

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

AGENDA

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

Governance and Audit Committee
Tuesday, 16th July, 2024 at 2.00 pm
Council Chamber - The Guildhall

Members: Councillor Stephen Bunney (Chairman)
Councillor David Dobbie (Vice-Chairman)
Councillor Baptiste Velan (Vice-Chairman)
Councillor John Barrett
Councillor Mrs Jackie Brockway
Councillor Christopher Darcel
Councillor Sabastian Hague
Councillor Mrs Angela Lawrence
Alison Adams
Andrew Morriss

1. **Apologies for Absence**
2. **Public Participation Period**
Up to 15 minutes are allowed for public participation.
Participants are restricted to 3 minutes each.
3. **Minutes of Previous Meeting** (PAGES 3 - 10)
4. **Members Declarations of Interest**
Members may make any declarations of interest at this point but may also make them at any point during the meeting.
5. **Matters Arising Schedule** (PAGES 11 - 12)
Matters Arising schedule setting out current position of previously agreed actions as at 8 July 2024.
6. **Public Reports for Consideration**
 - i) Internal Audit Progress Report - Quarter One (PAGES 13 - 24)

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

Large Clear Print: Braille: Audio: Native Language

- ii) Quarter One Review of Strategic Risks 2024/25 (PAGES 25 - 63)
- iii) Risk Management Strategy Questionnaire (PAGES 64 - 75)
- iv) Annual Voice of the Customer Report 2023/24 (PAGES 76 - 111)
- 7. **Committee Workplan** (PAGES 112 - 115)
- 8. **Exempt Reports for Consideration**
- 9. **Fraud Risk Assessment** (PAGES 116 - 158)

Ian Knowles
Head of Paid Service
The Guildhall
Gainsborough

Monday, 8 July 2024

Governance and Audit Committee- 11 June 2024
Subject to Call-in. Call-in will expire at 5pm on

WEST LINDSEY DISTRICT COUNCIL

MINUTES of the Meeting of the Governance and Audit Committee held in the Council Chamber - The Guildhall on 11 June 2024 commencing at 2.00 pm.

Present: Councillor Stephen Bunney (Chairman)
Councillor David Dobbie (Vice-Chairman)

Councillor Mrs Jackie Brockway
Councillor Christopher Darcel
Councillor Sabastian Hague
Councillor Roger Pilgrim
Andrew Morriss

In Attendance:

Emma Foy	Director of Corporate Services and Section 151
Peter Davy	Financial Services Manager (Deputy Section 151 Officer)
Lisa Langdon	Assistant Director People and Democratic (Monitoring Officer)
Katy Allen	Corporate Governance Officer
Ele Snow	Senior Democratic and Civic Officer
Maisie McInnes	Democratic and Civic Officer

Apologies: Councillor Baptiste Velan
Councillor Mrs Angela Lawrence
Councillor Lynda Mullally
Alison Adams

Visiting Members: Councillor Matthew Boles

69 PUBLIC PARTICIPATION PERIOD

There were no public speakers.

70 MINUTES OF PREVIOUS MEETING

RESOLVED that the minutes of the previous meeting held on 16 April 2024 be approved and signed as a true and accurate record of the meetings.

71 MEMBERS DECLARATIONS OF INTEREST

There were no declarations of interest.

72 MATTERS ARISING SCHEDULE

Members heard that there were two additions to the Matters Arising Schedule following from actions raised at the previous Committee meeting. These related to the format of the Combined Assurance report and a future review of RAF Scampton which would be brought to the Committee.

With no further comment, the Matters Arising Schedule was duly **NOTED**.

72a Q4 INTERNAL AUDIT REPORT

The Section 151 Officer presented the Q4 Internal Audit Report on behalf of the Head of Internal Audit and Risk Management. Members heard that the Internal Audit Plan was 99% complete as of 12 April 2024, and the audits were now 100% complete. Three audit reports had been issued on Procurement, ICT Incident Management, and the Levelling Up Fund Phase 2. The ICT and Levelling Up audits were rated substantial, and the Procurement report had received a limited opinion. There were two assurance reports that were in the draft report stage relating to Performance Management and Financial Key Controls.

The Section 151 Officer assured Members that the Procurement report was the first and only limited assurance review for West Lindsey. The Council had requested for this area to be revisited by the new Internal Audit team in 2024/25 to ensure actions had been implemented and progress made. Some of the issues raised in the report related to updating the Council's Contract and Procurement Procedure Rules (CPPRs) in line with the new Procurement Act 2023, ensuring that resources were in place, compliance with procedure rules, and document management

Members discussed the report and felt that the limited assurance rating was inappropriate and too severe a rating given the ongoing work planned between the Council and Procurement Lincolnshire. Members questioned if Officers had challenged this rating and the Section 151 Officer responded that this was challenged during the audit process and the Council were busy implementing recommendations, making improvements and working on other outstanding audits. Members asked a question surrounding assessing cybersecurity and the Section 151 responded the Council was not ISO 27001 compliant yet and were not able to test controls at present and the statement had been amended to reflect this position.

The Chairman requested the Director of Operational and Commercial Services be invited to the next meeting of the Governance and Audit Committee to provide assurance in the Council's Procurement processes. The Chairman also asked Internal Audit (RSM) could report all audit actions within the report, low, medium, and high, with explanations included for Member's understanding. Aaron Macdonald, RSM Manager confirmed this could be included in Internal Audit reports going forward.

RESOLVED that Members considered the content of the report and identified any actions required.

72b INTERNAL AUDIT ANNUAL REPORT 2023/24

The Section 151 Officer presented the Internal Audit Opinion for 2023/24 on behalf of Lincolnshire Internal Audit. The Head of Internal Audit had signed off the 2023/24 audit and the report summarised the role of Internal Audit and their approach to the audit plan. The Internal Auditors (Lincolnshire Assurance) were satisfied that sufficient assurance work had been carried out, and controls were adequate and effective, and had been demonstrated to be working in practice. There was one limited assurance audit, and it was acknowledged that it did not impact the governance controls of the Council. The limited assurance Controls are substantial and audit testing have demonstrated working in practice. The limited audit on Procurement was being taken seriously by the Council, and recommendations were being implemented.

The Chairman thanked Officers at Lincolnshire Assurance for the positive report.

Members discussed the report and felt the limited assurance rating was inappropriate and the definition of limited provided in the report was not a true perception of the Council as there were no governance concerns.

RESOLVED that the

- 1) Head of Internal Audit's Annual report and opinion for 2023/24 be considered and any required actions identified.
- 2) That the Annual Report and the Head of Internal Audit's opinion be taken into account when considering the Council's Annual Governance Statement 2023/24.

72c YEAR END TREASURY MANAGEMENT OUTTURN

Members heard from the Financial Services Manager (Deputy 151 Officer) that the Council had complied with legislative and regulatory requirements for treasury management, and there were no breaches of the prudential indicators to report. The Annual Treasury Management Report 2023/24 outlined the statutory requirements and provided an update for Members on the progress made against the Council's original Treasury Strategy approved by Council in March 2023. The report had been written against the economic backdrop of high inflation at the beginning of the year which was now decreasing and high interest rates. It was a challenging year for investing, with short-term investments being used over long-term investments given the financial uncertainty with interest rates.

The Financial Services Manager (Deputy 151 Officer) highlighted section 4 of the report regarding debt maturity and the need for reborrowing to take place over the short-term. The team had closely monitored cashflow and borrowing over the annual period. The Council's capital financing requirement had reduced in 2023/24 as MRP had been applied. West Lindsey had overachieved on its investments over the period, with a total of £1.144m achieved and a budget of £577k.

Members praised Officers for the great report and asked if it was good practice to pay back a certain amount of debt. The Financial Services Manager (Deputy 151 Officer) explained minimum revenue provision (MRP) was based on the level of debt and the Council was

required to make calculations and set aside provision for this in line with statutory requirement.

RESOLVED that the contents of the report were reviewed, commented on and scrutinised by the Committee.

72d UNAUDITED STATEMENT OF ACCOUNTS 2023/24

Prior to the Officer's presentation, a copy of the report was circulated to ensure the correct version of the report and recommendation was considered by Members.

Members heard from the Financial Services Manager (Deputy 151 Officer) that the draft Statement of Accounts for 2023/24 had been prepared and the Governance and Audit Committee were responsible for approving the report. Members would be provided with training prior to the meeting on 24 September 2024, when the final audited accounts would be brought to Committee. The draft Statement of Accounts was published on the Council's website on 31 May 2024 and the audit of the accounts was due to be completed in September. The report highlighted the positive use of Council expenditure throughout the year and key projects being delivered in the Levelling Up Fund. Notably, the Council was holding £3.6m of Capital Grants for schemes to be delivered during 2024/25. The general fund had been reduced to £3.28m and there was an increase in earmarked reverses. The Council had a robust Medium-Term financial strategy and there were no material uncertainties.

The Financial Services Manager (Deputy 151 Officer) concluded his report and thanked the finance team for their dedication and hard work, especially during March and April to meet the 31 May deadline.

Members expressed concern regarding the length of the statement of accounts document, which had doubled in size from the previous year's Statement of Accounts. Members asked the rationale for this and if this was due to CIPFA and regulatory guidance. Members made comment to the specialist knowledge required to understand the financial detail in the Statement of accounts report and their role on the Committee approving the report. The Section 151 Officer confirmed that the report was produced in line with CIPFA guidance, and the report included more photographs as previously requested by members and included the Council's Annual Governance Statement. She explained to Members that their role was not to have specialist knowledge of the accounts, but to scrutinise the governance arrangements in place and KPMG were to advise Members and provide assurance. Members would have a private meeting with KPMG, the Council's external auditors, prior to the September meeting.

The External Auditor, KPMG explained to Members that their role was to gather assurance from various sources on financial processes used to produce the Statement of Accounts. The External Auditor would produce reports detailing any risks and errors identified in the Statement of Accounts, as well as any control deficiencies and other observations to inform Members to help with their decision-making. The External Auditors also had the power to contact the Chairman of the Governance and Audit Committee with any concerns, and they had the opportunity to hold meetings with Members bi-annually, in addition to attending Committee meetings.

Members suggested that version variations of the Statement of Accounts be produced so that everyone had the opportunity to read and understand the report. Members questioned the decrease in Pension liability and asked for clarification from Officers. The Financial Services Manager (Deputy S151 Officer) explained that the reduction in liability was the biggest movement on the Council's balance sheet. It was anticipated that investment returns, the GILTs market and economic climate had led to changes in liability assumptions. The next review of the Pension Fund could see payment adjustments being made and any changes would be updated to the Governance and Audit Committee.

Members asked for assurance regarding the collection of council tax and any monies owed to the Council. The Section 151 Officer explained that there was concern with the decline in the collection rate of council tax, and that there could be a serious financial implication for West Lindsey, Lincolnshire County Council, and the police. There was a revised implementation plan to improve performance in this area. A report would be brought back to the Governance and Audit Committee, as well as the Overview and Scrutiny Committee and Corporate, Policy and Resources Committee.

The Chairman read aloud the recommendation for Members and announced there would be mandatory training for Members before the September Committee Meeting on the Statement of Accounts. The Chairman suggested a working group consisting of a few Committee Members to review the Statement of Accounts.

RESOLVED that the attached Unaudited Statement of Accounts 2023/24 be pre-scrutinised by Members and any comments referred to the Section 151 Officer and the Council's external auditors, KPMG.

72e DRAFT ANNUAL GOVERNANCE STATEMENT

The Section 151 Officer presented the draft Annual Governance Statement at explained the process to Members, who would be able to provide feedback on the report, and the report would be reviewed, and an amended final report would be brought back to Committee in September. She summarised the key changes and updates:

- The governance framework and risks had been updated, as well as key achievements to reflect the successes of 2023/24.
- The Internal Audit opinions had been reviewed and revised.
- The governance action plan was updated to reflect the key governance risks for 2024/25 which included risks relating to the loss of key staff, review of constitution, financial settlement, and fraud risk.
- There was a need to ensure processes were fully documented and succession plans were in place where appropriate to increase resilience, and a Workforce Development Strategy would be produced to detail the importance of this.

RESOLVED that the Draft Annual Governance Statement was noted by the Committee.

72f ESTABLISHMENT OF THE JOINT COMMITTEE FOR DEVOLUTION (TERMS OF REFERENCE AND STANDING ORDERS)

Members were requested to consider the governance arrangements for the establishment of the Joint Committee for Devolution and consider the recommendations to go to Council on 24 June 2024. The Monitoring Officer explained that Members were aware of the devolution in Greater Lincolnshire and the combining of the three authorities North Lincolnshire, North East Lincolnshire, and Lincolnshire County Councils to create the Mayoral Combined County Authority (MCCA). As part of this, the seven District Councils would be able to participate via the Joint Committee forum and 4 Members would be elected on the Committee, as well as on the Overview and Scrutiny and Audit Committees. The Joint Committee for Devolution would have overall oversight of the ongoing transition work and governance arrangements. The Monitoring Officer highlighted Section 2.3 which contained the Scope of the Joint Committee as well as the proposed Terms of Reference and Standing Orders. The Chief Executives and Leaders of the respective authorities had been briefed and provided input into the development of the documents. Since the publication of the report there had been an addition made to the Terms of Reference to allow the Joint Committee to consider any other matters that were of interest to the committee. The Monitoring Officer concluded the report and highlighted the recommendations and shared that any changes would be brought back to the Governance and Audit Committee for consideration.

Members discussed the report and asked for clarification on the definition of non-constituent and constituent members. The Monitoring Officer explained constituent members referred to members of the three authorities and non-constituent referred to District Council Members.

Members asked what scrutiny of the Joint Committee would look like and how Members would be able to provide scrutiny input. The Monitoring Officer responded that approval would be sought from Full Council to participate in the Joint Committee and any amendments to documents would be brought back to the Committee for Oversight. There would also be an Overview and Scrutiny Committee created for oversight of the Joint Committee. The Joint Committee would be a public meeting and Members would be able to view the reports, attend and observe meetings.

The Chairman suggested that reports on the Joint Committee come to the Committee for further discussion. The Monitoring Officer proposed that regular reports on the performance of the Joint Committee be brought back to the Governance and Audit Committee.

It was proposed and seconded that progress reports relating to the performance of the Joint Committee for Devolution be brought to the Governance and Audit Committee.

RESOLVED that

- 1) The establishment of a District Joint Committee of the Lincolnshire Districts for the purposes of devolution and participation at the Mayoral Combined County Authority be **RECOMMENDED** to Council for approval.
- 2) It be **RECOMMENDED** to Council that the Leader of West Lindsey District Council be proposed to represent the authority at the District Joint Committee .
- 3) The proposed Terms of Reference and Standing Orders for the District Joint

Committee be endorsed and RECOMMENDED to Council for approval.

- 4) It be requested that any further review or amendment of the Terms of Reference be delegated by Council to the Governance and Audit Committee.
- 5) The Monitoring Officer to provide progress reports on the performance of the Joint Committee to the Governance and Audit Committee.

72g MEMBER DEVELOPMENT ANNUAL REPORT 2023/2024

The Senior Democratic and Civic Officer presented the Member Development Annual Report which contained a summary of the Member Development activity that had taken place between May 2023 and April 2024. Over the past 7 months, a renewed approach to Member Development had taken place, following an Induction Review report received by the Governance and Audit Committee in September 2023, which outlined the renewed approach to Member Development. The Member Development Annual Report 2023/24 outlined the progress made over the previous year, and future actions for the next Civic year. The Senior Democratic and Civic Officer was pleased to report to Members that the renewed approach had proved successful, and there was a higher attendance rate to sessions and positive feedback on training. Officers had a log of requests and requirements from Members, as detailed in Appendix 1, and were open to receiving feedback and suggestions on improvements. The report was a living document and would be continually updated as sessions were identified and delivered.

In terms of further improvement, it had been identified that formal feedback could be improved as there was not enough data for Officers to be able to analyse individual sessions. It was also felt that the Microsoft Teams Channel which contained Member Development resources had not been actively utilised by Members and a training session on how to access this resource was being scheduled. The Member Development Group responsible for reviewing the Member Development programme, was pivotal for feedback and continuing the improvement of Member Development. The updated Terms of Reference for the group was contained in the report, as well as the proposed work programme for the 2024/25 Civic year.

Members discussed the report and expressed that they had attended sessions and felt these were of a very good standard. Members suggested online training courses which Members could log onto and complete. The accessibility of training sessions was discussed, and the speed of speakers and hearing issues were raised. The Senior Democratic and Civic Officer responded to Member comments that an online platform was previously rolled out, but the feedback was that this was not helpful. A dedicated Microsoft Teams Channel holds Member Development resources, transcripts and recorded sessions managed by the Member Development Officer, Claire Stockdale. Officers were planning to run a Team's training sessions for Members so they can get the most out of the Member Development sessions, with the use of the Q&A and other functions, as well as accessing material from sessions. Democratic Services were always available for Members to provide feedback on sessions and any accessibility needs.

Members requested more data and information on Member attendance and a list of external courses, conference and other training provided to Members at the next Annual update.

RESOLVED that

- 1) The report be accepted as an accurate reflection of Member Development activity for the 2023/24 Civic Year; and
- 2) The proposed Terms of Reference for the Member Development Group, and subsequent work programme, for the 2024/25 Civic Year be approved.

73 COMMITTEE WORK PLAN

With no comments, the Workplan as set out in the report was **NOTED**.

The meeting concluded at 3.32 pm.

Chairman

Governance & Audit Committee Matters Arising Schedule

Purpose:

To consider progress on the matters arising from previous Governance & Audit Committee meetings.

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

Governance and Audit Committee					
Status	Title	Action Required	Comments	Due Date	Allocated To
Green	Regular reporting on the performance of the Joint Committee for Devolution	Progress reports to be brought to the Governance and Audit Committee for oversight.		Ongoing	Lisa Langdon
Green	Internal Audit Reporting of Actions	Internal Audit to provide commentary on audit actions as context for Members in the report.		24/09/24	Emma Foy/RSM
Green	Assurance on the Council's Procurement Process	The Director of Operational and Commercial Services be invited to a future meeting to provide assurance to Members.		24/09/24	Ady Selby
Green	Member Attendance at Training Sessions	More data and information on Member attendance and a list of external courses, conferences attended and other training provided to Members to be reported in the next Member Development Annual Report.		06/25	Ele Snow
Green	Combined Assurance Report Accessibility	Members requested at the previous Committee meeting that the green text be changed on the Combined Assurance report to make it easier to read. It was agreed at the meeting that the team would revise the formatting.	Format of the report to be updated before the next report comes to Committee in January.	21/01/25	Emma Foy
Green	Review of RAF Scampton	Members requested at the previous Committee meeting that an update report to review RAF Scampton and a reflection on learning be brought to a future meeting of the Governance and Audit Committee		Ongoing	Emma Foy

Black	Counter Fraud Assessment Report	Add report onto the Committee workplan once the work commissioned (starting on 27 November 2023) has been completed.		08/04/24	Emma Foy
Black	Strategic Risk Register Request to Management Team	Raised at the meeting on 23 January 2024 - MT be requested to consider reviewing the likelihood and risk score attached to the sustainability action. MT also be requested to review the likelihood risk score and all risks attached to the Scampton action.	Matters have been raised with MT and the Strategic Risk Register will be considered by Committee in April 2024.	31/03/24	Katy Allen



**Governance & Audit
Committee**

16 July 2024

Subject: Internal Audit Progress Report – Quarter One

Report by:

Aaron McDonald, Manager. RSM

Contact Officer:

Assistant Director of People and Democratic
Services

Lisa.Langdon@west-lindsey.gov.uk

Purpose / Summary:

To present to members the Quarter Three
Internal Audit Progress Report.

The report gives members an update of progress
by RSM against the 2024/2025 annual
programmes agreed by the Audit Committee in
April 2024.

RECOMMENDATION(S):

That Members consider the content of the report and identify any actions
required.

IMPLICATIONS

Legal: None directly arising from this report.

Financial: FIN/7/24/PD

There are no financial implications directly arising from this report.

Staffing: None arising from this report

Equality and Diversity including Human Rights:

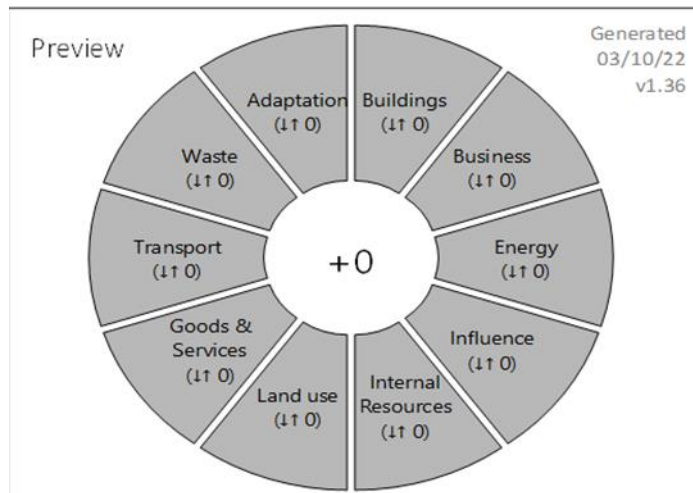
None arising from this report.

Data Protection Implications:

None arising from this report.

Climate Related Risks and Opportunities:

None directly 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 :

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

Risk Assessment :

N/A

Call in and Urgency:

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

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

Yes

No

x

Key Decision:

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

Yes

No

x

1. Introduction

Lincolnshire Assurance provide our Internal Audit Service and have prepared their Quarter Three Internal Audit Progress report for consideration.

The report will be presented Lincolnshire Assurance.



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WEST LINDSEY DISTRICT COUNCIL

Internal Audit Progress Report

16 July 2024

This report is solely for the use of the persons to whom it is addressed.
To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party.

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KEY MESSAGES

The internal audit plan for 2024/25 was approved by the Governance and Audit Committee at the 16 April 2024 meeting. This report provides an update on progress against the plan and summarises the results of our work to date.



We have not issued any final reports as part of the internal audit plan since the Governance and Audit Committee meeting in June 2024.

- Details of the progress made against the internal audit plan are included at Appendix A. [\[To note\]](#)
- Fieldwork dates have been agreed with management for all of the internal audits scheduled for 2024/25 to ensure that all fieldwork will be completed by the end of the year, and our Head of Internal Audit Opinion can be provided at the first meeting of the 2025/26 financial year. [\[To note\]](#)
- There have been no amendments to the internal audit plan since the last meeting. [\[To note\]](#)

Appendices

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APPENDIX A: PROGRESS AGAINST THE INTERNAL AUDIT PLAN 2024/25

Assignment and Executive Lead	Status / Opinion issued	Actions agreed				Target Governance and Audit Committee meeting	Actual Governance and Audit Committee meeting
		A	L	M	H		
IT Operations	Audit Commencing 26 June 2024					September 2024	-
Follow Up 1	Audit Commencing 22 July 2024					September 2024	-
Risk Management	Audit Commencing 21 August 2024					November 2024	-
Staff Appraisal Process	Audit Commencing 9 September 2024					November 2024	-
Purchasing and Creditors	Audit Commencing 14 October 2024					November 2024	-
Procurement	Audit Commencing 28 October 2024					January 2025	-
Combined Assurance	Audit Commencing 18 November 2024					January 2025	-
Complaints Handling	Audit Commencing 25 November 2024					January 2025	-
Project and Programme Management	Audit Commencing 27 November 2024					January 2025	-
Customer Experience Strategy	Audit Commencing 27 January 2025					March 2025	-
Emergency Planning / BCP	Audit Commencing 24 February 2025					April 2025	-
Follow Up 2	Audit Commencing 17 March 2025					April 2025	-

APPENDIX B: OTHER MATTERS

Quality assurance and continual improvement

To ensure that RSM remains compliant with the PSIAS framework we have a dedicated internal Quality Assurance Team who undertake a programme of reviews to ensure the quality of our audit assignments. This is applicable to all Heads of Internal Audit, where a sample of their clients will be reviewed. Any findings from these reviews are used to inform the training needs of our audit teams.

As part of the Quality Assessment and Improvement Programme, none of your files were selected for Internal Quality Monitoring programme during 2024/25. From the results of the reviews undertaken across our client base, there are no areas which we believe warrant flagging to your attention as impacting on the quality of the service we provide to you.

In addition to this, any feedback we receive from our post assignment surveys, client feedback, appraisal processes and training needs assessments is also taken into consideration to continually improve the service we provide and inform any training requirements.

Post assignment surveys

We are committed to delivering an excellent client experience every time we work with you. Your feedback helps us to improve the quality of the service we deliver to you. Following the completion of each product, we include a link to a brief survey in each report we issue.

We are committed to delivering an excellent client experience every time we work with you. Your feedback helps us to improve the quality of the service we deliver to you.

Currently, following the completion of each product we deliver we attached a brief survey for the client lead to complete.

APPENDIX C: KEY PERFORMANCE INDICATORS

	Delivery				Quality		
	Target	Actual	Notes*		Target	Actual	Notes*
Audits commenced in line with original timescales*	Yes	Yes		Conformance with PSIAS	Yes	Yes	
Draft reports issued within 10 days of debrief meeting	10 working days	N/A		Liaison with external audit to allow, where appropriate and required, the external auditor to place reliance on the work of internal audit	Yes	Yes	
Management responses received within 10 days of draft report	10 working days	N/A		Response time for all general enquiries for assistance	2 working days	2 working days	
Final report issued within 3 days of management response	3 working days	N/A		Response for emergencies and potential fraud	1 working day	N/A	

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Notes

This takes into account changes agreed by management and the Governance and Audit Committee during the year. Through employing an agile or a flexible approach to our service delivery we are able to respond to your assurance needs.

FOR FURTHER INFORMATION CONTACT

Rob Barnett, Head of Internal Audit

Aaron Macdonald, Manager

Email: Robert.Barnett@rsmuk.com

Email: Aaron.Macdonald@rsmuk.com

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rsmuk.com

The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Actions for improvements should be assessed by you for their full impact. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

Our report is prepared solely for the confidential use of West Lindsey District Council, and solely for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM UK Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

This report is released to you on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent.

We have no responsibility to update this report for events and circumstances occurring after the date of this report.

RSM UK Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB.



**Governance and Audit
Committee**

16 July 2024

Subject: Quarter One Review of Strategic Risks 2024/25

Report by:	Assistant Director People & Democratic Services
Contact Officer:	Lisa Langdon Assistant Director People & Democratic Services
Purpose / Summary:	To present to Governance and Audit Committee for review, the strategic risks facing the Council as at June 2024

RECOMMENDATION(S):

Governance and Audit Committee are asked to review the register and to consider:

- Do any additional risks of a strategic nature exist?
- Are current controls and proposed actions sufficiently robust?

IMPLICATIONS

Legal: None

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

Financial:

There are no financial implications arising from this report.

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

Staffing: None

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

Equality and Diversity including Human Rights: None

Any changes to projects/services/policies would require their own EIA to be carried out.

Data Protection Implications: None

Climate Related Risks and Opportunities:

The Strategic Risk register records, monitors and mitigates the risks of the Council not achieving its Corporate Plan and statutory objectives. This has been taken into account within these Strategic Risks in line with the Corporate Plan 2023-27.

Section 17 Crime and Disorder Considerations: None

Health Implications: None

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

<https://www.west-lindsey.gov.uk/my-council/how-the-council-works/key-plans-policies-and-strategies/risk-management/>

Risk Management Strategy 2019-2023

Risk Assessment: None

Call in and Urgency:

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

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

Yes

No

x

Key Decision:

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

Yes

No

x

Summary of Strategic Risks – as at June 2024

Theme	Description	Owner
Our Council	Inability to set a sustainable balanced budget for 2024/25	Emma Foy
	Cost related to the proposed asylum centre at Scampton has an adverse impact on financial sustainability	Emma Foy
	The quality of services do not meet customer expectations	Ady Selby
	The Council is underprepared for the impact of extreme weather due to the change in environmental conditions	Ady Selby
	Inability for the Council's governance to support quality decision making	Lisa Langdon
Our People	Inability to raise local educational attainment and skills levels	Sally Grindrod-Smith
	Inadequate support is provided for vulnerable groups and communities	Sally Grindrod-Smith
	Health and wellbeing of the District's residents does not improve.	Sally Grindrod-Smith
Our Place	The local housing market and the Council's housing related services do not meet demand	Sally Grindrod-Smith
	The local economy does not grow sufficiently	Sally Grindrod-Smith
	Insufficient action taken to create a cleaner and safer district	Nova Roberts
	Inability to deliver our Climate Change ambitions and not deliver net zero carbon emissions by 2050	Rachael Hughes

Overarching	Inability to maintain critical services and deal with emergency events	Ady Selby
	ICT Security and Information Governance arrangements are ineffective (Parts A-D)	Nova Roberts
	Inability to maintain service delivery with the amount of change initiatives	Nova Roberts
	Failure to comply with legislation including Health and Safety matters	Lisa Langdon
	Central Lincolnshire Local Plan does not deliver land required for sustainable development to meet the needs of residents, businesses and communities	Rachael Hughes
	Increased Cyber threat to the General Election' and 'threat to the UK democratic organisations and processes'	Nova Roberts

1 Introduction

- 1.1 Strategic risks are considered as being those faced by the Council that, if materialised, would adversely impact the delivery of corporate priorities.
- 1.2 This approach reflects the guidance provided by the Association of Local Authority Risk Managers (ALARM). This body advocates that strategic risks should focus on the long-term objectives of the organisation, which can be affected by areas such as financial concerns, political risks, legal and regulatory changes and changes in the physical environment.
- 1.3 The Governance and Audit Committee review the strategic risks on a quarterly basis. (Previously presented 16 April 2024)

2 Monitoring Arrangements

- 2.1 The strategic risks are presented to the Council's Management Team monthly for review.
- 2.2 The Management Team review the risks, control measures and future actions to ensure that they remain sufficiently robust to mitigate the identified risks.
- 2.3 Where corrective action is required and/or additional risks are identified, the strategic risk register is updated accordingly.
- 2.5 Since the last report in April 2024 there have been a small number of changes made. Most changes are to the commentary, current controls or actions needed. However, where changes have affected the score or it is a new risk these are noted below:

Strategic Risk	Change	Owner
Increased Cyber threat to the General Election' and 'threat to the UK democratic organisations and processes'	New Risk	Nova Roberts

- 2.6 The full detailed list of strategic risks are presented in Appendix One.

3. Risk Matrix

- 3.1 To assess the severity of potential risks, the Council uses the following matrix based on the relationship between the likelihood and impact of risks arising.

I m p a c t	Critical	4	8	12	16
	Major	3	6	9	12
	Minor	2	4	6	8
	Negligible	1	2	3	4
		Hardly Ever	Possible	Probable	Almost Certain
	Likelihood				

3.2 The following guidance is available to determine which classification is applied:

You should assign a number in the range 1-4 as follows:	
Likelihood: 1 = Hardly Ever (<5%) 2= Possible (5-35%) 3= Probable (35-75%) 4= Almost Certain (>75%)	
1 = Negligible Impact: <ul style="list-style-type: none"> • Minor service disruption • Minor Injury • Financial loss < £250k • Isolated complaints 	2 = Minor Impact <ul style="list-style-type: none"> • Service disruption • Loss time injury • Financial loss >£250k - £500k • Adverse local media coverage • Failure to achieve a service plan objective
3 = Major Impact <ul style="list-style-type: none"> • Significant service disruption • Major/disabling injury • Financial loss >£500k - £1m • Adverse national media coverage • Failure to achieve Corporate Plan objective 	4 = Critical <ul style="list-style-type: none"> • Total service loss for a significant period • Fatality to employee, service user or other • Financial loss >£1m • Ministerial intervention in running service

3.3 This methodology enables each risk to be categorised as either low, medium or high in nature and prioritisation as regards mitigations can be applied.

3.4 Using the methodology, the Council's Risk Management Strategy (2019-2023) sets out the requirement for risk owners to score the current (inherent) risk and the target (residual) risk once mitigations have been applied.

4. Recommendation

4.1 Members are asked to review the register and to consider:

- Do any additional risks of a strategic nature exist?
- Are current controls and proposed actions sufficiently robust?

Risk Ref: Our Council	Risk Owner: Emma Foy	Date Reviewed: 10 June 2024					
Description of Strategic Risk: Inability to set a sustainable balanced budget for 2025/26							
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score		
<p>1.Commercial ventures do not realise expected financial gains.</p> <p>2. Council Tax Collection does not reach target level</p> <p>3.Government funding arrangements do not match estimates used in financial modelling.</p> <p>4.Outcomes of: Business Rates Review; Fairer Funding Review; Comprehensive Spending Review; expected savings, efficiency or income initiatives do not deliver expected benefits.</p> <p>5.Cessation of grant/match-funding streams.</p> <p>6.Growth forecasts for District are not realised.</p> <p>7.Unanticipated rise in demand for services.</p> <p>9.Invest Gainsborough does not deliver.</p> <p>9.Business planning is not robust.</p> <p>10. Ongoing financial impacts of Covid-19, cost of living issues and Ukraine developments.</p> <p>11. Income Generating services do not achieve business plan expectations</p>	<p>1. Cuts or reductions in services.</p> <p>2. Staff redundancies.</p> <p>3. Inability to deliver Corporate Plan priorities.</p> <p>4. Growth of the District stagnates.</p> <p>5. Reputational damage.</p>	<p>1.MTFP in place.</p> <p>2. Commercial trading and investment programme in place</p> <p>3.Annual business planning.</p> <p>4.Regular budget monitoring.</p> <p>5.Identification and use of grant-funding opportunities.</p> <p>6.Value for Money approach adopted.</p> <p>7.Lobbying in place</p> <p>8.Regular review of the commercial property portfolio.</p> <p>9.Volatility and risk reserves maintained.</p> <p>10.Resilience indicators developed and monitored.</p> <p>11. Working Balance minimum set at £2.5m.</p> <p>12. Commercial risk indicators set.</p> <p>13. Working jointly across Lincolnshire to mitigate inflationary pressures.</p> <p>14. Regular deputy s.151 monitoring of achievement of business plans</p> <p>15. Council Tax collection recovery plan to be in place.</p>	3	4	Current Score: 12		
			Target Score: 4				
			Next Risk Review Meeting: 8 July 2024				
<p>Commentary:</p> <p>The risk has increased due to failure to meet Collection Rate targets for consecutive quarters.</p>							

12. General Election and New Government provides further cuts in funding.				
Actions for Improvement			Completion Date:	Officer:
Member and Officer workshops so that everyone understands financial position			31/07/2024	Emma Foy

Risk Ref: Our Council	Risk Owner: Emma Foy	Date Reviewed: 10 June 2024			
Description of Strategic Risk: Cost related to the proposed asylum centre at Scampton has an adverse impact on financial sustainability					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Home Office have taken ownership of RAF Scampton to deliver an asylum accommodation site for up to 800service users. 2. The Council was preferred bidder to procure the site to deliver a significant heritage and regeneration programme via a development partner	1. Non-Delivery of the RAF Scampton Heritage Centre. 2. Reduction of Business Rates income from the site. 3. Additional service requirements as a result of alternative use e.g. CCTV, Homelessness, Anti-social behaviour, community cohesion, licensing.	1. Discussions with Home Office 2. Partnership Work across all statutory agencies in Lincolnshire. 3. Legal action (Judicial review). 4. Financial negotiations with Home Office and partner organisations. 5. Ongoing representation by local MP. 6.Ongoing demands for local community consultation.	3	3	Current Score: 9
					Target Score: 1
					Next Risk Review Meeting: 8 July 2024
			Commentary: The JR has already been held and our claim dismissed, the Council is appealing this decision. Negotiations are continuing over funding. These negotiations are limited though due to lack of information coming forwards from Central Government.		
Actions for Improvement				Completion Date:	Officer:
Implementation of the funding agreement				28/06/2024	Emma Foy
Agree funding arrangement with Central Government				26/05/2024	Emma Foy
Ongoing attendance and representation at MAG meetings				21/12/2024	Ian Knowles

Risk Ref: Our Council	Risk Owner: Ady Selby	Date Reviewed: 10 June 2024						
Description of Strategic Risk: The quality of services do not meet customer expectations								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
1. Poorly trained staff. 2. Systems and processes do not adequately support service delivery. 3. Resources available do not match demands on services. 4. Higher than expected customer expectations. 5. Insufficient attention paid to customer feedback. 6. The inability to meet current and future need and demand based on evidence and insight.	1. Rise in number of complaints. 2. Reputational damage. 3. Financial loss - compensation costs and income reductions. 4. Reduction in market share of traded services. 5. Ineffective support for vulnerable customers.	1. Procedure in place to receive customer feedback, including complaints. 2. Customer Experience Officer appointed. 3. Training and development plans for officers. 4. Performance measures in place/monitored and reported. 5. T24 service reviews underway. 6. Continual development of Customer Relationship Management (CRM) technology. 7. Robust performance mgt in place. 8. Benchmarking processes in place. 9. Dedicated corporate training budget. 10. Customer Experience Strategy being actioned. 11. Quality Management Board in place. 12. New structure rolled out in Customer Services including strengthening links with service areas. 13. New contact centre technology procured and to rolled out in August 2024. 14. Compliance with new national complaints handling guidance. Monitoring by government to start in 2025.	2	3	Current Score: 6 Target Score: 4			
			Next Risk Review Meeting: 8 July 2024			Commentary: The T24 programme is designed to put the customer at the centre of every service and will help to mitigate this risk. Feb 24 away day recommends next service reviews and returning to recommendations of previous reviews to ensure delivery completion. The Customer Experience Strategy has been agreed and currently is being implemented. New CRM and other procured software will strengthen the quality of retained information – CRM and ERP development continues and new processes proving beneficial to customers. New Contact Centre roll out begins August 24.		
			Actions for Improvement			Completion Date:	Officer:	
Continual development of CRM and ERP systems			31/10/2024	Daniel Reason				
Continual development of P&D reporting and review of measures			31/10/2024	Lyn Marlow				
Customer Experience Strategy to be taken to WMT			31/10/2024	Lyn Marlow				
Strengthen ties between Customer Experience Strategy and Services			31/10/2024	Lyn Marlow				

Risk Ref: Our Council	Risk Owner: Ady Selby	Date Reviewed: 10 June 2024				
Description of Strategic Risk: The Council is underprepared for the impact of extreme weather due to the change in environmental conditions						
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score	
1. Weather events and impacts such as storms, excessive heat/cold and flooding.	1. Impact on residents and businesses creating demand on services both in and out of hours, front line services such as Customer Services and Waste. 2. Capacity of officers involved in LRF in response and recovery phases. 3. Protection of staff in extreme temperatures. 4. Financial cost due to the need for rest centres, accommodation and any necessary house/garden clearance. 5. Risk to the reputation of the council due to perception of the Council not supporting their residents and businesses.	1. Emergency Plan 2. Business Continuity Plans 3. Service level extreme weather plans 4. Out of hours strategic and operational call out service 5. Staff Facebook group to ask for additional support 6. Members of Lincolnshire Resilience Forum. 7. Member Environment Working Group 8. Member and officer flood and drainage working groups 9. Member emergency planning training 10. Ongoing Officer training at strategic and tactical level 11. Member of LRF Warn and Inform group 12. Potential to identify reserve budget for impact of severe weather	4	3	Current Score: 12	
						Target Score: 10
						Next Risk Review Meeting: 8 July 2024
			<p>Commentary:</p> <p>Recent events such as Storms Babet and Henk and the 2023 European heatwave have demonstrated the potential impacts of such scenarios on our residents, businesses and services. Most commentators predict occurrences will become more regular in coming years and the Council should prepare to deal with outputs using its skills and relationships.</p> <p>Flood and Drainage Working Groups continue to operate effectively (Mar 24) Council resolved to write to LCC confirming support of further water management working group (March 24 to dispatch) All service area BCP's undertaking full review (Sept 24) Three yearly review of Emergency Plan underway MT to consider current emergency arrangements including officer and Member training plan (Sept 24) Member Emergency Planning training undertaken.</p>			
Actions for Improvement				Completion Date:	Officer:	
Review Emergency Plan and business continuity arrangements				30/09/2024	Ady Selby	

Risk Ref: Our Council	Risk Owner: Lisa Langdon	Date Reviewed: 10 June 2024					
Description of Strategic Risk: Inability for the Council's governance to support quality decision making							
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score		
1. Ineffective governance framework. 2. Delays to Member training. 3. Lack of political awareness from Staff. 4. Out of date Council Constitution. 5. Ambiguity around the ambitions of the Council. 6. Member/Officer relations. 7. Insufficient awareness of constitutional requirements	1. Inefficient use of resources. 2. Reputational loss. 3. Rise in no. of Standard Complaints. 4. Judicial Reviews and Planning Appeals. 5. Delay in delivery/cancellation of key Council projects. 6. Concerns from Internal/External Auditors and others in relation to governance arrangements. 7. Poor Staff/Member working relationships and low morale. 8. Risk of legal challenges	1. Member and Staff training and development programmes in place. 2. Member/Officer protocols established. 3. Annual review of the Council's Constitution. 4. Member's Code of Conduct and Officer Code of Conduct in place. 5. Robust corporate governance framework. 6. Annual schedule of audits and internal/external audit oversight. 7. Corporate Plan 2023-27 approved. 8. Programme Boards operating to oversee project development 9. Regular Chief Executive/Leader discussions. 10. Core Governance Skills Programme completed.	2	3	Current Score: 6 Target Score: 3		
			Next Risk Review Meeting: 8 July 2024			Commentary: Members and officers within the wider management team have been provided with political awareness training. Leader and Deputy Leader commencing LGA Leadership Training for Councillors. Revised training plan agreed in Sept 2023 by Governance and Audit Committee with delivery timescales running until end April 2024 and 2024/2025 training to continue in accordance with the training programme. The Constitution is being reviewed and the refreshed version will be presented to the Governance and Audit Committee in the Autumn of 2024.	
			Actions for Improvement			Completion Date:	Officer:
To continue with annual Member training in accordance with the annual training plan.			30/03/2025	Emma Foy			
Quarterly review of Strategic Risks			31/07/2024	Katy Allen			

Risk Ref: Our People		Risk Owner: Sally Grindrod-Smith		Date Reviewed: 10 June 2024				
Description of Strategic Risk: Inability to raise local educational attainment and skills levels								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
<p>1. Poor teaching standards.</p> <p>2. Lack of stability within schools.</p> <p>3. Lack of appropriate role-modelling to raise aspirations.</p> <p>4. Insufficient out-of-school support or mentoring.</p> <p>5. Failure to address issues relating to Gainsborough in particular.</p> <p>6. Loss of existing provision.</p>	<p>1. Adverse effect on the career/further education opportunities of young people.</p> <p>2. Inability of local job market to meet recruitment needs of employers.</p> <p>3. Wage profile of the economy does not rise.</p> <p>4. Poorer life chances for young people.</p> <p>5. Increased welfare dependency and rise in vulnerable groups.</p> <p>6. Viability of education and skills providers threatened.</p>	<p>1. West Lindsey Employment & Skills Partnership operating in line with approved strategy and delivery plan.</p> <p>2. Supporting work experience for young people.</p> <p>3. Continue to be part of the Enterprise Adviser network, supporting careers advice and provision amongst all secondary and special schools.</p> <p>4. UKSPF investment plan and Multiply delivery.</p> <p>5. Engage with UKAEA and skills providers across Lincolnshire and Nottinghamshire to develop skills provision for STEP Fusion plant.</p> <p>6. Work with Lincolnshire County Council on aspiration raising programme in primary schools.</p>	3	3	<p>Current Score: 9</p> <p>Target Score: 9</p>			
			Next Risk Review Meeting: 8 July 2024			<p>Commentary:</p> <p>Employment and Skills Partnership continues to deliver. Committee agreement to include the role of Further Education Taskforce.</p> <p>Strategic Skills Collaboration for UKAEA STEP project is going from strength to strength and UKAEA recognise the value of working with local partners. The partnership is fully engaged with the live procurement exercise to be the provider of choice for the early skills delivery and WLDC playing an active role.</p> <p>Close working with LEP Enterprise Advisers to ensure local delivery in West Lindsey schools.</p> <p>UKSPF interventions in delivery. Skills Reach study completed and published, now being used to inform refresh of the Employment and Skills Partnership action plan and the development of future interventions.</p> <p>UKSPF funding supporting Careers Net and Move On projects in the district.</p> <p>3,000 primary age pupils engaged to date during 2024 through aspiration assemblies.</p>		
			Actions for Improvement			Completion Date:	Officer:	
			Refresh the Employment and Skills partnership action plan			01/09/2024	Amanda Bouttell	

Development of projects to identify and address specific skills shortages (technical and vocational) within key employers/sectors, with a focus on key growth sectors including Agri Tech, Care, Manufacturing, Defence, Alternative Energy and the Visitor Economy.	31/03/2025	Amanda Bouttell
Fully participate in UKAEA Skills Collaboration to ensure final tender submitted as provider collaboration for early skills delivery	01/09/2024	Sally Grindrod-Smith

Risk Ref: Our People	Risk Owner: Sally Grindrod-Smith		Date Reviewed: 10 June 2024					
Description of Strategic Risk: Inadequate support is provided for vulnerable groups and communities								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
<p>1. Lack of strategic focus on relevant matters.</p> <p>2. Inability to identify and reach vulnerable groups.</p> <p>3. Insufficient/ inaccurate data analysis to establish need.</p> <p>4. Lack of engagement with and from vulnerable groups.</p> <p>5. Impact of cost of living crisis on all communities.</p> <p>6. Impact of cost of living crisis on communities that are already identified as vulnerable.</p>	<p>1. Cycle of dependency is perpetuated.</p> <p>2. Demand pressures on services and resources.</p> <p>3. Rural Isolation and increase in rural poverty.</p> <p>4. Increased demand on formal/informal support networks.</p> <p>5. Inability of communities to reach self-sufficiency.</p> <p>6. Health inequalities widened.</p>	<p>1. Innovation re service provision.</p> <p>2. Targeted enforcement project in private rented sector currently being developed.</p> <p>3. Focused support for residents of Hemswell Cliff.</p> <p>4. Development of normalisation strategy for Scampton.</p> <p>5. Safeguarding policies and procedures operating.</p> <p>6. Wide-range of enforcement tools.</p> <p>7. Effective multi-agency partnership working.</p> <p>8. Communities at Risk Strategy in place.</p> <p>9. Audit recommendations adhered to.</p> <p>10. Housing, Wellbeing and Communities Board have oversight.</p> <p>11. UKSPF Investment Plan with focus on communities.</p> <p>12. Working through Multi Agency Forum to minimise impact of Home Office Asylum proposals.</p> <p>13. Shared use proposal development with Home Office to support in unlocking regeneration and managing impact of asylum accommodation proposals.</p>	3	3	<p>Current Score: 9</p> <p>Target Score: 6</p>			
			Next Risk Review Meeting: 8 July 2024					
			<p>Commentary:</p> <p>Review of P3 Gainsborough Housing and Support project completed and to be presented to committee in April. Opportunity to consider future areas of funding to expand the project. UKSPF interventions delivering community grants to support the sustainability of community facilities.</p> <p>Engagement with Lincolnshire Resettlement Partnership and East Midlands Councils ensures we understand and respond to national asylum resettlement issues.</p> <p>Work to maintain stability created in Hemswell Cliff has progressed well, showing that the normalisation strategy process is working.</p> <p>Work to mitigate impact of Large Scale Asylum Accommodation proposals at RAF Scampton ongoing.</p> <p>Ongoing work in SWW by Safer Streets Community Development Project Officer has led to informal 'Together' initiative. Working towards formalising the governance around the Together Initiative. Focus moving forward is that the community is empowered to drive forward projects.</p> <p>Full update to committee on the P3 Viable Housing Solutions project. Options for the future to developed.</p>					
Actions for Improvement				Completion Date:	Officer:			
Development of options for the future of the P3 Viable Housing Solutions Project				01/04/2025	Sarah Elvin			

SWW informal Partnership (Together) further developed, governance structure and future action plan in place	01/09/2024	Grant White
Continue to work with public sector colleagues to secure sustainable future for RAF Scampton	31/03/2025	Sally Grindrod-Smith

Risk Ref: Our People	Risk Owner: Sally Grindrod-Smith		Date Reviewed: 10 June 2024		
Description of Strategic Risk: Health and wellbeing of the District's residents does not improve					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Failure of leisure contract. 2. Outreach service is ineffective. 3. Wellbeing service does not achieve outcomes. 4. Lack of understanding across the system of District Council role in Health. 5. Failure to meet housing and housing related support needs. 6. Lack of employment opportunities, mismatch of vacancies and skills. 7. Lack of funding for Disabled Facilities Adaptations.	1. Increased burden on services and budgets across the system. 2. Reduced life expectancy and health for residents. 3. Less economically active residents. 4. Adverse economic impact on district. 5. Council Tax support costs increase. 6. Potential impact on the on-going viability of leisure services. 7. Increase in health inequalities.	1. Leisure Contract monitoring. 2. Everyone Active Community Wellbeing Plan developed. 3. Wellbeing service in place and promoted with clear objectives. 4. WLDC Wellbeing Lincs Management Board representation. 5. West Lindsey representation on Housing, Health and Care delivery group and progress against Homes for Independence Blueprint delivery plan monitored. 6. Representation on Health Inequalities Programme Board. 7. Development and delivery of District Health and Wellbeing Strategy.	3	3	Current Score: 9
					Target Score: 6
					Next Risk Review Meeting: 8 July 2024
Commentary: Lincolnshire District wide Health and Well-being Strategy adopted. Actions being developed through business planning and co-ordinated by Homes, Health and Well-being Manager. Development of West Lindsey delivery plan aligned to H&W Strategy. Responsibility for the success of the leisure contract lies with Commercial Services however the impact of the contract will be viewed with a view to addressing health inequalities and not purely commercial return. Alignment to Let's Move Lincolnshire Strategy. Have regard to Better Lives Lincolnshire ICP Strategy. Further developing WLDC's engagement across Well-being agenda, with particular focus on the provision of Disabled Facilities Grant funding and the allocation mechanism which is currently curtailing delivery. WLDC to engage fully in the recommissioning of the Well-Being Lincs service					
Actions for Improvement				Completion Date:	Officer:
Embed monitoring of the District Health and Well-being Strategy through the business planning process				01/09/2024	Sarah Elvin
Continue engagement with Primary Care Networks through Lincolnshire ICB structure				01/09/2024	Sarah Elvin
Continue strategic and political engagement with partners to secure review of funding mechanism for DFGs				28/02/2025	Sally Grindrod-Smith
WLDC to participate in the recommissioning of the Well-being Lincs contract				01/09/2024	Sarah Elvin

Risk Ref: Our Place	Risk Owner: Sally Grindrod-Smith	Date Reviewed: 10 June 2024			
Description of Strategic Risk: The local housing market and the Council's housing related services do not meet demand					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<p>1. Housing developers do not build in the District.</p> <p>2. Lack of suitable development land.</p> <p>3. Lack of intelligence on housing need/demand.</p> <p>4. New properties do not match need/demand of local housing market.</p> <p>5. Existing housing stock is in poor condition/ unknown condition of current housing stock.</p> <p>6. Empty properties not brought back into use.</p> <p>7. Lack of Council strategic direction and understanding of statutory functions and associated tasks.</p> <p>8. Development and adoption of updated Local Plan to deliver housing to meet identified need.</p>	<p>1. Deterioration in condition of existing housing stock.</p> <p>2. Increase in number of empty properties.</p> <p>3. Increased homelessness and overcrowding.</p> <p>4. Increase in numbers of vulnerable residents.</p> <p>5. Increased pressure on housing services.</p> <p>6. Lack of growth across District.</p>	<p>1. Ongoing monitoring of Central Lincolnshire Local Plan.</p> <p>2. Housing Strategy adopted.</p> <p>3. Targeted enforcement project is being delivered and will be reviewed.</p> <p>4. Housing & environmental health enforcement action taken.</p> <p>5. Viable housing solution, RSAP and NSAP properties acquired.</p> <p>6. Delivery of homelessness strategy.</p> <p>7. Temporary accommodation review undertaken. Project underway to deliver additional temporary accommodation.</p>	3	3	Current Score: 9
					Target Score: 6
					Next Risk Review Meeting: 8 July 2024
			<p>Commentary:</p> <p>Housing Strategy adopted and now published and in monitoring phase. Update due to Housing Condition Survey in 2024 with Lincolnshire partners.</p> <p>Homelessness and rough sleeping strategy adopted.</p> <p>Five-year land supply in robust position.</p> <p>First Homes schemes with Homes England in progress with complex S106 works completed to enable delivery.</p> <p>Central Lincolnshire Local Plan adopted April 2023.</p> <p>Infrastructure Funding Statement published by December 2023. Monitor impact of Renters Reform Bill.</p> <p>Private Rented Sector Commitment to be drafted and presented to committee.</p> <p>Ongoing liaison with developers and landowners to ensure housing delivery in line with Local Plan targets.</p> <p>Full Business Case for the delivery of additional temporary accommodation now approved and procurement underway.</p>		
Actions for Improvement				Completion Date:	Officer:
Development of Supplementary Planning document to support investment in affordable housing through the planning system.				31/03/2025	Rachael Hughes
Monitoring of Housing Strategy delivery Plan				01/09/2024	Sarah Elvin
Completion of Housing Stock Condition Survey to inform approach to Private Sector Housing action				01/12/2024	Andy Gray
Delivery of additional temporary accommodation across the district to meet growing demands				01/03/2025	Sarah Elvin

Risk Ref: Our Place	Risk Owner: Sally Grindrod-Smith		Date Reviewed: 10 June 2024					
Description of Strategic Risk: The local economy does not grow sufficiently								
Trigger	Impact	Current Controls	Trigger	Impact	Current Controls			
<p>1. Slow take-up of strategic employment land.</p> <p>2. Ineffective marketing of the District to attract inward investment.</p> <p>3. Loss of a major employer(s).</p> <p>4. Workforce skills do not match needs of employers.</p> <p>5. Impact of wider economic conditions - inflation / recession.</p> <p>6. National government decision impacts local delivery.</p>	<p>1. GVA does not grow.</p> <p>2. Adverse effect on new job creation and upskilling of workforce.</p> <p>3. Migration of skilled/educated workers out of the District.</p> <p>4. Impinges on population growth ambitions.</p> <p>5. Closure of businesses across the District.</p> <p>6. Cost implications for programmes in delivery.</p>	<p>1. NNDR Policy established.</p> <p>2. Maintain sustainable Local Plan for Central Lincolnshire.</p> <p>3. Maintain close working relationship with Business Lincolnshire and LCC Inward Investment to ensure investment and growth queries are well supported.</p> <p>4. Develop West Lindsey's input into Strategic Infrastructure Delivery Plan and emerging infrastructure strategy.</p> <p>5. Ongoing marketing and promotion of district wide success across growth and development.</p> <p>6. Maintain effective working relationships with key funders to keep cost increases under review.</p> <p>7. Implement Levelling Up programme.</p> <p>8. Development and delivery of Economic Recovery Strategy leading to new Economic Development Strategy</p> <p>9. Implementation of UKSPF Investment Plan.</p>	3	3	<p>Current Score: 9</p> <p>Target Score: 6</p>			
			Next Risk Review Meeting: 8 July 2024			<p>Commentary:</p> <p>Development of new Economic Growth Strategy now commenced.</p> <p>UKSPF intervention to support growth of Agri Tech sector through Agricultural Growth Zone underway.</p> <p>Working closely with University of Lincoln to delivery the Ceres Agri Tech project in West Lindsey. Translating agri-tech innovation from lab to field - Ceres Agri-Tech - A knowledge exchange partnership for the agri-tech sector (ceresagritech.org)</p> <p>Continued engagement with strategic partners such as University of Lincoln, UKAEA Greater Lincolnshire LEP and growth sectors is developing a strong strategic position for the growth of the district.</p> <p>Ongoing work to safeguard the investment and regeneration planned at RAF Scampton is a key element of our growth strategy.</p>		
			Actions for Improvement			Completion Date:	Officer:	
Development of new Economic Growth Strategy for West Lindsey			01/04/2025	James Makinson-Sanders				
Ensure profile and reputation of WLDC as place to invest and do business remains strong through networking and promotion of success. Review Place Board and consider options for the future.			01/09/2024	Sally Grindrod-Smith				
Revisit economic evidence base in support of next phase of Local Plan review aligned with development of economic growth / development strategy			30/09/2024	Sally Grindrod-Smith				
Ongoing work to deliver the development agreement for the investment and regeneration of Scampton			01/12/2024	Sally Grindrod-Smith				

Risk Ref: Our Place	Risk Owner: Nova Roberts	Date Reviewed: 10 June 2024						
Description of Strategic Risk: Insufficient action taken to create a cleaner and safer district								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
1. Lack of robust enforcement policies. 2. Lack of capacity to respond effectively to service demand. 3. Ineffective messages about social responsibility. 4. Ineffective partnership working arrangements. 5. Inability to effectively implement new legislation. 6. Unexpected outbreak of environmental or health related issue.	1. Residents of the District feel unsafe. 2. Rise in number of crime and enforcement related incidents. 3. Reputational damage. 4. Increase in no. of complaints. 5. Increased threat of illness/harm to residents. 6. Adverse effect on natural wildlife habitats and biodiversity. 7. Demand pressures on front-line services.	1. Award winning Waste Collection and Street Cleaning Service. 2. Trade Waste service provided. 3. Domestic Big Bin Hire introduced in 2024 3. Refreshed (Mar 2023) Enforcement policies operating to oversee all relevant areas. 4. CCTV operations in place 24/7. 5. Press/media coverage of successful prosecutions and enforcement cases. 6. Adequate officer capacity deployed to cover enforcement matters with 2 additional fixed term officers approved for additional coverage. 7. Educating school children in recycling and sustainability. 8. Monthly tactical meetings with the Police and Environment Agency 9. Any resource pressures are identified in advance and discussed at MT or relevant Committee. 10. LRF Sat phone and fax machine tested quarterly.	2	4	Current Score: 8 Target Score: 4			
			Next Risk Review Meeting: 8 July 2024			Commentary: Single depot supports the continuing success of the waste service. Both Street Cleansing and Waste Services won awards at the APSE annual seminar for 2 consecutive years. Council funded work with schools to promote environmental and sustainability issues. as well as promoted at the Lincolnshire Show 2023. Enforcement and environment teams fully resourced and have refreshed strategies and policy documents. With 2 additional enforcement officers approved in January 2024. Member Working Group established to produce an Environment and Sustainability Strategy. Review of enforcement policies completed and approved in March 2023. Review of PRS Strategic policy in 2024 alongside the progression of the Renters (Reform) Bill through Parliament. Member and Officer Flooding Working Groups established and reporting to O&S. Presentation from the Lincolnshire Waste Partnership of the roll out of purple-lidded bins reporting to O&S in March 2024.		
			Actions for Improvement				Completion Date:	Officer:
Recruit and onboard the 2 FTC additional Enforcement resources				30/06/2024	Andy Gray			

Risk Ref: Our Place	Risk Owner: Rachael Hughes		Date Reviewed: 10 June 2024			
Description of Strategic Risk: Inability to deliver our Climate Change ambitions and not deliver net zero carbon emissions by 2050						
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score	
Lack of capacity and resource to respond effectively. Systems and processes not adequately supporting decision making and monitoring of impacts. Council fails to meet the duties and obligations under the Environment Act.	Unable to meet the Strategic objectives of Connecting our local communities and increasing the quality and provision of green space and ensuring the Council is meeting its duties and obligations under the Environment Act, 2021 Reputation impact of not fulfilling our commitments expected from being a community leader. Ecological impact on the district.	Climate Strategy and Action Plan Earmarked reserves Climate initiatives Member and Officer working groups County wide Partnership working Central Lincolnshire Local Plan	1	4	Current Score: 4	
			Next Risk Review Meeting: 8 July 2024			Target Score: 4
			Commentary: Reviewing the Climate Change Strategy. Working with Team Managers with their business planning Annual update to Members Opportunities to respond to this agenda are emerging all the time and being reviewed			
Actions for Improvement				Completion Date:	Officer:	
Review of the Climate Change Strategy				31/07/2024	Rachael Hughes	

Risk Ref: Overarching	Risk Owner: Ady Selby	Date Reviewed: 10 June 2024						
Description of Strategic Risk: Inability to maintain critical services and deal with emergency events								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
<p>1. Loss/failure of critical systems.</p> <p>2. Inadequate response to incident or emergency.</p> <p>3. Lack of, or ineffective, partnership working.</p> <p>4. Lack of emergency planning or disaster recovery arrangements.</p> <p>5. Ineffective communication arrangements.</p> <p>6. Lack of skilled officers to deal with emerging issues.</p>	<p>1. Inability to deliver critical/key services.</p> <p>2. Increased risk of harm to vulnerable customers.</p> <p>3. Financial loss.</p> <p>4. Reputational damage.</p>	<p>1. Robust infrastructure and back-up arrangements.</p> <p>2. Package of information security incident policies and procedures.</p> <p>3. IT Disaster Recovery Plan.</p> <p>4. Robust emergency planning in place.</p> <p>5. Regular review of business continuity arrangements.</p> <p>6. Membership of LRF Partnership.</p> <p>7. Regular training for Strategic and Tactical Commanders + Members.</p> <p>8. Plans in place and tested regularly.</p> <p>9. Training for out of hours officers and those attending SCG and TCG.</p> <p>10. Member training around their role in emergencies.</p> <p>11. Effective internal EP Group.</p> <p>12. EP area at new depot.</p> <p>13. Audit undertaken, high assurance.</p> <p>14. SLA in place for support from LCC EP Officer.</p> <p>15. Continued work with partners on Humber 2100 Strategy.</p> <p>16. Approval of new, countrywide low-level emergency response procedure.</p>	2	3	<p>Current Score: 6</p> <p>Target Score: 6</p>			
						Next Risk Review Meeting: 8 July 2024		
						<p>Commentary:</p> <p>Effective business continuity and emergency planning responses are in place. Frequent testing is a key priority. All service area BCP's undertaking full review</p> <p>A refreshed emergency plan was approved by members in 2021, it is reviewed regularly by Director and LCC EP Officer. Three yearly review of Emergency Plan underway (to be completed by Sept 24)</p> <p>Assurance Lincs recently gave high assurance following audit of EP and BC arrangements.</p> <p>Improved flood arrangements are in place, including Member and Officer Flood Working Groups. Flood and Drainage Working Groups continue to operate effectively</p> <p>Council wrote to LCC confirming support of further water management working group</p> <p>MT to consider current emergency arrangements including officer and Member training plan (Sept 24)</p> <p>Member Emergency Planning training undertaken.</p>		
			Actions for Improvement			Completion Date:	Officer:	

Refresher training for appropriate officers. Plan to MT Sept 24	31/10/2024	Ady Selby
Training for all involved with EP and BC up to date. Training for OOH Officers continues	31/10/2024	Ady Selby

Risk Ref: Overarching		Risk Owner: Nova Roberts		Date Reviewed: 10 June 2024	
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective – Part A: Data Extortion Attack, State-aligned actors (those working for a government to disrupt or compromise organisations or individuals)					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Illicit revenue generation by Cyber Criminals using cyber attacks against the Council in search of information and credentials. 2. Spear-phishing, targeted cyber attack activity against individuals of interest to external parties to gain confidential information.	1. Significant adverse impact on service delivery. 2. Organisation reputational damage. 3. Loss of confidential personal and business related data.	1. Robust ICT security systems in place. 2. Cyber Assessment Framework assurance. 3. Up to date infrastructure and back-up arrangements (using the national 321 model). 4. Business continuity arrangements established and updated. 5. All ICT Policies reviewed, updated and approved March 2023 including those covering ICT usage and information security. 6. Data Protection Officer, Certified Information Systems Security Professional, Certified Information Security Manager Certified Ethical Hacker and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff; reinforced due to agile working arrangements. 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 9. PCI-DSS compliance. 10. Rolling programme of audits completed in 22/23 High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. Next Cyber Security Audit in 23/24. 11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK. 12. Insurance in place to cover costs of recovery from ICT failure/cyber attack. 13. The ICT Team have the capability and certification to undertake organisational cyber assessments (Cyber Essentials +) and hold the following cyber accreditation's: - Certified Information Systems Security Professional (CISSP)	1	4	Current Score: 4
					Target Score: 4
			Next Risk Review Meeting: 8 July 2024		
<p>Commentary:</p> <p>Continuous monitoring of officer training and promotion of incident reporting, post incident review to mitigate future risk.</p> <p>The role of Senior Information Risk Owner has been allocated to the Assistant Director People and Democratic Services and Monitoring Officer. All ICT Policies reviewed, updated and approved March 23.</p> <p>ICT audit completed in 22/23 providing High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery.</p> <p>The ICT Team have full accreditation to undertake organisational cyber assessments as part of Cyber Essentials +. ICT Assurance Map full review completed for 2023/2024.</p> <p>Cyber Security Incident Management Audit returned a Substantial outcome in February 2024.</p> <p>Cyber Security messaging and advice is provided weekly for officers and monthly for Members.</p> <p>Active Cyber defence:</p> <ul style="list-style-type: none"> -Protected Domain -Mail Check -Mail Scanning -Website checks -Takedown criminal websites -Suspicious email reporting service 					

		<ul style="list-style-type: none"> - Certified Cloud Security Professional (CCSP) - Certified Information Security Manager (CISM) - Cisco Certified Network Engineer (CCNE) - Certified Ethical Hacker (CEH) - Microsoft Cloud Security <p>14. Weekly staff message and monthly member message - provides cyber updates, actions, advice and alerts.</p> <p>15. Fast time communication is used to mitigate threats.</p> <p>16. Annual ICT Combined Assurance Map review completion.</p> <p>17. PSN compliance.</p>	<p>Q4 review of the ICT Combined Assurance Review completed February 2024.</p>	
<p>Actions for Improvement</p>			<p>Completion Date:</p>	<p>Officer:</p>
<p>No actions</p>				

Risk Ref: Overarching	Risk Owner: Nova Roberts	Date Reviewed: 10 June 2024				
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective – Part B:		Significant data breach or cyber loss of data				
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score	
1. Individual staff data compromise or breach 4. Inadequate infrastructure or ICT security arrangements leading to successful cyber security incident 3. Failure to adhere to policies and guidance 6. Contracts/sharing agreements with data processors/controllers that do not ensure clauses allowing movement of data to a third country.	1. Significant adverse impact on service delivery. 2. Financial loss/fines imposed by ICO. 3. Potential ransom demands for release of data. 4. Reputational damage. 5. Loss of personal and business- related data. 6. Failure to maintain our legal compliance with the National Cyber Strategy requirement to mitigate known vulnerabilities.	1. Robust ICT security systems in place. 2. Cyber Assessment Framework assurance. 3. Up to date infrastructure and back-up arrangements (using the national 321 model). 4. Business continuity arrangements established and updated. 5. All ICT Policies reviewed, updated and approved March 23 including those covering ICT usage and information security. 6. Data Protection Officer, Certified Information Systems Security Professional, Certified Information Security Manager and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff; reinforced due to ongoing hybrid agile working arrangements. 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 9. PCIDSS compliance. 10. Rolling programme of audits completed in 22/23 High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. Next Cyber Security Audit in 23/24. 11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK. 12. Insurance in place to cover costs of recovery from ICT failure/cyber-attack. 13. The ICT Team have the capability and certification to undertake organisational cyber assessments (Cyber Essentials +) and hold the following cyber accreditation's: Certified Information Systems Security Professional (CISSP)	2	4	Current Score: 8	
						Target Score: 8
			Next Risk Review Meeting: 8 July 2024			
<p>Commentary:</p> <p>Continuous monitoring of officer training and promotion of incident reporting will further mitigate against this risk.</p> <p>The role of Senior Information Risk Owner has been reallocated to the Assistant Director of People and Democratic Services and Monitoring Officer.</p> <p>All ICT Policies reviewed, updated and approved March 23. ICT audit completed in 22/23 providing High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery.</p> <p>The ICT Team have full accreditation to undertake organisational cyber assessments as part of Cyber Essentials +. ICT Assurance Map full review completed for 2023/2024.</p> <p>Cyber Security Incident Management Audit returned a Substantial outcome in February 2024.</p> <p>Cyber Security messaging and advice is provided weekly for officers and monthly for Members.</p> <p>Supplier scanning to improve security.</p> <p>Secure by design architectural level (DNS) Q4 review of the ICT Combined Assurance Review completed February 2024.</p>						

		<p>Certified Cloud Security Professional (CCSP) Certified Information Security Manager (CISM) Cisco Certified Network Engineer (CCNE) Certified Ethical Hacker (CEH) Microsoft Cloud Security</p> <p>14. Weekly staff message and monthly member message - provides cyber updates, advice and alerts. 15. Fast time communication is used to mitigate threats. 16. ICT Assurance Map review completed for 2024. 17. PSN compliance.</p>		
Actions for Improvement			Completion Date:	Officer:
No actions				

Risk Ref: Overarching	Risk Owner: Nova Roberts	Date Reviewed: 10 June 2024			
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective – Part C: Targeted malicious attack to gain access to devices and data					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Successful ransomware attack 2. Successful data extortion attack	1. Significant adverse impact on service delivery. 2. Financial loss/fines imposed by ICO. 3. Potential ransom demands for release of data. 4. Reputational damage. 5. Loss of personal and business- related data. 6. Failure to maintain our legal compliance with the National Cyber Strategy requirement to mitigate known vulnerabilities.	1. Robust ICT security systems in place. 2. Cyber Assessment Framework assurance. 3. Up to date infrastructure and back-up arrangements (using the national 321 model). 4. Business continuity arrangements established and updated. 5. All ICT Policies reviewed, updated and approved March 23 including those covering ICT usage and information security. 6. Data Protection Officer, Certified Information Systems Security Professional, Certified Information Security Manager and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff; reinforced due to ongoing hybrid agile working arrangements. 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 9. PCI-DSS compliance. 10. Rolling programme of audits completed in 22/23 High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. Next Cyber Security Audit in 23/24. 11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK. 12. Insurance in place to cover costs of recovery from ICT failure/cyber attack. 13. The ICT Team have the capability and certification to undertake organisational cyber assessments (Cyber Essentials +) and hold the following cyber accreditation's:	2	4	Current Score: 8
					Target Score: 8
			Next Risk Review Meeting: 8 July 2024		
<p>Commentary:</p> <p>Continuous monitoring of officer training and promotion of incident reporting will further mitigate against this risk.</p> <p>The role of Senior Information Risk Owner has been reallocated to the Assistant Director People and Democratic Services and Monitoring Officer.</p> <p>All ICT Policies reviewed, updated and approved March 23. ICT audit completed in 22/23 providing High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. The ICT Team have full accreditation to undertake organisational cyber assessments as part of Cyber Essentials +. ICT Assurance Map full review completed for 2023/2024.</p> <p>Cyber Security Incident Management Audit returned a Substantial outcome in February 2024.</p> <p>Cyber Security messaging and advice is provided weekly for officers and monthly for Members.</p> <p>Active Cyber defence:</p> <p>Protected Domain Mail Check Mail Scanning Website checks Takedown criminal websites Suspicious email reporting service</p>					

		<p>Certified Information Systems Security Professional (CISSP) Certified Cloud Security Professional (CCSP) Certified Information Security Manager (CISM) Cisco Certified Network Engineer (CCNE) Certified Ethical Hacker (CEH) Microsoft Cloud Security</p> <p>14. Weekly staff message and monthly member message - provides cyber updates, advice and alerts. 15. Fast time communication is used to mitigate threats. 16. ICT Assurance Map review completed for 2023. 17. PSN compliance.</p>	<p>Early warning system Q4 review of the ICT Combined Assurance Review completed February 2024.</p>	
Actions for Improvement			Completion Date:	Officer:
No actions				

Risk Ref: Overarching	Risk Owner: Nova Roberts	Date Reviewed: 10 June 2024						
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective – Part D: Cyber enabled fraud								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
Includes Narrow Artificial Intelligence (AI) & large language models enabled cyber fraud	<ol style="list-style-type: none"> 1. Significant adverse impact on service delivery. 2. Financial loss/fines imposed by ICO. 3. Speed of attack, significantly increased. 4. Reputational damage. 5. Loss of personal and business- related data. 6. Failure to maintain our legal compliance with the National Cyber Strategy requirement to mitigate known vulnerabilities. 	<ol style="list-style-type: none"> 1. Robust ICT security systems in place. 2. Cyber Assessment Framework assurance. 3. Up to date infrastructure and back-up arrangements (using the national 321 model). 4. Business continuity arrangements established and updated. 5. All ICT Policies reviewed, updated and approved March 23 including those covering ICT usage and information security. 6. Data Protection Officer, Certified Information Systems Security Professional, Certified Information Security Manager and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff; reinforced due to ongoing hybrid agile working arrangements. 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 9. PCIDSS compliance. 10. Rolling programme of audits completed in 22/23 High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. Next Cyber Security Audit in 23/24. 11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK. 12. Insurance in place to cover costs of recovery from ICT failure/cyber attack. 13. The ICT Team have the capability and certification to undertake organisational cyber assessments (Cyber Essentials +) and hold the following cyber accreditation's: Certified Information Systems Security Professional (CISSP) 	2	4	Current Score: 8 Target Score: 8			
			Next Risk Review Meeting: 8 July 2024			Commentary: Continuous monitoring of officer training and promotion of incident reporting will further mitigate against this risk. The role of Senior Information Risk Owner has been reallocated to the Assistant Director and Monitoring Officer. All ICT Policies reviewed, updated and approved March 23. ICT audit completed in 22/23 providing High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. The ICT Team have full accreditation to undertake organisational cyber assessments as part of Cyber Essentials +. ICT Assurance Map full review completed for 2023/2024. Cyber Security Incident Management Audit returned a Substantial outcome in February 2024. Cyber Security messaging and advice is provided weekly for officers and monthly for Members. Active Cyber defence: Protected Domain Mail Check Mail Scanning Website checks Takedown criminal websites Suspicious email reporting service Early warning systems deployed Q4 review of the ICT Combined Assurance Review completed February 2024.		

		Certified Cloud Security Professional (CCSP) Certified Information Security Manager (CISM) 14. PSN compliance.	
Actions for Improvement			Completion Date:
No actions			Officer:

Risk Ref: Overarching	Risk Owner: Nova Roberts		Date Reviewed: 10 June 2024		
Description of Strategic Risk: Inability to maintain service delivery with the amount of change initiatives					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Loss / Failure of service delivery. 2. Significant uplift in customer contacts from effective service delivery or partnership working. 3. Ineffective or breakdown in customer communication. 4. Failure for customers to access vital services.	1. Inability to deliver critical/key services. 2. Increased risk of harm to vulnerable customers. 3. Financial loss. 4. Reputational damage.	1. Robust project management and engagement with service experts. 2. Continuous improvement workstream to check implementation and ongoing change. 3. Robust governance through Programme board and Portfolio Board. 4. Audits planned for the service areas testing process and policy delivery. 5. P3M3 Maturity Model utilised to review processes and engage stakeholders on how change is delivered. 6. Performance and Delivery quarterly reports to track any negative service impact and performance improvement plans in place with full measure set review completed with members in Autumn 23/24. 7. Full review of T24 priority work plan in April 2024. 8. Full review and refresh of the Project Management documentation including; - Project management Framework - Risks and Issues Management - Stakeholder Management - Benefits Management - Quality Assurance	2	4	Current Score:8 Target Score:6
			Next Risk Review Meeting: 8 July 2024		
			<p>Commentary: Successful recruitment in 2023/24 appointed the resource needed to implement the Project Management Office (PMO) approach. The project management documentation now includes the Change Impact Assessment which ascertains the required level of change management activity. The Project Cohort is also active and discusses Stage One projects for prioritisation. Full engagement with the council's Business Planning process 2023/24 and planned for 2024/25 to assess requested projects to establish those that can be approved to be built into the pipeline of projects to be identified to ensure that future initiatives are adequately resourced and with approved budget. PMO software options being considered to the council's CRM or ERP allowing for greater visibility on project progress and required resources by June 24. The PMO continues to be embed within the authority with the CRM supporting internal processes. Linkages are being made with Business Planning, Digital ICT Vision ICT Programme roadmap to ensure that change is planned and delivered in a structured way. Services heat maps have been produced to inform of service hot spots and this will be used to inform project planning.</p>		
Actions for Improvement				Completion Date:	Officer:
Embedding of Project Management Office through internal communication plan, training material and change management support to roll out the updated Project Management documentation				30/09/2024	Darren Mellors

Risk Ref: Overarching	Risk Owner: Lisa Langdon		Date Reviewed: 10 June 2024					
Description of Strategic Risk: Failure to comply with legislation								
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score			
1. Breach of legislation. 2. Non-compliance with Council policies and procedures. 3. Failure to seek or follow legal advice. 4. Complaint from external organisation or member of public. 5. Whistleblowing report. 6. Increase of reportable incidents in specific work areas or activities. 7. Increase of insurance claims. 8. Increase in H&S breaches.	1. Reputational damage. 2. Financial loss. 3. Increase in Legal challenges. 4. Prosecution for H&S related incidents. 5. Employees injured through work activity. 6. Increased insurance claims and insurance premiums. 7. Member of public, contractor or employee injured at work, possible corporate manslaughter action. 8. Staff sickness rates increase due to lack of compliance with good H&S practice. 9. Increased employer/employee litigation.	1. Corporate H&S Officer in place. 2. H&S Champions across the Council. 3. General H&S training provided. Service specific H&S training and safe working procedures including lone working. 4. H&S incident reporting arrangements. 5. Service level H&S risk assessments undertaken and regular H&S walks undertaken to identify hazards. 6. Reporting to Mgt Team/JSCC on H&S incidents. 7. Regular H&S and stress mgt training for all staff. 8. Council subscription to Employee Assistance Programme for staff. 9. Regular inspections of property, including car parks. Pro-active maintenance programme. 10. Early resolution of reported defects. 11. Public Liability and Employers Liability insurance in place. 12. Legislative implications included on all reports. 13. Membership and use of Legal Services Lincolnshire. 14. Subscription to Lawyers in Local Government Resource 15. Full implementation of responsible managers and persons across the estate in place.	2	4	Current Score: 8 Target Score: 8			
						Next Risk Review Meeting: 8 July 2024		
						Commentary: New ways of working has been adopted by staff with DSE assessments in place. Annual staff survey work to continue. Work completed to ensure a full implementation of responsible managers and persons are in place across the estate. Any major changes in legislation reported through WMT and/or Corporate Update and/or Weekly staff message.		
Actions for Improvement				Completion Date:	Officer:			
Review of constitution to ensure fit for purpose and up to date with legislative provisions.				31/12/2024	Lisa Langdon			

Risk Ref: Overarching	Risk Owner: Rachael Hughes			Date Reviewed: 10 June 2024		
Description of Strategic Risk: Central Lincolnshire Local Plan does not deliver land required for sustainable development to meet the needs of residents, businesses and communities						
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score	
Lack of suitable development land Economic output & GDV substantially drops Land supply drops below 5yrs	Reduction in inward investment Reduction in suitable housing supply Impact on businesses, economic output & employment	Joint CLLP Team Good Governance & positive partnership working (CLSG/HoPs) CLLP vision and objectives reflect the Corporate Plan, Objectives and Vision. Corporate Policy & Strategy Team ensure corporate priorities are reflected in service policy & strategy Five Year Land Supply report published Oct 23 - shows 7.9yr supply	2	3	Current Score: 6	
			Next Risk Review Meeting: 8 July 2024			Target Score: 6
			Commentary: CLLP adopted in April 2023. Impacts of new policy unknown due to time lag and cyclical nature of planning permissions and development.			
Actions for Improvement				Completion Date:	Officer:	
Rolling review of CLLP evidence base following adoptions of CLLP April 2023				Ongoing review	Rachael Hughes	
Implementation of monitoring framework to ensure effectiveness of policy				30/06/2024	Rachael Hughes	

Risk Ref: Overarching		Risk Owner: Nova Roberts		Date Reviewed: 10 June 2024																										
Description of Strategic Risk: Increased Cyber threat to the General Election' and 'threat to the UK democratic organisations and processes'.																														
Trigger		Impact		Current Controls	Likelihood																									
<p>1. Spear-phishing, targeted cyber-attack activity against election officials and Members to gain confidential information.</p> <p>2. Successful ransomware attack compromises election data.</p> <p>3. Successful social media cyber campaign compromises election officers with significant control.</p> <p>4. Successful Distributed Denial of Service (DDoS) attacks, timed to coincide with key points in the election.</p> <p>5. Indicators of compromise relating to individual Electoral Registration Digital Services (IER DS) or the ERO Portal.</p>		<p>Significant adverse impact on the General Election and the council's democratic processes.</p> <p>Financial loss/fines imposed by ICO.</p> <p>Potential ransom demands for release of data.</p> <p>Reputational damage.</p> <p>Loss of personal and business- related data.</p> <p>Failure to maintain our legal compliance with the National Cyber Strategy requirement to mitigate known vulnerabilities.</p> <p>Disrupt the electoral process for the council.</p> <p>Malicious cyber campaigns targeting the high-profile election individuals and including personal accounts to gather and steal emails and Electoral data.</p> <p>Security incidents or concerns relating to Individual Electoral Registration Digital Services (IER DS) or the ERO Portal.</p>		<p>1. Reviewed and checked required application of the NCSC recommendations in the Active Cyber Defence (ACD) programme in summary:</p> <table border="1"> <thead> <tr> <th>Provider</th> <th>Description</th> <th>Frequency</th> </tr> </thead> <tbody> <tr> <td>Web check</td> <td>A service that helps us scan our websites to find and fix common vulnerabilities.</td> <td>Daily</td> </tr> <tr> <td>Zed Scan</td> <td>Updates on security for email addresses.</td> <td>Weekly</td> </tr> <tr> <td>Knapweed scan</td> <td>Provides fast time communication for Cyber incidents.</td> <td>Daily</td> </tr> <tr> <td>Mail check</td> <td>A service that helps us improve the security of email domains.</td> <td>Daily</td> </tr> <tr> <td>Network Abuse Events</td> <td>This provides early indicators if assets have been associated with malicious or undesirable activity.</td> <td>Daily</td> </tr> <tr> <td>Early Warning</td> <td>Incident Notifications activity that suggests an active compromise of our system.</td> <td>Daily</td> </tr> <tr> <td>Vulnerability and Open Port Alerts</td> <td>Provides indications of vulnerable services running on our network, or potentially undesired applications are</td> <td>Monthly</td> </tr> </tbody> </table>		Provider	Description	Frequency	Web check	A service that helps us scan our websites to find and fix common vulnerabilities.	Daily	Zed Scan	Updates on security for email addresses.	Weekly	Knapweed scan	Provides fast time communication for Cyber incidents.	Daily	Mail check	A service that helps us improve the security of email domains.	Daily	Network Abuse Events	This provides early indicators if assets have been associated with malicious or undesirable activity.	Daily	Early Warning	Incident Notifications activity that suggests an active compromise of our system.	Daily	Vulnerability and Open Port Alerts	Provides indications of vulnerable services running on our network, or potentially undesired applications are	Monthly	2
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Next Risk Review Meeting: 8 July 2024																														
<p>Commentary:</p> <p>Continuous monitoring of officer training and promotion of incident reporting will further mitigate against this risk.</p> <p>The role of Senior Information Risk Owner has been reallocated to the Assistant Director People and Democratic Services and Monitoring Officer.</p> <p>All ICT Policies reviewed, updated and approved March 23. ICT audit completed in 22/23 providing High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery. The ICT Team have full accreditation to undertake organisational cyber assessments as part of Cyber Essentials +. ICT Assurance Map full review completed for 2023/2024.</p> <p>Cyber Security Incident Management Audit returned a Substantial outcome in February 2024.</p> <p>Cyber Security messaging and advice is provided weekly for officers and monthly for Members.</p> <p>Active Cyber Defence (ACD):</p> <ul style="list-style-type: none"> Protected Domain Mail Check Mail Scanning Website checks Takedown criminal websites Suspicious email reporting service Early warning system 																														

	<p>Including suspicious communications, phishing attempts, credential loss or leak, data leaks and security warnings displayed when connecting to the IER DS Application Programming Interfaces or the ERO Portal.</p>	<table border="1"> <tr> <td data-bbox="817 191 981 256"></td> <td data-bbox="981 191 1276 256">exposed to the internet.</td> <td data-bbox="1276 191 1444 256"></td> </tr> <tr> <td data-bbox="817 256 981 454">Mail Transfer Agent Strict Transport Security (MTASTS)</td> <td data-bbox="981 256 1276 454">We implemented MTASTS to increase our email security hygiene.</td> <td data-bbox="1276 256 1444 454">Daily</td> </tr> <tr> <td data-bbox="817 454 981 598">TALOS SCAN</td> <td data-bbox="981 454 1276 598">Threat protection Advanced Malware Protection (AMP) Intrusion detection and prevention.</td> <td data-bbox="1276 454 1444 598">Continuous</td> </tr> <tr> <td data-bbox="817 598 981 687">Thousand Eyes</td> <td data-bbox="981 598 1276 687">Network and cloud environment monitoring</td> <td data-bbox="1276 598 1444 687">Continuous</td> </tr> <tr> <td data-bbox="817 687 981 778">iESE</td> <td data-bbox="981 687 1276 778">LGA Cyber Report of Excellence</td> <td data-bbox="1276 687 1444 778">Annual</td> </tr> </table>		exposed to the internet.		Mail Transfer Agent Strict Transport Security (MTASTS)	We implemented MTASTS to increase our email security hygiene.	Daily	TALOS SCAN	Threat protection Advanced Malware Protection (AMP) Intrusion detection and prevention.	Continuous	Thousand Eyes	Network and cloud environment monitoring	Continuous	iESE	LGA Cyber Report of Excellence	Annual	<p>Q4 review of the ICT Combined Assurance Review completed February 2024.</p>
	exposed to the internet.																	
Mail Transfer Agent Strict Transport Security (MTASTS)	We implemented MTASTS to increase our email security hygiene.	Daily																
TALOS SCAN	Threat protection Advanced Malware Protection (AMP) Intrusion detection and prevention.	Continuous																
Thousand Eyes	Network and cloud environment monitoring	Continuous																
iESE	LGA Cyber Report of Excellence	Annual																
		<ol style="list-style-type: none"> 2. Cyber Assessment Framework readiness assessment. 3. Up to date infrastructure and back-up arrangements (using the national 321 model). 4. Business continuity arrangements established and updated. 5. All ICT Policies reviewed, updated and approved March 23 including those covering ICT usage and information security. 6. Data Protection Officer, Certified Information Systems Security Professional, Certified Information Security Manager and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff; reinforced due to ongoing hybrid agile working arrangements and election planning teams 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 																

		<p>9. Active Cyber Defense (ACD) web check a daily service that helps us scan our websites to find and fix common vulnerabilities.</p> <p>10. Rolling programme of audits completed in 22/23 High Assurance rating for ICT Patch Management, Substantial Assurance for Cloud Hosted Services, ICT Helpdesk and ICT Disaster Recovery.</p> <p>11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK.</p> <p>12. ACD Zed Scan's a weekly update on security for email addresses.</p> <p>13. The ICT Team have the capability and certification to undertake organisational cyber assessments (Cyber Essentials +) and hold the following cyber accreditation's:</p> <ul style="list-style-type: none">Certified Information Systems Security Professional (CISSP)Certified Cloud Security Professional (CCSP)Certified Information Security Manager (CISM)Cisco Certified Network Engineer (CCNE)Certified Ethical Hacker (CEH)Microsoft Cloud Security <p>14. Weekly staff message and monthly member message - provides cyber updates, advice and alerts.</p> <p>15. Fast time communication is used to mitigate threats.</p> <p>16. ICT Assurance Map review completed for 2024.</p> <p>17. ACD mail check, daily scan that helps us improve the security of their email domains.</p> <p>18. ACD Network abuse events, daily indicators that our assets have been associated with malicious or undesirable activity.</p> <p>19. ACD early warning, daily incident notifications that suggests an active compromise of our system.</p> <p>20. ACD vulnerability and open port alerts, monthly indications of vulnerable services running on our network, or potentially undesired applications are</p>	
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		<p>exposed to the internet.</p> <p>21. ACD mail transfer agent strict transport Security (MTASTS), daily increase on security to increase our email security hygiene.</p> <p>22. ACD Talos scan, continuous threat protection advanced malware protection (AMP) intrusion detection and prevention.</p> <p>23. ACD Thousand eyes, continuous network and environment monitoring.</p> <p>24. ACD NCSC individual cyber defense services for high risk colleagues.</p>		
Actions for Improvement			Completion Date:	Officer:
Assurance update to the Chief Executive, Director Change Management, ICT & Regulatory Services and Elections team on the mitigations in place a part of the NCSC recommendations in the Active Cyber Defence (ACD) programme.			30/06/2024	Cliff Dean

Agenda Item 6c



**Governance & Audit
Committee**

16 July 2024

Subject: Risk Tolerance Questionnaire

Report by:

Emma Foy – Director of Corporate Services

Contact Officer:

Emma Foy – Director of Corporate Services
Emma.foy@west-lindsey.gov.uk

Purpose / Summary:

To present to members of the committee the draft risk tolerance questionnaire for approval so it can be shared with Members and Officers for completion.

RECOMMENDATION(S):

That Members consider the content of the questionnaire at Appendix One and approve the questionnaire for dissemination to Management Team, the Policy Committees and Governance and Audit Committee.

IMPLICATIONS

Legal: None directly arising from this report.

Financial:

There are no financial implications directly arising from this report.

Staffing: None arising from this report

Equality and Diversity including Human Rights:

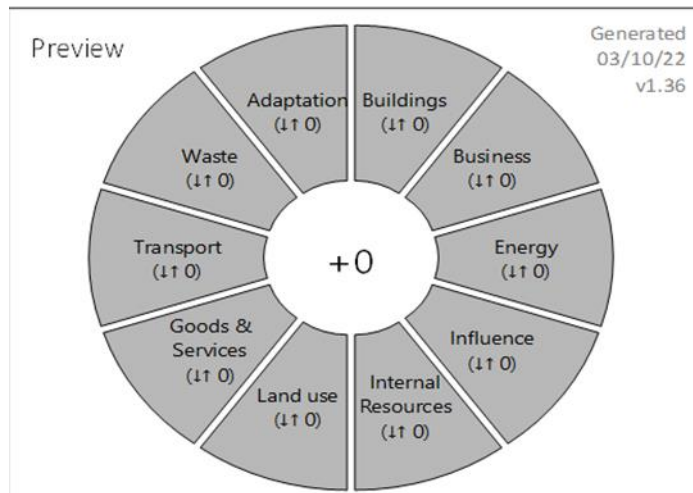
None arising from this report.

Data Protection Implications:

None arising from this report.

Climate Related Risks and Opportunities:

None directly 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 :

Risk Management Strategy Date Date

Risk Assessment :

In advance of forming our new Risk Management Strategy it is essential that the organisation defines its risk appetite or tolerance. The new risk management strategy will be brought to Governance and Audit Committee for approval in October 2025 and results from this questionnaire are key in forming the strategy.

Call in and Urgency:

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

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

Yes

No

x

Key Decision:

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

Yes

No

x

1. Context and Background

- 1.1 The West Lindsey District Council Risk Management Strategy was approved by the Governance and Audit Committee in 2019 and is now due to be reviewed and replaced.
- 1.2 In advance of writing the revised risk management strategy it is essential we understand the risk appetite or tolerance of the organisation and how much risk it is prepared to take in the pursuit of its corporate plan and delivery of strategic objectives.
- 1.3 We need to understand two key factors being the organisation's capacity for risk (i.e. the ability to take risk with the resources we have in place) and secondly what is the organisation's attitude to risk (i.e. the willingness to take risk).
- 1.4 The attached questionnaire at Appendix One has been developed and devised from examples provided by the Institute of Risk Management and ALARM. Alarm is a not-for-profit membership association that supports risk management practitioners.
- 1.5 The results of the questionnaire will enable us to define our Risk appetite. This guides resource allocation and provides the infrastructure necessary to effectively respond to and monitor risks and helps to define our activities related to identifying, assessing, responding to and monitoring risks in pursuit of organisational objectives
- 1.6 The questionnaire contains a range of statements where the participant is required to choose a response to a scenario, the answers of which will be consolidated to provide an organisational wide view.

Appendix One

West Lindsey District Council

Risk Appetite Survey

WLDC are developing a new Risk Management Strategy which will provide a framework to identify, mitigate, monitor and report the risks that the organisation faces.

Risk appetite provides a framework which enables an organisation to make informed management decisions. A key aspect in the development of the Strategy is understanding what the Council's risk appetite is.

The survey should take about 10 minutes to complete.

Thank you in advance for your time in completing the survey.

1. Risk Appetite categories

The Government guidance on risk management provides a risk appetite scale for organisations using the following risk categories. Please select which of these categories you believe best describes the Council's overall risk appetite in relation to land and property investment:

Please select at most 2 options.

- Averse - Avoidance of risk and uncertainty is a key organisational objective.
- Cautious - Preference for safe delivery options. Tolerance for risk taking is limited to those investments where there is little chance of any significant downside impact.
- Creative & Aware - Willing to consider all potential investments with a tolerance for risk taking to balance higher reward.
- Opportunist - Actively seeking options. Tolerance for investments with potential for significant risk, but with appropriate steps to minimise any exposure and deliver benefits.
- Hungry - Eager to be innovative and pursue options offering potentially higher rewards (despite greater inherent risk).

Question 2

Current Commercial Investment Portfolio

WLDC has previously actively invested to create a commercial investment portfolio. Which of the following statements best describes your view of that existing portfolio:

Please select all that apply.

- The portfolio makes a positive financial contribution to the Council's finances and reduces dependence on income from other sources.
- The portfolio should be divested (sold) or reduced in size.
- The portfolio size should be increased through the acquisition of additional properties.
- The portfolio should not be increased or decreased but should be actively managed to maintain income and grow capital value.
- Other

Question 3

Reputation & Credibility - risks about the trust / confidence people have in the Council.

Potential opportunity:

The Council can purchase land in Gainsborough town centre with the aim to reconnect the marketplace to Marshall's Yard allowing the Council to improve the space between the two and delivering new wayfinding and seating. This could support place making and create social value, as it encourages more linked trips and improving footfall in the historic town centre.

Potential risk:

If the Council fails to meaningfully engage the local community and relevant stakeholders in the planning and decision-making process to determine what improvements are needed, it could inadvertently harm local businesses, the historic character of the town, or people visiting the town centre which could lead to backlash from residents, and media outlets.

Your view:

- The Council has no tolerance for taking risks where there is a chance of any negative repercussion for the Council (locally or further afield)
- The Council has a tolerance for risk taking limited to those events where significant repercussion for the Council is extremely unlikely.
- The Council will consider activities which could result in minor scrutiny and reputational repercussions but only where steps can be taken to minimise any exposure to an acceptable level.
- The Council is comfortable to take risks that could expose the Council but only where appropriate steps have been taken to proactively manage community relations and media and coverage.
- The Council isn't concerned about taking decisions that are likely to result in significant or national scrutiny of the Council, with reputational repercussions, where the benefits are considered to be great.

Question 4 Delivery Risk

Potential opportunity:

The Council wants to embark on a long-term investment to procure a fibre broadband network for West Lindsey. The Council will commit to connecting all of its buildings to the new network for a twenty year period as the anchor customer. The Council will procure a development partner who would build the network and businesses, community groups and residents would be able to connect to the network once it is built. The project requires £5m investment in the Council's buildings and the acquisition of land for a data centre. It is estimated that the new network will speed up the roll out of gigabit speed fibre, and lead to an overall increase in business productivity and attract new businesses to the area.

Potential risk:

During the construction there will be significant transport disruption as roads are dug up and buildings connected. There is a risk of service disruption and challenges in providing a smooth customer experience. Residents may encounter technical glitches, difficulties navigating new interfaces, or delays in receiving assistance, leading to frustration and dissatisfaction.

Your view:

- The Council aims to maintain or protect, rather than to create or innovate. Priority is for tight management controls and oversight. General avoidance of systems / technological developments
- The Council avoids innovations unless essential. Decision making authority held by senior management. Only essential systems / technology developments are considered.
- The Council tends to stick to the status quo, innovations are generally avoided unless necessary. Decision making authority is generally held by senior management. Systems / technological developments limited to improvements to protect current operations.
- The Council supports innovation where measurable improvements are anticipated. New systems / technological developments considered. Responsibility for noncritical decisions may be devolved.
- The Council pursues innovation and has a desire to 'break the mould' and challenge current working practices. New technologies are viewed as a key enabler of operational delivery. High levels of devolved authority – management by trust rather than tight control

Question 5

Financial/VFM - risks about financial loss and value for money

Potential opportunity:

The Council can purchase a former office block within Gainsborough that has been empty for 8 years. The Council purchases the private developer that owns the office block, and therefore the property itself. The developer had previously obtained the planning permission to have it turned into 16 apartments with a small shop on the ground floor but is no longer moving forward with these plans. The local authority plans to own the property long term to provide temporary accommodation and aid issues of homelessness.

Potential risk:

While the proposed investment delivers new housing, the financial success of this investment opportunity relies on the property's ability to save temporary accommodation costs in the long term. There is a risk that the property may not be fully utilised or needed in the long term or may face difficulties in attracting tenants for the shop, affecting the Council's rental income and overall financial returns.

Your view:

- Avoidance of financial loss is a key objective. The Council is only willing to accept the low cost / most secure option. Resources could be withdrawn from non-essential activities.
- The Council is only prepared to accept the possibility of very limited financial loss, if absolutely unavoidable. Value for Money is the primary concern.
- The Council is prepared to accept the possibility of some limited financial loss. VfM still the primary concern but also willing to consider wider benefits.
- The Council is prepared to invest where there is a high reward and risks of financial loss can be managed to a tolerable level. Value and benefits considered (not just cheapest price). Resources allocated in order to capitalise on potential opportunities.
- The Council is prepared to invest for the best possible reward and accept the possibility of financial loss (although controls may be in place). Resources allocated without firm guarantee of return.

Question 6

Financial/VFM - risks about financial loss and value for money

Potential Opportunity:

The Council is interested in purchasing a town centre hotel and retail units within Gainsborough. It will cost the local authority £22.6 million. The hotel closed down in 2014 and part of the building has been demolished. Some of the retail units have become vacant since the closure of the hotel. The Council plan to build a new leisure development, consisting of a cinema and restaurants. This is part of a regeneration project that has had £41m million of investment from the local authority and external sources. This has funded a new health centre, bus station and community library, among other things. The redevelopment of the town centre is expected to give a £14 million boost to the local economy, create 400 jobs and generate another £570,000 in business rates annually.

Potential Risk:

While the proposed investment delivers new housing the financial success of this investment opportunity relies on the property's ability to attract tenants or occupants in the long term. There is a risk that the property may not be in high demand or may face difficulties in attracting tenants, affecting the Council's rental income and overall financial returns.

Your view:

- Avoidance of financial loss is a key objective. The Council is only willing to accept the low cost / most secure option. Resources could be withdrawn from non-essential activities.
- The Council is only prepared to accept the possibility of very limited financial loss, if absolutely unavoidable. Value for Money is the primary concern.
- The Council is prepared to accept the possibility of some limited financial loss. Value for Money is still the primary concern but should be also willing to consider wider benefits.
- The Council is prepared to invest where there is a high reward and risks of financial loss can be managed to a tolerable level. Value and benefits considered (not just cheapest price). Resources allocated in order to capitalise on potential opportunities.
- The Council is prepared to invest for the best possible reward and accept the possibility of financial loss (although controls may be in place). Resources allocated without firm guarantee of return.

Question 7
Legal and Regulatory

Potential opportunity:

The Council purchases a struggling shopping centre which has many vacant units. In the long term, the Council will demolish the shopping centre and promote the comprehensive redevelopment of the high street. However, it will take up to five years for the centre to be stripped of asbestos and demolished. In the meantime, the Council plans a light refurbishment of the shopping centre to encourage existing tenants to stay at market rates and will use vacant units for community and third sector activities on below market terms.

Potential risk:

The light refurbishment of the shopping centre and the temporary use of vacant units for community and third-sector activities may trigger compliance issues related to building codes, fire safety, accessibility, and land use regulations. Additionally, the presence of asbestos in the shopping centre and the need for its removal before demolition introduces a significant health and safety compliance risk. Improper handling of asbestos could pose serious health hazards to workers, occupants, and the surrounding community.

Your view:

- The Council 'Plays it safe' with no deviation from legal or regulatory requirements. Avoid anything which could be challenged.
- The Council considers only activities that could deviate in a very minor way from compliance expectations.
- The Council's only willing to 'stick our neck out' when the risk of challenge is very low.
- The Council has some appetite to deviate where challenge is likely, but only if we are likely to win it and where the gain will outweigh the adverse consequences.
- Chances of losing are high and the consequences serious, but a win could be seen as a great coup, the Council is prepared to invest.

Question 8
Long Term/ Short Term

Potential Opportunity:

The Council has an opportunity to purchase a large area of agricultural land at the edge of a village in West Lindsey. The Council aims to bring forward a mixed-use development on the site by promoting it through the next Local Plan which will allocate the site in the later part of the plan period. The site will enable the Council to create social value by delivering employment space and new homes and deliver open space and playing fields for the village.

Potential Risk:

The long-term investment will require the Council to bear the cost of financing the development and promoting the site through the planning process with a long delay before any returns can be made from the site. The cost of this will have an impact on the Council's budget until the new development is delivered. There is a chance that local pressure might be applied to preserve the field as agricultural land or turn it into public open space instead of delivering new homes.

Your view:

- The long-term objectives of delivering on social value are most important and the risk of short-term budget pressure is less important than delivering the long term social value
- The Council needs to balance the long term and short term needs of the Council when considering opportunities.
- The Council should only focus on short term budget impact of investment opportunities.

Agenda Item 6d



Governance and Audit Committee
Tuesday 16th July 2024

Annual Voice of the Customer Report 2023/24

Report by:	Director of Commercial & Operational Services
Contact Officer:	Natalie Kostiuk Customer Experience Officer natalie.kostiuk@west-lindsey.gov.uk
Purpose / Summary:	To summarise customer feedback received during the year 2023/24 and analyse customer contact demand data to provide a clear view of the voice of the customer.

RECOMMENDATION(S):

That Members welcome the contents of the Annual Voice of the Customer Report for 2023/24 and note the progress that has been made by the Council in improving the customer experience over the last 12 months.

IMPLICATIONS

Legal: None arising directly from this report.

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

Financial: FIN/43/25/SL/GA

There are no financial implications arising from this report.

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

Staffing: None arising directly from this report.

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

Equality and Diversity including Human Rights:

By understanding how customers interact with the Council in more detail, means that we will be able to identify and address issues that are preventing them from accessing services in an equal manner.

Data Protection Implications:

None arising directly from this report.

Climate Related Risks and Opportunities:

None arising directly from this report.

Section 17 Crime and Disorder Considerations:

None arising directly from this report.

Health Implications:

None arising directly from this report.

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

- West Lindsey District Council Customer Feedback Policy
- 2023/24 Quarterly Voice of the Customer Reports x 4

Available on the West Lindsey District Council website via this link:

www.west-lindsey.gov.uk/feedback

Risk Assessment :

Not applicable for this report.

Call in and Urgency:

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

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

Yes

No

x

Key Decision:

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

Yes

No

x

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Executive Summary

The Council saw a decrease in customer feedback and customer demand in 2023/24 when compared with the previous year. During the previous year in 2022/23 customer feedback and demand increased dramatically across all channels due to the implementation of the new recycling service that started in April 2022. The increase was expected as residents became used to the new recycling arrangements, and it reduced after 12 months of the new arrangements being in place.

Whenever a significant policy change occurs that affects a large number of residents fluctuations in customer feedback, demand and satisfaction are always envisaged.

There were no major events or changes in policy or procedure in 2023/24.

There was a decrease in the number of complaints received and upheld, more compliments were received, and customer satisfaction increased by 9%.

The volume of customer feedback remained consistent throughout the year, there was an increase in customer feedback in relation to RAF Scampton including several messages of support for the work that has taken place to secure the future of the site.

A fewer number of complaints were referred to the Local Government and Social Care Ombudsman and during 2023/24 there were no upheld ombudsman complaints for West Lindsey District Council (WLDC)

Overall customer demand for WLDC services decreased. A fewer number of calls were received into the Council's contact centre and a smaller number of service requests were received.

There was an increase in the number of visitors to the Guildhall that were accessing services provided by tenants, in particular for face to face appointments with the Job Centre Plus (JCP).

WLDC website usage increased, there was an increase in the overall number of users and sessions during 2023/24 when compared with previous years.

As mentioned in last year's report, the new Customer Relationship Management (CRM) system was implemented in 2022 and many improvements in service delivery have been implemented using the new technology available. An increase in customer satisfaction has been seen as customers are now kept up to date by automatic notifications that the CRM system sends to them.

All of the information and data included in this report feeds into the ongoing T24 service reviews, the newly agreed Customer Experience Strategy, the upcoming review of service standards and the Council's digital vision.

New contact centre technology being implemented in Summer 2024 will open up a wider range of ways we can interact with our customers and will bring improved reporting opportunities so that we can better understand the customers we serve.

1. Introduction

What is the Voice of the Customer?

- 1.1 The Voice of the Customer report includes information on all customer feedback received across the Council, customer satisfaction levels and customer demand data across various customer contact channels.
- 1.2 Information included in this report is collected via a number of different contact channels and reports including data collected from daily customer interactions as well as the compliments, comments and complaints received by the Customer Experience Manager and customer satisfaction survey responses.
- 1.3 The aim is to learn from the insight and data available in order to better understand our customers and to implement actionable solutions so that we can deliver an improved service for our customers.
- 1.4 All work carried out falls in line with the objectives of the Corporate Plan, the recently agreed Customer Experience Strategy and the Council's Digital Vision. Data on customer feedback, including the number of complaints received, complaints upheld, complaint response time and customer satisfaction levels is also included in the Council's Progress and Delivery reports.
- 1.5 The vision is to drive continuous learning and improvement across all Council services. The data included within this report feeds into the T24 service redesign and Customer Experience Strategy work that is ongoing.
- 1.6 Throughout the year quarterly Voice of the Customer Reports are produced which contain detailed information on customer feedback, customer satisfaction levels and customer demand during the period.
- 1.7 This annual report pulls together and analyses the data and information contained within the four quarterly reports that were published during 2023/24. These reports can be viewed on the West Lindsey District Council website via this link: <https://www.west-lindsey.gov.uk/feedback>

2. Customer Feedback

Customer Experience Policy and Customer Feedback

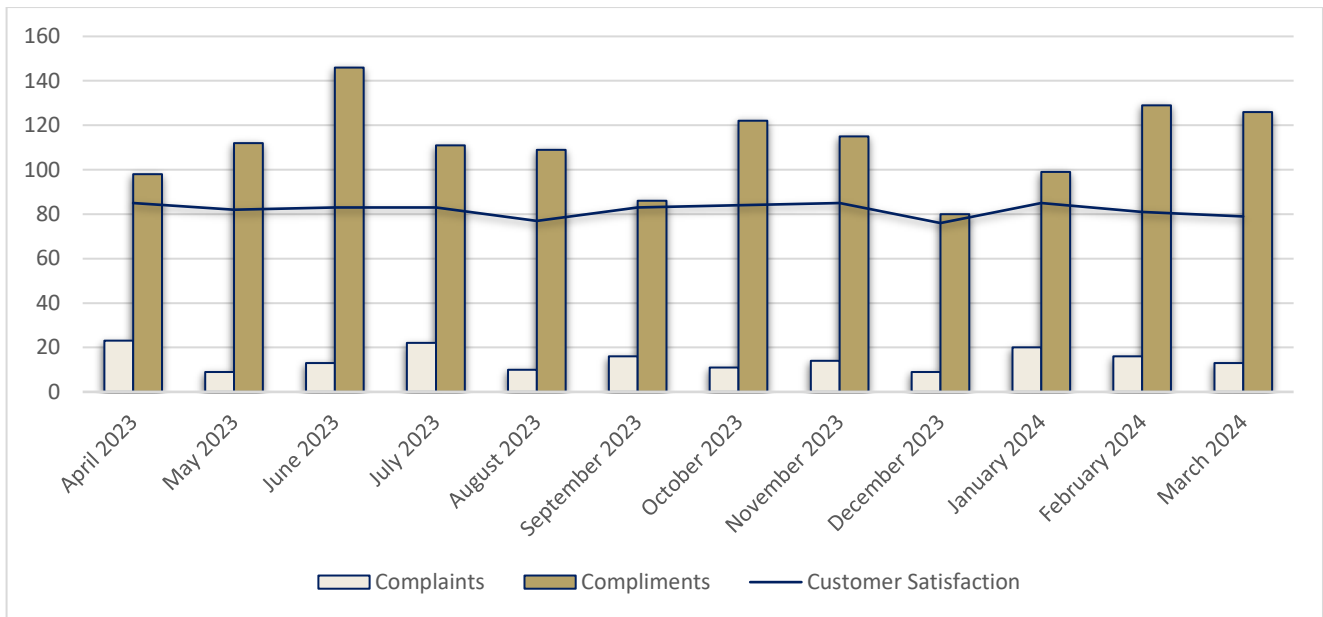
- 2.1 All customer feedback received is processed in line with the West Lindsey District Council Customer Feedback Policy which contains the formal complaints process. Complaints are investigated where required and are responded to by the Customer Experience Manager.
- 2.2 Customer feedback is broken down into three categories: Compliments, Comments and Complaints.
- 2.3 All customer feedback received is recorded on a central system allowing for easier and more specific reporting, so that meaningful comparison can take place. Customer feedback is logged by service and specific subjects or issues can be reported on making it easier to identify and examine issues, trends and areas where improvement is required.
- 2.4 A further method used to gather feedback from customers is via customer satisfaction surveys that are sent out on a weekly basis to customers that received a service during the previous week. These surveys are sent to customers of the main customer facing services which include Community Safety, Food Health and Safety, Environmental Protection, Planning and Development, Trees and Conservation, Planning Enforcement, Housing Enforcement, Licensing, Waste Services and Street Cleansing.

Overall Customer Feedback Statistics 2023/24

- 2.5 The table below shows the overall figures for all customer feedback received in 2023/24 compared to previous years including complaints received, complaint response time and the number of upheld complaints:

Overall Figures	Direction of Travel	Totals/Averages				
		2023/2024	2022/2023	2021/2022	2020/2021	2019/2020
Complaints	↓	176	210	155	178	187
Compliments	↑	1333	1133	1117	784	675
Comments	↓	87	104	155	64	73
Average number of days to respond	↑	6.8 days	6.5 days	8.3 days	8.2 days	6.6 days
WLDC at Fault	↓	46	51	46	50	71
WLDC at Fault %	↑	26%	24%	30%	28%	38%
Customer Satisfaction Score	↑	82%	73%	74%	76%	77%

- 2.6 The graph below shows how many compliments and complaints were received each month as well as monthly customer satisfaction levels:



2.7 Monthly customer satisfaction scores were consistent ranging between 76% to 85% throughout the year.

2.8 Throughout the year the number of complaints received, and customer satisfaction levels have remained consistent, there were no significant events or changes in policy that led to an increase in complaints as there was in the previous year when the new recycling service was implemented.

2.9 There was an increase in the number of compliments received for various teams across the Council for work that took place during and after the floods in 2023. Waste services, street cleansing, customer services and home choices received praise for their help during the floods and revenues (council tax) and benefits received messages of thanks for assisting residents affected by flooding with funding to assist them recover from the event and repair damage that had been caused.

2.10 During 2023/24 there was an increase in customer feedback received in relation to RAF Scampton.

Compliments

2.11 When compliments are received it allows us to identify what is working well and which aspects of our services our customers appreciate the most. All compliments received are shared with teams and relevant officers, they encourage our officers to be the best they can and provide the highest standard of service possible. Compliments are used to embed good practise across all Council services.

2.12 A total of 1333 compliments were received between April 2023 and March 2024, this is an increase compared to the previous year when 1133 compliments were recorded.

2.13 The services that receive the highest number of compliments are the main customer facing services which includes waste services, planning and development, trees and conservation, customer services, revenues (council tax) and street cleansing.

- 2.14 The table in [APPENDIX A](#) shows how many compliments were received for each service in 2023/24 compared to previous years. It should be noted that positive 5 star customer satisfaction survey comments are recorded as compliments so in some cases, for services that are surveyed a wider number of customers have been asked for their views on their experience with that service.
- 2.15 Compliments received are generally regarding the quality, speed and efficiency of the service provided, customers appreciate it when we do what we say we are going to do when we say we are going to do it. Customers like to be kept informed and up to date, if delays are expected they appreciate being informed as their expectations are being managed.
- 2.16 Compliments have also been received in relation to officer conduct, their professionalism, politeness, knowledge, understanding and willingness to help. On the odd occasion when we do fail, if we identify the failure, admit it and put it right in a timely manner customers will often still provide positive feedback in relation to the service received and how the matter was handled.

Comments

- 2.17 Whilst some feedback may not be particularly praising our services or raising a complaint or feeling of dissatisfaction comments are still classed as important feedback as they can provide useful insight and suggestions that may help to improve the service and customer experience that we provide.
- 2.18 Between April 2023 and March 2024 a total of 87 comments were received, this is a decrease when compared to the previous year when 104 comments were recorded. The table in [APPENDIX B](#) shows how many comments were received for each service in 2023/24 compared to previous years.
- 2.19 The majority of the comments received were in relation to waste services (42), these comments included suggestions on the green garden waste service, including thoughts on the charge for the service, the recent price increase, the frequency of GGW collections and the start and end times of the GGW collection period. An engagement event will be undertaken regarding the GGW service during Summer 2024 to gather further on the service. Other comments received for waste services included comments on various waste policies including the cost for new bins, comments in relation to information included on the WLDC, comments regarding sack deliveries, the quality of bin lids, comments in relation to bins not being returned to the boundary and a gate being left open, and suggestions of what should be included on the information about what can be placed in each different bin.
- 2.20 Where appropriate and if not able to be implemented immediately, suggestions for service improvements are shared with the relevant service manager for consideration when future service reviews take place.

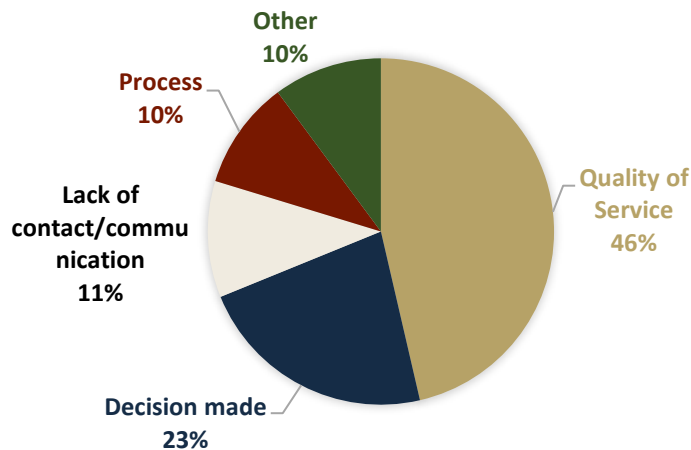
Complaints

- 2.21 Whilst complaints may be perceived as negative feedback the Council still encourages and welcomes them as all feedback is valuable and can potentially help to improve our

services and the customer experience. Across all sectors, complaints are on the increase as there are rising customer expectations, more hardship since the cost of living crisis hit and customers expect ease of access and high levels of service no matter what organisation they are dealing with.

- 2.22 Complaints do not necessarily indicate a decrease in service quality, but they can provide an early warning signal that something has or could go wrong, and they can be a useful way of stimulating innovation and are a powerful form of knowledge.
- 2.23 A total of 176 complaints were received between April 2023 and March 2024, which is a decrease when compared to the previous year when 210 complaints were recorded. The table in [APPENDIX C](#) shows how many complaints were received for each service in 2023/24 compared to previous years.
- 2.24 The target response time for complaints in 2023/24 was 21 days. The 21 days stated is 21 calendar days (not working days) the system used at the moment cannot distinguish between working days and none working days – when the complaints process is moved over to the new system this will be brought in line with other targets and changed to working days.
- 2.25 From the 1st April 2024 the complaint response time was reduced to 14 calendar days, this was agreed as an amended progress and delivery measure and falls in line with new complaint handling guidance that has been published by the Local Government and Social Care Ombudsman.
- 2.26 The average response time for complaints in 2023/24 was 6.8 days, this is a small increase when compared to the previous year and is well below the 21 day target. Complaint response times can vary, often waste service complaints can be resolved the same day whereas more complicated complaints that relate to planning or enforcement matters for instance can take a number of weeks to investigate and respond to.
- 2.27 During 2023/24 there were 3 complaints that took longer than 21 days to investigate and respond to, this was due to the nature and the number of issues raised within the complaints that were related to planning and planning enforcement services, officer availability and the number of different parties involved. Complainants were kept up to date on the delays during the investigation process.
- 2.28 The 5 services to receive to highest number of complaints were waste services, home choices, planning and development, trees and conservation, planning enforcement and revenues (council tax). Further and more detailed information on the complaints received throughout the year can be found in the previously published Quarterly Voice of the Customer Reports for 2023/24.
- 2.29 Waste services have historically always received the highest number of complaints, this is to be expected and is relative to the volume of service requests they receive as this service has contact with the largest number of households and customers across the district on a regular basis. It is pleasing to note that waste services also receive the most positive feedback in the form of compliments and 5 star customer satisfaction scores received.

- 2.30 37% (65) of all the complaints received related to waste services, this is a decrease compared to the previous year when 107 complaints were received for waste services equating to 51% of all the complaints received in 2022/23. The increase in complaints during the previous year was due to the implementation of the new recycling service and was predicted to happen as residents became used to the new arrangements.
- 2.31 It should be noted that a single occurrence of a missed bin collection would not be classed as a formal complaint, the only time missed bins are treated as formal complaints is when there has been a repeated issue of missed bins, normally 3 occurrences in a row or where we have failed to return for a missed bin within the 5 days promised. In these instances, further investigation into the reasons why it keeps occurring is required and it may not always be the waste crews that are at fault.
- 2.32 57% of the complaints received for waste services were about the quality of service received and 18% were in relation to staff behaviour.
- 2.33 13% (23) of the complaints received in 2023/24 were classed as out of scope, these complaints related to various issues including potholes, blocked drains, issues with footpaths and hedges encroaching onto footpaths and highways amongst many other things that WLDC are not responsible for. These complainants were signposted to the most appropriate authority or agency to assist with their concerns. Information included on the WLDC website in regard to what WLDC are responsible for and what LCC oversee has been improved and made more prominent in order to try and reduce the amount of out of scope customer feedback received.
- 2.34 8% (14) of the complaints received were in relation to the home choices service, this is an increase in complaints when compared to previous years. The majority of complaints received were regarding the quality of service received, process or the decision made.
- 2.35 8% (14) of the complaints received were for planning and development, trees and conservation, this is a decrease in complaints when compared to previous years. 50% of the complaints received were in relation to the decision made.
- 2.36 6% (11) of the complaints received were for planning enforcement, this is a small increase in complaints when compared to previous years. 82% of the complaints received were in relation to the decision made.
- 2.37 6% (11) of the complaints received were for revenues (council tax), this is a decrease in complaints when compared to previous years. The majority of complaints received were regarding the quality of service received, process or lack of contact/communication.
- 2.38 On examining the reasons for complaints received it is found that over 90% of the complaints received that related to services provided by WLDC (excluding out of scope complaints) fall into 5 main reason categories:



Upheld Complaints

- 2.39 Of the 176 complaints received, 46 (26%) were upheld with the Council deemed to be fully or partially at fault by the independent investigating officer (the Customer Experience Manager).
- 2.40 This is a decrease in upheld complaints when compared to the previous year when 51 complaints were upheld.
- 2.41 Waste services complaints have a big effect on the overall number of upheld complaints, in 2023/24 29 of the 65 complaints received for waste services were upheld, which equates to over half of the full total of upheld complaints for the year.
- 2.42 The table in [APPENDIX D](#) shows how many complaints were upheld for each service in 2023/24.
- 2.43 Complaints were upheld in 2023/24 for various different reasons including customers not being responded to in a timely manner, or at all in some cases, customers receiving incorrect or misleading information or advice, repeated missed bins, bins not being returned to their correct positions after being emptied, staff behaviour or system errors and user errors when using Council systems, failed paid for services including bulky and green garden waste collections and inconsistencies in the service provided.
- 2.44 Complaints received can vary in nature, often they can be justified but there is little within the authorities control that can be done to resolve them. When they are justified and fault on behalf of the council is identified then appropriate resolutions and recommendations are put into place, this could involve an apology to the customer, ensuring that the customer receives the answer or advice they require or a change in policy or process amongst other things.

3. Insights into Action – Learning and Improvement Actions

- 3.1 Gathering feedback from customers enables the Council to use these insights to shape the way it improves and develops. Customer insights relating to services are shared with the relevant Team Managers stating the actions required and a deadline implementation date, this is escalated to the Management Team if failing to implement within the set

timescale. The Customer Experience Manager will assist with implementing the improvements where possible. Over time all suggested improvements are gathered into reports which are prioritised and fed into relevant projects and service redesign work.

- 3.2 When feedback is received it is considered and when complaints are investigated the outcome is examined in order to identify any learning opportunities that can be gained from the issues raised or faults identified.
- 3.3 During the 2023/24 period many improvement actions have been implemented including changes in processes, procedure reviews, updates to the website, external systems and the continued monitoring of customer standards. Further information on the improvement actions made throughout the year can be found in the previously published Quarterly Voice of the Customer Reports for 2023/24.
- 3.4 The table in [Appendix E](#) includes full details of all the learning and improvement actions that have been identified during the 2023/24 period.
- 3.5 The table below gives the number of and a brief explanation of the learning and improvement actions that were identified for specific services:

Waste Services	6	<ul style="list-style-type: none"> • Improvements have been made to the information on the WLDC website in relation to policies including the no side waste policy and what can and can't go in each bin. • Crews have been reminded of waste policies and correct ways of working. • Work has taken place in regard to CRM capacity for storing waste issue images. • More information has been published to educate residents on waste policies and recycling. • An audit has taken place to ensure that crews are using the correct tags when rejecting contaminated bins.
Revenues (Council Tax)	4	<ul style="list-style-type: none"> • Online payment issues raised were resolved with amendments being made to the payment pages which made it easier and more straight forward for the customer. • Extra measures were put into place to ensure that customer enquires were not missed and left un-responded to during busy periods. • Improvements were made to emails sent to residents in regard to empty homes in order to make it clearer that it was from WLDC and to include the customer reference number for increased authenticity. • Officers were reminded to take care when making changes to customer accounts to ensure that any changes made were accurate.

Systems Development	2	<ul style="list-style-type: none"> • Some unmonitored email accounts were discovered which meant that various actions had not been completed. This was raised with the IT team who undertook an audit to ensure that the email addresses in this category were no longer visible to officers on outlook. • An issue was identified regarding reporting calls taking place via the Teams application. Work was carried out to ensure that volumes of calls via Teams can be reported on.
Property Services	2	<ul style="list-style-type: none"> • Improvements have been made to information on car parking charges, payments and restrictions on larger vehicles included on the WLDC website and car park signage when next updated.
Planning and Development	1	<ul style="list-style-type: none"> • Reminders were provided to officers in the planning administration team regarding the correct process for dealing with outgoing post items to ensure that all post items are sent in a timely manner to the intended recipient.
Street Cleansing	1	<ul style="list-style-type: none"> • Improvements to operative records on CRM were required to ensure accurate records are kept and that customers receive appropriate notifications. Training and guidance was provided.
Community Safety	1	<ul style="list-style-type: none"> • Service Standards for customer contact were required and processes/policies that set out who is responsible for what, and what WLDC can and cannot do or consider. These have since been implemented.
Growth and Regeneration	1	<ul style="list-style-type: none"> • Business advice process improvements were identified as being required, including the separation of what falls under WLDC and what the business advisor would be responsible for in any new arrangements going forward.

4. Customer Feedback Governance and Reporting

4.1 Customer Feedback is governed by a set of regular reports:

- Monthly Progress and Delivery reports monitor customer feedback levels including feedback received, days to respond to complaints and information on how many complaints are upheld in each period as well as customer satisfaction levels.
- Monthly reports on feedback received are shared with each service.
- Quarterly customer feedback and demand reports are produced for the Management Team and Service Team Managers and are published on the WLDC website.

- 4.2 Regular reports are submitted to the Management Team and monthly ‘emerging issues’ meetings are held with the Directors of Operational & Commercial Services and Change Management, ICT & Regulatory Services.
- 4.3 The Quality Monitoring Board (QMB) meets on a regular basis to discuss emerging issues and oversee decisions on complex and sensitive complaints where high risk or reputational issues are involved. The QMB will agree any resolution or action required and will ensure that appropriate improvement actions are implemented where necessary.
- 4.4 Quarterly Voice of Customer Reports are published to all Team Managers and Officers and via the regular Members newsletter to our Councillors.
- 4.5 This Annual Voice of the Customer Report is presented to the Management Team, Governance and Audit Committee and the Wider Management Team.
- 4.6 A report on the Annual Local Government Ombudsman letter will be presented to the Management Team and Governance and Audit Committee at a later date in the year.

5. Local Government and Social Care Ombudsman complaints (LGSCO)

- 5.1 If a customer is dissatisfied with the outcome once they have completed the Council’s formal complaints process, they can refer their complaint to the Local Government and Social Care Ombudsman (LGSCO) for consideration.
- 5.2 Between April 2023 and March 2024 records indicate that a total of 8 complaints referrals were made to the Ombudsman, this will be confirmed once the Annual Ombudsman letter is received later this year. This is a decrease in comparison to previous years.
- 5.3 When a complaint is referred to the Ombudsman, they make initial enquiries and then decide whether or not to investigate further. The table below shows the outcome of complaints referred to them compared to previous years.

LGSCO Outcome	2023/24	2022/23	2021/22	2020/21	2019/20
Number of complaints referred	8	13	10	13	11
Complaints not investigated	7	9	3	9	6
Complaints investigated	1	4	7	4	5
Complaints upheld	0	1	2	2	1
Complaints not upheld	1	3	5	2	4

- 5.4 The number of complaints referred to and investigated by the Ombudsman has decreased in comparison to previous years.
- 5.5 The Ombudsman decided not to investigate the majority of the complaints that were referred to them during 2023/24. The reasons given were they were out of time or there was a formal appeal route available, or there was insufficient evidence of fault or injustice caused that would warrant further investigation.

- 5.6 The complaints that the Ombudsman did not investigate were in relation to Planning and Development (3), Planning Enforcement (1), Housing Enforcement (1), Community Safety (1) and Environmental Health (1).
- 5.7 The Ombudsman investigated one of the complaints that was referred to them, this was in relation to Planning Enforcement. The investigation found no fault on behalf of the Council and the complaint was not upheld.
- 5.8 A report will follow later this year which will detail all of the complaints referred to the Ombudsman during the 2023/24 period. This report will be presented to the Governance and Audit Committee and will include benchmarking data to illustrate how we compare to other similar authorities in terms of the number of complaint referrals and instances where councils are found to be at fault.

6. Customer Satisfaction Measurement

- 6.1 The Council has been using an e-survey platform over the last few years which enables the sending and analysis of customer satisfaction surveys from one place with real time results, this platform is called Qualtrics.
- 6.2 Surveys are sent on a weekly basis to customers that have contacted the Council or have received a Council service during the previous week, including planning application decisions.
- 6.3 Currently surveys are only being sent via email, but other methods are currently being considered during the implementation of the new Customer Relationship Management (CRM) System and the new Customer Contact Centre.
- 6.4 The insights gained from survey responses received feed into the customer feedback system in order to collate all feedback in one central place. By identifying issues that customer raise in their survey response comments we are able to act on and solve issues before they potentially escalate into a formal complaint.
- 6.5 Satisfaction surveys are sent to customers of the main customer facing services. During 2023/24 the services that have been surveyed are Community Safety, Food Health and Safety, Environmental Protection, Planning and Development, Trees and Conservation, Planning Enforcement, Housing Enforcement, Licensing, Waste Services and Street Cleansing.

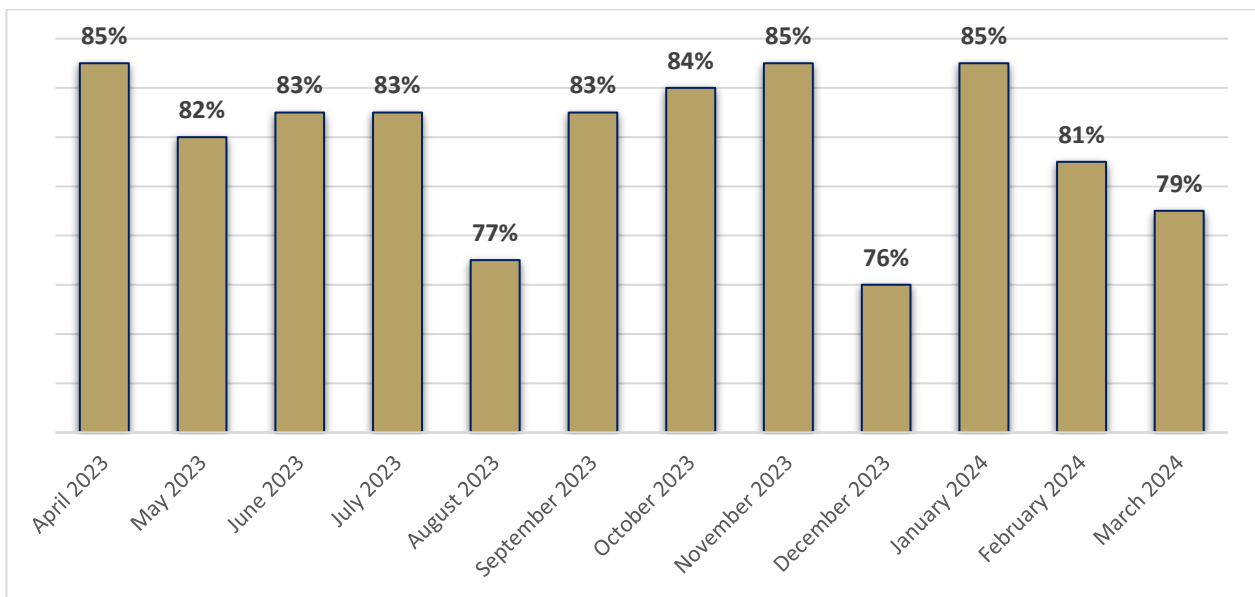
Satisfaction Levels

- 6.6 During the 2023/24 period from April 2023 to March 2024 a total of 8735 satisfaction surveys were sent out and 1628 responses were received. This is an increase in responses in comparison to the previous year when 1343 responses were received.
- 6.7 The majority of the surveys that are sent and responses received are from Waste Services customers as they handle the highest number of service requests on a daily basis.

- 6.8 Customers are asked to rate the service they received from 1 to 5 stars, if they choose 1 to 3 stars they are asked what could have been done to improve their experience and if they choose 4 or 5 stars they are asked what was done well.
- 6.9 Ratings of 4 and 5 stars are used to calculate the overall satisfaction score.
- 6.10 The overall satisfaction score for 2023/24 was 82% which is an increase when compared to previous years. The overall satisfaction score for the previous year was 73%.

2023/24	2022/23	2021/22	2020/21	2019/20
82%	73%	74%	76%	77%

- 6.11 The chart below shows the satisfaction scores for each month during 2023/24 which were fairly consistent ranging between 76% to 85%:



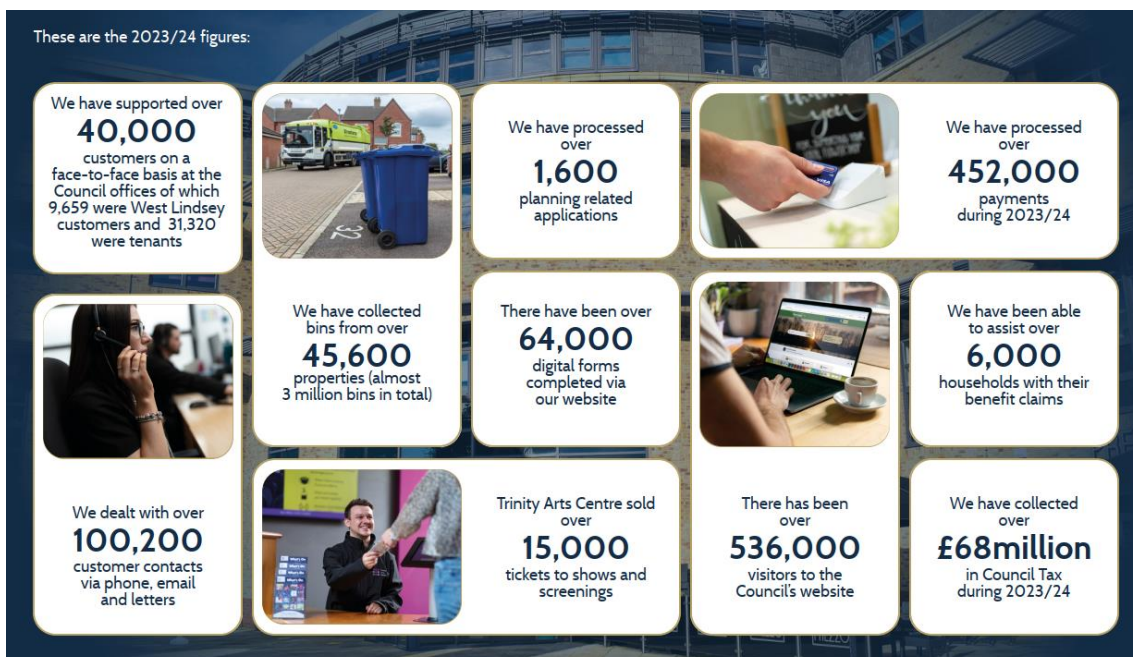
- 6.12 The comments that customers submit when they complete a satisfaction survey are analysed and are fed into the customer feedback system. If required, comments are followed up with the customer that has responded and if they highlight a learning or improvement opportunity they are recorded and followed up as an action that needs attention.
- 6.13 Customers that have rated the service they received highly have responded with comments regarding what they felt we did well that include how we did what we said we would, when we said we were going to do it. Customers appreciate being kept up to date and being informed when a service request has been completed. Satisfaction has increased since the new CRM system was implemented for waste services as customers now receive confirmation when a fly tipping report has been completed. Customers have praised officers for being helpful, empathetic and understanding and comments are

received throughout the year regarding the helpfulness of waste services operatives and how well they conduct themselves.

- 6.14 Customers that have rated the service they received with a low number of stars have responded with comments regarding how they felt we could have improved. These comments include issues with the speed of service, disappointment with the outcome or decision reached or lack of response. Some customers felt that there could have been better liaison between departments and improved communication, and others commented on difficulties contacting the Council as quickly and easily as they would have liked.
- 6.15 To increase customer satisfaction going forward all services need to ensure that they are dealing with their customers in a timely manner, keeping them up to date and managing their expectations in terms of what will happen, when, and what they should expect. The developing Customer Experience Strategy, new Contact Centre technology and ongoing work around customer service standards will assist with this as these will ensure that appropriate acknowledgements and response times are being utilised by all Council services.
- 6.16 Further and more detailed information on customer satisfaction including comments that have been received for individual services can be found in the previously published Quarterly Voice of the Customer Reports for 2023/24.

7. Customer Demand Analysis

- 7.1 The demand analysis part of this report focuses on the data available surrounding customer contact points. This includes data collected around telephony, face to face interactions, the website, payments and how service requests are received. Analysing this information can show how customers are choosing to interact with the council and through which channels. You can see how many interactions have taken place across different council services during 2023/24 in the diagram below:



Service Requests and Customer Contact Methods

- 7.2 Service requests can be made by customers through various channels. For example, telephone, online forms, at the Guildhall and via email. It is important to understand how customers are making requests so the receipt of these can be resourced adequately and appropriately.
- 7.3 Currently the method of receipt of service requests are only recorded by the following teams: Anti-Social Behaviour, Planning Enforcement, Housing Enforcement, Food Health and Safety, Public and Environmental Protection, Street Naming and Numbering (SNN) and Waste Services. Future investments in technology will allow for improved handling and recording of future service request enabling a better understanding of our demands in this area.
- 7.4 The number of service requests received recorded on the Flare and CRM system for 2023/24 was 39,201 which is a decrease compared to the previous year where 41,533 were recorded. Note: these figures include Green Garden Waste (GGW) subscription requests. There were 25,315 GGW subscriptions in total in 2023/24. 82% of GGW subscriptions were completed online and 17% were completed over the telephone.
- 7.5 The table below illustrates the full breakdown of all contact channels used in 2023/24 by customers to request a service compared with the previous two years:

Contact Method	2023/24	2022/23	2021/22
Online Forms	72% (28,174)	67% (27,805)	65% (26,753)
Email	3% (960)	2% (1,030)	3% (1,037)
Telephone	23% (9,111)	23% (9,748)	29% (12,101)
Face to Face	1% (487)	6% (2,517)	Less than 1% (251)
Letter	Less than 1% (26)	Less than 1% (23)	Less than 1% (140)
Internal Referrals	1% (443)	1% (430)	2% (854)
Total number of service requests received	39,201	41,533	41,136

- 7.6 Although the overall number of service requests recorded on Flare and CRM has decreased the use of online forms to request a service has increased in comparison to previous years, this is a result of improved digital options available to our customers. As with previous years the majority of customers requesting a specific service (over 95% in 2023/24) made contact with us via the phone and online forms.

Face to Face (in person) Demand

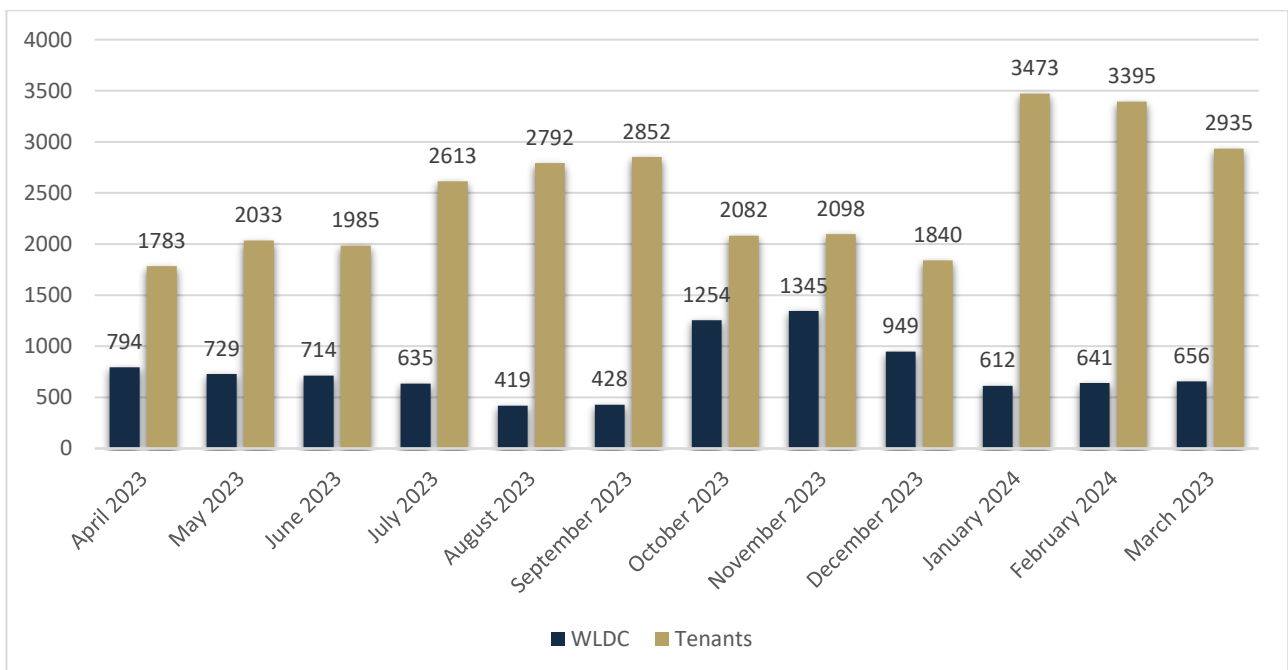
- 7.7 Historically the number of customers that choose to visit the Council's reception at the Guildhall is relatively low as many customers now opt to request services via other means, as you can see from the information included in the section above. During the 2023/24 period face to face contact increased compared to previous years, in particular during January, February and March which in part was due to Job Centre Plus (JCP) seeing more customers at face to face appointments.

7.8 Although face to face demand for WLDC services is relatively low it is recognised that a face to face service will always be required as customers need the choice available, however, a higher number of customers may choose to use online services now they are confident in doing so rather than visiting the Guildhall for a face to face service.

7.9 As well as customers for WLDC services, WLDC visitors and customers for our tenants are also dealt with via the main Guildhall reception. A big majority of the customers that come into the Guildhall are attending Job Centre Plus (JCP) appointments. It should be noted that although a customer may not require services from WLDC it is a Council officer that has the first interaction with each person that walks through the door.

7.10 During 2023/24 a total of 40,979 customers visited the Guildhall for a face to face service, this is an increase compared to the previous year when 34,623 customers visited. 9,659 (24%) of these customers were accessing a WLDC service, 31,320 (76%) were accessing services provided by our tenants.

7.11 The graph below shows how many customers visited the Guildhall building each month during 2023/24 and the number of customers that were accessing WLDC or tenant services each month:



7.12 These visitor numbers along with data relating to the specific reasons why customers attend the Guildhall will be analysed and used in the plans for the future design of how the reception area will work in terms of face to face contact and how services will operate going forward.

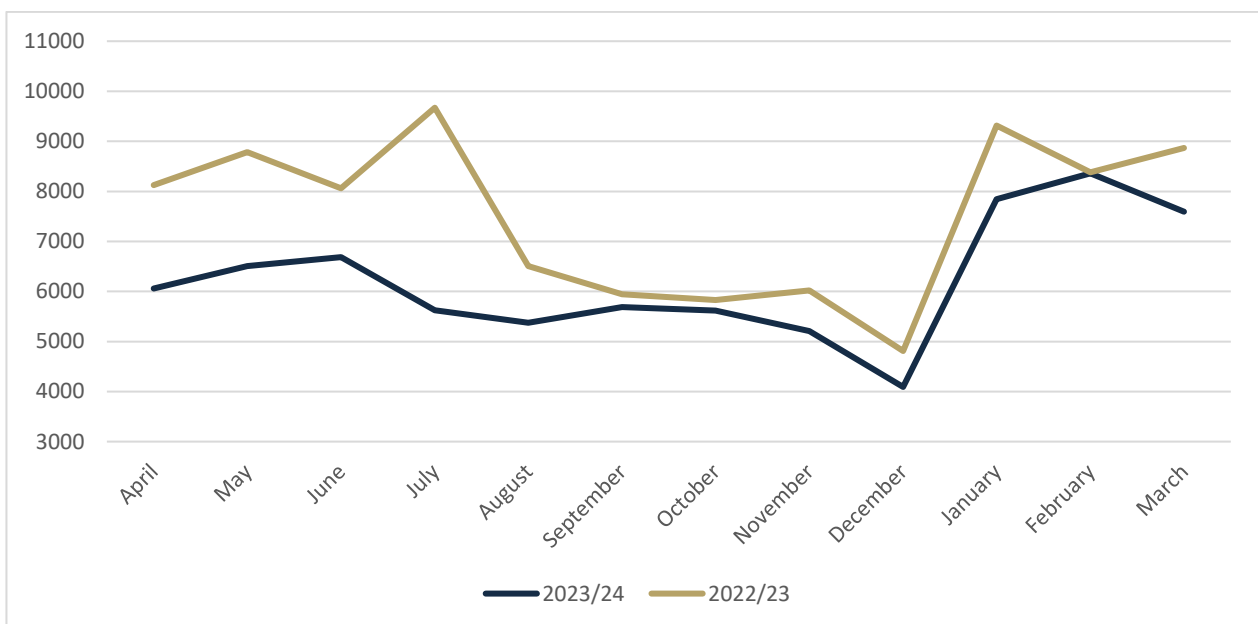
Telephone Calls

7.13 Telephone calls received through the council’s current contact centre are reported on for inclusion in this report, which includes calls received by customer services, revenues (council tax) and benefits. The contact centre records all calls that are made to the council’s main telephone number (01427 676676).

7.14 Overall telephone demand decreased during 2023/24 compared to the previous year, 74,655 calls were received into the contact centre (which includes customer services, revenues (council tax) and benefits) in 2023/24, whereas 90,314 were received in 2022/23, this is a decrease of over 15,000 calls in total. 2022/23 was a particularly busy year in terms of customer contact due to the implementation of the new recycling service, now that customers are used to it contact in relation to the new arrangements has decreased.

7.15 On average 88% of all calls received into the contact centre were answered and handled during 2023/24, this is an increase compared to the previous year where 84% of all calls were answered and handled on first contact. It should be noted that although a call may go unanswered, customer can opt to receive a call back once the officer is available. (unanswered call figures include calls which go through to voicemail services).

7.16 The graph below illustrates telephone demand via the contact centre each month for 2023/24 compared to the previous year:



Customer Service Call Volumes 2023/24

7.17 This section of the report examines calls received and recorded by the customer services department specifically. From the 1st April 2023 to the 31st March 2024 a total of 44,659 calls were received by the customer services department, 38,887 of these calls met the requirements for being recorded on the Council's Customer Relationship Management (CRM) system.

7.18 Some of the calls received were resolved on the first point of contact by the customer services department and other calls were either signposted to other external agencies or passed on for further involvement by another council department. This could involve a service request report, a paid service request, a call back request or a request for further information or advice from a specific department.

- 7.19 Calls that meet the requirements for being recorded are logged on the council’s Customer Relationship Management (CRM) system and the officer handling the call will record what council department or external agency the call was in relation to.
- 7.20 During 2023/34 38,887 calls handled by customer services were recorded against 32 Council departments and 7 external agencies. A full breakdown on the number of calls received for each of these can be found in [APPENDIX F](#).
- 7.21 86% (33,819) of the 38,887 calls recorded were for 9 council departments and 1 external agency. 41% (15,936) of the calls recorded were in relation to operational services (waste services) which included missed bin reports, bulky waste collections, fly tipping reports, new bin requests, big bin clear out requests amongst many other waste issues. The table below shows the top 10 reasons for calls recorded by the customer services department during 2023/24:

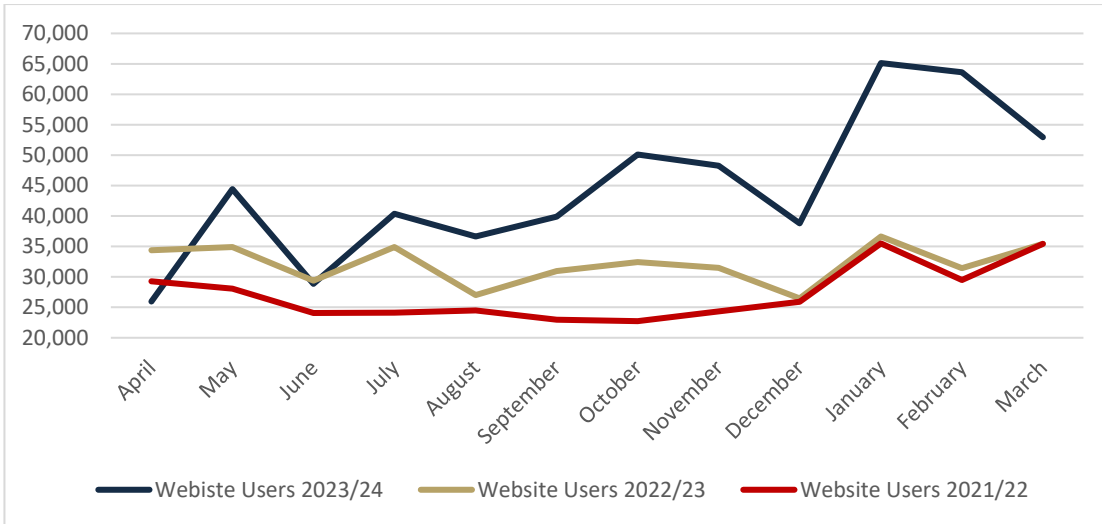
WLDC Service or External Agency Required	Number of calls recorded	% of calls recorded
Operational Services (Waste Services)	15,936	41%
Revenues (Council Tax)	6,324	16%
Planning and Development, Trees and Conservation	2,631	7%
Home Choices	2,408	6%
Customer Services	1,739	4%
Lincolnshire County Council (LCC)	1,344	3%
Building Control	1,089	3%
Trinity Arts Centre and Leisure	816	2%
Environmental Protection	792	2%
Communities	740	2%

- 7.22 Implementation of a new contact centre will commence in summer 2024 which will help to reduce the number of calls reaching the customer services department by automatic redirection of the calls meant for LCC and more automated assistance in place for routine requests, allowing time to be spent assisting more vulnerable customers and dealing with more complex enquiries. The new contact centre will also allow detailed reporting on the numbers and reasons for calls received and exactly how long is being spent handling each call.

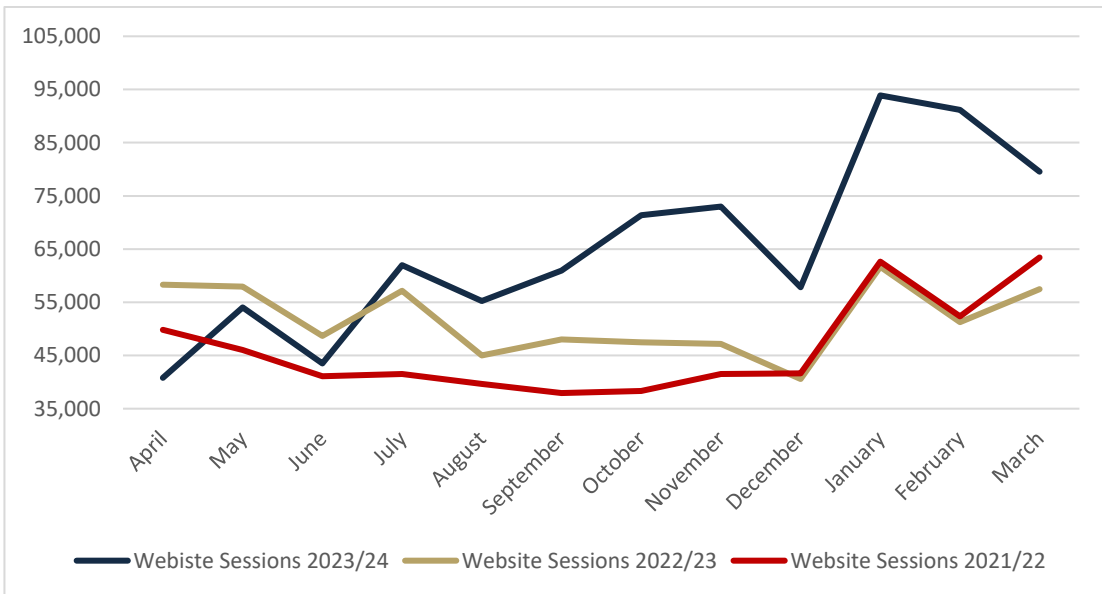
Online Customer Demand

WLDC Website

- 7.22 By using Google Analytics we are able to track users of the West Lindsey District website where they have consented to cookies being enabled which monitors their activity.
- 7.23 The graph below shows the number of website users each month compared to the previous two years. In 2023/24 there was a total of 535,999 users, this is a big increase compared to previous years. The number of website users increases during January, February and March each year due to the GGW subscription period that begins at the start of the year. As we work to expand the council’s digital offerings and improve the WLDC website we hope to see more website users in the future:



7.24 The graph below shows the number of website sessions each month compared to the previous two years. In 2023/24 there was a total of 783,305 sessions, again, this is a big increase compared to previous years. As with the number of website users, the number of website sessions increases during January, February and March each year due to the GGW subscription period that begins at the start of the year.

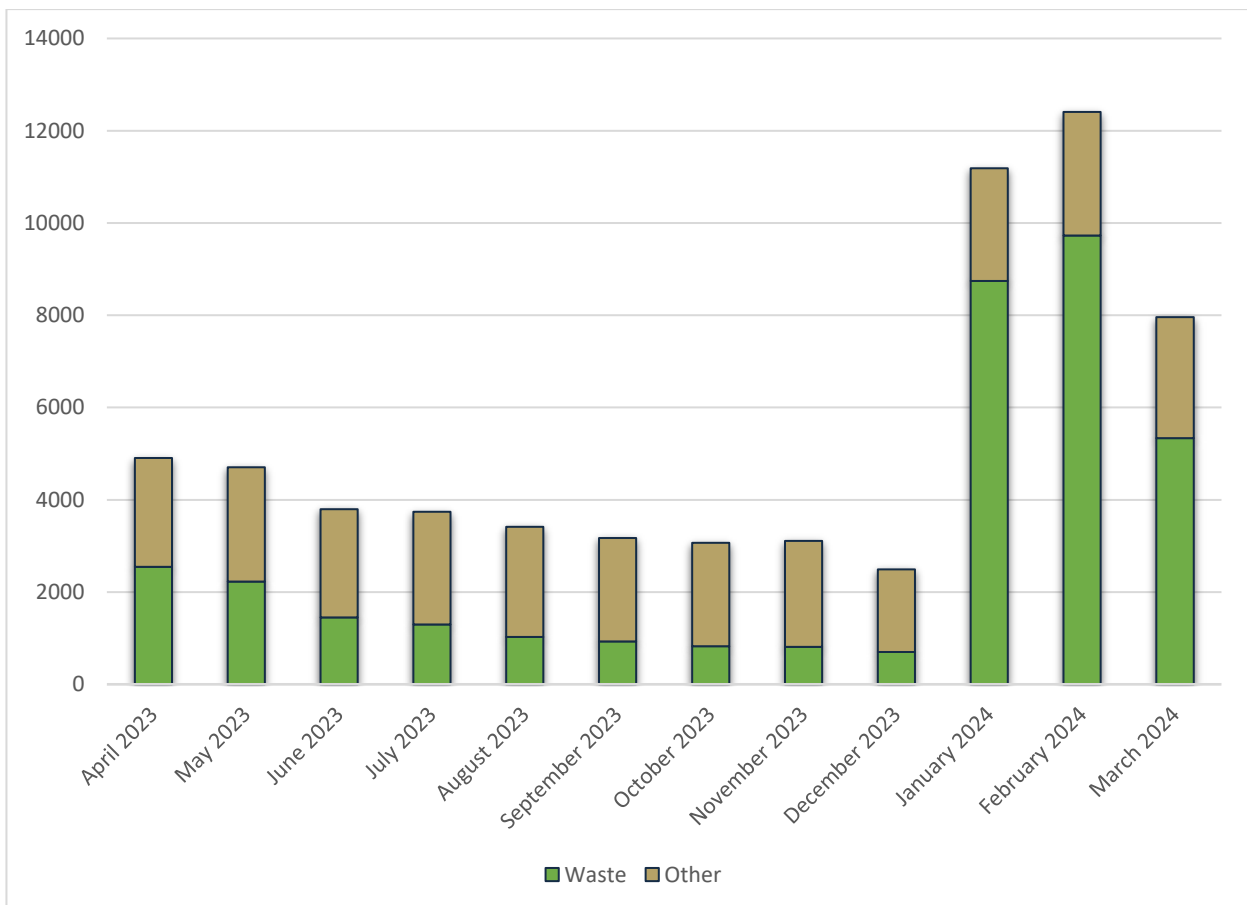


7.25 It is evident that customers are becoming more confident in using the Council website to access our information and services and the information provided is becoming more informative and helpful. It is important that our customers' needs can be met via our website and that they can access the services they require 24/7.

7.26 Work is constantly ongoing to improve the WLDC website and ensure that it is accessible to all at any time of the day and website feedback is collated each month and examined to identify where any improvements can be made.

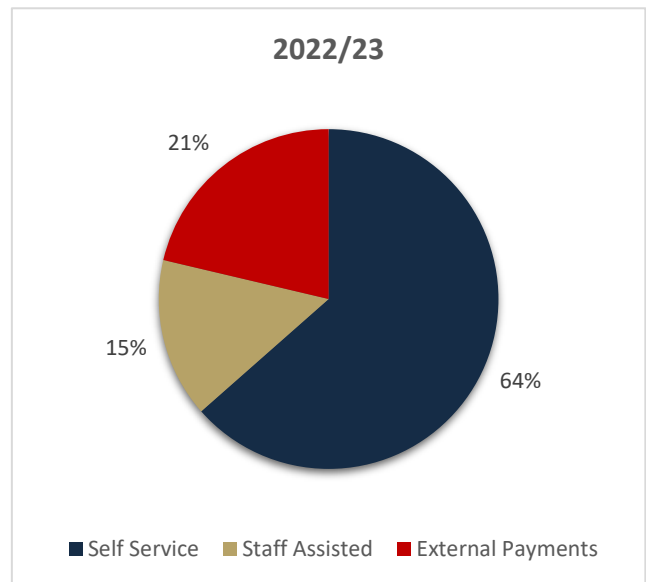
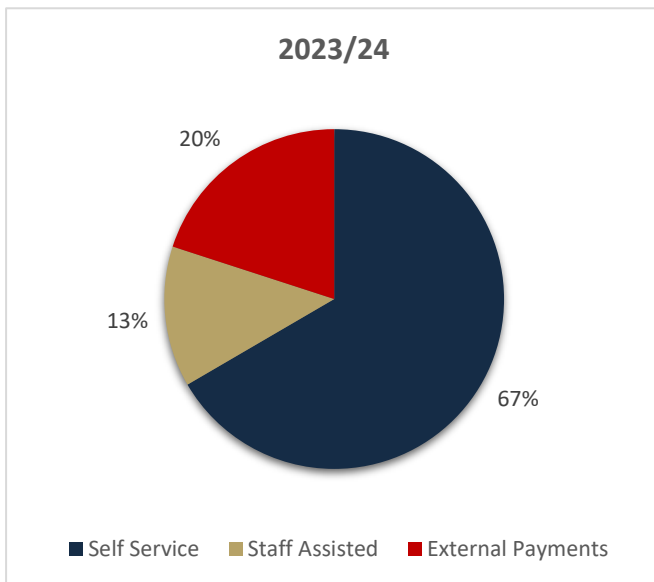
Online Service Requests – Eforms

- 7.27 Customers can request or subscribe to a service via the Council website. The most visited pages on the website include the general waste and green garden waste service pages during the subscription period and the second most popular pages are relating to planning and development, with revenues (council tax) and benefits coming in as third most popular.
- 7.28 Compared to the previous year there has been a decrease in the number of service requests made via online forms during the 2023/24 period. In total 64,131 online requests were received compared to 67,338 in 2022/23.
- 7.29 The main services requested via Eforms in 2023/24 were waste (green garden waste collections, bulky waste collections etc), revenues (council tax) and customer services. 56% of all Eforms completed (35,626) in 2023/24 were in relation to waste services.
- 7.30 The graph below illustrates how many online requests were received each month during 2023/24 broken down by waste requests and other requests. The increases in January, February and March are due to Green Garden Waste (GGW) subscriptions:



Payments

- 7.31 Various services across the council accept payments from customers. The methods in which customers make payments to the Council can be classified into three categories; Self-Serve, Staff Assisted Payments and External Payments.
- 7.32 Self-Serve payments include payments taken over the website, the kiosk in reception and the automated telephone payment line. Staff Assisted payments include payments over the phone, postal cheques and small amounts of cash taken face to face. External Payments include bank account payments (but not direct debit payments), Post Office payments and PayPal.
- 7.33 In the 2023/24 period 75,761 payments were taken (not including direct debit payments) which is a decrease when compared to the previous year. The breakdown of how these payments were made is illustrated in the charts below:



- 7.35 The payments received in 2023/24 consisted of 67% self-serve payments, this is an increase compared to last year which is due to the implementation and more frequent use of the automated payment facility. 13% of payments were staff-assisted, this has decreased slightly compared to the previous year and involves customers paying over the telephone with an officer. The volume of external payments has decreased compared to the previous year at 20%.

8. Conclusion

The 2023/24 year has been positive in terms of the decrease in the number of complaints received, an increased number of compliments received and a 9% increase in customer satisfaction when compared to the previous year.

2023/24 followed on from a 12 month period where residents were getting used to the new recycling arrangements that were introduced in April 2022.

The new CRM system has assisted in increasing customer satisfaction, in particular for waste services as customers now received more timely reminders and updates on the service requests they have made.

Self-service online and telephone continue to be the preferred methods of contact with the Council with over 95% of customers choosing to interact with us in those ways. More online self-service methods are being utilised by customers which means that we need to ensure that the information on our website is accurate, informative and up to date.

Our customers live, work, or conduct business within our district usually for extended periods of time; and therefore the Council needs to build a positive relationship with customers for long term success. We need to make it as easy as possible for our customers to interact with us seven days and week and 24 hours a day.

The information within this report provides important input into the delivery of the Customer Experience Strategy (which has recently been agreed by members), providing baseline data, enabling the Council to look through the customer's eyes at the services provided and to think, act and plan from the customer viewpoint which will be essential in making service improvements.

Work is also continuing on the T24 service redesign work, the data in this report will assist the redesign process. The service redesign work examines all elements of how each individual service operates from processes and procedures to how customers make contact with the service.

A customer wants to be seen as an individual and wants to find or obtain what they need quickly and easily. The Council's role is to help customers do what they need to do, with the least possible effort. The data in this report will allow the use of customer analytics to predict customer behaviour, personalised services and continually evaluate the customer journey leading to an improved customer experience overall.

This will enable the Council to deliver excellent customer services, ensuring that it is operating and using its resources in the best way possible to provide 'right first time' speedy, efficient and effective services.

The implementation of new contact centre technology commencing in Summer 2024 will open up a wider range of ways we can interact with our customers and will bring improved reporting opportunities so that we can better understand the customers we serve.

Appendices

Appendix A – Compliments received 2023/24 by Service

COMPLIMENTS	2023/24	2022/23	2021/22	2020/21	2019/20
Waste Services	409	243	48	145	81
Planning and Development, Trees and Conservation	258	242	211	172	171
Customer Services	167	162	212	168	145
Revenues (Council tax)	67	37	59	26	15
Street Cleansing	65	97	76	44	47
Arts and Leisure	47	29	22	7	17
Licensing	43	80	53	6	11
Building Control	39	11	15	14	21
Home Choices	30	45	24	15	10
Environmental Protection	26	41	20	12	11
Benefits	24	11	48	14	11
Customer Experience	19	26	15	13	7
WLDC Council in General	18	4	1	6	1
Community Safety	16	6	2	0	7
Growth and Regeneration	16	3	12	55	12
System Development	15	9	9	11	6
Property Services	12	7	6	4	8
Crematorium	10	13	0	6	3
Member and Support Services	10	19	10	3	36
Disabled Facilities Grants	9	12	12	9	2
Communities	8	4	11	5	10
Out of Scope	7	1	9	2	1
Planning Enforcement	6	5	7	9	6
Housing Enforcement	4	1	7	3	3
Local Land Charges	4	13	6	8	5
Communications Team	1	13	1	7	0
Electoral Services	1	0	3	0	1
Financial Creditors and Debtors	1	1	1	2	1
Food, Health and Safety	1	1	84	8	19
Management Team	1	0	1	7	1
Tourism	1	1	0	0	1
Wellbeing and Health	1	1	177	0	0
Totals	1333	1133	1117	784	675

Appendix B - Comments received 2023/24 by Service

COMMENTS	2023/24	2022/23	2021/22	2020/21	2019/20
Waste Services	42	70	96	26	33
Growth and Regeneration	10	4	1	0	2
Out of Scope	7	2	2	8	4
Planning and Development, Trees and Conservation	5	3	5	5	2
WLDC Council in General	4	0	2	1	0
Arts and Leisure	3	5	3	1	14
Revenues (Council tax)	3	1	2	3	4
Street Cleansing	3	4	7	2	0
Property Services	2	3	4	2	2
Communications Team	1	0	1	0	0
Communities	1	0	1	0	1
Customer Services	1	5	4	5	2
Electoral Services	1	0	2	0	0
HR	1	1	0	0	0
Licensing	1	1	0	0	0
Planning Enforcement	1	0	0	0	0
System Development	1	4	12	8	4
Totals	87	104	155	64	73

Appendix C – Complaints received 2023/24 by Service

COMPLAINTS	2023/24	2022/23	2021/22	2020/21	2019/20
Waste Services	65	107	38	45	58
Out of Scope	23	9	18	20	23
Home Choices	14	7	7	2	4
Planning and Development, Trees and Conservation	14	17	21	44	23
Planning Enforcement	11	9	14	14	12
Revenues (Council tax)	11	17	14	9	6
Environmental Protection	6	4	3	9	6
Community Safety	5	1	7	5	1
Customer Services	3	11	4	4	8
Licensing	3	1	0	1	0
Arts and Leisure	2	3	3	1	19
Benefits	2	2	4	3	5
Communities	2	0	0	0	1
Housing Enforcement	2	2	2	2	10
Street Cleansing	2	5	5	4	3
Building Control	1	0	0	1	0
Cemetery	1	0	0	0	0
Disabled Facilities Grants	1	1	4	3	0
Electoral Services	1	0	1	0	0
Financial Creditors and Debtors	1	2	0	0	2
Growth and Regeneration	1	0	0	1	2
Internal Confidential Issues	1	1	0	0	0
Local Land Charges	1	0	2	0	0
Member and Support Services	1	0	1	2	0
Property Services	1	5	2	2	3
WLDC Council in General	1	0	1	2	0
Totals	176	210	155	178	187

Appendix D – Upheld complaints 2023/24 by Service

UPHELD COMPLAINTS	Number of complaints received	Number of upheld complaints	Upheld complaint %
Waste Services	65	29	45%
Home Choices	14	4	29%
Planning and Development, Trees and Conservation	14	2	14%
Planning Enforcement	11	0	0%
Revenues (Council tax)	11	1	9%
Environmental Protection	6	0	0%
Community Safety	5	1	20%
Customer Services	3	3	100%
Licensing	3	0	0%
Arts and Leisure	2	0	0%
Benefits	2	0	0%
Communities	2	0	0%
Housing Enforcement	2	0	0%
Street Cleansing	2	2	100%
Building Control	1	0	0%
Cemetery	1	1	100%
Disabled Facilities Grants	1	0	0%
Electoral Services	1	0	0%
Financial Creditors and Debtors	1	1	100%
Growth and Regeneration	1	1	100%
Internal Confidential Issues	1	0	0%
Local Land Charges	1	0	0%
Member and Support Services	1	0	0%
Property Services	1	1	100%
WLDC Council in General	1	0	0%
Totals	153	46	26%

* Out of scope complaints are excluded from this table

Appendix E – Learning and improvement actions 2023/24

Waste Services – correct working practises

Crews have been reminded about the correct working practises in relation to various activities including bins being returned to the boundary, or location taken from for assisted collections, ensuring that tags on contaminated bins are marked showing what the offending item/s are.

If any waste debris or broken glass is caused then crews should remove the mess before moving on (where possible) and when there is a delay with bin deliveries or bulky collections customer services should be advised so that customers can be made aware.

CRM Waste Reports

Some work and investigation needs to take place regarding capacity for images on the CRM system. It may be that some older images no longer needed can be deleted to free up some capacity for more images.

This could be carried out via an automatic process after a certain length of time. Further discussion is required. This action has been completed.

Waste Services – customer education

A comment received from a councillor regarding customer feedback and customer experience highlighted that customers need to be further educated in terms of what is accepted in which bin and stated that more communications would be beneficial going forward.

This was shared with relevant officers and has been implemented since the comment was received. The new waste collection calendars that are being produced for 2024/25 have this information included, all properties will receive one of these calendars and more information has been shared on social media channels.

Waste Services – collection inconsistencies

Customer feedback received in various forms during quarter 2 has highlighted the need for waste crews to be reminded of the waste policies and that they need to be consistent across every property in the district in terms of contaminated bins. This feedback was shared with the waste services supervisors and crews are reminded on a regular basis.

Waste Services – website information

A complaint investigation found that the WLDC website did not make it clear that side waste would not be taken, and that this applied to all collections, and the leaflet regarding recycling and what is accepted in each bin did not make it explicitly clear that the no side waste policy related to all bins.

The website was corrected as soon as this was identified, and arrangements are in place to amend the leaflets on the next print run.



Waste Services – incorrect tags being used
<p>A comment received from a customer regarding their bin being tagged included a photograph of the tag that had been used. On examination it was noticed that the tag said 'Advisory' on it. These 'Advisory' tags should have all been destroyed after the initial roll out of the new recycling system as they were no longer being used due to having incorrect advice printed on them.</p> <p>The waste service supervisors carried out an audit of all the tags in stock to ensure that all the 'Advisory' tags had been destroyed and were no longer being used.</p>
Street Cleansing and CRM
<p>An upheld complaint for street cleansing found that the crews were not entering information onto CRM correctly. The crew marked a fly tipping removal as completed on the CRM system when they should have marked it as being dealt with by another department, the community safety department.</p> <p>This led to a confirmation email being sent to the customer that made the report, ending in a formal complaint as the fly tipped rubbish had not actually been removed when the confirmation was received by the customer. The street cleansing manager and waste services supervisors have been made aware of the need for further training for operatives on how to accurately input and record information on the CRM system. This is particularly important when automatic confirmations are being sent to customers and to ensure that accurate records are being kept. Crews have since been provided with guidance on accurate reporting on CRM.</p>
Community Safety -responsibilities
<p>Service Standards for customer contact are required and processes/policies that set out who is responsible for what and what WLDC can do - explaining cross overs between ASB matters and noise where noise is also involved. We need to ensure that customers are being contacted and updated in a timely manner by the ASB team. This work has been completed.</p>
Growth and Regeneration - business advice

A complaint received and investigated in relation to business advice provided by a third party on behalf of WLDC found that improvements were required. The separation of what falls under WLDC and what the business advisor would be responsible for is needed for any new arrangements going forward.

This has been discussed with the Economic Growth Team Leader who now ensures that more detailed paperwork is used.

Outgoing and incoming calls to customers via teams

A complaint investigation required call logs to be examined, however this was not possible as it was identified that calls via teams could not be reported on. Further investigation is currently taking place in conjunction with the IT department to establish why the calls cannot be reported on to ensure that the issue is fixed going forward.

IT Email addresses created via the creation of a team on Teams

An investigation into a planning complaint assisted the discovery of some unmonitored email addresses that had been activated via teams being set up on Microsoft teams. These email addresses were showing and were being picked up by officers on the outlook email system and emails had been sent to the one that was found that had not been read or actioned as the team were unaware that it existed.

This was raised with the IT team who undertook an audit to ensure that the email addresses in this category were no longer visible to officers on outlook.

Revenues (Council Tax) - Payments Online

Customer feedback received identified that some customers were finding it difficult to navigate the website to complete a payment online following some system updates that had recently been made.

The CSS Business Manager worked with the system provider to amend the system to make it more straight forward and obvious on how you proceed to complete making a payment online. This has been completed, tested and implemented.

Revenues (Council Tax) – customer enquiries

A complaint investigated regarding a council tax payment that had not been correctly allocated found that an administration error had been made when the customer sent a follow up email querying the matter.

The email had accidentally been missed and not responded to or actioned. This was discussed with the Senior Revenues Officer who has put extra measures in place with the officers that deal with incoming emails to ensure that this does not happen again in the future.

Revenues (Council Tax) - Empty Homes Review correspondence

Although the complaint mentioned above regarding empty homes review correspondence was not upheld it was suggested that it could include more information in the future. Although the correspondence was sent from a WLDC email address the email didn't explicitly state that it was relating to an 'Empty Homes Review' and it didn't include a customer reference number, which would be helpful for customers in the future.

Revenues (Council Tax) – updating account information

An investigation into a complaint found that an error had been made when a change in circumstances notification was received. It was not correctly entered onto the system leading to an account being closed and reopened in the landlords name. More due diligence, care and attention is required by officers when making updates to accounts especially during busy periods.

The council tax team were made aware of the upheld complaint and the issue identified and they were reminded of the importance of ensuring that updates to accounts are accurate and correct.

Planning and Development - Outgoing Post Processes

A complaint found that a customer had not received a response to their letter, the response had been written and had been sent for posting but it was not sent to the correct email address for the post room. This was not identified until the complaint investigation took place.

Officers in the planning administration team were reminded of the correct email address to send letters that required posting to in order to ensure that this error does not occur again in the future.

Property Services - Car Park info on WLDC website

A complaint investigation found that information on restrictions for size and weight in WLDC owned car parks was not published on our website. A visitor had looked and didn't see any restrictions so came to visit in a camper van but when they arrived here they found that they could not park as there are weight and size restrictions in place, as displayed on the signs within the car park.

When this was highlighted arrangements were made for the website to be updated so that this is made clear for anyone planning to visit and use our car parks in the future, if the wheel base fits in a parking bay the overhanging isn't an issue but this is not made clear. Work is currently ongoing on the current parking strategy to improve the car park offering in the area, with a view to introduce bays for motorhome parking.

Property Services - Car Parking in Market Rasen for Motorhomes

A comment received regarding parking a motorhome in the Council's Market Rasen car park. The customer claimed that the signs were not clear on whether they were able to park there. The parking FAQ's on the website had previously been updated to explain that as long as the motorhome can fit into the width of the parking bay, it is allowed to overhang, and they will not get a PCN.

This was going to be made more prominent. Information was also going to be added to the website explaining that parking payments were cash only (no card payments) or via the RingGo phone app. Work is currently ongoing on the current parking strategy to improve the car park offering in the area, with a view to introduce bays for motor home parking.

Appendix F – Calls handled by Customer Services in 2023/24

WLDC Service or External Agency Required	Number of calls received	% of all calls received
Operational Services	15936	41%
Revenues	6324	16%
Planning and Development	2631	7%
Home Choices	2408	6%
Customer Services	1739	4%
Lincolnshire County Council	1344	3%
Building Control	1089	3%
Trinity Arts Centre and Leisure	816	2%
Environmental Protection	792	2%
Communities	740	2%
Housing and Enforcement	733	2%
Licensing	632	2%
Benefits	623	2%
External Issues	529	1%
Assets and Property	508	1%
Homes, Health & Wellbeing	373	Less than 1%

Electoral Registration	263	Less than 1%
Anti-Social Behaviour	197	Less than 1%
Food Health and Safety	154	Less than 1%
Member and Support Services	150	Less than 1%
Citizens Advice Bureau	128	Less than 1%
Projects and Growth	120	Less than 1%
Communications	108	Less than 1%
Human Resources	85	Less than 1%
Systems Development	73	Less than 1%
Finance	67	Less than 1%
ICT Support	66	Less than 1%
Job Centre Plus	52	Less than 1%
Chief Execs Office	47	Less than 1%
RAF Scampton	47	Less than 1%
Town Council	30	Less than 1%
Land Charges	29	Less than 1%
Managed Estates	23	Less than 1%
Performance and Programmes	9	Less than 1%
Spam calls	8	Less than 1%
Voluntary Services	6	Less than 1%
Procurement	4	Less than 1%
Lea Fields Crematorium	2	Less than 1%
NEW	2	Less than 1%
Total	38887	

Governance & Audit Plan as at 28 June 2024

Purpose:

This report provides a summary.

Recommendation:

1. That members note

Date	Title	Lead Officer	Purpose of the report	Date First Published
16 JULY 2024				
16 Jul 2024	Risk Management Strategy Questionnaire	Emma Foy, Director of Corporate Services (Section 151 Officer)		
16 Jul 2024	Fraud Risk Assessment	Emma Foy, Director of Corporate Services (Section 151 Officer)		
16 Jul 2024	Strategic Risk Quarterly Review	Emma Foy, Director of Corporate Services (Section 151 Officer)	For Management Team and G&A to review the Strategic Risks on a quarterly basis	
16 Jul 2024	Q1 Corporate Risk Register	Emma Foy, Director of Corporate Services (Section 151 Officer)		
16 Jul 2024	Q1 Internal Audit Report	Emma Foy, Director of Corporate Services (Section 151 Officer)	To consider the progress update report from Internal Audit	
24 SEPTEMBER 2024				
24 Sep 2024	Strategic Risk Strategy	Emma Foy, Director of Corporate Services (Section 151 Officer)	To consider the Corporate Strategic Risk Strategy	20 November 2023
24 Sep 2024	Report to those Charged with Governance –	Lisa Langdon, Assistant		

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	External Audit Completion Report (ISA260)	Director People and Democratic (Monitoring Officer)	
24 Sep 2024	Annual Governance Statement	Lisa Langdon, Assistant Director People and Democratic (Monitoring Officer)	
24 Sep 2024	Audited Statement of Accounts 2023/24	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)	
24 Sep 2024	Internal Audit Update Report	Emma Foy, Director of Corporate Services (Section 151 Officer)	
26 NOVEMBER 2024			
26 Nov 2024	External Auditor's Annual Report 2023/24	Emma Foy, Director of Corporate Services (Section 151 Officer)	To present to members the Quarter Four Internal Audit Progress Report. The report gives members an update of progress, by the Audit partner, against the 2023/2024 annual programmes agreed by the Audit Committee in April 2023.
26 Nov 2024	Review of Constitution	Lisa Langdon, Assistant Director People and Democratic (Monitoring Officer)	
26 Nov 2024	Annual Governance Statement – Update on Procurement	Lisa Langdon, Assistant Director People and Democratic (Monitoring Officer)	
26 Nov 2024	Review of Whistleblowing Activity	Lisa Langdon, Assistant Director People and Democratic (Monitoring	

Officer)

26 Nov 2024	Review of Local Code of Corporate Governance	Lisa Langdon, Assistant Director People and Democratic (Monitoring Officer)
26 Nov 2024	Contract Management and Finance Procedure Rules	Emma Foy, Director of Corporate Services (Section 151 Officer)
26 Nov 2024	Update on Fraud Risk Assessment	Emma Foy, Director of Corporate Services (Section 151 Officer)

21 JANUARY 2025

21 Jan 2025	Internal Audit Progress Report - Quarter 3 2023/24	Emma Foy, Director of Corporate Services (Section 151 Officer)
21 Jan 2025	Draft Treasury Management	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)
21 Jan 2025	Strategic Risk Quarterly Review	Emma Foy, Director of Corporate Services (Section 151 Officer)

11 MARCH 2025

11 Mar 2025	External Auditor's Annual Report 2023/24	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)
11 Mar 2025	Accounts Closedown 23/24	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)

11 Mar 2025	Internal Audit Draft Annual Plan	Emma Foy, Director of Corporate Services (Section 151 Officer)
11 Mar 2025	Combined Assurance	Emma Foy, Director of Corporate Services (Section 151 Officer)

22 APRIL 2025

22 Apr 2025	Year End Review of Strategic Risks	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)
22 Apr 2025	Update on Constitution Review	Peter Davy, Financial Services Manager (Deputy Section 151 Officer)
22 Apr 2025	Internal Audit Progress Report	Emma Foy, Director of Corporate Services (Section 151 Officer)

Agenda Item 9

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

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