will need to agree specific handling arrangements and transfer protocols in line with the policy.

12.3.11 A classification of OFFICIAL-SENSITIVE does not necessarily exempt the information from a Freedom of Information Act request but it should prompt you to consider if an exemption applies.

12.3.12 On creation, all information assets must be assessed and classified by the owner according to their content. All information assets must be classified and labelled in accordance with this policy.

## 12.4 Information Labelling and Handling Procedure

12.4.1 A set of procedures is defined for information labelling and handling in accordance with the classification scheme adopted by the council. All documents must be issued under version control with the file name and revision number and number of pages displayed in the footer. Where appropriate, the document will also contain its security classification and distribution list.

## 12.5 Key Principles for all Protectively Marked material

12.5.1 The key principles for protectively marked material are as follows:

- Access is granted on a genuine 'need to know' basis.
- Assets must be clearly and conspicuously marked. Where this is not practical (for example the asset is a building, computer etc.) staff must still have the appropriate personnel security control and be made aware of the protection and controls required.
- Only the author or designated information owner can protectively mark an asset. Any change to the protective marking requires the author or information owner's permission. If they cannot be traced, a marking may be changed, but only by consensus with other key recipients.
- A file, or group of protectively marked documents or assets, must carry the protective marking of the highest marked document or asset

contained within it (e.g. a file containing OFFICIAL and OFFICIAL - SENSITIVE material must be marked OFFICIAL - SENSITIVE).

- All data copied on removable media, (USB Flash memory, CD, etc.) must be encrypted; permission must be obtained from the information owner / author before copying and formally recorded e.g. via email.

## **12.6 Enforcement Monitoring**

12.6.1 Monitoring of the policies is the responsibility of all managers as part of their management role. Internal and External Audit may undertake reviews on a planned and ad-hoc basis as part of the audit plan as agreed by the Management Team.

## **12.7 Information Security Incidents**

12.7.1 The Council has a responsibility to monitor all incidents that occur within the organisation that may breach the security and/or the confidentiality of its information. All incidents need to be identified, reported, investigated and monitored. It is only by adopting this approach that the council can learn from mistakes and prevent losses re-occurring.

12.7.2 The Council has developed and implemented a Data Protection Breach Policy, you should ensure that you read and understand both the policy and your responsibilities under the reporting process. In all cases you should follow the Data Breach Reporting Procedure.

12.7.3 The Council also needs to take action where potential incidents are identified. Where 'near misses' occur, these should be reported to your line manager and a local decision taken as to whether the cause of the 'near miss' is one which could involve the enhancement of the policy or the process. In all cases you should follow the Data Breach Reporting Procedure.

## **13 Confidential Waste**

### **13.1 Summary of handling requirements for confidential waste**

- Any Electronic Devices no longer required or faulty must be returned to the ICT Service desk.
- OFFICIAL-SENSITIVE paper material must be disposed of in confidential waste bins
- Paper copies of OFFICIAL-SENSITIVE material to be disposed of through standard paper waste must be shredded using a cross-cut (dicing) shredder or placed in the confidential waste bins provided. Shredders must cut to a maximum size of 5mm wide and 42mm long
- All staff shall segregate paper waste from the general waste stream at source and place in recycling bin if not OFFICIAL-SENSITIVE, otherwise OFFICIAL-SENSITIVE paper waste must be shredded as described above or places in the confidential waste bins. Do not overfill the waste bins – If the confidential waste bins are full near to the top then the contents can be accessed.

- Staff working from home or at a place where confidential paper waste facilities are not available, should retain their paper waste and bring back to office for disposal as above.
- Document Managers shall store their documents securely and ensure the disposal at the end of life is carried out using the correct procedures, be that securely removing from the system or using the confidential waste bins in the guildhall.

### 13.2 Paper Waste Handling

All paper documents including MFD (Multi Function Device) jams of blank paper, out of date letterheads, printed forms, can be placed in the recycle waste, on condition they are torn up, ensuring that they cannot later be removed and used inappropriately.

Paper confidential waste must be placed in either locked confidential waste bins, or shredded and placed in paper recycling. Prior to placing in confidential waste bins the paper must have all staples, paper clips and binders removed.

The use of shredders is permitted. Any shredders purchased should be 'cross cut', with a maximum shred size of 5mm x 42mm. Shredded paper should be placed in paper waste sacks for recycling disposal.

### 13.3 IT Waste Handling – Specific to IT specialists

Removable Media (Floppy disks, CD's, DVD's Videos, Cassettes)

Removable Media requiring disposal should be passed to the ICT Helpdesk. Staff must raise a call to arrange disposal.

Other IT Equipment

The disposal of all other IT equipment e.g. PC's, printers is to be dealt with by the ICT department. Staff must raise a call to arrange disposal.

Erasure Procedure for Disposal of IT Waste.

As there is no current UK standard for erasure following the deprecation of HMG Infosec standard 5, Media which is to be reused rather than destroyed should be erased following SP 800-88 .

Note that older methods as specified by Infosec Standard 5 using multiple overwrites etc., are no longer applicable to modern technologies, especially solid state drives where wear levelling and relocation prevent complete erasure. This may present challenges with third parties using out of date policies, who may insist on inappropriate methods.

Data that is regarded as OFFICIAL – SENSITIVE and not subject to other controls should be erased via CLEAR procedures. This should cover most data on West Lindsey systems. Where data shared with West Lindsey District

Council is subject to higher security requirements, general PURGE is sufficient.

Whilst reference needs to be made to the latest destruction requirements in FIPS SP 800-88, at the time of writing:

- Android and Windows phones, tablets with encryption for CLEAR – full factory reset performs a suitable Cryptographic Erase (CE). For PURGE destruction is recommended.
- iOS phones, tablets and unencrypted phones for CLEAR – manual erasure of all data followed by full factory reset. For PURGE destruction is recommended.
- Unencrypted ATA, SATA, NVM and SCSI drives for CLEAR and PURGE – use the built-in erase commands where supported and verify; if not supported single pass overwrite with zeros if drive is over 15Gb. Below 15Gb destruction is recommended for PURGE, two-pass overwrite with pattern and complement is recommended for drives <15
- Encrypted drives for CLEAR and PURGE – Cryptographic Erase (CE).
- Sanitised destruction of encryption keys.

The process is as follows:

- Manually enter the BIOS and clear the Trusted Platform Module (TPM)
- Wipe the Recovery Key for the specific device from Active Directory (AD) and Microsoft BitLocker Administration and Monitoring (MBAM).

Note: WLDC uses Microsoft BitLocker as a trustworthy technology (Latest status of NIST validation can be checked here [Cryptographic Module Validation Program](#)).

- USB Media, memory cards for CLEAR and PURGE – two-pass overwrite with pattern and complement.

For all completed cases of Clear, Purge or Destroy; appropriate evidence will be kept by LBE Functional Tower involved.

For any device or media type not mentioned above the minimum recommended sanitization techniques to Clear, Purge, or Destroy will follow the recommendation in Appendix A of SP 800-88.

## 14 Information Sharing Protocols

- 14.1 Before information is shared with other organisations, an information sharing protocol/exchange agreements between the council and the other organisation(s) should be in place. These agreements must include IT staff in their creation and be recorded in the Register of Information Sharing Protocols.

14.2 The council has adopted a three tier protocol model. The following security controls should be considered within the operational instructions section of any protocol:

- Management responsibilities for controlling and notifying transmission, despatch, and receipt
- Procedures for notifying sender of transmission, despatch and receipt
- Responsibilities and liabilities in the event of information security incidents, such as loss of data
- Use of an agreed labelling system for sensitive or critical information, ensuring that the meaning of the labels is immediately understood and that the information is appropriately protected
- Ownership and responsibilities for data protection, copyright, software license compliance and similar considerations
- Technical standards for recording and reading information and software

## **15 E-mail**

15.1 All e-mail sent to external organisations or individuals shall have a standard council disclaimer automatically attached to it. The disclaimer shall state that the information enclosed in the e-mail and any attachment(s) is for the designated recipient only and that access, reproduction, dissemination or use of the information by another other person is not permitted.

## **16 User Access Management**

16.1 Individuals employed by or under contract to the council are granted access to all systems and resources that they require to fulfil their role. Employees not specifically granted access to council systems or resources are prohibited from using such systems or resources.

16.2 Access to data, systems or networks will only be granted to employees that have formally agreed to comply with the council's information security policies. Only a system administrator may grant logical access to council systems and systems resources.

16.3 Access will be granted only when a 'new user request' is completed using the WLDC Service Desk available on Minerva.

16.4 Periodically, all access rights must be reviewed and line managers will be required to formally check and amend the access rights of their employees.

## **17 Password Use**

17.1 Employees must keep passwords confidential and:

17.2 Avoid keeping a written record of passwords

17.3 Request a password change whenever they believe their password has become compromised (this should also be reported as a potential security breach)

17.4 The sharing of User IDs and passwords is not permitted.

17.5 More detail on password management is provided in the IT Access Policy.

## **18 Unattended User Equipment**

18.1 Employees are required to lock their devices (Windows+ L on Windows machines, commonly power button on mobile devices) when they move away from their desk or are not using a device. This will require them to re-enter their password on return.

## **19 Legislative Requirements**

19.1 Under no circumstances are employees allowed to engage in any activity that is illegal under local, national or international law while utilising council resources.

## **20 Clear Desk and Clear Screen Policy**

20.1 Information must be protected at all times; unattended information assets must be secured. See the Acceptable Use Policy.

## **21 Third Party Access**

21.1 Third parties requiring access to systems for any purpose are subject to additional controls. Access levels are to be given only and specifically for the information needed in order to carry out the function necessary to complete the task, third party access should be provided with a set end date for the access to ensure continued security of the information.

## **22 Logging into/accessing Council systems**

22.1 Each authorised user shall have a single unique user account that consists of:

- User name – a unique name
- Password – containing at least eight characters that includes letters (both upper case and lower case), numbers and special characters
- Preferably, a second authentication factor as described in the IT Access Policy.

22.2 Only the assigned user may use that user ID to access Council systems. Only users who have authenticated themselves to a Council system may use that system.

22.3 All Council systems where technically possible will display a security message to all people attempting to log-in in to that system that:

- access is restricted to authorised employees only
- access to the system must comply with the Council's IT Access Policy
- unauthorised access will be monitored and investigated.



- Once accessed, information systems should be used in line with the Council's Acceptable Use Policy.

## **23 Reporting an Information Security Weakness, Threat, Event or Incident**

23.1 The following example might be used to describe the difference between a weakness, threat, event or incident:

- A window with a broken latch is a weakness and poses a threat
- If an individual attempts to gain access through the window it is an event
- If the individual gains unauthorised access to confidential information through the window it is an incident (and has caused a breach).

23.2 It is vital that all such weaknesses, threats, events and incidents are reported immediately using the Councils "Report a Data Breach" even if there is no adverse effect. Any observed or suspected security threats or weaknesses in systems or services should also be reported. If we do not know about them, they cannot be corrected.

23.3 Do not be afraid of reporting security issues – these are investigated with an appropriate degree of confidentiality. Staff who report near misses or incidents are also protected by the Whistle Blowing Policy.

23.4 Employees should not, in any circumstances, attempt to prove or validate a suspected information security weakness or threat, with the exception of Information Security staff.

## **24 Intellectual Property**

24.1 The Council owns all data, information and software design or code produced by or on behalf of the Council, regardless of format, unless otherwise specified by a valid third party agreement.

24.2 All information or software developed by or on behalf of the Council will remain the property of the Council and must in no way be sold, copied or used without the express permission of the Council or authorised designate.

24.3 All contracts with third parties, including contracts for agency employees, must define the ownership of software and information.

## **25 Software Licencing**

25.1 Users are not generally permitted to install software on to the corporate network or Council PCs, laptops or tablet devices. A range of software is permitted to be installed in Software Centre, other software must be regarded as not permitted. This includes web and cloud-based services.

25.2 For the purposes of definition, software includes but is not limited to any operating system, utility, programme, web service, cloud service, add-in or mobile application.

25.3 The ICT team will maintain a register of the entire Council's software and its location and must keep a library of software licenses.

25.4 Periodic software audits will be carried out by or on behalf of the council to ensure that all software loaded on to Council information systems is appropriately licensed.

25.5 Commercial software may be installed or used on Council computers only if a valid licence for that software has been purchased, and the ICT department has recorded the use. ICT are the only department allowed to purchase software.

## **26 Mobile Computing and Communications**

26.1 It is the responsibility of employees to take reasonable precautions to safeguard the security of all mobile equipment assigned to them and the information contained upon them. Detailed security compliance is provided in the Acceptable Use Policy.

## **27 Remote Working**

27.1 Remote Working (working at a site other than the usual place of work, e.g. another office location, home) is available to most staff at manager's discretion. Staff must follow the Acceptable Use Policy.

## **28 Reporting of Malfunctions**

28.1 If your system develops any software or hardware faults do not attempt to rectify it. You must report the malfunction to the ICT Service Desk.

## **29 Removal of Property**

29.1 Council property shall not be removed from the premises without prior approval. Laptop and tablet device users are by default, allowed to remove their ICT equipment from the premises.

### **29.2 Removal/Disposal of Assets - Permanent**

29.2.1 Employees may not remove any commercial property or asset that is destined for destruction or disposal from Council facilities, unless all the following conditions have been satisfied prior to removal of the property:

- A detailed list of the property concerned (including relevant serial, model and asset register numbers) is made on the appropriate property pass-out form, requesting the authority of the employee's Head of Service to remove it.
- The Head of ICT makes enquiries to ensure the propriety of the

request, and if satisfied signs the form, stating any necessary conditions. (e.g. 'Not for re-sale', or 'Must be discussed prior to removal')

- The original copy of the form is to be lodged with the ICT Security Manager. One copy is to be retained by the person removing the property and a further copy is to be passed to Corporate IT order to amend the asset register, where necessary.

### **29.3 Removal/Disposal of Assets – Temporary**

29.3.1 Employees may not remove any commercial property or asset, on a temporary basis (i.e. to assist working from another location) from Council facilities unless all the following conditions have been satisfied prior to removal of the property:

- A detailed list of the property concerned (including relevant serial, model and asset register numbers) is made on the appropriate property pass-out form, requesting the authority of the employee's Head of Department to remove it.
- Prior to approval of the request, the Head of Service should be satisfied of the necessity for the temporary removal and specify a date by which the asset must be returned to the Council facility.
- The original copy of the form is to be lodged with the ICT Security Manager. One copy is to be retained by the person removing the property and a further copy is to be passed to Corporate IT in order that the asset register may be noted.
- The Head of Service must notify the ICT Information Security Manager and Corporate IT when the asset has been returned.

29.3.2 The above does not, of course, affect the accepted personal removal of issued laptops, tablets mobile telephones, pagers, paper files or the like for callout, home working or remote working purposes.

### **29.4 Loss, Theft or Destruction of Assets**

29.4.1 The loss, theft or destruction of any Council asset must be reported to the relevant Head of Service, Corporate IT and the ICT Information Security Manager as soon as is reasonably possible.

## **30 Policy Compliance**

30.1 The Council expects that all employees will achieve compliance to the directives presented within this policy. This policy will be included within the Information Security Internal Audit Programme, and compliance checks will take place to review the effectiveness of its implementation.

## **31 Exceptions**

31.1 In the following exceptional cases compliance with some parts of the policy may be relaxed. The parts that may be relaxed will depend on the particular circumstances of the incident in question.

- If complying with the policy would lead to physical harm or injury to a member of staff
- If complying with the policy would cause significant damage to the company's reputation or ability to operate
- If an emergency arises

31.2 In such cases, the staff member concerned must take the following action:

- Ensure that their manager is aware of the situation and the action to be taken
- Ensure that the situation and the actions taken are recorded in as much detail as possible on a non-conformance report
- Ensure that the situation is reported to the Information Security Manager as soon as possible.
- Failure to take these steps may result in disciplinary action.

31.3 In addition, the ICT Security Team maintains a list of known exceptions and non-conformities to the policy. This list contains:

- Known breaches that are in the process of being rectified
- Minor breaches that are not considered to be worth rectifying
- Any situations to which the policy is not considered applicable.

31.4 The Council will not take disciplinary action in relation to known, authorised exceptions to the information security management system.

## **32 Penalties**

32.1 Non-compliance is defined as any one or more of the following:

- Any breach of policy statements or controls listed in this policy
- Unauthorised disclosure or viewing of confidential data or information belonging to the Council or partner organisation
- Unauthorised changes to information, software or operating systems
- The use of hardware, software, communication networks and equipment, data or information for illicit purposes which may include violations of any law, regulation or reporting requirements of any law enforcement agency or government body
- The exposure of the Council or partner organisation to actual or potential monetary loss through any compromise of security

32.2 Any person who knows of or suspects a breach of this policy must report the facts immediately to the Information security officer or senior management.

32.3 Any violation or non-compliance with this policy may be treated as serious misconduct.

32.4 Penalties may include termination of employment or contractual arrangements, civil or criminal prosecution.

### **33 Policy Review**

This policy will be review on a two yearly basis around September 2021 onwards.

# Agenda Item 6c



**Corporate Policy &  
Resources Committee**

**Thursday 16 December  
2021**

**Subject: Levelling Up Fund Resources**

Report by:

Assistant Director of Planning and Regeneration

Contact Officer:

Sally Grindrod-Smith, Elaine Poon  
Assistant Director of Planning and Regeneration,  
Local Development Order and Major Projects  
Officer

sally.grindrod-smith@west-lindsey.gov.uk,  
elaine.poon@west-lindsey.gov.uk

Purpose / Summary:

This report sets out the capital budget and staffing resources required to deliver 'Thriving Gainsborough 2024' WLDCs Levelling Up Fund programme.

## **RECOMMENDATION(S):**

1. That Members approve a revised Capital Budget for the Cinema of £5.730m
2. That Members approve additional Capital Budgets of £6.736m in line with the Levelling Up Fund Programme to be included in the Capital Programme 2021/22 and MTFP 2022/23 onwards.
3. That Members approve the resources and expenditure to enable commencement of delivery during 2021/22 of £389k.
4. That the Committee receive a further paper once the Memorandum of Understanding is agreed with Department of Levelling Up Homes and Communities to approve spend of the remainder of the Levelling Up Fund grant funding.

5. That the Committee receive further reports to approve the expenditure of specific projects within the Programme.

## IMPLICATIONS

**Legal:** Lincolnshire Legal Services will support the council to agree a Memorandum of Understanding with Department for Levelling Up, Housing and Communities.

**(N.B.) Where there are legal implications the report MUST be seen by the MO**

### **Financial : FIN/146/22/TJB**

The Levelling Up bid totalled some £17.575m made up of;

- projects which are approved and currently in delivery totalling £4.549m
- WLDC Land as match funding £0.435m
- Private sector investment £3.485m

The Cinema Scheme currently has a budget of £3m which will increase by £2.730m to £5.730m

Leaving a balance of £6.376m which requires budget approval to deliver this programme of which £6.368m will be funded from LUF Grant and £8k from the Investment for Growth Reserve.

These budgets will be profiled as detailed at 2.7

To enable the Programme to commence resources and other costs will need to be incurred in 2021/22 in advance of the business cases being brought forward. A request to spend £389k in the current year is detailed at 2.8 within the report.

**Staffing :** This paper sets out the staff resources that we estimate will be required in order to deliver the Levelling Up programme for Gainsborough.

**(N.B.) Where there are staffing implications the report MUST have a HR Ref**

**Equality and Diversity including Human Rights :** All recruitment will be undertaken in accordance with equality and diversity policies and guidelines.

*NB: Please explain how you have considered the policy's impact on different groups (for example: young people, elderly, ethnic minorities, LGBT community, rural residents, disabled, others).*

**Data Protection Implications** :None arising from this paper.

**Climate Related Risks and Opportunities :**

**The following indicators are required to be included within the programme for monitoring and evaluation.**

Number of alternative fuel charging/re-fuelling points - 5

Number of existing non-domestic buildings with green retrofits completed – 50

Number of new trees planted – 35

**Section 17 Crime and Disorder Considerations :**

The following indicators are required to be included within the programme for monitoring and evaluation.

Number of dilapidated buildings improved: 50

Amount of public realm improved: 2350 m<sup>2</sup>

Average IMD rank for all SOA in Gainsborough

Sense of place - resident satisfaction with pride in Gainsborough- to be determined through resident survey.

Fear of crime decline (in evenings in town centre) – to be determined through resident survey



**Health Implications:**

The following indicators are required to be included within the programme for monitoring and evaluation and will support the wider determinants of improvements in health and well-being.

Amount of public realm improved: 2350 m2

Amount of new green or blue space created: 1200 m2

Amount of existing green or blue space improved: 2908 m2

Number of new trees planted: 35

Amount of new retail space created: 185.8 m2

Amount of new hospitality space created: 464.5 m2

Amount of new cultural space created 975.48 m2

Number of visitors to cultural venues: to be measured post completion.

Number of cultural events: to be measured post completion

Sense of place - resident satisfaction with pride in Gainsborough – to be determined through resident survey

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

Wherever possible please provide a hyperlink to the background paper/s  
If a document is confidential and not for public viewing it should not be listed.

**Risk Assessment :**

The delivery of adequate programme resource is a key mitigating action within the programme risk assessment.

**Call in and Urgency:**

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

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

Yes

No

**Key Decision:**

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

Yes

No

## **1 Introduction**

- 1.1 Following a competitive bid process West Lindsey District Council have been awarded £10.275m from the government's flagship Levelling Up Programme.
- 1.2 Members will recall that in May 2021 a concurrent meeting of the Prosperous Communities Committee and the Corporate Policy and Resources Committee approved the bid to the Levelling Up Fund. The bid set out proposals for investment in 6 key interventions in Gainsborough Town Centre, to be delivery under the project to be known as 'Thriving Gainsborough 2024'.
- 1.3 The 6 key interventions contained within the bid are:
  1. Cinema
  2. own centre public realm
  3. Expansion of Townscape Heritage project
  4. Redevelopment of Whittons Gardens and creation of new pocket park at Baltic Mill
  5. Bus Station Refurbishment
  6. Living over the shops programme expansion

## **2. Next Steps**

- 2.1 Officers are now engaged with government officials to agree the details a memorandum of understanding which will set out the terms and conditions of the funding and what is expected from the Council.
- 2.2 The timeframes for delivery are challenging, with some spend expected this financial year. In order to achieve this we are working quickly to establish the project team and to gear up the first elements of delivery.
- 2.3 The bid made provisions for project resources to be employed by the council. This will include the following roles:
  - Programme Manager
  - Project Officer
  - Project Support Officer
  - Townscape Heritage Project Officer
  - Procurement Officer
  - Contract Manager
  - Project / Grant Accountant
- 2.4 The job descriptions and person specifications are currently being used to agree the appropriate banding for the roles through the job evaluation process.
- 2.5 Subject to job evaluation and the approvals sought within this paper we aim to have recruited fully to the LUF team by March 2022.

2.6 In addition to the resources required to support the project team, the other elements of the programme where spend of LUF grant is anticipated this financial year are as follows:

- Cinema
- Wayfinding including new signage
- Bus station refurbishment LED lighting and CCTV
- Public realm design stage inception
- Monitoring and evaluation – creation of required framework

2.7 The Cinema Budget will increase by £2.730m (funded by the LUF Grant) to £5.730m. Additional Capital Budgets requiring approval for the programme totals £6.376m and will be profiled within the 2021/22 revised budget and Capital Programme 2022/23 onwards in accordance with the Grant Bid profiles.

SCHEME	2021/22	2022/23	2023/24	TOTAL
<b>CURRENT PROGRAMME</b>				
Thriving Gainsborough - LUF (Cinema)	718,916	2,219,200	2,792,250	5,730,366
<b>Total New Bids</b>	<b>417,410</b>	<b>3,086,932</b>	<b>2,871,502</b>	<b>6,375,844</b>
<b>Total Investment</b>	<b>1,136,326</b>	<b>5,306,132</b>	<b>5,663,752</b>	<b>12,106,210</b>

2.8 The Capital Budget includes for the project team resource and expert support. The current estimate for this expenditure funded from the LUF grant this financial year is £0.389m as detailed below. Approval to spend is requested to allow the recruitment and procurement to commence.

Category	Financial Quarter 2021/22				TOTAL
	Q1 (Apr-Jun)	Q2 (Jul-Sep)	Q3 (Oct-Dec)	Q4 (Jan-Mar)	
Project Management				£67,520.00	£67,520.00
Design Fees				£7,500.00	£7,500.00
Legal Fees					£0.00
Site Acquisition Cost					£0.00
Property Acquisition Cost					£0.00
Enabling works – Pre-Contract - Demolition / Site Preparation or Remediation etc				£2,058.00	£2,058.00
Temporary works					£0.00
Construction Phase – Cost of new build				£29,663.00	£29,663.00
Construction Phase – Cost of refurbishment / conversion				£2,000.00	£2,000.00
Materials/Equipment				£180,941.00	£180,941.00
Project insurance					£0.00
Other Fees/Costs				£99,146.66	£99,146.66
<b>TOTALS</b>	<b>£0.00</b>	<b>£0.00</b>	<b>£0.00</b>	<b>£388,828.66</b>	<b>£388,828.66</b>

2.9 Once the memorandum of understanding is agreed with government we will be in a position to seek approval to spend against the full detailed programme. In the interim, this paper seeks approval to spend to meet the identified resourcing needs and the costs of the programme in this financial year.

2.10 Given the level of investment to be made by WLDC into the Cinema project, a detailed paper will be brought before this committee early in 2022.



**Corporate Policy and  
Resources**

**Thursday 16 December  
2021**

**Subject: Market Rasen Leisure Centre, Swimming Pool Business Case**

Report by:	Assistant Director of Finance and Property Services and Section 151 Officer
Contact Officer:	Tracey Bircumshaw Assistant Director of Finance and Property Services and Section 151 Officer  tracey.bircumshaw@west-lindsey.gov.uk
Purpose / Summary:	To present to members the high level business case for a swimming pool at Market Rasen Leisure Centre and to determine next steps.

**RECOMMENDATION(S):**

- 1. Members accept the content of the Business Case**
- 2. Members accept that at this time the construction of a Swimming Pool is unaffordable and financially unsustainable**
- 3. Members determine the next steps**

## IMPLICATIONS

**Legal: None from this report**

**Financial : FIN/148/22**

The report presents a business case that is not financially viable.

Whilst the operational costs are estimated to achieve a profit of circa £30k per annum from year 3, this does not include the cost of borrowing.

As the Council has no reserves to support this investment and no grant funding has been identified, funding would be met from borrowing. The additional cost of borrowing could be between £350k and £500k and makes the business case unviable.

Additional costs of construction and borrowing would need to be understood if in line with our strategy we need to mitigate environmental impacts.

The full Financial Case is detailed at 2.4

**Staffing :** None from this report

**Equality and Diversity including Human Rights :**

None from this report

**Data Protection Implications :** None from this report

**Climate Related Risks and Opportunities :** There are considerable environmental impacts of swimming pools these are detailed at 2.6 within the report.

**Section 17 Crime and Disorder Considerations :** None from this report

**Health Implications:** There is a health and wellbeing benefit and a social value attributed to the benefits of swimming, as detailed at 2.1 in the report.

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

Wherever possible please provide a hyperlink to the background paper/s  
If a document is confidential and not for public viewing it should not be listed.

**Risk Assessment :**

Not applicable as the Business Case is not viable

**Call in and Urgency:**

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

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

**Yes**

**No**

**Key Decision:**

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

**Yes**

**No**

## 1. **Executive Summary**

- 1.1 The Market Rasen Leisure Centre was opened to the public in July 2020 and provides a dry leisure facility.
- 1.2 A group of residents started a petition (link below) to ask for a swimming pool to be provided with the facility. When the initial planning and consultation work was ongoing, there was feedback from residents to suggest that a pool would be welcome, but the initial feasibility work suggested that interest wasn't high enough and that the cost would make the scheme unviable. The petition currently stands at 485 signatures and can be found at <https://www.change.org/p/west-lindsey-district-council-we-want-a-swimming-pool-in-market-rasen>
- 1.3 Both the Council and Market Rasen Town Council have undertaken to develop a review of the business case for a swimming pool prior to the next election (2023).
- 1.4 In addition the MP, Sir Edward Leigh in support of the scheme has been informed by the Council;  
*“we are also working with Market Rasen Town Council and supporting their three year vision for Market Rasen. As part of this, and taking into account the proposed growth in the town’s population, we have agreed to re-visit the business case for a pool towards the end of the three year period”*. Extract from letter to Sir Edward Leigh
- 1.5 The business case for the leisure centre explored the use of the wider site (the site was large enough to fit the leisure centre and be left with space for future activity). One of the future activity considerations was ‘provision of a pool should it be viable’.
- 1.6 SLM Ltd (our Leisure Management Company) have supported us in developing this business case.

## 2. **The Business Case**

### 2.1 **Benefits of swimming to support health and wellbeing (Social Value)**

Swim England identify swimming as a key sport for improving fitness, health and wellbeing. Swimming uses all the muscles in the body and exercising in water makes your body work harder so 30 minutes in a pool is worth 45 minutes of the same activity on land.

30 minutes of swimming three times a week alongside a balanced, healthy diet and lifestyle is one of the best ways to stay fit and healthy and maintain a positive mental health. Swimming regularly can lower stress levels, reduce anxiety and depression, and improve your sleep patterns.



Swim England reports say the benefits of swimming support by alleviating the pressure on the UK NHS and care systems to a value of £357million per year. Applying this calculation to the national population this is a cost per head of £5.26. This rate has been used to calculate the social benefit of a pool at Market Rasen and based on the national average estimated users of 3,164 is £16,642.

## 2.2 Current Leisure Provision Market Rasen

During 2021/22 the existing Leisure facility is showing some improvement after the Covid-19 Lockdown period, however is still 25% below the SLM target.

During September 2021 individual users totalled 495 resulting in 3,883 visits being recorded (average visits April to September being 3,872 pm). This can be compared to the national average of 31.3% of the population going swimming (Source Swim England) which would equate to 3,164 individual users (based on the Population Census 2011 for Market Rasen, Keelby and Caistor of 10,110).

## 2.3 Swimming at Market Rasen

A swimming pool should be considered as an asset to assist in improving the health and wellbeing of the resident and users however access to alternative swimming pools is also a consideration.

There are a number of swimming pools which are considered to be a reasonable distance from Market Rasen for residents to travel to.

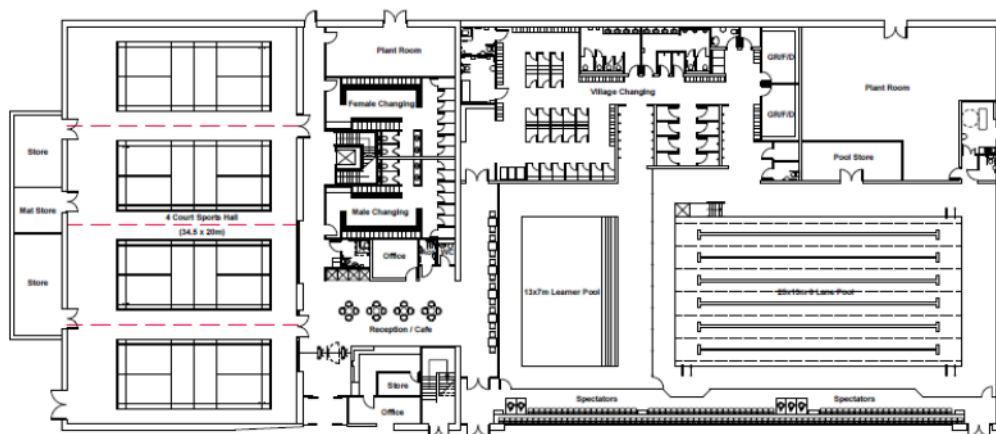
FACILITY	DISTANCE
Wragby & District	8 miles
Yarborough Leisure Centre	13 miles
Ancholme Leisure Centre	13 miles
Meridian Leisure Centre	15 miles
Horncastle pool	15 miles
Grimsby Leisure Centre	16 miles
One NK	17 miles
West Lindsey Leisure	18 miles

At the time of the design and construction of the existing Leisure Centre, the opportunity to incorporate a swimming pool was explored however, was not

deemed a viable investment at the time. However the site is large enough to add a swimming pool should a business case support the investment.

SLM/Everyone Active provided a plan for the site in the Market Rasen Leisure Centre as part of the Invitation to Tender documentation which alluded to the future inclusion of a pool and included a indicative design.

*"We investigated the possibility of installing a pool at the facility. However, researched suggested that there wasn't sufficient demand for a pool. With the expensive maintenance costs and lifeguard requirements associated with managing a pool it would ultimately cost additional revenue. Despite this, we have designed the new Market Rasen facility in such a way that adding a wet-side facility would be feasible should the demand present itself. Please see below indicative designs which include installing a wet-side facility at the Centre."*



## 2.4 Financial Case

A high level cost analysis has been carried out for the capital investment and estimated revenue implications of costs and income, these have been provided outside of a specification and should be considered as supporting data and not agreed costs or income targets.

### 2.4.1 Capital Cost estimates (provided by Morgan Sindall)

High level options and budgets relating to 'affordable community swimming pools' including a moveable and sloping floor to create a shallow end (please note this does not necessarily mean compliance with Sports England which will depend on requirements and budget) as an extension at the site:

25m Pool Option	Ground Floor Area	Basement Plant Area	Mezzanine Plant Area	Total GIFA: Stand-Alone Facility	Potential Reduction for Link to MRLC*	Total GIFA: Linked Facility	High Level Budget Fixed to 3rd Quarter 2021 (Exc VAT)
4 Lanes	935m <sup>2</sup>	89 m <sup>2</sup>	60m <sup>2</sup>	1,084 m <sup>2</sup>	- 122 m <sup>2</sup>	962 m <sup>2</sup>	£4,903,145
6 Lanes	1,309m <sup>2</sup>	115 m <sup>2</sup>	105m <sup>2</sup>	1,529 m <sup>2</sup>	- 155 m <sup>2</sup>	1,374 m <sup>2</sup>	£6,511,184

Note: These prices were prepared based on RICS cost estimates, and do not reflect the current elevated pricing for materials and construction, we are currently experiencing.

#### 2.4.2 Income and Expenditure forecasts (provided by SLM Ltd)

The Income provided below is assumed on the estimated participation levels detailed in the table below.

YR1	YR2	YR3	YR4	YR5	YR6	YR7	YR8	YR9	YR10
6,006	10,511	15,015	18,018	18,018	18,306	18,599	18,897	19,199	19,506

Based on the numbers above estimated income is detailed in the table below and has been calculated based on charge assumptions for a casual swim session £4.00 per head. Swim lessons at £5.26 and swim only membership at £20 per month. Other Swimming is based on an annual estimate.

Further work would be required to understand the price increase for existing members wishing to add swim onto their membership.

Income	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10
Casual Swimming	£20,000	£35,000	£50,000	£60,000	£60,000	£60,960	£61,935	£62,926	£63,933	£64,956
Other Swimming	£5,000	£7,500	£10,000	£10,000	£10,000	£10,000	£10,000	£10,000	£10,000	£10,000
Swim Lesson (All)	£108,400	£216,800	£243,900	£271,000	£271,000	£271,000	£271,000	£271,000	£271,000	£271,000
Swim Only Memberships	£12,000	£12,000	£12,000	£12,000	£12,000	£12,000	£12,000	£12,000	£12,000	£12,000
<b>TOTAL ESTIMATED INCOME</b>	<b>£145,400</b>	<b>£271,300</b>	<b>£315,900</b>	<b>£353,000</b>	<b>£353,000</b>	<b>£353,960</b>	<b>£354,935</b>	<b>£355,926</b>	<b>£356,933</b>	<b>£357,956</b>

Revenue costs include, lifeguards, swimming teachers, plant room and increase in utility costs have been estimated in the model

NET	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10
Expenditure	£ 224,900	£ 271,688	£ 288,397	£ 317,152	£ 319,580	£ 322,057	£ 324,583	£ 327,160	£ 329,788	£ 332,469
Income	£ 145,400	£ 271,300	£ 315,900	£ 353,000	£ 353,000	£ 353,960	£ 354,935	£ 355,926	£ 356,933	£ 357,956
<b>Total</b>	<b>£ 79,500</b>	<b>£ 388</b>	<b>-£ 27,503</b>	<b>-£ 35,848</b>	<b>-£ 33,420</b>	<b>-£ 31,903</b>	<b>-£ 30,352</b>	<b>-£ 28,767</b>	<b>-£ 27,145</b>	<b>-£ 25,487</b>

Based on the above assumptions the pool is estimated to generate an operating profit from year 3.

The data provided indicate that from year 6 the costs are increasing faster than the income, this is due to reaching a maximum capacity of 1,000 swim lessons.

#### 2.4.3 Funding the Investment

At this time there are no Council funds available for this investment and no availability of grant funding.

Therefore the only option would be to borrow. Based on the capital cost estimates of £4.9m - £6.5m the cost of borrowing would be in the region of £0.35m - £0.5m per annum based on the following assumptions;

- 100% funded from borrowing

- 60% of costs are buildings related with borrowing repayable over 40 years (MRP)
- 40% of costs are Mechanical and Engineering with MRP payable over 20 years
- Interest rates at 40 year 2% and 20 year 2.08% maturity borrowing (based on rates at 21.11.2021 + 0.25% )

The costs identified do not include fixtures and fittings/pool equipment etc. these would be an additional cost and would have a useful life of an assumed 10 years.

The Council's investment strategy requires that any borrowing undertaken has to be affordable and sustainable, as can be seen the operations will generate a circa £0.030m contribution and would result in a £0.320m - £0.470m pressure on the Medium Term Financial Plan for upto 40 years. Making the financial case unaffordable and unsustainable.

There may be the potential for Parishes to consider contributing through their Precepts to support the cost of borrowing.

## **2.5 Economic Case**

Based on the construction costs detailed at 2.4 the Gross Value Added to the economy is estimated to be £1.3m for the smaller pool and £1.63m larger pool and is likely to create 16 jobs through the direct (construction) and indirect (supply chain, administration etc) impacts.

## **2.6 Environmental Case**

In order to accord with WLDC's ambitions for net zero carbon emissions and wider environment and sustainability strategy, the build would need to encompass the latest and very best sustainable construction techniques. These would typically comprise:

- Improved energy efficiency through siting, design and orientation
- water conservation measures
- sustainable urban drainage systems
- renewable energy production
- recycled building materials
- construction waste reduction.

In seeking to achieve carbon neutrality and an upper tier Building Research Establishment rating for the pool project, a higher initial financial outlay would need to be factored into the overall project costs. Financial contributions to a carbon offset fund should also be included in the business case for emissions

that cannot be eliminated – though it should be noted that this is a last resort after all other options to reduce emissions have been explored.

A pool is likely to have a significant increase the CO2 footprint of the Council and they are traditionally energy intensive. To give an easy comparison, the Gainsborough Leisure Centre (with pool) had a carbon footprint of 359 tonnes equivalent carbon dioxide emissions equivalent (tCO2e) in 2020/21 against, circa. 179 tCO2e from Market Rasen (dry) Leisure Centre.

Size of the pool and heating source are the biggest factors in any footprint, and electrical heating – particularly from renewable sources can reduce it significantly from buildings powered by fossil fuels such as gas. Very high level emissions estimates have been calculated below using Chartered Institute of Building Engineers (CIBSE) benchmarks for energy intensity usage, taking into account overall floor area for potential designs and using (2020) energy conversion factors published by The Department of Business, Energy and Industrial Strategy (BEIS) and the Carbon Trust.

25m Pool Option	Stand Alone, Electric Fuel	Stand Alone, Fossil Fuel	Linked Pool, Electric Fuel	Linked Pool, Fossil Fuel
<b>4 Lanes, Typical Performance</b>	48.52 tCO2e	128.36 tCO2e	43.06 tCO2e	113.91 tCO2e
<b>4 Lanes, Good Performance</b>	35.24 tCO2e	92.28 tCO2e	31.39 tCO2e	81.89 tCO2e
<b>6 Lanes, Typical Performance</b>	68.44 tCO2e	181.05 tCO2e	61.50 tCO2e	162.70 tCO2e
<b>6 Lanes, Good Performance</b>	49.91 tCO2e	130.16 tCO2e	44.84 tCO2e	116.97 tCO2e

These emissions are significant for a council of the size of WLDC with a total measured carbon footprint (2019/20 financial year) of 3,428 tonnes of CO2 equivalent (tCO2e). It should be pointed out that there are huge swings in emissions according to pool design and usage. The figures above do not account for indirect emissions, for example emissions associated with the production and transport of electricity, and the construction of the building itself and materials used.

It is desirable that a new development does not increase negative environmental impact, and wherever possible mitigates against increased traffic congestions, journeys, pollution, etc. The environmental impact of a pool is lessened if users can access provision as part of a journey they are already making. Clearly those travelling to or living in Market Rasen would have easy access to any new facility and those already in the town centre would have good walking access, once it was operational.

Further detailed environmental and ecological assessment would be needed if this project were to progress and a full range of options would need to be explored.

## 2.6 Business Case Conclusion

Based on the Business Case presented including assumptions and estimates, at this time the business case is not viable. Environmental Impacts would have to be understood and mitigated and whilst there is an obvious Health and Wellbeing benefit the social benefit remains low due to estimated participation levels.

## 3 Future proposal options;

1. Do nothing
2. Seek more detailed analysis and undertake consultations to inform a more detailed business case. This piece of work would cost circa £0.017m.
3. Review the Business Case at an appropriate time
  - Within the next 4 years or other time period
  - If and when grant funding/other funding can be identified
  - when population/housing growth and/or demand increases to support sustainable levels of participation/income

Area	Population Census 2011	Planned Housing Growth 2017-2036
Market Rasen	5,417	640
Keelby	2,092	2190
Caistor	2,601	367
<b>Total</b>	<b>10,110</b>	<b>1,197</b>

(Source:Local Plan)



**Corporate Policy and  
Resources Committee**

**Thursday, 16 December  
2021**

**Subject: Amendment to the Start Time for Meetings of the Governance  
and Audit Committee**

Report by:

Monitoring Officer

Contact Officer:

Katie Storr  
Democratic Services & Elections Team Manager

[katie.storr@west-lindsey.gov.uk](mailto:katie.storr@west-lindsey.gov.uk)

Purpose / Summary:

To amend the start time for meetings of the Governance and Audit Committee from 2pm to 10am, commencing January 2022 and for the remainder of the Civic Year

**RECOMMENDATION(S):**

**1. Members approve the amendment of the start time for meetings of the Governance and Audit Committee from 2.00pm to 10.00am, commencing January 2022 and for the remainder of the Civic Year**

## IMPLICATIONS

**Legal:**

**Financial: FIN/149/22/SL**

There are no financial implications of the proposed amendment.

**Staffing:** There are no staffing implications arising from this suggested amendment

**Equality and Diversity including Human Rights:**

**Data Protection Implications:** N/A

**Climate Related Risks and Opportunities:** By amending the start time of the Committee meetings, there are no changed climate related risks. Members of the Committee travelling to the Guildhall for the meetings will continue to do so, as will relevant Officers.

**Section 17 Crime and Disorder Considerations:** N/A

**Health Implications:**

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

**Risk Assessment:**

**Call in and Urgency:**

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

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

Yes

No

**Key Decision:**

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

Yes

No



## **1 Introduction**

- 1.1 A request was received by the Democratic Services and Elections Team Manager for the start time of meetings of the Governance and Audit Committee to be amended, from 2.00pm to 10.00am.
- 1.2 This request had been discussed with all current Members of the Committee prior to being made, with all in favour of the amendment.
- 1.3 The Corporate Policy and Resources Committee is therefore being asked to approve this amendment, with effect from January 2022 and for the remainder of the Civic Year.
- 1.4 Annual Council in May 2022 will consider all matters concerning the Committee arrangements and, as detailed in Part V, Section 1.3 (f) of the Constitution, "... determine the normal commencement time for each Committee".

## **2 Recommendations**

- 2.1 It is therefore recommended that Members approve the amendment of the start time for meetings of the Governance and Audit Committee from 2.00pm to 10.00am, commencing January 2022 and for the remainder of the Civic Year.

# Agenda Item 6f



Corporate Policy and  
Resources Committee

Thursday 16 December  
2021

**Subject: Local Council Tax Support (LCTS) Scheme 2022/23**

Report by:	Assistant Director – Change Management & Regulatory Services
Contact Officer:	Alison McCulloch – Revenues Manager Angela Matthews – Benefits Manager  alison.mcculloch@west-lindsey.gov.uk angela.matthews@west-lindsey.gov.uk
Purpose / Summary:	To adopt a Local Council Tax Support Scheme for 2022/23

## **RECOMMENDATION(S):**

1. Note the content of the report; and
2. **Recommend to Full Council** the adoption of Option 1 of the report for the Local Council Tax Support Scheme for West Lindsey District Council for 2022/23.

## IMPLICATIONS

### **Legal:**

The Council has to determine a local scheme for council tax reduction by 31 January 2022

### **Financial : FIN/117/22/CC**

The cost of the Local Council Tax Support scheme (LCTS) is shared between Lincolnshire County Council (75%), West Lindsey District Council (WLDC) (12.5%) and Lincolnshire Police (12.5%).

- If Option 1 is approved, no additional costs are forecast for the LCTS scheme for 2022/23. This does not take into account any adjustments such as new legislation affecting the default/pension age scheme and the uprated non-dependent deductions, applicable amounts and allowances as per the Department for Works and Pensions annual 'Up-ratings'
- To comply with the Council budget guiding principles, a scheme has to be designed that aims to fit the level of available government grant. How the funding is now provided to the Council, it is no longer possible to identify the funding which directly relates to this area, it is therefore desirable that the financial impact is cost neutral or can demonstrate financial savings

The scheme that is chosen by the Council will need to be monitored to ensure the level of council tax collection remains comparable with previous years.

### **Staffing :**

The changes are minimal and therefore should not impact on staff.

### **Equality and Diversity including Human Rights :**

*Please see appendix A – Local Council Tax Support Scheme 2022/23 Equality Impact Assessment.*

### **Data Protection Implications :**

None arising from this report.

### **Climate Related Risks and Opportunities :**

None arising from this report.

### **Section 17 Crime and Disorder Considerations :**

None arising from this report.

**Health Implications:**

None arising from this report.

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

Local Government Finance Act 2012 -

<https://www.legislation.gov.uk/ukpga/2012/17/contents/enacted>

Rating (Property in Common Occupation) and Council Tax (Empty Dwellings) Act 2018

<https://www.legislation.gov.uk/ukpga/2018/25/enacted>

**Risk Assessment :**

- a. If Council Tax Support caseloads rise or fall then WLDC and the other major precepting authorities will have to absorb those expenditure variations through the Collection Fund. It is therefore vital that the financial implications of the scheme decisions made are realistic in terms of bridging the funding gap.
- b. If there is a downturn in the local economy or where there has been major redundancies if a major company ceases trading, Council Tax Support caseloads could rise significantly.
- c. Each Council must approve their local Council Tax Support scheme by 31<sup>st</sup> January otherwise a default scheme, similar to the current Council Tax Support default scheme applied to customers of pension age, will have to be implemented. Applying a similar scheme to all working age customers would increase the annual expenditure on Council Tax Support.
- d. The amount of council tax support awarded last year was just over £6.8 million however; at the end of September 2021 this had decreased slightly to £6.7 million.

**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

X

No

## **Executive Summary**

Council Tax Benefit was a national scheme providing means-tested financial help for low-income households to pay their Council Tax liability. This was abolished on 31 March 2013 by the Local Government Finance Act 2012 which placed a legal requirement on every billing authority to adopt a Localised Council Tax Support (LCTS) scheme.

Since the inception of the LCTS scheme on 1<sup>st</sup> April 2013 relatively minor changes have been made which has enabled claimants to receive a similar level of support each year and enabled the council to maintain an annual council tax collection rate of around 98%.

In 2020, following the Covid-19 pandemic, the Government awarded a grant to all local authorities with the requirement that an award of £150 (or less if their liability was less) be paid to all working aged council tax support claimants. It also permitted the use of any surplus to support economically vulnerable people and households.

Following the allocation of this award, it was also possible to introduce a discretionary hardship fund for all council taxpayers to apply for if they continued to experience financial difficulties caused by the pandemic. This fund is now exhausted but has supported an additional 320 families.

A further grant has been made for 2021/22 which has enabled an award of up to £200 to be made to all working aged council tax support claimants with the surplus being held as a discretionary hardship relief fund. To date this fund has supported an additional 62 families at a cost of £40.6k.

Due to the health and economic impacts Covid-19 has had on the residents of West Lindsey during 2020/21 and 2021/22, Members may wish to consider the appropriateness of imposing a further financial burden during 2022-23 on those already experiencing hardship. The pandemic is still causing considerable financial hardship to some residents as we are seeing through the discretionary hardship applications. The uplift of £20 per week for Universal Credit claimants has also ended resulting in additional financial hardship for those individuals affected.

A significant change to the LCTS scheme for 2022/23 is likely to have a negative impact on the collection rate and reduce the yield over the year.

Full Council must approve and adopt the finalised LCTS scheme by 31<sup>st</sup> January 2022 at the very latest.

## **1 Introduction**

- 1.1 The Local Government Finance Act 2012 replaced Council Tax Benefit with a Council Tax support scheme. Unlike Council Tax Benefit (CTB) which is set by Central Government, the new Council Tax support scheme must be defined by individual Local Authorities (albeit with much central prescription).
- 1.2 Pensioners are protected by legislation which means 'local schemes' must give the same pre-2013 level of assistance to pensioners. West Lindsey District Council also made the decision in 2013/14 to protect those in receipt of a War Pension and those claimants receiving a Disability Benefit.

## **2 Current Situation**

We currently have 6,369 council tax support claimants and of these 2,549 are pensioners and 3,820 are working age claimants. This equates to 60% of our total caseload who would be impacted by any changes to the scheme.

Our council tax collection rate for 2020/21 was 98.01% which was in the top quartile performance being 41<sup>st</sup> position out of 313 local authority reported outturns. The national average was only 95.7% so this is considerably higher. Some of this success can be attributed to the Government's hardship award and to the council tax discretionary hardship relief scheme which has enabled our most financially vulnerable residents to receive some financial support from the Council.

A full review of the scheme would have normally taken place this year had it not been for the ongoing pandemic. During this unprecedented time many of our residents have suffered personal and financial consequences and it is therefore essential that we continue to support and afford them the opportunity to recover from the impact of the pandemic.

The full effects of the pandemic are still difficult to predict and there is still economic uncertainty. With this in mind, it is recommended to postpone any fundamental changes until at least next year when we can more accurately calculate the economic outcome of pandemic.

## **3 Options**

Two options have been considered for the 2022/23 scheme being to maintain or slightly reduce the level of financial support as detailed below:

### 3.1 Option 1

To apply any new legislative requirements and the uprating of the non-dependent charges, applicable amounts, and household allowances and deductions, used in the calculation of the reduction in accordance with the Department for Works and Pensions (DWP) annual 'Upratings'.

To apply any additional changes to government welfare benefit regulations during the year which are intended to increase the income of benefit recipients to avoid unintended consequences to customers.

#### Costs/Savings

There would be no direct saving to the council under this option as it would just maintain the current scheme.

Advantages	Disadvantages
The financial modelling shows that West Lindsey District Council can still bridge the funding by continuing with the current scheme for a further year.	
The existing scheme works well and offers a high level of support for low income families who may otherwise find themselves in debt.	
There has been a slight decrease this year in the number of households claiming LCTS which suggests that the situation is improving gradually as more claimants return to work.	
Collection rates are being maintained under the current scheme.	
This option ensures the LCTS rules stay consistent with the DWP rules which avoids confusion for claimants.	
Retaining existing policy principles of keeping LCTS in line with other key welfare benefits promotes equality.	

### 3.2 Option 2

To make no changes to the current scheme for 2022/23 ie: do not apply the up-rate household allowances and deductions

#### Costs/Savings

There would be no direct saving to the council under this option.

Advantages	Disadvantages
	The Council would have three sets of rules to apply for families applying for financial help. This will cause confusion for the claimants, will lead to increased modification to IT, additional training for the Benefits Team and an additional set of regulations to be prepared and implemented.

### 4 Consultation

Before a Council can determine to revise or replace its LCTS scheme it must consult with any major precepting authority which have the powers to issue a precept to it.

Consultation has taken place with both the Lincolnshire County Council and the Police and Crime Commissioner for Lincolnshire and both have submitted responses agreeing to make no change to the scheme for 2022/23.

### 5 Recommendations

It is recommended that the Members consider the two options and agree to Option 1 being to adopt the scheme based on the 2022/23 scheme.

### 6 Local Council Tax Support Scheme 2023/24

It is recognised that whatever decision is reached this would only be a scheme for 2022/23. A review of the scheme is undertaken annually when more knowledge of the impact of that year's scheme and collection rates are available. Monitoring will also take place to analyse the impact and any unintended consequences it has had on council taxpayers and benefit recipients.



**Appendix A – Local Council Tax Support Scheme 2022/23 - EQUALITY IMPACT ASSESSMENT**

<p><b>Name, brief description and objectives of policy, procedure, function?</b></p>	<p>For Council to agree the Local Council Tax Support Scheme for West Lindsey DC for 2022/23.</p> <p>To ensure that all council tax payers are treated fairly under the local scheme.</p> <p>To ensure that council tax support is payable to the most vulnerable residents of the district.</p>
<p><b>Have you consulted on the policy, procedure, function and if so, what were the outcomes?</b></p>	<p>Consultation has taken place with Lincolnshire County Council and the Crime and Police Commissioner for Lincolnshire who have both agreed to the recommendation.</p> <p>No consultation has taken place with council taxpayers as the recommendations are to continue with the current scheme except for applying any new legislative requirements and the uprating of the non-dependent charges, applicable amounts and household allowances and deductions, used in the calculation of the reduction in accordance with the Department for Works and Pensions (DWP) annual upratings.</p>
<p><b>What barriers may these individuals or groups face, and how can you promote equality (where possible)</b></p>	
<p><b>Gender</b></p>	<p>There is no evidence that this policy would impact on people in any way because of this characteristic.</p>
<p><b>Age</b></p>	<p>Working age claimants of Council Tax Support may receive a reduced level of assistance as compared with the former Council Tax Benefit Scheme. This scheme aims to redistribute support and be more generous to those applicants on the lowest incomes.</p> <p>The government has stated that council tax support for older people will not be reduced as a result of the introduction of the council tax reduction scheme reform. This is because the government wants to ensure that low income pensioners, who would struggle to pay council tax without additional support, and whom the government does not expect to work to increase their income, will continue to receive support for their council tax.</p>

	Pensioner protection will be achieved by keeping in place national rules which broadly replicate the former council tax benefit scheme.
<b>Disability</b>	There is no evidence that this scheme would impact on people in any way because of this characteristic except in the case of War Pension and those claimants receiving a Disability Benefit who are protected by the Government.
<b>Race</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Religion or Belief</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Sexual Orientation</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Gender Reassignment</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Pregnancy, maternity or paternity</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Marriage and Civil Partnership</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Rural Isolation</b>	There is no evidence that this policy would impact on people in any way because of this characteristic.
<b>Socio-economic factors</b>	There is no evidence that this scheme would impact on people in any way because of this characteristic. However, any person unable to complete the application form will be offered assistance from the Benefits Teams in completing the application form and also be signposted to outside agencies such as Citizens Advice and Money Advice Service
<b>Other (eg: those with dependants/caring responsibilities, asylum seeker and refugee communities, children in the care system etc)</b>	There is no evidence that this scheme would impact on people in any way because of this characteristic. However, any person unable to complete the local council tax support application form will be offered assistance from the Benefits Team in completing the form and also be signposted to outside agencies such as Citizens Advice and Money Advice Service

<p><b>Is there any evidence or research that demonstrates why some individuals or groups are, or are not, affected?</b></p>	<p>There is no evidence or research available. This policy is based on nationally applicable legislation and it covers all applicants who must all meet a set of standards and criteria intended to ensure that evidence of hardship justifies a reduction in council tax liability.</p>
<p><b>If there is a potential adverse impact, please state why and whether this is justifiable.</b></p>	<p>There is no potential adverse impact from this policy.</p>
<p><b>Outcome of EIA</b></p>	<p> <b>No major change needed</b> <input checked="" type="checkbox"/>      <b>Adverse impact but continue</b> <input type="checkbox"/>  <b>Adjust the policy /proposal</b> <input type="checkbox"/>      <b>Stop and remove the policy/proposal</b> <input type="checkbox"/> </p>
<p><b>How will you monitor your policy, procedure, function to ensure there is no adverse effect on the protected characteristics (eg: gender, age, etc) in the future?</b></p>	<p>Due to the nature of the reductions in the level of support, all working age claimants have the potential to have reductions in their support, however, they can be considered for further assistance under the exceptional hardship policy.</p>

**CP&R Work Plan as at 8 December 2021**

**Purpose:**

This report provides a summary of reports due before Committee for the remainder of the civic year.

**Recommendation:**

1. That members note the contents of the report

Date	Title	Lead Officer	Purpose of the report	Date First Published
<b>16 DECEMBER 2021</b>				
24 Jan 2022	Local Council Tax Support Scheme 2022/23	Angela Matthews, Benefits Manager, Alison McCulloch, Revenues Manager	Local Council Tax Support Scheme 2022/23	09 June 2021
6 Dec 2021	Council Tax, Business Rates and Sundry Debtor Write Offs 2021/22	Alison McCulloch, Revenues Manager	Write offs over £2,500 relating to council tax, business rates and sundry debtor accounts	13 July 2021
11 Nov 2021	Information Classification and Handling Policy	John Bingham, Assistant Data Protection and Freedom of Information Officer	The purpose of this document is to define the policies and standards that will be applied to maintain the confidentiality, integrity and availability of the information systems supporting the business functions of the council.	03 November 2021
11 Nov 2021	Information Governance Policy	John Bingham, Assistant Data Protection and Freedom of Information Officer	information is a vital asset that the organisation is reliant on, both for the provision and for the efficient management of services and resources. It is essential that there is a robust information governance management framework and policies to ensure that information is effectively managed and that the risks of loss of	03 November 2021

Page 92

			information confidentiality, integrity and availability are reduced.	
16 Dec 2021	Market Rasen Leisure Centre, Swimming Pool Business Case	Tracey Bircumshaw, Assistant Director of Finance and Property Services and Section 151 Officer	To feedback to members the business case for a swimming pool at Market Rasen Leisure Centre.	03 November 2021
16 Dec 2021	Upgrade of Current Income Management system	Lyn Marlow, Customer Strategy and Services Manager	To request approval for capital and revenue expenditure for the upgrade of the current Income Management System	
16 Dec 2021	Levelling Up Fund Resources	Sally Grindrod-Smith, Assistant Director of Planning and Regeneration, Elaine Poon, Local Development Order and Major Projects Officer	Paper to set out staff resources and early spend requirements	
16 Dec 2021	Amendment to the Start Time for Meetings of the Governance and Audit Committee	Katie Storr, Democratic Services & Elections Team Manager	For the start time of meetings of the Governance and Audit Committee to be amended to 10am from 2pm, commencing January 2022	
<b>13 JANUARY 2022</b>				
13 Jan 2022	Progress and Delivery Measures and Targets 2022-23	Ellen King, Senior Performance Officer	This report presents for approval the Council's proposed performance measures, and corresponding targets for 2022-23.	24 March 2021
<b>10 FEBRUARY 2022</b>				
13 Jan 2022	Review of Whistleblowing Policy	Emma Redwood, Assistant Director People and Democratic Services	To review the Whistleblowing Policy taking into account G&A committee recommendations June 2021	13 July 2021
7 Mar 2022	Executive Business Plan and Medium Term	Tracey Bircumshaw,	To present the Executive Business	22 January

	Financial Plan 2022/23	Assistant Director of Finance and Property Services and Section 151 Officer	Plan, Budget 2022/23 and the Medium Term Financial Plan 2022/23-2026/27	2021
10 Feb 2022	Budget and Treasury Monitoring - Qtr 3 2021/2022	Sue Leversedge, Business Support Team Leader	this report sets out the revenue, capital and treasury management activity from 1 April to 31 December 2021	15 September 2021
10 Feb 2022	Corporate Policy and Resources Committee Draft Budget 2022/2023 and estimates to 2026/2027	Sue Leversedge, Business Support Team Leader	The report sets out details of the overall Draft Revenue Budget 2022/23 including that of this Committee and those recommended by the Prosperous Communities Committee for the period 2022/23, and estimates to 2026/27 to be included in the Medium Term Financial Plan.	15 September 2021
10 Feb 2022	Committee Timetable 2021-2022	Katie Storr, Democratic Services & Elections Team Manager	To follow the format of previous years	24 March 2021
10 Feb 2022	Hemswell Cliff Managed Estate Contract	Shayleen Towns, Senior Community Action Officer	WLDC contract to manage a private estate at Hemswell Cliff is a 5 year contract 1 July 2018 to 31 March 2023. This report is ask members to consider a further 5 years from 1 April 2023.	09 June 2021
13 Jan 2022	Purchase of former Lindsey Centre	Elaine Poon, Local Development Order and Major Projects Officer	Potential purchase of former Lindsey Centre	15 September 2021
<b>14 APRIL 2022</b>				
14 Apr 2022	Lindsey Centre update	Sally Grindrod-Smith, Assistant Director of Planning and Regeneration, Elaine Poon, Local Development	An update on the leisure scheme following the concurrent committee meeting on 11 June 2019	24 March 2021

Order and Major Projects  
Officer

14 Apr 2022	Budget and Treasury Monitoring - Qtr 4 2021/2022	Sue Leversedge, Business Support Team Leader	This report sets out the revenue, capital and treasury management activity from 1 April 2021 to 31 March 2022.	15 September 2021
14 Apr 2022	Parking Strategy	David Kirkup	The parking management service is renewing its parking strategy. This report will submit the strategy to members for information and approval	03 November 2021

# Agenda Item 9a

By virtue of paragraph(s) 1, 2, 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted



# Agenda Item 9b

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

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