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# NOTICE OF MEETING

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## GOVERNANCE & AUDIT & STANDARDS COMMITTEE

FRIDAY, 14 SEPTEMBER 2018 AT 10.30 AM

THE EXECUTIVE MEETING ROOM - THIRD FLOOR, THE GUILDHALL

Telephone enquiries to 023 9283 4058  
Email: Vicki.plytas@portsmouthcc.gov.uk

If any member of the public wishing to attend the meeting has access requirements, please notify the contact named above.

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### Membership

Councillor Will Purvis (Chair)  
Councillor Simon Boshier  
Councillor Ken Ellcome  
Councillor John Ferrett  
Councillor Ian Lyon  
Councillor Hugh Mason

### Standing Deputies

Councillor Jason Fazackarley  
Councillor David Fuller  
Councillor Ben Swann  
Councillor Tom Wood  
Vacancy

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(NB This Agenda should be retained for future reference with the minutes of this meeting.)

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**Deputations by members of the public may be made on any item where a decision is going to be taken. The request should be made in writing to the contact officer (above) by 12 noon of the working day before the meeting, and must include the purpose of the deputation (for example, for or against the recommendation/s). Email requests are accepted.**

## AGENDA

**1 Apologies for Absence**

**2 Declarations of Members' Interests**

**3 Draft Minutes from 27 July 2018 meeting (Pages 5 - 18)**

**RECOMMENDED that the Minutes of the meeting held on 27 July 2018 be confirmed and signed by the Chair as a correct record.**

**4 LGO Complaints annual report- (Information only) (Pages 19 - 26)**

The purpose of this "information only" report is to bring to the attention of the Committee the Annual Review of Complaints by the Local Government and Social Care Ombudsman dated July 2018, regarding the complaints it has considered against Portsmouth City Council for the year 2017/2018. The report is for noting.

**5 External Auditor's Annual Audit Letter update (Pages 27 - 52)**

External Auditor's Annual Audit Letter update for noting.

**6 Quarterly Performance Management Update (Pages 53 - 284)**

The report's purpose is to advise the Committee on significant performance issues arising from Q1 performance monitoring and highlight areas for further action or analysis.

**RECOMMENDED that the Committee**

**1) notes the report;**

**2) notes the continued improvement in quality of reports from directorates;**

**3) agrees if any further action is required in response to performance issues highlighted;**

**7 Report on Hampshire Community Bank (Pages 285 - 292)**

The purpose of the report is to update the Committee on progress for the Hampshire Community Bank project.

**RECOMMENDED that the Committee notes the information contained in this report.**

**8 Audit Performance Status Report for Audit Plan (Pages 293 - 302)**

This report is to update the Governance and Audit and Standards Committee on the Internal Audit Performance for 2018/19 to 24 August 2018 against the Annual Audit Plan, highlight areas of concern and areas where assurance can be given on the internal control framework.

**RECOMMENDED that Members**

- (1) Note the Audit Performance for 2018/19 to 24 August 2018.**
- (2) Note the highlighted areas of control weakness from the 2017/18 Audit Plan**
- (3) Note the level of resources currently available and how they are currently utilised between Internal and External Clients.**

**9 Data Security Breaches (Pages 303 - 310)**

The purpose of the report is to inform the Committee of any Data Security Breaches and actions agreed/taken since the last meeting.

**RECOMMENDED that Members of the Committee note the breaches (by reference to Appendix A) that have arisen and the action determined by the Corporate Information Governance Panel (CIGP).**

**10 Consideration of the political balance rules in relation to the constitution of Sub-Committees considering complaints against Members. (Pages 311 - 312)**

The purpose of the report is to ask the Committee to consider whether it wishes to disapply the political balance rules in respect of its Sub-Committees which consider complaints against Members and to agree that the same rule shall apply to the Initial Filtering Panel.

**RECOMMENDED that the political balance rules are disapplied in respect of Governance and Audit and Standards Sub-Committees which are considering complaints against Members and also the same arrangement should apply in respect of Initial Filtering Panel membership.**

**11 Scrutiny update**

The Scrutiny Management Panel Chair has been notified of the comments made by the Committee in respect of the role of scrutiny and he will circulate a note in respect of the points raised.

Members of the public are permitted to use both audio visual recording devices and social media during this meeting, on the understanding that it neither disrupts the meeting nor records those stating explicitly that they do not wish to be recorded. Guidance on the use of devices at meetings open to the public is available on the Council's website and posters on the wall of the meeting's venue.

Whilst every effort will be made to webcast this meeting, should technical or other difficulties occur, the meeting will continue without being webcast via the Council's website.

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# Agenda Item 3

## GOVERNANCE & AUDIT & STANDARDS COMMITTEE

MINUTES OF THE MEETING of the Governance & Audit & Standards Committee held on Friday, 27 July 2018 at 10.30 am in The Executive Meeting Room - Third Floor, The Guildhall

(NB These minutes should be read in conjunction with the agenda for the meeting which can be found at [www.portsmouth.gov.uk](http://www.portsmouth.gov.uk).)

### Present

Councillor Will Purvis (in the chair)

Councillor Simon Boshier  
Councillor Ken Ellcome  
Councillor John Ferrett  
Councillor Ian Lyon  
Councillor Hugh Mason

### Officers

Chris Ward, Director of Finance & S151 Officer  
Julian Pike, Deputy Head of Finance & S151 Officer  
Michael Lloyd, Directorate Finance Manager (Technical & Financial Planning)  
Louise Wilders, Director of Community & Communication  
Charlotte Smith, Assistant Director of Community & Communication  
Stewart Agland, Local Democracy Manager  
Jon Bell, Director of HR Legal and Performance  
Elizabeth Goodwin, Chief Internal Auditor  
Paul Somerset, Deputy Chief Internal Auditor  
Richard Lock, Senior Procurement Professional

### External Auditors

Helen Thompson, Associate Partner, Ernst & Young.  
David White, Manager, Assurance - Government and Public Sector, EY.

#### 41. Apologies for Absence (AI 1)

The Chair, Councillor Will Purvis, welcomed everyone to the meeting and advised that it is being livestreamed and would be available on the website. The Chair then read out the housekeeping rules relating to evacuation procedures in the event of an emergency. Introductions were then made round the table.

The Chair advised that there would be some changes to the order of the printed agenda (but for clarity, in these minutes, the items are dealt with in the order on the agenda)

There were no apologies for absence.

#### **42. Declarations of Members' Interests (AI 2)**

There were no declarations of members' interests.

DEPUTATIONS were made at this point in the meeting.

Mr Jerry Brown and Ms Hilary Reed each made a deputation on agenda Item 5 - Annual Governance Statement.

Mr Jerry Brown made a deputation on agenda item 6 - Statement of Accounts.

Ms Hilary Reed and Ms Mary Shek each made a deputation on Agenda Item 10 - Revision to Corporate Complaints Procedure.

A written representation from Rosy Bremer was also received on this item and the Chair read this out as it was very short.

These have been referred to at the beginning of each item concerned and can be heard in full using the following link

<https://livestream.com/accounts/14063785/GAS-27Jul2018/videos/178197493>

#### **43. Minutes of the meeting held on 8 June 2018 (AI 3)**

**RESOLVED that the Minutes of the meeting held on 8 June 2018 be confirmed and signed by the Chair as a correct record subject to the last bullet point on page 8 being amended to read**

**"The City Solicitor agreed to check the redress available to a resident where the resident's data has been breached.as a result of action by an employee."**

UPDATES on matters referred to in the minutes.

With regard to Minute 32 referring to previous minute 22, members wanted to know why there was no report on the Municipal Energy Supply Company on the agenda for this meeting as had been requested.

- Members were advised that this had been raised in connection with the quarterly performance management update report and it was intended to be dealt with as part of that report which would be on the agenda for the next scheduled meeting.
- Given the rapid progress being made on this matter, members were dissatisfied not to have received a report or an update at this meeting.
- Mr Chris Ward said that he could confirm that the Energy Company had not yet engaged in any wholesale energy activity in national or

international markets so there would be nothing to report back as yet in this regard. He offered to answer any queries Members had.

- Members said they wanted a report to generally scrutinise matters contained within it including PCC's investment and the governance arrangements and considered that a report coming to 14 September meeting was too late.
- In response to a query about when an update could be expected, Mr Ward said that the Leader was about to send out an email inviting members to a briefing where relevant stakeholders would be in attendance to answer members' queries. He said the intention was also to hold informal group meetings on the matter. He confirmed that Price Waterhouse Cooper (PwC) had not yet finalised their part of the report. He also confirmed that a full legal review had been carried out by CMS law firm and that PwC were preparing their third due diligence report which was likely to be completed during the following week.
- Members commented that none of these reports had been seen by this committee or its Chair and that as yet, nobody had consulted with the Conservative Group Secretary (who is a member of this committee) concerning a group meeting. Concern was expressed about the lack of scrutiny and over the timing of these briefings as August is traditionally the time of year when members are likely to be on holiday.

It was proposed by Councillor Boshier, seconded by Councillor Hugh Mason that a special meeting of this Committee be convened early in September to consider a report on the Municipal Energy Supply Company and this was agreed.

Mr Ward advised that although the decision lies with Cabinet, the Leader wanted to share the report more widely with members in advance of the Cabinet decision meeting scheduled for Friday 10 August to give all members the opportunity to make their views known.

The Chair said that if a decision had already been taken then that may make a special meeting superfluous.

**[NB - Following the Cabinet Meeting decision on 10 August, the Chair of this Committee advised it was no longer necessary to convene a Special meeting].**

In relation to minute 35, page 4, bullet point 5, further clarity was requested about MMD and the Treasury Management Strategy and how MMD loans are accounted for. Mr Ward agreed to provide a written response.

With regard to Minute 36, page 5 concerning more audits to be carried out on MMD, the Chief Internal Auditor confirmed that these had not yet started but would be reported to this committee as part of their regular reports.

Members asked

- That the audits be carried out and reported back at the earliest opportunity
- That in view of the number of queries arising about MMD as part of various different reports, that a specific report on MMD covering all

financial and audit issues be brought to the next scheduled meeting of this committee.

Reference was made to bullet point 4 on page 5 where

- "The City Solicitor said that the greater concern was the lack of a proper contract being in place and said he would look at all the issues raised at this meeting and would report back to members of the committee by way of an explanatory note before the next meeting."

Members noted that this appeared not to have been done.

The following matters were raised during discussion

- Members wanted agreed actions to include a timescale and also the date of the meeting at which an update would be given.
- Members were concerned that matters were not being reported back to the committee as agreed by the City Solicitor
- Mr Bell, Director of HR Legal and Performance, agreed to consider a way forward to ensure that actions agreed at meetings were captured and dealt with (perhaps in an action tracker document) and that additional information provided to members outside meetings be placed in the public domain as appropriate
- With regard to page 8 of the minutes, the query about available redress was in relation to a resident whose data protection had been breached by an employee and it was agreed that the minutes from today's meeting would make that clear.

#### **44. Annual Audit Report 2017/18 (AI 4)**

(TAKE IN REPORT)

The Chief Internal Auditor introduced the report and said she would welcome members' feedback on the new format. She explained that the report updates the Committee on the completion of the Internal Audit Plan for 2017/18 and provides the Authority with the required Annual Audit Opinion which feeds into the Annual Governance Statement, as required under the Local Government Act 1999.

The Chief Internal Auditor drew members' attention to section 3 of Appendix A that gives a breakdown of assurances. There was one error in the report in that Adult Social Care - should be green rather than amber. She advised that the overall opinion is limited assurance which although the same as last year, was stabilising as opposed to worsening as had previously been the case. She said that only 41% of agreed actions have been fully implemented by directorates within reasonable timescales.

Internal Audit have to comply with external audit standards and although compliant, 10.9 of Appendix A identifies three areas where potential improvements could be made.

An update was provided on queries raised at the last meeting

- With regard to IT issues, Paul Somerset, Deputy Chief Internal Auditor, explained that a new contract concerning disposal had been in place



since 6 June. As yet nothing had been disposed of but as soon as this happened internal audit would carry out checks.

- A new IT policy was about to go live
- The security markings issue had not moved on much but was progressing
- An inventory process is now in place but has not yet been tested
- With regard to the £20,000 unaccounted for assets, most of the assets had since been accounted for. However an amount of £3,900 was being written off. The money related mainly to small items such as keyboards and mice.

The following matters were raised during discussion

- With regard to page 23, the reason MMD and schools had been bracketed together was simply because these were both "external". The entries were further broken down at the request of the committee to show that  
**for MMD** - 3 audits were conducted - 2 resulted in no assurance being given and one resulted in limited assurance being given.  
**for schools** - 13 audits were conducted - 3 were given assurance, 1 reasonable assurance, 7 limited assurance and 2 no assurance.
- Feedback from members concerning the new report format was favourable
- With regard to 10.12 concerning capacity within internal audit, members asked for comparison information as this would provide context. It was agreed that at the next meeting a full breakdown of where time is being spent will be provided.
- With regard to the need to write-off the amount of £3,900, assurance was given that the new security tagging system would be able to track where equipment is located in future. Internal audit would produce a follow up report that will test the system.
- With regard to work carried out by PCC internal audit for outside organisations, re-assurance was provided that this was within the capacity of the audit team to deliver. However, additional organisations had approached PCC and resources would be looked at again to check that the requisite skill sets and numbers of staff are sufficient for Portsmouth.
- Members were concerned that the overall audit opinion is still at Limited Assurance
- Members were very concerned that only 41% of agreed actions had been implemented by directorates. A suggestion was made that the Chair could meet regularly with Internal Audit and in cases where agreed actions were not being implemented the directors concerned could be asked to attend a meeting of this committee to provide an explanation.

- With regard to s3.1 - audit assurance levels- there are two cases where no opinion had been given. Members were advised that one relates to the Troubled Families Grant - where no opinion can be given as it is a case of either signing it off or not. The second relates to the data analytic liability orders section. Ways of matching data are still being worked on as this may be a data protection issue. Members were advised that these were not of concern to internal audit. They are noted because it is work that audit has said it will undertake.

**RESOLVED that Members noted**

- (1) the completion of the Audit Plan for 2017/18**
- (2) the Annual Audit Report and Opinion for 2017/18**
- (3) the audits completed since the last meeting in relation to the 2017/18 Audit Plan**

**45. Annual Governance Statement (AI 5)**

(TAKE IN REPORT)

Mr Jerry Brown and Ms Hilary Reed each made a deputation on this item that can be viewed in full at <https://livestream.com/accounts/14063785/GAS-27Jul2018/videos/178197493>

Jon Bell, Director of HR, Legal and Performance, introduced the Annual Governance Statement. This sets out how Portsmouth City Council has complied with the Local Code of Governance, and how the authority meets the requirements of Regulation 4 (3) of the Accounts and Audit (England) Regulations 2011.

He said that effectively there are 2 parts to the statement - the Annual Governance Statement itself and the Local Code of Governance attached as appendix 1.

There followed a discussion during which the following matters were raised:-

- With regard to page 68 - preparation for the General Data Protection Regulations (GDPR) - it was confirmed that it is difficult to say that everything has been completed as this is an ongoing matter. A plan was put in place some time ago and PCC is progressing well but there are some outstanding issues for example in connection with archiving. Reassurance was given that although not immune from challenge, PCC is well-positioned relatively in terms of other organisations and the expectations of the Information Commissioner's Office.
- In relation to cyber security, the guidance that has been given is revised very regularly and messages are sent to staff with updated advice. It is a matter that is included in the annual communications plan.
- A query was raised about how scrutiny panels review and challenge policy by Cabinet and whether there is any supporting evidence that that is being done. The Local Democracy Manager advised that it was a matter for the scrutiny panels themselves as to how they carried out their role (within their terms of reference). All Councillors receive a

copy of the Forward Plan and can ask for clarity on anything coming to a committee for decision. Decisions once taken can also be "called in" by the Scrutiny Management Panel (SMP) as part of the scrutiny role. The Local Democracy Manager advised that discussions had taken place with the chair of SMP about the various ways in which scrutiny can be carried out.

A member of the committee said that the level of resources given to scrutiny overall was a councillor decision and this had reduced in recent years leading to less scrutiny than PCC used to have. Members agreed to ask the Local Democracy Manager to raise with the Chair of Scrutiny Management Panel the concerns of the Committee concerning a perceived weakness in how Cabinet decisions/policies are scrutinised. Members asked that the Local Democracy Manager arranges for a brief statement or report to be brought back to the Committee on how the Chair intends to undertake this role.

**RESOLVED that the Committee**

**(1) Agreed the Annual Governance Statement 2017/18  
(Appendix 2)**

**(2) Approved the refreshed Local Code of Governance set out  
in Appendix 1.**

**46. Annual Statement of Accounts 2017/18 (AI 6)**

(TAKE IN STATEMENT OF ACCOUNTS)

Mr Jerry Brown made a deputation on this item that can be viewed in full at the following link <https://livestream.com/accounts/14063785/GAS-27Jul2018/videos/178197493>

Michael Lloyd, Directorate Finance Manager, introduced this item advising that work on the accounts was still ongoing and circulated a list of the more significant revisions. The Committee is asked to approve the Statement of Accounts and to delegate authority to the Chair if it became necessary to re-sign the accounts in the event that the external auditors required it.

In response to queries the following matters were clarified

- With reference to the statement on page 81 "short term debtors being reduced by £2,069,000 on the balance sheet. This has no effect on either the Council's revenue accounts or its net worth" - Mr Ward said that in simple terms this is a re-classification - £2m had been included in long term provisions but it relates to a short term matter. Effectively the liability in one part of the balance sheet has been replaced with a reduced asset in another part of the balance sheet so they net off to zero. He confirmed that no write-off has taken place and said he would find out the year in which the provision was made and when it came off and would provide this information after the meeting.

- With regard to pages 160 and 198 there are references to the Hampshire Community Bank (HCB). Members asked for a report back to the September meeting of this Committee given that this is a major investment by PCC. Members asked that the report covers how much money is being loaned out to those in Portsmouth, what progress had been made and whether it was considered to be successful or not.

At this point in the meeting, Mr Chris Ward made a declaration that he is a director of HCB.

Mr Ward provided a brief update to the Committee advising that no bonds have been purchased at this stage. The legalities of the arrangement with HCB are currently being worked through. Any bond purchase will be secured against underlying property assets HCB was not yet trading in retail banking as it had not received the necessary approvals. However regulatory approval is not necessary to trade in commercial loans. He advised that commercial loans are being made by the Bank in Hampshire but he did not have information about loans being made specifically in Portsmouth but undertook to find out.

A discussion took place around page 113 - "net cost of services". The Committee was advised that the accounts have to be presented using a particular format as required by statute.

With regard to "Non portfolio other" page 26 of the statement of accounts) states

"Other non-portfolio expenditure includes annual shortfall contributions to the local government pension scheme (£6.8m), investment in subsidiary companies (£4.1m), provision for the repayment of debt (£4.6m) and capital expenditure financed from revenue balances (£5.2m)"

One Member said it would be useful if the £20m expenditure could be broken down to itemise anything of £500k or more.

Mr Ward said that the management of the overall budget rests with the administration. The Treasury Management report details spending and comes to this Committee quarterly to be scrutinised before going to Cabinet. If the Committee considers this to be an area of weak governance, this can be looked at. The Statement of Accounts is prepared to a prescribed format and officers attend this meeting to answer any questions members have in order to explain complex issues.

Members asked if in future the Statement of Accounts could be sent to Committee Members at an earlier stage.

It was confirmed that the Statement of Accounts is published on the Council's website.

The Chair formally proposed the adoption of the recommendations in the report and these were agreed.

## **RESOLVED**

**(1) That the Statement of Accounts be approved**

**(2) That authority be delegated to the Chair of the Governance and Audit and Standards Committee to sign an amended 2017/18**

## **Statement of Accounts after 27 July 2018 should this be required following comments by the auditor**

Members were advised of the requirement for the Letter of Representation included at the end of the external auditor's Annual Audit Report to be signed by the Chair of this Committee.

It was proposed by Hugh Mason seconded by Cllr Boshier that the Chair of the Committee signs the Letter of Representation on behalf of the Committee. This was agreed.

### **47. External Audit Results Report (AI 7)**

#### **(TAKE IN REPORT)**

(NB This item was taken before the item on the Annual Statement of Accounts 2017/18 but has been kept in its original place on the agenda for ease of reference)

Helen Thompson, Associate Partner, Ernst & Young, introduced the report and particularly thanked PCC staff for their support during the year. She advised that she and David White would focus on the Executive Summary starting on page 239 of the reports pack.

- Ms Thompson referred to the scope update and drew members' attention to the changes in materiality and the fact that an internal specialist had reviewed the Authority's updated calculation of its minimum revenue provision.
- David White advised that under the heading "Status of the Audit", all work mentioned in the bullet points under the sub-heading "Our work is ongoing in the following areas" had been completed. Also under the sub-heading "The following are also outstanding or are to be completed as part of the conclusion of the audit" he advised that the review of the final version of the financial statements had also been completed. All the other matters are still outstanding but that is within expectations.
- He explained that the audit is required to undertake separate work around the Whole of Government Accounts - with a later deadline of 31 August - and that is not yet completed. However this does not affect the statement of accounts sign-off.

Ms Thompson then outlined the matters contained in the summary under the various headings.

- She advised that the Annual Governance Statement had been reviewed but there were no issues to bring to the attention of the Committee.
- She drew Members' attention to the independence of the external auditors and also to the analysis of fees on page 274 including the proposed fee variation.

With regard to the Audit focus,

- David White stated that the only significant risk identified is management override of controls (page 244) which they are required to note. However there are no indications of management override.

- With regard to valuation of land and buildings (page 246), the auditors have undertaken the programme of work shown and no issues were identified..
- Under "Classification of investment properties", PCC has now reclassified a number of assets which are now correctly classified.
- PFI accounting is a complex area, and a detailed review of these arrangements was undertaken by EY's internal expert in 2016/17. No material issues with regard to PFI accounting were identified and no further expert involvement was required.
- With regard to pension asset liability valuation - estimates are provided by Hampshire County Council's independent actuary . One immaterial judgmental difference was identified as reported in section 4 which results from a timing issue and this is mentioned in the Letter of Representation.

Further detail about this is provided underneath the table on page 257 and Ms Thompson elaborated further stating that page 214 shows that PCC's share of the pension fund assets is £701m, so the assets had been understated by £3.3 m which is not material by comparison to the total share of pension fund assets. This is a judgmental error but is above the threshold so needs to appear in the Letter of Representation.

To conclude, the External Auditors said they intend to issue an unqualified opinion.

Members noted the report.

#### **48. Risk Policy and Procedures (AI 8)**

(TAKE IN REPORT)

Jon Bell introduced the report that presents the council's risk and assurance management policy to the Governance and Audit and Standards Committee for approval.

There were no questions from Members.

**RESOLVED that the Committee**

- (1) Approved the attached Risk and Assurance Management Policy**
- (2) Agreed to review the risk management policy in June 2020, including risks current at the time and lessons learnt over the previous year**

#### **49. Treasury Management Monitoring Report Qtr 1 2018/19 (AI 9)**

(TAKE IN REPORT)

Michael Lloyd introduced the report which informs members and the wider community of the Council's Treasury Management position at 30 June 2018 and of the risks attached to that position.

Members had no questions on the report.

**RESOLVED that the following be noted:**

- (1) That there have been no breaches of the Treasury Management Policy 2018/19 in the period up to 30 June 2018**
- (2) That the actual Treasury Management indicators for June 2018 in Appendix A be noted.**

**50. Revised Corporate Complaints Policy (AI 10)**

(TAKE IN REPORT)

(This item was heard immediately after the Minutes but has been kept in its original place on the agenda for ease of reference)

Deputations were given by Ms Hilary Reed and Ms Mary Shek on this item at the beginning of the meeting and a written representation from Ms Rosy Bremer that had been previously circulated to members was read out by the Chair. These can be heard in full by accessing the following link

<https://livestream.com/accounts/14063785/GAS-27Jul2018/videos/178197493>

Louse Wilders, Karen Fitzgerald and Charlotte Smith were in attendance for this item. Ms Smith advised that the revised policy is intended to simplify, clarify and improve PCC's response to corporate complaints. It was also intended to change and improve accountability. Two separate policy documents have been combined into one and some slight amendments have been made to the complaints process.

Ms Smith explained the research and consultation that had been undertaken to produce the revised policy and advised that alongside the policy, the leaflets and web pages are being improved. Ms Smith also explained that additional work is underway including with protected characteristics groups to make sure the revised policy is straightforward and accessible. Internal communication and training on the revised policy should ensure better reporting and learning and is expected to lead to improved accountability. Regular reports will be brought to this committee on corporate complaints and actions services take to improve outcomes.

During discussion the following matters were raised:-

- With regard to timescales, members were concerned that there is no hard time limit for resolution of a complaint. The Director of Community and Communication advised that current practice is to advise a complainant how long the complaint will take to resolve. But she agreed to make this clearer. An amendment could be made to say that PCC will aim to complete within one month. The Chair said that the wording should go beyond "aim to" and that longer than 2 months would not be reasonable.
- The Director of Community and Communication said that very few complaints fail to be dealt with within the timescales. Most are dealt with from beginning to end in 12 weeks and this could be made clear in the policy.
- Members were referred to 8.5 of the policy which states that with regard to vexatious complaints, the decision about what falls within that

category rests with the Director of Community and Communication although the Director would not necessarily take that decision alone.

- A member suggested that perhaps a link could be included in the policy to councillors' pages on the web.
- In response to a comment that there was a lack of contextual information - such as the overall number of complaints and how many went to stage 1,2 and 3 - Members were advised that the annual report that would include that information would be brought to the next meeting of the Committee. It was confirmed that where trends were apparent, work was carried out with the directorates concerned. The Director of Community and Communication said she was confident that there was good overall visibility of the nature of the complaints across the Council.

The Chair advised that he had recently received the annual letter from the Ombudsman about complaints and would email it to members of the Committee.

**RESOLVED that the revised policy at Appendix 1 is approved.**

**51. Report of urgent decision taken in accordance with Standing Order 58 of the Council's Procedure Rules (AI 11)**

The Chair advised that this item is included to fulfil the requirement to report instances where Standing Order 58 has been used to give effect to an urgent decision rather than taking it through the Governance & Audit & Standards Committee.

Members noted that following consultation with the previous Chair and Vice-chair of this committee, the Chief Executive was satisfied that it was necessary to invoke Standing Order 58 to appoint a Data Protection Officer in accordance with the General Data Protection Regulations (GDPR). The reason for urgency was in order to meet the deadline set in the GDPR of 25 May 2018.

Members noted the use of Standing Order 58.

**52. Exclusion of Press and Public (AI 12)**

It was proposed by the Chair that the meeting moved into exempt session to allow for full discussion including the exempt appendices and this was agreed.

**RESOLVED that, under the provisions of Section 100A of the Local Government Act, 1972 as amended by the Local Government (Access to Information) Act, 1985, the press and public be excluded for the consideration of the following item on the grounds that the appendices contain information defined as exempt in Part 1 of Schedule 12A to the Local Government Act, 1972"**



### 53. Procurement Management Information (AI 13)

(Take in non-exempt part of this "information only" report)

Richard Lock, Senior Procurement Professional, introduced the report which provides evidence to allow the committee to evaluate the extent that Portsmouth City Council is achieving value for money in its contracts for goods, services and works.

Members had previously approved a recommendation of a target of greater than 95% conformance with Contract Procedure Rules. Where this target is not met by an individual directorate, a comment on the risk of the non-compliant spend in the monitoring month is provided by the Procurement Manager. Mr Lock said that although there are some areas of non-compliance these were not matters for concern.

He explained the various sections of the report to members

Section 1: Covered compliance with contract procedure rules

Section 2: Waivers awarded this quarter

Section 3: Spend with Waiver

Section 4: Spend by Contract Size

Section 5: Suppliers paid over £100,000 in Q1 by Directorate

Section 6: Supplier Performance

Section 7: Supplier Performance Monitoring

During discussion, the following matters were raised:-

- In Section 2 - Waivers awarded this Quarter - Members asked that reports should make clear the list of providers by name, provide details of who is providing what and also include details of the providers with whom the council spends most money.
- A query was raised in connection with page 349 - Appendix 3 entry **C00003947** that appears twice - once under Regeneration and once under Capital Schemes. Mr Lock said he would find out why this was and report back.
- A query was raised as to whether the reason why all the non-compliant transactions appeared to have taken place in April was to do with the financial year end. Mr Lock said he would find out and would report back.
- It was confirmed that there was general management oversight of contracts and an audit process was also in place.
- With regard to a query about a retention figure referred to in 1.5 of exempt appendix 4, it was confirmed that this was expected to be adequate to ensure completion of the work.

The Committee noted the report.

The meeting concluded at 2.25pm.

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Councillor Will Purvis  
Chair

# Agenda Item 4

**THIS ITEM IS FOR INFORMATION ONLY**  
(Please note that "Information Only" reports do not require Equality Impact Assessments, Legal or Finance Comments as no decision is being taken)



**Portsmouth**  
CITY COUNCIL

<b>Title of meeting:</b>	Governance & Audit & Standards Committee
<b>Subject:</b>	Overview of Portsmouth City Council complaints, including Local Government and Social Care Ombudsman Complaints 2016/2017.
<b>Date of meeting:</b>	Friday 14 September 2018
<b>Report by:</b>	Director of Community and Communications
<b>Wards affected:</b>	All

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## 1. Requested by

Director of Community and Communications

## 2. Purpose

To bring to the attention of the Governance & Audit & Standards Committee the Annual Review of Complaints by the Local Government and Social Care Ombudsman dated July 2018, regarding the complaints it has considered against Portsmouth City Council for the year 2017/2018.

## 3. Corporate complaints

In 2017/18, the council managed 494 complaints through the corporate complaints process, which is set out in the corporate complaints policy. This figure does not include complaints relating to Adult Social Care and Children's Social Care, which are referenced in section 4 (below).

The corporate complaints policy has been recently revised and the updated policy was approved by Governance & Audit & Standards Committee in July 2018. The new policy is now available on the council website, and a new leaflet is in progress.

The council is in the process of procuring a new IT system for corporate complaints that will enable more detailed reporting in the future. The below data is taken from the existing system, is limited and in some cases does not reflect more recent changes to directorate structures.

### 3.1. Stage one complaints

In 2017/18, there were 494 stage one complaints: 66% of these were managed within the timescales set out in the corporate complaints policy.

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### **3.2. Stage two and stage three complaints**

44 complaints were taken to stage two of the process: 23% of these were managed within the timescales set out in the corporate complaints policy.

22 complaints were taken to stage three of the process: 32% of these were managed within the timescales set out in the corporate complaints policy.

Where timescales were extended the complainant was contacted and advised of the reasons for the requested extension.

Delays at Stage 1 may be due to lack of capacity, discussion around the complaint or the complexity of the complaint.

Delays at Stage 2 and 3 tend to be around availability of the relevant resource and the complexity of the issue.

### **3.3. Complaints trends**

The service area with the highest number of complaints is Housing, Neighbourhood and Building Services which had 254 complaints at stage one, 22 at stage two and 10 at stage three.

Transport had the next highest level of stage one complaints with 88, but a higher percentage were resolved without escalation with only one stage two complaint and no complaints at stage three.

The third highest number of complaints was recorded for Community and Communication, ( including revenues and benefits) with 67 stage one complaints, of which nine were taken to stage two and four were taken to stage three.

### **3.4. Compliments**

The complaints process also allows for comments and compliments. In 2017/18, the council received 118 compliments through the corporate complaints team. Housing, Neighbourhood and Building Services received the highest number of compliments at 41, Transport had the next highest number at 28, followed by Community and Communication at 18.

## **4. Adult Social Care and Children's Social Care complaints**

Complaints for Adult Social Care and Children's Social Care are managed by a dedicated social care complaint team, in line with specific social care complaint policies.

### **4.1. Adult Social Care complaints**

In 2017/18, ASC received a total of 122 complaints. Of these, 90 were recorded concerning statutory matters, 12 were about non-statutory procedures, and 5 were classed as being in regard to private providers.

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**4.2. Children's Social Care complaints**

In 2017/18, CSC received a total of 124 complaints. Of these, 35 were recorded as statutory, 65 were classed as non-procedure/corporate and 24 related to other matters.

**5. Local Government Ombudsman review**

- 5.1.** The Ombudsman investigates complaints about all local authorities and social care providers in England. Every year it publishes the information it sends to councils to help with transparency and improve local services for residents.
- 5.2.** While issuing the figures, the Ombudsman is keen to point out that a high number of complaints do not necessarily mean a council is performing poorly. It may indicate an authority that welcomes and encourages feedback, through a transparent system which signposts people appropriately when its own processes have been exhausted.
- 5.3.** This year the Ombudsman received almost 17,500 complaints and enquiries about councils. The greatest proportion were about Education and Children's Services, followed by Adult Social Care, and Planning.

**5.4. 3.4 Complaints about Portsmouth City Council**

Directorate	Number of complaints received		
	2017/18	2016/17	2015/16
Adult Social care	7	10	13
Benefits and Tax	4	3	8
Corporate and Other Service	3	2	3
Education and Children's Services	13	10	15
Environmental Services	4	2	5
Highways and Transport	4	2	5
Housing	7	6	2
Planning and Development	4	6	1
Other	0	1	0
<b>Total</b>	<b>46</b>	<b>42</b>	<b>47</b>

**Decisions made**

	2017/18	2016/17	2015/16
Upheld	9	7	2
Not Upheld	3	5	3
Advice given	5	1	1
Closed after initial enquiries	13	13	12
Incomplete/Invalid	1	2	4
Referred back for local resolution	15	11	25
<b>Total</b>	<b>46</b>	<b>39</b>	<b>47</b>

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**5.5.** The Ombudsman received 46 complaints and enquiries about Portsmouth City Council during 2017/2018, compared with 42 in 2016/2017 and 47 in 2015/16. During the same period 46 decisions were made regarding Portsmouth City Council. Please see the breakdown of these cases shown above.

**5.6.** The nine upheld cases were remedied as a result of an investigation by the ombudsman. These are termed as ‘local settlements’ and are where, during the course of an investigation, the council takes or agrees to take some action which the Local Government Ombudsman considered to be a satisfactory conclusion to the complaint.

**6. Comparison to other local authorities**

**Number of complaints received**

<b>Directorate</b>	<b>Birmingham</b>	<b>Brighton and Hove</b>	<b>Portsmouth</b>	<b>Southampton</b>
Adult Social care	51	13	<b>7</b>	15
Benefits and Tax	97	10	<b>4</b>	11
Corporate and Other Service	18	5	<b>3</b>	3
Education and Children's Services	49	25	<b>13</b>	27
Environmental Services	93	16	<b>4</b>	9
Highways and Transport	29	13	<b>4</b>	1
Housing	102	28	<b>7</b>	6
Planning and Development	13	10	<b>4</b>	2
Other	3	0	<b>0</b>	0
<b>Total</b>	<b>455</b>	<b>120</b>	<b>46</b>	<b>74</b>

**Decisions made**

Upheld	43	24	<b>9</b>	7
Not Upheld	29	18	<b>3</b>	7
Advice given	34	3	<b>5</b>	2
Closed after initial enquiries	93	33	<b>13</b>	10
Incomplete/Invalid	21	1	<b>1</b>	3
Referred back for local resolution	221	45	<b>15</b>	39
<b>Total no. complaint</b>	<b>441</b>	<b>124</b>	<b>46</b>	<b>68</b>

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Complaints remedied by LGO	28	18	5	5
Complaints remedied by authority	8	1	2	0

**7. Agreed actions in response to upheld complaints**

Complaints below have been anonymised.

**7.1. Adult and Children's Social Care**  
**Upheld decisions actions:**

**160 11 835** - Apology letter and cheque sent to complainant on 02/11/2017  
 -Email to care agency from our contacts team on 10/11/2017 advising they have asked for copies of their complaints policies and to be cc'd into any responses.

**16 006 709** - Final decision 25.01.18  
 27.03.18 The LGO asked us to retrospectively consider whether a higher direct payment amount would have been awarded based on Mr K's unmet need for assistance with managing his nutrition.

Our Service Manager responded to them that this had been considered and would not be actioned.

**16 012 980** - Note to the system added to the system on 07/07/17.  
 Email dated 20/06/17 sent to Team Leader to cascade detailing advocacy provisions.

Thank you for the Council's email of 11 July 2017 agreeing to:

Add a note to its system in relation to Miss X request to have contact with only females;

Add a note to its system in relation to Miss X request for documents to be sent in large print;

Remind its social workers that the Council can refer individuals for advocacy services where they do not meet the criteria for Care Act advocacy.

**17 002 201** - The Council was at fault for handing information about the revocation over during the meeting on 12 September 2016, when it could have been discussed. The Council apologised for this when it wrote to Mr R on 28 September. That is sufficient remedy.

**17 011 730** 05.03.08 Final decision

Within three months of the date of my final decision, the Council should:

- (a) Ensure relevant staff are aware that, if amendments are made to an agreement after it has been signed, they should ensure that the signatories also sign the amendment. Alternatively, they should produce a new copy and have it signed afresh.
- (b) Advise relevant staff that they should only rely on a family member to pass messages when reasonable efforts at direct communication with a person have failed. They should

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also ensure that they make a formal record of the failed communications, in case there is a subsequent dispute about this.

**Implemented immediately, discussed at proceeding team meetings**

**17 012 697** 15.02.18 Final Decision

The Council has agreed to start a second stage investigation under the children's procedure in *Getting the Best from Complaints 2006* without delay. To avoid further delay caused by splitting the complaints, this will include all the unresolved matters Mr X complained of in complaints a) to c).

**Implemented immediately**

## **7.2. Planning and Development**

**160 098 51**

25.04.17 CEO in Stage 3 response offered £200 time and trouble payment which was paid on 08.05.17

**160 152 36**

01.04.16 CEO Stage 3 response an offer of £150 was made.

**170 006 15**

18.08.17 CEO Stage 3 offered £250 refunded planning application fee  
Payment sent 20.012.17

## **8. Summary**

Whilst more complaints were upheld this year, 17% fewer were made to LGO in 2016/17 which indicates an improvement to our responses and a resolution for the customer at an earlier stage. Processes and policies have been reviewed and revised where appropriate to ensure that PCC continues to learn and change as appropriate.

.....  
Signed by (Director)

**Appendices: Nil**

**Background list of documents: Section 100D of the Local Government Act 1972**

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:



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<b>Title of document</b>	<b>Location</b>
Local Government and Social Care Ombudsman: Annual Review of Local Government Complaints 2017-18	<a href="https://www.lgo.org.uk/information-centre/news/2018/jul/a-tool-for-change-ombudsman-issues-annual-review-of-council-complaints">https://www.lgo.org.uk/information-centre/news/2018/jul/a-tool-for-change-ombudsman-issues-annual-review-of-council-complaints</a>
Local Government and Social Care Ombudsman: Portsmouth City Council Annual Review	<a href="https://www.lgo.org.uk/information-centre/councils-performance/council/Portsmouth%20City%20Council">https://www.lgo.org.uk/information-centre/councils-performance/council/Portsmouth%20City%20Council</a>
Local Government and Social Care Ombudsman: Brighton and Hove City Council Annual Review	<a href="https://www.lgo.org.uk/information-centre/councils-performance/council/Brighton%20%26%20Hove%20City%20Council">https://www.lgo.org.uk/information-centre/councils-performance/council/Brighton%20%26%20Hove%20City%20Council</a>
Local Government and Social Care Ombudsman: Birmingham City Council Annual Review	<a href="https://www.lgo.org.uk/information-centre/councils-performance/council/Birmingham%20City%20Council">https://www.lgo.org.uk/information-centre/councils-performance/council/Birmingham%20City%20Council</a>
Local Government and Social Care Ombudsman: Southampton City Council Annual Review	<a href="https://www.lgo.org.uk/information-centre/councils-performance/council/Southampton%20City%20Council">https://www.lgo.org.uk/information-centre/councils-performance/council/Southampton%20City%20Council</a>

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# Portsmouth City Council

Annual Audit Letter for the year  
ended 31 March 2018

August 2018

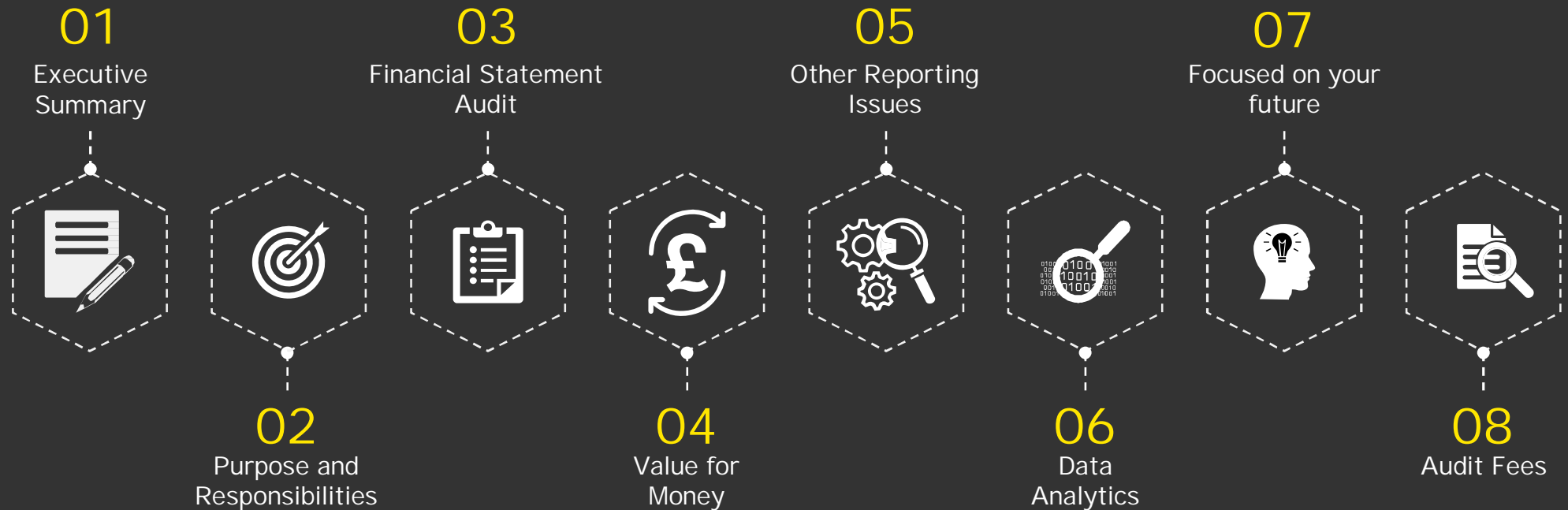
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Agenda Item 5

The EY logo consists of the letters 'EY' in a bold, white, sans-serif font. A yellow triangle is positioned above the 'Y'.

Building a better  
working world

# Contents



Public Sector Audit Appointments Ltd (PSAA) have issued a 'Statement of responsibilities of auditors and audited bodies'. It is available from the Chief Executive of each audited body and via the PSAA website ([www.psa.co.uk](http://www.psa.co.uk))

The Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The 'Terms of Appointment (updated 23 February 2017)' issued by PSAA sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and statute, and covers matters of practice and procedure which are of a recurring nature.

This Annual Audit Letter is prepared in the context of the Statement of responsibilities. It is addressed to the Members of the audited body, and is prepared for their sole use. We, as appointed auditor, take no responsibility to any third party.

Our Complaints Procedure – If at any time you would like to discuss with us how our service to you could be improved, or if you are dissatisfied with the service you are receiving, you may take the issue up with your usual partner or director contact. If you prefer an alternative route, please contact Steve Varley, our Managing Partner, 1 More London Place, London SE1 2AF. We undertake to look into any complaint carefully and promptly and to do all we can to explain the position to you. Should you remain dissatisfied with any aspect of our service, you may of course take matters up with our professional institute. We can provide further information on how you may contact our professional institute.



01

# Executive Summary

# Executive Summary

We are required to issue an annual audit letter to Portsmouth City Council (the Council) following completion of our audit procedures for the year ended 31 March 2018. Below are the results and conclusions on the significant areas of the audit process.

Area of Work	Conclusion
Opinion on the Council's:	Unqualified - the financial statements give a true and fair view of the financial position of the Council as at 31 March 2018 and of its expenditure and income for the year then ended.
▶ Financial statements	
▶ Consistency of other information published with the financial statements	Other information published with the financial statements was consistent with the Annual Accounts.
Concluding on the Council's arrangements for securing economy, efficiency and effectiveness	We concluded that you have put in place proper arrangements to secure value for money in your use of resources.

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Area of Work	Conclusion
Reports by exception:	
▶ Consistency of Governance Statement	The Governance Statement was consistent with our understanding of the Council
▶ Public interest report	We had no matters to report in the public interest.
▶ Written recommendations to the Council, which should be copied to the Secretary of State	We had no matters to report.
▶ Other actions taken in relation to our responsibilities under the Local Audit and Accountability Act 2014	We had no matters to report.

Area of Work	Conclusion
Reporting to the National Audit Office (NAO) on our review of the Council's Whole of Government Accounts return (WGA).	We had no matters to report, other than to confirm the one unadjusted audit difference identified from our audit of the financial statements, in line with NAO instructions. See section 3 for further information on the unadjusted difference.



## Executive Summary (cont'd)

As a result of the above we have also:

Area of Work	Conclusion
Issued a report to those charged with governance of the Council communicating significant findings resulting from our audit.	Our Audit Results Report was issued on 30 July 2018.
Issued a certificate that we have completed the audit in accordance with the requirements of the Local Audit and Accountability Act 2014 and the National Audit Office's 2015 Code of Audit Practice.	Our certificate was issued on 10 August 2018, following completion of the work necessary to issue our assurance statement in respect of the Council's Whole of Government Accounts consolidation pack.

In November 2018 we will also issue a report to those charged with governance of the Council summarising the certification work we have undertaken.

We would like to take this opportunity to thank the Council's staff for their assistance during the course of our work.

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Helen Thompson  
Associate Partner

For and on behalf of Ernst & Young LLP



## 02 Purpose and Responsibilities



# Purpose and Responsibilities

## The Purpose of this Letter

The purpose of this annual audit letter is to communicate to Members and external stakeholders, including members of the public, the key issues arising from our work, which we consider should be brought to the attention of the Council.

We have already reported the detailed findings from our audit work in our 2017/18 Audit Results Report to the 27 July 2018 Governance & Audit & Standards Committee, representing those charged with governance. We do not repeat those detailed findings in this letter. The matters reported here are the most significant for the Council.

## Responsibilities of the Appointed Auditor

Our 2017/18 audit work has been undertaken in accordance with the Audit Plan that we presented to the 2 February 2018 Governance & Audit & Standards Committee and is conducted in accordance with the National Audit Office's 2015 Code of Audit Practice, International Standards on Auditing (UK and Ireland), and other guidance issued by the National Audit Office.

As auditors we are responsible for:

- ▶ Expressing an opinion:
  - ▶ On the 2017/18 financial statements; and
  - ▶ On the consistency of other information published with the financial statements.
- ▶ Forming a conclusion on the arrangements the Council has to secure economy, efficiency and effectiveness in its use of resources.
- ▶ Reporting by exception:
  - ▶ If the annual governance statement is misleading or not consistent with our understanding of the Council;
  - ▶ Any significant matters that are in the public interest;
  - ▶ Any written recommendations to the Council, which should be copied to the Secretary of State; and
  - ▶ If we have discharged our duties and responsibilities as established by thy Local Audit and Accountability Act 2014 and Code of Audit Practice.

Alongside our work on the financial statements, we also review and report to the National Audit Office (NAO) on your Whole of Government Accounts return. The extent of our review and the nature of our report are specified by the NAO.

## Responsibilities of the Council

The Council is responsible for preparing and publishing its statement of accounts accompanied by an Annual Governance Statement. In the Annual Governance Statement, the Council reports publicly each year on how far it complies with its own code of governance, including how it has monitored and evaluated the effectiveness of its governance arrangements in year, and any changes planned in the coming period.

The Council is also responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.



03

Financial Statement Audit

## Key Issues

The Council's Statement of Accounts is an important tool for the Council to show how it has used public money and how it can demonstrate its financial management and financial health. We audited the Council's Statement of Accounts in line with the National Audit Office's 2015 Code of Audit Practice, International Standards on Auditing (UK and Ireland), and other guidance issued by the National Audit Office and issued an unqualified audit report on 30 July 2018. Our detailed findings were reported to the 27 July 2018 Governance & Audit & Standards Committee.

The key issues identified as part of our audit were as follows:

Significant Risk	Conclusion
Misstatements due to fraud or error	We tested the appropriateness of journal entries recorded in the general ledger and other adjustments made in preparing the financial statements
The financial statements as a whole are not free of material misstatements whether caused by fraud or error.	We reviewed accounting estimates for evidence of management bias
As identified in ISA (UK and Ireland) 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We identify and respond to this fraud risk on every audit engagement.	We evaluated the business rationale for any significant unusual transactions
	Our work did not identify any: <ul style="list-style-type: none"> <li>material weaknesses in controls or evidence of material management override.</li> <li>inappropriate journals or adjustments.</li> <li>instances of inappropriate judgements being applied in relation to accounting estimates, or other balances and transactions.</li> <li>other transactions during our audit which appeared unusual or outside the Council's normal course of business.</li> <li>inappropriate tailoring of accounting policies, or inappropriate changes in policies from the prior year.</li> <li>instances of inappropriate capitalisation of revenue expenditure.</li> </ul>

# Financial Statement Audit (cont'd)

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The other key areas of focus identified as part of our audit, and related findings, were as follows:

Other Key Findings	Conclusion
<p><b>Valuation of Land and Buildings</b></p> <p>The fair value of Property, Plant and Equipment and Investment Properties represent significant balances in the Council's accounts and are subject to valuation changes, impairment reviews and depreciation charges. Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the balance sheet.</p>	<p>We did not identify any material issues with regard to the valuation of land and buildings.</p>
<p><b>Classification of Investment Properties</b></p> <p>The Local Authority Accounting Code of Practice states that an investment property is one which is held solely to earn rentals or for capital appreciation, or both. Property which is held for any other purpose (even if also earning rentals or achieving capital appreciation) must be classified as property, plant and equipment. It is a requirement that the Council's treatment of property held on its balance sheet conforms to these classifications. Review of assets classified as investment property in 2016/17 identified a number which did not meet the definition and resulted in a significant amendment to the Council's financial statements.</p>	<p>We did not identify any material issues with regard to investment property classification.</p>
<p><b>Private Finance Initiative (PFI) accounting</b></p> <p>The Council has four PFI arrangements, two of which were material to our audit. PFI accounting is a complex area, and a detailed review of these arrangements was undertaken by our internal expert in 2016/17. We reviewed the accounting entries and disclosures in relation to PFI in detail in 2017/18, with a focus on any significant changes since the expert's review in the previous year.</p>	<p>We did not identify any material issues with regard to PFI accounting and no further expert involvement was required.</p>

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## Financial Statement Audit (cont'd)

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The other key areas of focus identified as part of our audit, and related findings, were as follows: (cont'd)

Other Key Findings	Conclusion
<p data-bbox="91 488 465 512"><b>Pension Asset/Liability Valuation</b></p> <p data-bbox="91 531 1093 643">Accounting for the Local Government Pension Scheme involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.</p>	<p data-bbox="1111 531 2112 643">We did not identify any material issues with regard to the valuation of pension assets and liabilities. We identified one immaterial audit difference, which management chose not to adjust, as a result of comparing the actuarial estimate of the Council's share of pension fund assets against the actual position at 31 March 2018.</p>
<p data-bbox="91 735 271 759"><b>Group Accounts</b></p> <p data-bbox="91 783 1093 922">ISA 10, 11 and 12 set out the requirements which must be followed when assessing and disclosing group and joint arrangements. Where the Council has interests in other entities, it needs to undertake qualitative and quantitative assessments to inform its decisions as to whether group accounts are required. This is an area of potential complexity and judgment requiring regular review.</p>	<p data-bbox="1111 783 2007 834">We did not identify any material issues with regard to the Council's group accounts assessment.</p>

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## Financial Statement Audit (cont'd)

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### Our application of materiality

When establishing our overall audit strategy, we determined a magnitude of uncorrected misstatements that we judged would be material for the financial statements as a whole.

Item	Thresholds applied
Planning materiality	We determined planning materiality to be £11.65m (2016/17: £11.01m), which is 2% of gross revenue expenditure reported in the accounts of £582.62m.  We consider gross revenue expenditure to be one of the principal considerations for stakeholders in assessing the financial performance of the Council.
Reporting threshold	We agreed with the Governance & Audit & Standards Committee that we would report to the Committee all audit differences in excess of £0.58m (2016/17: £0.55m)

We evaluate any uncorrected misstatements against both the quantitative measures of materiality discussed above and in light of other relevant qualitative considerations. We identified one uncorrected judgmental misstatement in relation to pension assets as noted on the previous page. This did not impact our overall opinion on the financial statements.

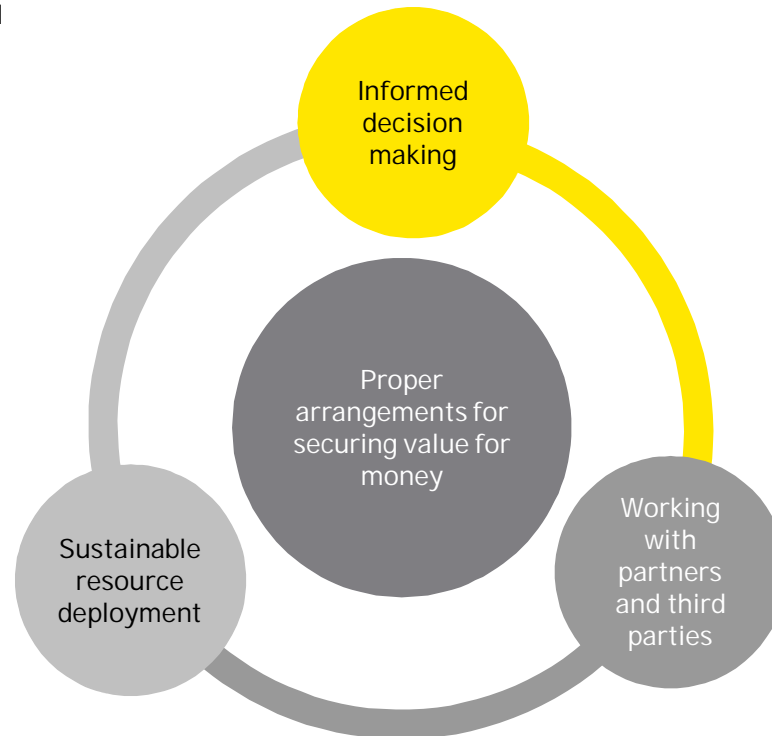


# 04 Value for Money

We are required to consider whether the Council has put in place 'proper arrangements' to secure economy, efficiency and effectiveness on its use of resources. This is known as our value for money conclusion.

Proper arrangements are defined by statutory guidance issued by the National Audit Office. They comprise your arrangements to:

- ▶ Take informed decisions;
- ▶ Deploy resources in a sustainable manner; and
- ▶ Work with partners and other third parties.



We did not identify any significant risks in relation to these criteria

We have performed the procedures outlined in our audit plan. We did not identify any significant weaknesses in the Council's arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people. We therefore issued an unqualified value for money conclusion on 30 July 2018.





## 05 Other Reporting Issues



## Other Reporting Issues

### Whole of Government Accounts

We performed the procedures required by the National Audit Office on the accuracy of the consolidation pack prepared by the Council for Whole of Government Accounts purposes. We had no issues to report other than to confirm the one unadjusted audit difference identified from our audit of the financial statements, in line with NAO instructions. See section 3 for further information on the unadjusted difference.

### Annual Governance Statement

We are required to consider the completeness of disclosures in the Council's annual governance statement, identify any inconsistencies with the other information of which we are aware from our work, and consider whether it is misleading.

We completed this work and did not identify any areas of concern.

### Report in the Public Interest

We have a duty under the Local Audit and Accountability Act 2014 to consider whether, in the public interest, to report on any matter that comes to our attention in the course of the audit in order for it to be considered by the Council or brought to the attention of the public.

We did not identify any issues which required us to issue a report in the public interest.

### Written Recommendations

We have a duty under the Local Audit and Accountability Act 2014 to designate any audit recommendation as one that requires the Council to consider it at a public meeting and to decide what action to take in response.

We did not identify any issues which required us to issue a written recommendation.



## Other Reporting Issues (cont'd)

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### Objections Received

We did not receive any objections to the 2017/18 financial statements from members of the public.

### Other Powers and Duties

We identified no issues during our audit that required us to use our additional powers under the Local Audit and Accountability Act 2014.

### Independence

We communicated our assessment of independence in our Audit Results Report to the Governance & Audit & Standards Committee on 27 July 2018. In our professional judgement the firm is independent and the objectivity of the audit engagement partner and audit staff has not been compromised within the meaning regulatory and professional requirements.

### Control Themes and Observations

As part of our work, we obtained an understanding of internal control sufficient to plan our audit and determine the nature, timing and extent of testing performed. Although our audit was not designed to express an opinion on the effectiveness of internal control, we are required to communicate to you significant deficiencies in internal control identified during our audit.

We have adopted a fully substantive approach and have therefore not tested the operation of controls.

Our audit did not identify any controls issues in 2017/18 to bring to the attention of the Governance & Audit & Standards Committee.



# 06 Data Analytics



# Use of Data Analytics in the Audit

## Data analytics – Journals and payroll testing

Analytics Driven Audit

### Data analytics

We used our data analysers to enable us to capture entire populations of your financial data. These analysers:

- ▶ Help identify specific exceptions and anomalies which can then be the focus of our substantive audit tests; and
- ▶ Give greater likelihood of identifying errors than traditional, random sampling techniques.

In 2017/18, our use of these analysers in the Council's audit included testing journal entries and employee expenses, to identify and focus our testing on those entries we deem to have the highest inherent risk to the audit.

We capture the data through our formal data requests and the data transfer takes place on a secured EY website. These are in line with our EY data protection policies which are designed to protect the confidentiality, integrity and availability of business and personal information.

### Journal Entry Analysis

We obtain downloads of all LG financial ledger transactions posted in the year. We perform completeness analysis over the data, reconciling the sum of transactions to the movement in the trial balances and financial statements to ensure we have captured all data. Our analysers then review and sort transactions, allowing us to more effectively identify and test journals that we consider to be higher risk, as identified in our audit planning report.

### Payroll Analysis

We also use our analysers in our payroll testing. We obtain all payroll transactions posted in the year from the payroll system and perform completeness analysis over the data, including reconciling the total amount to the General Ledger trial balance. We then analyse the data against a number of specifically designed procedures. These include analysis of payroll costs by month to identify any variances from established expectations, as well as more detailed transactional interrogation.



07

Focused on your future



## Focused on your future

The Code of Practice on Local Authority Accounting in the United Kingdom introduces the application of new accounting standards in future years. The impact on the Council is summarised in the table below.

Standard	Issue	Impact
IFRS 9 Financial Instruments	<p>Applicable for local authority accounts from the 2018/19 financial year and will change:</p> <ul style="list-style-type: none"> <li>• How financial assets are classified and measured;</li> <li>• How the impairment of financial assets are calculated; and</li> <li>• The disclosure requirements for financial assets.</li> </ul> <p>There are transitional arrangements within the standard and the 2018/19 Accounting Code of Practice for Local Authorities has now been issued, providing guidance on the application of IFRS 9. In advance of the Guidance Notes being issued, CIPFA have issued some provisional information providing detail on the impact on local authority accounting of IFRS 9, however the key outstanding issue is whether any accounting statutory overrides will be introduced to mitigate any impact.</p>	<p>Although the Code has now been issued, providing guidance on the application of the standard, along with other provisional information issued by CIPFA on the approach to adopting IFRS 9, until the Guidance Notes are issued and any statutory overrides are confirmed there remains some uncertainty. However, what is clear is that the Council will have to:</p> <ul style="list-style-type: none"> <li>• Reclassify existing financial instrument assets</li> <li>• Re-measure and recalculate potential impairments of those assets; and</li> <li>• Prepare additional disclosure notes for material items.</li> </ul>
IFRS 15 Revenue from Contracts with Customers	<p>Applicable for local authority accounts from the 2018/19 financial year. This new standard deals with accounting for all contracts with customers except:</p> <ul style="list-style-type: none"> <li>• Leases;</li> <li>• Financial instruments;</li> <li>• Insurance contracts; and</li> <li>• For local authorities; Council Tax and NDR income.</li> </ul> <p>The key requirements of the standard cover the identification of performance obligations under customer contracts and the linking of income to the meeting of those performance obligations.</p> <p>Now that the 2018/19 Accounting Code of Practice for Local Authorities has been issued it is becoming clear what the impact on local authority accounting will be. As the vast majority of revenue streams of Local Authorities fall outside the scope of IFRS 15, the impact of this standard is likely to be limited.</p>	<p>As with IFRS 9, some provisional information on the approach to adopting IFRS 15 has been issued by CIPFA in advance of the Guidance Notes. Now that the Code has been issued, initial views have been confirmed; that due to the revenue streams of Local Authorities the impact of this standard is likely to be limited.</p> <p>Whilst the standard is not expected to have a material effect, the Council will need to review its existing contracts to ensure it has identified all potential impacts. It will also need to consider the impact on its subsidiary companies, and related group accounts should these be required in future years.</p>



## Focused on your future (cont'd)

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Standard	Issue	Impact
IFRS 16 Leases	<p>It is currently proposed that IFRS 16 will be applicable for local authority accounts from the 2019/20 financial year.</p> <p>Whilst the definition of a lease remains similar to the current leasing standard; IAS 17, for local authorities who lease a large number of assets the new standard will have a significant impact, with nearly all current leases being included on the balance sheet.</p> <p>There are transitional arrangements within the standard and although the 2019/20 Accounting Code of Practice for Local Authorities has yet to be issued, CIPFA have issued some limited provisional information which begins to clarify what the impact on local authority accounting will be. Whether any accounting statutory overrides will be introduced to mitigate any impact remains an outstanding issue.</p>	<p>Until the 2019/20 Accounting Code is issued and any statutory overrides are confirmed there remains some uncertainty in this area.</p> <p>However, what is clear is that the Council will need to undertake a detailed exercise to identify all of its leases and capture the relevant information for them. The Council must therefore ensure that all lease arrangements are fully documented.</p>





# 08 Audit Fees

## Audit Fees

Our fee for 2017/18 is in line with the scale fee set by Public Sector Audit Appointments Ltd (PSAA) and reported in our July 2018 Audit Results Report. One minor fee variation is proposed for the Council – details are shown below.

Description	Final Fee 2017/18 £	Planned Fee 2017/18 £	Scale Fee 2017/18 £	Final Fee 2016/17 £
Total Audit Fee – Code work	TBC*	149,438	149,438	149,438
Total Audit Fee – Certification of claims and returns	TBC**	17,797	17,797	17,196

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\*We have proposed a scale fee variation of £6,886, in relation to work done in 2017/18 to review in detail the Council's calculation of its minimum revenue provision and related historic overprovision, following its adoption of the annuity method. This work is outside the scope covered by the scale fee. An equivalent fee has not been charged in previous years. The proposed fee variation remains subject to agreement with management and PSAA.

\*\* Our work on the Council's 2017/18 housing benefit subsidy claim is ongoing. Our final fee will be confirmed following the completion of our work. The deadline for certification of the claim is 30 November 2018.

We confirm we have not undertaken any non-audit work outside of the PSAA's requirements.

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ED None

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<b>Title of meeting:</b>	Governance and Audit and Standards Committee
<b>Date of meeting:</b>	14 <sup>th</sup> September 2018
<b>Subject:</b>	Performance Management update - Q1, 2018-19
<b>Report by:</b>	Director of HR, Legal and Performance
<b>Wards affected:</b>	n/a
<b>Key decision:</b>	No
<b>Full Council decision:</b>	No

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## 1. Purpose

- 1.1 To report significant performance issues, arising from Q1 performance monitoring, to Governance and Audit and Standards committee and highlight areas for further action or analysis.

## 2. Recommendations

- 2.1 The Governance and Audit and Standards Committee is asked to:
- 1) note the report;
  - 2) note the continued improvement in quality of reports from directorates;
  - 3) agree if any further action is required in response to performance issues highlighted

## 3 Background

- 3.1 This report is part of the regular series of quarterly report highlighting significant performance issues across the organisation.
- 3.2 In compiling reports, directors are asked to consider:
- 1) Priority performance areas
  - 2) Projects
  - 3) Risks
- 3.3 Expectations have been shared with Directors that reports should cover the breadth of organisational activity and enable GAS to discern a picture of performance in the organisation. Reports should provide an indication of both current performance and trends. Directors have been asked to make use of readily understood RAG (red; amber; green) terminology to describe perspectives where:
- Green is improving; exceeding or on plan
  - Amber is no change or some degree of uncertainty about performance
  - Red is deterioration; failing to achieve plan; or a high level of concern.

- 3.4 In order to make the key issues clearer to members, directors have been asked to provide summaries highlighting the issues the committee needs to be aware of (Appendix 1) with more in depth assurance around the management of performance, projects and risk, presented in further appendices. A summary of strategic risks to the organization is also included as part of Appendix 4.
- 3.5 As well as individual issues, there are themes arising from the report that members of the committee may wish to consider. The first is that demand for services in key areas is rising, and this is putting pressure on service delivery. This is particularly apparent in "people" services including children's social care, for support in relation to special educational need and disability, adults' social care and housing.
- 3.6 The second significant theme is capacity. This is raised both in relation to resource available to address demand, but also the capacity to progress necessary change projects alongside the day to day service delivery pressures,
- 3.7 Finally, the scale of the financial challenge facing the Council is the biggest risk to providing sustainable public services. Funding reductions coupled with increasing demand (in particular Looked After Children) is causing overspending that is likely to increase the Council's savings requirements in the future if those services are unable to contain their costs.
- 3.8 Governance and Audit and Standards Committee are asked to consider the issues raised in the Appendices, and agree where any further information or action is required.

#### **4. Equality impact assessment (EIA)**

- 4.1 Any equality matters arising through performance or value for money consideration will be considered as a discrete process, as separate EIAs will be completed for these areas of work.

#### **5. Legal Implications**

- 5.1 The report has incorporated legal implications and accordingly there are no other immediate legal implications arising from this report.

#### **6. Finance Comments**

- 6.1 There are no financial implications to bring to member's attention at this stage. However, it should be noted that there could be further financial implications following further exploration of any of the performance issues raised in this report, and related future reports could result in financial implications. These will be flagged to members at the appropriate time.

.....  
Signed by: Jon Bell, Director of HR, Legal and Performance

**Appendices:**        **Appendix 1- Summary of directorate performance issues**  
                          **Appendix 2 - Performance issues**  
                          **Appendix 3 -Projects**  
                          **Appendix 4 - Risks**

**Background list of documents: Section 100D of the Local Government Act 1972**  
The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

<b>Title of document</b>	<b>Location</b>

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<b><i>Key performance issues for consideration</i></b>	<b><i>Key project issues for consideration</i></b>	<b><i>Key risk issues for consideration</i></b>
<b>CHILDREN'S SERVICES</b>		
Key performance Indicators for children's social care are holding up pretty well despite significant pressure on caseloads from continuing high demand on the service.	To be really effective our teacher recruitment and retention strategy needs more investment and a cross council approach - we are discussing this with Cabinet members	Continuing high demand for children's social care creating high case- loads and risk to the quality of front line practice
A review has been commissioned to look at how best to strengthen the effectiveness of targeted early help in managing demand into social care	Many of the project lines are important elements of our financial sustainability strategy and are being closely monitored	Senior management change in Children and Families with the departure of the current Deputy Director this Autumn for a post in another authority.
In schools, fixed term exclusions have risen this year as has the percentage of young people in secondary schools who are "persistently absent" (missing 10% or more of sessions). We are also seeing slightly more young people on reduced timetables and choosing to be home educated. We continue to challenge individual schools with high levels of education exclusion judged by these indicators; there are a number of schools where the picture is much more positive and we are sharing best practice		Increasing evidence of difficulties recruiting and retaining teachers. This is a key risk over the coming few years as the graduate population declines at the same time as the secondary school age population rises. Applications for teacher training for this September are down significantly.

<p>through the new Portsmouth Education Partnership website.</p>		
		<p>Pressure on the "high Needs" budget to meet the cost of specialist provision for children with special educational needs. Portsmouth has until now bucked the trend through careful stewardship of the High Needs Block but we are predicting increasing pressure on this budget in the current financial year.</p>
<p><b>ADULTS' SOCIAL CARE</b></p>		
<ul style="list-style-type: none"> <li>• Fieldwork/Continuing Health Care</li> <li>• Independence &amp; Wellbeing</li> <li>• Carer's Services</li> <li>• Learning Disability Services</li> <li>• Safeguarding Adults</li> <li>• PCC owned residential care</li> </ul>	<ul style="list-style-type: none"> <li>• Health &amp; Social Care Blueprint</li> <li>• Integrated Discharge Service</li> <li>• SWIFT/AIS Migration</li> <li>• Achieving Financial Balance</li> <li>• Transformation Projects</li> </ul>	<ul style="list-style-type: none"> <li>• PCC owned and run Residential care homes</li> <li>• Investment in Workforce</li> <li>• Delivering ASC Interventions to improve services</li> <li>• Achieving a balanced budget</li> <li>• SWIFT/AIS Migration</li> <li>• Domiciliary Care resources</li> <li>• Provider Failure</li> <li>• Future Population Demographics</li> <li>• Fulfilling Safeguarding Responsibilities</li> </ul>
<p><b>HOUSING, NEIGHBOURHOOD AND BUILDING SERVICES</b></p>		

<p>Community safety - new demands per month for drug related activity. The team are highlighting the issue with partners and the commentary provides more detail.</p>	<p>Tower Blocks (Horatia &amp; Leamington) - the report contains the project line for the rehousing of the residents in both blocks. A full suite of performance measures linked to the project is available on request and is being reported to the Cabinet Member for Housing on a weekly basis. A wider stakeholder update is being issued on a monthly basis.</p>	<p>Tower Blocks (Horatia &amp; Leamington) - risks associated with the issues leading to the decision to rehouse the residents are stated. The risk is mitigated with a range of measures in place.</p>
<p>Waste Management - PCC Recycling contamination rates - disappointing deterioration in the % of contamination. This reflects a general trend across Hampshire the commentary provides more detail.</p>	<p>Wilmcote House refurbishment - reflects the delayed completion as a red indicator but the works are substantially complete and the new contractor Engie (they took over Keep moat) is on track to complete by late August/Early September.</p>	<p>Waste Management remains subject to external influences including the volatile market pricing for recyclable materials and the expected National Waste Management Policy. Hampshire County Council has slowed the plans for a Super Multi Recycling Facility until the national policy is announced. PCC remain part of an integrated partnership with Hampshire and Southampton as the disposal authorities in the region.</p> <p>The Waste Management team continue to work within those parameters to improve waste collection (wheelie bin) roll out and recycling.</p>
<p>Housing Options (homelessness) Use of temporary accommodation (B&amp;B) - this is reflected in the budget reports and not measured in this report but is an area of concern. The spend above budget for</p>	<p>Rough Sleeping and Street Sleepers Strategy - the strategy goes to Cabinet in September 2018 for final approval following consultation. Portsmouth's approach has attracted MHCLG funding for 2018/19 which</p>	

<p>temporary accommodation is covered through grants received but a review of our use of temporary accommodation is scheduled to be undertaken during Q.2 and will be reported as a project in Q.2.</p>	<p>will enable delivery of elements of the strategy and news on a bid to fund the work in 2019/20 will be announced later this year.</p>	
	<p>Additional Borrowing (HRA) - opportunity to build additional council housing. Work is underway to prepare a bid for submission in September 2018.</p>	
<p><b>REGENERATION</b></p>		
<p>The Directorate now has a clear structure and recruitment of key senior management posts is complete. This will enable the services and teams to realign around our key areas for delivery. Generally in Q1 services are on track to meet the objectives and measures. There are no delivery failures, however where progress has slowed this has been mostly due to resource issues. These will be resolved through the current reviews of service and recruitments to posts.</p>	<p>Key project risks are outlined on the Projects page.</p> <p>There are some risks around consultation on major schemes and the changes to scheme design and timetables; and extra cost of delivery that may result from this process.</p> <p>There are is also strategic developments of key sites that are in the early stages of programme management and engagement of key parties could present risk if not handled correctly.</p> <p>Communication plans for all the projects and schemes are being implemented to manage</p>	<p>The risks to achieving the overall aims of the Directorate are mostly due to the uncertainty of future funding streams, resources and external factors beyond our control. These risks are being managed through a range of strategies that focus on good communication with Members, key stakeholders and funding agencies; ensuring that we continue to deliver services to a high standard; and careful workforce planning to ensure we have the right skills and resources in place.</p>

	these risks and prevent these becoming issues.	
<b>CULTURE AND CITY DEVELOPMENT</b>		
<p>The delivery of the D-Day museum and its opening on time and in Budget was a key achievement for the Museums service. The operation in the first Quarter of this year has been well received. It is pleasure to see the visitor numbers so robust and the number of annual passes is a positive reflection on the visitor experience at the D-Day Story.</p> <p>Public expectations of Cultural Services in particular remain very high, often combining with little understanding or awareness of the overall reduction in funding to the local authority. So this engagement and positive feedback is all the more rewarding in what is a key project for the city.</p>	<p>As regards <b>Air quality</b> The additional costs of increasing sampling required to deliver monitoring information in line with DEFRA's appraisal of the 2017 ASR will likewise be need to be found from existing budgets. These costs will place additional pressures upon the funding allocated to Regulatory Services to carry out their statutory obligations. This is in addition to the <b>Food safety operating plans</b> to be agreed by members in Q2 outlines the key risks and resulting recommendations and mitigations</p>	<p>Capacity: staff reductions in most service areas are challenging service delivery and development, but also limit or slow the ability of officers and services to generate new income streams, generate new revenue and attract new funding sources that can offset the impact of savings. The next 2 quarter is the busiest months.</p> <p>The ability in each service area to deliver further savings without impact on service delivery, statutory functions or service point closure (e.g. libraries and museums) will be challenging in this budget round</p>
<b>COMMUNITY AND COMMUNICATIONS</b>		
		<p>Capacity in some areas</p> <p>External system providers delays in GDPR compliance</p>

<b>HR, LEGAL AND PERFORMANCE</b>		
Ongoing strong performance in main "business as usual" areas for HR, Legal and Internal Audit		Ability of Legal Services to meet needs of organisation is hugely dependant on recruiting and retaining sufficiently skilled and experienced staff, which is increasingly becoming a challenge
Sickness absence remaining stable, but wellbeing project now well underway and showing early success		Pay structure undergoing some pressure due to increasing need to re-evaluate job roles and cumulative effects of lower-than-inflation pay settlements
Armed forces "Gold" award achieved  Apprenticeship programme continuing to be successful		
Foundation Living Wage successfully introduced		
<b>FINANCE AND IS</b>		
The overall financial forecast for Q1 for the whole Council is a serious cause for concern with significant forecast overspends in the highest spending areas of Adults and Children's Social Care - in aggregate amounting to £9m. There is reasonable confidence that the Adult Social Care position is capable or	IT have a number of key & high profile projects in progress which are likely to draw on resources that are providing "Business As Usual" services. This may result in some disruption to normal business processes and service delivery plans. These projects, in particular, will be subject to close monitoring for delivery and cost.	The scale of the financial challenge facing the Council is the biggest risk to providing sustainable public services. Funding reductions coupled with increasing demand (in particular Looked After Children) which is causing overspends is likely to increase the Council's savings requirements in the future if those services are unable to contain their costs.

<p>remedy but options for Children's Social Care appear more limited.</p> <p>Generally, Financial Services are maintaining strong performance in the main BAU areas.</p>		<p>Income generation, entrepreneurialism, regeneration, managing demand and efficiency initiatives coupled with strong financial management are all crucial to avoid cuts in public services.</p> <p>IT are now starting to transform the network and application architecture for the whole Council. Once complete, this will enable anytime, anyplace access to systems and will improve disaster recovery provision. This transformation involves developing new knowledge and learning new skills.</p> <p>The network and application transformation needs to be delivered whilst supporting existing systems, customer projects as well as BAU demand.</p> <p>To manage the impact on normal day to day operations will require strong resource management and active prioritisation.</p>
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## CHILDREN'S SERVICES

## Key function: Early Help and system transformation (including troubled families)

Objective	2017/18 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Number of Early Help Plans	(Mar-18)					GREEN	IMPROVING
Number of families receiving targeted Early Help	422 (Mar-18)	350				GREEN	STABLE
% of ongoing social care cases with previous targeted Early Help Support	a) 9.7% (Mar-18)	a) 12.8%				AMBER	STABLE
% cases moving from Early Help to statutory response	b) 41.3% (Mar-18)	b) 53.8%					
Attachments to the Troubled Families programme	400	60				RED	IMPROVING
Troubled Families PbR claims	70	39				RED	Recovery Plan in place

Commentary: All families within the 5-19 Early Help team have either an early help assessment underway or in place or a plan. Families in the 0-5 Early Help team (HV and FNP) are being reviewed to ensure there is either an EHA or Plan in place. Caseloads in the Early Help 5-19 team are almost at capacity. Caseloads have been reviewed to ensure families are closed by 6 months of work with early help except where closure would mean escalation to children's social care. There is a recovery plan in place for the Troubled Families Programme to increase attachments and PbR that is being monitored by Director of Children's services and the DCLG.

Key function: Children's social care - assessment and intervention							
Objective	2017/18 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Initial child protection conferences convened in 15 day timescale	70.53%  (213/302)	76.71% (56/73)  76.71% YTD (56/73) YTD				AMBER	Improving
Case in the Public Law Outline and court proceedings are progressed in a timely way, measures through % court cases progressed within 26 week timescale	82.89%  (63/76)	83.33% (15/18)  83.33% YTD (15/18) YTD				GREEN	stable
Number of children subject to child protection plans (and compared to statistical neighbours rate per 10.000)	288  (65.45)	261 (59.32)  (56.4 SN average @ Mar-17)				AMBER	Improving
Contacts to MASH that result in referral to CSC	2136	521  (521 YTD)				Red	Static - but too high
Contacts to MASH that result in referral for Early Help (Both Targeted and wider service)	1688	726  (726 YTD)				Green	Increasing numbers of children & families

APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

							receiving early help
Overall open cases in CSC (At end of quarter)	1718	1726					Red Too many cases in CSC
<p><b>Commentary:</b> The challenge is associated with the increased work into children's social care. The increase in the amount of early intervention should assist with workflow across the whole system over time.</p>							

Key function: Children's social care - Youth Offending Team							
Objective	2017/18 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
YOT caseloads	91	93				Red	A reduction on previous 2 quarters but remain high
Address first-time entrants to youth justice system (number of first time entrants in the quarter)	Not yet available	Not yet available					
Reduce reoffending (data from Youth Justice Board – historical periods)	Not yet available	Not yet available					
<p><b>Commentary:</b> YOT caseloads remain high and the indicators regarding first time offending and re-offending whilst not available for this report have repeatedly shown little progress.</p>							

## Key function: Children's social care - Looked after children and care leavers

Objective	2017/18 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Increase number of in-house foster carers	226	216				AMBER	Stable within range
Reduce reliance on external foster carers (independent providers)	83	92				AMBER	Stable within range
Increase stability in placements	14% 64%	Short term 15.4% (67/435)  Long term 63.87% (76/119)				Long-term consistent	Stable
Reduced care periods (measured by average days in care)	305 - 0-5 1250 - 6-13 1150 - 14+	354 days Aged 0-5  1347 days Aged 6-13  1131 days Aged 14+				AMBER	Deteriorating
Increase in numbers of children registered as privately fostered	6	4				AMBER	n/a

APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

<p><b>Increase in numbers of children returning home from care</b></p>	<p>32/193 16.6%</p>	<p><b>5/27 (18.52%)</b> <b>5/27 YTD (18.52%) YTD</b></p>				<p>AMBER</p>	<p>This is a fairly consistent trend</p>
<p><b>Strength and Difficulties Questionnaire (SDQ) average scores of all completed SDQs (17+ is High level need)</b></p>	<p>13.6</p>	<p><b>12.13</b></p>				<p>AMBER</p>	<p>The average score is 12.13. High level need is over 17 and we have 76 children scoring high (out of 263). All are known to CAMHS.</p>
<p><b>Increase in number of SDQs completed</b></p>	<p>64.6%</p>	<p><b>66.58% (247/371)</b></p>				<p>AMBER</p>	<p>Remains consistent</p>
<p><b>Suitable accommodation available for care leavers.</b></p>	<p>84%</p>	<p><b>85.06%</b></p>				<p>AMBER</p>	<p>This is a fairly consistent picture.</p>

**Commentary:**

- Recruitment has been very slow for mainstream carers. We currently have 18 carers in assessment.
- 50 of IFA placements are due to increasing numbers of UAMs.

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

- 15 children have had 7 or more placements in a year - 43 YP not in same placement for more than 2.5 years and 3 are at home and 10 have been in same placement >18 months. Duration of care is increasing for 0-5 and 6-13 yrs age ranges
- Practice continues to improve around completion of SDQs

Key function: Children's social care - safeguarding monitoring							
Objective	2017/18 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Percentage of newly-qualified social workers	20.8% (Mar-18)	22.91% (23.6/103fte)				AMBER	Seven ASYEs at moderation panels in Q2.
Retention of qualified social work staff, measured by % staff employed for over 2 years	58% (Mar-18)	54%				AMBER	Retention has reduced over last 2 quarters
Number of referrals to Local Authority Designated Officer	235	88 (88 YTD)				GREEN	Number are above the baseline and continue to increase
Number of issues resolved through challenge and escalation process	45	3 (3 YTD)				AMBER	Numbers continue to be low

APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

<b>Number of staff accessing Social Work Matters Skills Academy and feedback</b>							The academy will recommence in September
<b>Commentary: There is a need to reduce reliance on ASYE's across the service. Retention post ASYE is increasing - which should assist.</b>							



## Key function: Education: Inclusion

Objective	2018 Baseline (where known)	Key progress				RAG rating	Trend
		Q1	Q2	Q3	Q4		
<b>No. of SEN statements/EHC plans (% of SEN statements/EHC plans)</b>	1378 (% not in source.)	Next data from DfE Release is due May 2019				<b>Amber</b>	The number of EHC Plans continues to rise
<b>% of CYP (0-25) transferred from SEN statements to EHC plans (deadline of 31<sup>st</sup> March 2018)</b>	22.1%	Next data from DfE Release is due May 2019				<b>Green</b>	All SEN statements were transferred to EHCPs by the deadline of 31 <sup>st</sup> March 2018
<b>% of new EHC plans issued within 20 weeks (excluding exceptions)</b>	98.4% Calendar Year 2017.	Next data from DfE Release is due May 2019				<b>Green</b>	Portsmouth continues to perform significantly above the national average for timeliness of EHCPs

APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

<p><b>% PEPs completed on time (to be moved in 2018/19 to reporting with LAC responsibility)</b></p>	<p>265/275 96.36% (recorded on CCM)</p>	<p><b>275/292</b> <b>97%</b></p>				<p><b>Green</b></p>	<p>No change</p>
<p><b>Overall absence from primary schools (Number in brackets is national average)</b></p>	<p>4.0% (4.0%) for 2016/17 from SFR 18 2018 State funded primary schools.</p>	<p>Next data from DfE Release is due March 2019</p>				<p><b>Green</b></p>	<p>Overall absence from primary schools is in line with national average.</p>
<p><b>Overall absence from secondary schools (Number in brackets is national average)</b></p>	<p>6.2% (5.4%) for 2016/17 from SFR 18 2018 State funded secondary schools.</p>	<p>Next data from DfE Release is due March 2019</p>				<p><b>Red</b></p>	<p>Overall absence from secondary schools is above national average. A publicity and behaviour change campaign is planned for the Autumn term.</p>
<p><b>Persistent absence from primary schools</b></p>	<p>8.5% (8.3%) for 2016/17 from SFR 18 2018 State</p>	<p>Next data from DfE Release is due March 2019</p>				<p><b>Amber</b></p>	<p>Persistent absence from primary</p>

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<p><b>(Number in brackets is national average)</b></p>	<p>funded primary schools.</p>			<p>schools is slightly above national average and continues to be carefully monitored via the Behaviour and Attendance Group.</p>
<p><b>Persistent absence from secondary schools</b>  <b>(Number in brackets is national average)</b></p>	<p>17.1% (13.5%) for 2016/17 from SFR 18 2018 State funded secondary schools.</p>	<p>Next data from DfE Release is due March 2019</p>	<p><b>Red</b></p>	<p>Persistent absence from secondary schools is above national average.</p>
<p><b>No. of Permanent exclusions from school</b>  <b>(Previous year's figure in brackets)</b></p>	<p>16 in 2015/16 (13 in 2014/15 equivalent)</p>	<p><b>13</b> DfE Statistical Release 19<sup>th</sup> July 2018. Next data set due July 2019.</p>	<p><b>Green</b></p>	<p>Permanent exclusions continue to be low.</p>
<p><b>No. of fixed period exclusions from school</b>  <b>(Previous year's figure in brackets)</b></p>	<p>1738 in 2015/16 (1392 in 2014/15 equivalent)</p>	<p><b>1824</b> DfE Statistical Release 19<sup>th</sup> July 2018. Next data set due July 2019.</p>	<p><b>Red</b></p>	<p>Fixed period exclusions are rising. The figure varies considerably between</p>

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<p>Page 76</p>				<p>schools and is impacted by external factors such as a change in leadership. Exclusions are monitored via BAG and schools are challenged robustly where exclusions have risen.</p>
<p><b>Primary first preference offers made to applicants (%)</b></p>	<p>89 in 2017/18 (96 in 2016/17 85 in 2015/16)</p>	<p><b>Data is available in June each year</b></p>	<p><b>Green</b></p>	<p>Portsmouth ranked in top quartile of LAs nationally</p>
<p><b>Secondary first preference offers made to applicants (%)</b></p>	<p>90 in 2017/18 (84 in 2016/17 87 in 2015/16)</p>	<p><b>Data is available in June each year</b></p>	<p><b>Amber</b></p>	<p>Portsmouth ranked in second quartile of LAs nationally</p>
<p><b>Commentary:</b> School absence, both overall and persistent absence) at secondary remains above national and is rising. Fixed period exclusions are rising. Permanent exclusions remain low.</p>				

**Key function: Education: Sufficiency, participation and resources - capital schemes**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Completion of 1000 place school rebuild of King Richard School (PSPB R1) by September 2017</b></p>	<p>Building works on site and on schedule</p>	<p>Demolition of the former King Richard School commenced in June. Scheduled demolition completion is mid August 2018 with completion of ground works scheduled for the end of September 2018.</p>				<p><b>Green</b></p>	<p>No change</p>
<p><b>Rebuild of Beacon View and Arundel Court and rebuild/refurb of Mayfield School (PSPB R2) by 2020</b></p>	<p>Options appraisal stage with ESFA</p>	<p>Planning approval received for both Arundel Court Primary School and Beacon View</p>				<p><b>Amber</b></p>	<p>No change</p>

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		<p>Primary School.</p> <p>Mayfield design and feasibility progressed well, however, the Education and Skills Funding Agency have put the project on hold until September, as they are considering re-procuring the project due to cost differences with the framework contractor.</p>					
<p><b>Completion of priority capital works to address urgent condition issues (school modernisation programme 2017/18)</b></p>	<p>Schemes underway</p>	<p>All projects are RAG rated Green. There are 4 projects from 2017/18 remaining and</p>				<p><b>Green</b></p>	<p>No change</p>

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		<p>due for completion during the summer holiday period. There are 13 projects underway from the 2018/19 programme of works.</p>					
<p><b>Primary sufficiency Phase 2 – deliver an additional 600 school places</b>  <b>(Northern Parade, Craneswater Junior, Langstone Junior, Moorings Way Infant, Arundel Court Primary, Newbridge Junior)</b></p>	<p>Schemes underway</p>	<p>Northern Parade:                      Handover of Leadership block was undertaken in June. Due to poor weather the contractor has a revised scheduled completion date of the end of September, this is</p>				<p><b>Amber (both)</b></p>	

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		<p>currently to be agreed.</p> <p>Craneswater Junior School: There is no change to the completion date of the 12<sup>th</sup> October.</p>					
<p><b>Secondary sufficiency Phase 1 – provision of additional secondary school places to create 2-3% surplus in the short to medium term</b>  <b>(Springfield, Miltoncross, St Edmund’s, the Portsmouth Academy)</b></p>	<p>Works underway. Minor delay at Springfield</p>	<p>Springfield: Works on site complete. Some snagging works have been agreed but as yet the school have yet to agree the increase to the admission number until all works are finalised.</p> <p>Portsmouth Academy: Project design progressing</p>				<p><b>Green</b></p>	



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		well and to programme. Planning approval received.					
Page 81	<b>Remodelling of Special School provision at Cliffdale Primary and Redwood Park Academies</b>	Work commenced on site at Cliffdale in June with completion expected in January 2019.					<b>Green (both)</b>
	Detailed design is underway. Cliffdale Primary is progressing whilst funding is awaited for Redwood Park	Design work is underway at Redwood Park with the balance of funding £1m still awaiting SoS approval following Schools Forum endorsement.					No change

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<p><b>Refurbishment of Vanguard Centre and relocation of Harbour @Fratton and Harbour @Milton by September 2017</b></p>	<p>Works underway</p>	<p>Works currently underway and on programme - due to be completed in Q3 (October 2018)</p>				<p><b>Green</b></p>	<p>No change</p>
<p><b>Secondary feasibility studies to establish how PCC could increase capacity to meet growing demand from 2019 onwards (Ark Charter, Portsmouth Academy, Admiral Lord Nelson)</b></p>	<p>Feasibility studies underway</p>	<p>Design work progressing well on all identified schemes. All currently on programme.</p>				<p><b>Green</b></p>	<p>No change</p>

**Commentary:** All capital projects are overseen by a project board with stakeholder engagement throughout.

**Key function: Education: Sufficiency, participation and resources - NEET and post-16 strategy**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	Rag Rating	Trend
% 16-18 year olds NEET	3.8% (3 month average Jan-Mar 2018)	4% (3 month average Apr-June 2018 MI)				Green	
% 16-18 year olds unknown	0.9% (3 month average Jan-Mar 2018)	0.6% (3 month average Apr-June 2018 MI)				Green	
% participation in education/training at age 16	95% (3 month average Jan-Mar 2018)	94.2% (3 month average Apr-June 2018 MI)				Green	
% participation in education/training at age 17	88.8% (3 month average Jan-Mar 2018)	88.7% (3 month average Apr-June 2018 MI)				Green	
Achievement of Level 2 (including English and Maths) by 19	62% (2016/17)					Red	

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Achievement of Level 3 by 19	49% (2016/17)					<b>Red</b>	
<b>Apprenticeship Strategy: No 16-18 starts at Intermediate level</b>	270  (2016/2017 Full Year - Provisional)	Data Not available (last published July 2018 for 2016/2017)				<b>Amber</b>	
<b>Apprenticeship Strategy: No. of 16-18 starts at Advanced level</b>	160  (2016/2017 Full Year - Provisional)	Data Not available (last published July 2018 for 2016/2017)				<b>Amber</b>	
<b>Apprenticeship Strategy: 16-18 Apprenticeship success rate</b>	70.9%  (2016/2017)	Data Not available (last published March 2018 for 2016/2017)				<b>Amber</b>	
<b>Commentary:</b> NEET figures remain on track. The April to July average figures reflect the expected pattern on participation and NEETs for this time in the academic year							

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### Key function: Education: School improvement

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Early Years Foundation Stage - % achieving Good Level of Development</b>	71.0% (final 2017)	70.4% (2018 provisional) Annual indicator, quarterly data not available.				<b>Amber</b>	Slight decrease
<b>Year 1 Phonics Screening % working at the standard</b>	77% (final 2017)	79% (2018 provisional) Annual indicator, quarterly data not available.				<b>Amber</b>	Increase
<b>KS1 Reading, Writing and Maths combined - % at least expected standard</b>	61.9% (final 2017)	62.9% (2018 provisional) Annual indicator, quarterly data not available.				<b>Amber</b>	Increase
<b>KS2 Reading, Writing &amp; Maths - % at least expected standard</b>	57% (final 2017)	56% (2018 provisional) Annual indicator, quarterly data not available.				<b>Amber</b>	Small decrease
<b>KS2 Reading Average Progress Score</b>	-1.5 (final 2017)	2018 provisional results not yet available (est. September 2018). Annual indicator, quarterly data not available. 2018 not directly comparable to 2017 due to change in methodology.					
<b>KS2 Writing Average Progress Score</b>	-1.8 (final 2017)	2018 provisional results not yet available (est. September 2018). Annual indicator, quarterly data not available.					

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		2018 not directly comparable to 2017 due to change in methodology.		
<b>KS2 Maths Average Progress Score</b>	-1.5 (final 2017)	2018 provisional results not yet available (est. September 2018). Annual indicator, quarterly data not available. 2018 not directly comparable to 2017 due to change in methodology.		
<b>4-9 in English and maths</b> <b>5-9 in English and maths</b>	58.4% (final 2017)  37.2% (final 2017)	2018 provisional results not yet available (est. August 2018). Annual indicator, quarterly data not available.		
<b>KS4 Attainment 8</b>	42.3 (final 2017)	2018 provisional results not yet available (est. August 2018). Annual indicator, quarterly data not available.		
<b>KS4 Progress 8</b>	-0.13 (final 2017)	2018 provisional results not yet available (est. October 2018). Annual indicator, quarterly data not available. 2018 not directly comparable to 2017 due to change in methodology.		
<b>% entered EBacc</b>	43.1% (final 2017)	2018 provisional results not yet available (est. August 2018). Annual indicator, quarterly data not available.		

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<b>EBacc average points score</b>	New indicator, no previous data.	2018 provisional results not yet available (est. August 2018). Annual indicator, quarterly data not available.					
<b>% schools judged to be good or better (of those schools that have been inspected in current or previous form)</b>	84.1% (as at 31 March 2018)  Change to indicator - Ofsted now include predecessor school's outcome for uninspected schools.	85.7% (as at 30 June 2018)				Green	Increase
<b>Commentary:</b> provisional data for EYFSP, Phonics, KS1 and KS2 is disappointing with little change, whilst national figures have increased. Attainment data is only available but in Q2 progress data will become available and provisional data for KS4.							

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Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>SERVICE: ADULT SERVICES</b>							
<b>Key function: Fieldwork/Continuing Health Care</b>							
<b>Portsmouth has residential / nursing care beds available for those who are unable to live in their own home</b>		<u>Snapshot as of 30/06/2018,</u> <u>Count of clients</u>					
Long Stay Rest Home Care (Dementia)		117				<b>Amber</b>  During Q1 data suggests that demand is being met within available capacity within the city	<b>Improving</b>  During this time demand is mainly being met within available capacity within the city  Harry Sotnick House -
Long Stay Rest Home (Non Dementia)		199					
Long Stay Nursing Home Care (Dementia)		93					
Long Stay Nursing Home Care (Non Dementia)		84					

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LS In House Rest Home Care (Dementia), excludes Full Cost Clients, Includes - OP, LD, MH, PD & CHC	73					making improvements  Shearwater and Hilsea Lodge have re-commenced admissions.
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Page 90	<p><b>Portsmouth has sufficient domiciliary care available to enable people with care and support needs to remain living independently in their own homes.</b></p>	<p><b>As at May 2018:</b> ASC funded 1072 people to receive domiciliary care</p>	<p><b>As of 4<sup>th</sup> July 2018:</b></p> <ul style="list-style-type: none"> <li>• ASC was funding packages of care (POCs) for 882 people.</li> <li>• Number of CHC POCS - 61</li> <li>• Average no of days between referral and commencement of POC:</li> </ul>					<b>Red</b>	<b>Stable</b>
			PO1	6.28					
			PO2	9.8					
			PO3	10.7					
			PO4	9.6					
			PO5	6					
			PO6	12.8					
<p><b>Portsmouth community social work and OT teams are able to assess and deliver services to ASC clients within a timely manner</b></p>	<p>Post-intervention, average</p>	<p>The Waiting List has remained significant but work is due to commence on</p>						<b>Amber-</b> until this analysis is complete and the	<b>Stable</b>

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	<p>waiting times were 22 days</p> <p>Waiting List as of May 2018:</p> <p>173 for SW and 118 for OT (2 Cat 1, 46 Cat 2, 70 Cat 3).</p>	<p>remodelling the Social Work 'front door' which should increase capacity and reduce waste.</p>				<p>causes are understood, this will remain at amber.</p>	
<p><b>CHC:</b></p> <p><u>Continuing Healthcare</u> in Portsmouth is delivered through a team composed of nurse and social work professionals. The Local Authority is the lead agency and provides budget monitoring, leadership and ratification of the CHC process in Portsmouth on behalf of the CCG through a <u>Section 75 agreement</u> under the National Health Service Act 2006.</p> <p>The CHC-accountable manager reports monthly to a Partnership Management Group comprised of representatives from the CCG and PCC</p>		<p>19% (n5) of DSTs were completed in hospital. (Expectation is 15%hospital/8 5% community</p> <p>50% of referrals completed within 28 days</p>				<p><b>Amber</b> - As reported in Q4, there was an overspend in CHC for 2017/18 with potential mitigation against this in the underspent balance sheet of 2016/17.</p>	

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### Commentary:

**Residential/nursing beds available:** Hampshire County Council is now managing Harry Sotnick House (HSH) for a transition period having worked with Care UK to safely transition the home. Regular information meetings have been established for relatives and there has been a weekly oversight of progress with a management group. It is anticipated that admissions will recommence around Sep 18.

Extensive work has been done by the turnaround team to improve standards in PCC's residential units resulting in:

- Shearwater and Hilsea - both homes been re-inspected and gained a 'Requires improvement' rating from the Care Quality Commission (CQC) with elements of 'good' domains in 'Caring and responsive'.
- Russetts has gained a 'requires improvement in Effective & well-led' with 'Safe, caring & responsive' rated as good. Report published 26/5/19
- Edinburgh house was inspected on 23/25<sup>th</sup> July. No outcome yet. However the turnaround team were deployed to Edinburgh shortly before the inspection to support leadership in the home. This deployment was well received by CQC during their inspection.

### Sufficient Domiciliary Care Available:

**PCC**  
In Q4 2017 a domiciliary care provider entered into a Company Voluntary Agreement in order to restructure its financial arrangements. The company has continued to trade as normal and care being provided has to date been unaffected. In Q1 2018 this situation remains unchanged.

**DCS**  
Domiciliary Care Systems Thinking Intervention commenced in Q1 which has the potential to significantly improve how Domiciliary Care is provided in the city. The intervention has just completed the 'Check' (demand analysis) phase. Redesign will commence in Q2 subject to resource requirements.

In Q1 the Transformation Fund scheme to enhance the Community Independence Service commenced. Measures for success have been developed. A Team Manager commences at the end of August to recruit a team of ASC-employed care/support staff.

**Community SW and OT teams assessing in a timely manner:** work is underway to better understand and manage the demand at the ASC 'front door'. This will also fit with/be influenced by the Integrated Working Intervention which is looking at the front doors across services such as SW, OT, Physio and Nursing

### CHC

The Tier Mapping Model continues to be worked on with a review required of the level of funding for each tier.

The potential Solent NHS Trust in-patient bed to assess challenging behaviour continues to be discussed and other options of dealing with challenging behaviour including supportive living.

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Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Key function: Independence and Wellbeing</b>  (Independence & Wellbeing Objectives are grouped into 6 priority areas. Projects that the service is involved in fulfil varied objectives and KPIs in these 6 areas)							
<b>Supporting independence/ Reducing Social Isolation:</b>  Community Connector Project - supporting lonely and isolated people to access social opportunities within their local community						<b>Amber -</b> Project running effectively but waiting list in place due to high demand on the service.  Some issues in relation to capacity as a result of long term sickness and recruitment delays to cover maternity leave	<b>Stable as</b> project running effectively
Number of referrals		53					
Number of clients accessing the service		63					
Number of clients who had their goals met		(28 out of 36 clients)					

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<p><b>Health and Wellbeing:</b></p> <p>Men's Sheds Initiative</p>		<p>Data currently not collected for this project.</p> <p>Sheds at both the Stacey Centre and Portsea are at full capacity.</p> <p>New venue identified for Portsea shed at the historic dockyard.</p> <p>Gap in provision identified in the North of the city and suitable venue still to be found.</p>				<p><b>Amber</b></p>	<p><b>Stable.</b></p>
<p><b>Information and Advice:</b></p> <p>Development of a web based tool to facilitate easier access to health and social care information for practitioners and also the general public across the Portsmouth district.</p>	<p>Requirements for the I&amp;A tool have been discussed and agreed as part of the I&amp;A strategy partnership group and also via a range of consultation</p>	<p>Data currently not collected for this project, as not yet a live tool.</p> <p>Delays due to procurement issues. Will now be part of a more corporate wide initiative led by the</p>				<p><b>Red</b></p>	<p><b>Stable.</b></p> <p>Has been rated red due to decision to develop into a more corporate resource and the subsequent</p>

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	exercises with a wide range of stakeholders.	director Of communications and Voluntary sector, and new timelines will be developed. This will however result in a more sustainable model going forward.					impact on timelines
<b>Volunteers/Community Champions:</b>  Volunteer recruitment and retention programme to ensure the essential running of a range of IWT projects and services and to build on community capacity.	Full quota of volunteers actively supporting the various programmes of work.	Number of volunteers actively supporting the work of IWT: 42 Volunteers are now being actively recruited into two new projects in the city (GoodGym and Good Neighbours)				<b>Green</b>	<b>Stable</b>
<b>Training and Workforce Development:</b>  IWT work force development training offer	Extensive targeted workforce development programme offered - running effectively with consistently high uptake compared to previous years.					<b>Green</b>	<b>Stable</b>

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Total number of attendees receiving training & upskilling		174					
Number of ASC staff receiving training and upskilling		54 (+ 11 other professionals associated with ASC)					
Number of professionals in the wider workforce trained.		95					
Number of volunteers who received training and upskilling.		14					
Evaluation Satisfaction levels across all courses		90% (QA bench march 80%)					
<p><b>Support for ASC Day Centres and Residential Units:</b></p> <p>IWT are working with the management team from the dementia units to identify achievable and sustainable initiatives that will provide direct health and wellbeing benefits to the residents.</p>		<p>Time-limited piece of work, now complete (remove for next quarter).</p> <p>Objectives achieved.</p>				<b>Green</b>	<b>Complete</b>
<b>Commentary:</b>							



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### Key function: Carers' Services

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Collaborative working with NHS Colleagues</b>	<p>E-learning package is being actively used by PHT, Solent and PCC staff.</p> <p>Carers Service Staff are providing ongoing support to PHT and Solent to achieve their organisational goals concerning carers.</p>	<p>The Carers Working Group format is under review.</p> <p>Conversations continue with NHS partners to explore the new way of working strategically as part of the wider new models for working and integration, including for example fit with GP Hubs and awareness-raising at a strategic level.</p>				<b>Green</b>	<b>Stable</b>
<b>Review of the Carers Assessment process</b>	<p>Corporate intervention team working with the Carers Service to implement a</p>	<p>This is now complete. The New Carers Assessment process was rolled in</p>				<b>Green</b>	<b>Stable</b>

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	new Carers Assessment Process in the first half of 17/18.	<p>during the last quarter.</p> <p>Analysis of measures in the first quarter has demonstrated some teething problems with collection of data (plan now in place to remedy this).</p>					
<p><b>Better integrate carers assessment and support into the Adult Social Care 'front door'</b></p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 98</p>	Carers services and support are always pro-actively considered as part of the Adult Social Care assessment process	<p>Shared learning with Adult Social Care around understanding front door demand</p> <p>Joint assessments with Adult Social Care being piloted</p>					<p><b>Amber</b></p> <p><b>Improving</b> (due to joint working and experimentation)</p>
<p><b>Commentary:</b></p> <p>Plans for 2018/19 include reviewing and refocusing outreach and partnership work, and exploring potential for more joined up working with health and social care colleagues, including whether a carer's worker could be the lead professional for a couple/whole family (but considering the staffing structure and resources needed in this new way of working).</p>							

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### Key function: Learning Disability Services

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>DAY SERVICES</b>  <b>To create a range of Day Services that deliver key outcomes in the most cost effective way</b>	See commentary below	<p>The in-house provision now has its own OT and work is well underway in determining support pathways and outcome assumptions.</p> <p>A new provision, based upon developing skills for independence, is now available for a trial period.</p> <p>Field workers have been encouraged to have greater contact with providers in order to more effectively commission their services. This has had a positive effect.</p>				Amber (see commentary below)	
<b>TRANSITION</b>	Service has dedicated Transition	Continued work on clear protocols for children transitioning into adult				Amber	

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<p><b>A process of transition that engages health education and social care in focussing on key outcomes related to health, independence, work and social inclusion/relationships</b></p>	<p>Workers (The NDTi National Demonstration site role)</p> <p>Service is regional lead focussing on Education Health and Care Planning's delivery of key Preparing for Adulthood (PfA) outcomes</p>	<p>services. Also exploring needs of young people with autism. Work between LD, ASC services and wider agencies to establish partnership arrangements to ensure both LD and non LD young people have relevant transition processes/PfA outcomes identified.</p> <p>Focus on reviewing Education, Health and Care Plans (EHCPs) so that progress can be made to mapping these onto on-going deliverable outcomes as well as identifying gaps in the transition process.</p> <p>Continued work on redesign of the 'Local Offer'.</p>				<p>No funding available for transitional cases</p>	
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<p><b>HOUSING AND SUPPORT</b></p> <p><b>A range of Housing and Support options that promote independence, ownership and social inclusion while achieving economies</b></p>	<p>A profile of Supported Living /Res Care that is 2nd best (promoting SL) in the South East</p> <p>Savings through de-commissioning transfer from res care and contract negotiation that has delivered significant year on year savings.</p> <p>A framework of Supported Living providers that is struggling due difficulties around agreed hourly rates</p>	<p>Savings related to the opening of MW2 (specialist provision for 9 people) are being realised</p> <p>Set to close service's last large LD residential service (Eden House) and transfer its 9 residents into supported living properties (mainly into 3 x 4 bedded houses in Ivy Close). This will realise savings.</p> <p>Completing support provider framework tender process.</p> <p>Continuing to use the Care Funding Calculator (CFC) to realise savings. 2 services are under negotiation currently.</p>				<p><b>Amber - see commentary section below</b></p>	
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<p><b>RESPITE</b></p> <p><b>To develop alternatives to the one large residential care service that represents the main source of respite provision</b></p>	<p>Planning to move from a one stop shop to offer a menu of Respite services.</p> <p>Planned conversion of 2 houses to support emergency placements and provide for people who need a smaller quieter environment.</p> <p>Gig Buddies established in Portsmouth.</p>	<p>Adaption of 2 houses completed. CQC satisfied with environmental improvements but not increase in beds so will manage with existing levels for respite. Use of the Annexe has been further delayed due to need to use accommodation as crisis support.</p> <p>Continued use of Gig Buddies/volunteers.</p> <p>New manager now in post at Russetts which will enable a review of the service.</p> <p>Review of staffing structure underway that will both rationalise roles and clarify accountability.</p>				<p align="center"><b>Amber</b></p>	
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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

<p><b>INTEGRATED WORKING</b></p> <p>The Social Work and Health Teams will be fully integrated with overlap of roles, processes and responsibilities adapted to deliver key outcomes for service users in line with Statement of Purpose</p>	<p>Integrated team established - CQC rating 'Outstanding'.</p> <p>Single line management</p> <p>Named Worker system.</p> <p>Systems and practice in place to reflect asset based outcome focussed approach</p>	<p>72% of accommodated people are in supported living rather than residential (target = 60%).</p> <p>87% allocation of named workers.</p> <p>84% of annual reviews done within 12 months.</p> <p>High levels of positive user &amp; carer satisfaction.</p>				<p><b>Amber</b></p>	
<p><b>COLLABORATION</b></p> <p>The culture and practice of collaborative and genuine co-production is in evidence. Stakeholders are critically involved in planning and evaluation</p>	<p>Carer's newsletter published.</p> <p>All new contracts require that providers involve</p> <p>Carers and Service Users in Governance.</p>	<p>Carers' feedback remains positive.</p> <p>Users' satisfaction returns remain positive. People First Advocacy Group continued.</p> <p>Day Service Development Plan demonstrates collaborative approach to setting priorities.</p>				<p><b>Amber -</b> more structured linking in and out of Partnership Board</p> <p>Development of collaborative Quality Assurance mechanisms</p>	

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

	Housing and Support and day Service Provider fora in place.	Plan to hopefully involve carers in evaluation of tenders in relation to Supported Living Framework  Big Tent Event planned at Gunwharf for Oct with national partners to provide workshops, a market event, creative activity					
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**Commentary:**

**Day Services: Baseline 2018** - De-commissioned 66% of in house service. Re-commissioned services that focus on the 4 Preparing for Adulthood Outcomes Work / Health / Independence & Learning / Relationships and Community 'Block contracts' replaced with individual budgets. Introduction of a named worker for all service users. Movement from generic providers to providers with a focus on independence and personal development

The market is expanding markedly. **Amber rag-rating due to need to:** -establish equitable and sustainable funding arrangements - develop the market further but not over extend - continue to develop an outcome focus and develop ways of aggregating progress in outcome achievement -and further create non service solutions.

**Housing and Support:** A shift in landscape (shape and size of services) needs to be completed. Out of City placements need to be reduced. The Housing Strategy indicates that it will deliver up to £1.8m savings over 8 years.

NLW and associated pressures (e.g. employer pension contribution) is threatening to lead to market collapse.

**Respite:** the capacity to develop a range of services is limited by the fact that the service's funding is tied up in a residential respite service (Russets) that is part of a PFI arrangement. Need to reduce use of Independent Sector and deliver savings



## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function: Safeguarding Adults

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Local authority safeguarding functions to be located in one place</b></p>	<p>The Adult MASH (commenced in April 2015) has staff from the Adult MASH and the Children's MASH co-located in the Civic offices. This promotes a think family approach and ensures a timely coordinated approach where both adults and children may be at risk within one family.</p> <p>Co-location with the police also enables intelligence to be shared efficiently and</p>	<p>The Clinical Commissioning Group (CCG) has written a proposal regarding the input from Health into the Adult MASH. The proposal has been accepted by ASC so plan is to progress.</p> <p>This will need to address IT/governance and line management arrangements.</p>				Amber	Stable

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

	safeguarding plans can be agreed on a multi-agency basis.						
<b>Timely intervention in safeguarding</b>	Response times to concerns are not always in line with the Pan Hampshire Multi-Agency Adult Safeguarding Procedures.	A systems intervention was planned to review all areas of the Adult MASH to provide the required evidence to inform service improvements. This has been delayed due to the Domiciliary Care Intervention starting. A new timeframe for the safeguarding intervention has not yet been agreed.					<b>Amber</b>
<p><b>Commentary</b></p> <p>As above, a new timeframe for the safeguarding intervention has not yet been agreed. As a result work has not progressed to improve the way the Adult MASH manages work flow. Improvements have been made where it is clear what the issue is. However a systematic review will be needed to understand all the inter-dependencies and to reduce waste in the system. Progress will be made in Qtr 2 regarding testing the value of dedicated health resource in the Adult MASH.</p>							

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function: PCC-Owned Residential Care (3 residential units for clients with dementia)

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Employ a greater staffing capacity to care appropriately for residents.		Significant issues regarding recruitment and retention of residential care staff continue, and the recruitment plan aims to: <ul style="list-style-type: none"> <li>- Recruit 60 care home staff by December 2018.</li> <li>- Improve sentiment towards to caring careers from the benchmark by December 2018.</li> <li>- Host a recruitment event that attracts 30 attendees in June 2018.</li> <li>- Reach over 25,000 people from the target</li> </ul>				<b>Red</b> - there continue to be issues with recruitment, though the plans in place are expected have an impact.	<b>Stable</b>

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

		<p>audience through social media channels by December 2018.</p> <p>The long-term plan for financial sustainability is being developed as part of the wider ASC Strategy.</p>					
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 10 of 10</p> <p>Working with internal and external partners to devise creative options for activities and involve students in working creatively with residents.</p>		<p>ASC's programme for energising people around the idea of support for their care homes under the banner "Be There for Care" continues to do well. The project was nominated for an 'innovations' award in June.</p> <p>Plans to open a tearoom in Shearwater will be</p>				<b>Amber</b>	<b>Improving</b>

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

Page 109		<p>completed by the Autumn.</p> <p>Students from Ports University will be supporting residents in activities with the Tovertafel tables (which promote stimulation and interaction for people with dementia) and will be looking at the wellbeing effects this has with residents with dementia as part of their research, as these resources enable engagement and activity. Ground work has been completed to identify students and will start in Sep new term.</p>					
<b>Improve the physical environment of the home</b>		<p>ASC's turnaround team has continued its work to review the current PCC residential homes and plan and support the</p>				<p><b>Red - whilst the turnaround team work has been taking</b></p>	<p><b>Improving</b></p>

**APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING**

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 110</p>		<p>implementation of the changes that ensure CQC compliance and sustainable quality change, as detailed in the last quarter. This has included extensive work on care planning processes for residents.</p> <p>See results of recent CQC inspections in the commentary below.</p> <p>The turnaround team's other aim of ensuring the effective acquisition of an alternative provider for the provision of residential and nursing care within Harry Sotnick House was completed at the end of Q4. Hampshire County Council (HCC) was announced as</p>				<p>effect, the RAG rating will remain at red until CQC have revisited all of the relevant units and given feedback on the improvements.</p>	
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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

		<p>the provider and in Q1 this transition took place smoothly thanks to the detailed planning behind this transfer, with improvements being made at the home.</p>					
<p><b>Commentary</b></p> <p>Finance available for residential care homes is limited. Seeking volunteer efforts as described above increases a sense of community and is a way to help achieve without significant budget resource.</p> <p>Extensive work has been done by the turnaround team to improve standards in PCC's residential units resulting in:</p> <ul style="list-style-type: none"> <li>• Shearwater and Hilsea - both homes been re-inspected and gained a 'Requires improvement' rating from the Care Quality Commission (CQC) with elements of 'good' domains in 'Caring and responsive'.</li> <li>• Russetts has gained a 'requires improvement in Effective &amp; well-led' with 'Safe, caring &amp; responsive' rated as good. Report published 26/5/19</li> <li>• Edinburgh house was inspected on 23/25<sup>th</sup> July. No outcome yet (at time of writing this report). However the turnaround team were deployed to Edinburgh shortly before the inspection due to the issues around the leadership of the registered manager. This deployment was well received by CQC during their inspection.</li> </ul>							

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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### PUBLIC HEALTH

**Key function: Address the health effects of the built environment**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Improve air quality, targeting Air Quality Management Areas (AQMA) <ul style="list-style-type: none"> <li>- Support development of a Feasibility Study to achieve air quality compliance, as required by March 2018 Ministerial Directive</li> </ul>	Nitrogen dioxide (NO <sub>2</sub> ) monitoring indicates that levels in AQMA 6 exceeds the National Air Quality Objective (NAQO) levels:  Current annual mean (2016/7):  49.16 µg/m <sup>3</sup> to  43.09 µg/m <sup>3</sup> )  Target annual mean:  40 µg/m <sup>3</sup>	<b>Ongoing</b>					
Provide evidence and insight to the Air Quality Board							
<ul style="list-style-type: none"> <li>- Work with Transport and partners to implement findings of Feasibility Study</li> </ul>							
<ul style="list-style-type: none"> <li>- Support implementation of the Air Quality Action Plan</li> </ul>							
Contribute behavioural insights and evidence to initiative to improve air quality							



## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

		Ongoing					
Increase physical activity rates from current baseline with a focus on walking and cycling	2016/17: 66% adults physically active	Ongoing					
Provide evidence and behavioural insight to the Local Cycling and Walking Infrastructure Plan	N/A	Ongoing					
Provide support to the implementation of the Local Plan	N/A	Ongoing					

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function: Work in partnership with children's and families

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Ensure procurement / contractual options for health visiting and school nursing services are progressed	Contracts run until end June 2019	2019/20 budget discussion with the Leader of the Council which has proposed a way forward.				Green	
Scope and appraise procurement/contractual options to inform Council decision making processes	As above	N/A				N/A	
Secure agreement and proceed to implementation according to agreed timescale	As above	N/A				N/A	

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

Key function: Reduce harm caused by substance misuse

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Complete an audit of drug related deaths, including deaths due to prescription drugs	9.3 deaths per 100,000 (55 deaths) during 2014-2016 (significantly higher than England)	An audit of drug related deaths has been undertaken, however the final findings and presentation is yet to be delivered. This will be delivered to the Safer Portsmouth Partnership and the Clinical Commissioning Group in July 18.				Amber	
Provide Naloxone through pharmacies to prevent opiate overdose deaths	Project approved via the public health transformation fund	This project went live on the 18 <sup>th</sup> June 2018 in 8 pharmacies spread across the city. They have commenced distributing Naloxone				Green	

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function: Reduce suicide and self-harm in the city

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Delivering and coordinating the delivery of, actions within Portsmouth's Suicide Prevention Plan	13.3 deaths by suicide per 100,000 persons in 2014-16 (Portsmouth is significantly higher v 9.9 per 100,000 for England)	Partnership established, quarterly reporting timelines & processes agreed and complete					
Establish a self-harm sub-group, which reviews the findings of the self-harm needs assessment 2017, makes recommendations, and co-ordinates actions to deliver recommendations	Hospital admissions as a result of self-harm (10-24 years) 545.7 per 100,000 (Portsmouth is significantly higher v 404.6 per 100,000 for England)	Group established June 2018					

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function:

Reduce unwanted pregnancies by increasing access to Long-Acting Reversible Contraception (LARC) in general practice, maternity and abortion pathways, and strengthening LARC pathways with vulnerable groups

**Lead: Hannah Byrne**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Develop a Plan for increasing LARC uptake (jointly agreed with Solent and the CCG);  A. In primary care; B. In Termination of Pregnancy (ToP) services; C. In vulnerable groups (including Looked After Children (LAC), care leavers, and women who are at risk of or have had children taken into care).	Under 25's that choose LARC (excluding injections) at sexual and reproductive health services: 35.8% in 2016 (v 20.6% for England) (not able to determine whether better/worse than England)  Under 18 conception rate significantly higher than	Sexual health lead returning from maternity leave. Introduction back to work undertaken to inform project plans.  a) Taken to practice manager forum to identify practices who are looking to increase activity. Linking them with Solent training offer. Solent producing different promotional material which can be used by GP practices. Scoping also undertaken to inform improvements required as part of the EHC pharmacy locally commissioned service pathway. Student Health Needs Assessment completed, including a section on sexual health.				<b>GREEN</b>	

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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

	England 26.4 per 1,000 in 2016 (v 18.8 per 1,000 for England)	<p>b) Exploration of current ToP pathway. British Pregnancy Advisory Service (BPAS) are producing a proposal for CCGs to consider regarding pre-consultations regarding contraception.</p> <p>c) Scoping of opportunities to inform the project plan</p>					
Influence the new SHIP wide maternity specification to strengthen LARC advice, access and pathways within maternity services	Local maternity system transformation programme underway	Provided proactive input to CCG maternity commissioners who are leading this work for SHIP				<b>GREEN</b>	

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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### Key function: Reduce the prevalence of smoking in pregnancy

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Undertake a deep-dive to reduce smoking in pregnancy	Smoking status at time of delivery: 12.7% in 2016/17 for Portsmouth significantly higher v 10.7% for England	Made arrangements to lead a multi-agency smoking in pregnancy self-assessment				GREEN	

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### HOUSING, NEIGHBOURHOOD AND BUSINESS SERVICES

**Key function: Housing Management - To provide advice and support when needed, to enable people to solve problems and cope to stay in their homes**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. Rental Income - Rent Arrears	£1.3M	<b>£1.1M</b>				Green	Improving
2. Rental Income - Rent Arrears as a percentage of Gross Annual Debt (GAD)	1.73%	<b>1.47%</b>				Green	Improving
3. Voids Measure - Occupancy Rate	98.8%	<b>98.5%</b>				Green	Stable

**Commentary:**

**Objective 1:** The trend in the collection of current rent arrears remains positive.

**NOTES:**

The service is reviewing the collection of Former Tenancy Debt; this will be shown as a new measure in Q2.



## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

Key function: Repairs and Maintenance - The right repair at the right time							
Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. For all repairs undertaken by our repairs service providers, the percentage that were fixed first time.	83.8% (n.52,171)	<b>83.6%</b> (n.10,599)				Green	Stable
2. Repair service provider Customer Satisfaction (out of 10)	9.99	<b>9.98</b>				Green	Stable
3. Valid Fire Risk Assessments for Council Owned blocks six storeys and above (%)	100% (n.40/40)	<b>97.6%</b> (n.40/41)				Amber	Stable
4. Valid Fire Risk Assessments for Council Owned blocks five storeys and below (%)	99.8% (n.1058/1060)	<b>99.7%</b> (n. 1059/1062)				Green	Stable

**APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING**

5. Outstanding Fire Risk Assessment reviews for Council Owned blocks six storeys and above (%)	0% (n.0/40)	2.5% (n.1/41)				Amber	Stable
6. Outstanding Fire Risk Council Owned blocks five storeys and below (%)	0.1% (n.1/747)	1.5% (n.11/747)				Amber	Stable
7. Council Owned Legionella risk assessments in date (%)	98.1% (n.101/103)	99% (n.101/102)				Green	Stable
8. Council Dwelling Gas Safety Certificates in date	98.9% (n.13,122/13,268)	98.5% (n.13,113/13,310)				Green	Stable
9. Dwelling Electrical Safety Certificates in date	98.3% (n.14,293/14,540)	99.2% (n.14,430/14,550)				Green	Stable
10. Communal Electrical Safety Certificates in date	98.4% (n.779/792)	97.1% (n.768/786)				Amber	Stable

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

<b>11. Emergency Lighting Drop Test in date</b>	99.8% (n.487/488)	<b>96.4%</b> (n.482/500)				<b>A</b>	<b>Stable</b>
<b>12. Dry Riser Test in date</b>	100% (n.63/63)	<b>100%</b> (n.63/63)				<b>G</b>	<b>Stable</b>

**Commentary:**

- Objective 3:** The outstanding FRA relate to a new build scheme at Ivy Close (Hawthorn House). An FRA is planned as part of scheme handover.
- Objective 4:** The outstanding FRAs relate to a new build schemes at Ivy Close (Hornbeam House and Maple House). FRAs are planned as part of scheme handover. Further, a block at Locksway Road, whose ownership has recently changed, is now to be assessed.
- Objective 5:** The FRA Review of Pickwick House expired in May 2018 (This was completed on 24 May 2018)
- Objective 6:** 11 FRA Reviews, all for Northern Parade blocks, expired during June 2018. These were reviewed and uploaded in early July 2018.
- Objective 7:** The figure given is for a review of an existing risk assessment. One risk assessment, for 69 Goldsmith Avenue, is out of date but it is currently vacant.
- Objective 8:** Out of date certificates are as a result of failed access or new build schemes where stock data is being captured (i.e. 44 new dwellings in Ivy Close). Every opportunity is taken to gain access with court action used as and when necessary. All the out of date certificates are in the process of gaining access. Numbers are normally expected to rise slightly in the summer as this is the period when most safety inspections are completed as the demand for repairs to breakdowns is at its lowest.
- Objective 9:** Out of date certificates are as a result of failed access. Every opportunity is taken to gain access with court action used as and when necessary. All the out of date certificates are in the process of gaining access.
- Objective 10:** All of the properties that do not currently have an in date communal electrical certificate are subject to a refurbishment scheme being undertaken by the Building Projects Team. New certificates will be carried out as part of these works.
- Objective 11:** Outstanding tests have been caught up during July and only two remain outstanding both of which are currently void so do not require a test - 69 Goldsmith Avenue and the ESO office at Lords Court.

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

### NOTES:

**Objective 7:** In accordance with the legislation [Legionella Regulations - L8 Approved Code of Practice - The control of legionella bacteria in water systems] as an employer PCC has to complete and regularly review a risk assessment for all communal water installations. In accordance with the corporate PCC Legionella Policy the assessment period has been set at every three years, although this is not a legal requirement.

**Objective 8:** The Gas Safety (Installation and Use) Regulations 1998 requires Landlords to use a Gas Safe Registered contractor to ensure that each appliance flue and installation pipework [owned by the Landlord] is checked for safety within 12 months of being installed and at intervals of not more than 12 months since it was last checked for safety.

**Objective 9:** Electrical inspections to identify any works required are recommended to be undertaken every 10 years although this is not a legislative requirement, this measure identifies the number of dwellings where electrical certificates do not exceed 10 years as a percentage of all housing stock

**Objective 10:** This is not a legislative requirement but good practice in accordance with the IET Wiring Regulations - Fixed Electrical Wiring - Electrical Installation Condition Report - BS7671:2008 advises that communal areas should be tested every five years as a minimum.

**Objective 11:** This is not a legislative requirement but good practice in accordance with - Emergency lighting Testing - BS 5266: Part 8, 2004 (BS EN 50172: 2004) - Emergency Lighting Systems. The British Standard recommends that an annual test is carried out to ensure the back-up batteries used to energise the lighting in the event of a mains power failure last for a minimum of three hours. Most emergency light fittings have a green LED that shows when the battery is charging, such installations are checked monthly and repairs raised for any fittings which don't appear to be charging.

**Objective 12:** Dry risers are a pipework installation installed in taller buildings (commonly six stories and above) that the Fire and Rescue service connect their firefighting appliance to in the event of an emergency. This then makes water available to their hoses at a connection point on each floor.

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

Key function: Housing Options - Provide a suitable home when needed.							
Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. Households joining the Housing list. average per month	95.3	163				N/A	Stable
2. No of Properties let - all tenures average per month	80.6	79				Green	Stable
3. Number of households making a homelessness approach over the quarter	285	318				N/A	Increasing
4. Number of approaches judged intentionally homeless over the quarter	8	13				N/A	Stable
5. Number of legally required homeless decisions made following homeless approaches	139	192				Green	Increasing
<b>Commentary:</b>							

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## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

**Objective 1:** Although there appears to be an increase of 68 on the baseline in this Quarter it will be seen that Q2 from last year's report recorded 140 households joining the list and Q3 recorded 155, so Q4 (the baseline) is the outlier and we have therefore shown the trend as stable for this measure.

### NOTES:

**Objectives 3, 4 & 5** will be reviewed following the introduction of the Homeless Reduction Act. In Q2, we will report on the number of homeless approaches, homeless preventions, homeless relief and the number of statutory decisions made, this is in line with our duties as a Local Authority under the new Act.

**Objectives 1, 3 & 4** do not show a RAG rating - this is because these are records of the number of approaches made and are therefore not measures; the Directorate can have no impact on these figures as they just reflect the situation in households within the Portsmouth area, the data is included for information only.

## APPENDIX 2 - DIRECTORATE PERFORMANCE MONITORING

Key function: : Private Sector Housing - To enable a person to live in a safe environment, which meets their needs							
Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. The total number of private sector dwellings that were made safe for occupants to live in.	301	36				Green	Stable
2. Number of Disabled Facilities Grants works completed	152	36				Green	Stable

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**Commentary:**

**Objective 1:** Overall 101 inspections were undertaken, with works still being undertaken in a large number of properties.

**Objective 2:** There are currently 43 approved applications with works ongoing.

**NOTES:**

**Objective 1:** This can be defined as the removal of any significant defect that could affect the health, safety or welfare of any occupant over the next 12 months and includes fire safety, damp and mould or excess cold issues. This covers owner occupied, private rented and Houses in Multiple Occupation dwellings. The baseline of 301 refers to the Local Authority Housing Statistic produced for Ministry of Housing, Communities and Local Government.

**Objective 2:** The baseline of 152 refers to the approved completed number by the Better Care Fund board for 2017/18.

**Key function: Leasehold Services - The correct charge at the right time with help and support when needed**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. No of Leasehold Properties	2015	2020				N/A	

**Commentary:**

Additional measures related to the amount of leaseholder service charge income collected and the movement to full cost recovery will be ready for Q.2. This will provide more meaningful measures linked to the key function statement above.

**NOTES:**

**Objective 1:** The purpose of this information is to track the current number of Leasehold Properties. The Directorate cannot affect or impact on this number so it should be defined as a statement of the current position rather than as a measure, it is therefore intended for information only.

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**Key function: Dog Kennels - To meet the statutory requirement to accept and house all stray dogs and to ensure as many as possible are reunited with their owners, or given a suitable new home**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. Total number of Portsmouth dogs accepted	80	61				Green	Stable
2. % of stray dogs returned to their owner or rehomed	87.5%	95%				Green	Stable

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**Commentary:**

**Objective 1:** There has been a reduction in stray dogs since the previous quarter but a small increase on quarter 1 2017 (57 dogs received).

**Objective2:** There is an increase in dogs returned to owner or re-homed but that is also partly due to some dogs being carried across from the previous quarter.

**NOTES:**

There are no current concerns in relation to stray dogs in Portsmouth.

**Key function: Clean City Team - To help keep the city safe, clean and tidy and provide help and support where needed**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. Issuing of fixed penalty notices for littering	210 issued (52.5 per qtr)	75 for the qtr				Green	Improving
2. New demands per month - ASB	32 per month avg	70 per month				Amber	Deteriorating
3. New demands per month - Rough Sleepers	25 per month avg	27 per month				Amber	Stable
4. New Demands per month Drug related	14 per month avg	23 per month				Red	Deteriorating
5. New demands per month - Dog fouling	38.25 per month avg	21 per month				Green	Improving

**Commentary:**

**Objective 2:** This is a seasonal increase, due to lighter evenings, warmer weather, etc.

**Objective 3:** Work is continuing to address Rough Sleeper issues through Joint Agency working.

**Objective 4:** The Directorate has been mapping areas with high levels of drug litter, such as Public Conveniences and working with the Society of St James and Outreach to target users at these sites.

**Objective 5:** This is a seasonal reduction; incidents of dog fouling are less likely due to longer daylight periods.

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Key function: Waste Management (Collection and disposal) - To enable recycling and remove waste on the due collection day							
Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
1. To reduce the tonnage of bulky waste on LAH land	40.32 tonnes per month average	39.62 tonnes per month				Green	Improving
2. Refuse collection tonnage (avg per month)	3962tonnes avg per month	4071				Amber	Stable
3. Recycling tonnage (avg per month)	692 tonnes avg per month	685				Amber	Stable
4. PCC recycling contamination rate	11.2%	14.25%				Red	Deteriorating
5. Number of members of the Green waste club	7961	8283				Green	Improving
6. PCC recycling rate	24.7%	24.8%				Amber	Improving

<b>7. Fly Tipping</b>	23.86 tonnes avg per month	<b>27.61 tonnes avg per month</b>				<b>Green</b>	<b>Improving</b>
<b>8. Bin Collection (misses)</b>	13 per day (avg)	<b>17 per day (avg)</b>				<b>Amber</b>	<b>Stable</b>

**Commentary:**

**Objective 1:** Amount of bulky waste is stable - seasonally higher in Summer months

**Objective 3:** Reduction in recycling national trend - loss of paper quantity and light weighting of packaging,

**Objective 4:** Contamination checks are carried out on each recycling round vehicle and the contents examined to determine the levels of contamination. Contamination rates are increasing Hampshire wide so this is not purely a Portsmouth issue. Additional training has been provided for crews to carry out additional checks to try and address the issues. There will also be a communication included in the wheeled bin roll out to remind residents of what they can recycle.

**Objective 7:** Fly tip tonnage usually higher in Q1 and Q2, bin misses up due to 1 x vehicle breakdown which happened on a Monday and affected collections until Wednesday of that week

**Objective 8:** The increase in Bin Collection (misses) was as a result of a vehicle breakdown which led to delays to 2 rounds. All collections were caught up by the end of that week but the daily average has been affected as a result.

**REGENERATION**

**Key function: Transport and Environment**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Delivery of the 2018/19 Local Transport Schemes to improve the transport network and road safety (LTP3)</b>  Page 133	Planned capital programme for 2018-19 consisting of 38 schemes.	The programme is phased in accordance with staff resources to address highest priorities and where best value can be gained through coordination with lifecycle works by Ensign.  10 of the schemes are in scoping, feasibility, and consultation stage.  9 are at the design stage.  8 are under construction and 3 are complete.  8 projects are scheduled to begin later in the year.				Amber	Stable

<p><b>Highway alterations carried out by private developers and other non-Highway Authority bodies meet the standards of the Highways Authority</b></p>	<p>Demand led work determined by the rate of development in the city that affects the highway.</p>	<p>8 schemes were satisfactorily completed and under maintenance. 3 schemes are currently on site.</p> <p>2 schemes have had their designs approved and are ready to commence. 6 schemes now require design check input.</p>				Green	Stable
<p><b>Maintenance and where possible, improving journey times on key routes in the city.</b></p>	<p>Monitoring data is now available for the Eastern Road route. Further routes are planned for installation.</p>	<p>Average journey times on both of the West and East Corridors in and out of the city have remained stable at under 7.5 minutes.</p>				Green	Stable
<p><b>Delivery of the Air Quality Action Plan</b></p>	<p>New objective. The main focus will be on transport schemes but will include schemes from the City Development, Public</p>	<p>Consultation with key stakeholders is underway for the development of the action plan. A Targeted Feasibility Study was procured for Air Quality Management Area 6</p>				Green	Stable

	Health and Energy services.	(London Road/Kingston Road). Full consultation on the plan will begin in Q3.					
<b>Delivery of targeted accident prevention and traffic safety campaigns.</b>	Road Safety and Active Travel programme for 2018-19.	<p>The following projects were delivered in Q1:</p> <p>Highway works to improve road safety at 3 school sites.</p> <p>Banners are now displayed to keep school Zig-zag areas clear.</p> <p>Our film launched to promote child car seat safety has had 350+ views, followed by 11 requests for free car seat checks.</p> <p>Walk to School Week assemblies for around 1,500 pupils.</p> <p>General road safety assemblies for a further 200 pupils.</p> <p>Mode shift training for teachers.</p> <p>Road safety training for 930 secondary school pupils.</p>				Green	Stable

		Attended the Junior Road Safety Officer events with 50 JRSOs.				Green	Stable
<b>Implement the Local Cycle and Walking and Investment plan (LCWIP).</b>	New objective	Data collection completed and preparation for Stakeholder Mapping on 1 <sup>st</sup> August 2018.				Green	Stable
<b>Increase the use of off street managed car parks</b>	Improvements to key car parks had increased use of these sites.	All off-street car parks have been inspected. Possible improvements, including targeted marketing, are being reviewed.				Green	Stable
<b>Enforcement of residents' parking zones to increase space for residents</b>	New objective	A review of patrol routes is underway to improve the efficiency and effectiveness of parking enforcement.				Green	Stable
<b>Increase the deterrent against abandoning vehicles.</b>	New objective	So far action has been taken against people who abandon vehicles, resulting in them paying five penalty notices. Four more people are under investigation.				Green	Improving



**Commentary:**

Delivery of the 2018/19 Local Transport Schemes to improve the transport network and road safety (LTP3) has resource issues due to staff turnover. In mitigation the focus will be on priority projects whilst recruitment of new resources is underway.

Improvements have been made to the traffic network to keep traffic moving and reduce journey times to a minimum. These include Improvements to a number of signalised junctions; installing new Variable Message Signs to provide better information to drivers; scheduling major roadworks for overnight, e.g. Anglesea Road, to minimise disruption; and collaborating with Colas to provide a faster response to network incidents, e.g. Station Street and Queen Street closures. These complement the many road safety and active travel initiatives delivered this quarter and the Air Quality Action Plan to enable safe and sustainable travel.

The Highways Design team work with developers of sites in the city to ensure that works that impact the highway meet Highways Authority standards. This team has experienced an increase in work in recent years due to the pace of development in the city. Team resources are constantly reviewed to ensure that there are adequate resources to meet demand.

The two new objectives for parking reflect the concerns of residents to ensure that restrictions on the Highway are enforced effectively.

**Key function: Economic growth, Employment and Business Support**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Increased business survival by providing businesses with targeted business support</b>	87.9% survival at 12 months. Start-up rate of 16.9%,	Figures will remain the same this quarter until we receive the next set of data.				N/A	N/A
<b>Completion of the new Economic Development and Regeneration Strategy</b>	New objective	The Issues and opportunities survey was launched and the evidence base was commissioned.  1 to 1 business consultations are underway.				N/A	N/A
<b>Commercial success of the Enterprise Centres, measured through occupancy levels and income.</b>	Occupancy rates - 88-89%.	Occupancy rates remain at 88-89%. Income is on target.				Green	Stable
<b>Successful delivery of all Employment, Learning and</b>	Number of people supported to gain	Employment and Training Contracts continue to achieve Minimum				G	Stable

<b>Skills Service (ELS) programmes and contracts.</b>	skills and move into employment.	Performance Levels and are maintaining quality assurance.  The Construction Training Facility at PCMI is undergoing expansion plans due to a demand for construction workers.					
<b>Growth of apprenticeships provided within the Council delivered by the ELS</b>	Number of apprentices supported by the ELS.	Numbers are steadily increasing from approx. starts 24 per academic year to 38 for this year.				G	Stable

**Commentary:** The new Economic Development and Regeneration Strategy will involve consultation with a wide range of stakeholders and reflect Portsmouth's current and future business environment.

The Enterprise centres remain popular with small businesses. We have installed high speed business broadband bringing high quality digital and telephony services to the centres. We have engaged with the new government gigabit scheme to enable all businesses within the centres to access funding to receive this new service.

The Employment Learning and Skills (ELS) service rely on achieving good outcomes to continue to secure funding the deliver services to local people. Bidding for new contracts is underway and the service is expecting awards for the next financial year.

The ELS service provides Business and Administration and Customer Service apprenticeships. This area of activity is steadily increasing but is dependent on the demand for apprentices from both the City Council and other organisations.

**Key function: Property management and City Development**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Review the investment property portfolio, and pursue additional investment opportunities, to increase revenue and capital receipts.</b></p>	<p>New objective</p>	<p>An extra £145,000 income was generated in Q1. Rationalisation of the Asset List documentation is continuing to improve the administration of the asset portfolio.</p>				<p align="center">Green</p>	<p align="center">Stable</p>
<p><b>Investment of circa £173 million capital in property assets to create financial return.</b></p>	<p>£146M committed. 12 properties purchased. Portsmouth Retail Park opened to the public.</p>	<p>A number of investment opportunities have been identified and pursued. The outcomes of this process will be</p>				<p align="center">Amber</p>	<p align="center">Stable</p>

		fulfilled in a later quarter.					
<b>Ensure that Planning applications dealt with in national standard timeframes: major applications (target 60%).</b>	82% at end of 2017-18.	100% were dealt with within the national standard timeframes in Q1.				Green	Improving
<b>Ensure that Planning applications dealt with in national standard timeframes: other decisions (target 70%)</b>	70% at end of 2017-18.	84% were dealt with within the national standard timeframes in Q1.				Green	Improving
<b>Prepare the new Local Plan for the period until 2036 and bring it forwards in accordance with</b>	Draft Local Plan to be submitted by December 2018.	Planning is underway for Consultation on the options identified for the				Amber	Stable

<p>the agreed timetable.</p>		<p>Tipner Super Peninsula.</p> <p>New Government guidance has been published setting out additional responsibilities for local plans which is being incorporated in the new Local Plan.</p> <p>Technical work for the plan is underway.</p>					
<p><b>Building Regulation applications to be either approved or assessed and customers contacted and response to notices of</b></p>	<p>100% within 15 working days. Outcome for 2017 was 87%</p>	<p>91% of applications were dealt with within 15 working days.</p>				<p>Amber</p>	<p>Improving</p>

demolition within 15 working days.								
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**Commentary**

The extra £145,000 income generated from the property is the result of reviewing rents and granting new leases. This is an ongoing process that will raise overall income by the end of the year.

Excellent first quarter results have been achieved for dealing with planning applications, including 100% on major applications, well within the Ministry of Housing, Communities and Local Government special measures targets. We will be challenged to retain this performance next quarter due to the loss of key personnel (who will be replaced) and the current high volume of applications.

The number Building Control applications that are being processed within the target time has increased. The team is currently employing business improvement methodologies to continue this trend.

**CULTURE AND CITY DEVELOPMENT**

**Key function: Libraries and Archives**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Sustain Reading Total Loans/issues</b> To be in line with National trends and achievement would be to sustain	495,495 total was 14% less than previous year.	<p align="center"><b>115,974</b></p>				<p align="center"><b>Amber</b></p>	<p align="center"><b>Stable</b></p>
<b>Information enquiries</b> Shows the increasing complexity of issues/support for more vulnerable users	143,520 26% increase in previous year	<p align="center"><b>Stats provided in Q4</b></p>				<p align="center"><b>Amber</b></p>	<p align="center"><b>Stable</b></p>
<b>Digital: use of Peoples network</b> To sustain 2017/18 figure as equipment needs capital investment	83,330	<p align="center"><b>20,947</b></p>				<p align="center"><b>Green</b></p>	<p align="center"><b>Improving</b></p>

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and more robust tech support							
<b>Cultural:</b> Bookfest participants Target is to return to 2017 figures	945 ( <b>600 in 2018</b> )	<b>Stats provided in Q4</b>				<b>Amber</b>	n/a
<b>Children Promise: Summer Reading Challenge</b> : 5% growth target for 2019 total is 3151	3,0001 in 2018 . 5% growth target for 2019 total is 3151	<b>Stats provided in Q2</b>				<b>Green</b>	n/a

**Commentary:**

Physical issues are available quarterly and virtual visits are available end of the year so separate totals will be shown, however the engagement is interrelated and analysis will be together at the year end .

Stats for *Reading Total Loans/issues* is below target but is often the case for first quarter. The school holidays and ban on library fines should positively impact on loan figures for Q2

**Key function: Libraries and Archives**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Continue to Increase virtual visits by 5% from 2015 to 2018 to 5% annually  Page 146	Virtual Issues 62,004  Virtual enquiry 51,982  Total 113,986  Target is to increase by 5% as provision of a new more accessible website in 2018/19. Target :114,555	Target is to increase by 5%  Target to be provided in Q4				Amber	Stable
Retain 891k physical visits	Sustain target last year not achieved 891,449 which was 9% less than previous	Sustain the target  Total to be provided in Q4				Amber	Stable

	year and reflects a service which has not closed any poorly performing sites						
<b>Retain SLS traded service buy back</b>	Sustain 98% Buy back	<b>Total will be provided in Q4</b>				<b>Amber</b>	<b>Stable</b>
<b>SLS Reader development participants</b>							
<b>Total volunteer numbers and hours - libraries and archives - target 5% increase</b>	292 volunteers and 18,941 hours in 2017/18	<b>Stats to be provided in Q4</b>				<b>Amber</b>	<b>Stable</b>
<b>Commentary:</b>							
The culture and city development directorate has an overall volunteer figure but a volunteer KPI has been added for Library as a separate figure. This is to reflect the level of volunteering in the service and the consequent management of these numbers							

**Key function: Events and Sponsorship**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Support Tourism and the visitor economy strategy Number of event applications processed	2017 : 173 Target : 180	Q1: 66				Green	Stable
Support Tourism and the visitor economy strategy Number of events supported	2017 baseline: 482 2018 target : 500	<b>Q1: 240</b>				Green	Improving
Support formal and informally learning and the twining objectives	2017 baseline :2 2018 target : to sustain	1 x French international supported for 1 month				Green	Improving
Complete and gain member agreement for events and sponsorship policy with action plan	None	Recruitment of new post : event and sponsorship manager				Amber	Stable

**Commentary** : Target is misleading for number of events applications process as this stat reflect workload more than a target ( as this is dependent on community groups )

-Measure of 1 event supported is 1 x 4 hour period

## Museums and Visitor Services

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Continue to deliver the 5 year transformation of the D-Day Museum in– start work on site ( now May 17; new museum open revised date Easter 2018)	Opening May 2018 Programming targets	<b>Please see below</b>					
<b>Sustain visitor numbers 300,000 across all museums</b> (262,720 in 2017 )	Total is to improve on 300,000 across all sites by increase of D Day visits of 5% as all sites are open in 2018 to 2019	<b>100,848K</b>				Green	Increasing
<b>To achieve increased D-Day Story income targets as part of project match funding</b>	Annual target is £396,440	<b>Target Q1 £105,000</b>  Q1 was £101,102	<b>Target Q2 £111,500</b>	<b>Target Q3 £92,100</b>	<b>Target Q4 87,840</b>	Green	Stable

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<b>Target of number of passes sold ( which encourages repeats visits)</b>	Target is 1,200 passes annually	<b>Target : 500</b>  <b>Q1 : 526</b>	<b>Target :250</b>	<b>Target :225</b>	<b>Target 225</b>	Green	Increasing
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**Commentary:**

Post Visit Upgrades for the annual passes have proved more popular than annual passes on the day as they can be purchased any time after they have left the desk with their original ticket. This is a positive reflection on the visitor experience at the D-Day Story .

Overall visitor figures are increased significantly as 23,000 plus visited D- Day Story . Cumberland House also had an increase of over 10,000 visits in the first quarter

**Key function: Parks and Open Spaces**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Provision of new premises for council and contractor staff to accommodate vehicles, workshop and storage</b>	Currently operating at several satellite sites and long term premises solution to be confirmed.	Adjacent lorry park lease amended to allow all buildings to be demolished. Property Team to be engaged to assist with demolition process.				Red	Stable
<b>Develop options for community-based management model to involve local community's and opportunities for real localism.</b>	Friends groups: - Rock Gardens - Baffin's Pond Association - Milton Park Volunteer groups: - Portsdown Hill - Hilsea Lines - Waterfront Garden Centre	Identified need to increase Friends numbers at Milton Park. Parks and Ward Cllr to action.  Potential new groups to form at Kingston Park (with Fratton Big Local) and Bransbury Park.  Volunteer groups: Portsdown Hill - 1,528 hrs				Green	Improving

		<p>Hilsea Lines - 1,190 hrs</p> <p>Waterfront Garden Centre - 8 regular volunteers (385 hours) and 10 supported volunteers (84 days attendance)</p>					
<p><b>Provide an effective and efficient service providing VFM</b></p> <p>Page 152</p>	<p>Review in-house grounds maintenance operations following 18 months of operation</p> <p>Monitor contracted services and review arrangements when opportunity arises</p>	<p>Consultation commenced on proposal to change staff responsibilities, the way in which the service is delivered and from which location, roles required and lines of reporting.</p> <p>Arboricultural contract has been extended to Mar '19 while soft-market testing has commenced to determine whether to 'make or buy' future service provision.</p> <p>Meetings with Tivoli (formerly ISS) to discuss</p>					<p>Green</p> <p>Improving</p>



	Develop existing waterfront garden centre to become cost neutral	<p>future contractual relationship. To be further reviewed in September.</p> <p>Increased number of supported volunteers and engagement with Adult Social Care for further referrals. Increase in plant sales for Q1, due to trading in peak spring sales period</p>					
<p><b>Provide high quality open spaces that are safe to visit</b></p> <p>Page 153</p>	<p>Work with cross-service group to commence handback of Paulsgrove Landfill site from Veolia</p> <p>Plant a replacement tree when an existing tree is removed for</p>	<p>Group establishing background information prior to engaging with Veolia, with handback protocol to target public access in Spring 2020.</p> <p>104 planted in 2017-18 planting season. Sites being identified prior to new planting season.</p>				Green	Improving

	<p>reasons of safety or decay</p> <p>Urban Meadows - increase wildflower areas across the city</p>	<p>52 beds sown with an area of 2,420m2. City council now seeking additional areas through revised memorial donation scheme.</p>					
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**Key function: Visitor services**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Increase overall visitor numbers by 5% (target 9.7 million visitors) by 2019 <sup>1</sup>	2015 baseline 9,437M	Update the visitor marketing strategy and action plan 2017 to 2020 and plan budgets / resources/ campaigns / partners. Take forward the action plan for member agreement to PRED and take forward key priorities with partners				Green	Stable
Develop a digital marketing strategy to meet consumer demands	None	The focus is on revenue generation through banner advertising. Sales proposals prepared for large-scale destination partners. Setting website targets and considering relevant				Green	Stable

		measures for helping achieve them (SEO and paid search)					
To commission bi-annual qualitative and quantitative research to track visitor perceptions and changes in visitor profiles		Develop options for appraisal in Q2 following research, benchmarking and analysis				Red	Stable
To commission new data partner to conduct survey and analyse visitor numbers following change in TSE methodology	TSE visitor survey	Develop options for appraisal in Q2 following research, benchmarking and analysis				Red	Stable

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**Key function: Registrars and Coroners**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Achieve 100% birth registrations with 5 working days	Achieved 100% appointment availability	data Q4				Green	Stable
Achieve 100% still birth registrations with 5 working days	Achieved 100% appointment availability	data Q4				Green	Stable
Achieve 100% registrations of death within 2 working days of appointment request	Achieved 100% appointment availability. However Bereavement Services Manager to address the late signing of MCCD's by Doctors and the delay in the issue of the MCCD to the relatives of the deceased	data Q4				Green	Stable

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Achieve 100% declaration of marriage and civil partnership within 10 working days of appointment request	100% achieved appointment availability	data Q4				Green	Stable
Customer satisfaction with registrars service	100% achieved	data Q4				Green	Stable
Achieve timeliness targets for inquest for those cases that take over 1 year	Improvement on 2017 figures achieved. 2017 14 cases more than one year. 2018 9 such cases.	data Q4				Green	Stable

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**Key function: Seafront Services**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Support Seafront business economy and encourage start ups  Offer new concession sites out for business opportunities	3 start-up businesses: total of 19 weeks of trading. 3 concessions :car boot programme 3 business awarded general concessions for summer season  Target 2018 to sustain as Above	Preparing contracts for intend and publish with pop up opportunities. 2 x catering and 1 retail Contacts awarded.  Preparing contracts for intend and post with car boot opportunities. contracts awarded  4 New opportunities on intend for Bandstand/ Duisberg way / College Park/ Hilsea lido. 1 awarded				<b>Green</b>	<b>Stable</b>

Develop key heritage sites for sustainable modern usage	Review of Lumps Fort material undertaken and market stimulation document to be redrafted to generate a better response to the offer	Document was not ready to publish Q1 as planned but will be published Q2				Amber	Deteriorating
Support the coastal defence team in consultation period of 2018 /19	Attended monthly project team meeting and provide and disseminate information to services	Weekly update meetings now established - Attendance at monthly Business consultation meetings April to June and engagement with wider staff teams and 121 direct sessions				Amber	Stable
Reduce crime and Fear of Crime along the seafront	CCTV Lighting Diversionary activities Partnership working Building maintenance	<b>CCTV</b> : Hotwalls mobile agreed to be installed Q2 <b>Lighting</b> : Replacement of catenary wire, festoon lights and 80 lamps on the				Amber	Stable



		<p>promenade and Avenue de Caen. Replacement of catenary wire, festoon lights and transformer on promenade by Blue Reef</p> <p>And catenary wire, festoon lights and 4 timer clocks at Southsea Esplanade/Clarence Esplanade/Avenue de Caen</p> <p><b>Capital Bids :</b> 50 k capital bid for LF beach huts spec is confirmed and will publish in for tender Q2</p> <p><b>Edwardian Shelters</b> restorations: 2 complete and one in progress at Speakers Corner</p>					
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		<p><b>Seafront maintenance :</b> agreed spec and sources new BBQ bins</p> <p><b>Splashpool :</b> plans and wet pour maintenance completed</p>					
Review byelaws and review and simplify layers of restriction	The <b>dog control</b> changes with the new PSPO will be agreed by members in October 2018 Signage being developed for installation	Consultation process completed and report being prepared for Q2				<b>Amber</b>	<b>Stable</b>
Improve accessibility for those with mobility difficulties regarding access to the beach	£20k capital bid secured to develop offer	-Hire service of mobility wheelchairs through seafront delivery partner challenging to locate right site and right partner. Decided on second access location , quotes				<b>Amber</b>	<b>Stable</b>

		completed and materials sourced for installation in Q2					
Successfully develop and curate the Hotwalls studio site and operational model as a visitor destination and creative hub		<p><b>Strategic :</b>          Preparing the business plan to be agreed by members in November on lease/ rental model/ type of tenancy/ income targets/</p> <p>Visitor destination actions events programming</p> <p><b>Budget</b>          :management of site to be within revenue budget and build income targets</p> <p><b>Events held : 1</b></p>				Green	Improving

		<p><b>Round tower events : 3</b></p> <p><b>Start up Business Supported :16</b></p> <p><b>Facilities challenges:</b></p> <ul style="list-style-type: none"><li>-Make safe electrical room with capital bid by Q2</li><li>-explore options for new alarm system</li><li>- usage of Round Tower to increase dry area</li><li>-convert small casemate into</li></ul>					
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		Office and information					
		<b>Visitor numbers</b> 8% increase : 140,000					

**Commentary:** Pop up catering successful but limited response for the retail opportunity at Hovertravel . This will now be seasonal VIS kiosk in the summer

**Key function: Environmental Health and Trading standards**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Food Hygiene:</b> Monitor the "standard" of food businesses in respect to their food hygiene rating score and risk class  Page 166	Manage the planned inspection programme to achieve a 100% inspection rate for higher risk Category A, B and non-compliant C premises that are due an intervention during the year.	Preparation the Food safety Operating Plan 2018/19 to be agreed by members at cabinet in Q2 and priorities and KPI to be agreed				Amber	Stable
<b>Port Health:</b> Monitor the implications of Brexit upon port health operations and report upon service implications	Update from Government not yet received	BAU until update received				Red	Stable
<b>Pest Control:</b> Exceed target income of £160,000	£188k achieved 2017	Q1 actual £38,341				Green	Stable

<p><b>Community Funerals:</b> Monitor the demand for service, expenditure upon funerals and % of costs recovered</p>		<p>-35 community funeral -At &amp; 15% cost recovery</p>				Green	n/a
<p><b>Air Quality:</b> Report upon air pollution levels and provide a narrative in respect to compliance with governmental requirements / targets</p>	<p>Implementation of DEFRA's appraisal recommendations in respect to 2017 ASR in the shortest possible timeframe</p>	<p>Preparation of the Assessment of Air Quality - Annual Statement Report 2018 for member agreement at the Environment and Community Safety Portfolio Decision Meeting in Q2</p>				Amber	Stable
<p><b>Pollution Control:</b> Report upon service demand and resolution times in respect to statutory nuisance</p>		<p>Service demand is just over 1,000 complaints received Q1. 700 closed as of today's date</p>				Amber	Stable
<p><b>Trading Standards:</b> Monitor demand for services, report upon the number of investigations and disposals in key areas</p>		<p>28 investigations are in process  1,800 service request received through CAB</p>				Amber	Stable

<p><b>Alcohol and tobacco harm:</b> Report upon interventions initiated to reduce harm</p>		<p>Reviews and prosecutions : April review of Premises Licence for Premier/Sevendays in Osborne Road - licence revoked. Media coverage. Appeal hearing in Magistrates Court Q2</p> <p>1 illegal tobacco prosecution ongoing, tobacco tested for Nicotine, Carbon Monoxide and Ignition Propensity hearing in Magistrates Court Q2</p> <p>Booked Search Dog Roadshows for Thurs 26<sup>th</sup> and Fri 27<sup>th</sup> July for</p> <p>Volunteered for TSSE project to inspect storage facilities for illegal tobacco</p>				Amber	Stable
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**Commentary :** Maintaining high quality food is essential. Not only because of the health benefits but because food shapes our street scene environment, underpins our economy, helps build resilient communities and is at the heart of our culture

and society . Resources are considered to be critical when considering the minimum requirements currently prescribed by the government. Furthermore we predict that as we begin to implement the ROF programme the situation may deteriorate further. Public confidence in food is vital for Portsmouth and the Council must continue to ensure that the FSS is suitably resourced to ensure that all food in Portsmouth is safe for consumption.

As regards Air quality The additional costs of increasing sampling required to deliver monitoring information in line with DEFRA's appraisal of the 2017 ASR will likewise be need to be found from existing budgets. These costs will place additional pressures upon the funding allocated to Regulatory Services to carry out their statutory obligations.

### Key function: Sports and Leisure Facilities Development

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Page 169 Increase use of councils contracted sports facilities	<b>Number of visitors</b> Baseline:1,703,351  Target : 1,788,518						
Complete the PSPO's which replace the dog orders .Complete consultation and obtain member approval in Quarter 3.	Full consultation completed with police and crime commission , kennel club and the public	Draft document for cabinet decision	Document to go to cabinet briefing	Report agreed and implementation of changes to signage		A	S
Complete the cemeteries strategy	Research and analysis plus consultation	Preparing draft , research and options for Member decision Q3				R	D

<p>Installation of water safety and signage throughout the island <b>to ensure</b> a consistent approach to water safety - and extension safety signage across all public open spaces areas for which the council is responsible</p>	<p>Audit report completed with assurances and recommendations. A small annual sum identified corporately to address the water safety signage assessments and installation costs</p>	<p>£10k virements agreed and remained of funding required to be identified though service integration opportunities into a PCC service with city wide resource and transport The additional resource to carry out the monthly inspections and maintenance to be explored</p>				Amber	Deteriorating
<p>Develop options appraisal for the Eastney swimming pool site</p>		<p>Research and benchmarking and options appraisal being developed</p>				Red	Stable
<p>Develop a volunteer programme to be in place and running events by end of March 2019.</p>	<p>Baseline :Opening days 2017/18 Target :Opening days 2018 /19</p>	<p>Volunteer meetings held and discussion on programme and resourcing for the year.</p>				Amber	Stable

**COMMUNITY AND COMMUNICATIONS**

**Key Priority: Maximising Income and Revenue**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Council Tax in-year collection rate</b></p> <p>Maintaining performance at 95% will firmly demonstrate that recovery performance has been sustained following the changes to council tax support in 2017/18</p>	95%.	Q1 2018/19 in year collection is 28.19%, and though broadly comparable to 2017/18 is 0.22% below that achieved in Q1 2017/18.				Amber	Stable
<p><b>Business Rates in-year collection rate</b></p> <p>Maintaining in year collection at 99% will firmly demonstrate that recovery performance has been sustained following the implementation of the 2017/18 rating list (the</p>	99%.	Q1 2018/19 in year collection is 35.01%, and is 2.52% improved on the 32.49% collection achieved at the close of Q1 2017/18.				Green	Stable

first revaluation since 2010/11)							
<b>Housing Benefit subsidy received in respect of rent rebates and rent allowances.</b> This metric details the level of subsidy accrued in respect of housing benefit expenditure associated with local authority stock (rent rebates) and private sector stock (rent allowances)	£95,085,000. Forecasted subsidy and associated expenditure is anticipated to reduce in 2018/19 compared to 2017/18, most significantly as a result of full service roll out of universal credit.	The level of subsidy recovery at the end of q1 is £27,501,862, 0.37% above the level of subsidy recovery achieved in 2017/18.				<b>Green</b>	<b>Stable</b>
<b>Discretionary Housing Payment (DHP) expenditure.</b>  DHP is additional support available to Housing Benefit/Universal Credit recipients to	£650,000. This is the ring-fenced grant from the Department for Work and Pensions.	£158,773 has been paid in Q1 with a further £109,538 committed to be paid. Total Q1 awards are £268,311.				<b>Green</b>	<b>Stable</b>

assist with short term housing costs above that provided by Housing Benefit/Housing costs element of Universal Credit.							
<p><b>Level of council tax prior year arrears.</b></p> <p>This metric details the total value of council tax outstanding relating to all years up to and including 2017/18.</p>	TBC	<p>£10,992,563 outstanding at the end of Q1. This has reduced from £11,583,354 brought forward into 2018/19. £10,992,563 represents 0.88% of the collectable debit relating to this period up to and including 2017/18.</p>				Green	Stable
<p><b>Level of business rates outstanding</b></p> <p>This metric details the total value of business rates outstanding relating to all years up to and including 2017/18.</p>	TBC	<p>£3,211,328 outstanding at the end of Q1. This brings the prior year arrears figure to a typical result, following unusual year end variances caused by the deletion of a large MOD property from</p>				Green	Stable

		the rating list. £3,211,328 represents 0.22% of the collectable debit relating to the period up to and including 2017/18.					
<b>Level of outstanding housing benefit debt</b>  This metric relates to the total value of outstanding housing benefit debt.	£9,200,000	£8,984,715 outstanding at the end of Q1. This has reduced from £9,202,922 brought forward into 2018/19.				Green	Improving
<b>Port Creative / Design</b>  The graphic design studio is 100% self-financing and has an income target of £145,600. Marketing and communications and digital customer experience is part-funded by income, generated through the Port Creative agency, which has an external income target of £53,600.	£199,200	Graphic design generated £35,087 of internal income in Q1.  Port Creative generated £26,586 of external income in Q1.				Green	Improving

**Commentary:**

Council Tax / Business Rates Collection

Collection of council tax and business rates are broadly comparable to last year, and our assessment of performance so far, is that collection remains stable. Whilst council tax collection is reduced on the equivalent period in 2017/18, there is a continuing trend of residents choosing to spread their instalments over 12 months, as opposed to the more traditional 10 month instalment plan. Similarly with collection of business rates, it is important to not make too many assumptions regarding the improvement in comparison to 2017/18 as the quarter end position can be significantly influenced by a ratepayer with a large rateable assessment paying at a different point in the year. More generally it is too early in the billing and recovery cycle to draw too many conclusions regarding recovery trend, however we remain satisfied that despite the changes introduced last year to the local council tax support scheme, and the changes to business rates following the revaluation of the rating list, that collection continues to be stable.

A review of central debt recovery (the enforcement stages of the recovery process) is anticipated in further driving forward in year collection, whilst ensuring support through pragmatic payment arrangements, use of the council's hardship fund and provision of debt advice.

Housing Benefit Subsidy

Quarter 1 position is looking positive. The 2017/18 claims for Housing Benefit subsidy will be subject to external audit during q2/q3, with a certification deadline of end of November 2018.

Port Creative / Design

Port Creative achieved almost 50% of its total income target in Q1, and there is work underway to ensure further significant progress towards the overall target in Q2. Graphic design income is at 24.1% of the annual total, so also on target.

Key Priority: Customer Service							
Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Processing speed for New Claims of Housing Benefit</b></p> <p>This metric describes the process period from the point a resident makes a claim for Housing Benefit to the point where we are able to determine any entitlement to benefit, and where appropriate put the claim in payment.</p> <p>This measurement includes any time required for the resident to supply supporting documentation. This level of performance is important because it enables payments to be made within a typical rental cycle, providing the resident</p>	<p>22 days which is in line with national average performance levels.</p>	<p>20.38 days, compared to 21.97 days at the close of Q1 2017/18.</p>				Green	Stable

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<p>further choice in relation to their financial position, and potentially avoiding the creation of rent arrears, or other debts.</p>							
<p><b>Processing speed for Changes in Circumstances of Housing Benefit claims</b></p> <p>This metric describes the process period from the point a resident notifies a change in their circumstances affecting Housing Benefit to the point where we are able to determine any entitlement to benefit, and where appropriate revise the benefit award.</p> <p>This measurement includes any time required for the resident to supply supporting documentation. This level of performance is important because it enables payments to be</p>	<p>8 days which is in line with national average performance levels.</p>	<p>6.92 days, compared to 7.27 days at the close of Q1 2017/18.</p>				<p><b>Green</b></p>	<p><b>Stable</b></p>

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<p>made within a typical rental cycle, providing the resident further choice in relation to their financial position, and potentially avoiding the creation of rent arrears, or other debts.</p>							
<p><b>Processing speed for Council Tax billing transactions</b></p> <p>Handling customer enquiries quickly, in addition to supporting good customer service, enables the timely determination of liability, discounts and exemptions etc. to result in the issue of bills quickly, enabling the local tax payer greater opportunity to pay. Delays in issuing bills can restrict the number of payment instalments available to council tax payers.</p>	<p>5 days.</p>	<p>3.53 days compared to 4.64 days at the close of Q1 2017/18.</p>				<p><b>Green</b></p>	<p><b>Stable</b></p>

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<p><b>Processing speed for Business Rates billing transactions</b></p> <p>Handling customer enquiries quickly, in addition to supporting good customer service, enables the timely determination of liability, relief and exemptions etc. to result in the issue of bills quickly, enabling the local tax payer greater opportunity to pay. Delays in issuing bills can restrict the number of payment instalments available to Business Rates payers.</p>	8 days.	5.5 days compared to 7.5 days at the close of Q1 2017/18.				Green	Stable
<p><b>Development of customer service strategy for C&amp;C. including establishing baseline measures</b></p> <p>This priority area will look at the development of a customer service strategy, designed to improve our overall approach to</p>	TBC	Progress in quarter one: city helpdesk participated in staff workshops, contributing to strategy development. Customer survey planned for delivery in Q2, user group planned for implementation in Q2. New community				Green	Stable

<p>customer service. To include research, development and implementation of a new customer service strategy, and establishing baseline measures and monitoring of outcomes in City Help Desk and Revenue &amp; Benefits.</p>		<p>engagement events, to include customer service, planned for implementation in Q2.</p>					
<p><b>Reduction in overall offline contacts (City Help Desk and Revenues &amp; Benefits) compared with increase in online transactions.</b></p> <p>Increasing self-serve options improves customer service for those who prefer the ease and 24/7 convenience of online, and it reduces pressure on staffed customer service so we have more time for customers who most need our help.</p>	<p>Baseline: 177,206 calls handled across City Helpdesk and Revenues &amp; Benefits in 2017/18.</p> <p>£10,545,518 was processed via web payments in 2017/18 and 33,072 transactions were handled via online forms 2017/18.</p>	<p>32742 calls handled across City Help Desk and Revenues &amp; Benefits in Q1.</p> <p>17,671 transactions handled through web and app forms in Q1.</p> <p>£2,890,559.55 was processed via web payments in Q1.</p>				<b>Green</b>	<b>Stable</b>

<p><b>Increase in take-up of email communications via Gov Delivery</b></p> <p>Email communications are an important channel for ensuring our customers receive timely, relevant and targeted information, which helps to reduce avoidable customer contacts.</p>	<p>19,295 subscribers at end of 17/18, a total email reach (number of emails sent) of 225,228 and an average open rate of 39.43% across 17/18.</p>	<p>19,193 unique subscribers at end of Q1. 106,932 reach in Q1, and an average open rate of 37.6%.</p> <p>GDPR changes mean email data has been cleansed to ensure up-to-date subscription permissions. Like other organisations, this will have a significant impact on the number of subscriptions. The anticipated reduction is between 30% and 40%.</p> <p>Marketing activity is planned in Q2 and Q3 to further increase uptake.</p>				Amber	Stable
<p><b>Achievement of statutory timelines in relation to FOI -</b></p>	90%	100%				Green	Stable

<p><b>Community &amp; Communications</b></p> <p>Community &amp; Communications has corporate responsibility for Information Governance and monitoring of responses to FOI requests. This measure relates purely to FOI requests where Community &amp; Communications is responsible for responding to the request</p>							
<p><b>Achievement of statutory timelines in relation to FOI - Corporate</b></p> <p>Community &amp; Communications has corporate responsibility for Information Governance and monitoring of responses to FOI requests. This measure relates to the response rate corporately.</p>	90%	89%				Amber	Improving

<p><b>Achievement of timelines in relation to corporate complaints policy - Community &amp; Communications.</b></p> <p>Community &amp; Communications has responsibility for corporate complaints.</p> <p>This metric details the proportion of complaints relating to C&amp;C where the complaint was responded to within the policy timescales</p>	100%	92.31%				Amber	Stable
<p><b>Achievement of timelines in relation to corporate complaints policy - Corporate.</b></p> <p>Community &amp; Communications has responsibility for overseeing corporate complaints across the council (excluding ASC and CSC).</p>	100%	77.32%				Amber	Stable

<p>This metric details the proportion of council wide corporate complaints (excluding ASC and CSC) responded to within the policy timescales corporately.</p>							
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**Commentary:**

Processing speed for New Claims of Housing Benefit and Changes In Circumstances

An important customer service deliverable is the assessment and payment of entitlement to housing benefit in a time frame that does not contribute to financial hardship. Processing speeds are improved on Q1 2017/18, however they are assessed at this stage as stable. The availability of further choices to access the service has been expanded this year to include on-line claim forms for Housing Benefit, and we have also introduced Risk Based Verification. It is too early at this stage to understand the effect of these changes; however we will continue to assess these Improvement initiatives. The effect of the operational changes, as part of the service review completed in Q2 2017/18, continue to support this focussed service delivery.

Council Tax / Business Rates Processing Speeds

The effect of the operational changes as part of the service review completed in Q2 2017/18 is now resulting in improved performance.

Achievement of timelines in relation to corporate complaints policy - Corporate (excluding ASC and CSC complaints)

We are developing additional reporting to provide greater oversight to directors on the non-compliance rates against the council's complaints policy. This, together with a review of the corporate complaints policy, is anticipated to drive improvements in complaint handling across the organisation.

Achievement of statutory timelines in relation to FOI

This represents a significant improvement on the same period last year (64%) notwithstanding the increase in the number of requests received of 10% from 376 to 415 and the additional workload on the team due to the preparation for GDPR. The most common barrier to us being able to meet the statutory deadline is not receiving information from the relevant department in time. We anticipate being able to devote more resource to chasing departments now that the workload generated by GDPR has returned to a more manageable level

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Key Priority: Valuing Staff							
Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<p><b>Managing Attendance</b></p> <p>Since incorporating Revenues &amp; Benefits into the wider Community &amp; Communications Directorate significant work has been completed with all staff to improve attendance, and assist staff to be able to attend.</p> <p>This focus on attendance and wellbeing has seen improvements in attendance across the wider directorate that have essentially created resilience of 2.75 FTE available to support residents across the directorate.</p>	Baseline for directorate is to stay within corporate baseline.	The rolling 12 month result for the directorate at the close of Q1 is 6.01 days per person.				Green	Stable

<p><b>Action plan following the annual Employee Opinion Survey</b></p> <p>Results from the EOS are analysed by the Directorate Management Team, with staff groups involved in the assessment and change outcomes associated with areas where improvement is possible.</p>	<p>TBC</p>	<p>The key action from the 2017/18 survey was in relation to staff development, following which a full Training Needs Assessment has been completed in conjunction with the wider management team, staff and HR.</p> <p>We are currently prioritising training needs in relation to this exercise to improve staff satisfaction, improve flexibility /fluidity of resource and to ensure that appropriate succession planning is present within the Directorate. This will be an ongoing exercise within the Directorate.</p>				<p><b>Green</b></p>	<p><b>Stable</b></p>
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**Commentary:**

Managing Attendance

Efforts to support staff to attend continue to demonstrate success with improvements in attendance levels.

Action plan following the annual Employee Opinion Survey

The next EOS is anticipated in Q2, following which further analysis and supporting plans will be determined.

## HR, LEGAL AND PERFORMANCE

### Key function: Human Resources

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Reduce sickness absence	8.5 days average per employee per year	8.5				Amber	Steady
Successfully manage organisational change	Achieved	Achieved				Green	Steady
No successful Employment Tribunal cases as a result of poor HR practice	Achieved	Achieved				Green	Steady
Maintain recruitment end-to-end times below 70 days	65 days	64 days				Green	Steady
Increase numbers of apprenticeships	133	133				Green	Steady

**Commentary: Business as usual performance in HR remains strong, with no major performance issues. Some pressures exist with job evaluations, with higher-than-average number of evaluations required. Sickness absence remains stable but wellbeing project now well underway. Recruitment service being reviewed to ensure it continues to meet business need, and new Learning & Development structure bedding in.**

**Pay settlement for 18/19 now implemented. 19/20 settlement being negotiated with trade unions.**

**Living Wage (as recommended by the Living Wage Foundation) agreed by Employment Committee and successfully implemented.**

**Apprenticeships continues to be an area of success (reported separately to Employment Committee)**

**Key function: Legal Services**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Turn around childcare cases within 26 weeks	86%	TBC				N/A	Steady
No major projects delayed due to failure to provide effective legal support	Achieved	Achieved				Amber	Steady
Complete land charges searches within 20 working days	100%	Achieved				Green	Steady

**Commentary:**

Business as usual work on track. Continued strong performance on child protection cases compared to target and with other local authorities. Significant projects requiring legal support include VESL (energy company), City Centre Road scheme, ongoing PFI negotiations, and a number of contract re-lets. Performance in this area is rated as Amber due to challenges in maintaining skills and capacity in Legal to meet ever-changing demands of these projects.

**Key function: Internal Audit**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Complete 100% of annual audit plan	100%	<b>23%</b>				Green	Steady
Number of exceptions identified	0 critical, 90 High Risk	0 critical, 14 high risk				Green	Steady

**Commentary:**  
 Business as usual audit work continuing well, alongside income-generating work for external clients. Larger than usual number of special investigations. More detailed Audit update report provided to GAS Committee under separate heading

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**Key function: Corporate Strategy and Community Safety**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Maintain schedule of funding opportunities	Achieved	Achieved				Green	Steady
Achieve statutory deadlines regarding annual governance statement and performance statement	Achieved	Achieved				Green	Steady

**Commentary:**

Majority of strategy work relates to projects (see below) and support to partnerships. Core activities all progressing well



**Key function: Directorate**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Reduce dependency on cash limit finance by developing trading opportunities</b>	52% of service cost met through income and recharges	<b>Achieved</b>				Green	Improving

**Commentary**

Ongoing work to win new clients, especially for audit, HR and Legal. Commercial strategy in place with key markets identified.

**Key function: Financial Services**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Supporting the organisation in the delivery of the Medium Term Financial Strategy</b>	Financial & Capital strategy refreshed annually	<b>MTFS approved by full Council as part of annual Budget in February 2018</b>				<b>Green</b>	<b>Maintained</b>
	Revenue Budget & Council tax setting	<b>Budget setting process started- Savings targets issued to services</b>				<b>Green</b>	<b>Maintained</b>
	5 year capital programme	<b>5 year capital programme approved by Council in February 2018</b>				<b>Green</b>	<b>Maintained</b>
	Maintain Minimum level of General	<b>General Reserves stand at £21m (Minimum Level set at £8m for 2018/19). Forecast</b>				<b>Green</b>	<b>Maintained</b>

	reserve balances	<b>balance as at end 2018/19 - £16m</b>					
	Provision of timely accurate & relevant management information online	<b>Data refresh within 24 hours 95% of time</b>					<b>Green Green</b>
Page 195	Maximise income opportunities	<ul style="list-style-type: none"> <li>• <b>Take up of AVC salary sacrifice scheme continues to grow</b></li> <li>• <b>Achieved return on investment of surplus cash balances .21% above Libor swap curve</b></li> </ul>					<b>Green Green</b>
<b>Safeguarding of and transparency in the use of public funds</b>	Treasury Management	<b>Activity compliant with policy</b>					<b>Green Green</b>

	activity in line with policy							
Page 196	Quarterly Financial and Treasury Management reporting to members	<ul style="list-style-type: none"> <li>• <b>Statutory accounts presented to GA &amp; S committee on 27 July.</b></li> <li>• <b>Q 1 reporting to Cabinet scheduled for September</b></li> </ul>					<b>Green</b>	<b>Green</b>
	Statutory Financial Statements within Statutory timescale	<b>Annual target date of 30 June has been achieved</b>					<b>Green</b>	<b>Green</b>
	Unqualified Audit Opinion	<b>PCC received unqualified Audit opinion for 2017/18 accounts on 31 July</b>					<b>Green</b>	<b>Green</b>
	<b>Supporting service managers informed decision making to</b>	Provision of management information	<b>Monthly online financial management</b>				<b>Green</b>	<b>Green</b>

<b>deliver value for money</b>	tools & support to budget managers	<b>information and drop in training sessions for budget managers</b>					
	Maintaining system availability	<b>EBS availability within performance standard of 98% during working hours met</b>					<b>Green</b>
Page 197	Service delivery within agreed budgets including achieving agreed savings targets	<b>Highest spending portfolios are overspending</b>					<b>Red</b>
	Payment performance within 30days target @ 90%	<b>83%</b>					<b>Amber</b>
							<b>Deteriorating</b>
							<b>Steady</b>

	Continuity for key financial activities	<b>Business Continuity Plan updated</b>				<b>Green</b>	<b>Improved</b>
	Bank reconciliations completed within 20 days	<b>April, May &amp; June complete</b>				<b>Green</b>	<b>maintained</b>
	Publication of Transparency Information	<b>Available on Council's website by due date</b>				<b>Green</b>	<b>Maintained</b>
Page 1 of 9	<b>Maintain &amp; develop a professional, informed and reliable workforce</b> Training & development Plan	<ul style="list-style-type: none"> <li>• <b>Currently 8 Apprentices &amp; 3 professional accountancy trainees</b></li> <li>• <b>Timetabled in house training updates</b></li> </ul>				<b>Green</b>	<b>Maintained</b>

**Key function: Information Technology**

Objective	2018 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
Availability (24/7)							
1. Availability of the LAN	100%	100%					
2. Availability of the WAN	99.40%	99.60%					
3. Availability of the SWAN Network	99.90%	99.81%					
4. Availability of Telephone System	100%	100%					
5. Availability of Top 30 Systems	98.70%	99.46%					
6. Availability of The Peoples Network	99.60%	99.63%					
Service Desk							

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1. Phone calls answered < 30 secs	95.20%	90.39%					
2. Phone call abandonments	2.50%	3.32%					
3. Incidents resolved at first point of contact	91.40%	93.71%					
Incidents - an incident is an unplanned disruption that needs to be resolved immediately, either through a permanent fix, workaround or temporary fix							
1. Raised	503	533					
2. Currently Open	227	247					
Requests - a service request is a request from a user requesting advice, information, a change, or access to a service							

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1. Requests Currently Open	336	390					
2. Standard Request closed < 10 Days	77.30%	76.69%					
Problems - an incident can raise a problem; if an incident can reoccur and affect availability or the fix is temporary and will fail, this becomes an problem							
1. Problems Raised (% incidents becoming problems)	2.50%	1.20%					
2. Problems Open	101	82					
Security - % blocked							
1. SPAM	99.90%	99.03%					
2. Malware	99.6%	99%					
<b>Commentary:</b>							

**Key function: PORT**

Objective	2017 Baseline (where known)	Key progress Q1	Key progress Q2	Key progress Q3	Key progress Q4	RAG rating	Trend
<b>Port Master System Replacement: Ships Services and Operational Costs</b>	Programming and sprint reviews have commenced	Main system has been rolled out.  Berth planning is in the process of being rolled out.				Green	n/a
<b>Berth 3 Linkspan Purchase</b>	Negotiations ongoing.	Primary period of the lease ended on 09 April 2018, the purchase price is still to be agreed, the linkspan is still in use, and the lessor has advised they may serve termination notice which would mean PCC				Red	n/a

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		<p>could no longer use the linkspan.</p> <p>Legal advice has been provided. A meeting is being arrange with the lessor to discuss the purchase price.</p> <p>The worst case scenario is additional budget is required to finance a higher purchase price. This could be funded by the Port Reserve.</p>					
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<b>Ports Energy and Carbon Savings (PECS) European Scheme</b>	Application submitted.	Project is ongoing.				<b>Green</b>	
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Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track (RAG rating)	Key project risks
<b>CHILDREN'S SERVICES</b>						
Embedding restorative practice across the city, including in schools						
Develop strengthened partnership arrangements for safeguarding children and young people in the city, building on the strong foundations of the Portsmouth Safeguarding Children Board (PSCB) arrangements						
Full implementation of the ECHO service	Sep 18	This is now started and the offer is live	GREEN	GREEN	GREEN	
Implementing an enhanced Family Safeguarding model of practice	Dec 18	The SW manual and the specialist modules are being written.	GREEN	GREEN	GREEN	
Implementing more structured restorative intervention	Dec 18	AS above	GREEN	n/a	n/a	

<b>pathways in social care using a manualised approach for tighter intervention periods</b>						
<b>Improving reunification practice through better parallel planning and use of restorative circles and Family Group Conferences</b>	ongoing	Voluntary sector service in place to support re-unification. Need to increase numbers	AMBER			
<b>Implement expert "Trauma-informed" approaches to supporting children and young people in our care, designed to repair harm they have experienced</b>	Mar 2019	Training starts October 2018. Contract in place with Coram/ Tavistock and local clinician appointed to lead the approach.	GREEN			
<b>Establish a reception centre for unaccompanied asylum seeking young people</b>	Sep 2019	Specification is being developed and financial modelling being explored	AMBER			
<b>Implement a new placement sufficiency and commissioning strategy for all LAC, including strengthening and diversifying our in-house foster care service, improving placement matching to make better use of in-house residential care, and</b>	ongoing	Strategy in place - component parts being progressed	AMBER			

<b>implementation of the Staying Close project</b>						
<b>Implementation of new Regional Adoption Agency from April 2019</b>	April 2019	Cabinet decision achieved in June 2018.	Green	Green	Green	
<b>Implement new case management system for social care and early help</b>	Autumn 2018	Delays through procurement process... go live date now April 2019	AMBER			
<b>Deliver strategy to boost recruitment and retention of teachers in the city</b>		Requires cross-council input - in discussion with members	AMBER	AMBER	AMBER	
<b>Refresh the strategy to improve school attendance including a high-profile public campaign from Summer 2018</b>		The School attendance strategy is being refreshed and a behaviour change campaign is underway, including a targeted publicity campaign to be rolled out during the autumn term.				Secondary school overall and persistent absence continued to rise. The publicity campaign is being tested to maximise impact.
<b>Continue to encourage all schools to join a strong multi-academy trust</b>						

<p><b>Implement recommendations of the 2017/18 strategic review of SEND, including securing a new free school for children with autism and challenging behaviour</b></p>		<p>All of the actions arising from the recommendations in the SEND Strategic Review have been incorporated into the 9 ambitions within the SEND 0-25 Joint Commissioning Plan. Accountability for delivery of these actions will be to the SEND 0-25 Joint Commissioning Group. At key parts in the development and roll-out of this plan, we will ensure the right decision-making body is engaged - e.g. schools forum, CCG Clinical Committee, LA Cabinet. All actions are on track.</p>				<p>There is increasing pressure on the High Needs funding within the Dedicated Schools Grant which means that it will be difficult to fund any additional provision required to meet the growing need.</p>
<p><b>Review and strengthen Alternative Provision arrangements in the city</b></p>		<p>Successful Portsmouth Education Partnership bid for DfE innovation funding over 2 years to improve the reintegration of pupils at Key Stage 3 from AP into mainstream or special school placements.</p>				<p>Pressure on school budgets are leading to increasing difficulties in meeting the needs of students who require additional support to what is ordinarily available.</p>



<p><b>Refresh the transformation plan for children and young people's mental health and emotional wellbeing</b></p>						
<p><b>Continuing to improve the quality of education at LA maintained schools prioritised for support and working with the RSC to ensure improvement at academies where necessary</b></p>						
<p><b>Delivering expansion of secondary schools to meet need for additional places</b></p>		<p>There are four expansion schemes in place, which are all progressing in line with the project programme and to budget. All four schemes will deliver additional places by September 2020.</p>				<p>There are consequential works at ALNS in relation to moving the nursery within the site, which are being explored and may add minor additional costs to that project.</p>

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track (RAG rating)	Key project risks
<b>Health &amp; Social Care Blueprint</b>	End 2018	Integrated Working Localities Intervention commenced in the first quarter. Experimentation phase commencing late Aug 18, leading to pilot in South locality	Amber	Amber	Amber	Staffing capacity within the redesign phase.  Structural/organisational barriers to the required change
<b>Transition between Swift / AIS and System 1</b>	Revised to end March 2019	The project plan has been revised in accordance with what is needed to deliver against project and delivery outcomes, and has involved a comprehensive analysis of requirements, resource, dependencies and risk. Business requirements have been mapped and agreed. Data migration and archive solutions to be agreed. Technical configuration underway.	Red	Amber	Red	Finance have identified a number of options to address overspend. Rated as red re time but project now significantly improved in terms of rates of progress as a result of comprehensive analysis around

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track (RAG rating)	Key project risks
						project requirements.
<b>Achieving Financial Balance</b>	March 2019	The financial outturn for 2018/19 is currently projected to be £3.1m in excess of the current Portfolio cash limit. Adult Social Care are developing a long term strategic plan and care model for the service, which will seek to enable the service to become financial sustainable in the future within its available resources.	Red	Red	Red	ASC continues to operate in a challenging budget environment, with considerable market instability and the increasingly complex needs of people who have care and support needs.  Savings Plans have been

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track (RAG rating)	Key project risks
						<p>submitted by service areas.</p> <p>Current overspend is as a result of the ongoing cost pressures within Daycare and Supported Living following their restructuring in 2016/17. This also reflects the ongoing pressure as a result of the closure of residential homes in the city.</p> <p>The overspend is also driven by the current pressures</p>

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track (RAG rating)	Key project risks
						arising from meeting the regulatory standards within PCC's residential units.

<b>Accommodation strategy</b>	April 2021	Promotion of independence through transformation of Learning Disabilities (LD) housing/support.  Occupational Therapist (OT) now recruited.	Green	Green	Amber	Housing issues and handover dates may vary. Service continues to provide hotel accommodation for one young service user due to a lack of suitable alternatives. Service is working with housing options on a long-term
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						<p>solution but also exploring interim options.</p> <p>Service is becoming aware of a small, but significant, number of children due to transition within 3 years who have very complex (and costly) care packages.</p>
<b>Domiciliary Care - Intervention</b>	Commenced end of Qtr 1	Comprehensive analysis of Domiciliary Care system using systems thinking method for review.	Green	Amber	N/A until Redesign	Potential resource issues re redesign phase. Options being explored.
<b>Project Officer</b>	June 18	To support Transformation Fund Projects.  Now in post.	Green	Green	Green	Complete

<p><b>Telecare</b></p>	<p>June 2018</p>	<p>Support to Discharge Service to reduce packages of care/support and enable people to go home with the help of assistive technology. Development of assistive technology strategy and development of Board to ensure delivery.</p>	<p>Green</p>	<p>Green</p>	<p>Amber</p>	<p>Ensuring resource is known/utilised effectively (development of Assistive Technology Strategy and subsequent promotion plans will address this)</p>
<p><b>Oakdene</b></p>	<p>Dec 2019</p>	<p>Accommodation provision for people with mental health needs. Ongoing discussions re planning and cost. Purchase not yet agreed. Additional funding discussions continue to obtain best value.</p>	<p>Red</p>	<p>Red</p>	<p>Red</p>	<p>Negotiating relevant funding and delay to project</p>
<p><b>Transition Beds for Edinburgh House</b></p>	<p>In operation</p>	<p>Service providing short stay beds following a person's discharge from acute services prior to arranging a longer term package of care, or to enable a 'step up' from the community to cover a crisis before returning to their previous level of independence back home.</p> <p>Not now continuing with these due to the unavailability of wrap around</p>	<p>Green</p>	<p>Green</p>	<p>N/A</p>	<p>Project Completed</p>

		therapy and support. Short term beds are being spot purchased through Portsmouth Rehabilitation and Re-ablement Team (PRRT) as and when required. Wider system work underway to establish clearer pathway				
<b>New Models of Care (NMoC)</b>	In operation	<p>Development of Community Independence Service (CIS) to increase re-ablement and rehab capacity whilst adding in house carers to be able to rapidly respond to people in crisis. The purpose being to keep people independent for longer thus reducing long term care (domiciliary and residential / nursing).</p> <p>In Quarter 1 the development of key metrics that provide an accurate picture of reducing demand for health and care service, to achieve sustainability after transformation funding, was completed</p>	Amber	Green	Amber	<p>If service is not able to help reduce avoidable hospital admissions then demand for ASC services will increase.</p> <p>Service needs community focus and work to reduce long term pressures that result from demand from the acute hospital.</p>
<b>Review of high cost packages of care</b>		Resource to ensure that those with more complex needs have access to	Green	Green	Green	Identifying available skilled resource.



		the right care from the right organisation.				
<b>Project Bridge</b>		Part One - 3 years funding to facilitate the Voluntary and Community Sector (VCS) and the Local Authority coming together as a consortium. Part Two - development and delivery of VCS sitting service provision (funding for 1 year then plan to be self-sustaining)	Red	Green	Amber	Recruitment of sufficient volunteer resource

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
<b>Horatia House &amp; Leamington House - strengthening, recladding, install of sprinklers</b>	Late August / September	Initial feasibility work highlighted an issue with concrete strength in both blocks leading to a decision to rehouse both blocks (see below).	GREEN	RED	N/A	Central Government (MHCLG) have confirmed that grant will be available for recladding works only.

<p><b>(total package of works)</b>  <b>(Tower Blocks, LA Owned)</b></p>		<p>Feasibility to strengthen commissioned study is being undertaken to evaluate options for strengthening, re-cladding and installing sprinklers to both blocks</p>	GREEN	RED	GREY	
<p><b>Horatia House &amp; Leamington House Decant</b>  <b>(Tower Blocks, LA Owned)</b></p>	<p>Spring 2019</p>	<p>Rehousing 250 households - commenced June 2018</p>	GREEN	AMBER	N/A	<p>Funding for the home loss payments and rehousing costs. Impact on the housing waiting list.</p>
<p><b>Water Safety Management System</b></p>	<p>1 April 2019</p>	<p>A review of the legionella policy has identified areas for improvement in the water safety management system for PCC (in relation to all assets). A water safety group is being established to manage implement the new policy. The Water Hygiene Centre (independent experts) will audit the water safety plan which will be reported to GASC via Internal Audit. For Q.2 performance reporting from the plan will form a separate performance report to GASC.</p>	GREEN	N/A	GREEN	<p>Risk is not implementing policy impacts on risk prosecution</p>
<p><b>New Electrical MTC</b></p>	<p>1 April 2019</p>		GREEN	GREY	GREEN	<p>Risk non-compliant contract is not retendered on time</p>

<b>Contract</b>		Retender the SSE contract to commence 1 April 2019,		N/A	GREEN	or impact on service provided (electrical work corporate assets)
<b>Replacement Social Housing Schemes (Capital)</b>						
<b>(3 in total - see below):</b>						
<b>Site - Blendworth Crescent</b>		Project will complete on the contract date of 25 <sup>th</sup> June 2018				Portsmouth Water connection delay of 7 weeks with revised completion date of 13 <sup>th</sup> August 2018.
<b>Name of Development - <u>Steep Close</u></b>	August 2018		GREEN	GREEN	GREEN	
<b>No. of Properties - 48 (20 x Houses, 28 x flats)</b>						
<b>Site - Arthur Pope House</b>		33 units will handover early on 30 <sup>th</sup> April with remaining 27 units handing over on contract completion date of 18 <sup>th</sup> June 2018				Bad weather delay of 5 weeks with revised completion date of 16 <sup>th</sup> July 2018.
<b>Name of Development - <u>Ivy Close</u></b>	July 2018		GREEN	GREEN	GREEN	

<p><b>No. of Properties - 60 (9 x Houses, 51 x flats)</b></p>						
<p><b>Site - Kingsclere Avenue</b> <b>Name of Development - <u>Fred Francis Close</u></b> <b>No. of Properties - 38 (30 x Houses, 8 x flats)</b></p>	<p>March 2019</p>	<p>Project started 8 months later than planned due to delays with HCC and the s278 process. Project now proceeding as per the contractors target programme.</p>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>The contractor is hinting at a slightly earlier completion, but this won't be reported until we are sure it can be achieved.</p>
<p><b>Wilmcote House - Refurbishment</b></p>	<p>7 Nov 2016</p>	<p>External Cladding, window and roof - overrun contract period  Completion on track for late August/Early September 2018.</p>	<p>RED</p>	<p>AMBER</p>	<p>GREEN</p>	<p>Contractor claims extension of time and delays to let vacant properties  Expected Completion Date is Late August / Early September 2018.</p>
<p><b>Universal Credit Full Service roll-out in</b></p>	<p>Sept 2018</p>	<p>Only single, first time tenants who do not have children were eligible for Universal Credit (UC) up to 31/12/2017.</p>	<p>GREEN</p>	<p>N/A</p>	<p>N/A</p>	<p>The dates for the rollout and other changes to UC may affect our plans.</p>

<p><b>Portsmouth and Havant</b></p> <p><b>DWP scheme, PCC role is to support our residents with the changes and ensure our staff are trained.</b></p>		<p>Roll-out for new claimants <u>only</u> of most other household types has been fixed as 26 September 2018 in Portsmouth and 28 November 2018 in Havant. Government has also revised the "Seven Waiting Day" rule, agreed that Housing Benefit payments will roll-on for two weeks for new UC claimants and agreed earlier availability of loans thereby reducing the financial risk. Staff training and tenant awareness raising is planned</p>				<p>Date is currently holding.</p>
<p><b>Sheltered Housing Care Provision - currently running a trial at Ian Gibson Court to provide care to residents in a new way</b></p>	<p>Nov 2018</p>	<p>Pilot project underway whereby PCC directly employs staff to provide ASC funded/arranged packages of care to residents of Ian Gibson Court.</p> <p>Evaluation complete - proceeding to decision to sustain the model at the scheme and consider a wider roll out to other schemes.</p>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>Final costs outcome will depend upon the final model of provision.</p> <p>However these costs will likely be mitigated by consistent and better managed care provision.</p>
<p><b>Revise the accreditation scheme for the</b></p>	<p>August 2018</p>	<p>To look at the current problems associated with the private rented market and then then see if a</p>	<p>GREEN</p>	<p>GREEN</p>	<p>AMBER</p>	<p>Mandatory licensing has been increased for some smaller</p>

<p><b>private rented sector</b></p>		<p>consultation is required under Section 56 and 80 Housing Act 2004</p> <p>Additional licencing will end in August and mandatory licencing will start in October. During Q2 landlords of existing properties will be made aware of the new process for mandatory licencing, with licences needing to be issued, or in process with the council by the end of September</p>				<p>HMO, which will affect the decision concerning the possible implementation of a designation area for additional licencing under section 56 Housing Act 2004. More likely for a smaller area to be licenced under section 56 as the concentration of HMO's in certain areas is considered high and would satisfy the requirements to consider this action.</p>
<p><b>Waste Collection Contract Extension decision (contract period ends 30 Sep 2019 with</b></p>	<p>Jul 2018</p>	<p>Currently working on appraisal of options with regard to extending or procurement</p> <p>Consideration required regarding the future approach to waste collection (trials ongoing)</p>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>Contract extension to September 2021 now approved</p>

<p><b>option to extend for 2 years)</b></p>		<p><b>June 2018</b> - Variation of Contract Extension is currently with Legal Services</p>				
<p>Sustaining the High Street Wardens / Increasing the number of Community Wardens</p>	<p>Oct/Nov 2018</p>	<p>Portfolio reserves have been made available to recruit four new High Street Wardens who have the purpose of helping to keep the city safe, clean and tidy. Team in place from April 2018 evaluation shows positive impact. Administration keen to retain the HSW and expand the wider community warden team.</p> <p>Project underway to secure funding to sustain and expand the service for 1 - 2 years.</p>	<p>GREEN</p>	<p>AMBER</p>	<p>N/A</p>	<p>The service is a non-statutory service and there remain challenges in finding long term funding for the service.</p>
<p><b>Trial of wheelie bins for rubbish</b></p>	<p>End of 2018</p>	<p>Waste Management are rolling out the provision of wheelie bins for rubbish to suitable areas across the city. The aim is to tidy streets by containing rubbish, to constrain the amount of rubbish produced and increase the amount which is recycled.</p> <p>It began in 2016 in Highbury, and has since been rolled out in Paulsgrove in Q2, and in Hilsea in Q3. Two further areas will be provided with bins and then the success will be assessed.</p>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>The main risks are:</p> <p>That the positive impacts upon rubbish and recycling are not seen in other areas.</p> <p>Decision to roll out further wheeled bins taken 4 July 2018</p>

		<p>To date the amount of rubbish collected in these has reduced by approximately 15%, which has positive impacts on the environment and the finances of the council. Q4 roll outs in North End and Somerstown - similar reductions in collected tonnages as other rollouts. One further roll out in Milton is completed.</p> <p><b>July 2018</b> - Decision made to roll out wheelie bins to the remainder of the city - starting late September to late November, team are currently preparing for this and a detailed schedule for the roll out.</p>				<p>Work underway to prepare a detailed roll out plan</p>
<p><b>Preparation for the Implement of the Homelessness Reduction Act 2017.</b></p>	<p>April 2018</p>	<p>Housing Options are preparing for the introduction of the Homeless Reduction Act 2017. The Act will extend the statutory homeless duties to include a prevention duty.</p> <p>Key Issues in the Implementation plan are</p> <ul style="list-style-type: none"> <li>• Increasing staff resources</li> <li>• Improving the skill sets of front line staff and managers</li> <li>• Improving the legislation knowledge of front line staff and managers</li> <li>• Adapting IT to manage the new stages and reporting requirements</li> </ul>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>Key risks as the changes embed are</p> <ul style="list-style-type: none"> <li>• Relationships with Private Sector Landlords to increase options</li> <li>• Workload pressures (mitigated by additional staff)</li> </ul>



		The Project was completed during April 2018				
<b>Waste and Safe, Clean &amp; Tidy IT system development</b>	October 2018	Following interventions into these areas, new IT systems are being developed for the collection and allocation of work. These will enable the customers and staff to log demand in an effective and efficient way. They will also interconnect with the PCC website and My Portsmouth App. Work is being undertaken with no additional resources.	GREEN	GREEN	GREEN	The project relies upon the Channel Shift team, who could be redirected onto other work. The exact timetable for introduction depends upon workloads, and the success of testing  On track to be delivered shortly
<b>Rough Sleeping and Street Sleepers Strategy</b>	October 2018	The work builds on the foundations established to address the issue of rough sleeping in the city. The Homeless & Rough Sleeping Strategy Programme Manager's post is funded until March 2019. The post is coordinating the development and delivery	GREEN	GREEN	GREEN	Portsmouth's work in addressing the issues of rough sleeping has attracted MHCLG

		<p>of a strategy which will lead to a recommissioning of services to move from a provision of shelter to one that links support &amp; accommodation (Q.1 2019)</p> <p>Strategy drafted and goes for decision in September 2018 following which there will be a launch.</p>				<p>funding for 2018/19. Additional funding will be available in 2019/20.</p>
<p><b>Voids and Allocation Intervention</b></p> <p><b>(Review of the housing services management of void properties)</b></p> <p>Key aim is to identify efficiencies and reduce the end to end time.</p>	<p>Early 2019</p>	<p>Scoping complete. Check phase due to complete August 2018. Assuming the intervention team move into redesign, new ways of working should be ready to launch in Q.1 2019)</p>	<p>GREEN</p>	<p>GREEN</p>	<p>GREEN</p>	<p>Check presentation scheduled to be delivered first week of August.</p>
<p><b>Additional Borrowing for the</b></p>	<p>Sept 2019</p>	<p>The government announced on the 26<sup>th</sup> June a programme that allows qualifying local authorities to bid for additional borrowing to enable local authorities to</p>	<p>GREEN</p>	<p>N/A</p>		<p>Potential opportunity to build additional council</p>

<p><b>Housing Revenue Account</b></p>		<p>build new council homes. Qualifying local authorities are those identified in high affordability pressure areas, where the difference between social rents and private rents is more than £50 per week. Authorities can bid for borrowing ability to meet local need.</p> <p>Portsmouth is a qualifying local authority and we are looking to submit a bid by the closing date for submissions which is the 7<sup>th</sup> September. The minimum bid value should achieve a development of at least 65 units but it for local authorities to determine the level of bid they wish to make identifying in the process development sites which can be used. The results of bids will be announced in the autumn with the additional borrowing made available from April 2019.</p> <p>The link below takes you to the specific prospectus and the detail for this initiative.</p> <p><a href="https://www.gov.uk/government/collections/additional-housing-revenue-account-borrowing-programme">https://www.gov.uk/government/collections/additional-housing-revenue-account-borrowing-programme</a></p>				<p>housing using HRA owned sites.</p>
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Project	Target Date	Key progress and issues arising	On track - time (RAG rating )	On track - budget (RAG rating)	On track - out comes (RAG rating)	Key project risks
<p><b>Deliver a new community in the Tipner masterplan area, including a minimum of 1,250 new homes and a marine and maritime hub.</b></p>	<p><b>Start on site 2020</b></p>	<p>The most appropriate route to take forward the development of this site is through the forthcoming Local Plan. Public consultation is planned for autumn 2018 with the aim of making a formal planning application in mid-2019 for the site infrastructure and development phase one.</p> <p>Detailed work is being carried out with the Environment Agency and Natural England, regarding the ecological impact of the development.</p>	<p><b>A</b></p>	<p><b>G</b></p>	<p><b>A</b></p>	<p>The ecological aspects of the project may require mitigation and replacement of ecological habitat in the harbour area which could increase the time taken to complete this stage.</p> <p>The planning application is dependent on the Local Plan timetable so any slippage will</p>

						impact on this project.
<b>Development of City Centre North and highway infrastructure.</b>	<b>Start on site Q3 2019</b>	<p>The planning application determination for the City Centre Road is being carried out by Hampshire County Council.</p> <p>Procurement for the Early Contactor Involvement and the Stage 2 Design and Build contractor has commenced.</p> <p>The Supplier Selection Questionnaire interviews have been completed. Invitation To Tender is planned for issued by the end of Q2.</p> <p>The Major Road Network and the Transforming Cities Fund bids have been submitted.</p> <p>Early engagement with potential developers / land owners within the city centres will begin in Q2 for the development of City Centre North.</p>	<b>A</b>	<b>A</b>	<b>A</b>	<p>Securing funding and planning permission.</p> <p>Ensuring ongoing stakeholder support for this key regeneration scheme.</p>
<b>North Portsea Island Flood Defence scheme</b>	<b>2022</b>	<p>Phase 3 is under construction at Tipner. Completion is expected in Autumn 2019. Detailed design for the remaining phases is nearing completion. Efficiency savings have also been achieved on the project so far.</p>	<b>G</b>	<b>G</b>	<b>G</b>	<p>Unforeseen ground conditions and significant areas have caused some delay and resulted in additional work. The overall project</p>

						within budget and time.
<b>Southsea Flood Defence scheme</b>	<b>2026</b>	<p>The Design Development phase is complete with work well underway on the Principle Design phase. This will conclude with a planning application and submission of the Full Business Case to the Environment Agency, DEFRA and the Treasury for approval of the construction funding.</p> <p>Public Consultation is underway on principle design options.</p>	<b>G</b>	<b>A</b>	<b>G</b>	<p>Scheme affordability under the Environment Agency's Partnership Funding system continues to be a risk. Additional funding will be required to contribute towards the overall scheme and to fund additional public realm improvements and enhancements identified as an objective/outcome of the scheme.</p>
<b>Dunsbury Park</b>	<b>2018</b>	Enabling works completion is July 2018.	<b>G</b>	<b>G</b>	<b>G</b>	The Dunsbury Hill development represents a significant
	<b>2018</b>	Plot 3a is let to VW Breeze Group. Expected completion December 2018.				

	<p><b>2019</b></p> <p><b>2019-25</b></p>	<p>Plot 3b is a speculative unit. Expected completion is spring 2019.</p> <p>Planned letting and completion of other plots.</p>				<p>investment by PCC. The ability to attract business tenants and recover that investment is partly dependent on the performance of the UK economy.</p>
<p><b>Eastern Corridor phase 2 and central corridor feasibility</b></p>	<p><b>Mar 2020</b></p>	<p>Eastern Corridor:</p> <p>Construction of the small works schemes is underway.</p> <p>The two larger schemes on Milton Common are undergoing feasibility works (due to contaminated land) and are due to start in 2018/19.</p> <p>Phase 2 feasibility study regarding widening the carriageway widening is underway.</p> <p>Central Corridor:</p> <p>A workshop to review aspirations for the central corridor will be held in July 2018. Consultations to follow.</p>	<p><b>A</b></p>	<p><b>A</b></p>	<p><b>G</b></p>	<p>Information regarding the route of key utilities is being reviewed with the utility companies and assessed against the proposed design. We will need to review the project if the impacts of the utility apparatus on the proposed design are significant and a</p>

						<p>redesign is required.</p> <p>Gas monitoring for Milton Common Cycle path may mean that the proposed safe working method could increase/decrease the construction cost.</p>
<b>Anglesea Road/ Park Road junction improvements</b>	<b>Apr 2018</b>	The new crossing is planned for installation in early September 2018. Demolition of the abutments is currently on hold.	<b>A</b>	<b>A</b>	<b>G</b>	There remains a risk to the budget. Once the crossing is complete, project to be reviewed.
<b>Street lighting upgrade</b>	<b>May 2019</b>	2,600 of the 14,500 lights planned have been installed to date (18% of project complete).	<b>G</b>	<b>G</b>	<b>G</b>	Achieving agreement to the necessary changes to the PFI contract.
<b>Cathodic protection project at the</b>	<b>Autumn 2019</b>	Cathodic repairs are required to mitigate the effects of the Hard's structure's continued exposure to salt water. This will prolong its life and	<b>G</b>	<b>G</b>	<b>G</b>	The works are specialised in nature and various



<p><b>Hard Interchange. Sub structure improvements</b></p>		<p>ensure that future maintenance costs are considerably reduced.</p> <p>Work will comprise investigation, procurement and construction.</p> <p>Once installed, the Cathodic Protection will be monitored in-house through remote technology.</p>				<p>alternative systems are available each providing different levels of protection. If there is a late decision to upgrade to an enhanced protection system the cost will rise. This will be mitigated through a thorough initial investigation and appropriate design.</p> <p>If no protection is put in place progressive corrosion of the structure will occur resulting in the extra cost of concrete repair work. Early installation of cathodic protection</p>
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						will mitigate this risk.
<b>MMD Commercial Port site improvements.</b>	<b>Dec 2019</b>	<p>Grounds investigation and site work is complete. Full funding has been approved.</p> <p>The demolition works are out to tender.</p>	<b>G</b>	<b>G</b>	<b>G</b>	<p>There is a budget risk if tendered prices for the main construction works come in higher than expected. Mitigation measures will include de-scoping and value engineering.</p>
<b>International Port Berth 2 levelling</b>	<b>June 2020</b>	Soft market testing has taken place, and agreement reached on the procurement strategy.	<b>G</b>	<b>G</b>	<b>G</b>	Preparing accurate budget estimates for the funding. The mitigation is to approach suppliers and request they provide a high level cost estimate.
<b>International Port Berths 3 and 4 replacement of</b>	<b>June 2020</b>	The consultancy, Atkins, has been appointed for the outline design activities and has produced a Design Basis Statement.	<b>G</b>	<b>G</b>	<b>G</b>	Preparing accurate budget estimates for the funding.

<p><b>Passenger Boarding Bridge</b></p>						<p>Mitigation is to approach suppliers and request they provide a high level cost estimate.</p>
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Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
<p><b>Successful delivery of the landing Craft tank project</b> working in partnership with the National Museum of the Royal Navy (NMRN) on the development phase of the</p>	<p><b>November 2018 award</b></p>	<p>The application to the HLF was submitted in June 2018 for £4.5 million PCC contribution £84,000 and outcome known in October. A planning application to be submitted for Q2 and review of implications for on any existing leases in existence in this vicinity</p>	<p><b>AMBER</b></p>	<p><b>GREEN</b></p>	<p><b>GREEN</b></p>	<p>Maintenance is a risk of this project if the HLF bid is successful and the finer detail of the operational will be discussed</p>

Landing Craft Tank						with our partners NMRN
Complete Beach huts - capital build lumps fort	<b>March 2019</b>	Capital bid of £50k is secured in capital round. Intend opportunity will be developed to publish this project on Intend in Q2	<b>AMBER</b>	<b>GREEN</b>	<b>AMBER</b>	
Complete the cemeteries strategy	<b>December 2018</b>	Research and benchmarking completed in Q1	<b>GREEN</b>	<b>GREEN</b>	<b>GREEN</b>	
Delivery of Health and Wellbeing project funded from the Public Health Transformation Fund, over four-year project with a value of £174,000 which	<b>2021</b>	£174,000 secured from the Public Health Transformation Fund April 2018.	<b>GREEN</b>	<b>GREEN</b>	<b>GREEN</b>	

will create health hubs in libraries across the city to support and improve the health and wellbeing of residents and to deliver the Libraries universal offer to support health and wellbeing						
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Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
<b>COMMUNITY AND COMMUNICATIONS</b>						
<p><b>Delivery of the channel shift/ digitalisation programme</b></p> <p>This is a corporate capital programme, which is in its second phase. The programme aims to deliver both financial benefit and improvements to customer service.</p> <p>Key objective for 2018/19 are:</p> <ul style="list-style-type: none"> <li>• Deliver year one of programme plan</li> </ul>	<p>On-going</p>	<ul style="list-style-type: none"> <li>• Ground Floor Reception alterations delivered</li> <li>• Year One plan scoped and resourced</li> <li>• Revised website plans</li> </ul>	Green	Green	Green	<ul style="list-style-type: none"> <li>• Resources from services available to agree work and undertake UAT</li> <li>• Specialist resource availability</li> <li>• Changing priorities</li> </ul>

<ul style="list-style-type: none"> <li>Achieve year one benefit realisation</li> </ul>						
<p><b>Implementation of Universal Credit (including the Local Support Framework)</b></p>	<p>On-going</p>	<ul style="list-style-type: none"> <li>Digital support planned to run through libraries/VCS</li> <li>Further working with VCS to support residents.</li> <li>Support through Civic Offices to UC customers.</li> </ul> <p>Full service roll out is anticipated to be September 2018 for Portsmouth. We have recently been advised that full migration of relevant housing benefit caseloads has been put back to 2023.</p> <p>In Q2 2018/19 we plan to start forecasting the impacts of HB caseload reducing, taking into account that the delivery of support of UC access channels is such, that the workload may in the short to medium term be greater, despite the reduced caseload.</p>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>Department for Work and Pensions delaying the full service go live date and full migration.</li> </ul>
<p><b>Voluntary sector partnership develop:</b></p> <ul style="list-style-type: none"> <li>Deliver the HIVE building project - Dec 18</li> <li>Deliver HIVE Co-operative/ Alliance - including governance arrangements. - April 2019</li> </ul>	<p>On-going</p>	<ul style="list-style-type: none"> <li>HIVE site has now been agreed and work on project scope has commenced</li> <li>Alliance model co-design underway</li> <li>Toolkit in production - marketing plan approved</li> <li>Pilots on infrastructure support underway</li> <li>SE post funding approved</li> </ul>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>VCSE don't buy in to the new ways of working: mitigate by senior leadership and key influencers in the sector.</li> <li>Key players from the VCS leave: mitigate by working with the</li> </ul>

<ul style="list-style-type: none"> <li>• Produce HIVE (Asset Based Commissioning Strategy) Strategy for partnership work. - April 2019</li> <li>• Deliver Project Bridge Toolkit. - September 2018</li> <li>• Deliver access and information interactive map. - July 2019</li> <li>• Provide Infrastructure support. - April 2019</li> <li>• Publish City Priority Standards. - October 2018.</li> <li>• Develop SE market - Resource from September 2018</li> <li>• Review and deliver volunteer capacity to support PCC Services.</li> <li>• Run 4 x Project Bridge per annum</li> <li>• Run 4 x VCSE Support Sessions per year</li> </ul>						<p>sector on succession planning and partnership working.</p> <ul style="list-style-type: none"> <li>• Funding sources for the VCS reducing: mitigate by investigating opportunities re bid writing and CLT.</li> <li>• Statutory partners not buying in to this new way of working: mitigate by senior leadership,</li> <li>• Leadership capacity mitigated by building resilience in core VCSE Team and facilitating relationships.</li> <li>• Political influences mitigated by communication, engaging and evidencing.</li> </ul>
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<p><b>General Data Protection Regulations:</b></p> <p>To ensure the Council complies with the GDPR and new Data Protection Act which came into force 25 May 2018. To avoid monetary penalties for non-compliance.</p> <p>To deliver all training and communications detailed in the GDPR project plan by 25 May 2018.</p> <ul style="list-style-type: none"> <li>To review all Information Asset Register Spreadsheets by 25 May 2018 and provide each business area with an action plan</li> <li>To provide access for all Information Asset Owners and co-ordinators to the Electronic Information Asset Register by 30 June 2018 to enable them to</li> </ul>	<p>On-going</p>	<p>Review of Information Asset Register is complete. Meetings still to be held with Legal Dept. &amp; PCMI to discuss actions.</p> <p>Tutorial for those who will be given access to the information asset register has been written and approved. Issues with the Electronic Information Asset Register have been fixed and the Programme manager is in the process of arranging for individuals to have access.</p> <p>The team has been working with departments to update privacy notices and the majority of these have been done and are online for each business area. The article was included in Flagship in April as agreed.</p> <p>Training and communications have been shared with all partners as planned. A further visit to PCMI is scheduled for 18 July to review their information asset register.</p>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>Lack of resource to carry out the work</li> <li>Inability to get providers of systems to make changes that allow us to be compliant</li> <li>Cost of making system changes</li> </ul> <p>Mitigating actions</p> <ul style="list-style-type: none"> <li>Inform Michael Lawther in his capacity as GDPR project sponsor of resource issues and use allocated budget to engage necessary staff</li> <li>IT service to work with providers of systems to address non-compliant issues and keep records of correspondence</li> </ul>

<p>keep details of their assets up to date.</p> <ul style="list-style-type: none"> <li>• To review and update all existing privacy notices and communicate the impending changes under GDPR to the public via Flagship by 25 May 2018</li> <li>• To meet with all partners and other groups for whom PCC has a level of responsibility (Solent LEP, PCMI, The Port, Schools, Gosport Borough Council) to deliver training and advice and agree actions required by 25 May 2018</li> <li>• To identify all contracts that do not have GDPR compliant clauses and issue deeds of variation by 30 December 2018</li> <li>• To identify all Data Processors with whom no Data Processing Agreement exists and issue a GDPR compliant agreement for signing by 30 December 2018</li> <li>• To review and update all existing Information</li> </ul>		<p>All contracts over £5000 that involve the processing of personal data have been identified and prioritised in terms of their importance to the Council. PCC's Legal Service has provided some acceptable wording for a deed of variation and the Information Governance has updated the Data Processing Agreement so that it is GDPR compliant. A communication has gone to the PCC contract managers for each one, asking them to contact the contractor to arrange for the deed of variation/data processing agreement to be signed where appropriate. This process will be repeated until all contracts/agreements have been updated.</p> <p>Reporting functionality for the Information Asset Register is in the process of being built, which will enable us to identify where Information Sharing Agreements exist/don't exist and where they have expired and need updating.</p>				<p>as evidence of our attempts</p> <ul style="list-style-type: none"> <li>• Expensive changes to systems to be agreed by Michael Lawther on a risk-based approach and a record of the decisions to be kept as evidence</li> </ul>
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Appendix 3 - Projects

<p>Sharing Agreements and introduce new agreements where none currently exist by 30 December 2018.</p>						
<p><b>Equality Strategy:</b></p> <p>Following consultation in quarter 2, produce an equalities strategy and action plan for sign off in quarter 4 2018/19.</p>	<p>On-going</p>	<p>Draft strategy and questions being developed ready for the undertaking of consultation starting in August.</p>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>Limited staff capacity and resources from Equalities: mitigated by allocating time specifically to the project</li> </ul>
<p><b>Business Rates Retention:</b></p> <p>Develop a business rates strategy to meet the requirements of evolving Local Authority Finance systems.</p> <ul style="list-style-type: none"> <li>Review of all business rates policies - December 18</li> <li>Develop a timetable and process for the periodic review of all business rates reliefs - September 18</li> <li>Delivery of a briefing to Cabinet on the importance of</li> </ul>	<p>On-going</p>	<p>A first draft strategy document has been prepared, with a review meeting scheduled for July 2018 with the Director for Community &amp; Communication, following which it is intended to publish a first draft for consultation and engagement with the Director of Finance &amp; Is, ahead of a cabinet briefing to gain support, and where necessary direction, for this strategy.</p> <p>Reviews of existing council policies and processes have commenced, however this piece of work will be limited until such time that the approach described in the Business Rates Retention strategy has been approved by relevant Directors and Portfolio Holder / Cabinet.</p>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>Buy in from the Administration and Directors could compromise the ability to create a cohesive approach across the authority: mitigated by continued engagement with Finance, and agreement/and support of strategy from S151 Officer and Portfolio Holder.</li> <li>Resourcing levels presents potential</li> </ul>

<p>business rates, supported by IRRV if necessary - September 18</p> <ul style="list-style-type: none"> <li>• Engage with directors on impact of business rate, defining responsibilities in relation to the accuracy of the rating list - December 18</li> <li>• Develop a process to ensure an inspection routine is made across the city - September 18</li> <li>• Enable all council staff to contribute to inspection of the city - Dec 18</li> <li>• Ensure financial appraisal associated with planning/development decisions includes consideration to the impacts of domestic vs commercial property taxation - Dec 18</li> <li>• Engage other local authorities to lobby</li> </ul>		<p>Plans are being prepared to implement a periodical 'grid reference' inspection of the city, including a specific focus on reviews of small business rates relief and Mandatory Rate Relief.</p>				<p>risk: mitigated by exploring relationship between resource input and revenue opportunity for future spend to save proposals.</p> <ul style="list-style-type: none"> <li>• Lack of primary legislation is delaying full rates retention nationally and future changes to the way local authorities retain greater level of business rates are to be determined, as is greater flexibilities with regards economic development: mitigated through engagement and lobbying. In future there will be more frequent revaluations, which provides less certainty to authorities on future income levels and may increase workload</li> </ul>
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<p>via LGA to give businesses responsibility for identifying themselves for rating purposes, for councils to have increased working relationship with the VOA, including the ability to fund resources to speed decision making, and for simplification of business rates reliefs - December 18</p> <ul style="list-style-type: none"> <li>Lobby in relation to learning from the Solent Business Rates Pool, and for future flexibility with business rates as part of the intended change to the national retention scheme - April 2019</li> </ul>						<p>for the VOA unless the approach to valuation changes, e.g. the potential for self-assessment: mitigated by engaging in any future consultations, and lobbying.</p>
<p><b>Revenues debt recovery strategy:</b></p> <p>To review the current recovery process and develop a strategy</p>	<p>On-going</p>	<p>The review at present is focussing on the enforcement process stages and our position with our providers of enforcement services. This contractual review is anticipated</p>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>Increase in length of time taken to recover debt from most vulnerable customers.</li> </ul>

Appendix 3 - Projects

<p>which results in best practice, maximising recovery and support to the most vulnerable customers. Strategy to be developed and work streams agreed by the end of December 18. Implementation plan to be developed by Q4 with implementation anticipated to be completed in 2019/20..</p>		<p>to lead to changes to our contractual position, and a procurement exercise is likely to be required, and commencing in Q2.</p> <p>The operational review includes the determination of best practice across the end to end customer journey in Revenues, including how we best support those residents with the greatest need.</p>				
<ul style="list-style-type: none"> <li>• <b>Engagement and community development strategy:</b> develop consultation events - target of three events per quarter</li> <li>• review and relaunch citizens panel - target of 1,000 members</li> <li>• increase number of resident engagements per annum - establish baseline in 18/19 and measure from 19/20</li> <li>• develop and implement the HIVE programme</li> </ul>	<p>On-going</p>	<ul style="list-style-type: none"> <li>• consultation process developed and sign-off agreed</li> </ul>	<p>Green</p>	<p>Green</p>	<p>Green</p>	<ul style="list-style-type: none"> <li>• Lack of buy-in from directorates: mitigate through on-going internal stakeholder engagement.</li> <li>• lack of engagement with consultation approaches: mitigate through effective marketing and ease of use</li> </ul>

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
Devolution/ combined authority	N/A	Ongoing dialogue at political level and with MHCLG	NA	NA	NA	Dependant on political and governmental decisions
Temporary Staffing re-tender	31/12/18	Approaching end of existing contract for supply of agency staff. Tendering process in early stages. Soft market testing underway and drawing up of requirements	Green	Green	Green	Limited number of suppliers in market reducing options.
Business Intelligence	31/12/18	Initial implementation now complete. Future development and roll-out of BI now being scoped and progressed.	Green	Green	Green	Complex project involving Finance and IS as well as HR. Risks around technology, data conversion and management buy-in

Apprenticeship levy (potential cost c£700k per year)	31/3/19	Majority of framework contracts now let for array of training provision. Work ongoing with services to identify opportunities for apprenticeships. Overall number of apprentices continuing to increase. Schools apprenticeship officer now in post and working with schools to identify opportunities	Green	Green	Green	Risk of not having sufficient training providers to meet demand. Also risk of having insufficient job roles suitable for apprenticeships
Strategic Partnership Review	31/3/19	Review of council's key strategic partnerships to ensure right structure, membership and scope. Draft proposals produced and being consulted on with key partners	Green	Green	Green	Failure to gain agreement from key partners on proposals
Military Covenant	31/3/19	Successfully gained Gold award under Employer Recognition Scheme. Ongoing work to deliver other aspects of covenant and ensure that partnerships with military community are strengthened and delivering outcomes. Needs assessment nearing completion	Green	Green	Green	Maintaining profile of covenant amongst other service pressures and priorities
Workplace Wellbeing	31/3/19	Wellbeing Co-Ordinator working with service departments to understand priorities and develop interventions. Includes targeted resilience/stress awareness training, office environment audits and health campaigns	Green	Green	Green	Difficulties measuring impact of interventions. Availability of funding to support wellbeing



						initiatives in longer term
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**Finance and IS Projects**

Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
<b>Hampshire Community Bank</b>	Ongoing	Milestone reached for second instalment and bank currently progressing towards challenge stage of authorisation process	Amber	Green	Amber	Failure to achieve license by shareholders longstop date
<b>Municipal Energy company</b>	Sept 2018	Project on track towards controlled market entry in September 2018	Green	Green	N/A	Cabinet agreed to cease further investment in Victory Energy
<b>Network migrations</b>	October 2018	Network migrations aligned to network consolidation programme and any down time planned to be acceptable to users	Amber	Green	Green	Disruption to services during migration e.g. loss of control of schools heating system

<b>SystemOne/ContrOCC (replacement of Adult Social Care SWIFT AIS)</b>	<b>March 2019</b>	Delivery continues of finance module and case management configuration. Archiving commercial approach agreed and costed. Migration approach agreed and being planned in detail. Training coordinated with Mosaic project	<b>Amber</b>	<b>Green</b>	<b>Green</b>	Availability of reporting resource from ASC Performance from 3 <sup>rd</sup> party supplier (TPP) Timing of proposed Intervention
<b>Mosaic (replacement of Child Social Care SWIFT CCM)</b>	<b>March 2019</b>	Automated migration processes tested and test records transfer validated Workflow development & Finance - initial build returned by supplier Forms development underway with team Training coordinated with SystemOne/ContrOCC project	<b>Amber</b>	<b>Green</b>	<b>Green</b>	Availability of reporting resource from CSC Earlier implementation of portal functions
<b>vFire implementation (replace e-Works, obsolete IT service management software)</b>	<b>Go live: July 2018 Phase 2: December 2018</b>	Phase 1 complete and vFire Core product is live and in use. Snagging and reporting issues being addressed with supplier. Phase 2 customer portal and additional workflows in development.	<b>Amber</b>	<b>Green</b>	<b>Amber</b>	Successful completion of configuration and testing of change management module
<b>Windows 10</b>	<b>December 2019</b>	Latest corporate build ready for September 2018 pilot phase. Adult and Child social care services targeted for first roll out planned for October 2018 Application review and preparation progressing Service by Service.	<b>Amber</b>	<b>Red</b>	<b>Amber</b>	Addition of previous out of scope works
<b>Local Full Fibre Network (Solent Network)</b>	<b>March 2021</b>	DCMS Checkpoint A (Initiation) passed (August 2018) Procurement strategy agreed internally (September 2018) Preparation for DCMS Checkpoints B (September 2018) and C (October 2018) (B - ready to procure; C - contract)	<b>Green</b>	<b>Green</b>	<b>Green</b>	Site surveys highlight - <ul style="list-style-type: none"> <li>• additional access works (dig costs)</li> <li>• additional way leave costs</li> </ul>

Port Projects						
Project	Target Date	Key progress and issues arising	On track - time (RAG rating)	On track - budget (RAG rating)	On track - outcomes (RAG rating)	Key project risks
<b>Berth 4 Linkspan Replacement</b>	March 2018	Linkspan has been installed. Currently in the 12 months defects period.	Green	Green	Green	Delay in completing design, delivery and installation.
<b>Port Expansion (Cruise)</b>	March 2021	Business case being developed with the support of a specialist consultant. This includes ship simulation, identifying infrastructure requirements and market potential.	Amber	Amber	Amber	Ability to attract new cruise liners to Portsmouth.

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## Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>CHILDREN'S SERVICES</b>								
Alison Jeffery (Director of Children's Services)	Demand pressures leading to increased workloads for social care staff	Ongoing monitoring	High	High	High	Increased risk around quality of social work practice	Ongoing monitoring as part of quarterly reporting. This risk has begun to materialise, notwithstanding additional investment in SW posts. The position is being monitored closely against the background of keen competition regionally to recruit social workers.	Personal injury to child;
Alison Jeffery (Director of Children's Services)						Reduced attractiveness of PCC as an employer		financial loss to authority; failure to achieve objectives
Alison Jeffery (Director of Children's Services)	Increased incidence of domestic violence in the city.		Medium	Medium	Medium	May increase severity of harm (last 3 Serious Case reviews have featured domestic abuse, 70% protection plans feature domestic abuse and 50% children removed into LA care have experienced domestic abuse).	Linked to Stronger Futures Programme for developing effective early help services for the city. The inclusion of DA services within Children and Families should help to ensure DV expertise across a wider workforce.	Personal injury; reputational damage through poor inspection judgement leading to pressure on social workers.
Alison Jeffery (Director of Children's Services)	Refocusing staff time on more vulnerable families increases rather than decreases demand on statutory social care as more need is uncovered	In quarterly reporting	Medium	High	High	Increased demand and pressure on resources - this is now manifesting	Referrals into CSC have risen significantly	financial loss to authority; failure to achieve objectives

## Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
Alison Jeffery (Director of Children's Services)	Failure to make successful claims under Troubled Families Programme		Low	High	Medium	Reduced income available to the authority for investment in services	Struggling to capture progress adequately in order to make claims but are making progress.	financial loss to authority; failure to achieve objectives; reputational damage
Alison Jeffery (Director of Children's Services)	Implementation of new children's IT system		Low	Low	Low	System becomes unaffordable and ineffective as user base reduces (ASC withdrawal) - local and national risk	Decisions have been taken and funding allocated for a new system. Implementation will be a key project for 17/18	Financial loss; failure to achieve objectives
Alison Jeffery (Director of Children's Services)	Process of academisation for schools distracts schools from improving teaching and learning		Low	Low	Low	Deterioration in outcomes for children	The LA is working closely with the Regional Schools Commissioner to ensure that LA maintained schools have access to good information about the process and details of strong MATs that have capacity for growth and a good track record. The LA is also working closely with MATs operating in the area and ensuring that academisation of local schools is done in a considered but robust way.	Failure to achieve objectives

## Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
Alison Jeffery (Director of Children's Services)	Failure to provide enough secondary school places in 2022		Medium	Medium	Medium	Failure to meet statutory duty to provide school places; secondary school pupils in Portsmouth have to attend schools outside the city (if places are available).	The risk can only be mitigated through obtaining and using sufficient basic need capital allocations to provide new places. Members have now approved significant capital investment to reduce this risk	Breach of statutory duty; significant impact on students and reputational damage.
Alison Jeffery (Director of Children's Services)	Failure to attract sufficient high quality teaching and school leader posts		High	High	High	Vacancies in key subject areas and leadership posts and reliance on temporary / supply / interim positions will impact on progression and attainment of pupils.	The PEP has identified this risk as a key priority and an Initial Teacher Training / Teacher Recruitment & Retention Group has been established. An action plan for 2018/19 has been agreed.	Reputational damage. Failure to achieve targets set by the PEP.
Alison Jeffery (Director of Children's Services)	Demand for special school places / pressure on high needs funding		High	High	High			

**Appendix 4 - Quarter One risk register**

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
Alison Jeffery (Director of Children's Services)	Reductions in school budgets		High	High	High			
Alison Jeffery (Director of Children's Services)	Short-term nature of service funding		High	High	High			
Alison Jeffery (Director of Children's Services)	Continued demand for UASC support		High	High	High			



## Appendix 4 - Quarter One risk register

Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk Impact	Risk Status	Potential Outcome	Mitigation / Commentary	Type of risk
<b>ADULT'S SERVICES</b>								
Innes Richens (Director of Adults Services)	PCC owned and Operated Residential Care Homes		High	High	High	<p>More frequent hospital admissions or moves to a nursing home as behaviours cannot be managed within current staffing ratio.</p> <p>Adverse ratings for PCC homes</p>	<p>Exploring funding options for staff across the 3 dementia units</p> <p>Action Plan drafted and submitted to CQC addressing immediate concerns. Second action plan to address further being prepared. Extensive work has been done by the turnaround team to improve standards in PCC's residential units resulting in:</p> <p><b>Shearwater and Hilsea</b> - both homes been re-inspected and gained a 'Requires improvement' rating from the Care Quality Commission (CQC) with elements of 'good' domains in 'Caring and responsive'.</p> <p><b>Russetts</b> has gained a 'requires improvement in Effective &amp; well-led' with 'Safe, caring &amp; responsive' rated as good. Report published 26/5/19</p> <p><b>Edinburgh house</b> was inspected on 23/25<sup>th</sup> July. No outcome as of time of</p>	

## Appendix 4 - Quarter One risk register

Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk Impact	Risk Status	Potential Outcome	Mitigation / Commentary	Type of risk
							writing this report. However the turnaround team were deployed to Edinburgh shortly before the inspection to support leadership in the home. This deployment was well received by CQC during their inspection.	
Innes Richens (Director of Adults Services)	Investment in workforce		High	High	High	Failure to manage and invest in workforce will impact on ability to deliver against ASC strategy and will increase risk e.g. quality and levels of staffing in residential homes	Plan submitted for revised residential home staffing establishments.	
Innes Richens (Director of Adults Services)	Delivering ASC Interventions to improve services		High	High	High	Moving to a systems thinking approach requires establishing 'constancy of purpose' and creating the right conditions for staff to work	Permission being sought to plan an intervention in support services from the Systems Development Board	

## Appendix 4 - Quarter One risk register

Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk Impact	Risk Status	Potential Outcome	Mitigation / Commentary	Type of risk
						in a systems thinking way. Centralised support services are often unable to support ASC, due to driving waste steps into process. Some corporate policy frameworks conflict with the local direction of the service.		
Innes Richens (Director of Adults Services)	Achieving a Balanced Budget		High	High	High	Not delivering a balanced budget due to insufficient resources.  Not being able to deliver against statutory/legislative requirements.	The financial outturn for 2018/19 is currently projected to be £3.1m in excess of the current Portfolio cash limit. Adult Social Care are developing a long term strategic plan and care model for the service, which will seek to enable the service to become financial sustainable in the future within its available resources.	
Innes Richens (Director of Adults Services)	SWIFT/AIS Migration		Medium	High	High	Previous delays in implementation have constituted a significant risk to PCC given that SWIFT/AIS support is being	A comprehensive project plan has been established highlighting project risks and dependencies and with a clear timeline for delivery. Implementation is scheduled for March 2019, therefore there is	

## Appendix 4 - Quarter One risk register

Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk Impact	Risk Status	Potential Outcome	Mitigation / Commentary	Type of risk
						reduced and is likely to deteriorate.	reduced risk re loss of SWIFT support as read only access will still be available for a designated period of time.	
Innes Richens (Director of Adults Services)	Domiciliary Care Resources		High	High	High	Continued inability to contract for domiciliary care support for people living in their own homes. Risk of impact on health & wellbeing, increased risk of admission to residential care. Impact on ASC budget of more expensive provision.	Transformation fund bid approved to recruit for a 'wrap around' domiciliary care service based on reablement. There remains a recruitment challenge.	
Innes Richens (Director of Adults Services)	Provider Failure		High	High	High	Both Domiciliary and Residential Care provider failure has significant impact on being able to provide vulnerable people with appropriate care and support	Monitoring mechanisms in place. 'Large Scale Enquiry' co-ordinated approach used to mitigate impacts of provider failure. Provision of advice and support.	
Innes Richens (Director of	Future Population Demographics		High	High	High	Failure to assess future	Plans to assess this as part of Adult Social Care Strategy development.	

## Appendix 4 - Quarter One risk register

Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk Impact	Risk Status	Potential Outcome	Mitigation / Commentary	Type of risk
Adults Services)						population data predictions in terms of increasing demographics will mean the service may not be fit for purpose in the longer term		
Innes Richens (Director of Adults Services)	Fulfilling safeguarding responsibilities		Medium	High	High	Failure to respond appropriately to safeguarding referrals	In addition to current work within the Adult MASH Safeguarding Team to make improvements, the possibility of an intervention to do a comprehensive analysis of demand and improvements required is being explored.	

## Appendix 4 - Quarter One risk register

Risk owner	Risk area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>PUBLIC HEALTH</b>								
Dr Jason Horsley (Director of Public Health)	Insufficient focus on system prevention and early intervention in system-wide plans	System wide working with partners	Low	Medium	Low	Failure to reduce demand on services	Working with partners to ensure the Portsmouth Health and Care Programme is sufficiently focused on prevention and early intervention	Failure to achieve objectives
Dr Jason Horsley (Director of Public Health)	Reduction in funding in services, including for vulnerable people eg. drug and alcohol services, oral health, healthy child programme	Commissioned services	High	Medium	High	Population health outcomes decline	Managed through service redesign, retender of services and performance management of providers, where possible.	Failure to achieve objectives

## Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>HOUSING, NEIGHBOURHOOD AND BUILDING SERVICES</b>								
James Hill/Meredydd Hughes	Removal and replacement of the ACM cladding system on Leamington House and Horatia House	MHCLG testing of cladding systems	Low	Low	Low	If Central Government do not fund the removal costs re-cladding this will be a budget pressure on the capital programme	MHCLG have confirmed grant availability for decladding and recladding	Financial risk
James Hill/Paul Fielding	Rehousing households from Leamington House and Horatia House	BRE concrete core samples	Low	High	Low	Risk associated with a non-piped gas explosion, likelihood of incident is low and mitigated by measures in place but the impact is high and the building will not respond as it should.	Measures in place and rehousing scheme underway	Reputational/financial risk
David Mearns/Mark Sage	Universal Credit Full Service roll-out in Portsmouth and Havant in Sep and Nov 2018	Current experience of UC Live Service and feedback from others already on Full Service				Some financial problems for PCC tenants newly claiming UC but Government changes should make this easier to manage.	Staff training and tenant awareness raising is planned	Financial risk Risk of service deterioration

## Appendix 4 - Quarter One risk register

Colette Hill/Vince Venus	Waste Management - Fluctuations in the income received from the sale of recyclable material	PI risk register	High	Medium	High	Change in the currency exchange rates, plus changes in national and international markets, could lead to a reduction in the income received	Veolia have short-term contracts in many of the markets around the world	Financial
Colette Hill/Vince Venus	Waste Management - Change in the structure of the waste management arrangements in Hampshire over the long term could impact upon the costs and environmental impacts of recycling and disposing of household waste	PI risk register	Low	High	Medium	The current contract for waste disposal across Hampshire ends in 2031. Changes in arrangements before this time could lead to financial costs for the three disposal authorities, which includes Portsmouth.	PCC works at all levels with other political organisations in Hampshire. Contract is in place until 2031	Political and financial
Colette Hill/Vince Venus	Waste Management - Approaching the end of the current waste collection contract in 2019	Waste Collection contract risk register	High	Low	Medium	Current contractor may not retain the contract A new operator would need to take control of the service and this	Two year extension now approved (now ends in 2021)	Financial and contractual



## Appendix 4 - Quarter One risk register

						could lead to a temporary interruption in service		
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Risk Owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of risk
<b>REGENERATION</b>								
All managers and staff	Risk arising in the course of delivering infrastructure projects and maintaining the road network; enforcement of proper use of the network; delivering travel related events, business events and town centre management ; managing business premises; providing transport and	Ongoing monitoring	Low	High	Medium	Reputation of the city and the City Council with residents, businesses, investors and funding agencies.	Meeting legal requirements under Health and Safety legislation for working on the highway and other sites. Procurement of contracts to include health and safety requirements. Health and Safety training for all staff and sharing of good practice. Management of Health and Safety including fire protection in all premises. Protective measures and equipment for particular vulnerable workers. Quality control in Highways design. Safeguarding and risk assessments included in service and event planning.	Personal injury / harm (to staff/contractors and residents)

## Appendix 4 - Quarter One risk register

	delivering employment learning and skills services for vulnerable children and adults.							
Pam Turton Martin Lavers Claire Upton-Brown, Natascha McIntyre Hall	Risk to air quality from vehicles especially in areas of congestion. Flooding from sea water and surface water. Risk to the environment as a result of Planning policy and the site Planning Application process. Risk to the environments in the course of delivering Strategic Development Projects.	Ongoing monitoring	Medium	High	Medium/High	Negative impact on public health. Damage to property; disruption to businesses and services; financial loss.	Cross directorate Air Quality Action Plan in place to tackle air pollution which includes improvements to the road network, behaviour change and a shift to cleaner travel options. Sea defence strategy flood defences underway; and improvements to surface water management the city. All environmental risks are identifies and assessed as part of the Planning Policy and planning application processes. Specialists are employed or commissioned to ensure this is fully resourced. Strategic Development projects will include environmental impact analysis and mitigation arrangements as part of the project initiation process.	Environmental damage

## Appendix 4 - Quarter One risk register

<p>Natascha McIntyre Hall, Pam Turton, Martin Lavers, Liz Crate</p>	<p>Overspend on large infrastructure projects and contractual issues. That the city's parking strategy discourages travel to the city for business and leisure. Failure to generate sufficient income from contracts and services to sustain Employment, Learning and Skills programmes.</p>	<p>Ongoing monitoring</p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p>Poor use of capital finance and impact on effect on future programmes. Negative impact on the local economy and income for the council.</p>	<p>Effective management and governance of projects. Have an effective parking strategy for the city that balances the needs of all stakeholders. The ELS service works to maintaining excellent standards to secure full payment of all income due; and a positive reputation to secure access to future contracts and funding streams.</p>	<p>Financial loss</p>
<p>All managers</p>	<p>E.g. Statutory Planning responsibilities, Blue badges and s278 notices. Flood Waters Act and Health and Safety at Work Act.</p>	<p>Ongoing monitoring</p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p>Reports to monitoring agencies, changes, possible fines.</p>	<p>Maintaining priority focus on and adequate resourcing and expertise in these areas of responsibility.</p>	<p>Compliance with statutory duties and responsibilities</p>
<p>All managers</p>	<p>Lack of investment or failure to secure capital for major strategic an infrastructure projects, or that</p>	<p>Ongoing monitoring</p>	<p><b>Medium</b></p>	<p><b>High</b></p>	<p><b>Medium</b></p>	<p>Failure to deliver regeneration of the city Effect on bidding for funding and contracts, reduced</p>	<p>Work with internal and external partners to ensure support and commitment for strategic projects and major schemes and ensure that the delivery teams are adequately resourced.</p>	<p>Failure to achieve objectives (both strategic and operational)</p>

Appendix 4 - Quarter One risk register

	<p>we would not have the capacity to deliver these. Delayed city development due to slippage in Planning policy and guidance timescales. Market conditions negatively impact on regeneration and city growth schemes, projects and developments. Lack of consensus to enable strategies to be implemented in full e.g. active travel, air quality, and sustainable transport. Insufficient staff capacity due to reduced funding and pay constraints. Lack of revenue funding to maintain or improve current levels of service, e.g. road safety</p>					<p>investment and growth. Poor service delivery, and loss of potential to deliver future services. Reputational damage and its effect on future plans, projects and initiatives. Fines and referral to other government agencies for resolution.</p>	<p>Ensure that operational teams delivering day-to-day services have the resources and effective practices to meet their service objectives. Work closely with Portfolio holders to ensure support for plans and ensure the governance processes followed. Implementation of key strategic plans, such as the Local Plan; raising the profile of affordable housing in shaping the future of Portsmouth; promotion of the city as an investment destination. The team structure for the directorate provides a core of experienced staff supported by flexible resources with specialist skills to provide value for money. Continue to bid for funding for transport initiatives to ensure that resources can be recruited to deliver them. Continue to bid for internal and external funding to support critical work programmes and transport initiatives that address travel and transport issues in the city.</p>	
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## Appendix 4 - Quarter One risk register

	education and campaigns. Under-achievement on the Employment, Learning and Skills (ELS) programmes.							
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Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>CULTURE AND CITY DEVELOPMENT</b>								
Stephen Baily (Director of Culture and City Development)	Reduction in budgets					Reduced services and resilience	Forecast outturn for 2017/18 as at Q2 indicates an overspend of £4k.  It is likely that this will be absorbed in the remaining months of the year and that the service will be within budget by 31 March 2018.	Failure to meet objectives
Stephen Baily (Director of Culture and City Development)	Reduction in budgets					Deterioration of buildings and assets	Plans are currently being formulated to deliver the required 2018/19 savings.	
Stephen Baily (Director of Culture and City Development)	Safety and security of buildings and assets (including collections)					Damage to buildings or collections; risk to building users if non-compliant (fire, legionella etc)	Operational plans and training of staff; actions in place following extreme weather	Personal injury, environmental, legal

**Appendix 4 - Quarter One risk register**

Museums and Visitor Services	Security of collections against loss, theft, damage by fire or flood	At any time and especially when showing a particularly valuable or rare collection	Low		Low	Loss or damage and collections for city and for loan internationally	PDR's, 1:1's every 4 weeks and team meetings. Collections Policy and actions. Accreditation standards. Invest in Volunteer standards and	Financial and reputational
Events service	Events not properly risk assessed	At any time and especially at large events	Low		Low	Significant risk to public safety	PDR's, 1:1's every 4 weeks and team meetings. Robust events process/ PESAG process/ wash up process / events strategy / events review/ partnership working	Legislation (e.g. Health & safety)
Cemeteries	Cemeteries lack of capacity; Changing community needs e.g. different religions; Reduction in demand for traditional burials, increase in other religious/cultural burials, insufficient space/layout to accommodate, extra land required, financial impact	Constant as demography of the city changes Once capacity is approaching maximum	Low		Low	Failure to deliver our statutory duty	Prepare a report on the future of burials in the city - to include estimated religious needs; Be aware of statutory legislation and requirements, plan alternatives if necessary e.g. land buying. 15-20 year capacity	Environmental/ reputational

## Appendix 4 - Quarter One risk register

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>COMMUNITY AND COMMUNICATIONS</b>								
Louise Wilders (Director of community and communications)	Requirement to deliver substantially the same portfolio of services whilst reducing costs by more than 10% each year	Budget Impact Statement	High	Medium	Medium	Increased service times, increase in error rate, reputational damage	Reviewing opportunities of partnership working and new income streams . Channel shift implementation	Failure to achieve objectives
Louise Wilders (Director of community and communications)	Ability to implement change - level of corporate buy-in and understanding of > channel shift > equalities > business rates retention	Project documentation.	Medium	High	Medium	Wasted opportunity to achieve on-going corporate savings Poor customer service outcomes	Channel shift moving to BAU and digitisation programme. More services are requesting support.	Failure to achieve objectives
Louise Wilders (Director of community and communications)	Heavy exposure to national political dynamic around welfare reforms and local taxation, electoral issues	Project / Operational plans.	High	High	High	Abandonment of existing plans, changes in scope and responsibility, new initiatives (e.g. property revaluation)	Managing resources to meet needs but impacts on budgets of some changes a concern particularly valuation impact on NNDR	Failure to achieve objectives

**Appendix 4 - Quarter One risk register**

<p>Louise Wilders (Director of community and communications)</p>	<p>Resourcing and ability to run elections. Currently resourced by a very small team, and under-resourced in relation to comparators. Currently supported through the good will of staff across the organisation, but the experience that is periodically used to support the running of elections is also beginning to leave the organisation.</p>	<p>Operational plans.</p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p><b>Low</b></p>	<p>Delays / reputational damage.</p>	<p>Appropriate funding levels have now been agreed, as a result impact reviewed as low.</p>	<p>Failure to achieve objectives</p>
<p>Louise Wilders (Director of community and communications)</p>	<p>The Electoral Commission requires local authorities to review polling stations every 5 years, with our next review required to be completed by December 19. An increasing number of schools are declining requests to be available as polling stations,</p>	<p>Operational plans</p>	<p><b>Medium</b></p>	<p><b>High</b></p>	<p><b>Medium</b></p>	<p>Reputational damage and increased costs.</p>	<p>The lack of alternatives presents risk of additional costs through the provision of inferior alternatives such as portakabins. This can be mitigated through support of relevant directors and the Returning Officer to ensure the continued availability at schools which receive public funding.</p>	<p>Failure to achieve objectives</p>



**Appendix 4 - Quarter One risk register**

	impacting both the review of polling stations and creating additional burdens due to the lack of alternatives for forthcoming elections.							
Louise Wilders (Director of community and communications)	Voluntary Sector - HIVE. Ability to achieve agreement on creation of a co-operative/alliance and SLA on property and buy-in for IAG Map , would result in opportunity loss and return to provider commissioner relationship.	Programme plans	Medium	High	Medium	Reputational damage, increased cost, opportunity loss, loss of opportunity around cost avoidance	Project teams for each strand has been agreed and colleagues from VCSE engaged	Failure to achieve objectives

Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/commentary	Type of Risk
<b>HR, LEGAL AND PROCUREMENT</b>								

**Appendix 4 - Quarter One risk register**

Jon Bell (Director of HR, Legal and Performance)	Reduced capacity	Day to day management activity	Low	High	Low	Risk to maintaining areas of business activity	Directorate has successfully delivered year on year savings and reduced in size accordingly. Additional income has been identified to maintain sufficient critical mass to meet organisation's needs. Key areas such as Child Protection Team (Legal) protected	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Recruitment and retention of key staff as economy continues to grow	Business Planning and workforce development	Medium	High	Medium	Loss of/difficulty in attracting sufficient skills and expertise	Some recruitment and retention issues being experienced within directorate and across wider organisation in certain specific areas - processes for market supplement payments (MOPs) have been reviewed and improved, and improvements are being made to recruitment/staff sourcing arrangements for particular roles. Also, workforce planning/succession support is being provided to managers in affected areas.	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Reduced effectiveness of governance	Audit reports and day to day HR and legal activity	Medium	High	Medium	Increased exposure to the organisation of risk arising from poor governance	Key governance controls in areas such as Internal Audit being maintained. Performance management being strengthened as directed by GAS Committee. Capacity of managers across the organisation to maintain	Failure to achieve objectives

## Appendix 4 - Quarter One risk register

							effective governance controls is still a concern.	
Jon Bell (Director of HR, Legal and Performance)	Increased dependency on external income	Budget planning	High	Low	Low	Volatility/lack of security of service	Schools income continuing to decline due to academisation programme. Increased income from new temporary agency and new local authority partnerships.	Failure to achieve objectives
Jon Bell (Director of HR, Legal and Performance)	Dependency on key staff to deliver to internal and external clients. Additional strain on staff due to additional travelling etc		Medium	Medium	Medium	Loss of key staff, potential impacts on wellbeing, leading to inability to deliver service	Workforce planning to develop skills of wider group of staff. Regular 1-2--1s for staff where support and welfare needs are discussed	Failure to achieve objectives

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Finance & IT - Risk Register								
Risk owner	Risk Area	Where risk identified	Risk Likelihood	Risk impact	Current Risk Status	Potential outcomes	Mitigation/ commentary	Type of Risk
Chris Ward, Director of Finance and IT	Maintaining overall financial resilience for the Council	Financial support to services and Council priority schemes	Medium	High	Medium	Increases in future Savings Requirements and threat to sustainable public services	<p>Delivery of the Medium Term Financial Strategy.</p> <p>Maintaining General Reserves above the minimum level</p> <p>Retaining organisational capacity in areas responsible</p>	<p>Failure to achieve objectives</p> <p>Risk in complying with statutory duties and responsibilities</p>

## Appendix 4 - Quarter One risk register

							for delivering transformational change	
Chris Ward, Director of Finance and IT	Requirement to produce significant share of the council's savings target	Financial support to services and Council priority schemes	Medium	High	Medium	Reduction in service delivery e.g. income collection, provision of advice and management information for effective decision-making by budget holders.	Service aims to identify new income opportunities and efficiencies to meet savings targets to avoid reducing staffing to levels which compromise service delivery	Failure to achieve objectives and deliver expected service  Risk in complying with statutory duties and responsibilities
Chris Ward, Director of Finance and IT	Maintaining financial resilience arising from staff reductions	Lack of cover, expertise and continuity	Medium	Medium	Medium	Reduction in service delivery and financial control	Ongoing review of business processes to ensure efficient service delivery. Raise income as a mechanism to avoid staff reductions	Delay in achievement of objectives  Risk of breaching statutory duties and responsibilities
Chris Ward, Director of Finance and IT	Default of an investment counterparty where the council has invested significant sums	Treasury Management strategy	Low	High	Low	Financial loss	Changing credit ratings of counterparties is kept under constant review.	Financial loss  Reputational damage
Chris Ward, Director of Finance and IS	Ability to restore financial and other systems post 'event'	IS DRP	Low	High	Medium	Impact on trading services/external clients as well as PCC	A full disaster recovery exercise of the Council's enterprise resource planning system has not been tested in the recent past. The robustness of the current plan	Financial loss Reputational damage

**Appendix 4 - Quarter One risk register**

							cannot therefore be fully ascertained.	
Chris Ward, Director of Finance and IS	Pay levels - currently unable to compete in the financial market to attract, recruit and retain appropriately skilled staff	Professional Accountancy staff EBS	High	High	High	Increased costs to PCC of consultants, agency staff and recruitment campaigns	Development of in-house trainee programme for finance including maximising opportunities from apprenticeship levy finding to upskill staff	Failure to achieve objectives  Risk in complying with statutory duties and responsibilities
Chris Ward, Director of Finance and IS	Bringing forward closing of accounts deadline by four weeks - new statutory deadline from 2017/18	Resourcing priorities	Medium	H (Reputationally) L (on Council services)	Low	Reduction in time to complete accurate statutory reports Adverse Audit report	Deadline achieved in 2017/18 reduces risk status to L based upon current resource levels	Failure to achieve objectives  Risk in complying with statutory duties and responsibilities  Reputational damage
Chris Ward, Director of Finance and IS	Meeting customers' expectations re new technology that is in general use by other organisations or day-to-day personal use	Aging technology increases risks to PCC business modernisation	Medium	High	Medium	Inefficient ways of working across PCC and partners	With the IT Strategy, Category Plan , IT restructure and Digital City Strategy either complete or underway likelihood is now downgraded from H to M	Failure to achieve objectives and deliver expected service
Chris Ward, Director of Finance and IS	Project delivery	Potential insufficient resource to address business need	Low	Medium	Low	Impact upon business change Impact upon time, cost and quality schedules	This continues to be low risk and has not got close to being realised during the last quarter. Consideration to be given to removing from Risk Register.	Failure to achieve objectives and deliver expected service

## Appendix 4 - Quarter One risk register

Chris Ward, Director of Finance and IS	Roadmaps, contract pipeline and NPD - project prioritisation, supplier relationship management and contract management	Increased costs to PCC	Low	High	Medium	Risk that parts of the IT infrastructure become obsolete (e.g. ITSM and Traffic Management Centre).	Introduction of "best in Class" Architect Practice and Competencies. Further Governance resource from restructure	Financial loss; Operational degradation; reputational damage
Chris Ward, Director of Finance and IS	Changes from central government - ongoing risk of changes to either PSN or service department data requirements	Changes required to systems and IT infrastructure cannot be achieved on time	Low	High	Medium	Loss of PSN accreditation; security or data breach	Latest Security audit was credited with being the best that the IT has had so far. External threats however remain an ever present risk.	Financial loss; Failure to maintain organisational business objectives; reputational damage
Chris Ward, Director of Finance and IS	Strength of Cyber-security arrangements - other local authorities have received ransomware attacks: end user alert-based system at the moment leaves PCC vulnerable because e a "zero day attack" could evade our current defences.	Loss of key business systems and data breaches	High	High	High	Potential multiple impacts - high likelihood and high impact	Continuous improvements to detection and protection are being implemented. Work underway to further procure and implement SIEM industry standard detection and remediation. Measures taken to address issue include educating the authority on how to identify malicious emails and security threats	Financial loss; Operational degradation; reputational damage

## Appendix 4 - Quarter One risk register

Chris Ward, Director of Finance and IT	Single points of failure in ICT infrastructure and systems access	Loss of key business systems and ability to maintain IT operations to support PCC business activities	<b>High</b>	<b>High</b>	<b>Medium</b>	Key information unavailable - impacts on frontline and critical activity	Firewalls are being patched and updated along with DR solution being progressed to reduce SPOTs	Failure to achieve objectives; Operational degradation; Impact on Frontline Service Delivery
Chris Ward, Director of Finance and IT	Ability to upgrade Northgate hardware prior to yearend activity	Existing equipment past expected life	<b>Medium</b>	<b>High</b>	<b>Low</b>	System failure - unable to collect income	Temporary infrastructure used to complete year end. Risk either to be accepted with annual provision of hardware to support year end or project initiated with funding to replace old equipment.	Financial loss & Reputational damage
Chris Ward, S151 Officer	Legislative/statutory guidance/budget changes	External	<b>Medium</b>	<b>High</b>	<b>Medium</b>	Unable to borrow to replace existing property rental purchases	Mitigation in part by establishment of investment reserves	Financial loss
Chris Ward, Director of Finance and IT	PFI contract	Renegotiation of contract	<b>Medium</b>	<b>Low</b>	<b>Medium</b>	Unaffordability / contract failure	Strong negotiating strategy, effective engagement with contractor, strong contract intelligence	Financial loss
Chris Ward, S151 Officer	Serious instance of fraud	Council wide	<b>Low</b>	<b>High</b>	<b>Low</b>		Robust Audit plan including fraud detection strategy	Reputational damage
Chris Ward, S151 Officer	Data Breaches		<b>Low</b>	<b>High</b>	<b>Low</b>		Clear desk policy Policy reminders	Reputational damage & fine

## Appendix 4 - Quarter One risk register

Chris Ward, S151 Officer	Failure of income generation activities	Review of Investment Case for Victory Energy Supply Company	High	High	High	Reduction in medium to long term income opportunities	Reviews undertaken by independent experts, strong & experienced management structure, scenario modelling, robust risk management framework, legal advice, strong performance management, solid due diligence & frequent monitoring	Financial loss Reputational damage
Chris Ward, S151 Officer	Failure to deliver a balanced budget over time	Delivery of Council services	Low	High	Medium	Unable to deliver service outcomes. Not fulfilling statutory role	<p>Delivery of the Medium Term Financial Strategy.</p> <p>Maintaining General Reserves above the minimum level</p> <p>Retaining organisational capacity in areas responsible for delivering transformational change</p> <p>Prioritise resource towards high risk activities</p>	Risk in complying with statutory duties & responsibilities with an impact on the delivery of a wide range of discretionary services
<b>PORT RISKS</b>								
Mike Sellers (Port Director)	Revenue	Reporting	Low	High	High	Loss of ferry operator.	Port Users Meeting, Operator / Management meetings, Strategy meetings (pricing), Min. guarantees, long term agreements, meet customer requirements.	Financial risk. Failure to achieve objectives.



## Appendix 4 - Quarter One risk register

Mike Sellers (Port Director)	Revenue	Reporting	High	Medium	High	Lack of funding to successfully maintain and develop port.	Strategic planning, strong relationship with Members, good communication.	Financial risk. Failure to achieve objectives.
Mike Sellers (Port Director)	Revenue	Reporting	High	Medium	High	Berth 3 Linkspan increased purchase price	Legal advice, negotiation	Financial risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Revenue	Reporting	Low	High	High	Section 75 debt payable following an employment-cessation event.	Planning, mitigation options utilised.	Financial risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Maritime	Reporting	Low	High	High	Maritime incident such as fire, collision or grounding or blocking of the harbour.	Port Marine Safety Code and Annual Audit.	Maritime risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Maritime	Reporting	Low	High	High	Terrorist alert on a vessel approaching the Port.	Liaison by Harbour Master with Queens Harbour Master and Police. Involvement with Port Facilities Security Officer.	Maritime risk. Failure to achieve objectives.

**Appendix 4 - Quarter One risk register**

Mike Sellers (Port Director)	Port Operations	Reporting	High	Low	High	Brexit. Reduced and slower throughput in the Port. Potential increased requirements for trader provider facilities.	Awareness of Brexit plans. Good communication and liaison with Border Force, and other groups including The BPA, UK Chamber of Shipping and Customs agency in MMD.	Port Operations risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	Medium	High	High	Security alert within the port.	Port Security Plan.	Port Operations risk. Failure to achieve objectives.
Kalvin Baugh (Ferry Port Manager)	Port Operations	Reporting	Medium	High	High	Environmental incident within the Port resulting in pollution.	Emergency Plan and Environmental Impact Assessment.	Port Operations risk. Failure to achieve objectives.
Rupert Taylor (Harbour Master)	Port Operations	Reporting	Low	High	High	Serious health and safety incident within the Port affecting staff, port users or the general public.	Health and Safety procedures and Risk Assessments.	Port Operations risk. Failure to achieve objectives.

## Appendix 4 - Quarter One risk register

### STRATEGIC RISK SUMMARY

Strategic Risk		Where noted
1.	Pressures lead to increased caseloads and therefore reduced practice quality in children's social care, increasing vulnerability of children and leading to a preventable incident.	Children's quarterly risk register
2.	Challenges in recruiting and retaining key staff and skills into the city, meaning that key services are compromised.	Various directorate registers
3.	Pressures in the local market for care services, including residential and domiciliary care, mean that care of vulnerable adults is compromised, leading to a preventable incident.	Adult's quarterly risk register
4.	Reduction in services for vulnerable people, such as domestic violence and substance misuse service, lead to poorer outcomes and increased demand for other services.	Public health and children's quarterly risk register
5.	Failure to protect the city environment, including in relation to air quality, flood defence and natural and heritage assets.	Regeneration risk register
6.	Exposure to national level political and legislative change (such as welfare reform) including impact on scope of duties, powers, responsibilities and service demand.	Various directorate registers and AGS
7.	Exposure to system failure, including support expiry, single points of failure, cyber-security and system recovery	Various directorate registers and AGS
8.	Failure to ensure the City Council's information is held and protected in line with Information Governance policies and procedures	Various directorate registers and AGS
9.	Failure to fulfil health and safety responsibilities, including in respect of operational and heritage buildings.	Various directorate registers
10.	Increased partnering, alternative delivery models and commercial approaches increase pressure on capacity, challenge governance arrangements, and increase risk of income loss if arrangements cease.	Various directorate registers and AGS
11.	Addressing underlying budget pressures and delivering effective and sustainable services, particularly in children's and adults' services.	Various directorate registers and AGS
12.	Major incident or service disruption (including serious health protection threats) leading to delivery failure that significantly impairs or prevents the Council's ability to deliver key services and/or statutory functions.	Various directorate registers
13.	Failure to deliver strategic improvements for the city, due to wider market factors	Various directorate registers

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# Agenda Item 7



Portsmouth  
CITY COUNCIL

Agenda item:

**Title of meeting:** Governance & Audit & Standards Committee

**Date of meeting:** 14 September 2018

**Subject:** Hampshire Community Bank - Update

**Report by:** Director of Finance and IT (Section 151 Officer)

**Wards affected:** All wards

**Key decision:** No

**Full Council decision:** No

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## 1. Purpose of report

1.1 To update the G&A&S Committee on progress for the Hampshire Community Bank project.

## 2. Recommendations

2.1 That the G&A&S Committee note the information contained in this report.

## 3. Background

3.1 A [report](#) on the Hampshire Community Bank was approved by Cabinet on 10 July 2014 and City Council on 14 July 2014 ([minute 72/2014](#)). The report included the following recommendation:

*3) Authority to approve a Capital Investment of up to £5 million in in the creation of Hampshire Community Bank and incur any necessary costs relating to the Due Diligence process is delegated to the Head of Financial Services and Section 151 Officer in consultation with the Strategic Director Regeneration.*

3.2 The key benefits of investing in a Community Bank along the lines of the German Sparkassen community banks were set out in the report and included the following:

3.2.1 Creation of a new "not for profit" bank which cannot be taken over or sold and which will exist in perpetuity to benefit the County of Hampshire.

3.2.2 Distribution of half of the banks surpluses by a Grants Board including the investor's representatives to support charitable or other deserving causes in Hampshire. Over 5 years it was estimated that over £6.5m would be distributed, rising to over £20m over a 10 year period.

3.2.3 Over 5 years support to around 480 small and medium enterprises in Hampshire to grow through provision of key investment capital.

3.2.4 Provide funding to support £375m of investment in the Hampshire economy.

3.2.5 Create between 2,600 and 4,100 new jobs over the first five years.

3.2.6 6% return for investors over 10 years.

## 4. Corporate Structure

4.1 Hampshire Community Bank has a three level corporate structure as follows:

### 4.1.1 HCB Foundation

- Company Limited by Guarantee registered as a [Charity](#) with the Charity Commission and governed by Trustees.
- Charitable Objects include "*To promote any charitable purposes (according to the law of England and Wales) that benefit the public primarily in Hampshire*" and "*To promote any purposes that benefit the public primarily in Hampshire; to promote any charitable purpose (according to the law of England and Wales) in the United Kingdom, if the public in Hampshire will also benefit indirectly*".
- Will be responsible for establishing a "Grants Board" which will "*allocate for charitable grants, donations and disbursements half of the funds contributed to the Charity by both the Community Bank and HCB Holding*".
- HCB Foundation holds 50% voting rights in HCB Holding Limited (see below).
- [Trustees](#) currently are Anne Harrison (formerly of Hampshire County Council, now retired), Sarah King (Eastleigh BC Chief Financial Officer), Shamsheer Dandha (entrepreneur), Andrew Walsh (Finance Director) and [Dr Richard Werner](#) (Professor of International Banking at the University of Southampton).

### 4.1.2 HCB Holding Limited

- Private Company Limited by Shares. This is the company in which PCC and other public sector investors have purchased shares. The shareholders have signed up to purchase 8,000 shares at £1,000 per share as set out below.

To date shareholders have released half of these funds and payment of the remaining half is conditional on further Due Diligence reports from BDO. PCC have therefore paid £2.5m of the total £5m due:

- 5,000 - Portsmouth City Council
  - 500 - Eastleigh Borough Council
  - 250 - Winchester City Council
  - 500 - Test Valley Borough Council
  - 200 - The University of Portsmouth
  - 100 - The University of Winchester
  - 400 - The University of Southampton
  - 100 - Southampton Solent University
  - 950 - [Local First Community Interest Company](#)
- Shareholders have 50% of the voting rights in HCB Holding Limited (see below), the other 50% being held by HCB Foundation.
  - Prior to Hampshire Community Bnk Limited (see below) being authorised the Board of Directors for HCB Holding Limited is taking all of the decisions in relation to the establishment of the Bank.
  - HCB Holding Limited effectively controls Hampshire Community Bnk Limited (see below) as it holds all the share capital for and can appoint and remove Directors of Hampshire Community Bnk Limited.
  - [Directors](#) currently are Chris Ward (Chair of the HCB Holding Limited Board of Directors and PCC Director of Finance and IT), [Johannes Haas](#) (General Manager, DZ Bank AG London Branch), Charles Haswell (Previously Global Head of Financial Sector Policy, HSBC) and Dr Richard Werner (Professor of International Banking at the University of Southampton, previously Senior Managing Director, Bear Stearns Asset Management now JP Morgan).

#### 4.1.3 Hampshire Community Bnk Limited

- This is the company which is seeking authorisation from the Bank of England to operate as a bank. The name includes the word "Bnk" because a company name cannot include the word "Bank" until it is authorised to operate as a bank by the Bank of England.
- As described above HCB Holding Limited Board has the power to appoint or remove Hampshire Community Bnk Limited directors.
- Directors currently are Johannes Haas (General Manager, DZ Bank AG London Branch) and Dr Richard Werner

(Professor of International Banking at the University of Southampton). The Articles of the company place no limit to the number of Directors, but there must be a minimum of two.

## 5. Contractual Position and Due Diligence

- 5.1 The eight public sector shareholders have signed up to an 'Application to Subscribe' for shares in HCB Holding Limited and a 'Subscription Agreement'. PCC has committed to purchase £5m of shares with payments being made in four instalments linked to key parts of the bank authorisation process. Release of each instalment is conditional on a Due Diligence report from banking experts BDO LLP which assesses whether, in BDO's expert opinion, HCB are capable of achieving authorisation. To date BDO's reports have satisfactorily concluded that the bank is capable of achieving authorisation and therefore all eight investors have paid the first two instalments.
- 5.2 The agreement includes a "longstop date" of 31 December 2018. It is likely that investors will need to agree to extend that date in order to be able to proceed through the bank authorisation process.
- 5.3 The latest BDO report was prepared for investors in March 2018 on progress to date showing key milestones achieved, an assessment of the key milestones still to be met, the estimated timescale to obtain authorisation, a Risk Register and an assessment of Hampshire Community Bnk Limited's ability to obtain authorisation to operate as a bank. That report concluded:  
*"Overall, we conclude that HCB has the ability to be authorised as a bank although we have identified several risks that may cause delays to the process. These risks relate predominantly to the hiring of key senior management staff and the implementation of IT systems. We therefore recommend that HCB includes a contingency buffer in its planned timelines for "authorisation with restrictions" and in respect of the lifting of restrictions at the end of the mobilisation phase".*

## 6. Operations

- 6.1 Planning to provide the key resources and facilities needed for Hampshire Community Bank Limited to satisfy the regulator and start operations is well advanced. Set out below are details of progress on some of the key items.
- 6.2 **Core Banking System** - HCB will identify a preferred core banking IT business partner prior to the "challenge session" (see section 7.1 below). To reduce risk and facilitate procurement, an external IT consulting company has been engaged.
- 6.3 **Liquidity, asset and liability management and regulatory reporting tools** - Software to carry out this analysis has been purchased and the implementation process has commenced.



- 6.4 **Agency Banking Arrangements** - A pre-contract agreement has been signed with a major bank offering correspondent banking services. The preferred vendor for the Community Bank's core banking system is scheduled to be selected by the end of September 2018.
- 6.5 **Premises** - Property in Winchester has been purchased which would partially meet HCB's accommodation and banking requirements, however a better opportunity has arisen which would fully meet HCB's needs and negotiations to purchase that property are underway. If that purchase goes ahead successfully the current property will be sold.
- 6.6 **Additional investors** - another local authority in Hampshire is considering investment of circa £1m in HCB.
- 6.7 **Staffing** - hiring of key senior management positions has begun. The CEO has been selected, interviews for the Chief Risk Officer took place in July 2018 and interviews for the Chief Operating Officer are scheduled. Starting dates for all appointments are likely to be late Quarter 3 to Quarter 4 2018.
- 6.8 **Commercial loans** - In the UK lending to businesses does not require authorisation as a bank. HCB already has a loan portfolio for lending to small and medium sized entities (SME's) of over £1m. That loan portfolio was originally funded by a Regional Growth Fund (RGF) grant of £950,000 and administered by Local First Community Interest Company with Eastleigh Borough Council as Accountable Body. At the end of March 2017 loans ranging from £20,000 to £250,000 and totalling £1,145,000 had been given to 13 different companies largely in the Winchester and Eastleigh areas. Loan terms have been complied with by all but one debtor who unfortunately went into administration resulting in a loss for Local First CIC of £46,000. The remaining loans are transferring from Local First Community Interest Company to Hampshire Community Bank Limited.
- 6.9 **New PCC Commercial Loans initiative** - PCC and HCB are currently finalising the legal documentation (no loans will be made until that documentation is satisfactorily completed) to allow further commercial loans to SMEs secured on property which, if successful, could result in further lending of the order of £10 million. Unlike the City Council's existing £5m commitment to purchase HCB Holding Limited shares (£2.5m invested so far, remaining £2.5m conditional on further Due Diligence reports from BDO as described in 4.1 above) this is not an equity investment for the purposes of setting up and capitalising the bank. Rather it is a loan facility approved by the City Council under its Treasury Management powers specifically for commercial loans to SMEs secured on property and at interest rates in excess of those that can be obtained through our normal treasury management investments.

## **7. Regulatory Process and timetable**

7.1 The Banking Authorisation process is administered by the Bank of England via the Financial Conduct Authority (FCA) and the Prudential Regulation Authority (PRA). The key stages include:

- Legal structure set up
- Funding secured
- Pre application meeting
- Feedback meeting(s)
- "Challenge Session"
- Submission of Application for authorisation
- Assessment and Authorisation process (led by PFA/FCA)
- "Authorisation with restriction" achieved
- Mobilisation phase (led by PFA/FCA)
- Restrictions are lifted and Full Authorisation achieved.

7.2 The delay to achieving authorisation has arisen for a number of reasons. The original timetable anticipated a start of operations in 2016 however that reflected a £7m injection by Central Government which, following the General Election in 2015, did not materialise. That delayed progress whilst funding was raised from a range of public sector investors. To attract those investors and finalise the complex legal documentation required to create a new "not for profit" bank which will exist in perpetuity and cannot be taken over or sold took over a year, being finalised in February 2016.

7.3 Since that point the pace at which the process can proceed has been largely determined by the regulator (the Bank of England via the Prudential Regulation Authority and the Financial Conduct Authority) and delays have arisen through a combination of HCB being an entirely new concept requiring closer scrutiny and the advent of Brexit which has generated a significant extra regulatory workload for the regulators.

7.4 HCB has currently prepared the majority of the documentation needed for the Application for authorisation. The HCB timetable currently indicates that the Challenge Session should take place in Quarter 4 of 2018 with "Authorisation with restriction" achieved in Quarter 2 of 2019 and full Authorisation in early 2020. Note that BDO LLP has recommended that the timetable should include a 3 month contingency for obtaining the authorisation with restriction and a further 2 months contingency in the mobilisation period to allow for delays relating to senior management hire and IT systems implementation.

## **8. Reasons for recommendations**

8.1 To keep the G&A&S Committee apprised of progress on the Hampshire Community Bank project

## 9. Financial implications

9.1 Hampshire Community Bnk Limited, subject to actual financial performance, aims to pay the City Council a return equivalent to an Internal Rate of Return over 10 years of 6% on the Council's £5m investment. The level of return beyond that 10 year period will be a matter for Hampshire Community Bnk Limited directors and HCB Holding Limited directors and shareholders to determine.

9.2 The benefits the bank will bring to the local Solent economy and the distribution of 50% of the Bank's profits for charitable purposes, mainly in Hampshire, both have the potential to reduce the level of demand on City Council (and other Government) services, though it is not possible to quantify that potential benefit.

9.3 The proposed SME lending secured on property (see para 6.7 above) is compliant with the City's Treasury Management Policy.

## 10. Equality Impact Assessment (EIA)

10.1 The preliminary EIA carried out prior to the report to Cabinet and Council in 2014 indicated that the requirement for a full EIA was low. To date no changes have arisen that would materially effect that conclusion.

## 11. Legal implications

11.1 The City Solicitor confirms that it is within the powers of the Committee to approve the recommendations to this report

Signed by:

.....

**Christopher Ward - Director of Finance and IT (Section 151 Officer)**

### Appendices:

### Background list of documents: Section 100D of the Local Government Act 1972

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

<b>Title of document</b>	<b>Location</b>
1 Report on Hampshire Community Bank to Cabinet and Council 10th and 14th July 2014.	PCC External website
2 Report by BDO LLP Hampshire Community Bank - Review of Banking Application Preparedness - 13 March 2018	Financial Services - contact Chris Ward, Director of Finance and IS

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# Agenda Item 8



Portsmouth  
CITY COUNCIL

<b>Title of meeting:</b>	Governance & Audit & Standards Committee
<b>Date of meeting:</b>	14 <sup>th</sup> September 2018
<b>Subject:</b>	Audit Performance Status Report to 24 <sup>th</sup> August 2018
<b>Report by:</b>	Chief Internal Auditor
<b>Wards affected:</b>	All
<b>Key decision:</b>	No
<b>Full Council decision:</b>	No

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## 1. Summary

- 1.1 This is a progress report for the 2018-19 planned audit activities. To date there are no 'No Assurance' audits and no critical risks exceptions raised.
- 1.2 There are 78 Full Audits and 26 Follow ups, planned for 2018/19, totalling 104 reviews.
- 1.3 To date, 36 (35%) have been completed or are in progress as at 24<sup>th</sup> August 2018. This represents 17 (16%) audits where the report has been finalised 1 (1%) where the report is in draft and 18 (17%) audits currently in progress.
- 1.4 In addition to the planned audits there are 11 areas of on-going work and 2 continuous audits which contribute to risk assurance.
- 1.5 Areas of Assurance are shown in Appendix A.

## 2. Purpose of report

- 2.1 This report is to update the Governance and Audit and Standards Committee on the Internal Audit Performance for 2018/19 to 24<sup>th</sup> August 2018 against the Annual Audit Plan, highlight areas of concern and areas where assurance can be given on the internal control framework

## 3. Recommendations

- 3.1 That Members note the Audit Performance for 2018/19 to 24<sup>th</sup> August 2018.
- 3.2 That Members note the highlighted areas of control weakness from the 2017/18 Audit Plan.

3.3 That Members note the level of resources currently available and how they are currently utilised between Internal and External Clients.

**4. Background**

4.1 The Annual Audit Plan for 2018/19 has been drawn up in accordance with the agreed Audit Strategy approved by this Committee on 8<sup>th</sup> June 2018 following consultation with Directors and the previous Chair of this Committee. The Plan is revised quarterly to take account of any changes in risks/ priorities, in accordance with the Strategy.

4.2 For 2018/19 Internal Audit will conduct 1011 days of audit work for external clients.

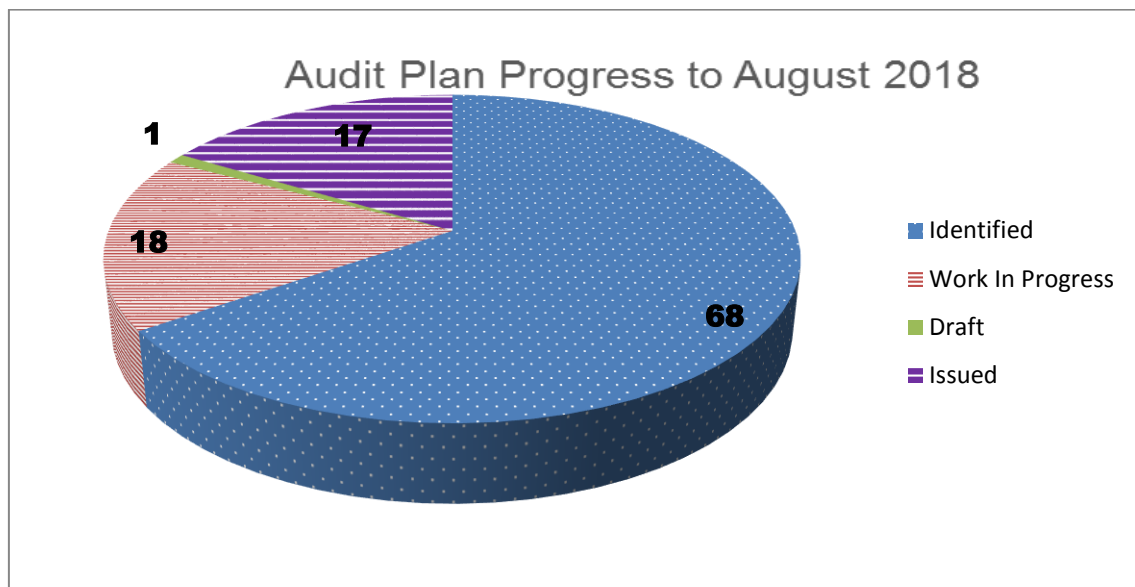
**5. Audit Plan Status 2018/19**

**Percentage of the approved plan completed**

5.1 16% of the annual audit plan has been completed as detailed below. Appendix A shows the completed audits for 2018/19.

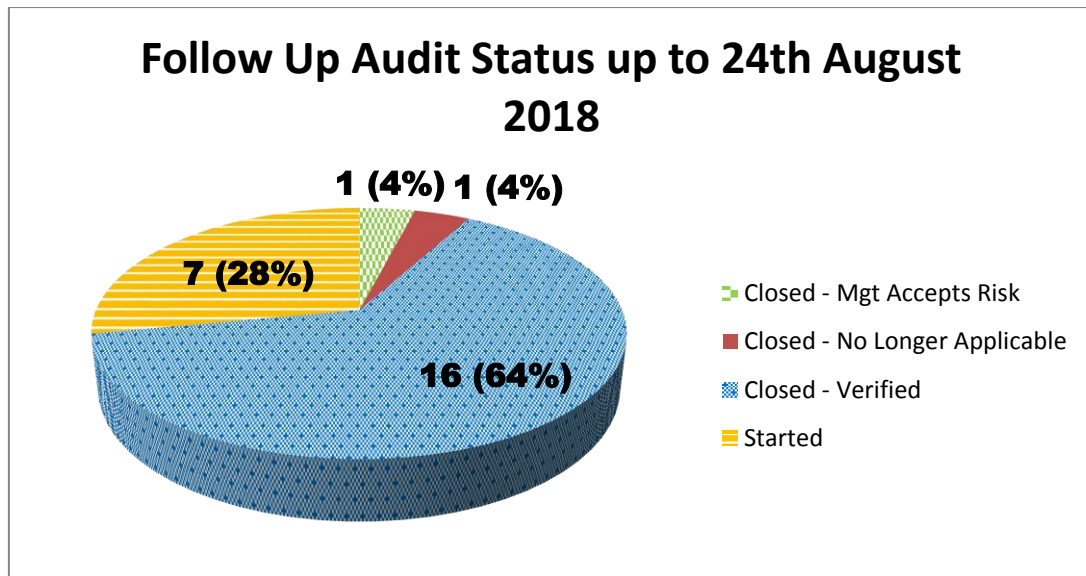
The overall percentage figure is made up as follows:

- 17 new reviews (16%) audits where the report has been finalised, 1 (1%) where the report is in draft and 18 (17%) audits currently in progress



5.2 As requested by Members of the Committee a breakdown of the assurance levels on completed audits since the last meeting is contained in Appendix A. Where specific parts of the control framework have not been tested on an area (because it has been assessed as low risk for example) it is recorded as NAT

(No Areas Tested) within the Appendix. The table below shows the status of agreed actions relating to follow up work completed.



Audits	Closed - Mgt Accepts Risk	Closed - No Longer Applicable	Closed - Verified	Started	Grand Total
Marketing and Tourism - Director of Culture & City Development		1	2		3
Merchandise, Stock, Retail - Director of Culture & City Development			1	1	2
City Helpdesk - Director of Communities & Communications	1			1	2
Parking space & Garage Management - Director of Housing, Neighbourhood & Building Services			1	4	5
Grounds Maintenance Contract - Director of Housing, Neighbourhood & Building Services			3		3
Youth Centres/ Community Centres - Director of Housing, Neighbourhood & Building Services			8	1	9
Income Dues Brittany - Director of the Port			1		1
<b>Grand Total</b>	<b>1</b>	<b>1</b>	<b>16</b>	<b>7</b>	<b>25</b>

- 5.3 At the last committee meeting the members requested a schedule of when the planned reviews at Mainland Market Deliveries (MMD) would be carried out and the results communicated. Below is the list of MMD audits, their audit type, status and expected reporting timeframe.

<b>Audit</b>	<b>Audit Type</b>	<b>Status</b>	<b>Expected Reporting</b>
Health and Safety	Full Audit	Planning	Feb-18
Gifts and Hospitality	Full Audit	Planning	Feb-18
GDPR	Full Audit	Not started	Mar-18
Budget Monitoring	Full Audit	Not started	Mar-18
Commercial Contracts	Full Audit	Not started	Mar-18
Payroll	Full Audit	Fieldwork	Nov-18
Recruitment	Follow Up	Draft	Nov-18

- 5.4 In addition to the work carried out for Portsmouth City Council the Internal Audit & Counter Fraud service perform work to generate income for a number of external clients. At the last committee meeting the Member requested a breakdown of the resources available and how those resources were currently deployed. Within the team there are 14 posts one of which is part-time. During the year the section has carried two vacancies which have been filled with effect from 28<sup>th</sup> August 2018.

- 5.5 The total resources available to date for 2018/19 is 2259 days. These days are currently deployed:

- Portsmouth City Council 898 audit days
- Portsmouth City Council 305 counter fraud days
- External Clients, including MMD & the Solent LEP 1011 days

- 5.6 This left 45 days unallocated at the beginning of the year.

### **Reactive Work**

- 5.7 Reactive Work undertaken by Internal Audit in 2018/19 includes:
- 6 special investigations (excludes Benefit and Council Tax Support cases)
  - 3 items of advice, (where the advice exceeds an hours work)

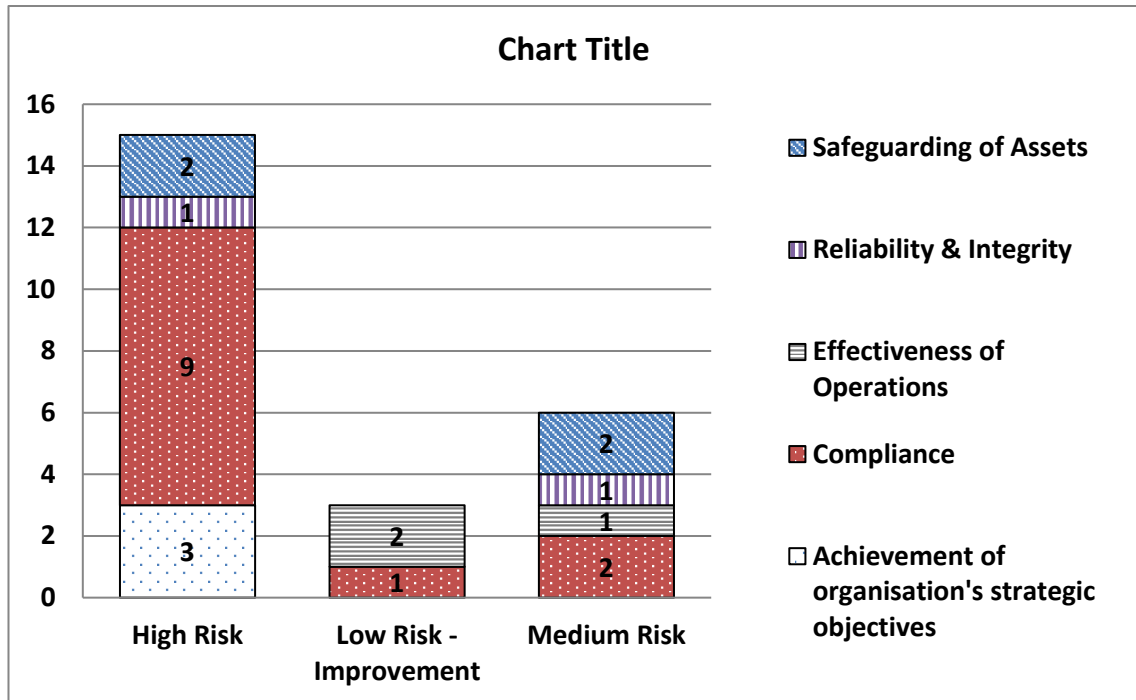
### **Exceptions**

- 5.8 Of the 2018/19 full audits completed the number of exceptions within each category have been:
- 0 Critical Risk
  - 15 High Risk



- 6 Medium Risk
- 3 Low Risk (Improvements)

5.9 The following table details the categories of exceptions raised to date.



### Ongoing Areas

- 5.10 The following 11 areas are on-going areas of work carried out by Internal Audit;
- Regulation of Investigatory Powers Act (RIPA) - authorisations
  - Anti-Money Laundering monitoring and reporting
  - Investigations
  - Financial Rules Waivers
  - National Fraud Initiative (NFI) to facilitate national data matching carried out by the Cabinet Office
  - National Anti-Fraud Network (NAFN) bulletins and intelligence follow up
  - Counter Fraud Programme
  - Policy Hub project to ensure that all Council policies are held in one place and staff are notified of the policies relevant to them
  - G&A&S Committee reporting and attendance and Governance,
  - Audit Planning and Consultation
  - Risk Management

### Continuous Audit Areas

- 5.11 The following 2 areas are subject to continuous audit (i.e. regular check to controls) and feed into overall assurance;
- Key risks management in services
  - Performance Management

**6. Areas of Concern**

6.1 There are no new areas of concern.

**7. Equality impact assessment (EIA)**

7.1 The contents of this report do not have any relevant equalities impact and therefore an equalities assessment is not required.

**8. Legal Implications**

8.1 The City Solicitor has considered the report and is satisfied that the recommendations are in accordance with the Council’s legal requirements and the Council is fully empowered to make the decisions in this matter.

8.2 Where system weaknesses have been identified he is satisfied that the appropriate steps are being taken to have these addressed.

**9. Finance Comments**

9.1 There are no financial implications arising from the recommendations set out in this report.

9.2 The S151 Officer is content that the progress against the Annual Audit Plan and the agreed actions are sufficient to comply with his statutory obligations to ensure that the Authority maintains an adequate and effective system of internal audit of its accounting records and its system of internal control.

.....  
Signed by: Elizabeth Goodwin, Chief Internal Auditor

**Appendices:**

Appendix A – Completed audits to date (24<sup>th</sup> August 2018)

**Background list of documents: Section 100D of the Local Government Act 1972**

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location
1 Accounts and Audit Regulations	<a href="http://www.legislation.gov.uk/ukxi/2011/817/contents/made">http://www.legislation.gov.uk/ukxi/2011/817/contents/made</a>
2 Previous Audit	Refer to Governance and Audit and Standard meetings –

Performance Status and other Audit Reports	reports published online.
3 Public Sector Internal Audit Standards	<a href="http://www.cipfa.org/policy-and-guidance/standards/public-sector-internal-audit-standards">http://www.cipfa.org/policy-and-guidance/standards/public-sector-internal-audit-standards</a>

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by ..... on .....

.....  
Signed by:

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**APPENDIX A - Audits Completed to date (24th August 2018)**

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Achievement of organisation's strategic objectives	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary
Childrens Residential Units - Directors of Childrens Families & Education	0	5	1	0	6	NAT	Limited Assurance	NAT	NAT	NAT	Limited Assurance	The issues raised relate to staff not completing Financial Rules training and acknowledgement of the Income Handling Policy, non compliance with HMRC rules in relation for Purchase Card and Petty Cash purchases and non compliance with the Driving at work policy i.e. evidence of valid driving licence.
Registrars - Director of Culture & City Development	0	1	1	0	2	Assurance	Limited Assurance	Reasonable Assurance	NAT	NAT	Reasonable Assurance	The issues raised relate to the absence of a number of mandatory staff training records and unauthorised system access for one member of staff.
Register of Electors/ Municipal elections - Director of Community & Communication	0	0	0	0	0	NAT	Assurance	NAT	Assurance	NAT	Assurance	No issues were raised.
Purchase Cards - Director of Finance & Information Services	0	4	2	0	6	NAT	Limited Assurance	NAT	Limited Assurance	Limited Assurance	Limited Assurance	The issues raised relate to inadequate VAT records/ reclaim, fines & penalties, exceeding transaction limit and non-completion of agreed actions from the 2017/18 review.
Land charges - Director of HR Legal & Performance	0	1	2	1	4	Assurance	Reasonable Assurance	Limited Assurance	Assurance	Reasonable Assurance	Limited Assurance	the issue raised relates to the sharing of access rights to the Northgate System.
Blue Badges - Director of Regeneration	0	0	0	2	2	NAT	Assurance	Assurance	Assurance	NAT	Assurance	The issues raised are low level improvements only.
Continuing Health Care - Director of Adult Social Care	0	0	0	0	0	Assurance	Assurance	Assurance	Assurance	NAT	Assurance	No issues were raised.
Contaminated Land - Director of Culture & City Development	0	1	0	0	1	Limited Assurance	Assurance	NAT	Assurance	NAT	Limited Assurance	The issue raised relates to an out of date Contaminated Land Strategy.
City Twinning - Director of Culture & City Development	0	3	0	0	3	Limited Assurance	NAT	Limited Assurance	Limited Assurance	NAT	Limited Assurance	The issues raised relate to the lack of a City Twinning Strategy, lack of procedural guidance for City selection and the lack of clear objectives and budget allocation.
Langstone Harbour Board - External	0	0	0	0	0	NAT	NAT	NAT	NAT	NAT	NAT	No issues were raised.

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# Agenda Item 9



Portsmouth  
CITY COUNCIL

<b>Title of meeting:</b>	Governance & Audit & Standards Committee
<b>Date of meeting:</b>	14 September 2018
<b>Subject:</b>	Data Security Breaches
<b>Report by:</b>	Michael Lawther, City Solicitor/Senior Information Risk Owner
<b>Wards affected:</b>	N/A
<b>Key decision:</b>	No
<b>Full Council decision:</b>	No

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**1. Purpose of report**

To inform the Committee of any Data Security Breaches and actions agreed/taken since the last meeting.

**2. Recommendations**

It is recommended that Members of the Governance & Audit & Standards Committee note the breaches (by reference to Appendix A) that have arisen and the action determined by the Corporate Information Governance Panel (CIGP).

**3. Background**

The Corporate Information Governance Panel, formed of representatives from across the authority and chaired by Michael Lawther in the role of Senior Information Risk Owner (SIRO) meets every other month to

- establish policy and procedures for Information Governance;
- maintain a log of data breaches and determine and monitor onward action.

The Senior Information Risk Owner will update the Committee on any ongoing breaches and notify the members of any new incidents.

**4. Reasons for recommendations**

To ensure the Governance & Audit & Standards Committee has an oversight of the Data Security Breaches to be able to determine whether any trends appear and any further actions should be recommended.

**5. Equality impact assessment**

An equality impact assessment is not required as the recommendation does not have a negative impact on any of the protected characteristics as described in the Equality Act 2010.

**6. Legal implications**

The Council is required to ensure that it has robust procedures in place to comply with its obligations under the General Data Protection Regulation (GDPR) 2016. Bringing this report to the Committee's attention will assist in meeting those requirements.

**7. Director of Finance's comments**

The ICO can issue fines of up to €20 million or 4% of the authority's annual turnover for serious breaches of the GDPR. Breach of the Privacy and Electronic Communications Regulations also incurs a financial penalty. The size of any monetary penalty is determined by the Commissioner taking into account the seriousness of the breach and other factors such as the size, financial and other resources of the data controller. Any breaches put the City Council at risk of the unbudgeted cost of a financial penalty which would have to be met from the service responsible for the breach.

.....  
Signed by:

**Appendices: One Appendix - Appendix A**

**Background list of documents: Section 100D of the Local Government Act 1972**

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location
None	



Appendix A - Extract from Incident Log - September 2018

Reference/Date	Description	Data type - personal/sensitive	Number of people's information /records involved	Medium e.g.paper, email	Action taken	ICO Informed Yes/No?
DB201815 30/05/2018	Email sent to Employment Tribunal via unencrypted route	Name and address of claimant, dates of employment, salary figures, details of claim, trade union membership info	1	email	Attempted to recall email, re-sent email via secure route (GCSX). Staff reminded to send emails via GCSX.	No Data Breach has not occurred. Level 0 incident/near miss
DB201816 21/05/2018	Documents scanned and sent to incorrect PCC staff member, as the staff member had left themselves logged in on the copier.	Employee name, start date and medical condition	2	email	Staff member reminded to log out of MFD. HR and data subject notified.	No Level 0 incident/near miss
DB201817 6/6/18	Mobile Phone stolen during house burglary	Telephone Numbers Names Email addresses	100+	Phone	Phone was PIN protected. Remotely blocked by factory wiping, auto locking and turning off	No Level 0 incident
DB201818 7/6/18	Confidential Letter in respect of the wrong data subject sent from Housing Options by email to Councillor's PA.	Contact details, GP address, medical questions	1	email	Unintended recipient confirmed the item was deleted. Housing Options to review process for sending attachments	No Level 1 incident
DB201819 11/6/18	Issue with data retention functionality within Firmstep. Online forms are not being automatically deleted from the system at the set retention period.	Names, addresses, other personal data entered into online forms	Approx. 7,000	Online	Firmstep contacted. Issue will be rectified with the release of the new compliance module (date to be confirmed).	No Level 0 incident.
DB201820 15/6/18	Email intended for officer in Adult Social Care sent to staff member with the same name in another service in	Name, email address,details of hours worked. Worker & line manager's signatures	1	Email	Sender advised to delete the unintended recipient's address from their auto address list and to check that the correct email	No Level 0 incident

Appendix A - Extract from Incident Log - September 2018

	error.				address is used.	
DB201821 20/6/18	Staff member breached service user confidentiality by sharing details of medical condition with the carer of another service.	Sensitive medical information	1	Verbal	Reviewed at ASC IG Panel. Initial action taken by day service manager to address the breach of confidentiality.	No Level 1 incident
DB201822 28/05/2018	Letter sent to MP containing excessive details about a child/family in response to a concern raised by the MP on behalf of a constituent.	Some sensitive health and relationship information and details of the family's living circumstances.	3	Paper	Review of processes in Housing to prevent unnecessary disclosure. Identified that the constituent had in fact already shared the information with the MP	No Data Breach has not occurred Level 0 incident/near miss
DB201823 15/06/2018	Invitation letters in respect of an event for looked after children sent to parental address rather than to the current care address as intended	Looked after child's name, parental address.	Up to 472	Paper	Letters of apology sent to the unintended recipients. Replacement letters sent to correct addresses. Further risk assessment of event carried out	Yes - 15/6/18 Level 2 incident
DB201824 11/6/18	Allegation by child's mother that a PCC employee accessed confidential information about the child	Child's health details	1	Electronic/Paper	Access to systems/records investigated - officer does not have access to relevant systems and no evidence of access found	No Data Breach has not occurred Level 0 incident/near miss.
DB201825 22/6/18	Emails sent to individuals asking for feedback on a council initiative including all recipients in the "to" field rather than "BCC", thus disclosing all recipients email addresses	Email addresses	560	Email	email recalled and a further email sent asking any recipients to delete it.	No Level 0 incident
DB201826 22/6/18	School reported a missing envelope containing documents sent via PCC	Child details including child protection concerns	1	Paper	Matter investigated with Courier and Department responsible for mail. Envelope	No Data Breach has not occurred

Appendix A - Extract from Incident Log - September 2018

	Courier to a Hampshire School. Envelope not received and is therefore presumed to be missing				was later returned to the sender.	Level 0 incident/near miss
DB201827 22/6/18	Identified following a complaint from a resident that the privacy statement on the planning portal incorrectly advises that personal data will not be published on the website. This is incorrect.	Names and addresses Comments on planning application	1000+	Planning Portal	Advice given in online guidance was correct but was incorrect on online form. Privacy statement on online form changed to alert users that their personal details are made public	Yes 27/6/18. Level 2 incident ICO confirmed no further action required
DB201828 29/6/18	New Tenancy Team member opened Mail in a Void property and left opened on view. May have been seen by other staff and maintenance contractors.	Names, dates of birth, category for child protection plan. Professionals involvement	4	Paper	Process of recording change of address reviewed to ensure information is updated as soon as possible in future. Process for handling post retrieved from void properties reviewed.	No Level 1 incident
DB201829 9/7/18	Text sent by Housing Office to wrong customer	Name of tenant Status of account	1	Text message	Member of staff spoken to about taking more care before sending texts	No Level 1 incident
DB201830 13/7/18	Notebook containing housing tenant's contact details posted accidentally through a tenant's letter box.	Names, contact details	Approx 50	Paper	Tenant contacted and notepad recovered., Contents of the notepad assessed. All staff briefed and reminded of Data in Transit policy.	No Level 1 incident
DB201831 16/7/18	Child's care plan sent to the wrong family. Documents photographed by recipient and copy believed to have been uploaded to Facebook.	Personal and special category personal information	6	Paper	Documents retrieved by social worker in the evening of 16/7/18. Removal of photographed minutes from Facebook attempted. Urgent meeting convened by Caldicott Guardian to review processes	Yes 19/7/18 Level 2 incident

Appendix A - Extract from Incident Log - September 2018

					and agree actions to prevent a recurrence.	
DB201832 20/7/18	Housing benefit statement set to claimant's former address in error. Letter was redirected to the correct address through the mail re-direction service.	Name, address, details of benefit	1	Paper	Letter of apology and explanation sent to data subject. Process for updating addresses reviewed.	No Data Breach has not occurred Level 0 incident/near miss
DB201833 19/7/18	Service user reported that a family member accessed personal data about them from a notebook seen at a staff member's home when visiting.	Personal and sensitive	Approx. 25	Paper	HR Informal Conduct plan to be signed by staff. Apology sent to data subject.	No Level 1 incident
DB201834 19/7/18	Evidence used to support housing benefit claim returned to the wrong person	Financial information (bank details and evidence of payments)	1	Paper	Documents recovered from incorrect address and returned to correct recipient. Letter of apology sent. Process for mailing documents reviewed	No Level 1 incident
DB201835 26/7/18	Envelopes used by Revenues & Benefits identified as being of unacceptable quality, presenting a risk that contents could be read.	Revenue and Benefits mail high volumes of personal and sensitive data	Unknown	Paper	Envelopes retrieved before posting where possible and remaining envelopes withdrawn from use. Supplier contacted. Corporate Communication sent warning other departments to be aware and withdraw use of envelopes if necessary.	No Level 1 incident
DB201836 26/7/18	Email sent from member of the public (also an employee of PCC) to Cllr requesting information. Email was forwarded to various other staff members to enable the Councillor to respond but in doing so,	Personal data - personal email address, address information, details of enquiry	1	Email	Staff member reminded of correct process and apology sent to enquirer.	No Level 1 incident

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	revealed the address and personal email address of the enquirer.					
DB201837 31/7/18	Scanned documents sent by officer to themselves using MFD were received in error by another officer	Personal data including sensitive health information	1	Email	IT investigated cause of error. Incorrect recipient deleted documents.	No Level 1 incident
DB201838 1/8/18	Letter hand delivered to incorrect tenant' address.	Name, address, housing details	1	Paper	Letter returned by incorrect recipient and re-directed. Process for hand-delivering letters reviewed.	No Level 0 incident
DB201839 6/8/18	Email containing employee address and salary details sent to unintended recipient in error	Personal - address and salary	1	Email	Sender confirmed that the unintended recipient had double deleted the email that was sent to them in error. E-mail sent correctly.	No Level 1 incident
DB201840 7/8/18	Officer lost notebook containing contact details when attending an incident at a property.	Personal -telephone number	1	Paper	Search of the area to try to find the notebook which is still missing. Team reminded that no person identifiable information should be contained in notebooks taken off site.	No Level 0 incident
DB201841 9/8/18	Payroll files had been sent by PCC to GBC by non-secure email	Personal -payroll details	Approx 100	Email	Trend logs are show that all mail between PCC and GBC is over TLS and therefore encrypted.	No Data breach has not occurred Level 0 incident/near miss
DB201842 10/8/18	Internal email sent to an existing PCC employee attaching documents relating to another person	Personal & salary details	1	Email	Email recall request sent to unintended recipient. As the unintended recipient is a PCC employee, a request has been	No Level 1 incident

Appendix A - Extract from Incident Log - September 2018

					sent to IT to delete the email.	
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<b>Title of meeting:</b>	Governance & Audit & Standards Committee
<b>Date of meeting:</b>	14 September 2018
<b>Subject:</b>	Consideration of the political balance rules in relation to the constitution of Sub-Committees considering complaints against Members.
<b>Report by:</b>	City Solicitor
<b>Wards affected</b>	N/A
<b>Key decision</b>	No
<b>Full Council decision</b>	No

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## 1 Purpose of Report

- 1.1 The Committee is asked to consider whether it wishes to disapply the political balance rules in respect of its Sub-Committees which consider complaints against Members and to agree that the same rule shall apply to the Initial Filtering Panel.

## 2 Recommendation

- 2.1 It is recommended that the political balance rules are disapplied in respect of Governance and Audit and Standards Sub-Committees which are considering complaints against Members and also the same arrangement should apply in respect of Initial Filtering Panel membership.

## 3 Background

- 3.1 The Committee agreed on 2 February 2018 to "disapply" the political balance rules in respect of Sub-Committees of Governance and Audit and Standards Sub-Committees when dealing with complaints. <sup>1</sup>This meant the Sub-Committees' membership would in future not be made up of Members in the same proportion as the political groups are represented on the Council. Instead it was agreed that the Sub-Committees would be "cross party as far as reasonably practicable". This was considered important to ensure the greatest transparency in the decision making of these Sub-Committees where complaints against members were considered. It was also agreed that the same rule would apply to the make-up of the Initial Filtering Panel which is not a formal Sub-Committee of Governance and Audit and Standards.
- 3.2 Section 17 (2) Local Government and Housing Act 1989 provides that any

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<sup>1</sup> <http://www.legislation.gov.uk/ukpga/1989/42/section/17>

decision not to apply the political balance rules shall come to an end if there is any change in the make-up of a committee where they have been disapplied.

3.3 The decision is one which only this Committee can make but it must be made without any of the Members present voting against it.

#### 4 Reasons for recommendations

4.1 As there has been a change to the membership of the Committee, Members are asked to reconsider this decision, as the decision to disapply the political balance rules, made in February 2018, is only effective for one year or until there is any change in the make-up of a committee where they have been disapplied. If Members decide to disapply the political balance rules then this shall occur only until May 2019 when the decision would again have to be reconsidered.

#### 5 Equality Impact Assessment (EIA)

5.1 The contents of this report do not have any relevant equalities impact and therefore an equalities assessment is not required.

#### 6 Legal implications

6.1 The City Solicitor's comments are included in this report.

#### 7 Director of Finance's comments

7.1 There are no financial implications arising from the recommendations set out in this report.

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Signed by: City Solicitor

**Appendices:** None

#### **Background list of documents: Section 100D of the Local Government Act 1972**

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location
None	N/A