
NOTICE OF MEETING

GOVERNANCE & AUDIT & STANDARDS COMMITTEE

WEDNESDAY, 20 SEPTEMBER 2023 AT 10.00 AM

COUNCIL CHAMBER - THE GUILDHALL, PORTSMOUTH

Telephone enquiries to James Harris on 023 9260 6065

Email: james.harris@portsmouthcc.gov.uk

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

Membership

Councillor Leo Madden (Chair)
Councillor Stuart Brown (Vice-Chair)
Councillor Graham Heaney
Councillor George Madgwick
Councillor Benedict Swann
Councillor Daniel Wemyss

Standing Deputies

Councillor Chris Attwell
Councillor Hannah Brent
Councillor Jason Fazackarley
Councillor Abdul Kadir
Councillor John Smith
Councillor Emily Strudwick
Councillor Mary Vallely

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

Please note that the agenda, minutes and non-exempt reports are available to view online on the Portsmouth City Council website: www.portsmouth.gov.uk

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 Minutes of the meeting held on 19 July 2023 (Pages 7 - 12)

RECOMMENDED that the minutes of the meeting held on 19 July 2023 be approved and signed by the Chair as a correct record.

4 External Audit - verbal update on 2021/22 audit progress, and DLUHC approach to the national situation regarding historic audits

5 Review of Polling Districts and Polling Places (Pages 13 - 46)

Purpose

The purpose of this report is to detail the outcomes of the review of polling districts and polling places recently undertaken and to invite members to consider the recommendations made.

Recommendations

That the Governance & Audit & Standards Committee Recommends to Full Council:

- (i) That the changes to the current polling scheme recommended in paragraphs 5.2 to 5.5 are approved and implemented on publication of the 2024 Register of Electors; and**
- (ii) That it be reconfirmed that the Returning Officer has delegated authority to make such variations to polling places as may be necessary arising from the availability of premises for use at a particular election.**

6 Data Security Breaches Report (Pages 47 - 62)

Purpose

The purpose of this report is to inform the Committee of any Data Security Breaches and enable them to determine whether any trends appear and whether any further actions should be recommended.

Recommendation

RECOMMENDED that the Governance & Audit & Standards Committee notes the breaches that have arisen.

7 Overview of Portsmouth City Council complaints, including Local Government and Social Care Ombudsman Complaints 2022/2023
(Pages 63 - 76)

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 (LGSCO) dated 19th July 2023, regarding complaints it has considered against Portsmouth City Council for the year 2022/23, and to provide an overall review of complaints.

Recommendation

RECOMMENDED that the Governance & Audit & Standards Committee notes the report.

8 Unreasonable Customer Behaviour Policy (Pages 77 - 92)

Purpose

The purpose of this report is to bring to the attention of the Governance & Audit & Standards Committee a new policy around managing unreasonable customer behaviour.

The purpose of the new policy is to set out clearly what the council considers to be unreasonable customer behaviour and the process the council will follow in responding.

The aim of the policy is to ensure the council can still respond to enquiries from customers whose behaviour has become unreasonable, but without the demands of individual customers taking a disproportionate amount of time to manage and impacting negatively on the ability of staff to handle enquiries from other customers.

Recommendation

RECOMMENDED that the Governance & Audit & Standards Committee notes the report.

9 Modern Slavery (Pages 93 - 104)

Purpose

The purpose of this report is to update members on progress on delivery of the improvement plan set out in item 10 of the most recent Modern Slavery and Human Trafficking Statement.

Recommendation

RECOMMENDED that the Governance & Audit & Standards Committee notes the report.

10 Corporate Performance Report - Q1 2023/24 (Pages 105 - 144)

Purpose

To report significant performance issues, arising from Q1 2023-24 performance monitoring, to Governance and Audit and Standards Committee and highlight areas for further action or analysis.

Recommendations

It is recommended that the Governance and Audit and Standards Committee:

- (i) notes the report in the revised format; and**
- (ii) agrees if any further action is required in response to performance issues highlighted.**

**11 Internal Audit Performance Status Report to 8th September 2023
(Pages 145 - 164)**

Purpose

This report is to update the Governance and Audit and Standards Committee on the Internal Audit Performance for 2023/24 to 8th September 2023 against the Annual Audit Plan, highlight areas of concern and areas where assurance can be given on the internal control framework.

Recommendations

RECOMMENDED that the Governance & Audit & Standards Committee NOTES:

- (i) The Audit Performance for 2023-24 to 8th September 2023; and**
- (ii) The highlighted areas of concern in relation to audits completed from the 2023/24 Audit Plan, including follow up work performed.**

12 Treasury Management Outturn Report 2022/23 (Pages 165 - 176)

Purpose

The purpose of the report is to inform members and the wider community of the Council's treasury management activities in 2022/23 and of the Council's

treasury management position as of 31 March 2023.

Recommendation

RECOMMENDED that the actual prudential and treasury management indicators based on the unaudited accounts, as shown in Appendix B, be noted (an explanation of the prudential and treasury management indicators is contained in Appendix C).

13 Treasury Management Monitoring Report for the First Quarter of 2023/24 (Pages 177 - 186)

Purpose

The purpose of the report is to inform members and the wider community of the Council's Treasury Management position, i.e., its borrowing and cash investments as of 30th June 2023 and of the risks attached to that position.

Whilst the Council has a portfolio of investment properties and some equity shares which were acquired through the capital programme; these do not in themselves form part of the treasury management function.

Recommendations

- (i) That the Council's Treasury Management activities have remained within the Treasury Management Policy 2023/24 in the period up to 30th June 2023; and**
- (ii) the actual Treasury Management indicators as of 30th June 2023 set out in Appendix A be NOTED**

14 Exclusion of Press and Public

In view of the contents of the appendices to the following item on the agenda the Committee is **RECOMMENDED** to adopt the following motion:

“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 to the report contains information defined as exempt in Part 1 of Schedule 12A to the Local Government Act, 1972” The public interest in maintaining the exemption must outweigh the public interest in disclosing the information. Under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) England Regulations 2012, regulation 5, the reasons for exemption of the listed appendices are shown below. (NB The exempt/confidential committee papers on the agenda will contain information which is commercially, legally or personally sensitive and should not be divulged to third parties.

Members are reminded of standing order restrictions on the disclosure of exempt information and are asked to dispose of exempt documentation as confidential waste at the conclusion of the meeting.

Item Exemption	Para No.*
15. Procurement Management Information (Exempt Appendices 1, 2, & 3)	3

***3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).**

15 Procurement Management Information (Pages 187 - 250)

Purpose

The purpose of the report is to provide evidence to allow the committee to evaluate the extent that Portsmouth City Council is producing contracts for goods, works and services in a legally compliant value for money basis.

Recommendation

RECOMMENDED that the Governance & Audit & Standards Committee notes the report.

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.

This meeting is webcast (videoed), viewable via the Council's livestream account at <https://livestream.com/accounts/14063785>

GOVERNANCE & AUDIT & STANDARDS COMMITTEE

MINUTES OF THE MEETING of the Governance & Audit & Standards Committee held on Wednesday, 19 July 2023 at 10.30 am at the Council Chamber - The Guildhall, Portsmouth

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

Present

Councillor Leo Madden (in the chair)
Councillor Stuart Brown (Vice-Chair)
Councillor Hannah Brent
Councillor Graham Heaney
Councillor George Madgwick

Officers

Peter Baulf, City Solicitor
Elizabeth Goodwin, Chief Internal Auditor
Kelly Nash, Corporate Performance Manager
Paul Somerset, Deputy Chief Internal Auditor
Richard Webb, Deputy Director of Finance

22. Apologies for Absence (AI 1)

Apologies were received from Councillor Benedict Swann and Councillor Daniel Wemyss.

Councillor Hannah Brent was in attendance as Standing Deputy in place of Councillor Benedict Swann.

23. Declarations of Members' Interests (AI 2)

There were no declarations of interest.

24. Minutes of the meeting held on 8 March 2023 (AI 3)

RESOLVED that the minutes of the meeting held on 8 March 2023 be approved and signed by the Chair as a correct record.

25. Internal Audit Performance Status Report to 6th July 2023 & Annual Audit Opinion 2022/23 (AI 4)

(TAKE IN REPORT)

Elizabeth Goodwin, Chief Internal Auditor, introduced the report which updated on the internal audit performance for 2022/23 to 6 July 2023 against the Annual Audit Plan, highlighted areas of concern and areas where assurance could be given on the internal control framework.

In addition to this the annual opinion on the effectiveness of the internal control environment was detailed in Appendix B. This opinion fed into the Annual Governance Statement and was a requirement of the Local Government Act 1999 and the Public Sector Internal Audit Standards.

The committee was advised of the following areas of concern:

This first was an opinion of 'No Assurance' which had been given to direct payments in Children, Families and Education. This related to the authorisation of payment arrangements, poor record keeping, an absence of financial audits and fraud prevention measures, inadequate expenditure guidance and a lack of management monitoring and reporting.

A process map dated September 2022 had been provided for guidance as part of the audit, however from the testing conducted, this process had not been fully adhered to and there was some confusion between teams (Social Care and Finance) with regards to process responsibility. A no assurance rating had been given due to the failure to safeguard assets and prevent fraud, demonstrate efficient and effective use of public funds, and compliance with procedure, directly linked to the verification of expenditure incurred.

The second followed a review of 'Key Financial Controls' in nominated areas which also highlighted key control weaknesses, such as a failure to comply with directed processes, thereby increasing the risk of theft or fraud. The review had been triggered following the identification of similar issues to that detailed above within two service areas, involving safe security and cash handling. Testing had highlighted significant process failures that required immediate and robust control arrangements to be implemented.

The third was a pattern emerging of potential and actual losses and thefts both locally and nationally. This could be a result of increased opportunity for fraud or theft, which in some instances was being exploited. Further work needed to be performed in order to ascertain the full effects on control environments.

In response to previous concerns raised by the committee, it was explained that the historic issue of gaps in the control arrangements for home to school transport remained to a degree, but the level of assurance had moved from limited assurance to reasonable assurance. The overall position had therefore improved, but a watching brief would be kept on the matter.

In response to a question as to whether the system for home to school transport would ever be perfect it was explained that the main point was adherence to control arrangements in place, however driver checks were often identified as an issue. The renewals for these came at different times and the information required, such as DBS checks, sometimes came from another local authority if the driver was licensed outside of the city. In these instances the speed at which this information was supplied was outside of the council's direct control.

In respect of drivers and vehicles that were licensed outside of the city it was confirmed that the council could contract with any registered driver. However, checks and balances existed to provide additional assurances should the licence have been granted by a licensing authority with less stringent requirements than the Portsmouth City Council Licensing Authority.

In response to further questions from the committee it was confirmed that:

- The audit plan was continually reviewed and items would only be removed or deferred if another higher priority item came forward. Any deferred audits would again be assessed the following year, with priority given to matters viewed as a high risk at that time;
- There was a pattern of small frauds and thefts both locally and nationally. At both levels this appeared to be becoming more prevalent.
- It was difficult to confirm whether the level of high risks was increasing overall, as different areas were audited in depth each year. However, there weren't any concerns about any significant increases in high-risk exceptions.
- In respect of assessing the risk rating, the impact upon the service and identifying systemic issues were the key measures rather than purely the financial impact.
- The implementation date of July 2024 to address the high risk exceptions in respect hire cars was tied with the contract renewal date.

RESOLVED that the Governance, Audit & Standards Committee NOTED:

- (i) the Audit Performance and results for 2022/23 to 6 July 2023;
- (ii) any highlighted areas of concern in relation to audits completed from the 2022/23 Audit Plan, including follow up work performed; and
- (iii) the Annual Audit Report and Opinion for 2022/23.

26. Annual Governance Statement (AI 5)

(TAKE IN REPORT)

Kelly Nash, Corporate Performance Manager, introduced the report which sought approval from the committee for the council's draft Annual Governance Statement (AGS) for 2022/23 (Appendix 1 to the report).

The committee requested the following amendments:

- Agenda page 75 (Draft Governance Statement document) - first line of the first paragraph under the heading 'Partnership working', remove the word 'right' before the word 'organisations'
- Agenda Page 83 (Draft Governance Statement document) - remove reference to the council having a Deputy Chief Executive in the first bullet under the heading 'Monitoring and evaluating the effectiveness of the governance framework'
- Agenda page 109 (Local Code of Governance document), fourth bullet - amend the wording in brackets to make reference to the Chair of the Governance and Audit and Standards Committee not sitting on Cabinet, rather than not sitting on any other regulatory committee.

The committee discussed training (second paragraph on agenda page 80) and whether training for councillors was compulsory for members of certain committees.

Whilst neither compulsory nor a statutory requirement, the council was able to mandate training for councillors appointed to committees such as the Licensing Committee and Planning Committee. The word 'compulsory' to be removed.

RESOLVED that the Committee:

- (i) **APPROVED the draft Annual Governance Statement 2022/23; and**
- (ii) **NOTED the refreshed Local Code of Governance (attached Appendix 2)**

27. Risk and Assurance Management Policy (AI 6)

(TAKE IN REPORT)

Kelly Nash, Corporate Performance Manager, introduced the report presented the council's risk and assurance management policy to the Governance and Audit and Standards Committee for approval.

In response to questions it was confirmed that the references to the post of Deputy Chief Executive would be removed as it did not exist and that the council had a robust approach to assessing risk. The threshold for this varied depending on the item and the committee was reminded of the robust framework which existed and the regular reports considered by this committee.

RESOLVED that the Committee:

- (i) **APPROVED the attached Risk and Assurance Management Policy; and**

- (ii) **AGREED to review the risk management policy in July 2025, including risks current at the time and lessons learnt over the previous year.**

28. Consideration of the political balance rules in relation to the constitution of Sub-Committees considering complaints against Members (AI 7)

(TAKE IN REPORT)

Peter Baulf, City Solicitor, introduced the report.

The Committee was asked to consider whether it wished to disapply the political balance rules in respect of its Sub-Committees and the Initial Filtering Panels which considered complaints against Members.

The committee had no questions in respect of this item.

RESOLVED 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.

29. Exclusion of Press and Public

Internal Audit Performance Status Report to 6th July 2023 & Annual Audit Opinion 2022/23

The committee wished to discuss the 'Areas of Concern' section in further detail. This was in respect of the review triggered following the identification of key control weaknesses in two service areas involving safe security and cash handling which identified significant process failures that required immediate and robust control arrangements to be implemented.

Given the potential for exempt information to be disclosed under Paragraph 3* of Part 1 of Schedule 12A to the Local Government Act 1972, the Chair proposed that the committee move into exempt session.

It was 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 as the discussion was likely to disclose exempt information as contained Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972.

The public interest in maintaining the exemption outweighed the public interest in disclosing the information.

Item Exemption	Para No.*
Minute 30 - Internal Audit Performance Status Report to 6th July 2023 & Annual Audit Opinion 2022/234.	3

*3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).

30. Internal Audit Performance Status Report to 6th July 2023 & Annual Audit Opinion 2022/23 (AI 4)

This item was held in camera.

The meeting concluded at 11.45 am.

Councillor Leo Madden
Chair

Agenda Item 5



Portsmouth
CITY COUNCIL

Title of meeting:	Governance and Audit and Standards Committee
Date of meeting:	20 September 2023
Subject:	Review of Polling Districts and Polling Places
Report by:	Electoral Services Manager
Wards affected:	All
Key decision:	No
Full Council decision:	Yes

1. Purpose of report

To detail the outcomes of the review of polling districts and polling places recently undertaken and to invite members to consider the recommendations made.

2. Recommendations

- 1) That the changes to the current polling scheme recommended in paragraphs 5.2 to 5.5 are approved and implemented on publication of the 2024 Register of Electors**
- 2) That it be reconfirmed that the Returning Officer has delegated authority to make such variations to polling places as may be necessary arising from the availability of premises for use at a particular election**

3. Background

- 3.1 The Council is required under section 18 of the Representation of the People Act 1983 (as amended) to divide each electoral ward into polling districts and to designate a polling place for each polling district. These regulations also require the Council to conduct a review every five years and at such other times as may be necessary to make adjustments to the existing scheme.
- 3.2 This review has been undertaken to make adjustments to the Council's polling arrangements due to some circumstances that have arisen since the last review undertaken in 2022.
- 3.3 Definitions:

- i) A polling district is a sub-division of an electoral ward into a smaller geographical unit comprising a number of streets and properties
- ii) A polling place is a building or location in which polling stations will be designated by the Returning Officer
- iii) A polling station is the actual room or building in which the poll is held

3.4 The duties of the Council in the review process are:

- a) To ensure that all electors have such reasonable facilities for voting as are practicable in the circumstances
- b) To seek to ensure that so far as is reasonable and practicable, the polling places are accessible to all electors, including those who are disabled, and when considering the designation of a polling place, have regard to the accessibility needs of disabled persons

3.5 Certain practical limitations such as the availability and suitability of venues must also be considered when designating polling places.

3.6 The next statutory review is scheduled to be undertaken in summer 2024 and must be completed by January 2025.

4. Representations received

4.1 A six-week consultation period was undertaken between 10 July and 21 August. A summary of the representations received is shown in Appendix A.

4.2 The Returning Officer is a statutory respondent to the review and submitted proposals which include the reconfiguration of polling district boundaries in Fratton ward and a small number of polling place amendments in other parts of the city to reflect the current availability of polling venues.

4.3 A counter proposal for Fratton ward was received from Councillor Stuart Brown. This made some small modifications to the Returning Office's suggested boundary amendments, particularly in the George Street/Penbridge School area. The current Fratton ward scheme, the Returning Officer's proposals and Councillor Brown's counter proposal are shown in Appendices B, C and D respectively.

4.4 A further proposal was developed in consultation with the Copnor ward members regarding arrangements in the southern part of Copnor ward. The Returning Officer had recommended that the polling place for polling district 'JD' be relocated to St Albans' Church. However, Councillor Swann raised concerns at this proposal as it would require some residents in the lower part of the area to cross Copnor Road.

Further consideration of available options was undertaken and an alternative proposal was put forward which realigned the polling district boundaries for polling districts 'JC' and 'JD' and designated the Portsmouth Seventh Day Adventist Church as the polling place for polling district 'JD'. This option was supported by Councillor Dent, Councillor Gosling and Councillor Swann.

The current Copnor ward scheme and proposed scheme are shown in Appendices E and F.

- 4.5 Each of the representations received has been carefully considered and reflected in the recommendations made.

5. Recommendations

- 5.1 The following are recommended changes to the current polling scheme:

- 5.2 The modified polling arrangements for Fratton ward as proposed by Councillor Brown and shown in Appendix D should be adopted. A revised scheme is necessary as the designated venue, St Wilfrid's Church, is no longer available.

It is proposed that North End Baptist Church (Powerscourt Road) is designated as the polling place for polling district 'FB' and that Age UK (The Bradbury Centre, Kingston Road) is designated as the polling place for polling district 'FC'. The revised scheme provides accessible polling station facilities and the reconfigured polling districts follow main roads where possible as natural boundaries.

- 5.3 The revised polling arrangements for Copnor ward as shown in Appendix F should be adopted. The proposal makes amendments to the polling district boundaries in the lower part of Copnor ward and introduces Portsmouth Seventh Day Adventist Church (Chichester Road/Burlington Road) as a new polling place. This new location will provide convenient and accessible facilities for voters for the revised polling district alignment.

The recommended scheme applies the polling district identifiers 'JA' to 'JD' in a north to south geographic order as shown in Appendix F. The Seventh Day Adventist Church is the proposed polling place for polling district 'JC' and North End Baptist Church is the proposed polling place for polling district 'JD'.

- 5.4 In addition, the following individual polling place amendments arising from changes in the availability of previously designated venues should be confirmed:

- a) The Good Companion (Eastern Road) is designated as the polling place for polling district 'HF' (Baffins ward) replacing Moorings Way Infant School which is no longer available.

b) St Nicholas' Church (Battenburg Avenue) is designated as the polling place for polling district 'JA' (Copnor ward) replacing Mayfield School.

5.5 A full schedule of polling places incorporating these recommendations is set out in Appendix G.

6. Integrated impact assessment

6.1 The review of polling districts and polling places takes into consideration matters regarding accessibility and the recommendations made in this report are in line with this requirement.

6.2 An Integrated Impact Assessment has been completed and is attached at Appendix H.

7. Legal implications

The relevant recommendations are in line with legislation as noted within the body of this report.

8. Director of Finance's comments

The above changes are not considered to have any material financial affect to the service. Any additional costs arising from these changes can be met from the existing portfolio budget.

.....
Signed by:

Appendices:

- Appendix A - Summary of representations received
- Appendix B - Map showing the existing scheme for Fratton
- Appendix C - Map showing the Returning Officer's proposal for Fratton
- Appendix D - Map showing the recommended scheme for Fratton



- Appendix E - Map showing the existing scheme for Copnor
- Appendix F - Map showing the recommended scheme for Copnor
- Appendix G - Proposed schedule of polling places
- Appendix H - Integrated Impact Assessment (IIA)

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
Review of polling districts and polling places 2023; Returning Officer's comments and proposals	Published on website and hard copy available at the Election Services Office

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

.....
Signed by:

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Appendix A

Summary of Representations Received

1	<p>David Williams, Returning Officer Submitted on Monday 17 July 2023 (published document)</p> <p>Baffins ward The Good Companion PH (Eastern Road) is designated as the polling place for polling district 'HF' in place of Moorings Way Infant School which is no longer available.</p> <p>Copnor ward The last review of polling districts in 2022 amended the polling district boundaries and polling places in Copnor ward. Copnor Snooker Club was designated as the polling place for polling district 'JD' but there were some issues with lighting and some comments from voters about the proximity to the bar area and some accessibility issues. St Albans' Church was proposed to replace Copnor Snooker Club as the designated polling place for polling district 'JD' on the basis of being a fully accessible, large and generally more suitable venue.</p> <p>In addition, it was proposed that St Nicholas' Church (Battenburg Avenue) is designated as the polling place for polling district 'JA' in place of Mayfield School.</p> <p>Fratton ward Since the last review in 2022, St Wilfrid's Church is no longer available for use. It is therefore proposed that:</p> <ul style="list-style-type: none">• The northern part of the ward is reconfigured as shown in Appendix C• North End Baptist Church (Powerscourt Road) is designated as the polling place for revised polling district 'FB'• Age UK (The Bradbury Centre, Kingston Road) is designated as the polling place for revised polling district 'FC'
2	<p>Councillor Stuart Brown Submitted 19 July 2023 (in person)</p> <p>Fratton ward The Returning Officer's proposal should be modified in the George Street/Penbridge School area as shown in Appendix D. This proposal was also supported by Councillor Dave Ashmore.</p>
3	<p>Councillor Benedict Swann/Electoral Services Manager Submitted 12 July 2022 (emails)</p>

Copnor ward

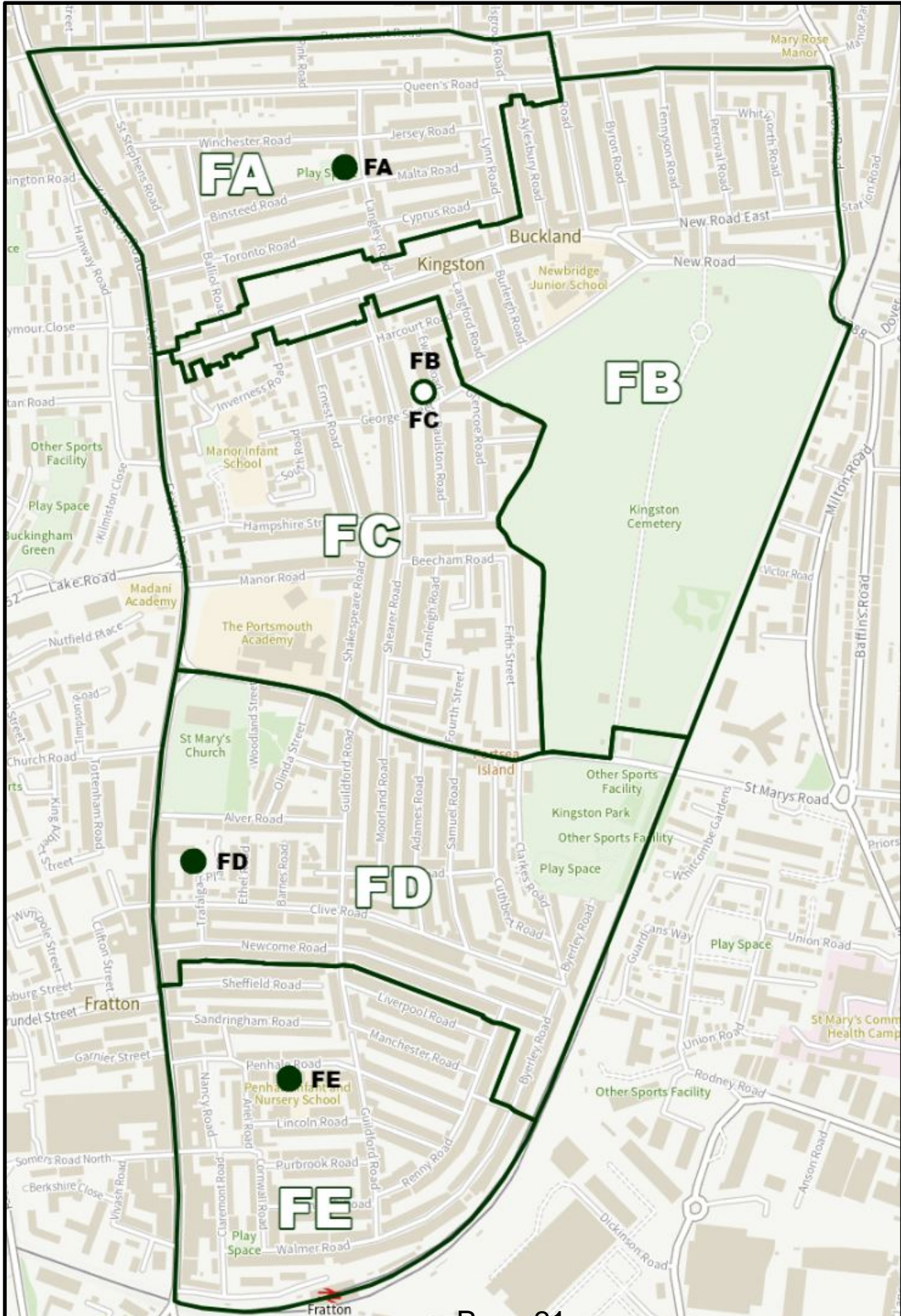
Councillor Benedict Swann raised concerns about the Returning Officer's proposal to relocate the polling place for polling district 'JD' from Copnor Snooker Club to St Albans' Church because this would require some voters to cross Copnor Road.

The Electoral Services Manager undertook to explore potential alternatives and an option was put forward to realign the polling district boundaries for polling districts 'JC' and 'JD' (as shown in Appendix F) and designate Portsmouth Seventh Day Adventist Church (Chichester Road/Burlington Road) as a new polling place for the revised polling district configuration.

This proposal was supported by Councillor Raymond Dent, Councillor Lewis Gosling and Councillor Benedict Swann.

Appendix B

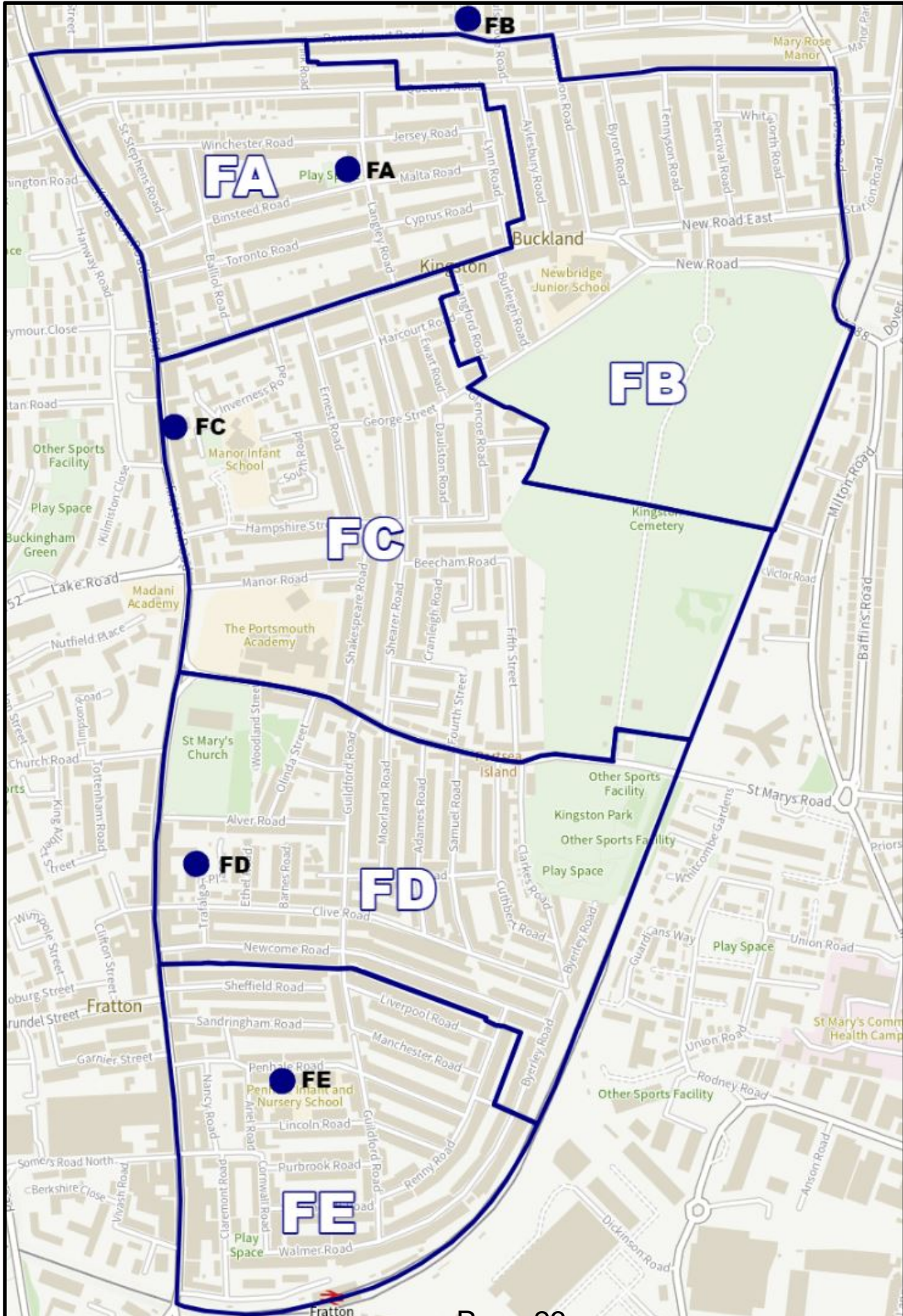
Fratton ward: map of existing polling scheme



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Appendix C

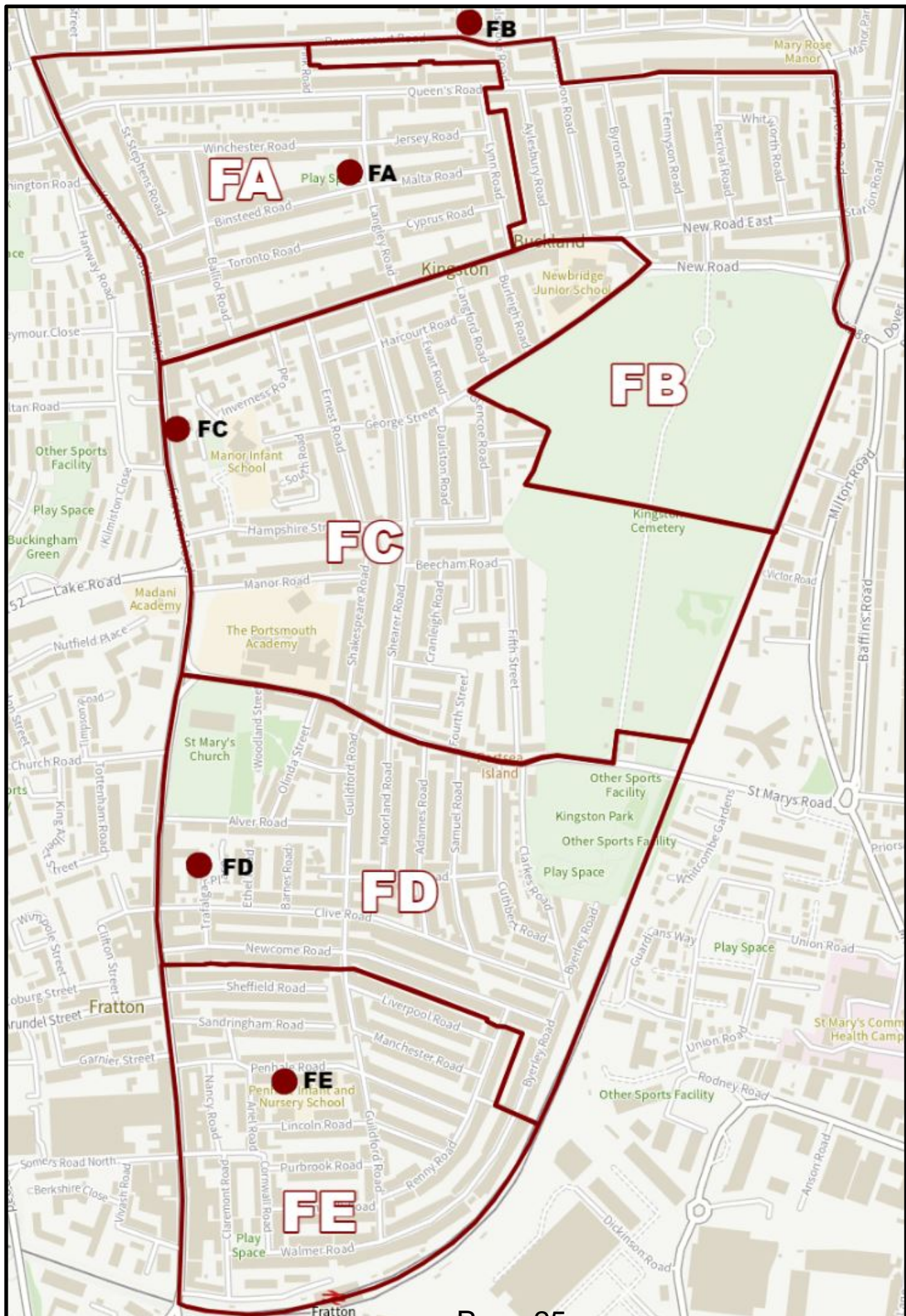
Fratton ward: map of Returning Officer's proposed polling scheme



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Appendix D

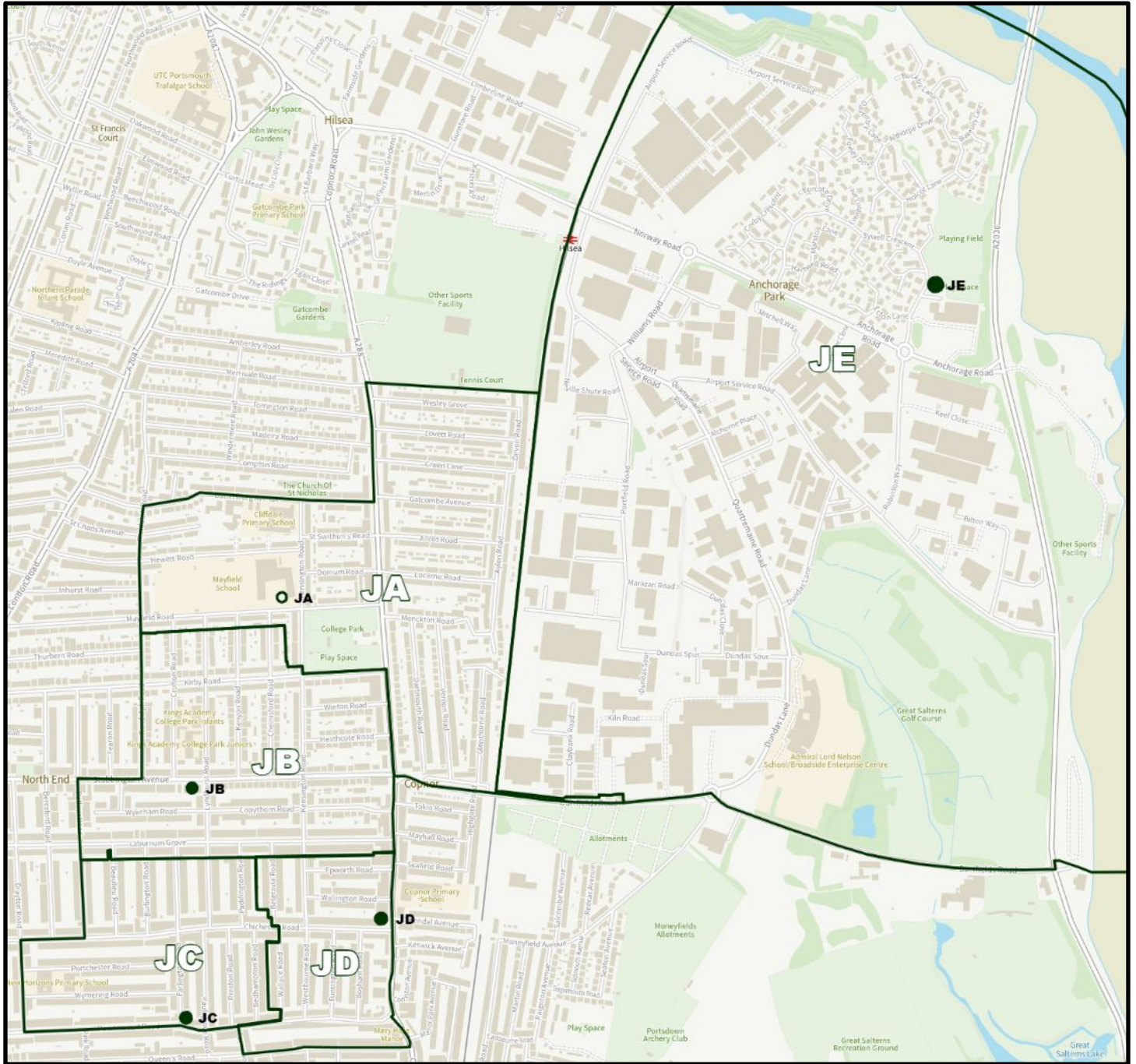
Fratton ward: map of recommended polling scheme



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Appendix E

Copnor ward: map of existing polling scheme

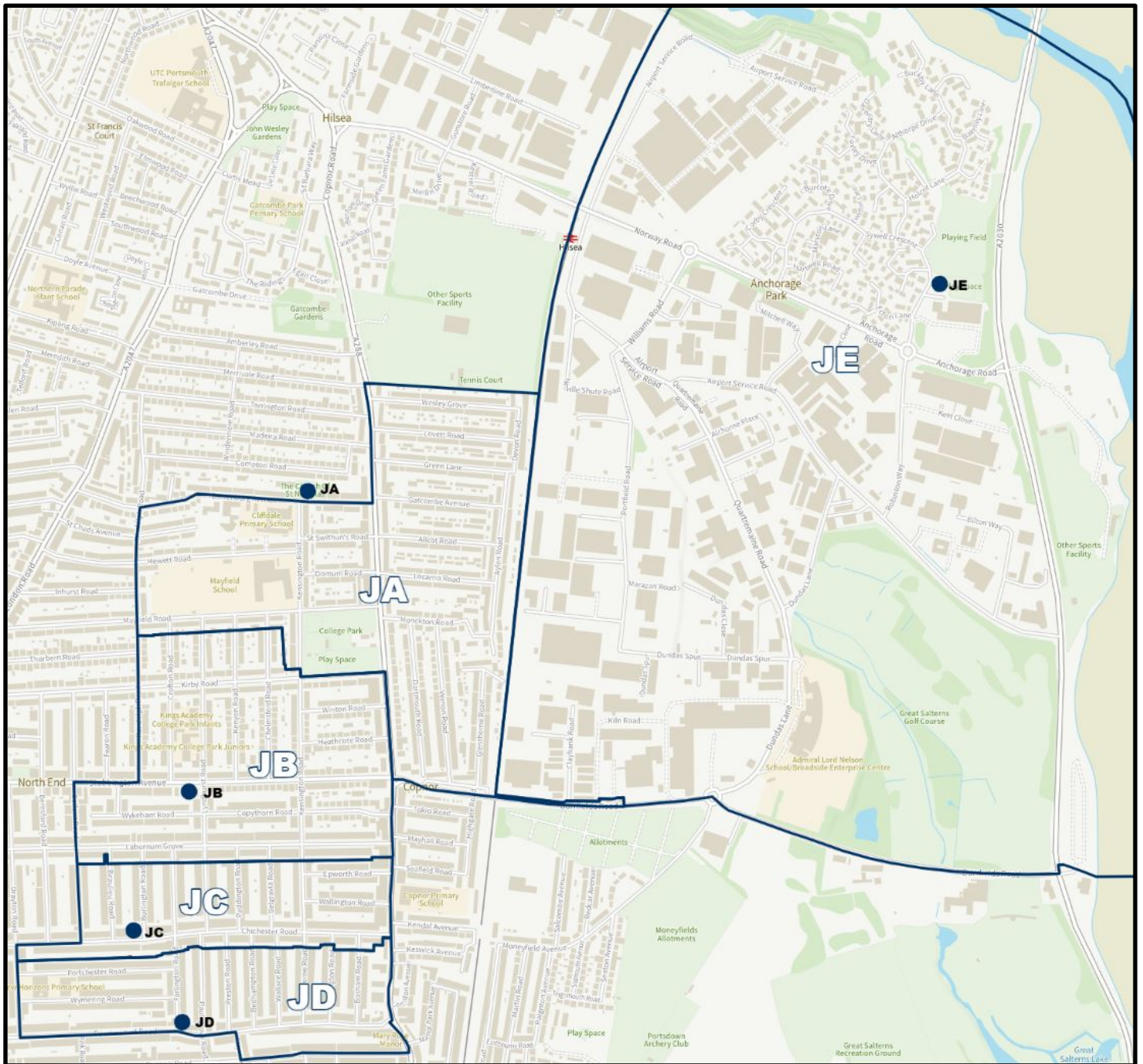


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Appendix F

Copnor ward: map of recommended polling scheme



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Appendix G



Designated Polling Places (Recommendations)

This document sets out the recommended polling places to be designated for each polling district. Also included is an estimate of the number of electors (excluding postal voters) expected to be allocated to each polling place at the Police & Crime Commissioner and City Council elections on 2 May 2024.

Ward	Polling District	Polling place (usual polling station)	Polling station electorate	Wheelchair accessible
Baffins	HA	St Alban's Church, Copnor Road	1,000	Accessible
Baffins	HB	St Joseph's Church, Tangier Road	1,700	Accessible
Baffins	HC	Baffins Community Centre, Westover Road	1,700	Accessible
Baffins	HD	Baffins Library, Tangier Road	1,400	Accessible
Baffins	HE	The Stacey Centre, Walsall Road	2,000	Accessible
Baffins	HF	The Good Companion PH, Eastern Road	1,500	Accessible
Central Southsea	CA	Holy Spirit Church, Fawcett Road	2,900	Accessible
Central Southsea	CB	Fernhurst Junior School, Francis Avenue/Heidelberg Road	2,800	Accessible
Central Southsea	CC	Devonshire Avenue Baptist Church, Devonshire Avenue	1,700	Accessible
Central Southsea	CD	St Margaret's Parish Centre, Highland Road	1,400	Accessible
Central Southsea	CE	Havelock Community Centre, Fawcett Road	1,500	Accessible
Charles Dickens	GA	Charles Dickens Activity Centre, Lake Road	1,800	Accessible
Charles Dickens	GB	St Faith's Church, Crasswell Street	1,900	Accessible
Charles Dickens	GC	St Faith's Church, Crasswell Street	1,500	Accessible
Charles Dickens	GD	Somerstown Hub, Winston Churchill Avenue	2,500	Accessible
Charles Dickens	GE	John Pound's Centre, Aylward Street	2,500	Accessible
Charles Dickens	GF	Charles Dickens Activity Centre, Lake Road	1,500	Accessible
Copnor	JA	St Nicholas' Church, Battenburg Avenue	2,400	Temporary ramp
Copnor	JB	Church of the Ascension, Stubbington Avenue	2,000	Accessible
Copnor	JC	Portsmouth Seventh Day Adventist Church, Burlington Road	1,200	Accessible

Ward	Polling District	Polling place (usual polling station)	Polling station electorate	Wheelchair accessible
Copnor	JD	North End Baptist Church, Powerscourt Road	1,800	Accessible
Copnor	JE	Anchorage Lodge, Sywell Crescent	1,200	Accessible
Cosham	MA	Portacabin, Fairfield Square	1,300	Temporary ramp
Cosham	MB	Cosham Baptist Church, Havant Road	2,000	Accessible
Cosham	MC	Court Lane Junior School, Hilary Avenue	1,200	Temporary ramp
Cosham	MD	St Philip's Church, Hawthorn Crescent	2,500	Accessible
Cosham	ME	St Peter & St Paul Hall, Old Wymering Lane	1,600	Accessible
Drayton & Farlington	NA	Cosham Baptist Church, Havant Road	800	Accessible
Drayton & Farlington	NB	Drayton Centre, Havant Road	2,000	Accessible
Drayton & Farlington	NC	Solent Infant School, Eveleigh Road	1,600	Accessible
Drayton & Farlington	ND	The Sunshine Inn, Havant Road	1,600	Accessible
Drayton & Farlington	NE	Drayton United Church Hall, Station Road	1,700	Accessible
Drayton & Farlington	NF	Court Lane Junior School, Hilary Avenue	1,000	Temporary ramp
Drayton & Farlington	NG	Christchurch Church Hall, London Road	300	Accessible
Eastney & Craneswater	DA	Trinity Methodist Church, Francis Avenue	1,500	Accessible
Eastney & Craneswater	DB	St Simons Church, Waverley Road	1,700	Accessible
Eastney & Craneswater	DC	Canoe Lake Pavilion, St Helen's Parade	800	Accessible
Eastney & Craneswater	DD	Eastney Methodist Church, Highland Road	1,700	Accessible
Eastney & Craneswater	DE	Eastney Community Centre, Bransbury Park	1,100	Accessible
Eastney & Craneswater	DF	Cockleshell Naval Community Centre, Henderson Road	1,100	Accessible
Fratton	FA	Binstead Community Centre, Langley Road	1,900	Accessible
Fratton	FB	North End Baptist Church, Powerscourt Road	1,300	Accessible
Fratton	FC	Age UK (The Bradbury Centre), Kingston Road	2,300	Accessible
Fratton	FD	Fratton Community Centre, Trafalgar Place	2,100	Accessible
Fratton	FE	Penbridge Infant School, Penhale Road	1,900	Accessible
Hilsea	KA	Christian Science Centre, London Road	1,300	Accessible
Hilsea	KB	St Francis' Church, Northern Parade	1,500	Accessible
Hilsea	KC	Howard Road Community Centre (Hilsea Hub), Howard Road	1,600	Accessible
Hilsea	KD	Christian Science Centre, London Road	1,500	Accessible
Hilsea	KE	The Phoenix PH, Torrington Road	1,300	Accessible
Hilsea	KF	The Scout Hut, The Ridings	1,600	Accessible
Milton	EA	Milton United Reformed Church Hall, Milton Road	1,900	Accessible

Ward	Polling District	Polling place (usual polling station)	Polling station electorate	Wheelchair accessible
Milton	EB	St James' Church, Milton Park Avenue	1,400	Accessible
Milton	EC	The Thatched House PH, Locksway Road	600	Accessible
Milton	ED	Milton Park Primary School, Eastney Road	1,500	Accessible
Milton	EE	Eastney Community Centre, Bransbury Park	1,500	Accessible
Milton	EF	Devonshire Avenue Baptist Church, Devonshire Avenue	2,000	Accessible
Nelson	IA	Stamshaw & Tipner Leisure Centre, Wilson Road	1,300	Accessible
Nelson	IB	Stamshaw & Tipner Leisure Centre, Wilson Road	1,500	Accessible
Nelson	IC	Stamshaw Infant School, North End Avenue	1,900	Accessible
Nelson	ID	St Mark's Church Centre, Derby Road	1,400	Accessible
Nelson	IE	Salvation Army, Powerscourt Road	1,400	Accessible
Nelson	IF	Buckland Community Centre, Malins Road	1,700	Accessible
Paulsgrove	LA	Highslopes Community Centre, Carlton Road	700	Accessible
Paulsgrove	LB	Castle View Academy, Allaway Avenue	1,400	Temporary ramp
Paulsgrove	LC	Paulsgrove Baptist Church, Woofferton Road	1,800	Accessible
Paulsgrove	LD	St Michael's Church, Hempsted Road	2,100	Accessible
Paulsgrove	LE	Portacabin, Blakemere Crescent	1,000	Temporary ramp
Paulsgrove	LF	Hillside & Wymering Centre, Cheltenham Road	600	Accessible
Paulsgrove	LG	Port House, Marina Keep, Port Solent	1,000	Accessible
St Jude	BA	St Jude's Church, Kent Road	1,400	Accessible
St Jude	BB	St Jude's Church, Kent Road	1,400	Accessible
St Jude	BC	St Simon's Church, Waverley Road	1,200	Accessible
St Jude	BD	St Jude's Church, Kent Road	1,400	Accessible
St Jude	BE	Salvation Army, Albert Road	2,500	Accessible
St Thomas	AA	Portsmouth City Museum, Museum Road	1,800	Accessible
St Thomas	AB	Cathedral House, St Thomas's Street	1,700	Accessible
St Thomas	AC	Somerstown Hub, Winston Churchill Avenue	1,500	Accessible
St Thomas	AD	Cottage Grove Primary School, Chivers Close	2,000	Temporary ramp
St Thomas	AE	King's Church, Playfair Road/Somers Road	2,200	Temporary ramp

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Integrated Impact Assessment (IIA)

Integrated impact assessment (IIA) form December 2019

www.portsmouth.gov.uk

The integrated impact assessment is a quick and easy screening process. It should:

- identify those policies, projects, services, functions or strategies that could impact positively or negatively on the following areas:
 - Communities and safety
 - Regeneration and culture
 - Environment and public space
 - Equality & - Diversity This can be found in Section A5

Directorate:

Corporate Services

Service, function:

Election Services

Title of policy, service, function, project or strategy (new or old) :

2023 Review of Polling Districts and Polling Places

Type of policy, service, function, project or strategy:

- Existing
- New / proposed
- Changed

What is the aim of your policy, service, function, project or strategy?

This IIA is being completed as part of a Review of Polling Districts and Polling Places. The review seeks to ensure that the configuration of polling districts and the provision of polling places remains both suitable and convenient for all voters. Page 35

A polling district is a sub-division of a ward into a smaller geographical unit comprising a number of streets/properties.

A polling place is a building or area in which polling stations are located.

A polling station is the individual room or building in which the poll is held.

The duties of the council in the review process are two-fold:

- a) To ensure that all electors in the constituency have such reasonable facilities for voting as are practicable in the circumstances
- b) To ensure that so far as is reasonable and practicable, polling places are accessible to all electors, including those who are disabled, and when considering the designation of a polling place, must have regard to the accessibility needs of disabled persons

When designating polling places there are practical limitations such as the availability and suitability of venues that must also be considered.

Has any consultation been undertaken for this proposal? What were the outcomes of the consultations? Has anything changed because of the consultation? Did this inform your proposal?

A six-week consultation period was undertaken as part of the review process. The responses received have been considered and included in the recommendations as appropriate.

A - Communities and safety

Yes

No

Is your policy/proposal relevant to the following questions?

A1-Crime - Will it make our city safer?



In thinking about this question:

- How will it reduce crime, disorder, ASB and the fear of crime?
- How will it prevent the misuse of drugs, alcohol and other substances?
- How will it protect and support young people at risk of harm?
- How will it discourage re-offending?

If you want more information contact Lisa.Wills@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cou-spp-plan-2018-20.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How will you measure/check the impact of your proposal?

A - Communities and safety

Yes

No

Is your policy/proposal relevant to the following questions?

A2-Housing - Will it provide good quality homes?



In thinking about this question:

- How will it increase good quality affordable housing, including social housing?
- How will it reduce the number of poor quality homes and accommodation?
- How will it produce well-insulated and sustainable buildings?
- How will it provide a mix of housing for different groups and needs?

If you want more information contact Daniel.Young@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/psh-providing-affordable-housing-in-portsmouth-april-19.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

A - Communities and safety

Yes

No

Is your policy/proposal relevant to the following questions?

A3-Health - Will this help promote healthy, safe and independent living?



In thinking about this question:

- How will it improve physical and mental health?
- How will it improve quality of life?
- How will it encourage healthy lifestyle choices?
- How will it create healthy places? (Including workplaces)

If you want more information contact Dominique.Letouze@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cons-114.86-health-and-wellbeing-strategy-proof-2.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

A - Communities and safety

Yes

No

Is your policy/proposal relevant to the following questions?

A4-Income deprivation and poverty-Will it consider income deprivation and reduce poverty?



In thinking about this question:

- How will it support those vulnerable to falling into poverty; e.g., single working age adults and lone parent households?
- How will it consider low-income communities, households and individuals?
- How will it support those unable to work?
- How will it support those with no educational qualifications?

If you want more information contact Mark.Sage@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cou-homelessness-strategy-2018-to-2023.pdf>

<https://www.portsmouth.gov.uk/ext/health-and-care/health/joint-strategic-needs-assessment>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

A - Communities and safety

Yes

No

Is your policy/proposal relevant to the following questions?

A5-Equality & diversity - Will it have any positive/negative impacts on the protected characteristics?



In thinking about this question:

- How will it impact on the protected characteristics-Positive or negative impact (Protected characteristics under the Equality Act 2010, Age, disability, race/ethnicity, Sexual orientation, gender reassignment, sex, religion or belief, pregnancy and maternity, marriage and civil partnership,socio-economic)
- What mitigation has been put in place to lessen any impacts or barriers removed?
- How will it help promote equality for a specific protected characteristic?

If you want more information contact gina.perryman@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cmu-equality-strategy-2019-22-final.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

The purpose of the review is to ensure that the polling scheme, including the allocation of polling stations, is both accessible and convenient for all voters. The changes proposed as part of this review are intended to improve polling arrangements. It is not anticipated that any specific community will be disadvantaged by the changes proposed.

How are you going to measure/check the impact of your proposal?

Feedback from local support groups

Feedback from local groups covering a wide range of disabilities

Feedback from elected members

Presiding Officer feedback from election day.

Liaison with various PCC Staff working with harder to reach groups, including the Cross Cultural Womens Group, Shared Lives, Learning Disability Champion, Learning Disability Partnership.

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B1-Carbon emissions - Will it reduce carbon emissions?

In thinking about this question:

- How will it reduce greenhouse gas emissions?
- How will it provide renewable sources of energy?
- How will it reduce the need for motorised vehicle travel?
- How will it encourage and support residents to reduce carbon emissions?

If you want more information contact Tristan.thorn@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cmu-sustainability-strategy.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B2-Energy use - Will it reduce energy use?

In thinking about this question:

- How will it reduce water consumption?
- How will it reduce electricity consumption?
- How will it reduce gas consumption?
- How will it reduce the production of waste?

If you want more information contact Triston.thorn@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/pln-portsmouth-plan-post-adoption.pdf>

<https://democracy.portsmouth.gov.uk/documents/s24685/Home%20Energy%20Appendix%201%20-%20Energy%20and%20water%20at%20home%20-%20Strategy%202019-25.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B3 - Climate change mitigation and flooding-Will it proactively mitigate against a changing climate and flooding?

In thinking about this question:

- How will it minimise flood risk from both coastal and surface flooding in the future?
- How will it protect properties and buildings from flooding?
- How will it make local people aware of the risk from flooding?
- How will it mitigate for future changes in temperature and extreme weather events?

If you want more information contact Tristan.thorn@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/env-surface-water-management-plan-2019.pdf>

<https://www.portsmouth.gov.uk/ext/documents-external/cou-flood-risk-management-plan.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B4-Natural environment-Will it ensure public spaces are greener, more sustainable and well-maintained?

In thinking about this question:

- How will it encourage biodiversity and protect habitats?
- How will it preserve natural sites?
- How will it conserve and enhance natural species?

If you want more information contact Daniel.Young@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/pln-solent-recreation-mitigation-strategy-dec-17.pdf>

<https://www.portsmouth.gov.uk/ext/documents-external/pln-portsmouth-plan-post-adoption.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B5-Air quality - Will it improve air quality?

In thinking about this question:

- How will it reduce motor vehicle traffic congestion?
- How will it reduce emissions of key pollutants?
- How will it discourage the idling of motor vehicles?
- How will it reduce reliance on private car use?

If you want more information contact Hayley.Trower@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/env-aq-air-quality-plan-outline-business-case.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

B - Environment and climate change

Yes

No

Is your policy/proposal relevant to the following questions?

B6-Transport - Will it improve road safety and transport for the whole community?

In thinking about this question:

- How will it prioritise pedestrians, cyclists and public transport users over users of private vehicles?
- How will it allocate street space to ensure children and older people can walk and cycle safely in the area?
- How will it increase the proportion of journeys made using sustainable and active transport?
- How will it reduce the risk of traffic collisions, and near misses, with pedestrians and cyclists?

If you want more information contact Pam.Turton@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/travel/local-transport-plan-3>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

Is your policy/proposal relevant to the following questions?

B7-Waste management - Will it increase recycling and reduce the production of waste?

In thinking about this question:

- How will it reduce household waste and consumption?
- How will it increase recycling?
- How will it reduce industrial and construction waste?

If you want more information contact Steven.Russell@portsmouthcc.gov.uk or go to:

<https://documents.hants.gov.uk/mineralsandwaste/HampshireMineralsWastePlanADOPTED.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

C - Regeneration of our city

Yes

No

Is your policy/proposal relevant to the following questions?

C1-Culture and heritage - Will it promote, protect and enhance our culture and heritage?



In thinking about this question:

- How will it protect areas of cultural value?
- How will it protect listed buildings?
- How will it encourage events and attractions?
- How will it make Portsmouth a city people want to live in?

If you want more information contact Claire.Looney@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/pln-portsmouth-plan-post-adoption.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

C - Regeneration of our city

Yes

No

Is your policy/proposal relevant to the following questions?

C2-Employment and opportunities - Will it promote the development of a skilled workforce?



In thinking about this question:

- How will it improve qualifications and skills for local people?
- How will it reduce unemployment?
- How will it create high quality jobs?
- How will it improve earnings?

If you want more information contact Mark.Pembleton@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cou-regeneration-strategy.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

Is your policy/proposal relevant to the following questions?

C3 - Economy - Will it encourage businesses to invest in the city, support sustainable growth and regeneration?

In thinking about this question:

- How will it encourage the development of key industries?
- How will it improve the local economy?
- How will it create valuable employment opportunities for local people?
- How will it promote employment and growth in the city?

If you want more information contact Mark.Pembleton@portsmouthcc.gov.uk or go to:

<https://www.portsmouth.gov.uk/ext/documents-external/cou-regeneration-strategy.pdf>

Please expand on the impact your policy/proposal will have, and how you propose to mitigate any negative impacts?

How are you going to measure/check the impact of your proposal?

Q8 - Who was involved in the Integrated impact assessment?

Alison Herrod, Electoral Services Officer
Ian Fitchett, Election Services Manager

This IIA has been approved by:

Contact number:

Date:

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Agenda Item 6



THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)

Title of meeting:	Governance & Audit & Standards Committee
Subject:	Data Security Breaches Report
Date of meeting:	Wednesday 20 September 2023
Report by:	Elizabeth Goodwin, Senior Information Risk Owner
Wards affected:	All

1. Requested by

Governance & Audit & Standards Committee.

2. Purpose

To inform the Committee of any Data Security Breaches and enable them to determine whether any trends appear and whether any further actions should be recommended.

3. Information Requested

The appendix provides an overview of the breaches that have occurred since the end of February 2023.

85% of all incidents were due to human error, with half of all breaches occurring as a result of emails being sent to the wrong recipients. Member of staff from the Information Governance and IT Security & Architecture Teams are meeting with the council's Microsoft Advisor in September to learn more about the Data Loss Prevention tools available through Microsoft Office 365. This is with a review to introducing appropriate prompts and restrictions in Outlook to help minimise the number of data breaches caused by sending emails.

The Information Governance Team will continue to work with all areas of the council to reduce the number of breaches and report to this committee.

.....
Signed by (Director)

THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)

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	



Portsmouth
CITY COUNCIL

Data Security Incident Report
28 February to 31 August 2023

Executive Summary

This report has been prepared to provide an update on data breach incidents for the period from Thursday 28 February 2023 to Thursday 31 August 2023.

Clear guidance is provided to staff, via training and Policy Hub, regarding what constitutes a potential data breach and the steps they should take when a potential data breach is identified.

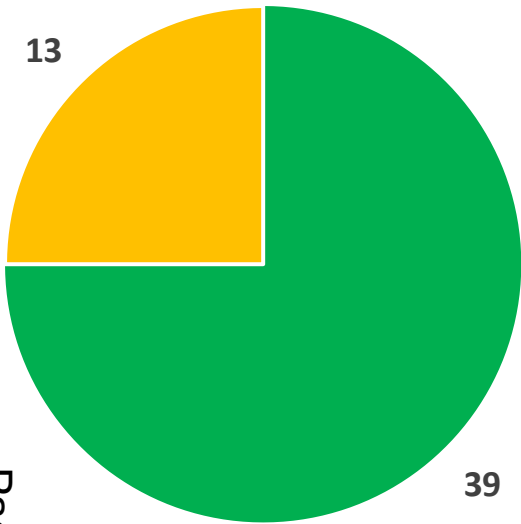
The Council's response to potential data breaches is managed by a central team, following the stages summarised below:

- Notification to central team.
- Initial assessment by central team.
- Escalation to the Senior Information Risk Owner - SIRO (Chief Internal Auditor) if necessary; this may lead to the Information Commissioner (ICO) being notified, dependent on the severity of the incident.
- Remedial action, for example corrective action, training, revised processes and potential disciplinary action.

Overall there have been 52 data breaches. In 13 instances, the breach was not reported to the Corporate Information Governance Team within the required 72 hours although none of these reached the threshold for reporting to the Information Commissioner's Office. All staff will be reminded of the importance of reporting incidents immediately even if the full details are not known at the time.

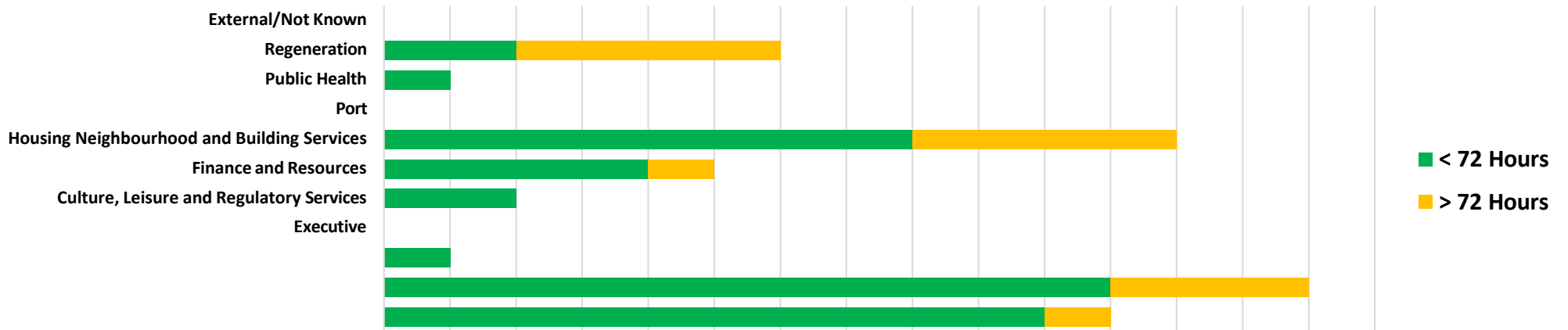
A detailed breakdown of data breaches for this period is provided at the end of this report.

Response Time

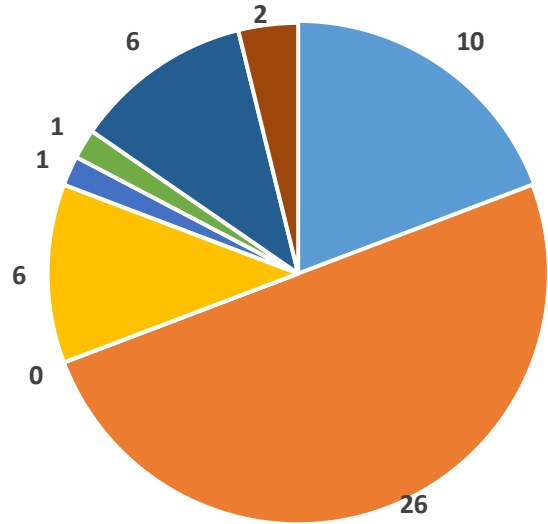


	< 72 hours	> 72 hours	TOTAL
Adult Social Care	10	1	11
Children, Families and Education	11	3	14
Corporate Services	1	0	1
Executive	0	0	0
Culture, Leisure and Regulatory Services	2	0	2
Finance and Resources	4	1	5
Housing Neighbourhood and Building Services	8	4	12
Port	0	0	0
Public Health	1	0	1
Regeneration	2	4	6
External/Not Known	0	0	0
TOTAL	39	13	52

Response time is the time taken for the central team to be notified by the service within which the breach has taken place. Article 33 of the UK GDPR states that, if a breach is reportable to the Information Commissioner's Office, it must be reported within 72 hours of discovery.

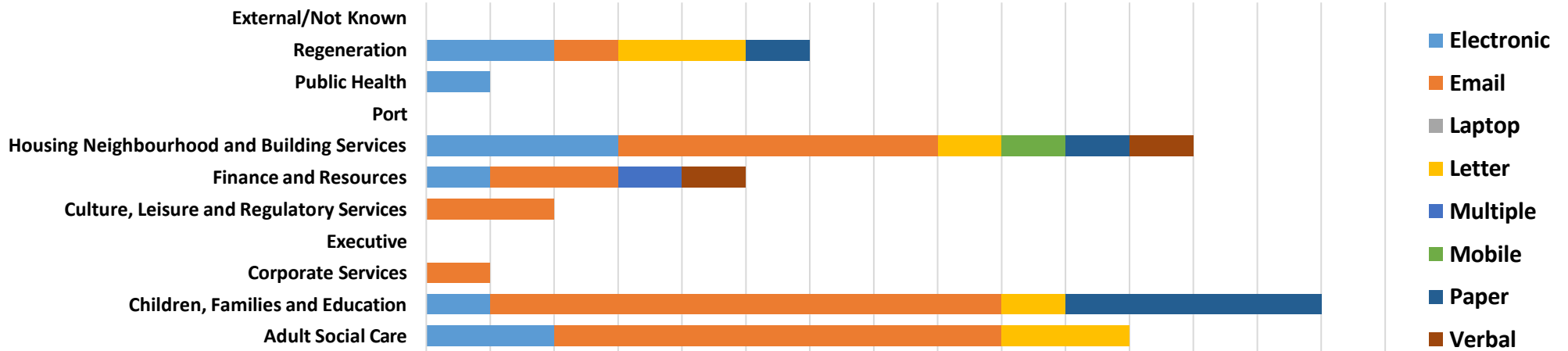


Medium

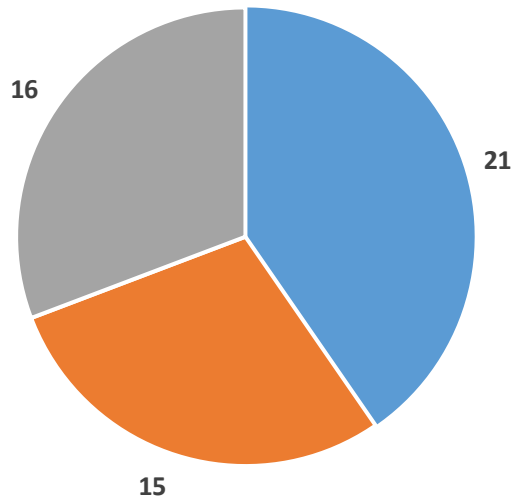


	Electronic	Email	Laptop	Letter	Multiple	Mobile	Paper	Verbal	TOTAL
Adult Social Care	2	7	0	2	0	0	0	0	11
Children, Families and Education	1	8	0	1	0	0	4	0	14
Corporate Services	0	1	0	0	0	0	0	0	1
Executive	0	0	0	0	0	0	0	0	0
Culture, Leisure and Regulatory Services	0	2	0	0	0	0	0	0	2
Finance and Resources	1	2	0	0	1	0	0	1	5
Housing Neighbourhood and Building Services	3	5	0	1	0	1	1	1	12
Port	0	0	0	0	0	0	0	0	0
Public Health	1	0	0	0	0	0	0	0	1
Regeneration	2	1	0	2	0	0	1	0	6
External/Not Known	0	0	0	0	0	0	0	0	0
TOTAL	10	26	0	6	1	1	6	2	52

These refer to the format in which the data breach occurred. Often data breaches can occur across multiple mediums. Where this is the case data breaches are recorded against 'multiple' on this page, with more detail provided on the detail summary, towards the back of this report.



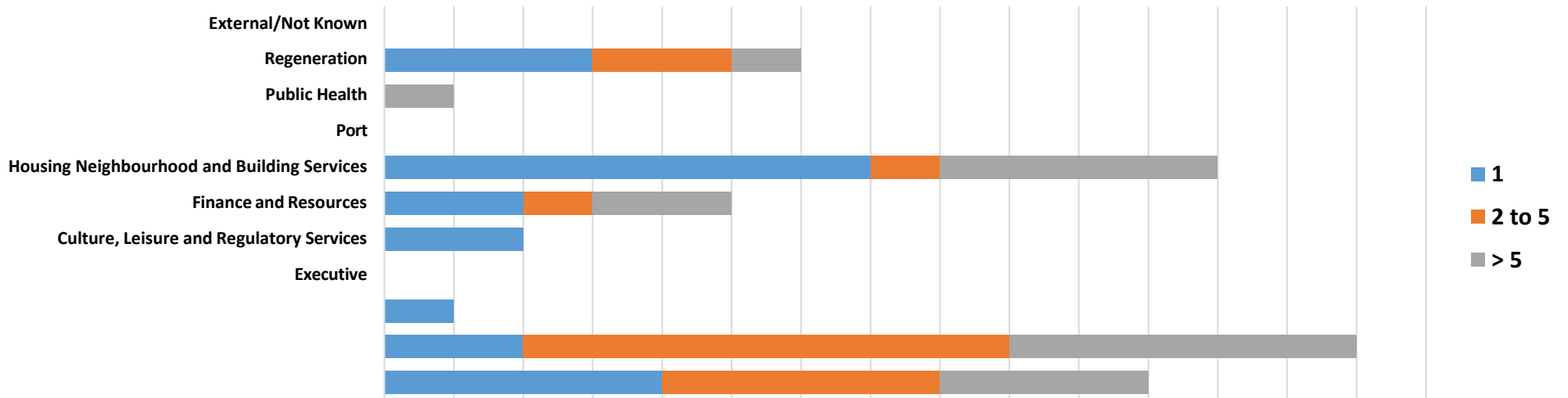
Number Impacted



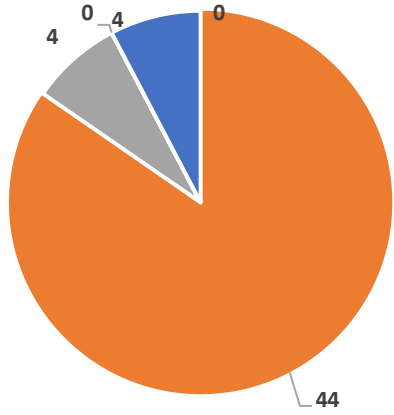
	1	2 to 5	> 5	TOTAL
Adult Social Care	4	4	3	11
Children, Families and Education	2	7	5	14
Corporate Services	1	0	0	1
Executive	0	0	0	0
Culture, Leisure and Regulatory Services	2	0	0	2
Finance and Resources	2	1	2	5
Housing Neighbourhood and Building Services	7	1	4	12
Port	0	0	0	0
Public Health	0	0	1	1
Regeneration	3	2	1	6
External/Not Known	0	0	0	0
TOTAL	21	15	16	52

Totals refer to the number of individuals either confirmed or likely to have been impacted.

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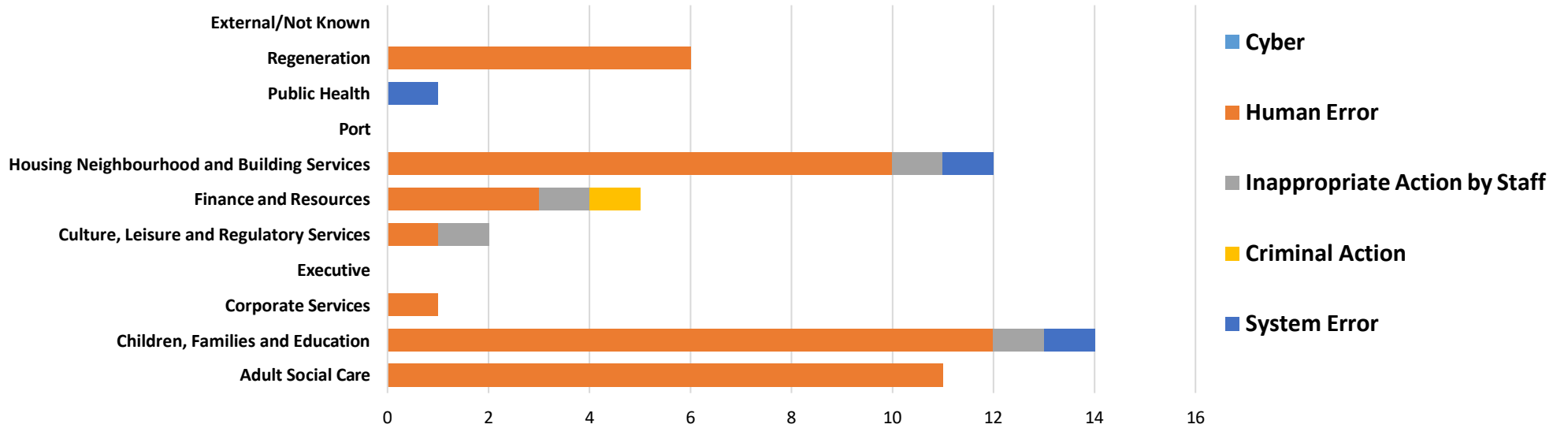


Root Cause

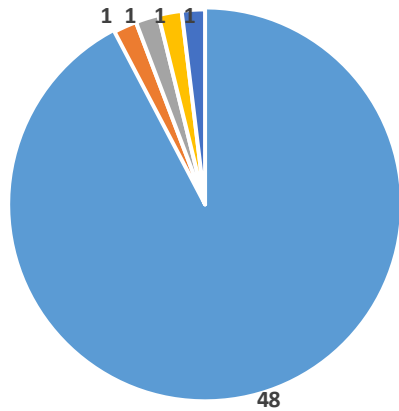


	Cyber	Human Error	Inappropriate Action by Staff	Criminal Action	System Error	TOTAL
Adult Social Care	0	11	0	0	0	11
Children, Families and Education	0	12	1	0	1	14
Corporate Services	0	1	0	0	0	1
Executive	0	0	0	0	0	0
Culture, Leisure and Regulatory Services	0	1	1	0	0	2
Finance and Resources	0	3	1	0	1	5
Housing Neighbourhood and Building Services	0	10	1	0	1	12
Port	0	0	0	0	0	0
Public Health	0	0	0	0	1	1
Regeneration	0	6	0	0	0	6
External/Not Known	0	0	0	0	0	0
TOTAL	0	44	4	0	4	52

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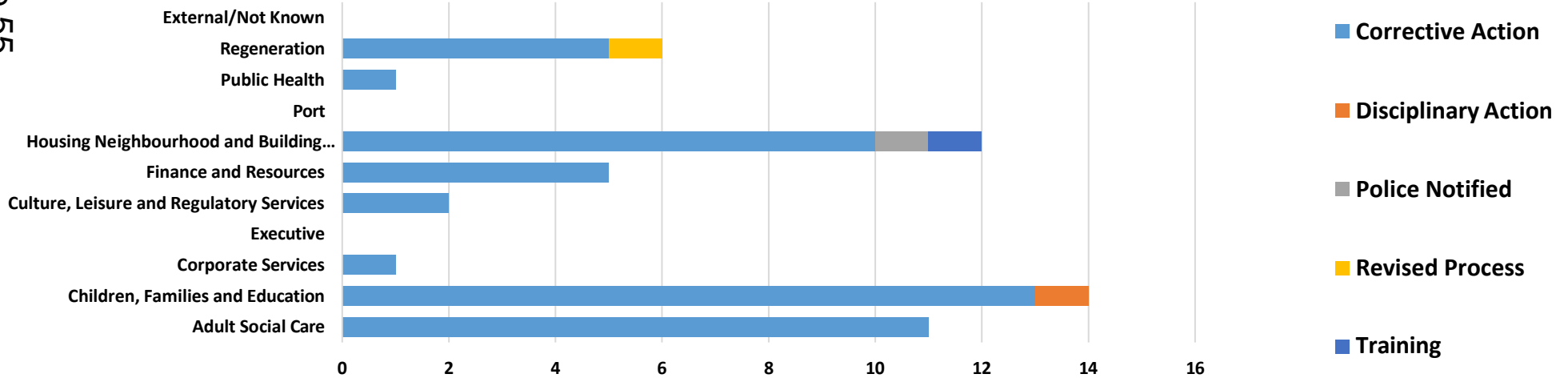


Action Taken



	Corrective Action	Disciplinary	Police Notified	Revised Process	Training	TOTAL
Adult Social Care	11	0	0	0	0	11
Children, Families and Education	13	1	0	0	0	14
Corporate Services	1	0	0	0	0	1
Executive	0	0	0	0	0	0
Culture, Leisure and Regulatory Services	2	0	0	0	0	2
Finance and Resources	5	0	0	0	0	5
Housing Neighbourhood and Building Services	10	0	1	0	1	12
Port	0	0	0	0	0	0
Public Health	1	0	0	0	0	1
Regeneration	5	0	0	1	0	6
External/Not Known	0	0	0	0	0	0
TOTAL	48	1	1	1	1	52

Apologies are routinely given, to data subject(s) and to others adversely impacted by data breaches.



Data Breaches Summary

Reference No.	Response in 72 Hours	Directorate	Root Cause	Action	Reported To ICO	Comments, including detail where a breach spans multiple mediums
DB2023034	Y	Children, Families and Education	Human Error	Corrective Action	No	Minutes and plan for 3 Children in Need sent to the wrong staff member Information breached includes; Personal and special category
DB2023035	N	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Wrong child's name included in a housing letter Information breached includes; Personal - child's name
DB2023036	Y	Children, Families and Education	Human Error	Corrective Action	No	Email correspondence concerning a child's assessment. Email from parent sent to an unknown email Solent University address a Solent NHS Trust address Information breached includes; Personal and special category, child's name, parent's names, child's health needs
DB2023037	Y	Culture, Leisure and Regulatory Services	Human Error	Corrective Action	No	Email sent to the wrong person Information breached includes; Patient record cards from 70 years ago
DB2023038	N	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Enquiries form sent via email in error. Information breached includes; Personal - housing and living circumstances but no individual names
DB2023039	Y	Finance and Resources	Human Error	Training	No	Council tax customer alleged breach of confidentiality Information breached includes; Personal - financial circumstances
DB2023040	N	Children, Families and Education	Human Error	Multiple	No	Email sent to wrong Hampshire County Council email address Information breached includes; Personal and special category - children's social care assessment
DB2023041	N	Regeneration	Human Error	Corrective Action	No	Bus Lane Penalty Charge Notice (PCN) sent to wrong keeper Information breached includes; Personal - name, vehicle registration, bus lane infringement

DB2023042	N	Children, Families and Education	Human Error	Corrective Action	No	Email sent to school principal in error Information breached includes; Personal -names address and special category - client finances and police involvement
DB2023043	Y	Corporate Services	Human Error	Corrective Action	No	Email sent to an NHS email address in error Information breached includes; Personal - PCC tenant's name and address
DB2023044	Y	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Email sent to wrong PCC email address Information breached includes; Personal - staff name and pay grade
DB2023045	Y	Children, Families and Education	System Error	Corrective Action	No	Calling sheet sent to the wrong GP address Information breached includes; Personal - Names, DOBs, addresses and e-mail addresses
DB2023046	Y	Children, Families and Education	Human Error	Corrective Action	No	Email sent to all childcare providers containing the email addresses in the "to" box rather than the " BCC" box. Information breached includes; Personal - email addresses
DB2023047	Y	Finance and Resources	Human Error	Corrective Action	No	A spreadsheet tracker detailing money/savings held by PCC on behalf of looked after children (current and historic) has been shared with an outside party by mistake. Information breached includes; Personal and special Category -names and looked after status of children and young people

DB2023048	Y	Children, Families and Education	System Error	Corrective Action	No	Letter sent to wrong address and returned partially open Information breached includes; names, DOB, addresses, family Circumstances and actions required
DB2023049	N	Regeneration	Human Error	Corrective Action	No	Incorrect registration input into system meaning we requested data from DVLA that we did not need and therefore were not entitled to Information breached includes; PCN Number, VRM, date, time and location of incident
DB2023050	N	Regeneration	Human Error	Corrective Action	No	Meeting invite sent to staff about external Training including an incorrect External recipient with the same name as a staff member Information breached includes; Work e-mail address and full names of 9 members of staff
DB2023051	Y	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Notepad misplaced by member of staff Information breached includes; Contact details for PCC staff and other organisations
DB2023052	Y	Children, Families and Education	Human Error	Corrective Action	No	Child In Need (CIN) plan included in envelope with another family's CIN plan Information breached includes; Names, DOBs, telephone number
DB2023053	Y	Regeneration	Human Error	Corrective Action	No	Incorrect Vehicle Registration Number (VRN) recorded by Civil Enforcement Officer so incorrect data requested and provided by DVLA Information breached includes; PCN number, VRN, date time and location
DB2023054	Y	Children, Families and Education	Human Error	Corrective Action	No	Two Public Protection Notices (Police notices) sent to the wrong college. Information breached includes; Details of a police incident
DB2023055	Y	Culture, Leisure and Regulatory Services	Inappropriate Action by Staff	Multiple	No	Out of office contained a signpost to the member of staff's private email for urgent issues Information breached includes; None

DB2023056	Y	Finance and Resources	System Error	Multiple	No	Absence Data for St Jude's School visible to Director of Business Operations in Mayfield School's portal Information breached includes; Names of students and absence data
DB2023057	N	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Subject access request sent to the wrong person information breached includes; name, dob, address, details of request
DB2023058	Y	Regeneration	Human Error	Multiple	No	Work notepad misplaced in car park and handed to ground floor security Information breached includes; names, phone number and email addresses relating to 2 enforcement case files.
DB2023059	Y	Housing Neighbourhood and Building Services	Inappropriate Action by Staff	Multiple	No	Laptop assigned to contractor missing and lost. Information breached includes; personal data that may have been stored on the laptop (although this was immediately remotely wiped by IT Service Desk)
DB2023060	Y	Housing Neighbourhood and Building Services	Human Error	Multiple	No	Bank statements sent to the wrong client Information breached includes; Bank details including a former address not current
DB2023061	N	Regeneration	Human Error	Multiple	No	Incorrect registration number input into system meaning we requested data from DVLA we were not entitled to and Penalty Charge Notice posted information breached includes; PCN Number, VRM, date, time and location of incident
DB2023062	Y	Children, Families and Education	System Error	Corrective Action	No	A Public Protection Notice (PPN) was received from Police that needed to be shared with school. PPN e-mailed to the school recorded on Mosaic. E-mail received from school stating the child no longer attends there. Information breached includes; Social Care involvement, home conditions, names, dates of birth, addresses, Police comments
DB2023063	Y	Public Health	System Error	Corrective Action	No	Security permissions incorrect for documents on Sharepoint. Information breached includes; Various files but mostly small numbers across various sensitive categories such as health, ethnicity etc.

DB2023064	Y	Children, Families and Education	Human Error	Corrective Action	No	Lost work mobile Information breached includes; contact data and messages
DB2023065	N	Finance and Resources	Human Error	Multiple	No	Pension Credit details scanned in and sent to incorrect customer Information breached includes; Name, address, National insurance number
DB2023066	N	Children, Families and Education	Human Error	Corrective Action	No	Letter and Child in Need plan and minutes sent to wrong address Information breached includes; name, DOB and details about the young person's needs and services provided to them.
DB2023067	Y	Finance and Resources	Human Error	Corrective Action	No	Email sent to incorrect email address Information breached includes; 2 Business Rate bills. Sent to incorrect Person with the same name
DB2023068	Y	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Email included details of another person in error Information breached includes; Surname of adult and full names of 2 children
DB2023069	Y	Children, Families and Education	Human Error	Corrective Action	No	School Attendance Penalty Charge Notice sent with incorrect child's name on Information breached includes; Name of a child
DB2023070	Y	Housing Neighbourhood and Building Services	Criminal Action	Police Notified	No	Tablet stolen from locker in the Civic Offices Information breached includes; none - Housing Options database installed on database but not accessed
DB2023071	Y	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Member of staff shared the name and email address of a resident reporting a required repair with the contractor in error Information breached includes; Name, email address
DB2023072	Y	Children, Families and Education	Human Error	Corrective Action	No	Member of staff receiving emails not intended for them - meant for another officer with the same name Information breached includes; Name of child, information about attendance and family circumstances

DB2023073	Y	Regeneration	Human Error	Revised Process	No	Schedule and passenger details for home to school journeys put in staff members home waste bin Information breached includes; Name, Address, Date of Birth, High Level information about physical or mental health, transport requirements
DB2023074	Y	Housing Neighbourhood and Building Services	Human Error	Multiple	No	Email sent to incorrect internal mailing list Information breached includes; Name & telephone numbers
DB2023075	Y	Housing Neighbourhood and Building Services	Human Error	Corrective Action	No	Lost mobile phone Information breached includes; Names & telephone numbers of PCC tenants although phone remotely wiped
DB2023076	N	Housing Neighbourhood and Building Services	Inappropriate Action by Staff	Training	No	Surveyor overshared details with a resident about their neighbour Information breached includes; Fact that the neighbour is pursuing a disrepair claim
DB2023077	Y	Children, Families and Education	Inappropriate Action by Staff	Disciplinary Action	No	Member of staff found to have a list of passwords written down Information breached includes; none but If lost could have allowed access to some internal systems

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Glossary

Information Commissioner's Office (ICO)

The Information Commissioner's Office is a non-departmental public body which reports directly to the United Kingdom Parliament and is sponsored by the Department for Digital, Culture, Media and Sport. Its role is to uphold information rights in the public interest.

<https://ico.org.uk/>

Response time/Notifying the ICO of Data Breaches

The ICO needs to be notified of more serious data breaches. A self-assessment is available on the ICO's website, to identify if it needs to be notified of a data breach. This needs to be done within 72 hours, which is the key response metric monitored by the internal team.

<https://ico.org.uk/for-organisations/report-a-breach/personal-data-breach-assessment/>

Medium

This is the format of the information constituting the data breach. In the summary graph towards the beginning of the report where a breach occurs in multiple formats this is categorised as 'multiple'; more detail is provided in the comments column of the data breaches detail page within this report.

Number Impacted

This is the number of individuals whose personal information was potentially compromised through a data breach.

Root Cause

The categories of root cause are based on guidance for the NHS Security Toolkit; this is widely used across the public sector, to assess arrangements against good practice.

Action Taken

These are the primary actions taken to respond to/rectify a data breach; all breaches result in an apology to those impacted.

Agenda Item 7



Title of meeting:	Governance and Audit and Standards Committee
Date of meeting:	20 th September 2023
Subject:	Overview of Portsmouth City Council complaints, including Local Government and Social Care Ombudsman Complaints 2022/2023
Report by:	City Helpdesk Manager & Assistant Director of Corporate Services
Wards affected:	All
Key decision:	No
Full Council decision:	No

1. Purpose of report

To bring to the attention of the Governance & Audit & Standards Committee the Annual Review of Complaints by the Local Government and Social Care Ombudsman (LGSCO) dated 19th July 2023, regarding complaints it has considered against Portsmouth City Council for the year 2022/23, and to provide an overall review of complaints.

2. Corporate complaint policy

The current corporate complaint policy sets out a two-stage process for corporate complaints, including timescales the council aims to adhere to when responding to complaints in line with best practice guidance from the LGSCO.

The data in this report covers the period from April 2022 - March 2023.

The corporate complaints policy is reviewed every two years. We will therefore be reviewing the complaints policy in late 2023 and will be giving consideration to requirements around managing local authority housing complaints in line with the Charter for Social Housing Residents.

3. Corporate complaint system

Respond, the corporate complaints system, was introduced in August 2019, replacing an old IT system that had been built in-house. The Respond system enables significantly improved reporting around complaints.

4. Corporate complaints resources

The council has one corporate complaints officer, based in the city helpdesk. The corporate complaints officer is supported in their role by senior customer service officers from the city helpdesk who help administer corporate complaints, in addition to their wider duties in the city helpdesk.

5. Corporate complaints overview

In 2022/23, the council managed 538 stage one and stage two complaints following the current corporate complaints policy (included in the background documents).

The below table shows complaint totals to provide a comparison with previous years.

Year	Number of complaints received
2022/2023	538
2021/2022	686
2020/2021	384
2019/2020	443
2018/2019	531

Corporate complaints exclude complaints relating to Adult Social Care (ASC) and Children's Social Care (CSC), which are managed in line with separate policies and referenced in section 8 (below).

5.1. Stage one complaints

There were 477 stage one complaints in 2022/23.

Of those 477 stage one complaints, 79% of these were managed within the 15-working day timescale for response set out in the policy.

Corporate complaints are continuing to work with directorates to improve adherence to timescales. However, there are various legitimate reasons for delays, including officer capacity to investigate complaints and provide responses, particularly where complaints

are very complex, as well as time taken to gather evidence. Where the council is unable to meet policy timelines, the customer is kept informed.

5.2. Stage two complaints

In 2022/23, 61 complaints were taken to stage two of the process.

Of the 61 complaints, 74% were managed in line with the 20-working day timescale for response.

6. Complaint trends

This complaints review covers the period from April 2022 to March 2023.

6.1. Overall complaint trends

There were 477 stage one complaints in 2022/23, compared with 553 stage one complaints in 2021/22.

In 2021/22, the number of complaints was inflated by an additional 139 complaints specifically related to rubbish and recycling collections, following changes to collection rounds. The issues relating to rubbish and recycling collections have now been resolved, and the number of complaints for 2022/23 has reduced accordingly, back to around the level we would expect.

There were 179 complaints linked to the timeliness of council's response to initial enquiries sent to departments in 2022/23 which is an increase on the 141 received in 2021/22. Having been highlighted by our complaint trends, this issue is now being referred to the council's customer service leads group.

6.2. Stage two complaint trends

The overall number of stage two complaints also decreased in 2021/22, with 61 complaints escalated to stage two of the process, compared with 120 stage two complaints the previous year.

The main reason for complaints to be escalated to stage two of the complaints process is because the investigation and response at stage one is not sufficiently robust in addressing all elements of the original complaint. The corporate complaints officer has been working with managers from across the council to improve the quality of stage one complaint responses, providing guides and training sessions as well as advice and guidance on specific complaints, as a result customers get a more thorough response to their concerns at stage one, and fewer complaints need to be escalated.

The corporate complaints team also continue to follow their quality assurance process around stage two complaints, reviewing escalation requests against the stage one responses to ensure complaints are only escalated to the second stage of the process where there is a clear and justifiable reason to do so

Stage two complaint responses are also reviewed by corporate complaints, to ensure responses at what is now the final stage of the council's process fully investigate and respond to all the concerns raised by the customer before the final response is sent to the complainant.

As part of the corporate complaints policy, the council completes quarterly reporting around complaints to ensure issues highlighted by complaint trends are brought to the early attention of the chief executive, section 151 officer, and monitoring officer, in line with best practice recommendations from the LGSCO, as well as shared with directors and their lead officers for complaints.

The quarterly monitoring enables closer scrutiny of complaints and allows overall trends to be identified and addressed earlier, when appropriate.

6.3. Policy timeline trends

In 2022/23, adherence to policy timelines for stage one and stage two complaints increased overall, with 78% of complaints overall managed within the timescales set out in the policy. This breaks down into 79% of stage one and 74% of stage two complaints managed within the timescales.

The current corporate complaints policy was introduced in December 2021 and the timescales for stage one and stage two complaint responses were amended. The comparison data for complaint responses in 2021/22 therefore relates in part to the timescales in the existing policy, and in part to the timescales in the former three stage corporate complaint policy.

For comparison, in 2021/22, 68% of stage one complaints handled under the old policy were managed in line with timescales, compared with 83% of complaints handled under the new policy timescales. In 2021/22, 70% of stage two complaints handled under the old policy were managed in line with timescales, compared with 81% of complaints handled under the new policy timescales.

The new complaint policy allows more time for stage one and stage two complaints to be robustly investigated, while remaining within the LGSCO's recommended overall timelines for concluding the council's own complaint process.

The corporate complaints officer continues to work with directorates to improve the timeliness of complaint responses.

6.4. Trends by directorate

As in previous years and as would be expected, the services with the highest numbers of complaints are those with the highest levels of front-line customer engagement.

Table two: complaints by stages, by directorate 2022/23

Directorate	Stage one	Stage two	2022/23 total
Children, Families and Education	18	3	21
Corporate Services	18	3	21
Culture, Leisure and Regulatory Services	41	5	46
Finance, Revenues and Benefits	36	3	39
Housing, Neighbourhoods and Building Services	293	37	330
Port	0	0	0
Public Health	0	0	0
Regeneration	70	10	80
Total	477	61	538

7. Compliments

The complaints process also allows for suggestions and compliments. In 2022/23, the council received 54 compliments through corporate complaints, compared with 66 in 2021/22.

Housing, Neighbourhoods and Building Services received the most compliments at 29, followed by Finance, Revenues and Benefits with 5.

8. ASC and CSC complaints and compliments

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

8.1. ASC complaints and compliments

In 2022/23, ASC received 74 statutory complaints, an increase on the 51 received in 2021/22. In addition to statutory complaints, there were 18 customer contacts, 13 possible

complaints and six contacts that were responded to under different procedures. They also received 44 enquiries from MPs or councillors.

ASC received 16 compliments.

8.2. CSC complaints

In 2022/23, CSC received 34 statutory complaints, 71 non-statutory complaints: a decrease on the 37 statutory and 85 non-statutory complaints received in 2021/22.

CSC received 22 compliments.

9. LGSCO complaint review information

The Local Government and Social Care Ombudsman (LGSCO) 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.

While issuing the figures, the LGSCO 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.

9.1. Complaints and enquiries about Portsmouth City Council

The LGSCO received 46 complaints and enquiries about PCC in 2022/23 compared with 38 in 2021/22. During the same period, 13 decisions were made about complaints referred to the ombudsman about PCC, compared with 12 decisions in 2021/22.

Table five: complaints and enquiries to the LGSCO about Portsmouth City Council

Directorate	Number of complaints received						
	2022/23	2021/22	2020/21	2019/20	2018/19	2017/18	2016/17
Adult Social care	8	5	7	5	9	7	10
Benefits and Tax	1	2	2	1	2	4	3
Corporate and Other Service	4	2	5	5	4	3	2
Education and Children's Services	11	12	7	8	10	13	10

Directorate	Number of complaints received						
	2022/23	2021/22	2020/21	2019/20	2018/19	2017/18	2016/17
Environmental Services	3	5	0	3	3	4	2
Highways and Transport	4	1	1	6	8	4	2
Housing	9	4	8	5	7	7	6
Planning and Development	6	5	3	1	2	4	6
Other	0	2	1	1	0	0	1
Total	46	38	34	35	45	46	42

9.2. Decisions made about complaints relating to Portsmouth City Council by the LGSCO

The LGSCO investigated 13 cases and upheld 46%, this compares to an average of 72% of cases upheld in similar authorities (as defined by the LGSCO). The ombudsman was satisfied PCC had successfully implemented its recommendations in 100% of cases, compared with recommendations successfully implemented in 99% of cases in similar authorities. The LGSCO found the council had not provided a satisfactory remedy in any of the six upheld cases before the complaint reached the ombudsman: this compares to the average for similar authorities where 13% of upheld complaints have already been satisfactorily remedied prior to LGSCO intervention.

The council's responses at stage two to the upheld LGSCO complaints have been reviewed to better understand why remedies were not offered in advance of the LGSCO's recommendations. In the six cases upheld by the LGSCO, our stage two investigations concluded the council had acted appropriately, which is why early remedies were not offered. In the light of the LGSCO investigations, the council has looked again at its responses, applied all the recommended remedies, and looked at additional learning from the upheld complaints. Summaries can be found in section 10.

Table six: decisions made by the LGSCO about complaints relating to Portsmouth City Council

	2022/23	2021/22	2020/21	2019/20	2018/19	2017/18	2016/17
Upheld	6	4	2	6	8	9	7
Not Upheld	7	8	2	5	8	3	5
Advice given	2	2	4	0	2	5	1
Closed after initial enquiries	15	17	10	15	13	13	13

	2022/23	2021/22	2020/21	2019/20	2018/19	2017/18	2016/17
Incomplete/Invalid	0	4	1	3	0	1	2
Referred for local resolution	15	11	8	11	12	15	11
Total	45	46	27	40	43	46	39

9.3. LGSCO complaints: comparisons to other local authorities

The LGSCO now focuses on the following comparison data for local authorities: the number of detailed investigations and the number of complaints upheld, the percentage of cases where the ombudsman's recommendations were successfully implemented, and the percentage of cases where the local authority had implemented a satisfactory remedy before the complaint reached the ombudsman.

The below table provides data for Portsmouth City Council alongside data from comparable local authorities in Southampton, Luton and Brighton.

Table seven: LGSCO complaints data for Portsmouth City Council in comparison to other local authorities

	Portsmouth	Brighton and Hove	Luton	Southampton
Number of complaints investigated	13	23	11	18
Number of complaints upheld	6	15	9	11
% cases where LGSCO recommendations implemented	100%	100%	100%	100%
% of upheld cases where satisfactory remedy implemented before the complaint reached LGSCO	0%	7%	22%	18%

10. Upheld complaints

The following section includes a summary of the complaints upheld by the LGSCO.

10.1 Planning enforcement

LGSCO complaint number: 22 000 729

Link <https://www.lgo.org.uk/decisions/planning/enforcement/22-000-729>

Decision Date: 22 September 2022

Summary: Mr X complained the council failed to take enforcement action over planning control breaches. Mr X says the council's inaction has enabled a business to continuously expand its business causing increased noise and air pollution. The LGSCO found fault with the council for its 14-month delay in reaching a planning application decision. They did not otherwise find fault.

Outcome: The council agreed to the LGSCO's recommendations to apologise to Mr X and paid £150 to the complainant for the distress and frustration this delay caused.

Learnings: In addition to implementing the recommendation, the council has acknowledged the impact of delays in planning decisions and new procedures have been introduced to speed-up decision making have been introduced.

10.2 Adult Services - Reablement services

LGSCO complaint number: 21 017 569

Link <https://www.lgo.org.uk/decisions/adult-care-services/assessment-and-care-plan/21-017-569>

Decision Date 21st June 2022

Summary: The council failed to consider Ms X for reablement services. It then failed to provide appropriate advice about direct payments which resulted in a significant financial loss for Ms X. The council also failed to consider information Ms X provided about the service she received from a personal assistant.

Outcome: Adult services accepted the decision and carried out the LGSCO recommendations, which were to:

- calculate the approximate cost Ms X would have incurred had she received reablement services, deduct this from £810 and refund Ms X the difference
- consider the information Ms X provided about the service she received from the second personal assistant and amend the invoice as necessary
- ensure officers conducting needs assessment or advising service users act in line with the Care Act

Learnings: in addition to implementing the recommendations, staff in ASC have been reminded of the need to be robust in recording information so there is a record of what has been agreed.

10.3 Adult Services - Assessment support

LGSCO complaint number: 22007125

Link <https://www.lgo.org.uk/decisions/adult-care-services/assessment-and-care-plan/22-007-125>

Decision Date 15th March 2023

Summary: Mrs X complained the council failed to deal properly with the assessments of her sister's (Mrs Y) needs by denying her the support she needed to participate fully in the assessments. The LGSCO found the council failed to address Mrs Y's need for family support with assessments, and that this caused avoidable distress for which the council should apologise.

Outcome: ASC accepted the decision and carried out the recommendations from the LGSCO, which were to:

- write to Mrs Y and Mrs X within four weeks of the decision to apologise for the distress caused by the failure to address Mrs Y's need for support with assessments, care and support planning, and reviews of their needs
- review Mrs Y's needs within six weeks of the decision and provide the option for Mrs X to be involved if Mrs Y wants her to be
- take action to ensure officers do not overlook their duty to ensure people receive whatever support they need with assessments, care and support planning, and reviews of their needs

Learnings: in addition to implementing the recommendations, ASC have taken further steps to remind practitioners of the need to consider advocacy. Information was included in the ASC staff bulletin in May 23, reminding practitioners of their statutory duty to review cases every 12 months.

10.4 Adult Services - Home care arrangements

LGSCO complaint number 22 006 484

Link <https://www.lgo.org.uk/decisions/adult-care-services/charging/22-006-484>

Decision Date 14th March 2023

Summary: Mrs X complained about her mother's (Mrs Y) home care, which had been arranged by the council. There was fault both by a care provider acting on behalf of the council when it failed to tell the council that Mrs Y had gone into hospital and by the council in how it investigated Mrs X's complaint. This caused avoidable distress to Mrs Y and avoidable distress, inconvenience, time and trouble to Mrs X.

Outcomes: Adult services accepted the decision and carried out the recommendations from the LGSCO, which were to:

- pay Mrs Y £150 to recognise the distress caused because she did not receive care visits on the morning of the Saturday after she returned home from hospital; and pay Mrs X £200 to recognise the distress, frustration, time and trouble caused by

having to care for Mrs Y the weekend after she returned from hospital and for the errors in the council's first response to her complaint

- write to home care providers making it clear they should notify the council as soon as they become aware someone they provide care for has been admitted to hospital, and making it clear what the council expects care providers to do before cancelling care packages after a hospital admission

Learnings: in addition to implementing the recommendations, the council continues to work to ensure positive relationships with the care providers its contracts with.

10.5 Education - Special Educational Needs

LGSCO Complaint number 21007965

Link <https://www.lgo.org.uk/decisions/education/special-educational-needs/21-007-965>

Decision Date: 09-May-2022

Summary: Mrs X complained about delay in the council's Education, Health and Care (EHC) Plan review process, and complained the council did not deliver provision in her child's EHC Plan. The LGSCO found the council was at fault as it took too long to issue an amended EHC Plan.

Outcomes: The service agreed to carry out the recommendations from the LGSCO to:

- make a symbolic payment to Mrs X of £200 to recognise the frustration and uncertainty
- remind staff to ensure they notify parents within four weeks of an annual review meeting to explain whether it intends to maintain, amend or cease an EHC Plan
- review its procedures to ensure its arrangements for acquiring professional reports as part of its review process of EHC Plans are sufficient and do not cause unnecessary delay in amending an EHC Plan

Learnings: the recommendations of the LGSCO in relation to this complaint and the complaint below at 10.6 have been discussed with the Special Educational Needs (SEN) team during team meetings, and team leaders are now monitoring with SEN advisors during their management supervision meetings to ensure notifications have been sent to parents. Tracking data is now provided to the head of inclusion on a weekly basis.

The council is planning to increase capacity by recruiting temporary staff in its educational psychology team and SEN team to ensure new EHC assessment requests and reviews are managed in a timely way, pending recruitment of permanent staff in both teams following a systems review of the SEN team to ensure the most efficient and effective processes are in place.

10.6 Education - Special Education Needs

LGSCO Complaint number 22003928

<https://www.lgo.org.uk/decisions/education/special-educational-needs/22-003-928>

Decision Date: 02-Feb-2023

Summary: Miss X complained about the way the council handled her daughter's Education, Health and Care (EHC) plan. She said this caused her stress, impacted on her health, and cost her time and trouble. Miss X also said it impacted on her daughter's wellbeing and denied them an opportunity to appeal the plan. The LGSCO found the council at fault for delays issuing the plan, and this caused injustice.

Outcomes: the council agreed to make a payment of £300 to Miss X to reflect the injustice caused.

Learnings: as above.

11. Summary

The overall number of complaints handled by the council decreased in 2022/23, following an increase the previous year that was largely caused by a specific issue around the implementation of changes to rubbish collections that generated a significant number of complaints.

While the LGSCO is clear that numbers of complaints are not necessarily indicative of poor performance by a council and can indicate an organisation that is open to feedback, it is clear the council needs to ensure insight from complaints is highlighted within the organisation so issues can be responded to.

Quarterly complaints reports have already been introduced as part of the new policy and are shared with the chief executive and directors to ensure issues are identified and addressed. The quarterly reports are also published on the council website to increase transparency.

The corporate complaints officer continues to work with directorate lead and link officers for complaints, with a focus in 2022/23 on working with investigating officers to help improve stage one responses so customers receive a comprehensive response to their concerns earlier in the process and fewer complaints need to be escalated.

Portsmouth City Council continues to compare well to other similar local authorities in relation to its performance around LGSCO complaints. The number of complaints both investigated and upheld by the LGSCO has remained relatively stable following changes to the corporate complaints policy, which suggests the new two stage process is sufficiently robust. Complaints upheld by the LGSCO will continue to be monitored closely during 2023/24 to ensure the two-stage process continues to provide robust responses.

.....
Signed by: Charlotte Smith, assistant director, Corporate Services

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:

Title of document	Location
Portsmouth City Council: Corporate Complaints Policy	https://www.portsmouth.gov.uk/services/council-and-democracy/your-say/complaints/corporate-complaints-policy-2021/
Southampton City Council LGSCO complaints data	https://www.lgo.org.uk/your-councils-performance/southampton-city-council/statistics
Luton Borough Council LGSCO complaints data	https://www.lgo.org.uk/your-councils-performance/luton-borough-council/statistics
Brighton and Hove City Council LGSCO complaints data	https://www.lgo.org.uk/your-councils-performance/brighton-hove-city-council/statistics

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Agenda Item 8



Title of meeting:	Governance and Audit and Standards Committee
Date of meeting:	20 September 2023
Subject:	Unreasonable Customer Behaviour Policy
Report by:	Assistant Director of Corporate Services
Wards affected:	All
Key decision:	No
Full Council decision:	No

1. Purpose of report

To bring to the attention of the Governance & Audit & Standards Committee a new policy around managing unreasonable customer behaviour.

The full policy can be read at Appendix A.

The purpose of the new policy is to set out clearly what the council considers to be unreasonable customer behaviour, and the process the council will follow in responding.

The aim of the policy is to ensure the council can still respond to enquiries from customers whose behaviour has become unreasonable, but without the demands of individual customers taking a disproportionate amount of time to manage and impacting negatively on the ability of staff to handle enquiries from other customers.

2. Background

Portsmouth City Council is committed to providing high quality customer service and handles thousands of customer interactions across the organisation each month, in the form of telephone calls, letters, emails, online transactions, and face-to-face enquiries.

The council aims to respond to most enquiries first time, and to resolve them to the customer's satisfaction.

While most enquiries are resolved to the customer's satisfaction, for a variety of reasons, sometimes customers can become upset, angry, or frustrated.



While council staff are usually able to manage these situations, there are times when the customer's behaviour can become unreasonable to the extent that it takes up a disproportionate amount of time, which affects both the ability of staff to manage the original issue or issues for the customer, and the ability of staff to respond to enquiries from other customers. These situations occur infrequently, but when they do occur the impact on staff time is very significant. Unreasonable customer behaviour can also have a detrimental effect on staff wellbeing, as managing persistent or abusive contacts is highly stressful.

As a recent example, Mr X sent 58 emails copied to multiple council departments across a period of less than 20 working days in June 2023, resulting in significant amounts of time spent by staff from across directorates trying to untangle the correspondence and ensure the issues raised by Mr X were appropriately responded to.

The council's [corporate complaints policy](#) already includes a section that sets out how the council will respond when the behaviour of a complainant becomes unreasonable.

However, the corporate complaints policy can't be applied to situations where the council considers a customer's behaviour has become unreasonable and difficult to manage, but where the customer has not made a complaint.

This new policy is designed to address the gap, maintaining consistency in following a similar process to the corporate complaints policy in terms of managing unreasonable customer behaviour, but applicable to all interactions that customers may have with the council.

3. Definition of unreasonable customer behaviour

In line with the corporate complaints policy, the new unreasonable customer behaviour policy follows the guidance of the Local Government and Social Care Ombudsman in defining unreasonable customer behaviour as:

"Customer behaviour that, because of the frequency or nature of the contacts with the council, hinders the council's ability to deal with genuine customer enquiries, the consequence of which is to divert resources from providing efficient services for our residents."

Examples include adopting a scattergun approach by contacting multiple council departments, individual officers, and councillors with the same or very similar enquiries, making unnecessarily excessive demands by repeatedly

contacting the council, and/or being frequently rude or otherwise threatening to council staff.

It should be noted that a customer raising legitimate queries or criticisms of the council or being unhappy with a council decision and seeking to challenge that decision would not necessarily cause a customer's behaviour to be considered unreasonable. The council will seek to distinguish between customers who make regular contact because they have genuine ongoing or multiple problems and those whose behaviour is unreasonable.

Further, in situations where the council considers the behaviour of a customer to have become unreasonable, we will seek to manage that behaviour first and foremost in a way that still enables the customer's legitimate enquiries to be responded to.

4. Process for responding to unreasonable customer behaviour

This section provides a summary of the process for managing unreasonable customer behaviour, including steps that should be taken before invoking the formal policy.

4.1. informal resolution

The policy is accompanied by a guide for managers, which provides advice on steps to take before invoking the formal policy. This stage includes reviewing the customer's case to make sure we have considered the situation from the customer's point of view, and their issue(s) have been resolved as far as possible, and then responded to appropriately.

The formal policy should only be invoked if informal steps have been taken to resolve the situation.

4.2. step one: appropriate manager to resolve the issue with the customer

If the situation can't be resolved informally, the first step set out in the policy is for the appropriate manager to contact the council, explain the council's concerns and propose a way forward to manage the situation. This could include putting a single point of contact in place for the customer and/or specifying an agreed method and frequency of contact. The aim is to reach agreement with the customer and resolve the situation.

4.3. step two: referring the matter to managed under the unreasonable customer behaviour policy

If agreement can't be reached, the appropriate manager will refer the matter to the city helpdesk manager in the first instance, providing evidence of the unreasonable customer behaviour and the steps taken to resolve the situation.

The city helpdesk manager, in consultation with the assistant director of Corporate Services, will review the situation to make sure all possible steps have been taken to resolve the situation, decide whether restrictions on the customer's contact with the council need to be imposed, what the restrictions should be and the timescales, and communicate appropriately with the customer.

Once restrictions are imposed, the situation will be monitored, and the restrictions will be reviewed after an appropriate period. The policy also allows for the customer to appeal the decision to impose restrictions, with appeals considered by the Director of Corporate Services.

5. Implementation

The new unreasonable customer behaviour policy will be implemented from 1 October 2023, and will be added to the council's website.

The policy will be communicated to managers internally via the customer service strategic leads group. It will also be added to the customer service section of the intranet along with a guide for managers setting out how to apply the policy, including advice and guidance on informal steps to resolve first.

6. Summary

While situations where customer behaviour is considered sufficiently unreasonable to require use of the policy occur infrequently, the policy is necessary to ensure that when such situations do occur, the council has a clear and transparent process for its staff and customers.

The policy will enable situations to be managed clearly and consistently, ensuring we can continue to respond to all our customers, and that any behaviour that has become unreasonable can be managed in a way that enables the customer's issues to be addressed without that happening at the detriment of other customers, or the wellbeing of our staff.

.....
Signed by: Charlotte Smith, Assistant Director of Corporate Services

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:

Title of document	Location
Portsmouth City Council: Corporate Complaints Policy	https://www.portsmouth.gov.uk/services/council-and-democracy/your-say/complaints/corporate-complaints-policy-2021/

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

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Signed by:

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Portsmouth City Council

Unreasonable Customer Behaviour Policy

Portsmouth City Council
Unreasonable Customer Behaviour Policy

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Unreasonable Customer Behaviour Policy			
Version		Approved by	
Date last amended		Approval date	
Lead Officer		Reviewed date	
Contact		Effective date	

1. Purpose

The purpose of this policy is to set out clearly for customers and staff what the council considers to be unreasonable customer behaviour, and the process the council will follow in responding.

2. Introduction

Portsmouth City Council is committed to providing high quality customer services.

The council deals with thousands of telephone calls, letters, emails, web based and face to face enquiries from customers. The council aims to respond to most enquiries first time, and to resolve enquiries to the customer's satisfaction. If the customer is not satisfied with the outcome, they are able to refer their issue to the appropriate complaints procedure.

From time to time and for a variety of reasons, customers can become upset, angry, or frustrated. Our staff are usually able to manage these situations and resolve issues for our customers.

However, there are occasions where staff are not able to resolve issues to the customer's satisfaction, and the customer's behaviour can become unreasonable to the extent that it takes up a disproportionate amount of time for our staff, takes them away from their normal duties, and impedes their ability to provide a service to other customers.

This policy has been created to establish clearly what the council considers to be unreasonable customer behaviour, and to set out the process the council will follow in managing such behaviour from our customers.

3. Scope

The policy covers unreasonable customer behaviour across all areas of the council, except for areas where specific alternative policies apply.

Unreasonable customer behaviour in relation to corporate complaints will be managed as per section 11 of the [corporate complaints policy](#).

4. Definition of unreasonable customer behaviour

The Local Government and Social Care Ombudsman (LGSCO) provides the following definition of unreasonably persistent customers in relation to complaints:

"Those complainants who, because of the frequency or nature of their contacts with an authority, hinder the authority's consideration of their or other people's complaints."

Following the LGSCO's guidance, the council considers the following to constitute unreasonable customer behaviour in relation to contact with the council on matters other than complaints:

"Customer behaviour that, because of the frequency or nature of the contacts with the council, hinders the council's ability to deal with genuine customer enquiries, the consequence of which is to divert resources from providing efficient services for our residents."

This policy outlines examples of behaviour that is potentially considered unreasonable, along with examples of restrictions that can be considered to enable the council to manage this type of behaviour. However, the individual circumstances of each case will be considered before decisions are taken as to whether the behaviour is considered unreasonable in line with this policy, and whether restrictions will be applied. If formal restrictions are imposed, the process outlined in section five of this policy will be followed.

Where a customer's behaviour is so extreme that it threatens the immediate health, safety and wellbeing of council employees, or those working on the council's behalf, the council reserves its right without limitation to consider other options, for example reporting the matter to the police, taking legal action, or refusing to engage with the complainant either temporarily or on a permanent basis. In such cases, the council is not obliged to give the customer warning of that action.

4.1. Examples of behaviour that is potentially considered unreasonable

This section provides examples of behaviour that may be considered unreasonable and may lead the council to take action in line with this policy. The examples in this section are illustrative rather than exhaustive.

- Adopting a 'scattergun' approach, for example pursuing an enquiry with several service areas in the council or with other organisations at the same time or contacting a number of individual staff members, councillors and others at the council with the same issue.
- Making unnecessarily excessive demands on the time and resources of employees, for example, telephoning or sending emails daily and/or several times a day to council employees, writing lengthy complex letters frequently, for example every few days

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- Making frequent remarks to employees that could be considered sarcastic, rude, derogatory, discriminatory, racist or threatening.
- Insisting that an issue is dealt with in a way that is not consistent with council policy.
- Raising numerous detailed but potentially irrelevant or repetitive questions and insisting that they are answered.
- Submitting documents that are potentially falsified or materially irrelevant.
- Unreasonably refusing to accept a council decision after all appeal options have been exhausted.
- Unreasonably refusing to accept that certain issues are outside the council's responsibility and control.
- Unreasonably refusing to accept that certain issues are not within the remit of the council's statutory duty, policy or procedures.
- Making what appear to be groundless complaints about employees and seeking to have them replaced or removed.
- Electronically recording meetings and conversations without prior knowledge and consent of the other parties involved.

It should be noted that a customer raising legitimate queries or criticisms of the council or being unhappy with a council decision and seeking to challenge that decision would not necessarily cause a customer's behaviour to be considered unreasonable. The council will seek to distinguish between customers who make regular contact because they have genuine ongoing or multiple problems and those whose behaviour is unreasonable.

However, the way a customer behaves in raising their queries, concerns, or seeking to make a challenge, could result in the council deciding that the behaviour is unreasonable.

It is important to note, these sorts of problems happen rarely. This policy exists to ensure that all parties understand how the council will deal with contact of this nature.

5. The process for responding to unreasonable customer behaviour

5.1. Step one: the appropriate manager will try to resolve the issue with the customer

Where it is identified that a customer's behaviour has become or is becoming unreasonable in terms with their contact with the council, the first step in the process is for the appropriate manager to try to resolve the matter by communicating with the customer. The appropriate manager to resolve the situation with the customer will be

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a senior manager from the service that is most impacted by the customer's unreasonable behaviour.

At this stage in the process, the customer will be offered the opportunity to appoint a representative to contact the council on their behalf.

The communication with the customer at this stage of the process may be in any format (including letters, emails, telephone conversations and face-to-face meetings) but must be confirmed in writing or in such a way as to accommodate any reasonable adjustment required by the customer that is communicated to the council.

The communication will explain the concerns of the council regarding the customer's behaviour and suggest a way forward to manage the issue. This may include proposing a single point of contact (SPOC) for the customer's communications with the council and an agreed method for that communication, for example agreement for weekly/fortnightly specified contact or any communication style deemed appropriate and proportionate in the circumstances of each individual case, including any agreed reasonable adjustments to be made. The purpose of the communication with the customer will be to seek agreement on a way forwards with the customer.

As part of the communication with the customer, the council will explain that if the situation cannot be resolved, the council will escalate the matter in line with its unreasonable customer behaviour policy and may impose restrictions on the customer's contact with the council.

This information will be confirmed to the customer in writing.

If an agreement cannot be reached with the customer, the matter will be referred to step two of the process for managing unreasonable customer behaviour, set out in 5.2. below.

If agreement is reached with the customer around on-going contact between the customer and the council, the manager will then monitor on-going contact and keep records to ensure the arrangement is adhered to and the behaviour that is considered unreasonable stops.

If the unreasonable behaviour continues, the manager will refer the matter to step two of the process, as set out in 5.2. below.

5.2. Step two: referring the matter to be managed under the unreasonable customer behaviour policy

5.2.1. Referral

If an arrangement cannot be reached between the appropriate manager and the customer in respect of managing the customer's contact with the council, or having agreed an arrangement with the customer, monitoring of contact shows the unreasonable behaviour is continuing, the appropriate manager will refer the matter to the city helpdesk manager in the first instance.

In making the referral, the manager will include details of the behaviour that is considered unreasonable, and evidence of the work undertaken by the service to resolve the situation with the customer, including copies of any correspondence with the customer in relation to managing their contact with the council.

If an arrangement was made with the customer to manage contact, details of the arrangement should be provided, along with evidence of on-going monitoring of the customer's contact.

5.2.2. Assessment

The information provided will be reviewed by the city helpdesk manager, in consultation with the assistant director of corporate services, and will undertake additional enquiries as required to assess the situation.

The city helpdesk manager, in consultation with the assistant director of corporate services and the appropriate service manager, will decide whether the customer's behaviour is unreasonable and whether restrictions to the customer's contact with the council need to be imposed.

5.2.3. Restrictions

Any restrictions imposed will be appropriate and proportionate.

The options (which for the avoidance of doubt are not prescribed or limited) most likely to be considered are:

- Restricting contact with the council to a particular method of communication (for example by letter only)
- Restricting contact with the council to specified days and times.
- Restricting contact with the council to specified volumes (for example, one email per week).
- Restricting contact to a named officer (or deputy in their absence) as a single point of contact (SPOC).
- Notifying the customer that only significant and serious queries will be addressed by the council and all other contact will be filed without being

responded to. Such notifying events will be prescribed by the council in its absolute discretion.

- Notifying the customer that only new issues will be dealt with and any issues (that have been previously dealt with) will not be acknowledged or actioned.

5.2.4. Imposing restrictions

Following review and assessment, if it is considered necessary to impose restrictions on the customer's contact with the council, the assistant director of corporate services will contact the customer to explain what action is being taken and why, how long the restrictions/conditions will be in place for and how to appeal against the decision.

The communication with the customer will take whatever form is most appropriate, considering any reasonable adjustments, and will be confirmed in writing.

The decision to impose restrictions/conditions can be reviewed once during the period of contract restrictions, if requested by the customer in writing to the city helpdesk manager, or by the council at any time during the initial period.

The process for review is set out at section 5.2.6.

5.2.5. Managing extreme cases

In extreme cases, the council reserves its right to block telephone calls and electronic contact (including email and social media) with the council, and to take steps to restrict access to council premises.

If this option is considered necessary it will be agreed by the assistant director of corporate services, or the City Solicitor, or appropriate deputy, based on a review of the evidence.

The assistant director of corporate services or the City Solicitor, or appropriate deputy, will contact the customer to communicate the reasons for the sanctions and the length of time the sanctions will be in place for, and how to appeal the council's decision.

5.2.6. Review

At the end of the period of restrictions on the customer's contact, or at any time during the period of restrictions, if the council considers there has been a change to the unreasonable customer behaviour, the council may decide to review the restrictions/conditions imposed.

Appendix A

The customer has the right to request a review of restrictions/conditions on their contact with the council once during the period of contract restrictions. A request for a review should be made to the city helpdesk manager in writing, except in circumstances where a reasonable adjustment requires an alternative method of communication. The request should explain why the customer considers a review is necessary.

The review will be undertaken by the city helpdesk manager, in consultation with the assistant director of corporate services and/or the City Solicitor (or appropriate deputy).

Where necessary the review will consider the personal circumstances of the customer, the circumstances giving rise to the behaviour, the level of service provision needed by the customer, or the level of risk identified to the customer by the restrictions applied.

The aim of the review is to remove any restrictions/conditions as soon as possible, where it can be shown that the behaviour giving rise to council's action has subsided and there is no likelihood of a reoccurrence. However, if further unreasonable behaviour has been exhibited during the period of restrictions to the customer's contact with the council, the outcome of the review may be to extend the restrictions/conditions for a further period, or to impose new or amended restrictions.

If the council carries out a review and makes changes, the council will contact the customer to explain what action is being taken and why, how long the amended restrictions/conditions will be in place for, and how to appeal against the decision.

The communication with the customer will take whatever form is most appropriate, considering any reasonable adjustments, and will be confirmed in writing.

In exceptional circumstances, where it is considered that communication with the customer by the council could incite further unreasonable behaviour from the customer, the council reserves the right not to communicate with the customer. In this situation, the decision will be taken by the assistant director of corporate services and/or the city solicitor or appropriate deputy and the reasons for the decision will be recorded.

5.2.7. Appeal

If a customer disagrees with the council's decision to impose conditions on their contact, the customer can appeal by contacting the city helpdesk manager. Appeals should be made in writing, except in circumstances where a reasonable adjustment requires an alternative method of communication.

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Appeals should be made within 28 days. The council reserves the right not to consider appeals made after 28 days and to refer the customer to the review process as set out in 5.2.6.

In making an appeal, the customer should explain why they disagree with the council's decision to impose conditions on their contact.

Information from the customer will be gathered by the city helpdesk manager and passed to the director of corporate services for review. The director of corporate services will consider the information relating to the decision to impose conditions on the customer's contact with the council, as well as the customer's appeal and will decide whether the conditions should be confirmed, amended, or removed.

The council will then contact the customer to confirm the outcome of the appeal. Outcomes of appeals will be communicated in writing, except in circumstances where a reasonable adjustment requires an alternative method of communication.

6. Information Retention

Any documents used in the decision-making process of this policy regarding an unreasonable customer behaviour will be retained by the city helpdesk manager for the duration of any restrictions.

The file will then be archived and subsequently destroyed in line with the Council's Retention Policy. The current retention period is for the duration of the imposed restrictions plus six years.

Agenda Item 9



THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)

Title of meeting:	Governance and Audit and Standards Committee
Subject:	Modern Slavery
Date of meeting:	20 th September 2023
Report by:	Director of Corporate Services
Wards affected:	N/A

1. Purpose of report

To update members on progress on delivery of the improvement plan set out in item 10 of the most recent Modern Slavery and Human Trafficking Statement - Appendix 1.

2. Recommendations

To note progress.

3. Background

The Modern Slavery Act 2015 (MSA 2015) applies to England and Wales and includes the offences of human trafficking and slavery, servitude and forced or compulsory labour. Section 54 requires commercial organisations carrying out business in the UK, with a turnover of at least £36 million, to prepare and publish a slavery and human trafficking statement for each financial year. This report is focused on the council's duties under Section 54.

In addition, the council has legal duties under Section 52 to notify the Home Office where there are reasonable grounds to believe a person may be a victim of modern slavery. This duty is discharged by Portsmouth's social care teams, overseen by safeguarding boards, and is not included in this report.

4. Modern Slavery Statement

The council published its fifth [Modern Slavery and Human Trafficking Statement](#) August this year. Section 10 of the statement sets out a high-level improvement plan to be delivered over the next 12 months. This report provides detail on progress to date.

THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)

4.1 **Strategic Leadership** - Modern Slavery Working Group continues to meet six monthly to monitor the progress of the improvement plan. The group includes representatives from local authority housing and private sector housing, regulatory services, HR, learning and development, civil contingencies, and community safety. Police colleagues also attend and have agreed to lead future enforcement plans activity. This is the first of regular annual reports to the committee.

4.2 **Working with partners** - PCC staff continue to work in active partnership with the Police and Crime Commissioner for Hampshire and Isle of Wight; staff have contributed to the review of the OPCC's Modern Slavery 2023 strategy and ensure Portsmouth is represented at an appropriate level at the Modern Slavery Partnership Board and sub-groups. Work with Police colleagues focuses on improving local data analysis, emergency planning procedures and enforcement operations. See 4.7 below.

4.3 **Raising awareness** - articles in Flagship are planned for the next issue to raise public awareness, and communications support is offered to support the OPCC's Hampshire-wide communication campaign to complement annual national Anti-Slavery activity in October.

4.3.1 In addition to regular contact with the **UK Border Force, the International Port** have significantly increased activity to raise awareness of modern slavery and human trafficking. Whilst the UK Border Force deal with most modern slavery and human trafficking issues, all port staff are now undertaking mandatory online learning. The Port are also hosting an information day provided by [Stella Maris](#), a national charity who provide support to seafarers. Best practice is shared with other ports through the Port Skills and Safety forum including a recent presentation from Port of Larné and introduction to Invisible Traffick (a charity in this sector). Security supervisors were encouraged to undertake Modern Slavery and Safeguarding courses as part of the Ukrainian Welcome point preparation - this will be mandatory soon.

4.4 **Develop and expand training** - training for non-social care staff has been prioritised and overall numbers continue to increase. The e-learning will be relaunched in September with up-to-date statistics and processes. This will be supported by articles in internal communications channels and in publications for residents.

4.4.1 The council is in the process of replacing its learning management system therefore monitoring of training completion rates is undertaken manually at present and data presented below should be treated with caution. Once a new learning management system has been implemented later in the year, up to date monitoring will be put in place and regularly reported.

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4.4.2 In the past 12 months manually collected data shows that 699 staff have attended safeguarding training (children and adults) that includes elements of modern slavery and exploitation. A further 93 staff have completed the more detailed Modern Slavery e-learning module, 69 of whom were non-social care staff (up from 38 in 21/22). To date approximately 800 non-social care staff have been identified by directors as requiring training. Statistics and process are currently being updated in the e-learning module and a short animation highlighting hidden vulnerabilities is now included in the council's induction program for all new staff. The animation is also available on the Adult Safeguarding Board website: <https://www.portsmouthsab.uk/intro-to-safeguarding/vulnerability/>

4.4.3 Efforts to engage councillors in face-to-face sessions will be redoubled in coming months. Approx 20% of councillors have received face to face training in the past 12 months.

4.5 **Procurement and supply chains** - All existing council contracts have been risk assessed in relation to modern slavery with a view to identifying contracts for auditing. Audit staff will discuss with directors during their regular meetings to make sure these are being undertaken.

4.5.1 The PCC procurement team have commissioned Nottingham University's Rights Lab to undertake an analysis of Portsmouth's modern day slavery risk, particularly in relation to Adult Social Care (ASC) contracts. This work will produce an action plan and a toolkit for ASC but the learning and approach can be adopted and adapted for use by other council services. The plan is for risk assessment and mitigation for modern day slavery to be built into the new procurement processes arising from the national review - <https://bills.parliament.uk/bills/3159> . If new procurements are high risk a series of additional due diligence will be followed, and support provided for suppliers by Unseen (<https://www.unseenuk.org/>) if found to be unable to produce evidence of their approach.

4.6 **Policies and processes** - all the relevant HR policies have been reviewed.

4.7 **Enforcement and disruption** - the first multi-agency enforcement group, led by Hampshire Constabulary will meet in September to identify activity for the coming year.

5. Conclusion

Good progress has been made in relation to most areas of the improvement plan. A draft self-assessment tool for local government¹ has been completed and shows the council as 'Advancing' (211/400 score). The tool will be used with the Steering Group to revise the current improvement plan.

¹ Shiva Foundation [v2 Anti Slavery Scorecard \(typeform.com\)](https://www.typeform.com)

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(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)

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Signed by:
Natasha Edmunds
Director of Corporate Services

Appendices:

Appendix 1 - Portsmouth City Council Proposed Modern Slavery and Human Trafficking Statement 2023/24

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
Local Government Association	LGA website Modern slavery Local Government Association
Shiva Foundation	A Self-Assessment Scorecard and Supporting Guidance for Local Authorities - Shiva Foundation

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

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Signed by:

Contents:

Modern Slavery and Human Trafficking Statement

,.ID	
Last Review Date	May 2023
Next Review Date	April 2024
Approval	Cabinet
Policy Owner	Executive
Policy Author	Lisa Wills, Strategy and Partnership Manager
Advice & Guidance	Strategy Unit
Location	Policyhub
Related Documents	https://www.modernslaverypartnership.org.uk/partnership/
Applicability	This policy applies to all employees in the City Council, (except those in schools), including elected members and the International Port.

1. Introduction

1.1 The Council acknowledges the provisions set out in the Modern Slavery Act (2015) and this statement is made pursuant to section 54(1) and the recommendations arising from an independent review published in May 2019.

1.2 Portsmouth City Council is committed to preventing slavery and human trafficking in its corporate activities and to ensuring that the services it commissions (and where applicable, the associated supply chains) are free from slavery and human trafficking.

1.3 This *Modern Slavery and Human Trafficking Statement* sets out the Council's current position and improvement plans. The council will identify, understand and mitigate all potential modern slavery risks related to its business and will put in place steps to ensure there is no slavery or human trafficking in its own business operations and/or in its supply chains. For the avoidance of doubt, this statement also applies to Portsmouth International Port.

1.4 A statement will be issued annually, setting out relevant information in respect of the previous financial year and published on the council's website here: <https://www.portsmouth.gov.uk/ext/your-council/policies-and-strategies/modern-slavery-and-human-trafficking-statement>.

1.5 This statement relates to activities undertaken during the financial year April 2022 to March 2023.

2. Context and reporting concerns

2.1 The council's role in relation to modern slavery is broader than commercial organisations that are required to publish a transparency statement, and can be set out in four areas:

- identification and referral of victims - to report concerns please see paragraph 2.5 below
- supporting victims – this can be through safeguarding children and adults with care and support needs and through housing/homelessness services
- community safety services, enforcement, and disruption activities both independently and with partners
- making sure procurement processes and supply chains are free from modern slavery

2.2 The Council acknowledges its role in working across the city and with the Police and Crime Commissioner's office to raise awareness of the signs of modern slavery, identifying those vulnerable to it and responding with partners to reports and incidents. This work involves a variety of council services and partners including the International Port, UK Border Force, Police, Civil Contingencies, Environmental Health and Trading Standards, Housing, Neighborhoods and Building Services, Licensing, Children's Social Care and Adults Social Care.

2.3 Security meetings are held three times per year between Port colleagues, MOD, Police, Border Force and other partners to share intelligence.

2.4 The Modern Slavery Steering Group meets regularly to monitor the program of continuous improvement set out in item 10.

2.5 Work to protect children and vulnerable adults who are trafficked and/or exploited is overseen by our local safeguarding boards including referral processes to the national Independent Child Trafficking Advocacy Service and multi-agency specialist groups (Missing Exploited and Trafficked Group - MET). See links below for further information and **how to report concerns about children or adults:**

2.5.1 Portsmouth Safeguarding Children Partnership
(<https://www.portsmouthscb.org.uk/professionals/trafficking/>) and

2.5.2 Portsmouth Safeguarding Adults Board
(<http://www.portsmouthsab.uk/abuse/missing-exploited-trafficked/>)

3. Legislative framework

3.1 The Government's approach to tackling modern slavery has been shaped by a number of international laws, conventions and protocols which the UK has opted in to, ratified, or is already bound by, including the: 1950 European Convention on Human Rights (ECHR), Children Act 1989, Care Act 2014, Immigration Act 2016 and the Modern Slavery Act 2015.

4. Organisational structure

Portsmouth City Council (PCC) is a unitary authority situated in Portsmouth within the county of Hampshire. PCC provides a wide range of statutory and discretionary services, delivered both directly by the Council and through external contractors.

4.1 The Council's senior management structure can be found [here](#) (under 'Documents')

4.2 The Council's constitution can be found [here](#)

5. Procurement and supply chains and due diligence

5.1 PCC's Supplier Questionnaire (SQ) includes a requirement to comply with the Modern Slavery Act 2015 as per the central government issued SQ template document. Central government are due to issue a new SQ document that strengthens the commitment of the questionnaire asking for copies of statements from all new suppliers identified as commercial organisation under the Modern Slavery Act 2015, and consider retrospective application to existing high risk areas identified by the [Labour Exploitation - Industry profiles - sectors at risk - GLAA](#).

5.2 Further, we would expect and request assurance that the practices of companies and organisations operating within the EU adhere to Article 4 of the

European Convention on Human Rights concerning the prohibition of slavery and forced labour.¹

5.3 The PCC procurement team have also commissioned Nottingham University's Rights Lab to undertake an analysis of Portsmouth's MDS risk, particularly in relation to Adult Social Care contracts. This work will produce an action plan and a toolkit for ASC but the learning and approach can be adopted and adapted for use by other council services. The plan is for risk assessment and mitigation for modern day slavery to be built into the new procurement processes arising from the national review - <https://bills.parliament.uk/bills/3159>.

On a case-by-case basis individual procurements will be assessed for modern slavery risk. High risk contracts will include project specific quality questions relating to modern slavery for tenderers to provide assurances on supply chain management and contract delivery in relation to mitigating against instances of modern slavery.

5.4 The majority of contracts let and managed by the council are low risk for labour exploitation. The programme of continuous improvement includes a plan to develop a new procurement strategy that will identify the highest risk existing contracts and map the associated supply chains. Procurement governance arrangements will be revised to monitor new contract activity that will trigger the application of additional due diligence in respect of high value, high risk contracts in industries identified by the [Labour Exploitation - Industry profiles - sectors at risk - GLAA](#).

5.4 Strategic contracts will be audited on a rolling basis for compliance. The first supply chain audit was carried out with support from the Housing, Neighbourhoods and Building Services in May 2022.

5.5 Survivors of Modern Slavery are included as beneficiaries of the local social value procurement policy approved by the Council in March 2021 (available on request).

6. Hampshire and Isle of Wight Modern Slavery Partnership

6.1 PCC is an active member of the Hampshire and Isle of Wight Modern Slavery Partnership (<https://www.hampshire-pcc.gov.uk/msp>). We are working with partners to develop an updated strategy².

7. Relevant organisational policies, procedures, and strategies

7.1 PCC has the following policies that are relevant to the identification of modern slavery risks and the steps it takes to prevent slavery and human trafficking in its operations. All policies are readily available to staff and are also

¹ The government remains committed to the European Convention on Human Rights - <https://www.gov.uk/government/consultations/human-rights-act-reform-a-modern-bill-of-rights/human-rights-act-reform-a-modern-bill-of-rights-consultation>

² The current strategy can be found https://www.modernslaverypartnership.org.uk/files/2115/9169/7447/Hamp_MSP_Strategy.pdf

available by contacting the Council direct (please email Lisa.Wills@portsmouthcc.gov.uk)

7.1.2 Whistle blowing policy - the council encourages all its employees, councillors, contractors, their agents and/or subcontractors, consultants, suppliers and service providers to report concerns about any aspect of service provision, conduct of officers and others acting on behalf of the Council, or the supply chain. The policy is designed to make it easy to make disclosures without fear of discrimination and/or victimisation. The policy was reviewed in January 2022.

7.1.3 Employee Code of Conduct - the council's employee code of conduct (Council Constitution, Part 4C) makes clear to employees the actions and behavior expected of them when representing the council. The council strives to maintain the highest standards of employee conduct and ethical behavior when managing the supply chain.

<https://www.portsmouth.gov.uk/services/council-and-democracy/policies-and-strategies/constitution/>

7.1.4 Recruitment policy - the council adheres to robust continuing employment checks/standards, this includes ensuring identities and qualifications, UK address, right to work in the UK, (i.e. people bought into the country illegally will not have a National Insurance number), suitable references and payroll information. The organisation uses only specified, reputable employment agencies to source labour and always verifies the practices of any new agency it is using before accepting workers from that agency. The recruitment policy is due to be updated shortly.

7.1.5 Fraud and Anti-corruption policy - this requires staff to perform business activities with due diligence in a transparent and ethical manner and to encourage the reporting of suspected wrongdoing.

8. Safeguarding policies and procedures - children and adults

8.1 The children and adults safeguarding partnerships provide city wide governance in relation to identification, referral and support of vulnerable children and adults who may be subject to abuse or exploitation. Portsmouth Multi-agency Safeguarding Hubs for children and adults will assess the need for referral to the National Referral Mechanism. Please refer to the links previously provided for details.

9. Training

9.1 Modern slavery and human trafficking is included within the council's safeguarding training for staff working in children and adult services. This training is mandatory for the social care workforce and is consistent with that of other local authorities across the county. In the past 12 months³ 699 social care staff attended these safeguarding courses. This includes 462 staff from other areas of the council: housing officers, finance staff, building maintenance staff etc.

³ April 2022-March 2023 - data source Learning and Development

Council Directors agreed to extend training to a wider group of staff, following an internal audit. This will increase opportunities for identifying and responding to incidents and reports. A focused video-based e-learning package on Modern Slavery, and a Skills Booster course are also available to PCC staff and councillors. In the past 12 months (April 22-31 March 23) 93 staff took these courses - 69 of whom were not social care employees (up from 38 in 21/22). In total, since January 2020, 155 staff have completed the e-learning course. Training uptake is monitored by the Governance and Audit Committee.

9.2 A Modern Slavery update is included in regular community safety briefings to directorate management teams and a short animation highlighting hidden vulnerabilities has been commissioned and included in the council's induction program for all new staff from June 23. The animation is also available on the Adult Safeguarding Board website: <https://www.portsmouthsab.uk/intro-to-safeguarding/vulnerability/>

9.3 Elected Council members have their own directory of training and will be able to access the new Modern Slavery e-learning as well as safeguarding workshops and the Skills Booster course. In addition to this the Local Government Association have a Councillor guide to tackling modern slavery that is available on their website [Councillor guide to tackling modern slavery \(local.gov.uk\)](https://www.local.gov.uk/councillor-guide-to-tackling-modern-slavery). All Councillors have also been offered face to face training.

10. Auditing and evidence

10.1 The Council is committed to a programme of scrutiny and continuous improvement and completed a detailed compliance audit during 2019/20. The most recent audit carried out in September 2022, and approved by the Governance and Audit Committee, found improved levels of assurance across the risks identified. Internal auditing staff will include Modern Slavery service audits in regular discussions with senior management teams. The improvement programme is based on risks identified during the latest audit as well as discussion at regular working group meetings, chaired by the Director of Corporate Services. The programme for 2023/24 includes:

10.1.1 **Strategic Leadership** - An annual report is submitted to the Governance and Audit Committee as part of corporate health monitoring process. Regular Modern Slavery working group meetings chaired by the Director of Corporate Services monitors the improvement plan.

10.1.2 **Working with partners** - continue to work in active partnership with the Police and Crime Commissioner for Hampshire and Isle of Wight and local safeguarding boards. Support the Hampshire and Isle Of Wight Modern Slavery Partnership; contribute to the review of the 2023 strategy and ensure Portsmouth is represented at an appropriate level at the Modern Slavery Partnership Board and sub-groups. Work with Police colleagues to improve local data analysis, emergency planning procedures and enforcement operations.

10.1.3 **Raising awareness** - continue to raise awareness of modern slavery by supporting Hampshire-wide communication campaign to compliment annual

national Anti-Slavery activity in October and expanding training across the organization.

10.1.4 **Develop and expand training** - Continue to increase the number of non-social care staff and elected councilors accessing e-learning and/or face to face training on modern slavery.

10.1.5 **Procurement and supply chains** - Continue to undertake a minimum of two supply chain audits per year and develop a longer-term audit framework for high-risk contracts. Continue to develop a procurement strategy linked with longer term work on social value.

10.1.6 **Policies and processes** - review all HR policies associated with identifying and combatting modern slavery.

10.1.7 **Enforcement and disruption** - continue to support police led community safety responses and disruption activities, improve local data gathering, working alongside partner agencies such as the police, fire service and health services to target enforcement activity.

This statement was approved by Portsmouth City Council on 18th July 2023.

(add signature)

Signature:



Leader

Date (date of signature)

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Agenda Item 10



Title of meeting: Governance and Audit and Standards Committee

Date of meeting: 20 September 2023

Subject: Corporate Performance Report - Q1 2023/24

Report by: Kelly Nash, Corporate Performance Manager

Wards affected: n/a

Key decision: No

Full Council decision: No

1. Purpose of report

- 1.1 To report significant performance issues, arising from Q1 2023-24 performance monitoring, to Governance and Audit and Standards committee (GAS) 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 in the revised format;
 - 2) agree if any further action is required in response to performance issues highlighted

3. Background

- 3.1 The usual practice of the authority before the Covid-19 pandemic was to present a quarterly report on corporate performance to GAS. This routine was paused during 2020/21 due to challenges with officer capacity and the high levels of disruption to business activity. The changing nature of how we work and the issues that are most important has meant that there has been a pause in this regular reporting but it is now the right time to resume reporting on a regular basis in a settled format.
- 3.2 This report is therefore the first of a resumed series of reports which will highlight significant performance issues across the organisation.
- 3.3 Reports are compiled from information across the authority relating to priority performance areas, set out in the Corporate Plan 2023-24, agreed at Cabinet in July 2023. This document refreshed the mission for the Council to work together with partners and communities to be a champion for our city and improve the lives of our residents, and to protect and enhance our environment,

tackling the causes of climate change and creating a green city. In summary, the plan sets out that:

- **We will improve the lives of our residents - priorities:**
 - support individuals and families struggling to make ends meet
 - make sure people feel safe and supported in their homes and communities
 - ensure people have access to the health and care services they need
 - work with partners, including Portsmouth's schools, to improve educational attainment and opportunities for children and young people in the city
 - create homes, jobs and economic opportunities in the city, including by regenerating major sites
 - make sure our residents have the housing they need
 - put culture at the heart of our city's success

- **We will protect and enhance our environment - priorities:**
 - reduce our own carbon emissions • help residents and business reduce their carbon emissions
 - prioritise sustainable travel and improve transport systems in the city to reduce the environmental impact and improve journey times
 - ensure that the city has a healthy and resilient natural environment
 - reduce the waste generated by the city, and make sure we dispose of our waste responsibly

- **We will be a champion for our city - priorities:**
 - ensure Portsmouth is a city equipped for the future and that residents have the skills they need
 - get the best possible deal for our residents by lobbying and leading at a regional and national level to make sure the city's voice is heard
 - be an innovative and efficient organisation that values its staff and is at the front of new developments so we are learning and delivering the best possible services.

3.4 The heart of the plan is about providing the services that residents value. The updated plan shows that our residents rely on us to:

- Ensure older people and vulnerable adults are looked after and supported to live independently
- Maintain our transport infrastructure, parks, open spaces and buildings
- Offer housing services
- Support education, early years and children with special educational needs
- Keep children safe and families together
- Improve the health and emotional wellbeing of residents
- Encourage economic development
- Provide planning services



- Support culture, museums and libraries
- Provide benefits and collect council tax and business rates
- Collect their bins and offer recycling opportunities
- Keep the city clean, tidy and safe
- Maintain support services and roles that enable the organisation to run efficiently and effectively and enable staff working on the frontline to focus on delivering services for our residents and communities.

3.5 The Corporate Plan brings all these elements together and shows how everything links up. The performance reports mirror the two key delivery-focused priorities and also include a section around corporate health, which looks at the organisation as an entity. Appendix 1 looks at issues relating to improving people's lives, Appendix 2 considers our work on protecting and enhancing the environment and Appendix 3 looks at corporate health issues.

3.6 Reports provide a broad commentary on areas of interest around the priorities in respect of achievements, challenges and risks and upcoming priority activity. These commentaries are supported by a broad set of performance indicators which highlight performance and reports against key transformational priorities in support of the corporate priorities. Where possible, and to aid interpretation, performance and progress is given a RAG (red; amber; green) 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. .

3.7 The report is presented in broadly the format which had been received favourably at previous meetings of GAS, but feedback on future reporting format is welcome. It should also be noted that at a previous discussion, it was noted that the indicators focus more on activity than high level outcome. In respect of quarterly monitoring, it is true that these tend to be more short-term, activity indicators to demonstrate that the organisation is undertaking the tasks that it believes needs to be done to achieve compliance with statutory responsibilities or to improve outcomes. However, at the end of the year, the annual narrative report presented alongside the statement of accounts provides a clear sense of how the activity has supported the achievement of longer term outcomes set out in the corporate plan and will consider how activity has influenced these measures to inform future planning.

4. **Key themes emerging**

4.1 The performance reports cover a wide range of information but there are some key themes emerging which are related to issues considered in the risk discussion at GASC on 19th July 2023.

4.2 Firstly, it is clear that in a number of demand-led services, the level of demand driven by need is remaining high. This is seen in indicators looking at children's services, adults services and housing in particular. In many cases, there are activities taking place to prevent need arising at an earlier stage or to find

alternative means of support, but there will be many factors at play in driving the demand for service.

- 4.3 The reports also highlight challenges around workforce, in terms of recruiting and retaining the right skills to organisation, and the budget position, which continues to be challenging.
- 4.4 The reports also highlight the constantly changing nature of the work of the authority as new needs, duties and requirements emerge, and the level of change required to support these even as the usual business of the organisation continues and we seek improvements in how we deliver day to day services.

5. Integrated impact assessment

- 5.1 This report does not recommend any changes to services or policies and therefore an impact assessment has not been required. Any matters arising through performance or value for money consideration will be considered as a discrete process, and separate IIAs will be completed for these areas of work.

6. Legal implications

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

7. Director of Finance's comments

- 7.1 There are no financial implications to bring to Member's attention at this stage. However, it should be noted that there could be 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: Paddy May, Corporate Strategy Manager

Appendices:

- Appendix One - Performance Report - Improving People's Lives
- Appendix Two - Performance Report - Protecting and Enhancing our Environment
- Appendix Three - Performance Report - Corporate Health

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

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

.....
Signed by:

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Priority: Improve the lives of our residents

Priority summary : support individuals and families struggling to make ends meet

- make sure people feel safe and supported in their homes and communities
- ensure people have access to the health and care services they need
- work with partners, including Portsmouth's schools, to improve educational attainment and opportunities for children and young people in the city
- create homes, jobs and economic opportunities in the city, including by regenerating major sites
- make sure our residents have the housing they need
- put culture at the heart of our city's success

Achievements and positive progress:

The work to sustain the Cost of Living work as part of the tackling poverty work progressed well. HWBB and cabinet agreed the plan. The tackling poverty steering group agreed to be formally part of the HWBB structure. The delivery plan for the household support fund was agreed and recruitment underway for key post (alongside agreed funding for existing resources). Q.1 distribution via the school voucher system was in place and work underway for the application part of the scheme.

Priority Education Improvement Area (PEIA) - delivery plan approved by DfE. Appointment of PEIA co-ordinator. Launch of PEIA on 29 June. Good sign up by schools.

SENDAP Change Programme - confirmation PCC will be the Lead LA for the Southeast.

Active programme of events and activities across city assest including parks, libraries and museums.

A Warmth on Prescription pilot project is being undertaken with the Portsdown practice and other partners to look at ways to reduce excess winter deaths, illness and health risks associated with living in a cold home, specifically targeting those with respiratory conditions. The project also aims to prevent avoidable admissions due to existing health conditions that are exacerbated by living in a cold home and keeping people independent for longer. Information about free support from Switched On Portsmouth to make residents' homes warmer has been sent to the cohort identified as vulnerable, and the learning from the pilot should inform a wider approach to support this coming winter.

In respect of Adult Social Care, although there has been a small increase in waiting lists for assessments, there has been a reduction in the time that people wait for assessments. There is no longer a significant issue with people waiting more than 6 months for an assessment, with the measure no focused on 3 months. There has been a reduction in the number of missed calls on the helpdesk, against a backdrop of increased demand. Community Connectors, via quarterly reporting, evidence a continuing trend of reduction in loneliness.

Homeless Strategy - consultation complete during Q.1 and key themes for the new strategy emerging.

Play and Youth service working with partners (including University of Portsmouth) identified Lords Court in Landport to be the home to the UK's first PLAYCE a new type of playground designed to get you moving in new ways. Free for everyone to use, the playground will offer a way for people of all ages to get active.

Good progress to self-assess and prepare the housing service against the housing charter requirements for the social housing functions (also some challenges as noted).

Private Sector Housing - promotion events during Q.1 for the Safe at Home Service have seen an increase in the take up of the service. Specific events also focussed on ASC as a key client. In Q.2 there will be a promotion event with a month of 'free installation.'

Planning Development Management performance significantly increased to 99.3% for speed of determination of non-major applications, thereby exceeding DLUHC minimum standards (70%) and mitigating risk of designation threat from Secretary of State made in spring 2023.

Additional housing licensing implementation work going well. Manager, and team leader recruitment was successful and wider team recruitment underway. Overall on track to go live on the 1st September with applications to be opened on that date.

Challenges and risks:

Demand for specialist school places increasing. Decision made to pause on nursery places at Cliffdale Primary Academy in order to increase available places in Year R from Sept.

The large number of children's social work vacancies has created a reliance on locum social workers. We currently have 23 locum social workers and 5 locum managers. Placement sufficiency is a challenge, particularly for adolescents with complex needs and sibling groups. This has impacted on placement stability.

Across the adult social care service there has been an increase in demand and activity. In Q1 there had been an increase in number of: **1.** Helpdesk calls received (23% increase between April and June) **2.** Response Team referrals (14.3% increase between April and end June). **3.** Concerns received by the Adults' MASH, across the quarter and compared with previous year resulting in an increased time to triage. Key risks in Adults Services are in relation to

safeguarding, where the ICB have taken the decision to not fund a nurse resource for the MASH - the impact is lack of expertise and delay in risk assessing and triaging safeguarding concerns related to health matters. This is impacting workload for our health provider colleagues as greater scrutiny required for health enquires. There is a significant increase in S42 enquiry work and workload specifically PHUT safeguarding due to inability to triage complex health related concerns safely and adequately. There are a range of budget pressures, including increasing unit costs for commissioned provision, and inflationary pressures. There are some significant challenges with care market quality resulting in reduced capacity.

We have seen 3 care home closures in Q1, which will impact system flow and costs.

Housing demand (statutory duties) continues - rise in homeless applications in Q.1 and higher incidents of placement in temporary accommodation. Use of temporary accommodation is continuing to rise, creating both a staff pressure (front end coping with the demand) and also a budget pressure. Newly acquired property came on-line during Q.1 and allocations to Viking will be able to start in early Q.2, earlier than expected but demand pressures are in excess of the provision with the use of B&B/hotels remaining at the same level.

Financial impact of Cost of Living Crisis - on service delivery and customers continuing to see the impact on tenants/leaseholders with increases in levels owing across key indicators. Housing general fund will feel the brunt of the temporary accommodation which were already under significant pressure pre-covid. Also seeing impacts of inflation on repairs and maintenance costs, energy cost rises and anticipating difficult HRA rent setting process. Contractors are continuing to report issues with retention of key trades (electricians) noted as a risk on the contractor risk register.

Discussion underway to understand the issue and response. Seen some impact already on the performance of voids (empty property management) which is leading to longer end to end times in letting properties. Housing Management and Building Services working on a joint improvement plan - Q.1 starting to see positive performance impact from the work.

Recruitment to the Head of Service for Housing Needs remains difficult., and this is a key role for the organisation.

Risk of Secretary of State designation for speed of determination of non-major planning applications remains despite current high performance, as it is historically assessed over a 2 year period. Challenge of retaining & recruiting experienced staff.

Priorities for the next period:

Implementation for all four PEIA priorities + digital and submission of first claims for the summer term (Q1).

Clarification of scope of SENDAP CPP and what the money can be spent on.

Firm up specialist school places and secondary school expansion schemes

ASC Self Assessment for ASC Assurance required by regulator (CQC), and develop linked improvement plan.

2nd submission of new statutory quarterly return, Client Level Data (CLD).

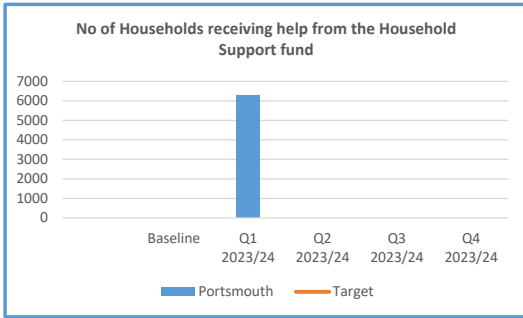
Homeless Strategy - consultation complete during Q.1 and key themes for the new strategy emerging.

Private Sector Housing - promotion events during Q.1 for the Safe at Home Service have seen an increase in the take up of the service. In Q.2 there will be a promotion event with a month of 'free installation.' Cost of Living Crisis response - sustaining the response and direction of travel for the tackling poverty work. Recruiting the delivery team.

Late Q.1 key challenge & priority emerging from the Government announcement to end the use of 'bridging hotels' notice to be service in July with dispersal plans uncertain. Portsmouth doesn't have bridging hotel but may see impact via dispersal. Positive engagement with the MOD to extend the use of the MOD units of accommodation and PCC secured LAH 1 funding which will provide some move on accommodation from the MOD units.

Completing the Asset Management strategy work to then dovetail into the HRA 30-year business plan software. Key element includes the decarbonisation plan for social housing stock and the calculation of depreciation. 2023/24 capital allocation included funding for target hardening work to further protect various sites in Portsmouth from unauthorised encampments. Q.1 saw the first UE's in Portsmouth and Havant (PCC land). Maintaining current performance is required by DLUHC and will be monitored quarterly until at least mid-2025. Backfilling high vacancy rates within the Dept (up to 40% in some teams), including Head of Development Management, will help maintain this performance, and allow the team to revert to the desired previous proactive, value-added, professional best-practice approach to development management in PCC. Implementation of additional licensing: Continuing to monitor to overall city wide support for the various asylum schemes.

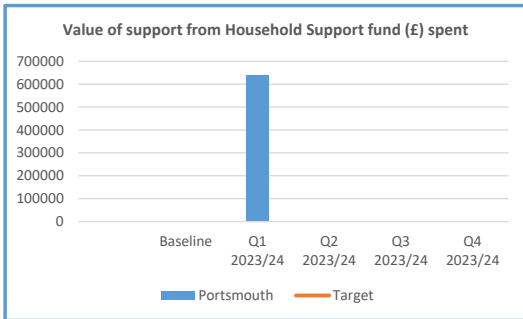
Key performance indicators



RAG against target

COMMENTARY
The number of households assisted was lower in Q1 than our projections for Q2-4.

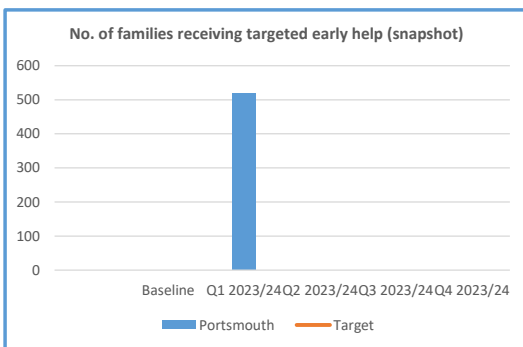
RAG against trend



RAG against target

COMMENTARY
Spend in Q1 was 17% of the total HSF budget available for 2023/24. This is in line with our delivery plan, while we recruit additional staff to the delivery team that will allow us to extend the range of schemes we deliver over Q2-4.

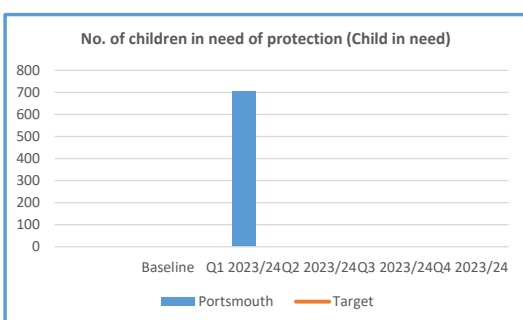
RAG against trend



RAG against target

COMMENTARY
Support is provided at an intensive level by one of integrated early help practitioner. Caseload levels in this part of the system are higher than we would want to see in terms of capacity of practitioners, We hope to see these numbers reduce as the more universal Family Support Plan embeds.

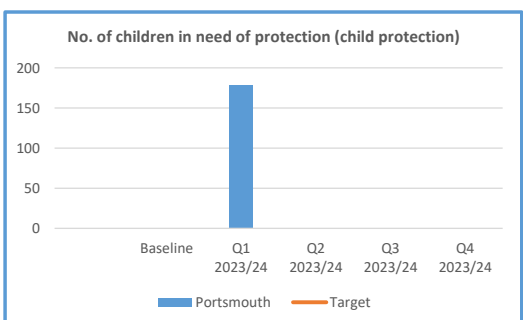
RAG against trend



RAG against target

COMMENTARY
those children where harm is identified and support is provided by a social worker. This level of demand is where we would expect it to be.

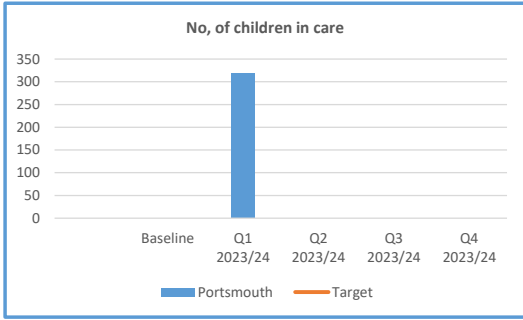
RAG against trend



RAG against target

COMMENTARY
Those children where harm is identified and children are receiving more intensive support. This level of demand is where we would expect it to be.

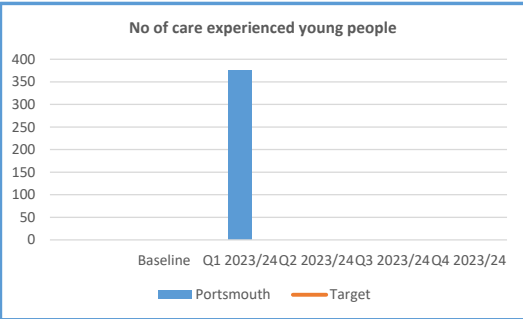
RAG against trend



RAG against target

RAG against trend

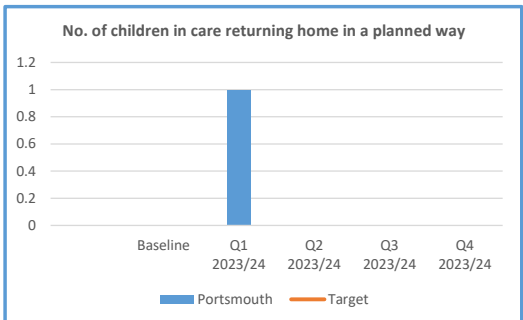
COMMENTARY
Children are in the care of the local authority and this includes children seeking asylum (43). This number is higher than we would expect it to be and this is impacting on the capacity of the service.



RAG against target

RAG against trend

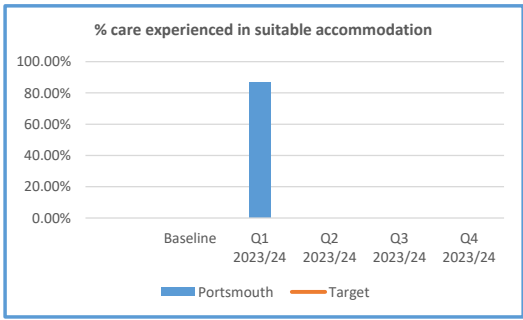
COMMENTARY
Young adults aged 18-25 who were previously in the care of the local authority (50% of these young adults were previously children seeking asylum).



RAG against target

RAG against trend

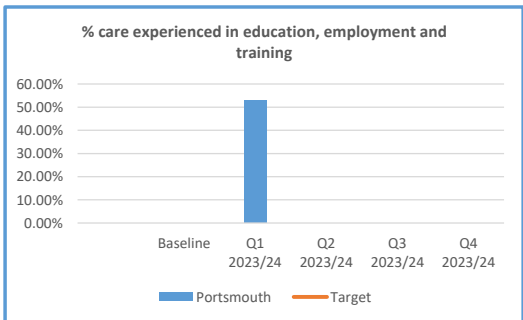
COMMENTARY
A new programme of work is now in place to support children to return to the care of family - we would expect to see this number increase but staffing pressures in this part of the service are impacting on outcomes



RAG against target

RAG against trend

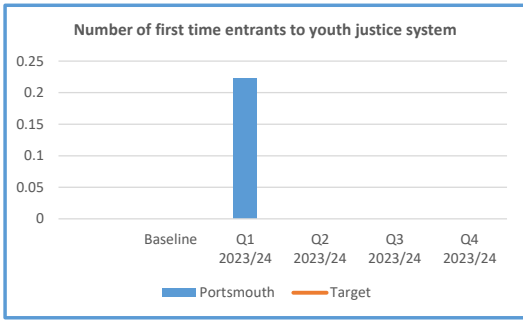
COMMENTARY
Too many of our young adults are not in stable/appropriate accommodation. We are working closely with housing colleagues to review the pathway and offer.



RAG against target

RAG against trend

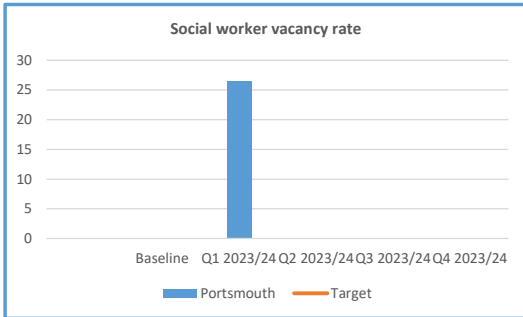
COMMENTARY
Too many of our young adults are not EET. This is an area of significant focus and we are seeking to develop apprenticeship offers for our young people in the city.



RAG against target

RAG against trend

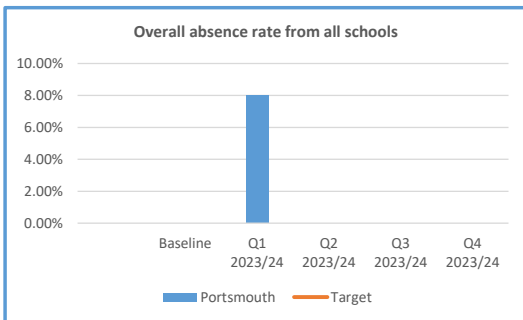
COMMENTARY
Our first time entrants rates have been reducing thought to be linked to the availability of Youth Diversion Programmes - however it is of concern to the partnership that our performance is still lower than our comparators LA's



RAG against target

RAG against trend

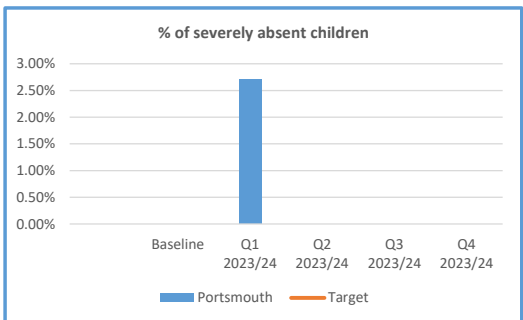
COMMENTARY
This is an area of significant concern as vacancy rates are at their highest level and are impacting on our capacity to complete statutory work and achieve good outcomes for our children



RAG against target

RAG against trend

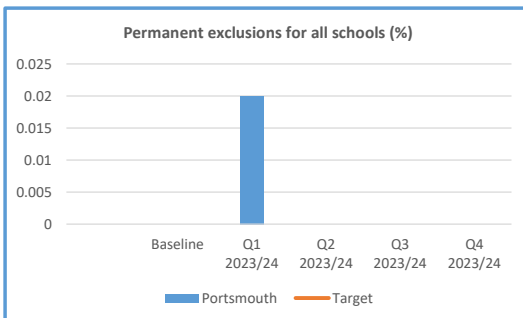
COMMENTARY
The level of school absence is a concern locally and nationally. We have a strategy in place to work with different cohorts of children but the work is intensive and capacity is limited.



RAG against target

RAG against trend

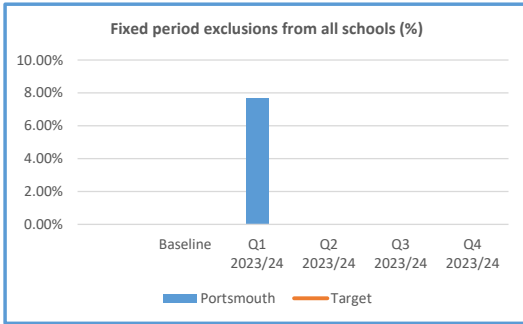
COMMENTARY
We have a good understanding of the children who are SA and we target resource at these children, however rates continue to be higher than we would want them to be.



RAG against target

RAG against trend

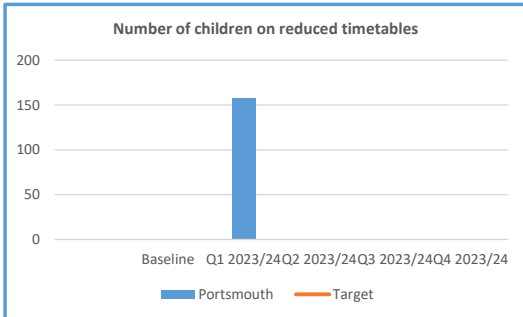
COMMENTARY
This has been an area of significant focus for the Portsmouth Education Partnership and performance is strong.



RAG against target

RAG against trend

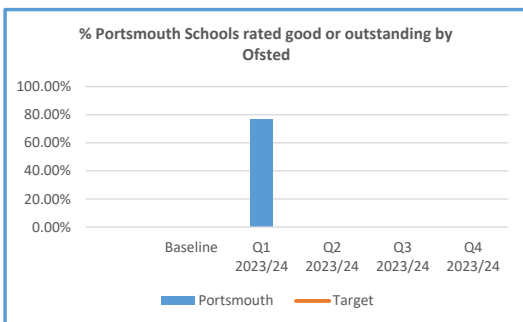
COMMENTARY
We have seen the number of fixed period exclusions rise and this reflects the level of complexity that schools are managing at this time.



RAG against target

RAG against trend

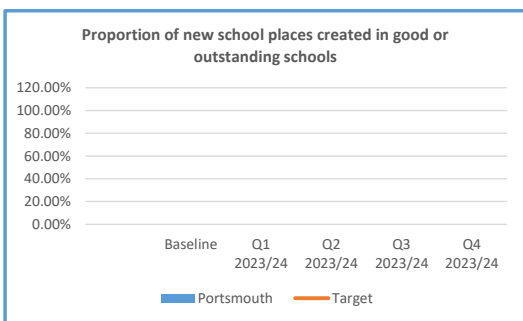
COMMENTARY
We have a robust system in place for children on reduced school timetables. For the majority these are in place for a short time but for a small number there is drift in these arrangements.



RAG against target

RAG against trend

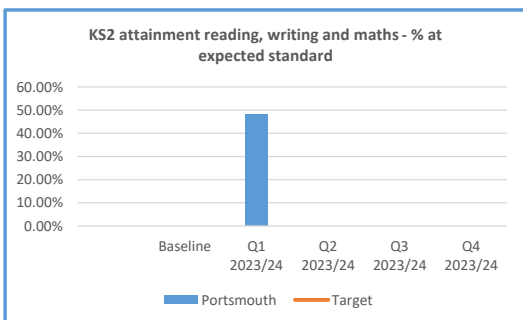
COMMENTARY
We have seen the number of schools graded as good or outstanding decline in the last 2 quarters (both LA maintained and Academy's). Our school improvement offer is lean but provides good support for those schools choosing to buy into the offer.



RAG against target

RAG against trend

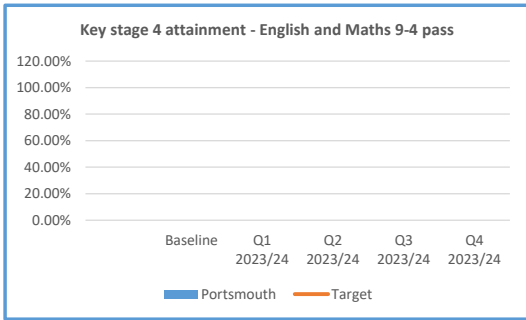
COMMENTARY



RAG against target

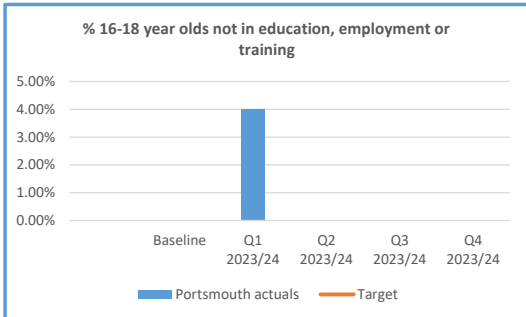
RAG against trend

COMMENTARY



RAG against target

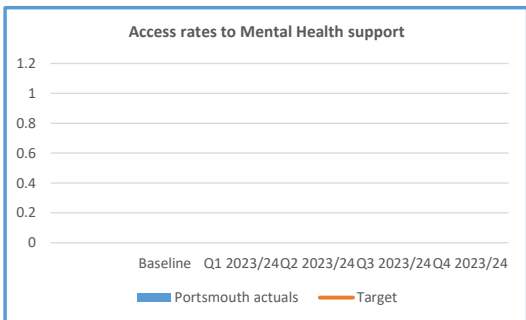
COMMENTARY



RAG against target

COMMENTARY
This is an area where our performance is strong. We have an excellent understanding for these young people and there are very few 'unknown's (young people we have no contact with).

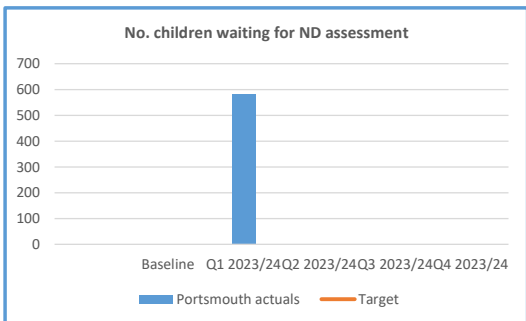
RAG against trend



RAG against target

COMMENTARY
We are working with health colleagues on this data

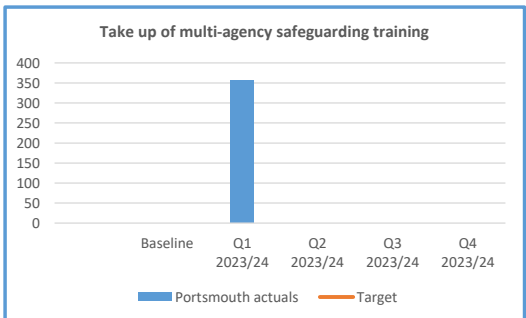
RAG against trend



RAG against target

COMMENTARY
This is higher than we would want it to be and it reflects the success of our innovative ND Service in the city.

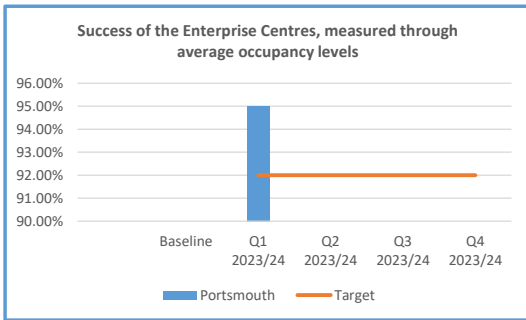
RAG against trend



RAG against target

COMMENTARY
Our PSCP training offer is strong and take up by partners is currently at a good level. L&D reflects the learning that comes from practice both locally and nationally.

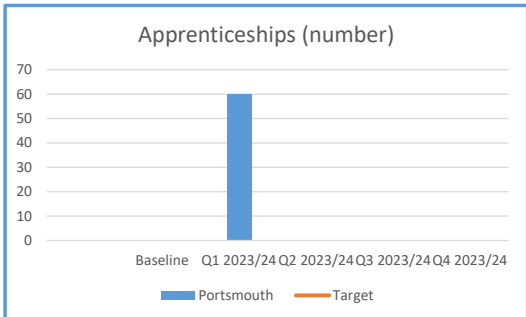
RAG against trend



RAG against target
Green

RAG against trend
Green

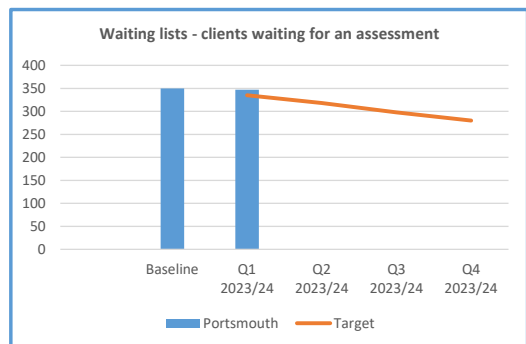
COMMENTARY
City Buildings opens August 2023



RAG against target
Green

RAG against trend
Green

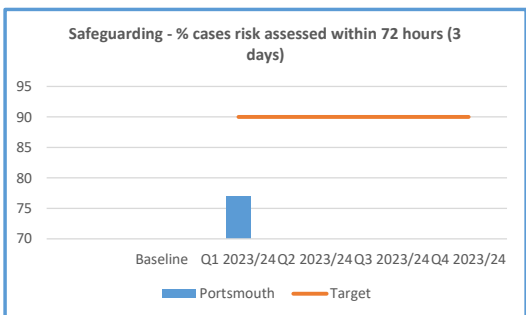
COMMENTARY
Academic year monitoring. High staff turnover and increased high risk delivery areas



RAG against target
Green

RAG against trend
Green

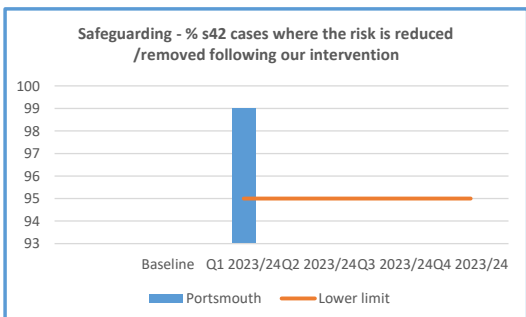
COMMENTARY
Waiting list figure is reducing in line with targets. However, this figure is likely to be revised throughout the year as we improve recording and reporting methodology with the implementation of Client Level Data (CLD)



RAG against target
Green

RAG against trend
Green

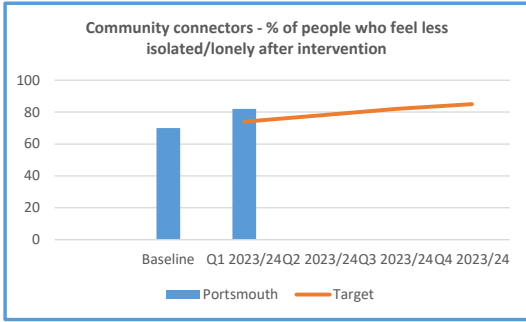
COMMENTARY
Figure is increasing in line with targets. In future, this figure may be revised to look specifically at triage rates based upon priority of the safeguarding case as opposed to a blanket proportion of all cases, where triage within 5 days may not be required or appropriate.



RAG against target
Green

RAG against trend
Green

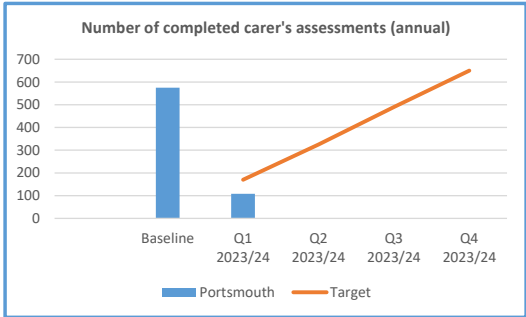
COMMENTARY
Performance levels maintained



RAG against target

COMMENTARY
 Figure is increasing in line with targets - taken from the quarterly community connector report.

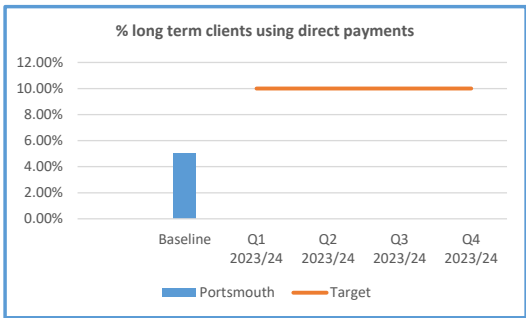
RAG against trend



RAG against target

COMMENTARY
 Reported performance levels will improve based upon new recording methods as part of the Client Level Data project.

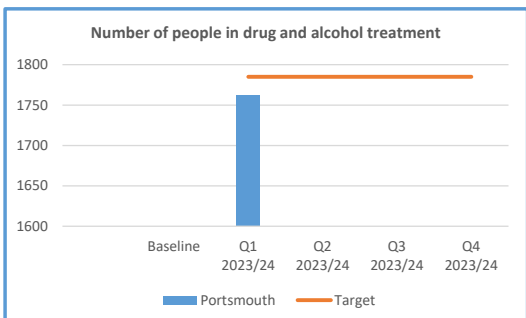
RAG against trend



RAG against target

COMMENTARY
 Current project of work ongoing to improve recording, reporting and overall improvement of Direct Payments across the city.

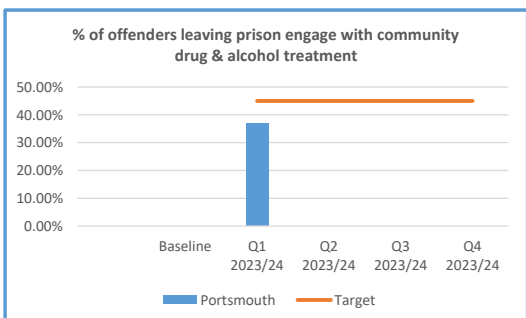
RAG against trend



RAG against target

COMMENTARY
 Numbers in treatment continue to increase and we should achieve the target to increase numbers in treatment. This is on the back of a 20% increase in 22-23

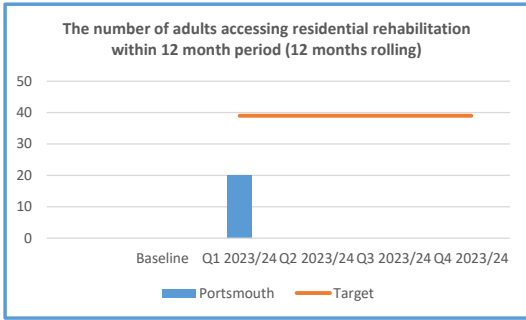
RAG against trend



RAG against target

COMMENTARY
 There has been a slight reduction in the % of prisoners engaging in treatment upon release. This compares to 41% nationally. A number of actions are underway to increase performance.

RAG against trend



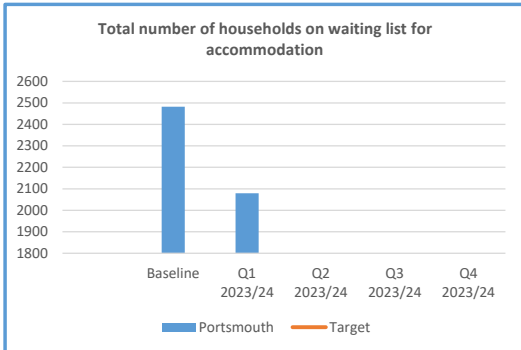
RAG against target

Yellow box

RAG against trend

Red box

COMMENTARY
 Numbers have dropped significantly. Actions are underway to address this reduction and increase funding, so there should be an increase in Q2.



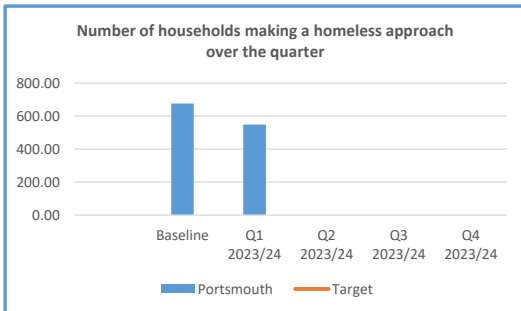
RAG against target

White box

RAG against trend

Red box

COMMENTARY
 RAG rating based on trend not performance based and this reflects demand pressures. Large decrease is due to recent data cleansing exercise including Housing Office focus on contacting tenants with long running applications and cancelling those with changed circumstances.



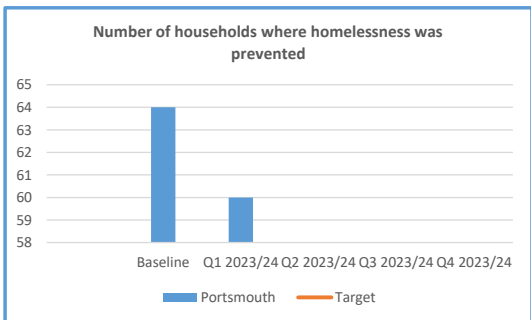
RAG against target

Grey box

RAG against trend

Grey box

COMMENTARY
 Do not show RAG ratings - this is because these are records 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. The downturn in Homeless Applications we believe to be a result of a change in working practices and a clearing of backlog. We do not expect to see applications fall substantially and believe this slight downturn may be anomalous given the overwhelming pressures on the private rented sector. Team staffing continues to be a concern, with 19 of the 24 current staff being fully trained. We believe that resourcing is focussing on the front end of the service and that the team will need to expand to hold pace with demand.



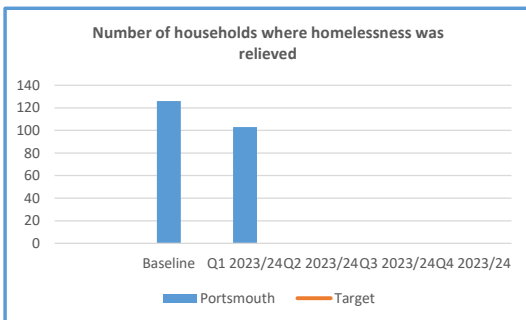
RAG against target

White box

RAG against trend

Yellow box

COMMENTARY
 The decrease in this figure (albeit minor) is likely tied to the explanation above, and may be an indication of the teams capacity at present.



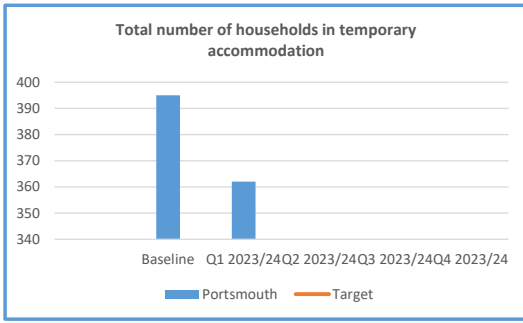
RAG against target

White box

RAG against trend

Yellow box

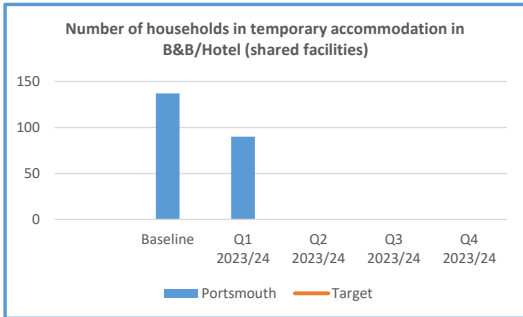
COMMENTARY
 The decrease in this figure is likely tied to the explanation above related to number of households making a homeless approach this quarter, and may be an indication of the teams capacity at present.



RAG against target

RAG against trend

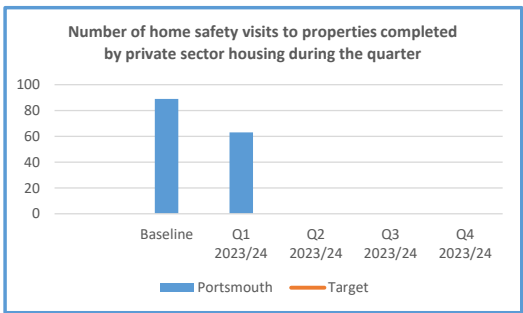
COMMENTARY
The persistent increase in households in TA reflects the National increase in Homelessness and is in line with the local regional difficulties in securing accommodation options, and with longer, more frequent temporary accommodation placements.



RAG against target

RAG against trend

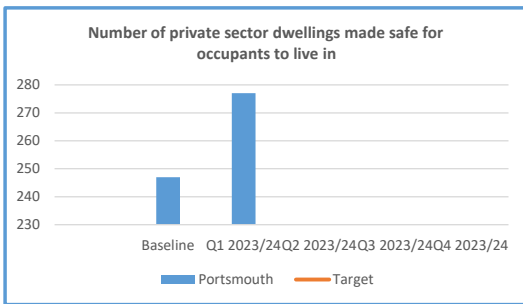
COMMENTARY



RAG against target

RAG against trend

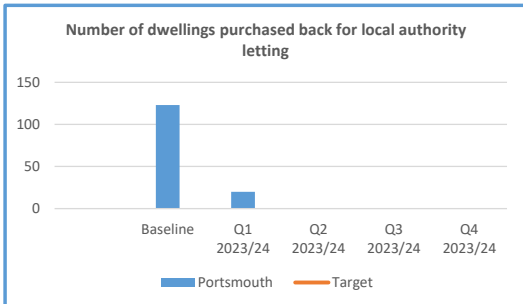
COMMENTARY
The number of completed homesafety visits in reality is stable with a slight decrease



RAG against target

RAG against trend

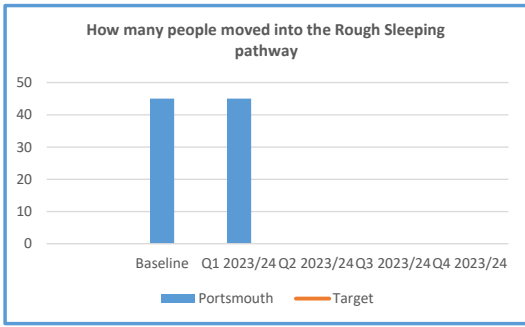
COMMENTARY
The number of completed homesafety visits in reality is stable with a slight decrease



RAG against target

RAG against trend

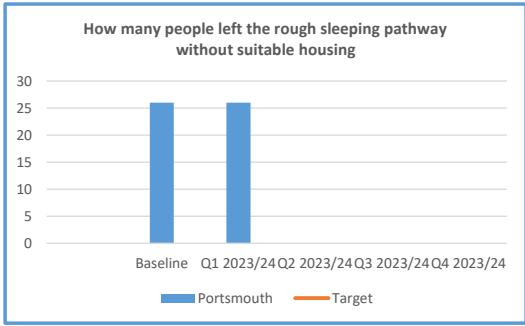
COMMENTARY
This measure shows number of repurchases year on year and year to date for current financial year.



RAG against target

COMMENTARY
 There has been a slight decrease in the number of move ins to the rough sleeper pathway. This is partly due to the lack of move on options for residents, and a reflection of the relatively high support needs of the current cohort of rough sleepers, some of whom have not thrived in shared accommodation settings and require a more bespoke intensively supported solution. A number of individuals continue to rough sleep in spite of offers of accommodation being made by HNAS (either within the pathway, other commissioned accommodation settings, or within private rented accommodation).

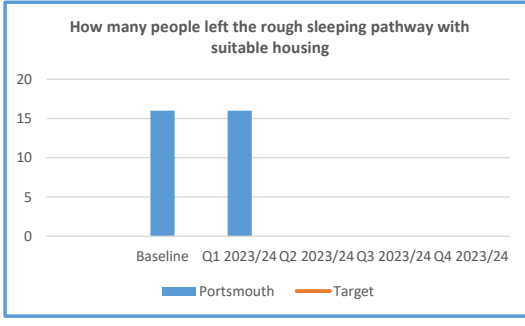
RAG against trend



RAG against target

COMMENTARY
 The number of clients moving out of the rough sleeper pathway without suitable housing has decreased slightly but has remained stable over the past year. Staff are working hard to reduce the number of abandonments, and to understand the sometimes complex reasons why these occur.

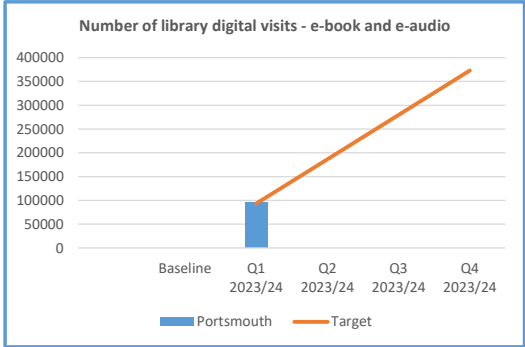
RAG against trend



RAG against target

COMMENTARY
 The number of clients moving out of the rough sleeper pathway with an offer of suitable housing has decreased slightly but has essentially remained stable over the past three quarters. Barriers to positive move ons from the pathway include affordability of more independent housing and a very high demand for some of the alternative commissioned accommodation settings. Some individuals are difficult to move on to other supported housing due to the complex relationships and interdependencies with other service users, which can escalate risks

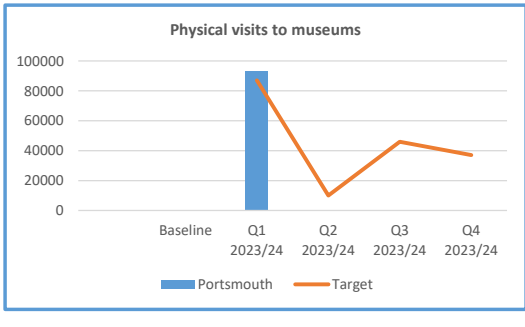
RAG against trend



RAG against target

COMMENTARY

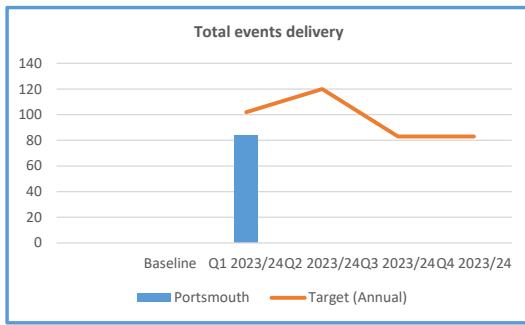
RAG against trend



RAG against target

COMMENTARY

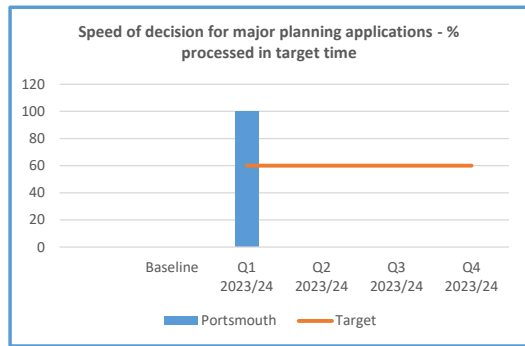
RAG against trend



RAG against target

RAG against trend

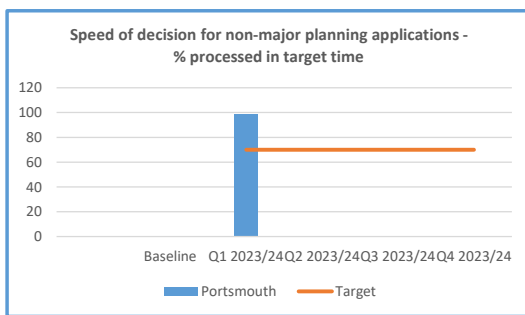
COMMENTARY



RAG against target

RAG against trend

COMMENTARY



RAG against target

RAG against trend

COMMENTARY
 The Council has been threatened with designation for performance over the 24 months to September 2022 in respect of speed of determination in this category. Current performance is significantly above target.

Significant projects

Project description	Budget	Start date	Completion date	Summary and Progress	RAG - time	RAG - budget
Effective delivery of the Priority Education Investment Area programme (PEIA)	£1.8m	01/04/2023	01/03/2025	Detailed delivery plan approved by DfE. 4 key priorities: literacy, maths, attendance and under-performing groups with a digital strand running through all four.		
SEND / AP Change Programme	£5.8m (tbc)	01/09/2023	01/07/2025	Lead LA in the SE for the SENDAP Change Programme Partnership (CPP) working with 3 other LAs - Brighton, West and East Sussex. Involves testing some of the reforms as set out in the government's SEND and AP Improvement Plan Right Support, Right Place, Right Time		
Capital programme for sufficiency of school places (secondary and specialist) and condition of LA maintained schools	£7.9m allocated for specialist school places	Ongoing	Ongoing	To ensure sufficient secondary and specialist school places.		
Implementation of the Education Management System - Synergy	£1.2m	01/09/2022	01/04/2024	To replace the Capita ONE with Synergy and make it easier for education staff to access relevant information about the children and families they are working with and to streamline administrative processes.		

Restorative and Relational Practice in Schools	£0.5m DSG	01/01/2023	01/01/2026	A whole-school approach, providing a framework for creating and sustaining a school climate where teaching and learning can take place effectively and where students and adults can thrive as they learn from each other. 12 schools starting to embed practice as part of Wave 1. 13 schools developing as part of Wave 2. Interest expressed in Wave 3		
Social worker recruitment and retention		on-going	on-going	To have a skilled and stable workforce and a reduction in the use of agency staff. The aim is to recruit and retain newly qualified and experienced social workers		
Intensive Early Help support for families of children age 0 - 5		on-going	on-going	Jointly with colleagues from Solent, to provide an effective targeted early help offer where families receive support and interventions that prevent need escalating and requiring support at tier 4		
Family Hubs	£3.2m	01/04/2022	01/03/2025	To launch our 5 family Hubs across the City and ensuring they provide effective support to children aged 0-19 and meet the requirements as defined by the DFE		
Fully embedding Family Safeguarding model (workbook and Modules)		On-going	On-going	To provide effective interventions to children and their families so that children's needs can be met within their families. To ensure consistency in practice, that is build on positive relationships		
Adolescents service	Funding needed	ongoing	ongoing	To develop an effective multi-agency response across the City that reduces the risk of exploitation, and to provide effective interventions to young people and families that enables them to live together and prevents family breakdown		
Investment to reduce care proceedings - adolescents and repeat removals	Funding needed	Ongoing	Ongoing	To develop a service where we proactively work with parents who have had a child removed from their care, so that we enable change and that necessary changes are made ahead of having another child so that they are able to successfully care for a further child and do not experience a further child being removed from their care		
CioC Placement Sufficiency		ongoing	ongoing	To have sufficient variety of homes so that we can identify regulated homes for all the children we care for and young people who are care experienced, and these homes are matches as appropriately meeting their needs		
Reopening Beechside		01/11/2022	01/03/2023	Beechside is a children's home that provides short breaks for children with complex needs. The home has been closed since November 2022 and we are working to open this as soon as it is possible to do so safely as this provides vital support to a number of children and families		
Going Home Project		ongoing	ongoing	To support children that we care for to safely return to their families by effectively intervening with parents to enable sustained change		
Care Leaver offer - cross council		ongoing	ongoing	To update our care leaver offer so that this is aspirational, and effectively supports our children into adulthood and independence and they have opportunities to access education, employment and housing that meets their needs		

Long-term sustainability of the Portsmouth Neurodiversity model				Retaining sustainable resource for the ND Team and continuing to support national partners on the innovation		
Sustainable integrated commissioning model as ICB reduces in size				Ensuring effective joint commissioning across NHS and LA at child, service and system level		
Health and Care Portsmouth Section 75 for Children				Health and Care Portsmouth oversight of children's spend and outcomes		
Insight Hub				Data matching, sharing and reporting software to identify child need and progress		
Chaucer House Youth Hub	£930k Capital; £200k revenue			Developing a multi-agency youth resource for support, activities and interventions		
King George Playing Fields	£8.1m	2017. 13 Feb 2023 works on site.	01/01/2024	<p>The city council submitted an expression of interest to the FA's Parklife programme. Portsmouth was invited to proceed to Stage 2 of the process and has worked with the county FA, Football Foundation and local clubs to produce a Local Football Facilities Plan. The plan sets out the priorities for future investment.</p> <p>King George V pavilion was damaged by arson in 2017 and the site has been identified as the preferred site for enhanced pavilion and pitch provision, subject to Football Foundation funding. The city council were awarded £36k towards initial feasibility work of £60k. Following a successful capital bid, the council has committed £2.8m towards the scheme which will be match funded 60:40 by the Football Foundation (meaning their contribution will be £4.2m) to give a project budget of £7m.</p> <p>PCC has submitted a formal application to the Football Foundation funding to deliver the project at King George V playing field.</p>		
Leisure transformation - Bransbury Park		24/02/2020	Winter 25-26.	<p>The project (to build a new leisure centre at Bransbury Park) has now progressed to RIBA Stage 3. Design is being led by the architects GT3 with a directly appointed multi-disciplinary design team made up of 18 specialist consultants. Client side project management & quantity surveying services are provided by Mace. In July the Hampshire & IOW Integrated Care Board Primary Care Committee approved the funding for the inclusion of a GP Surgery within the new development. The borrowing required for the additional capital cost is covered by the rental income payable by the practice over a 25 year period.</p> <p>The facility mix is 25m 4 lane swimming pool, learner pool, 2 court sports hall, 80 station gym, spin bike studio and group exercise studio plus GP surgery). The programme sees a planning application in Oct 23, enabling works on site Jan 24, main construction starts June 24, handover Jan 26.</p> <p>Likely cost £18m. Capital allocation £14.5m. Will require Sport England funding & further capital to be achievable.</p>		

Victoria Park		01-Dec-19	Feb-26	The city council has received a £2.27m National Lottery Heritage Fund grant towards the delivery phase of the Reviving Victoria Park project. The project will deliver the planned restoration and improvement works, a range of activities that cover, share and celebrate the Park's heritage and outreach work to create a more welcoming & inclusive space. The Round 2 funding includes the cost of a project manager, community engagement officer and volunteer & training		
Guildhall Basement project		01/10/2023	Summer 24	Guildhall Renaissance is the Guildhall Trust's programme for the development of the Guildhall. A major overhaul and refurbishment of facilities which takes into account the return on investment and the priorities for the Guildhall. To upgrade several parts of the building including the concert hall, front-of-house foyers, bars and meeting rooms and to expand the cultural offer. An improved Guildhall will benefit the wider community and form part of the regeneration of the city centre.		
City Centre North		13/07/1905		Masterplan development almost complete. Options being considered for development of Sainsbury's, Clarence Street Car Park, Tricorn and other associated properties. Highways works to Hope Street will be considered separately.		
Tipner West			Programme identifying a planning submission mid-2024.	Deliver a new community in the Tipner West masterplan area, including new homes, marine employment hub and the relevant infrastructure.		
Future High Streets	£6.9m of external funding. The future development of the Bridge Centre is additional to this.	2022		Fratton - purchase and redevelopment of the Bridge Centre from Asda, which has been delayed by Asda wanting to test the market. Install infrastructure to enable events to be held on Fratton Road. Commercial Road - public realm improvements and purchase of land for development (part of the old Tricorn site).		
Information Management and Data Programme (IMD)	£150,000 phase 1	2022	2024	Improving and modernising the management of information and data within Adult Social Care including: - The use of data warehousing - Using reporting tools such as PowerBI - Implementation of Client Level Data to meet statutory reporting requirements		
eResidential Programme	£100,000	2022	2024	Implementation of new technology in to PCC residential homes including: e-Care Planning e-MAR (Medical Admin Records). e-Reception Improved wifi in homes. Project broadly on track but slow speeds of wifi a continuing issue across the programme. E-MAR currently paused whilst users familiarise themselves with new functionality.		

Housing and Support Programme	Subject to review	2022	tbc	Work with council colleagues to provide additional housing for: Extra Care (Edinburgh House) Learning Disability and CHC (Highgrove). Due to cost increase, there is a pause in the		
Strategic Development of ASC to support CQC Assurance requirements	No specific allocated budget	2023	2024	Broad programme of work including: -Implementation of our Quality Assurance Framework -Development of governance processes -Improved use of data insights -Policy/Procedures and 'evidence' library -Updated practice handbooks and guidance -Updated ASC Strategy, Business Plan, Service plans etc -Market Position Statement -Accommodation Strategy		
JSNA programme		Apr-23	01/03/2024	Complete accessible set of JSNA web-based outputs covering key themes		
Serious Violence Strategic Needs Assessment (SNA)		01/05/2023	01/11/2023	Produce an SNA of Serious Violence that meets the new Serious Violence Duty, supporting CSPs across HIOW to feed into a VRU-led SNA for the Force-wide geography		
Cost of Living data and Public Health Annual Report (PHAR)		Apr-23	Nov-23	Coordinate the data and insight on the impact of Cost of Living into a Dashboard that supports decision-makers, and use this data as part of a PHAR focussed on Poverty		
Health Determinants Research Collaboration (HDRC) round 2 application		01/02/2023	01/08/2023	Work in partnership with the University of Portsmouth to bid for Health Determinants Research Collaboration funding from NIHR		
Sexual Health Recommissioning		Jan-23	Mar-24	Recommissioning of integrated sexual health services collaboratively with Hampshire, Southampton and IoW.		
Somers Orchard Development		01/06/2021	01/11/2025	The Stage 3 update to the coordinated and technical design freeze is due to be completed by 21st August 2023 to enable the costings and viability checks to commence and be completed by October 2023. During Q1 the Community Panel were consulted on the meanwhile use for the two sites and a plan agreed.		
Statutory Homelessness Strategy		01/04/2022	01/03/2023	The Homeless Strategy is due to expire in 2023. A working group is being compiled to merge one strategy for Rough Sleeping and Homelessness.		
Street Homelessness/Rough Sleeping Strategy		01-Apr-22	Mar-23	An update to the Rough Sleeping Strategy was presented to Cabinet on 22nd March 2022. This contained Operational updates to changes in services offered for those Rough Sleeping and at risk of Rough Sleeping. A new strategy will be formed over the next 12 months, to create one merged strategy for Rough Sleeping and Homelessness.		

Roll in of Rough Sleeping Pathway		01/04/2020	01/10/2021 signifies the start of BAU until the end of the current support contract and funding in March 2024	The interim Rough Sleeping Strategy was approved at cabinet on 22nd March 2022. A New Homelessness and Rough Sleeping strategy will be formed. Three accommodation blocks - The Registry, Elm Grove and Kingsway House have been acquired by Portsmouth City Council. The accommodation is supplemented with support on a needs-led individual basis.		
Homes for Ukraine Scheme		14/03/2022	Funding currently due to end 31/03/2024	The Homes for Ukraine scheme was launched by the government on 14 March 2022. This scheme allows people living in the UK to sponsor a named Ukrainian national or family to come to live in the UK with them, providing they have suitable accommodation to offer.		
ARAP scheme		01/06/2021	MOD Leases for 12 months	ARAP scheme set up originally with 9 leased MOD properties, this has now increased to 18. In Q1 the MOD agreed to extend the leases for the original 9 leased properties. All 18 properties are occupied.		
New Portsmouth Local Plan			Regulation 19 approval scheduled for March 2024 with 6 week consultation and submission in Spring 2024	Prepare the new Local Plan for the period until 2038 and bring it forwards in accordance with the agreed timetable.		

Priority: Protect and enhance our environment

Priority summary :

reduce our own carbon emissions

- help residents and business reduce their carbon emissions
- prioritise sustainable travel and improve transport systems in the city to reduce the environmental impact and improve journey times
- ensure that the city has a healthy and resilient natural environment
- reduce the waste generated by the city, and make sure we dispose of our waste responsibly

Achievements and positive progress:

Three Trees for Schools projects developed in collaboration with Trees for Cities in Q1 should get underway in Q2/3. The projects involve biodiverse planting to provide green and shade in otherwise concrete playgrounds, with two of the projects additionally offering raised beds for food growing / an edible playground. Trees for Cities will also be providing year-long engagement activities to the schools once the planting and landscaping is in place.

There has been good progress with the development of Carbon Action Plans which will be presented to Cabinet in the next quarter. Considerable work has been undertaken in collaboration with partners as Phase 1 of an Innovate UK project, which will progress to a next phase of development in Q2.

Preparation begun on an event to look at Ocean Literacy jointly with the University.

Energy services team led a consortium bid and secured £41m of Homes Upgrade Grant funding. The grant will continue to improve energy efficiency for 'off gas grid' households.

Waste Management team city wide roll out of food waste complete. Work with the housing service to trial different communal recycling options continued with positive impact and resident feedback. Work is leading to a Q.2/Q.3 report for housing decision to roll out a programme of change across the whole housing stock. Information to be shared with other landlords to help them prepare for the changes.

Challenges and risks:

The targets that exist around Net Zero, canopy cover and related issues such as Air Quality and Biodiversity Net Gain are ambitious and require strong corporate focus.

Waste Management - fluctuations in the market impacting on the price of recycle materials. Impact of the restrictions has limited the impact of the anticipated reduction in household waste. Food waste take up remains positive but disposal costs are causing budget pressures. Portfolio reserves not available to cushion the impact.

Challenge of retaining & recruiting experienced staff, in particular in Infrastructure & Highways and Transport. The Directorate currently has vacancy rates in some teams of 20-35%, despite repeated attempts to recruit. This is having a significant impact on ability to deliver statutory functions, deliver major projects and to secure additional funding from bespoke one-off Central Govt funding opportunities.

Environmental Health

Water quality testing continues with the Environment Agency and engagement with Southern Water, with a Bathing Water Quality report in production. Collaboration on this key issue continues with Havant Borough.

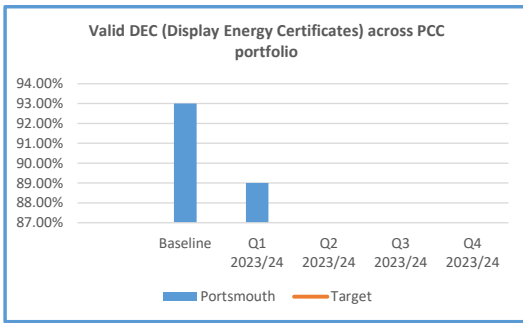
BCP: Engagement continues with DEFRA with regard to the new border control implementation plans and associated cost implications.

Priorities for the next period:

Our new Green & Healthy City Coordinator came into post in June, and has been forging links with all directorates and departments involved in the greening agenda. She is developing a programmatic delivery plan based on a greening evidence review and a refreshed strategy, and is also bringing together officers for a workshop in October to foster shared understanding and agree a direction of travel.

There is a need to complete Carbon Action Plans and progress the next phase of project work through Innovate UK. Develop model for waste collection programme of change across housing stock.

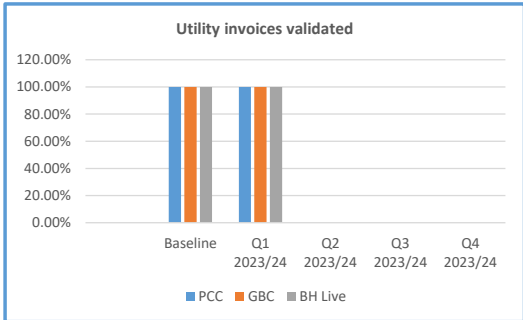
Key performance indicators



RAG against target
RAG against target

COMMENTARY

- PIP- terminal Building: Conflicting meter readings from various sub meters feeding the terminal building. - investigation of the sub meters to remedy this.
- Somerstown Central Hub: Faulty gas meter prevented accurate data being obtained - now remedied and as soon as enough data has been collected, the DEC can be produced.
- Buckland Community Centre: Gas meter is oversized for the building and as such gas data is unreliable.
- Charles Dickens Centre: Faulty meter repaired. PCC are now waiting for enough data to be collected before the DEC can be produced.
- Buckland /somerstown / Northern Parade / Paulsgrove Family hubs: Quotes have been issued to produce New DECS

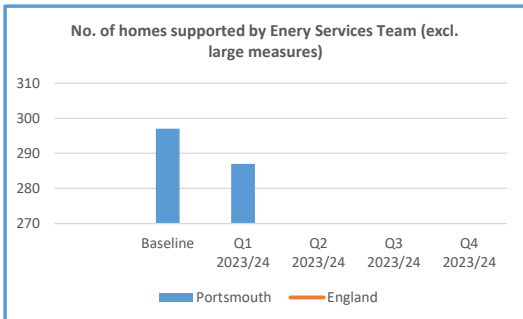


RAG against target
RAG against target

COMMENTARY

As utility supplies get added/removed over the course of time under corporate contract, the total number of invoices we need to validate are subject to change each quarter but we will present how many of the existing ones have had validation. Note that invoices for the final month of each quarter are not received until the following month, e.g. Q4 March invoices we'd receive in Q1 April and so on.

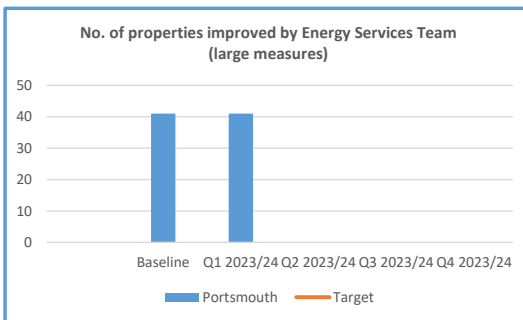
At the point of updating Qtr 1 on 11.7.2023 Validation has been completed on invoices imported/received. Supplier invoices for the month of June are still to be received in the July month. Opus Energy have had a billing error which has also delayed GBC electricity bills for both the months of May and June. However these will continue to be validated at the earliest opportunity once they are imported into the system.



RAG against target
RAG against target

COMMENTARY

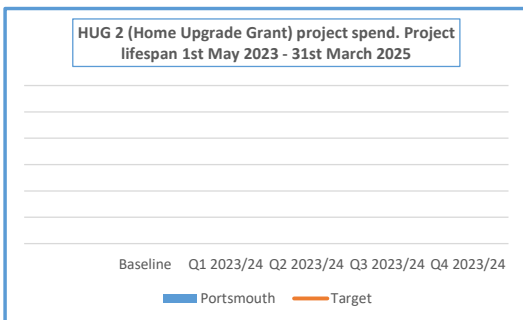
Households supported with energy efficiency advice, small efficiency measures (such as LED lightbulbs, white goods, boilers) under the LEAP scheme or via the Switched On Portsmouth Freephone Advice Line. Seeing higher than usual figures for this time of year, as the amount of households reaching out for support has not reduced since the winter period.



RAG against target
RAG against target

COMMENTARY

Private residential properties improved with large energy efficiency measures, such as solar PV, Insulation and Air Source Heat Pumps, completed under the LAD3 and HUG1 schemes. Steady delivery of these schemes to date, expect a slight drop off in the next quarter as we transition to HUG2 and due to availability of households and installers over the summer holiday period.

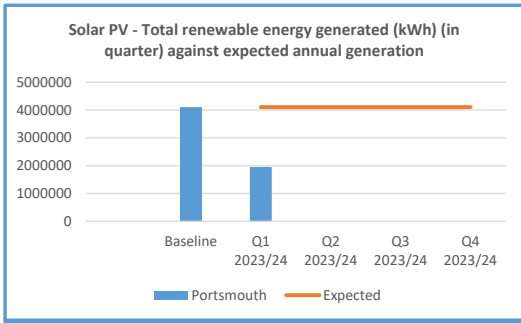


RAG against target
RAG against target

COMMENTARY

Delays to contract set up has resulted in delayed start to scheme. Funders aware - scheme expected to start early August. First phase of HUG scheme awarded time extension to ensure measures can still be delivered in homes during this period of delay.

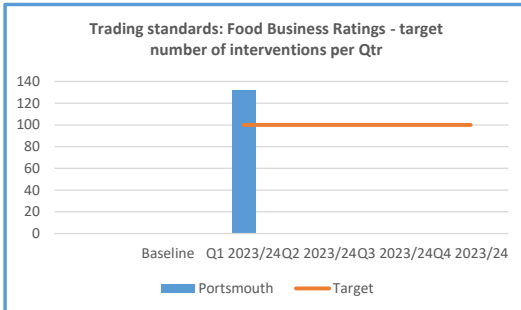
RAG against trend
RAG against trend



RAG against target

COMMENTARY
4,107,049kWh *Total annual generation FY 22-23

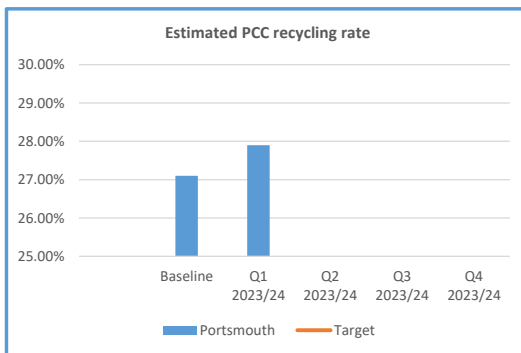
RAG against trend



RAG against target

COMMENTARY

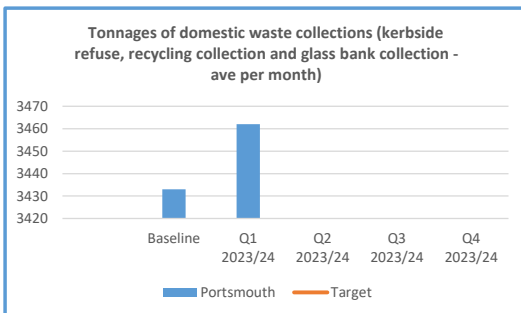
RAG against trend



RAG against target

COMMENTARY
21/22 rate was confirmed as 27.1%, July 23 - 27.9% is 22/23 provisional - subject to Defra confirmation (usually from October onwards)

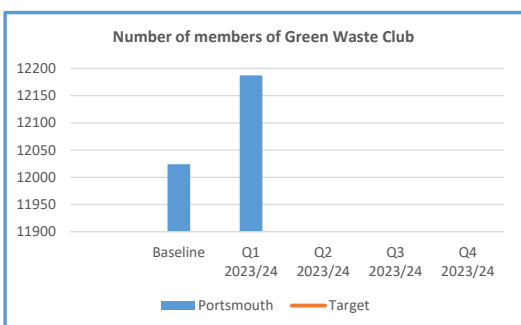
RAG against trend



RAG against target

COMMENTARY
Q1 tonnage stable. Tonnage slightly lower than pre-pandemic levels - this is largely due to introduction of FW. Recycling tonnage has reduced in line with refuse tonnage. FW6 starting in Q1

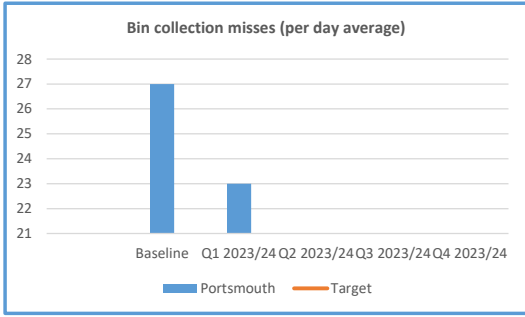
RAG against trend



RAG against target

COMMENTARY
Members of the Green Waste Club have increased slightly from last quarter - There is fluctuation in membership as renewals come up throughout the year.

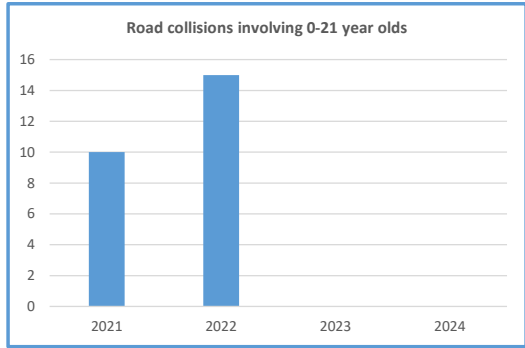
RAG against trend



RAG against target

RAG against trend

COMMENTARY
New miss process in place with crews, Q1 - level is very low, new measure in place for repeat misses.



RAG against target

RAG against trend

COMMENTARY
Data available from Hampshire Police is reorted up to 9 month retrospectively and therefore not available.

Improvements to facilities at key junctions to improve cycle safety and LTP 4 2023/24 funding - no funding allocated to Active Travel Improvements
East-West Active Travel Corridor - 2 locations - Bradford Junction tiger crossing and Isambard Brunel Road
LTP3 2021/22 funding - 2 locations - Elm Grove/Waverley road junction and New road/New Road East.
Additionally, early release low level cycle signals have been installed in the city over the past year, with four units being installed in Eastney Road at the junction with Bransbury Road, and four units being installed in Albert Road at the junction with Lawrence Road.

RAG against target

RAG against trend

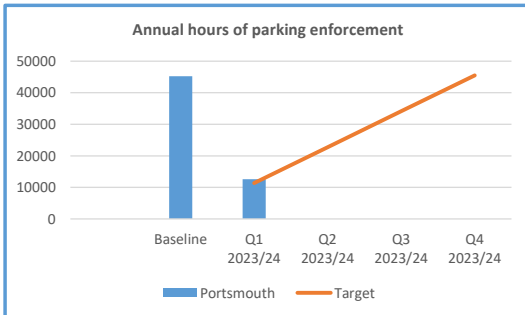
COMMENTARY
Detailed design completed and moving into construction phases or delivered.

Delivery of local transport schemes to improve journeys
There are a number of schemes that will be delivered through the Portsmouth Transport Strategy (LTP 4). This will be monitored and reported each year through the LTP4 Annual Monitoring Report (LTP4) to the Transport Portfolio decision meeting. A summary of these shemes is available if required, however this is reported at a programme level for the purposes of this report.

RAG against target

RAG against trend

COMMENTARY
Detailed design completed and moving into construction phases or delivered.



RAG against target

RAG against trend

COMMENTARY

Significant projects

Project description	Budget	Start date	Completion date	Summary and Progress	RAG - time	RAG - budget
Horsea Country & Ecological Reserve				Planning conditions signed off September 21 - handback of site to PCC being managed by Waste Management through the Waste Disposal Service Contract. Development of site as open space provision being explored with a focus on biodiversity and ecological benefits		
Southsea Flood Defences	£156m + £17.4m awaiting HMT sign off	01-Sep-20	End of year 202	Construction of new flood defences protecting 10,000 homes and 700 businesses extending 2.5 miles along the Southsea seafront from old Portsmouth to Eastney		
North Portsea Flood Defences	£67m	01/04/2016	01/12/2026	Construction of new flood defences protecting 4,200 homes and 500 businesses extending 5.2 miles from the Mountbatten Centre, clockwise to Milton Common. Programme has been extended by 1 year. Awaiting contractor costs for phase 5 to inform final financial outturn.		
Carbon Action Plan development	n/a	01/04/2023	01/10/2023	Report to Cabinet in Sept/Oct 2023		
Innovate UK - net zero bid	n/a	01/06/2023	08/09/2023	Bid to be submitted for innovative net zero projects in city		
Effective delivery of the Priority Education Investment Area programme (PEIA)	£1.8m	01/04/2023	01/03/2025	Detailed delivery plan approved by DfE. 4 key priorities: literacy, maths, attendance and under-performing groups with a digital strand running through all four.		
SEND / AP Change Programme	£5.8m (tbc)	01/09/2023	01/07/2025	Lead LA in the SE for the SENDAP Change Programme Partnership (CPP) working with 3 other LAs - Brighton, West and East Sussex. Involves testing some of the reforms as set out in the government's SEND and AP Improvement Plan Right Support, Right Place, Right Time		
Capital programme for sufficiency of school places (secondary and specialist) and condition of LA maintained schools	£7.9m allocated for specialist school places	Ongoing	Ongoing	To ensure sufficient secondary and specialist school places.		
Implementation of the Education Management System - Synergy	£1.2m	01/09/2022	01/04/2024	To replace the Capita ONE with Synergy and make it easier for education staff to access relevant information about the children and families they are working with and to streamline administrative processes.		
Restorative and Relational Practice in Schools	£0.5m DSG	01/01/2023	01/01/2026	A whole-school approach, providing a framework for creating and sustaining a school climate where teaching and learning can take place effectively and where students and adults can thrive as they learn from each other. 12 schools starting to embed practice as part of Wave 1. 13 schools developing as part of Wave 2. Interest expressed in Wave 3		

Social worker recruitment and retention		on-going	on-going	To have a skilled and stable workforce and a reduction in the use of agency staff. The aim is to recruit and retain newly qualified and experienced social workers		
Intensive Early Help support for families of children age 0 - 5		on-going	on-going	Jointly with colleagues from Solent, to provide an effective targeted early help offer where families receive support and interventions that prevent need escalating and requiring support at tier 4		
Family Hubs	£3.2m	01/04/2022	01/03/2025	To launch our 5 family Hubs across the City and ensuring they provide effective support to children aged 0-19 and meet the requirements as defined by the DFE		
Fully embedding Family Safeguarding model (workbook and Modules)		On-going	On-going	To provide effective interventions to children and their families so that children's needs can be met within their families. To ensure consistency in practice, that is build on positive relationships		
Development of waste management infrastructure		01/01/2018	End of 2023	To offer services which deliver waste reduction, and enable a wider range of opportunities for re-use and recycling.		
City wide food waste roll out		ep 19 - FW1 Sep 20 - FW2 Sept 21 - FW3 Oct 21 - FW4		Food waste 1 trial successfully implemented. Approx. 11,000 residents Second trial rolled out on 28 Sept 2020 following Cabinet decision in Feb. Total of approx. 25,000 properties now included in trials. FW1 - 61% participation, and 19% of black bag waste diverted to recycling FW2 - 42% participation, and 16% of black bag waste diverted to recycling		
AD Plant			2024	EIA scoping submission June 23 - required for ES/outline planning application. July 23 - engaging with Historic England as part of Pre-application prep. Ecological surveys underway.		
Bringing Waste Collection Services in-house			1st April 2024	Project underway to bring waste collection service in house including TUPE staff, vehicle/R&M procurement, IT system procurement, health & safety, fuel and tyre procurement. etc. May 23 - Out to procurement on new RCV fleet and associated R&M contract - tender returns, evaluation and contract award - June 2023, contract awarded June 23 - - ordered placed July 23 Depot extension and refurbishment - contracts for lease and underlease for extension to be signed in June 23, exchange subject to planning expected in Dec 23. Buildings Team underway with site designs. IT system procurement out to tender in July 2023.		

Port Health Border Control Post		01/10/2019	Unknown - potentially 2025	The delivery of official controls at the Port Target Operating Model (TOM) draft published 5 April 2023 - final TOM to be published in July (update: TOM published on 29th August). TOM provides general principles only - more detail required.		
School and Play Streets	School Streets - £80,000. No allocated reveue budget for Play Streets.	01/09/2021	Ongoing - dependent on resources	A seven-week School Streets trial is being introduced in Portsmouth from September 2021. Public Health is supporting the walking and cycling charity Sustrans, who manage the scheme. School Streets limit the amount of non-essential traffic from entering the roads near schools during drop-off and pick-up times. Parents, children, school staff and visitors will be encouraged to walk or cycle to school, resulting in a safer, healthier environment which develops cleaner air and reduces traffic congestion in residential areas. Research has shown that pupils who walk and cycle to school are more alert and ready to start the day than those who travel by car. The trial, which will temporarily limit most motorised traffic around two schools will create a safer route to school and allow the local community to enjoy a safer place to live, study, work and travel. Bramble Infant and Nursery School and St Jude's Church of England Primary School are the first schools to take part in the trial.		
Local Cycling and Walking Infrastructure Plan		2022	Ongoing	To set the strategic direction and delivery plan for walking and cycling in Portsmouth. This was adopted in 2022 at Transport Cabinet meeting. Delivery has commenced on schemes funded through the TCF and further funding has been bid for through the Active Travel Fund 4, Capability Fund and Sustrans.		
Local Transport Plan Strategy		2021	Ongoing	To set the strategic direction for transport in the city. Delivering against PCC's statutory duties to produce a Local Transport Plan under the Transport Act 2008. LTP4 has been adopted by PCC November 2021 by Full Council. Transport are now working towards the delivery of the 3 year implementation plan, and the first year progress will be reported to Transport Cabinet Meeting in August 2023 as part of the LTP4 Annual Monitoring Report. Budget is allocated towards the LTP4 year on year through the capital bidding process.		

South East Hampshire Rapid Transit (SEHRT) project Tranche 2 (formerly known as Transforming Cities Fund)	£56m	01/04/2020	31/03/2024	Strategic Outline Business Case (SOBC) for submission to DfT by 28th November 2019 deadline. Business case was submitted and awarded £56m funding for Portsmouth City Council, Hampshire County Council and Isle of Wight Council to deliver SEHRT through this funding. All councils are now in the delivery phases of this programme by March 2024. Some projects have been descoped due to inflationary costs. These have been reported to the DfT accordingly.		
The Hard Bus apron replacement (MARTIN)	£4.9m	autumn 2023	Spring 23 - this is dependent on what closure option is agreed with Transport and bus stakeholders	Design and build a new pavement to sit on the current jetty structure (to replace current defective apron).		
Tipner Transport Hub	£780k	2021	Reserved matters to be submitted no later than June 2025.	Submit an outline planning application, complete feasibility designs/ modelling and demand profile. Deliver a business case and operational plan.		
PFI Expiry	tbc	01/04/2023	30/03/1930	Resourcing and affordability around the last years of the PFI and preparations for "Life after Colas"		

Our corporate health: These indicators provide a reference point as to the authority's corporate health from a governance and compliance perspective or that are indicators of organisational effectiveness and efficiency. They provide an overview of key risk areas and provide a set of indicators as to the effectiveness of management of risks that cut across all services as opposed to service specific/statutory service risks

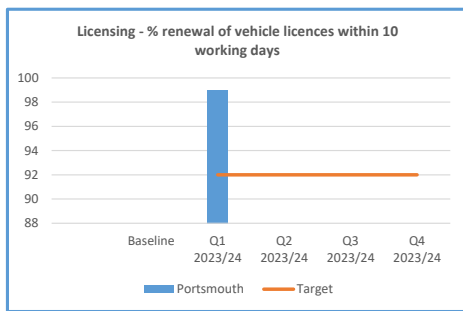
Summary

Achievements and positive progress: Audit assurance of Treasury Management ; Implemented pay award; Ad: hered to internal closedown timetable: Professional trainee development programme- new recruits: Contract Procedure rules revised and approved

Challenges and risks : Areas of high pressure; Loss of key skills; Senior management changes; Demand vs resources/capacity; Impact of budget pressures across services; External audit delays.

Priorities for the next period : Planned recruitment of senior management posts; Budget planning and monitoring; 2024/5 budget preparation

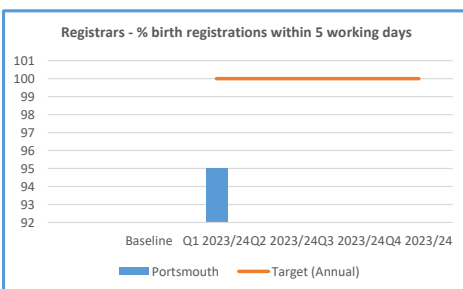
Key performance indicators



RAG against target

RAG against trend

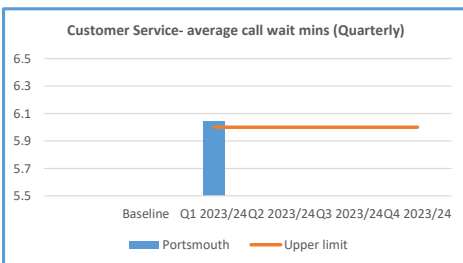
COMMENTARY



RAG against target

RAG against trend

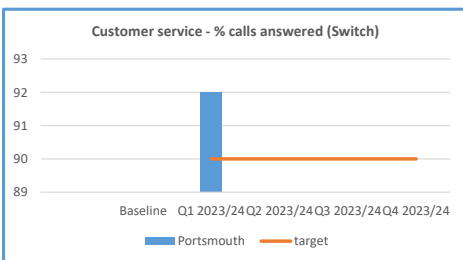
COMMENTARY



RAG against target

RAG against trend

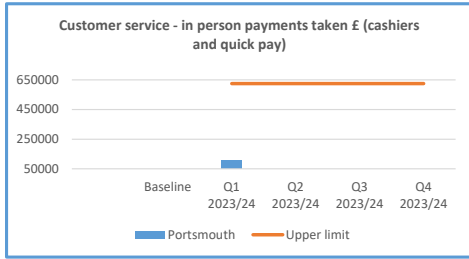
COMMENTARY
 performance is close to target of less than 6 minutes. new contact centre telephony being implement on 4 September 2023 therefore expect trend to show a reduction in call wait times post implementation



RAG against target

RAG against trend

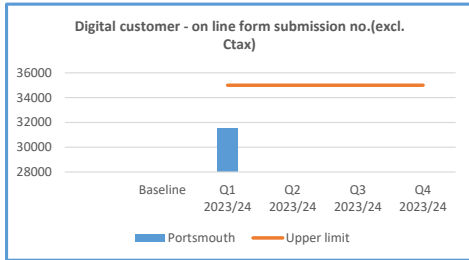
COMMENTARY
 The higher the number the better. Performance is exceeding target resulting in better customer service.



RAG against target

RAG against trend

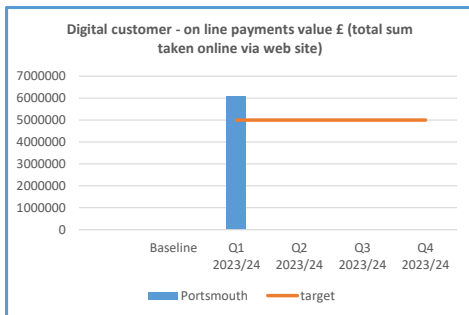
COMMENTARY
 The lower the number the better. In person payments are very costly to administer. Reduced in person payments frees up customer service staff for the most vulnerable customers



RAG against target

RAG against trend

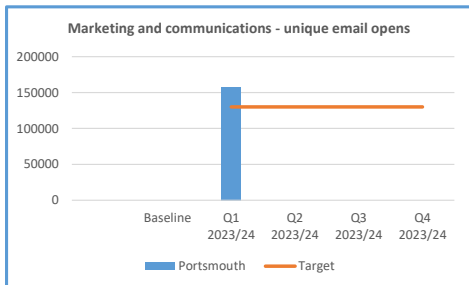
COMMENTARY
 the higher the number the better. Services that can be accessed digitally enable customers to engage more efficiently and when is most convenient to them and not reliant on council opening hours



RAG against target

RAG against trend

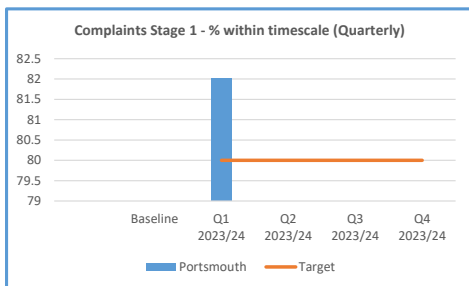
COMMENTARY
 he higher the number the better. Greater efficiency for PCC. Customers able to make payments on line reduces costs and enables 24/7 access for customers



RAG against target

RAG against trend

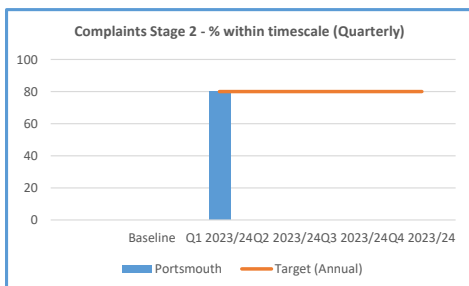
COMMENTARY
 the higher the number the better. More residents signing up to receive emails from PCC means more residents are informed about council activities and services



RAG against target

RAG against trend

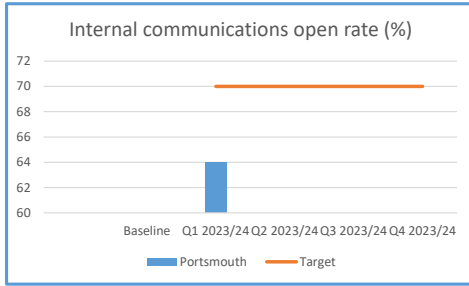
COMMENTARY
 the higher the number the better. Performance is better than expected



RAG against target

RAG against trend

COMMENTARY
 the higher the number the better. Performance is on target (performance also reported to GaAS)



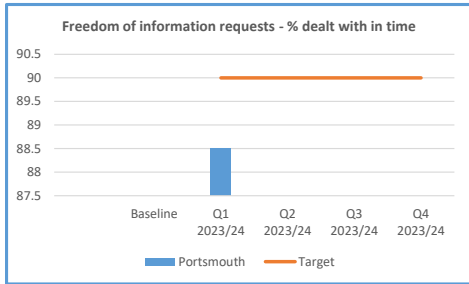
RAG against target

Yellow

RAG against trend

White

COMMENTARY
 Key factor in staff wellbeing, productivity and engagement levels. Performance is slightly below target. Work underway to review internal comms approach, branding, channels etc.



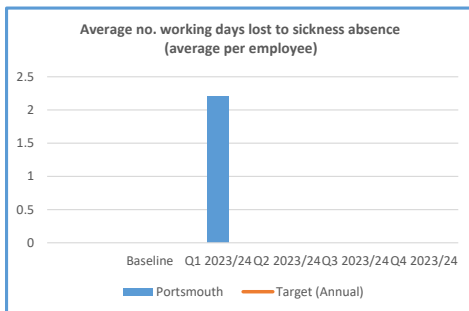
RAG against target

Yellow

RAG against trend

White

COMMENTARY
 Performance slightly below target. All services are engaged through corporate information governance panel to address timeliness and good practice.



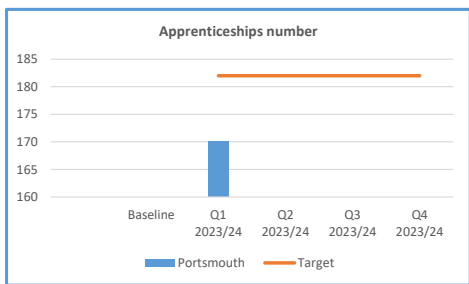
RAG against target

Green

RAG against trend

White

COMMENTARY
 The lower the number the better. Sickness absence levels are reducing following a change in approach that targets the illnesses of greatest prevalence, coupled with more support for the management population and greater signposting to relevant wellbeing interventions - also reported to Employment Committee



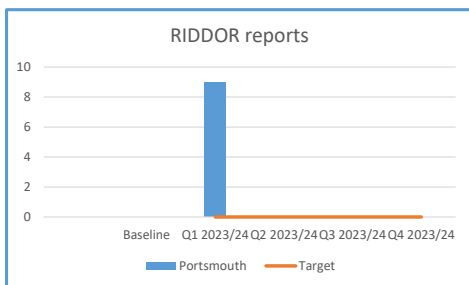
RAG against target

Yellow

RAG against trend

White

COMMENTARY
 The higher the number the better. reflects PCC as role model employer, part of our commitment to social value and staff development. Performance is slightly lower than desired reflecting budget constraints and capacity



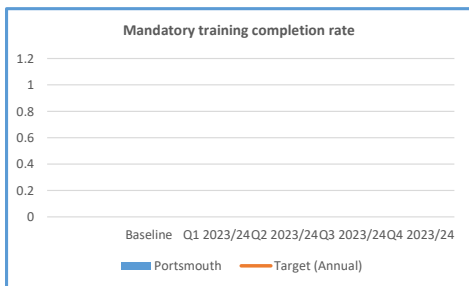
RAG against target

Yellow

RAG against trend

White

COMMENTARY
 New metric and work in progress. Benchmarking will identify an appropriate target. Current reporting is manual and work is underway to improve reporting therefore a strong likelihood of an increasing trend in report before the situation stabilises



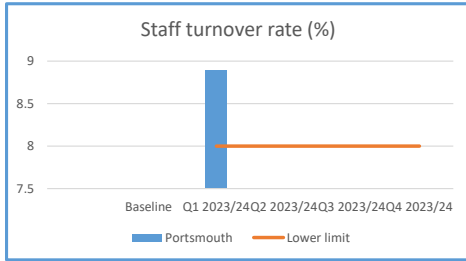
RAG against target

White

RAG against trend

White

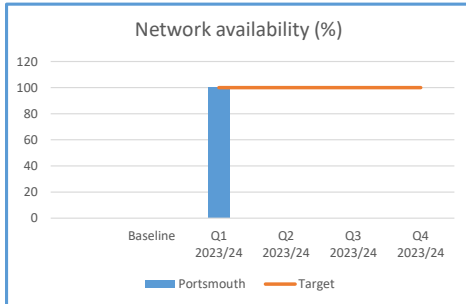
COMMENTARY
 Pending implementation of learning information system



RAG against target

RAG against trend

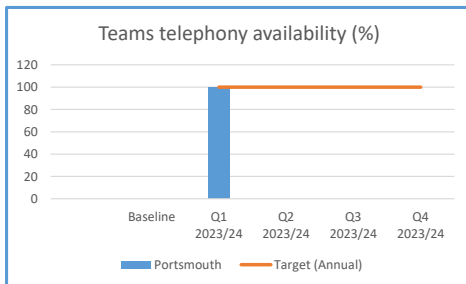
COMMENTARY
 the lower the number the better. Staff turnover will vary from service to service but is a good indicator of organisational stability. Performance is worse than expected reflecting a competitive and tight labour market. Work is underway to address our recruitment and retention challenges



RAG against target

RAG against trend

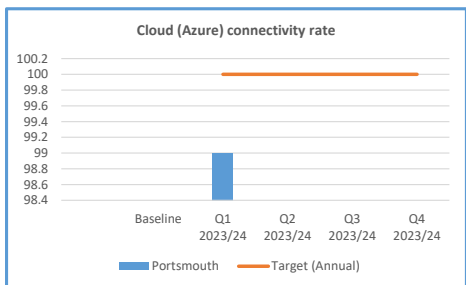
COMMENTARY
 performing on target. Reflects all services' ability to access systems from all locations (office, remote, other workbase)



RAG against target

RAG against trend

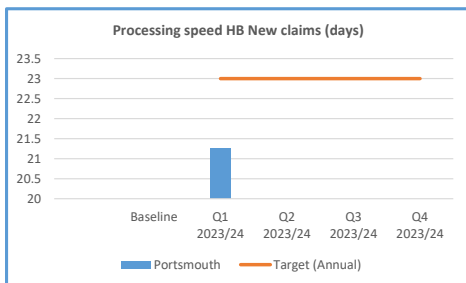
COMMENTARY
 performing on target. telephony available for all incoming and outgoing calls - except contact centre/switchboard and lines not supported by IT services



RAG against target

RAG against trend

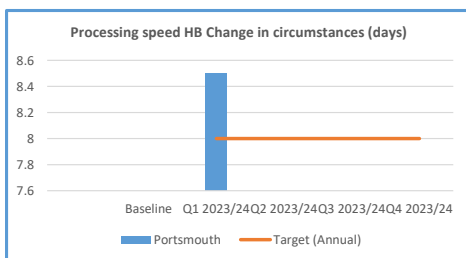
COMMENTARY
 performing on target. On target operation of cloud based applications and line of business systems, providing resilience and security of data



RAG against target

RAG against trend

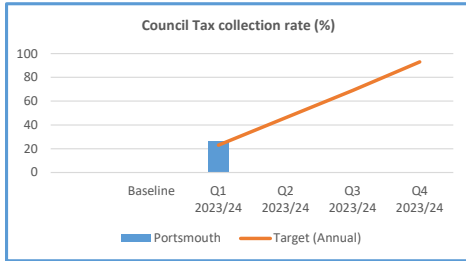
COMMENTARY
 DWP relationship Manager continues to express the department's satisfaction with performance levels, which continues to be as planned



RAG against target

RAG against trend

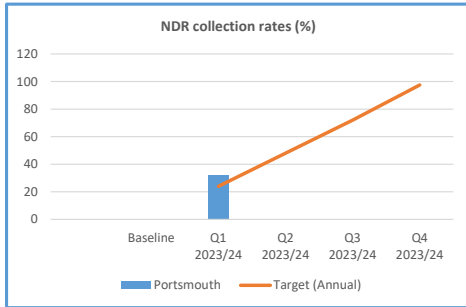
COMMENTARY
 DWP relationship Manager continues to express the department's satisfaction with performance levels, which continues to be as planned



RAG against target

RAG against trend

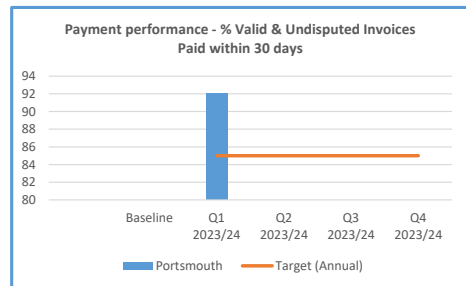
COMMENTARY
 Collection of local taxes was significantly impacted by HM Magistrates Court being unable to convene for liability order hearings throughout the period of the pandemic. Throughout 22/23 and into Q1 23/24 the Council has brought recovery routines up to date, and this is attributed to maintenance of performance so far in 23/24 despite the impact of the cost of living crisis. In year collection is expected to increase this year, but there continues to be some growth needed to return to pre-pandemic levels of collection



RAG against target

RAG against trend

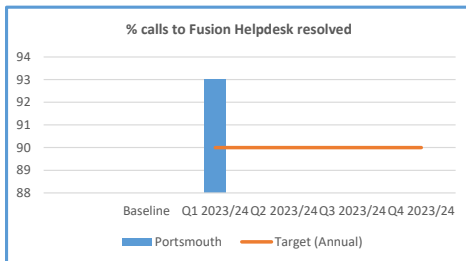
COMMENTARY
 Collection of local taxes was significantly impacted by HM Magistrates Court being unable to convene for liability order hearings throughout the period of the pandemic. Throughout 22/23 and into Q1 23/24 the Council has brought recovery routines up to date, and this is attributed to maintenance of performance so far in 23/24 despite the impact of the cost of living crisis. In year collection is expected to increase this year, but there continues to be some growth needed to return to pre-pandemic levels of collection. Greater efficiency for PCC. Customers able to make payments on line reduces costs and enables 24/7 access for customers



RAG against target

RAG against trend

COMMENTARY



RAG against target

RAG against trend

COMMENTARY

Unqualified audit opinion
 No opinion received

RAG against target

RAG against trend

COMMENTARY
 Opinion on 2021/22 still outstanding. Audit for 2022/23 not yet started

Adequacy of reserves
 Target of £21.5m









RAG against target

RAG against trend

COMMENTARY
 Budget set February 2023

<p>Treasury Management code</p> <p>Target compliance</p>	<p>RAG against target</p> 	<p>COMMENTARY</p> <p>Compliance achieved</p>
<p>RAG against trend</p> 	<p>COMMENTARY</p> <p>Deadline achieved</p>	
<p>Closure of accounts</p> <p>Requirement to meet statutory deadline</p>	<p>RAG against target</p> 	<p>COMMENTARY</p> <p>External audit delays on previous years accounts</p>
<p>RAG against trend</p> 	<p>Annual accounts publication</p> <p>Target to publish 31/05/2023; publication achieved 31/07/23</p>	<p>RAG against target</p> 
<p>RAG against trend</p> 	<p>Significant projects</p>	

Significant projects

Project description	Budget	Start date	Completion date	Summary and Progress	RAG - time	RAG - budget
Civic Office Regeneration	tbc	underway				
M365 phase 2 -Sharepoint on line, security	£1.2k	Underway	Q4 23/24			
Contact Centre Replacement	£80k	underway	Q3 23/24			
Recruitment Operating model and supporting systems	tbc	Q3 23/24	Q3 24/25			
Windows 11 upgrade	£246k					
Wireless Access Network Refresh						
Cloud migration phase 2 and 3						
Values & Behaviour framework	£0	01/01/2023	01/01/2024			
LFFN phase 2	£5m					
Spinnaker Sponsorship	£100k	01-Dec-22	Jun-23			
Learning Management System	£60k	01/04/2023	Dec-23			

Citizens Access Portal	£166k	01/09/2022	Jul-23	<p>The Citizen Access Portal is the next step in an ongoing programme of works to make the hardware and software supporting the Revenues & Benefits function fit for purpose. It follows the rationalisation of systems and a strategic alignment with a market leading supplier. This latest phase's core objective is to deliver improved self-serve opportunities via the website for engagement with our Revenues & Benefit services, as well as delivering e:billing for Council Tax and Business Rates, and e:notifications for Housing Benefits. The project continues to deliver to plan and on budget.</p>		
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Title of meeting:	Governance & Audit & Standards Committee
Date of meeting:	20 th September 2023
Subject:	Internal Audit Performance Status Report to 8 th September 2023
Report by:	Chief Internal Auditor
Wards affected:	All
Key decision:	No
Full Council decision:	No

1. Summary

- 1.1 This is an Internal Audit Performance Status Report for the 2023-24 planned audit activities. Appendix A includes the detail of progress made against the annual plan and documents individual audit findings.

2. Purpose of report

- 2.1 This report is to update the Governance and Audit and Standards Committee on the Internal Audit Performance for 2023/24 to 8th September 2023 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 2023-24 to 8th September 2023.
- 3.2 That Members note the highlighted areas of concern in relation to audits completed from the 2023/24 Audit Plan, including follow up work performed.

4. Background

- 4.1 The Annual Audit Plan for 2023-24 has been drawn up in accordance with the agreed Audit Strategy and was approved by this Committee on 8th March 2023 following consultation with Directors and relevant parties. The Plan is reviewed monthly in order to take account of any further changes in risks levels or corporate priorities.

5 Integrated Impact Assessment

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

6. Legal Implications

6.1 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.

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

7 Finance Comments

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

7.2 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 – Internal Audit Progress Report

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	http://www.legislation.gov.uk/uksi/2011/817/contents/made
2 Previous Audit Performance Status and other Audit Reports	Refer to Governance and Audit and Standard meetings – reports published online.

3	Public Sector Internal Audit Standards	http://www.cipfa.org/policy-and-guidance/standards/public-sector-internal-audit-standards
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The recommendation(s) set out above were approved/ approved as amended/ deferred/
rejected by on

.....
Signed by:

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Portsmouth
CITY COUNCIL

Internal Audit Progress Report 20th September 2023

Elizabeth Goodwin, Chief Internal Auditor

1. Introduction

Internal Audit is a statutory function for all local authorities.

The requirement for an Internal Audit function in local government is detailed within the Accounts and Audit (England) Regulations 2015 as to:

Undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance

The standards for ‘proper practices’ are set out in the Public Sector Internal Audit Standards [the Standards – updated 2016].

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation’s operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

This report includes the status against the 2023/24 internal audit plan.

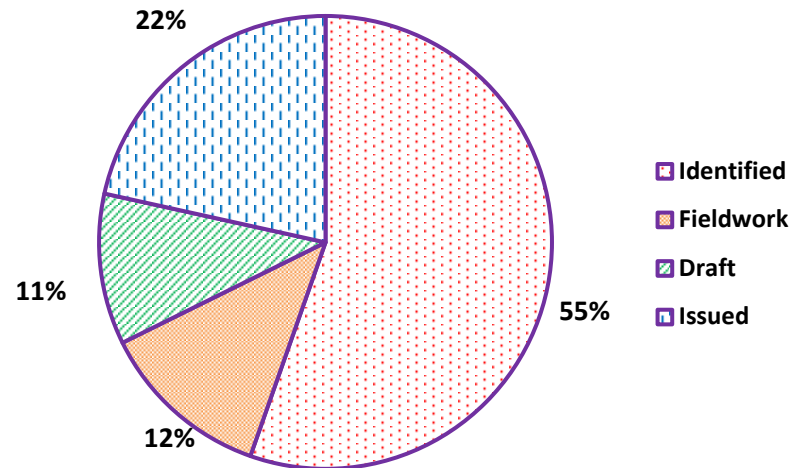
2. Audit Plan Progress as of 8th September 2023

There are 33 full audits, 17 first follow ups, 6 second follow up reviews, 1 consultancy reviews and 8 grants, in the revised plan for 2023/34, totalling 65 reviews. *

To date, 29 (45%) have been finalised or currently in progress as of 8th September 2023.

Status	Audits
Identified	36
Fieldwork	8
Draft Report	7
Final Report	14

Audit Plan Progress as of 8th September 2023



**Figures are only in relation to PCC audits and are excluding any SLEP or Portico reviews.*

3. Ongoing Internal Audit Involvement

Internal Audit has provided advice, ongoing reviews and is involved work in the following areas. (For reference, advice is only recorded when the time taken to provide the advice exceeds one hour):

- Regulation of Investigatory Powers Act (RIPA) - authorisations. These are reported separately, along with any policy review.
- Anti-Money Laundering - monitoring, reporting and policy review.
- 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 - proactive work to reduce the risk exposure to the authority
- Governance & Audit & Standards Committee - reporting and attendance
- Audit Planning and Consultation
- Risk Management & Annual Governance Statement
- Performance Management
- 90 investigation cases - (includes, corporate, benefit and council tax support cases)
- 3 items of advice

4. Audit Plan Status/Changes.

The original audit plan agreed on the 8th March 2023 had a total of 68 reviews. The following changes have been made since the plan has been approved.

Audits removed from the Audit Plan:

- Building Control Fees Income - Follow up work not required due to no high risks
- Future High Street Funding - No Chief Internal Auditor sign off required
- IT Procurement, Inventory & Disposal - Removed from the audit plan as the services are due to commence a new project. Following discussions with the client it was agreed to defer the audit to 2024/25 to test the new process.
- Planning & Enforcement - Removed to the plan as no additional value to be added at this stage
- Port Health & Safety - Independent review in place with agreed action plan, will be considered for future audit plans.
- Gas Services - Follow up actions are dated for 2024/25 (contract related)

Audits added to the Audit Plan:

- Fusion Change Management - Added into the plans due the Fusion change issues
- Disabled Facilities Grant (Process) - Audit included into the plan to review the process for the Disabled Facilities Grant.

5. Areas of Concern

No new areas of concerns

6. Assurance Levels

Internal Audit reviews culminate in an opinion on the assurance that can be placed on the effectiveness of the framework for risk management, control and governance designed to support the achievement of management objectives for the area under review.

Assurance Level	Description / Examples
Assurance	<i>No issues or minor improvements noted within the audit but based on the testing conducted, assurance can be placed that the activity is of low risk to the Authority</i>
Reasonable Assurance	<i>Control weaknesses or risks were identified but overall the activities do not pose significant risks to the Authority</i>
Limited Assurance	<i>Control weaknesses or risks were identified which pose a more significant risk to the Authority</i>
No Assurance	<i>Major individual issues identified or collectively a number of issues raised which could significantly impact the overall objectives of the activity that was subject to the Audit</i>
NAT	<i>No areas tested</i>

Audits rated No Assurance are specifically highlighted to the Governance and Audits and Standards Committee along with any Director's comments. The Committee is able to request any director attends a meeting to discuss the issues.

7. Exception Risk Ranking

The following table outline the exceptions raised in audit reports, reported in priority order and are broadly equivalent to those previously used.

Priority Level	Description
Low Risk (Improvement)	<i>Very low risk exceptions or recommendations that are classed as improvements that are intended to help the service fine tune its control framework or improve service effectiveness and efficiency. An example of an improvement recommendation would be making changes to a filing system to improve the quality of the management trail.</i>
Medium Risk	<i>These are control weaknesses that may expose the system function or process to a key risk but the likelihood of the risk occurring is low.</i>
High Risk	<i>Action needs to be taken to address significant control weaknesses but over a reasonable timeframe rather than immediately. These issues are not 'show stopping' but are still important to ensure that controls can be relied upon for the effective performance of the service or function. If not addressed, they can, over time, become critical. An example of an important exception would be the introduction of controls to detect and prevent fraud.</i>
Critical Risk	<i>Control weakness that could have a significant impact upon not only the system function or process objectives but also the achievement of the Council's objectives in relation to: The efficient and effective use of resources, The safeguarding of assets, The preparation of reliable financial and operational information, Compliance with laws and regulations and corrective action needs to be taken immediately.</i>

Any critical exceptions found the will be reported in their entirety to the Governance and Audits and Standards Committee along with Director's comments

8. 2024/24 Audits completed to date (8th September 2023)

Quality Assurance - Director of Adult Social Care

Exceptions Raised

Critical	High	Medium	Low
0	2	2	0

Overall Assurance Level

Limited Assurance

Agreed actions are scheduled to be implemented by January 2025

Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Reasonable Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Limited Assurance
Reliability and Integrity of Data	NAT

Two high risks were raised; as it was highlighted that no formal procedures around assessing the frequency of care home visits. In addition a second high risk was raised as testing confirmed that there are care providers that have not signed up to a 'Terms of Inclusion' (TOI). A TOI is the contract between PCC and the care providers which outlines the terms and conditions relating to the provision off the expected care services. There are a total of 115 providers of which 8 (7%) have not signed a TOI. Two medium risk exceptions were also raised as part of this review.

Independent Reviewing & Child Protection - Director of Children, Families and Education

Exceptions Raised

Critical	High	Medium	Low
0	0	4	1

Overall Assurance Level

Reasonable Assurance

Agreed actions are scheduled to be implemented by September 2023

Assurance Level by Scope Area

Achievement of Strategic Objectives	Assurance
Compliance with Policies, Laws & Regulations	Reasonable Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Reasonable Assurance
Reliability and Integrity of Data	NAT

Four medium risk exceptions were raised; as it was highlighted that 10/20 (50%) of children from the sample tested did not have sufficient evidence on Mosaic to support communication/ contact with the child/ network around the child. 6/20 (30%) were not satisfactory for various reasons for the monitoring of grading child care plan. Delays in processing Dispute Resolutions reports as 3/5 (60%) of the sample tested were resolved past the 20 working

days legislative time by an average of 4.6 days. Lastly, there is no formal Dispute Resolution escalation process. One low risk exception was also raised as a result of this review.

Council Tax and NNDR - Director of Finance and Resources

Exceptions Raised

Critical	High	Medium	Low
0	0	2	0

Overall Assurance Level

Reasonable Assurance

Agreed actions are scheduled to be implemented by March 2024

Assurance Level by Scope Area

Achievement of Strategic Objectives	Assurance
Compliance with Policies, Laws & Regulations	Reasonable Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Reasonable Assurance
Reliability and Integrity of Data	NAT

Two medium risk exceptions were raised as testing confirmed that reviews of discounts and exemptions have not taken place post pandemic; however, reviews will be bought up to date and a schedule will be developed for future reassessment. In addition, there is currently no annual reviews in place for system access to ensure that user access remains appropriate.

Housing and Council Tax Benefits - Director of Finance and Resources

Exceptions Raised

Critical	High	Medium	Low
0	0	0	0

Overall Assurance Level

Assurance

Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Assurance
Safeguarding of Assets	Assurance
Effectiveness and Efficiency of Operations	Assurance
Reliability and Integrity of Data	NAT

No exceptions were raised as a result of this review.

Treasury Management - Director of Finance and Resources

Exceptions Raised

Critical	High	Medium	Low
0	0	0	0

Overall Assurance Level

Assurance

Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Assurance
Reliability and Integrity of Data	NAT

No exceptions were raised as a result of this review.

External Debt Recovery - Director of Finance and Resources

Exceptions Raised

Critical	High	Medium	Low
0	1	1	0

Overall Assurance Level

Reasonable Assurance

Agreed actions are scheduled to be implemented by March 2024

Assurance Level by Scope Area

Achievement of Strategic Objectives	Reasonable Assurance
Compliance with Policies, Laws & Regulations	Reasonable Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Limited Assurance
Reliability and Integrity of Data	NAT

One high risk exception was raised as it was highlighted that there is a need for regular reconciliations between data held by Enforcement Agents and PCC data for account information as multiple discrepancies were highlighted. One medium risk exception was also raised.

Plant (Lifts & Mechanical) - Director of Housing, Neighbourhoods and Building Services
Exceptions Raised

Critical	High	Medium	Low
0	4	0	0

Overall Assurance Level

Limited Assurance

Agreed actions are scheduled to be implemented by October 2023

Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Limited Assurance
Safeguarding of Assets	Limited Assurance
Effectiveness and Efficiency of Operations	NAT
Reliability and Integrity of Data	Limited Assurance

Four high risk exceptions were raised in relation to the lack of a clear formal contract in place with appropriate monitoring, an incomplete database for mechanical plant stock and servicing delays and data integrity for service records held . Lastly, invoices being paid without establishing that the work has been completed to the expected standard.

Emergency Planning Disaster Recovery - Director of Port
Exceptions Raised

Critical	High	Medium	Low
0	0	0	0

Overall Assurance Level

Assurance

Assurance Level by Scope Area

Achievement of Strategic Objectives	Assurance
Compliance with Policies, Laws & Regulations	NAT
Safeguarding of Assets	Assurance
Effectiveness and Efficiency of Operations	Assurance
Reliability and Integrity of Data	Assurance

No exceptions were raised as a result of this review.

Orpheus Grant - Director of Children, Families and Education

Grant Verification - Sample testing was able to evidence that the terms and conditions had been met which allowed the Chief Internal Auditor to sign the declaration confirming compliance.

2SEAS SPEED Grant - Director of Port

Grant Verification - Sample testing was able to evidence that the terms and conditions had been met which allowed the Chief Executive and Chief Internal Auditor to sign the declaration confirming compliance.

Local Transport Capital Grant - Director of Regeneration

Grant Verification - Sample testing was able to evidence that the terms and conditions had been met which allowed the Chief Executive and Chief Internal Auditor to sign the declaration confirming compliance.

9.2023/24 Follow-up Audits to date (8th September 2023)

WhatsApp Usage - Director of Children's Families and Education

Original Exceptions Raised

Critical	High	Medium	Low
0	2	1	0

Follow Up Exception Position

Critical	High	Medium	Low
0	2	1	0

Original Assurance Level

Limited Assurance

Follow Up Assurance Level

Limited Assurance

The new implantation date is schedule to be completed by October 2023

Follow Up Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Limited Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	NAT
Reliability and Integrity of Data	NAT

The original audit highlighted two high and one medium risk exceptions. WhatsApp's permitted use was in exceptional circumstances only, as it is non-compliant with GDPR. Clear boundaries and restrictions were therefore set at the outset of its use. The original audit had found that the internal terms and conditions established to add a layer of protection to the authority has not been enacted and actions are required to rectify this position. At time of follow up testing discussions with senior management confirmed that actions had not progressed and therefore all exceptions remain open.

10. 2023/24 2nd Follow-up Audits to date (8th September 2023)

As raised during the July 2020 Governance & Audits & Standards meeting. Internal Audit has scheduled in 2nd follow-up reviews for all areas where a 1st review highlighted risk exposure/s still unmitigated. The audits below detail the position as at a 2nd review.

HIVE - Director of Culture, Leisure and Regulations

1st Follow-Up Exceptions Raised

Critical	High	Medium	Low
0	2	0	0

2nd Follow Up Exception Position

Critical	High	Medium	Low
0	2	0	0

1st Follow-Up Assurance Level

Limited Assurance

2nd Follow Up Assurance Level

Limited Assurance

2nd Follow Up Assurance Level by Scope Area

Achievement of Strategic Objectives	Limited Assurance
Compliance with Policies, Laws & Regulations	NAT
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	NAT
Reliability and Integrity of Data	NAT

First follow up testing had confirmed that the medium risk was closed and verified, and the two high risk exceptions were in progress in relation to the lack of current and legally executed Memorandum of Understanding and the lack of formal minutes for the partnership consultancy group . Second follow up testing confirmed that these two exceptions remain in progress. Although the risks are outstanding, it is audit's understanding that the actions to be taken are imminent.

Home to School Transport - Director of Regeneration
1st Follow-Up Exceptions Raised

Critical	High	Medium	Low
0	3	1	0

2nd Follow Up Exception Position

Critical	High	Medium	Low
0	1	1	0

1st Follow-Up Assurance Level

Limited Assurance

2nd Follow Up Assurance Level

Reasonable Assurance

2nd Follow Up Assurance Level by Scope Area

Achievement of Strategic Objectives	NAT
Compliance with Policies, Laws & Regulations	Reasonable Assurance
Safeguarding of Assets	NAT
Effectiveness and Efficiency of Operations	Reasonable Assurance
Reliability and Integrity of Data	NAT

A verbal update was provided in relation to this topic at the last committee meeting. The first follow up review confirmed that three high and one medium risk exception remained in progress. The second follow up confirmed that two high risk exceptions have been closed and verified and the remaining high and medium risk exceptions are in progress. During the second follow up review, Internal Audit liaised with the Home to School service regarding the open actions and are now in a position to move the assurance level to reasonable. This is however with the caveat that the service maintain consistency with the checks and balances that are now in place to mitigate the risk exposure previously highlighted. As there has been a history of decline in control arrangements, Internal Audit will audit the delivery of Home to School on a regular basis until the control arrangements have been verified as being sustained over time.

10. Exceptions

Of the 2023/24 full audits completed, 15 exceptions have been raised. *

Risk	Total
Critical Risk	0
High Risk	7
Medium Risk	7
Low Risk - Improvement	1

*These figures are excluding Portico and SLEP

Agenda Item 12



Title of meeting:	Governance and Audit and Standards Committee Cabinet City Council
Date of meeting:	Governance and Audit and Standards Committee 20 September 2023 Cabinet 3 October 2023 City Council 17 October 2023
Subject:	Treasury Management Outturn Report 2022/23
Report by:	Director of Finance and Resources (Section 151 Officer)
Wards affected:	All
Key decision:	No
Full Council decision:	Yes

1. Purpose of report

To inform members and the wider community of the Council's treasury management activities in 2022/23 and of the Council's treasury management position as of 31 March 2023.

2. Recommendations

It is recommended that the actual prudential and treasury management indicators based on the unaudited accounts, as shown in Appendix B, be noted (an explanation of the prudential and treasury management indicators is contained in Appendix C).

3. Background

The Local Government Act 2003 requires local authorities to have regard to the Chartered Institute of Public Finance and Accountancy's (CIPFA) Prudential Code for Capital Finance in Local Authorities. The Code requires local authorities to calculate prudential indicators before the start of and after each financial year. The CIPFA Code of Practice on Treasury Management also requires the S.151 Officer to prepare an annual report on the outturn of the previous year. This information is shown in Appendix A of the report.

4. Reasons for recommendations

The net cost of Treasury Management activities and the risks associated with those activities have a significant effect on the Council's overall finances. Consequently, in accordance with good governance, the S.151 Officer is required to report to the Council on those activities.

5. Integrated impact assessment

An integrated impact assessment is not required, as the recommendations do not directly impact on service or policy delivery. Any changes made arising from this report would be subject to investigation in their own right.

6. Legal implications

The S.151 Officer is required by the Local Government Act 1972 and by the Accounts and Audit Regulations 2015 to ensure that the Council's budgeting, financial management, and accounting practices meet the relevant statutory and professional requirements. Members must have regard to and be aware of the wider duties placed on the Council by various statutes governing the conduct of its financial affairs.

7. Director of Finance's comments

All financial considerations are contained within the body of the report and the attached appendices.

.....
Signed by: Director of Finance & Resources (Section 151 Officer)

Appendices:

- Appendix A: Treasury Management Outturn Report
- Appendix B: Prudential and Treasury Management Indicators
- Appendix C: Explanation of Prudential and Treasury Management Indicators

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
Information pertaining to the treasury management outturn	Financial Services

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

.....
Signed by:

APPENDIX A: TREASURY MANAGEMENT OUTTURN REPORT

1. Governance

Treasury management activities were performed within the Prudential Indicators approved by the City Council.

Treasury management activities are also governed by the Treasury Management Policy Statement, Annual Minimum Revenue Provision for Debt Repayment Statement and Annual Investment Strategy approved by the City Council.

2. Combined Borrowing and Investment Position (Net Debt)

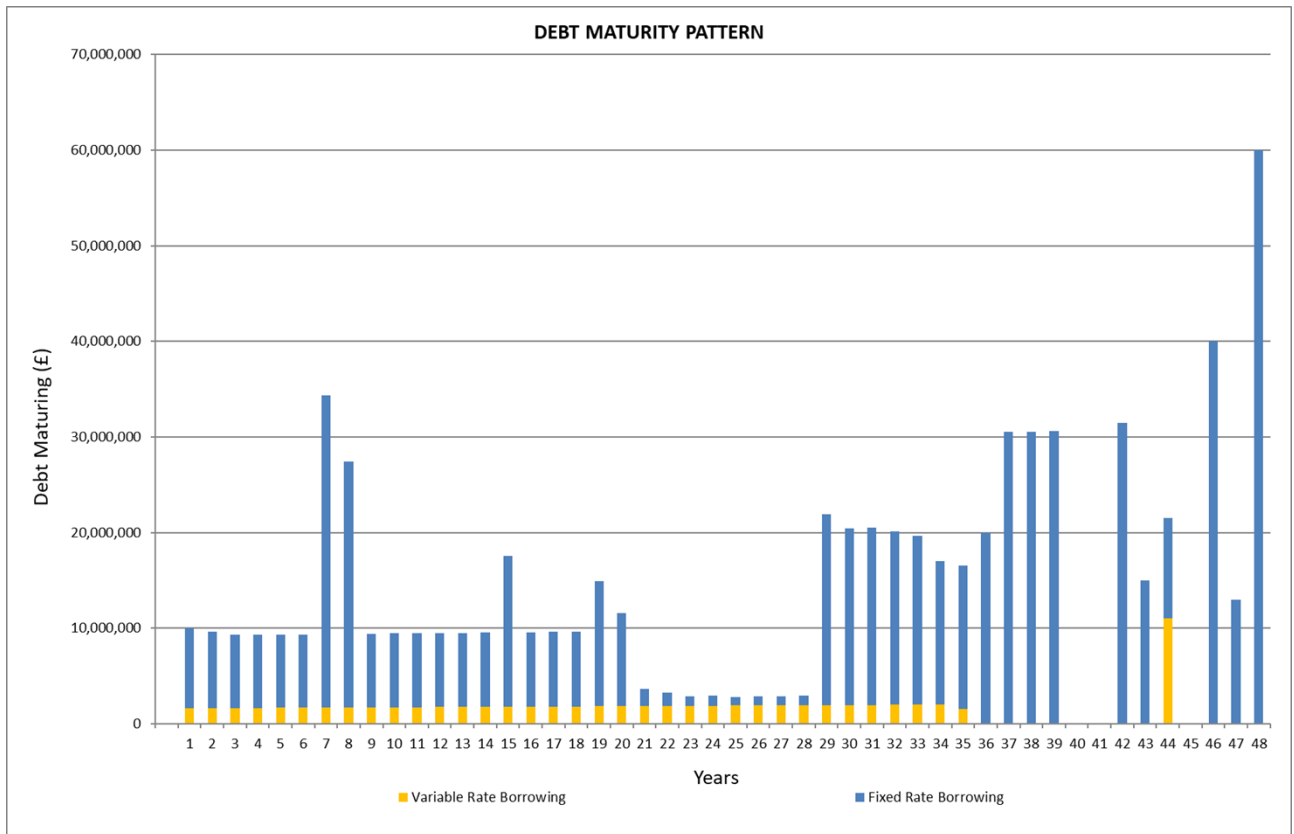
On 31 March 2023, the Council had gross debt including finance leases and private finance initiative (PFI) schemes of £747m and gross investments of £404m giving rise to a net debt of £343m. Major components of the Council's gross investments of £404m are made up of general and earmarked reserves of £241m and capital grants received in advance of capital expenditure of £123m.

3. Borrowing Activity

During 2022/23, no new borrowing was undertaken as the Council maintained an under-borrowed position. This meant that the Council's underlying need to borrow (the Capital Financing Requirement), which was £882m on 31 March 2023, was not fully funded with loan debt, the Council's actual gross debt being £747m at this date. Internal borrowing, from cash supporting the Council's reserves, balances and cash flow, was used as an interim measure to meet this shortfall of £135m. This strategy was prudent as investment returns were initially low and minimising counterparty risk on placing investments also needed to be considered.

Debt rescheduling opportunities have been limited in the current economic climate as the average 1% differential between PWLB new borrowing rates and premature repayment rates made rescheduling unviable. Therefore, no debt rescheduling was undertaken during 2022/23.

The Council's gross debt on 31 March 2023 of £747m is within the Council's authorised limit (the maximum amount of borrowing permitted by the Council) of £937m and the Council's operational boundary (the maximum amount of borrowing that is expected) of £906m. The Council aims to have a reasonably even maturity profile so that the Council does not have to replace a large amount of borrowing in any particular year when interest rates might be high. The maturity profile of the Council's borrowing (see graph below) is within the limits contained in the Council's Treasury Management Policy.



4. Investment Activity

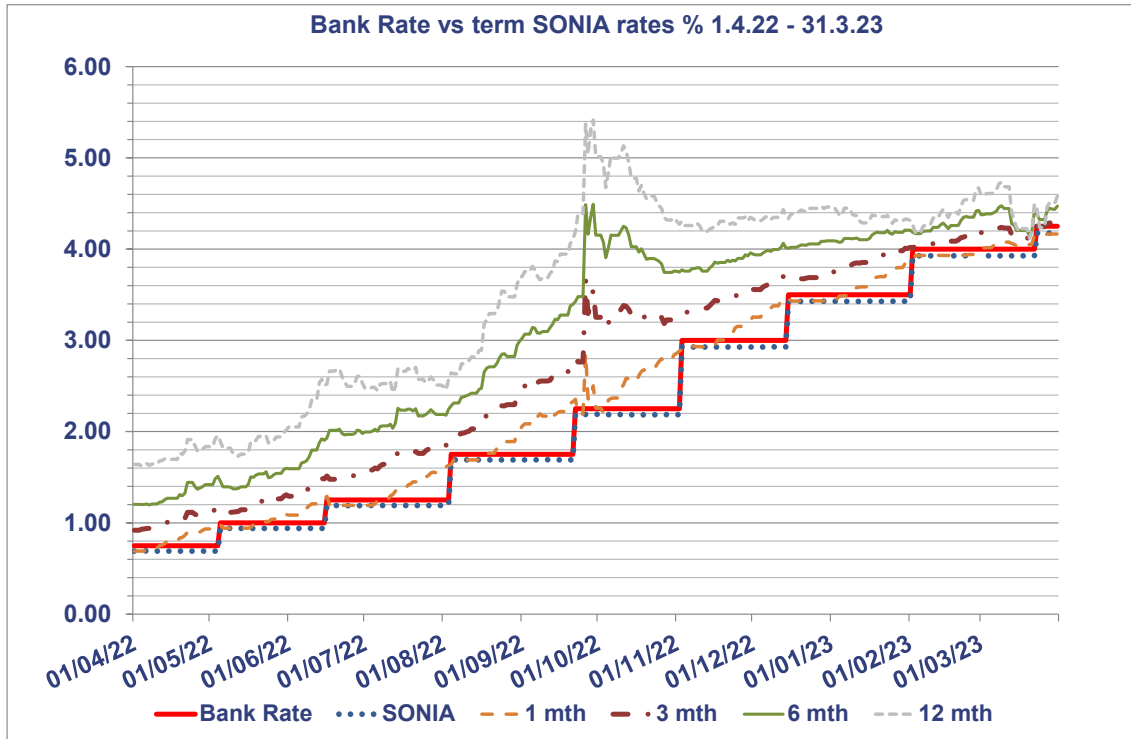
Investment returns rose steadily for much of 2022/23 at a faster rate and to higher levels than forecast. The expectation for interest rates within the treasury management strategy for 2022/23 was that the Bank Rate would increase from an initial rate of 0.25% to 0.50% in quarter 2 of 2022 and to 0.75% by the first quarter of 2023. This was considered sufficient to bring inflation levels back to the MPC's 2% target after a spike expected to peak at around 5%.

However, greater increases came about as central banks, including the Bank of England, realised that inflationary pressures were not transitory and tighter monetary policy was needed as a result. Through the autumn and then in March 2023, the Bank of England maintained various monetary easing measures as required to ensure that specific markets, the banking system and the economy had appropriate levels of liquidity at times of stress. For local authorities with sufficient cash balances, this sea-change in investment rates emphasised the need for an appropriate balance to be achieved between maintaining cash for liquidity purposes and securing investments on a rolling basis to lock in the higher investment rates as they became available.

Whilst the Bank of England base rate started the 2022/23 financial year slightly higher than expected at 0.75%, persistently high inflation levels led to further increases in the Bank Rate of between 0.25% and 0.75% in 8 out of the following 12 months, to bring the base rate to 4.25% by the end of March 2023. At this time, the CPI measure of inflation was still above 10% in the UK but is expected to fall during 2023/24.

The change in the Bank Rate in the year can be seen in the graph below, together with the effect on inter-bank lending rates.

Investment Benchmarking Data – Sterling Overnight Index Averages (Term) 2022/23



While the Council has taken a cautious approach to investing, it is also fully appreciative of changes to regulatory requirements for financial institutions in terms of additional capital and liquidity that came about in the aftermath of the budgetary crisis. These requirements have provided a far stronger basis for financial institutions, with annual stress tests by regulators evidencing how institutions are now far more able to cope with extreme stressed market and economic conditions.

Investment balances have been kept to a minimum through the agreed strategy of using reserves and balances to support internal borrowing, rather than borrowing externally from the financial markets. External borrowing would have incurred an additional cost, due to the differential between higher borrowing costs and lower investment returns for much of the year as illustrated in the graph above and table below. As this differential has reduced, the Council has sought to avoid taking on long-term borrowing at the elevated levels available and has focused on internal borrowing. Such an approach has also provided benefits in terms of reducing counterparty risk exposure, by having fewer investments placed in the financial markets.

The Council's investments averaged £445m during 2022/23. As of 31 March 2023, the Council had, £404m invested. The investment activities in the year conformed to the approved strategy, with the Council having no liquidity difficulties. The performance of the investment portfolio is summarized in the tables below.

Year	Overall Return
2020/2021	0.99%
2021/2022	0.31%
2022/2023	1.42%

	Average Value (Proportion) of Portfolio	Return to December 2022	Return to March 2023
Externally Managed Funds - Tradable Instruments	£12M (3%)	-12.09%	-6.52%
Tradable Structured Interest-Bearing Deposit	£20M (4%)	0.36%	-0.1%
Vanilla Interest Bearing Deposits	£413M (93%)	1.31%	1.72%
Overall Return	100%	0.91%	1.42%

There was a notable improvement in the overall performance of the portfolio in the last quarter of 2022/23. This was due to the bulk of the investment portfolio, 93%, being invested in vanilla interest-bearing deposits that have generated an average return of 1.72% through 2022/23.

This higher return was partly offset by a decline in the market value of externally managed funds consisting of tradable instruments such as corporate bonds which make up 3% of the portfolio. This fall in the market value of existing tradable instruments is driven by the increase in current interest rates. When a tradable instrument is paying interest at a rate below current market rates, its reduced market value reflects its actual value at the point at which it is traded. However, if a tradable instrument is not traded but is held to maturity, then its value will still remain equal to the original principal sum invested plus accrued interest.

The Council also has £20m invested in tradable structured interest-bearing notes. One £10m note, maturing on 07 June 2023, pays SONIA¹ (ranging from a low of 0.69% during April 2022 to a high of 4.18% on 31 March 2023) plus 0.12% with a floor of 1.65% and a cap of 3.50%. This note has paid between 1.65% and 3.50% during the year as SONIA has increased. This was a good rate when the note was purchased in June 2018. The other two tradable notes are £5m each, invested until December 2024, at fixed interest rates of 3.76% and 3.82%. These tradable structured interest-bearing notes make up the remaining 4% of the investment portfolio.

24% of the investment portfolio matures in the first quarter of 2023/24, providing an opportunity to re-invest any surplus funds at the higher rates available at the time.

¹SONIA stands for Sterling Overnight Index Average Rate - it is the average of the interest rates that banks pay to borrow overnight from other financial institutions and acts as an important benchmark.

5. Revenue Costs of Treasury Management Activities in 2022/23

Expenditure on treasury management activities in both the General Fund and the HRA against the revised budget is shown below.

	Revised Estimate	Actual	Variance
	2022/23 £000	2022/23 £000	+/- £000
Interest Payable:			
PWLB	18,971	18,971	-
Other Long-Term Loans	1,279	1,370	91
HCC Transferred Debt	422	436	14
Interest on Finance Lease	191	189	(2)
Interest on Service Concession Arrangements (including PFIs)	4,622	4,647	25
Interest Payable to External Organisations	108	151	43
Premiums and Discounts on Early Redemption of Debt	101	101	-
	25,694	25,865	171
Deduct			
Investment Income:			
Interest on Investments	(5,397)	(6,298)	(901)
Other interest receivable	(1,571)	(1,660)	(89)
	18,726	17,907	(819)
Provision for Repayment of Debt	9,934	10,354	420
Debt Management Costs	619	662	43
	29,279	28,923	(356)

Interest on investments was £901,000 higher than the budget due to the higher returns available on surplus cash invested in the latter part of the year. This was partly offset by a small increase in interest payable compared to the budget of £171,000 due to a higher rate of interest being applied to some of the Council's borrowing and on balances held for certain external bodies.

The provision for the repayment of debt was £420,000 higher than the budget. This was largely due to additional provision having to be made because of decreases in the market value of some investment properties. However, the market value of the

investment property portfolio has increased when compared to the original purchase price of these properties.

Overall net treasury management costs were £356,000 below the revised budget.

APPENDIX B - Prudential and Treasury Management Indicators

1. Capital financing requirement	Original Estimate	Revised Estimate	Actual
	£'000	£'000	£'000
General Fund	735,647	645,488	628,218
Housing Revenue Account (HRA)	259,214	260,213	253,818
Total	994,861	905,701	882,036

2. Authorised Limit	Original Limit	Revised Limit	Actual
	£'000	£'000	£'000
Long Term Borrowing	962,550	891,429	701,229
Other Long Term Liabilities	46,032	46,032	46,032
Total	1,008,583	937,461	747,261

3. Operational Boundary	Original Limit	Revised Limit	Actual
	£'000	£'000	£'000
Long Term Borrowing	948,829	859,669	701,229
Other Long Term Liabilities	46,032	46,032	46,032
Total	994,861	905,701	747,261

4. Ratio of financing costs to net revenue stream	Original Estimate	Revised Estimate	Actual
General Fund	17.4%	14.5%	12.0%
Housing Revenue Account (HRA)	7.6%	5.9%	6.0%

5. Maturity Structure of Fixed Rate Borrowing	Lower Limit	Upper Limit	Actual
Under 12 months	0%	10%	1%
12 months and within 24 months	0%	10%	1%
24 months and within 5 years	0%	10%	4%
5 years and within 10 years	0%	20%	13%
10 years and within 20 years	0%	30%	15%
20 years and within 30 years	0%	40%	8%
30 years and within 40 years	0%	40%	31%
Over 40 years	0%	40%	27%

6. Maturity Structure of Variable Rate Borrowing	Lower Limit	Upper Limit	Actual
Under 12 months	0%	10%	2%
12 months and within 24 months	0%	10%	2%
24 months and within 5 years	0%	10%	7%
5 years and within 10 years	0%	20%	11%
10 years and within 20 years	0%	30%	24%
20 years and within 30 years	0%	30%	26%
30 years and within 40 years	0%	30%	13%
Over 40 years	0%	30%	15%

7. Principal sums invested over 365 days	Original Limit	Revised Limit	Actual
	£'000	£'000	£'000
Maturing after 31/3/2024	50,000	130,000	14,000
Maturing after 31/3/2025	50,000	50,000	7,700
Maturing after 31/3/2026	-	50,000	4,800

APPENDIX C - Explanation of Prudential and Treasury Management Indicators

1. Actual Capital Financing Requirement

This represents the underlying requirement to borrow for capital expenditure. It takes the total value of the City Council's fixed assets and determines the amount that has yet to be repaid or provided for within the Council's accounts.

The capital financing requirement is increased each year by any new borrowing and reduced by any provision for the repayment of debt. Broadly, the higher the capital financing requirement, the higher the amount that is required to be set aside for the repayment of debt in the following year.

2. Authorised Limit

The authorised limit for external debt is the maximum amount of debt which the authority may legally have outstanding at any time. The authorised limit includes headroom to enable the Council to take advantage of unexpected movements in interest rates and to accommodate any short-term debt or unusual cash movements that could arise during the year.

3. Operational Boundary

The Operational Boundary is based on the probable external debt during the year. It is not a limit but acts as a warning mechanism to prevent the authorised limit (above) being breached.

4. Ratio of financing costs to net revenue stream

This ratio reflects the annual cost of financing net debt as a proportion of the total revenue financing received. It therefore represents the proportion of the City Council's expenditure that is largely fixed and committed to repaying debt. The higher the ratio, the lower the flexibility there is to shift resources to priority areas and/or reduce expenditure to meet funding shortfalls.

For the General Fund, this is the annual cost of financing debt as a proportion of total income received from General Government Grants, Non-Domestic Rates and Council Tax.

The ratio of Housing Revenue Account (HRA) financing costs to net revenue stream is the annual cost of financing capital expenditure, as a proportion of total gross income received including housing rents and charges.

5. Maturity Structure of Fixed Rate Borrowing

The Council aims to have a reasonably even debt maturity profile so that it is not unduly exposed to refinancing risk in any particular year when interest rates may be high. The maturity structure of fixed rate borrowing matters less in future years as inflation will reduce the real value of the sums to be repaid.

6. Maturity Structure of Variable Rate Borrowing

Variable rate borrowing could expose the Council to budgetary pressure if the interest rates increase. The maturity structure of variable rate borrowing matters less in future years as inflation will reduce the real value of the liability.

7. Principal Sums Invested over 365 Days

Investing long term at fixed rates provides certainty of income and reduces the risk of interest rates falling.

Agenda Item 13



Title of meeting:	Governance and Audit and Standards Committee
Date of meeting:	20 September 2023
Subject:	Treasury Management Monitoring Report for the First Quarter of 2023/24
Report by:	Chris Ward, Director of Finance and Resources (Section 151 Officer)
Wards affected:	All
Key decision:	No
Full Council decision:	No

1. Executive Summary

This report outlines the Council's performance against the treasury management indicators approved by the City Council on 14th March 2023.

2. Purpose of report

The purpose of the report is to inform members and the wider community of the Council's Treasury Management position, i.e., its borrowing and cash investments as of 30th June 2023 and of the risks attached to that position.

Whilst the Council has a portfolio of investment properties and some equity shares which were acquired through the capital programme; these do not in themselves form part of the treasury management function.

3. Recommendations

It is recommended that the following be noted:

3.1 That the Council's Treasury Management activities have remained within the Treasury Management Policy 2023/24 in the period up to 30th June 2023.

3.2 That the actual Treasury Management indicators as of 30th June 2023 set out in Appendix A be noted.

4. Background

The Council's treasury management operations encompass the following:

- Cash flow forecasting (both daily balances and longer-term forecasting)
- Investing short term surplus cash flows in approved cash investments
- Borrowing to finance short term cash deficits and capital payments
- Management of debt (including rescheduling and ensuring an even maturity profile)

The key risks associated with the Council's treasury management operations are:

- Credit risk - that the Council is not repaid, with due interest in full, on the day repayment is due
- Liquidity risk - that cash will not be available when it is needed, or that the ineffective management of liquidity creates additional, unbudgeted costs
- Interest rate risk - that the Council fails to get good value for its cash dealings (both when borrowing and investing) and the risk that interest costs incurred are more than those for which the Council has budgeted
- Maturity (or refinancing risk) - this relates to the Council's borrowing or capital financing activities, and is the risk that the Council is unable to repay or replace its maturing funding arrangements on appropriate terms
- Procedures (or systems) risk - that a treasury process, human or otherwise, will fail and planned actions are not carried out through fraud or error

The treasury management budget accounts for a significant proportion of the Council's overall budget.

The Council's Treasury Management Policy aims to manage risk whilst optimising costs and returns. The Council monitors and measures its treasury management position against the indicators described in this report. Treasury management monitoring reports are brought to the Governance and Audit and Standards Committee for scrutiny.

The Governance and Audit and Standards Committee noted the recommendations to Council contained within the Treasury Management Policy 2023/24 on 8th March 2023. The City Council approved the Treasury Management Policy 2023/24 on 14th March 2023.

5. Reasons for Recommendations

To highlight any variance from the approved Treasury Management Policy and to note any subsequent actions.

To provide assurance that the Council's treasury management activities are effectively managed.

6. Integrated Impact Assessment

An integrated impact assessment is not required as the recommendations do not directly impact on service or policy delivery. Any changes made arising from this report would be subject to investigation in their own right.

7. Legal Comments

The Section 151 Officer is required by the Local Government Act 1972 and by the Accounts and Audit Regulations 2015 to ensure that the Council’s budgeting, financial management, and accounting practices meet the relevant statutory and professional requirements. Members must have regard to and be aware of the wider duties placed on the Council by various statutes governing the conduct of its financial affairs.

8. Director of Finance and Resources Comments

All financial considerations are contained within the body of the report and the attached appendices.

.....
Signed by Director of Finance and Resources (Section 151 Officer)

Appendices:

Appendix A: Treasury Management Monitoring Report for the First Quarter of 2023/24

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:

<u>Title of document</u>	Location
1 Treasury Management Records	Financial Services

APPENDIX A: TREASURY MANAGEMENT MONITORING REPORT FOR THE FIRST QUARTER OF 2023/24

A1. SUMMARY OF TREASURY MANAGEMENT INDICTORS

The City Council approved the authorised limit (the maximum amount of borrowing permitted by the Council) and the operational boundary (the maximum amount of borrowing that is expected) when it considered the budget on 28th February 2023. The Council's debt on 30th June was as follows:

Prudential Indicator	Limit £m	Actual £m
Authorised Limit - the maximum amount of borrowing permitted by the Council	1,100	743
Operational Boundary - the maximum amount of borrowing that is expected	1,068	743

The maturity structure of the Council's fixed rate borrowing was:

	Under 1 Year	1 to 2 Years	3 to 5 Years	6 to 10 Years	11 to 20 Years	21 to 30 Years	31 to 40 Years	41 to 50 Years
Minimum proportion of loans maturing	0%	0%	0%	0%	0%	0%	0%	0%
Maximum proportion of loans maturing	10%	10%	10%	20%	30%	40%	40%	40%
Actual proportion of loans maturing	1%	1%	4%	13%	15%	8%	31%	27%

The maturity structure of the Council’s variable rate borrowing was:

	Under 1 Year	1 to 2 Years	3 to 5 Years	6 to 10 Years	11 to 20 Years	21 to 30 Years	31 to 40 Years	41 to 50 Years
Minimum proportion of loans maturing	0%	0%	0%	0%	0%	0%	0%	0%
Maximum proportion of loans maturing	10%	10%	20%	20%	30%	40%	40%	40%
Actual proportion of loans maturing	2%	2%	7%	11%	24%	26%	13%	15%

Surplus cash invested for periods longer than 365 days on 30 June 2023 was:

	Limit	Quarter 1 Actual
	£m	£m
Maturing after 31/3/2024	130	14
Maturing after 31/3/2025	50	8
Maturing after 31/3/2026	50	5

A2. GOVERNANCE

The Treasury Management Policy approved by the City Council on 14th March 2023 provides the framework within which treasury management activities are undertaken.

There have been no breaches of these policies during 2023/24 up to the quarter ending 30th June 2023.

A3. INTEREST RATE FORECASTS

The Council has appointed Link Group as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates.

The latest forecasts are shown below.

Link Group Interest Rate View 26.06.23													
	Jun-23	Sep-23	Dec-23	Mar-24	Jun-24	Sep-24	Dec-24	Mar-25	Jun-25	Sep-25	Dec-25	Mar-26	Jun-26
BANK RATE	5.00	5.50	5.50	5.50	5.25	4.75	4.25	3.75	3.25	2.75	2.75	2.50	2.50
3 month ave earnings	5.30	5.60	5.50	5.30	5.00	4.50	4.00	3.50	3.00	2.70	2.60	2.50	2.50
6 month ave earnings	5.80	5.90	5.70	5.50	5.10	4.60	4.00	3.50	3.00	2.70	2.60	2.60	2.60
12 month ave earnings	6.30	6.20	6.00	5.70	5.30	4.80	4.10	3.60	3.10	2.80	2.70	2.70	2.70
5 yr PWLB	5.50	5.60	5.30	5.10	4.80	4.50	4.20	3.90	3.60	3.40	3.30	3.30	3.20
10 yr PWLB	5.10	5.20	5.00	4.90	4.70	4.40	4.20	3.90	3.70	3.50	3.50	3.50	3.40
25 yr PWLB	5.30	5.40	5.20	5.10	4.90	4.70	4.50	4.20	4.00	3.90	3.80	3.80	3.70
50 yr PWLB	5.00	5.10	5.00	4.90	4.70	4.50	4.30	4.00	3.80	3.60	3.60	3.50	3.50

PWLB is the Public Works Loans Board

The Bank of England base rate started the quarter at 4.25% but this was followed by a 0.25% increase in May and a further 0.5% increase on 22 June 2023 taking the rate to 5.0%.

Since this quarter has ended the Bank of England's Monetary Policy Committee (MPC) has increased the Bank Rate by a further 25 basis points to 5.25%.

Link's central forecast for interest rates was most recently updated on 26th June 2023 and despite the Bank Rate increase in August, these forecasts have not been changed. The forecasts reflect the view that short and long-dated interest rates will be elevated for some while, as the Bank of England seeks to reduce inflation, against a backdrop of a tight labour market and rising average earnings.

The expectation is that rates will be raised to at least 5.5% in the short-term and this rate may be maintained until mid-2024. Link anticipate this will weaken the UK economy sufficiently to push it into recession, however, the markets are currently pricing in a slightly higher base rate peak of between 6% and 6.25%.

A4. BORROWING ACTIVITY

No borrowing was undertaken in the first quarter of 2023/24.

The Council's gross borrowing on 30th June 2023 of £743m is within the Council's Authorised Limit (the maximum amount of borrowing approved by City Council) of £1,100m and within the Council's Operational Boundary (the limit beyond which borrowing is not expected to exceed) of £1,068m.

The Council plans for gross borrowing to have a reasonably even maturity profile. This is to ensure that the Council does not need to replace large amounts of maturing borrowing when interest rates could be unfavourable.

The actual maturity profile of the Council's borrowing is within the limits contained within the Council's Treasury Management Policy (see paragraph A1).

Early Redemption of Borrowing

No debt rescheduling or early repayment of debt has been undertaken during the first quarter of 2023/24 as it has not been financially advantageous for the Council to do so.

A5. INVESTMENT ACTIVITY

In accordance with the Annual Investment Strategy which forms part of the Treasury Management Policy Statement approved by the Council on 14 March 2023, the investment priorities of security first, portfolio liquidity second and then yield are followed. The aim is to achieve the optimum yield that is commensurate with proper levels of security and liquidity within the Council's appetite for risk.

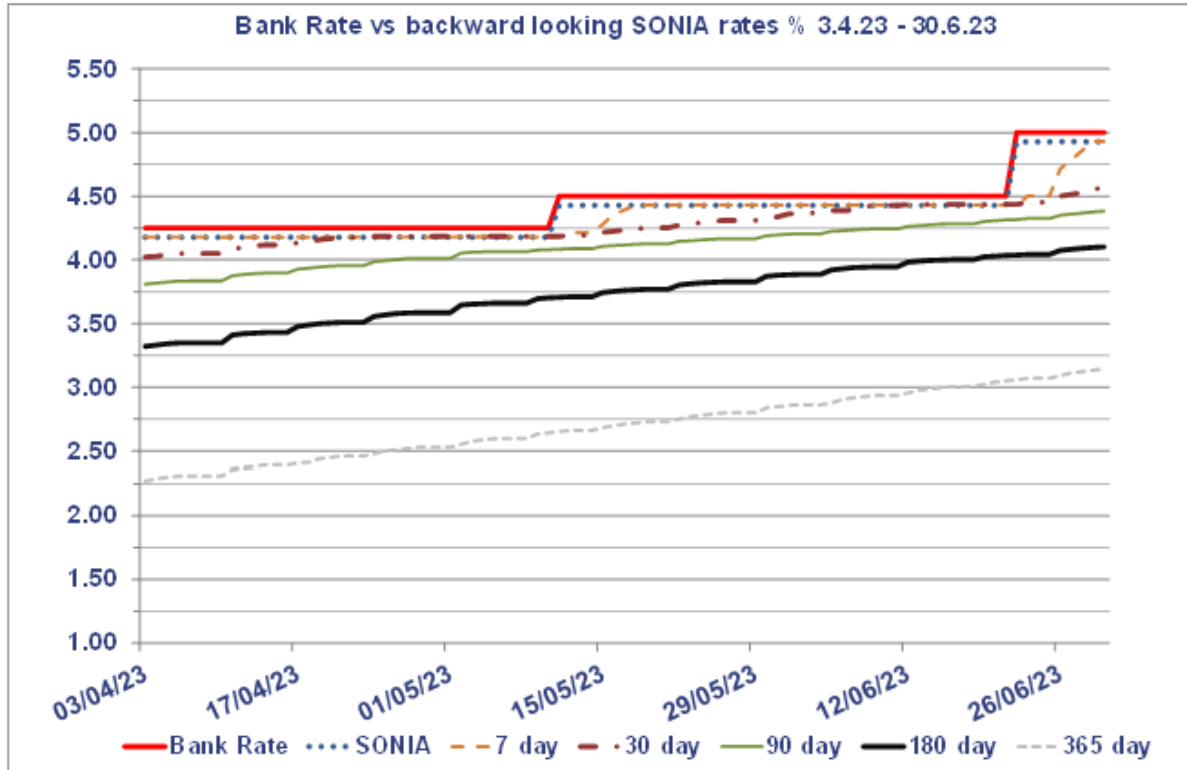
In the current climate, once sufficient investments are kept short-term to cover cashflow requirements, there is a benefit to seek out value available in periods up to 12 months with highly creditworthy counterparties. These counterparties are monitored regularly to ensure that they continue to meet the Council's minimum requirements and there have been few changes to counterparties during the current quarter.

The average level of funds available for investments was £415m in the 3 months to 30th June 2023. The funds invested made an average annualised return of 3.75% in the quarter. This is compared with the performance in prior years in the table below.

Year	Overall Return
2021/22	0.31%
2022/23	1.42%
2023/24 (to 30 th June)	3.53%

	Average Value (Proportion) of Portfolio	Annual Return at 31 March 2023	Annualised Return at 30 June 2023
Externally Managed Funds - Tradable Instruments	£11M (3%)	-6.52%	-8.15%
Tradable Structured Interest-Bearing Deposit	£20M (5%)	-0.1%	2.6%
Vanilla Interest Bearing Deposits	£384M (92%)	1.72%	4.15%
Overall Return	100%	1.42%	3.75%

The above returns can be compared to the backward-looking rates in the graph below which reflects where average market rates were positioned when investments were placed.



As market interest rates have increased over the period, the returns achieved on the Council's 'Vanilla Interest Bearing Deposits' have also followed a steady upward trend in the first quarter of 2023/24.

With the increases in the base rate, new investments made at the start of this financial year have had higher returns, and this has helped to increase the overall rate of return on the Council's investments. This is expected to continue as more of the Council's investments, which were made when interest rates were lower, reach maturity and any surplus funds can be reinvested at current rates, subject to considerations around the security and liquidity of the funds.

However, when interest rates are increasing, the returns on long-term managed funds and tradable structured notes often move in the opposite direction. This is shown by a fall in the return on the externally managed funds held by the Council. This is due to the investments trading at a discount below their face value in the period as the investments were made when rates were lower than they are at present. This is partly offset by a positive return overall on the tradable structured notes in this quarter. This has arisen due to one of these notes (£10m), maturing in June and the return being realised. For the whole of this first quarter this note has paid interest at 3.5%, which was a good rate when the note was originally purchased in June 2018.

A6. COMBINED BORROWING AND INVESTMENT POSITION (NET DEBT)

The Councils net debt position on 30th June 2023 is summarised in the table below.

	Principal	Average Interest Rate	Interest to 30th June 2023
Borrowing (including finance leases & private finance initiative (PFI) schemes)	£743m	3.45%	£6.41m
Investments	(£390m)*	(3.75%)	(£3.9m)
Net Debt	£353m		£2.51m

*Although the Council's investments were £390m on 30th June 2023, the average sum invested over this period was £415m.

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Agenda Item 15

THIS ITEM IS FOR INFORMATION ONLY

(Please note that "Information Only" reports do not require Integrated Impact Assessments, Legal or Finance Comments as no decision is being taken)



Portsmouth
CITY COUNCIL

Title of meeting:	Governance & Audit & Standards Committee
Subject:	Procurement Management Information
Date of meeting:	20 th September 2023
Report by:	Richard Lock - Assistant Director, Procurement
Wards affected:	N/A

1. Requested by

Governance & Audit & Standards Committee.

2. Purpose

To provide procurement performance reports and supporting evidence to the committee in order that the committee may assess the council's performance in procuring contracts for goods, works and services on a legally compliant, value for money basis.

To update the committee on progress developing procurement performance reporting.

3. Information Requested

Performance Monitoring Elements & Base Line Data Reports

The report covers 3 key performance monitoring elements:

- Spend compliance
- Contract award via waiver
- Contract management performance monitoring

At the request of the Committee at the meeting held on 24th July 2020 the base line data used to calculate the summary figures included within this report is included as the following exempt appendixes:

- EXEMPT - G&A&S - Procurement MI - App 1 Spend Compliance Q1 Apr - Jun 23
- EXEMPT - G&A&S - Procurement MI - App 2 Waivers Q1 Apr - Jun 23
- EXEMPT - G&A&S - Procurement MI - App 3 Contract KPIs Q1 Apr - Jun 23

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



Performance Comparison & Reports Development

The report provides, where possible, a performance comparison to the performance statistics provided within the last report which was taken to the committee on 8th March 2023.

However, as Procurement are working to develop the reports in order to provide a more complete, accurate and relevant assessment of performance, this will have some impact on the granularity of comparison that can be achieved at present.

In order to provide a comparison of performance over consistent time periods the reports now cover the latest financial year quarter. The procurement reports will be presented to committee on a bi-annual basis to ensure that a full quarter of performance can be reported on a consistent basis.

This report covers Q1 performance which covers the time period 1st April - 30th June 2023. It is envisaged that the next report will cover Q3 which will cover time period 1st October 2023 - 31st December 2023 and will be presented to committee when it meets in early 2024 prior to the next pre-election period.

All performance element reports now cover a full quarter in order to provide a more detailed and consistent position on performance. Previously Section 1 Spend Compliance report only considered 1 month of spend data.

As detailed under each section of this report there have been significant developments in respect of each of the reports which can be summarised as follows:

- Section 1 Spend Compliance - Now covers full quarter of spend data and provides an analysis of spend across all systems rather than just spend via Oracle FUSION. The exempt appendix now also includes for transactions processed via systems other than Oracle FUSION
- Section 2 Waivers - Now includes for information on contracts which have been subject to previous cumulative waiver approvals, which when assessed in totality exceed £100k, rather than just individual waiver instances which individually exceed £100k as was previously reported
- Section 3 Contract KPIs - Subject to significant changes following the disbanding of the old KPI In-tend monitoring system and implementation of the new simplified flexible KPI In-tend monitoring system

Exempt Information

Where detail is required by the committee the Procurement Manager will provide this during the committee meeting, however where questions relate to detail included within the exempt appendices responses cannot be provided whilst the public live streaming is in operation.

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SECTION 1 - SPEND COMPLIANCE

Introduction

The table on the following page provides a comparison of spend compliance from the last report taken to Committee which covered spend in January 2023 to the latest whole financial year quarter spend information covering 1st April - 30th June 2023.

Context & Current Process

The Local Government Transparency Code (2015) requires that all contracts with a lifetime value that exceeds £5,000 are published to an area of the council's website which is freely accessible to the public.

The Council monitors and ensures compliance by requiring every purchase order raised through Oracle FUSION with a distribution value of £5,000 or above is linked to a contract entry which has been raised and published on the Council's In-tend systems publicly accessible contracts register.

Further to the Code requirements, the Council is also required under Public Contracts Regulations (2015) to publish summary information on awarded contracts to the national Contracts Finder system for all contracts with a lifetime value of £30,000 or more.

Spend compliance is measured by reporting on spend which has been directly linked to an In-tend contract entry in the case of spend processed entirely via Oracle FUSION. Compliance for spend processed via other systems is measured through manually cross-referencing transactions against entries on the In-tend contracts register where possible.

It should be noted that 'compliance' in respect of this section of the report is concerned only with meeting the requirements of the Local Government Transparency Code (2015) and the performance of the financial controls put in place by the council. Performance in respect of broader compliance with wider procurement legislation and the council's own Contract Procedure Rules is covered within Section 2 of this report.

Report Development Status & Future Development Proposals

As per the last report taken to Committee procurement are now able to report on spend transacted via all systems rather than just payments made via Oracle FUSION, These additional systems include for:

- MOSAIC - Children's Social Care spend
- CONTROCC - Adult Social care spend
- SystemsLink - Utilities spend (Gas, Electricity, Phone, etc.)
- Scala - Port spend

Since the last Committee meeting financial controls on above £5k spend processed via Scala have been developed. Work has also progressed in respect of analysis of spend processed via CONTROCC, which is already leading to improvements in compliance

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levels. As stated, these controls are not currently automated so further work will be required to develop and implement processes which will ensure that contract entries are always raised promptly at commencement of contract rather than at point of check.

Spend and compliance statistics in respect of the majority of the systems the council uses to process financial transaction is included within this report. However, it should be noted that protocols for analysis of spend via other systems need to be developed and as such some of the analysis and associated statistics are based upon assumptions that may require further testing.

Two other systems / purchasing routes are not yet included for within the spend report, which are:

- CHAPS - used to process PFI payments to partner highways maintenance contractor, although procurement can confirm that a contract entry for the Highways PFI is registered and published on the In-tend system
- Purchasing Cards - used typically for lower value transactions as per Council policy, as such very unlikely that individual transactions will be above £5k unless in exceptional circumstances

Whilst full automated compliance reporting cannot be achieved across all systems, there is not considered to be a high risk that after further analysis there will be many instances of higher value / risk non-compliance with procurement regulations as:

- Procurement can provide assurance that all utilities contracts which SystemsLink transactions relate have been compliantly procured
- Higher value transactions processed via CONTROCC for adult social care services, via MOSAIC for children's social care services and via SCALA for Port transactions should be able to be tracked back to approved contracts through application of the Council's Procurement Gateway Process which at the time of the first quarter applied to all contracts with a lifetime value of over £100,000 (*on 1st July 2023 the council launched its new Contract Procedure Rules which has increased this threshold to £150,000*)
- Payments made to builders for works undertaken for private sector residents for disabled facilities grants, warm homes funding, etc. are generally not covered within the scope of the procurement regulations
- Funding transfers in respect of health and education requirements, for instance, to other public sector contracting authorities are not generally covered within the scope of the procurement regulations, and where they are generally would be of low risk due to a lack of practical supply options

Q1 (Apr-Jun 23) Analysis

The detailed report taken from Oracle FUSION is included as exempt 'Appendix 1 - Spend Compliance Q1 Apr-Jun 23'. This report shows the compliance figures overall, by service and by sub-service area.

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A summary of the analysis undertaken by service area is included within the data following table. A target of 95% compliance overall and by service area in respect of transactions processed entirely via Oracle has been set previously by the Committee.

Performance can be summarised as follows:

- Total spend via all systems for Q1 Apr - Jun 23 for financial transactions which exceed £5k equated to £73,610,724.45.
- Of this spend financial transactions equating to £60,081,792.25 / 81.6% can be traced back to a corresponding contract entry on the In-tend system, which is a significant improvement upon performance last reported to committee in March 2023 which equated to 76.7%
- Of the total Q1 spend £38,668,346.60 / 52.5% was processed entirely via Oracle FUSION and therefore subject to the automated controls implemented by the council
- £38,420,269.64 / 99.4% of transactions processed entirely via Oracle FUSION were linked to corresponding In-tend contract entries. This is the highest compliance figure reported to committee to date, exceeding the 95% target and improving upon the 99.3% figure reported to committee in March
- When spend is broken down on a directorate by directorate basis the figure for each directorate significantly exceed the 95% target

Spend Compliance Comparison - Jan 23 vs Q1 Apr - Jun 23

1. Spend Processed Entirely Via Oracle FUSION

Key

- NC - Non-compliant
- C - Compliant

Directorate	Jan 23			Q1 Apr - Jun 23		
	Total £	NC £	C %	Total £	NC £	C %
Adult Services	£766,513.18	£9,352.57	98.8%	£1,786,603.43	£2,009.55	99.9%
Children Families & Education	£800,957.76	£1,995.75	99.8%	£2,455,153.54	£1,442.34	99.9%
Corporate Services	£212,542.15	£787.58	99.6%	*£2,265,236.24	£2,727.50	99.9%

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Culture Leisure & Regulatory Services	£235,494.13	£11,984.18	94.9%	£1,083,428.78	£856.93	99.9%
Executive	£89,121.62	£0.00	100%	£525,178.81	£4,839.74	99.1%
Finance	£1,994,835.07	£2,165.15	99.9%	£6,346,133.83	£28,500.00	99.6%
Housing Neighbourhood & Building Services	£7,732,014.81	£1,424.46	98.98%	£8,694,672.77	£6,033.07	99.9%
Public Health	£477,761.65	£309.00	99.9%	£1,291,633.42	£1,115.40	99.9%
Regeneration	£6,229,665.03	£6,408.71	99.9%	£14,219,448.85	£200,552.43	98.6%
TOTAL	£18,538,905.40	£136,294.52	99.3%	£38,668,346.60	£248,076.96	99.4%

*The £2,265,236.24 coded to Corporate Services does not appear to be correct as upon review of the purchase order descriptions and suppliers appear link to activities which are more likely to have been commissioned by Regeneration and Housing, Neighbourhoods & Buildings. This will be further investigated and raised with Finance if necessary.

2. Spend Processed Entirely or Partly through Other Systems

Systems / Payments	Jan 23			Q1 Apr - Jun 23		
	Total £	NC £	C %	Total £	NC £	C %
*Academy Payments - Education Funding Transfers	£860,605.68	£860,605.68	0%	£4,429,332.67	£0.00	0%
*Early Years Payments - Children & Families Funding Transfers	£2,560,692.61	£2,560,692.61	0%	£461,270.98	£0.00	0%
*Energy Services - Warm Homes Grant Transfers	£1,228,313.09	£0.00	100%	£7,112,330.25	£0.00	0%
MOSAIC - Children's Social Care Finance System	£490,664.87	£490,664.87	0%	£1,525,491.70	£1,525,491.70	100%
CONTROCC - Adult's Social Care Finance System	£2,421,972.41	£1,475,278.93	39.1%	£11,039,423.49	£5,605,761.41	49.2%
*Pre-Paid Cards	£7,506.08	£7,506.08	0%	£151,094.25	£0.00	100%

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*Private Sector Housing - Disabled Facilities Grant Transfers	£164,507.12	£0.00	100%	£826,631.65	£0.00	100%
SCALA - Port Finance System	£1,180,439.66	£1,047,711.86	11.2%	£4,860,141.79	£3,527,119.60	27.4%
SystemsLink - Utilities Payments	£620,964.25	£0.00	100%	£2,622,482.53	£2,622,482.53	0%
*VAT Only Invoice Payments - Finance	£101,867.12	£0.00	100%	£729,897.90	£0.00	0%
*Concessionary Fares - Transfer of funds to transport operators				£674,228.43	£0.00	£0.00
*Locally Commissioned Services Payments - Transfers of funds to pharmacies & other organisations				£44,528.20	£0.00	100%
*Business Rates & Property Transactions				£65,277.00	£0.00	100%
PFI Payments - Victory Support Services				£239,044.01	£0.00	100%
*Fees & Levies				£161,203.00	£0.00	100%
TOTAL	£9,637,532.89	£6,442,460.03	33.2%	£34,942,377.85	£21,661,522.61	62%

3. Summary Analysis

The data set from which both of the above tables has been calculated can be found within exempt Appendix 1 (EXEMPT - G&A&S - Procurement MI - App 1 Spend Compliance Q1 Apr - Jun 23).

Oracle FUSION

In summary, the analysis shows that in respect of spend processed entirely via Oracle FUSION, there are no financial transactions with an overall distribution value in excess of £100k (above which contracts were classed as high value under the council's CPRs which were in place during Q1 and should have been let via a fully advertised compliantly tender process) that cannot be traced back to a compliant contract, or are otherwise exempt from regulations and council CPRs. For a significant number of the non-compliant transactions,

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including for all with a distribution value in excess of £100k, there are contract entries on In-tend but due to administrative errors the transactions were not linked.

Whilst work is required to ensure that contract entries are raised and published on In-tend, the risk of legal challenge to the council for failing to publish summary contract information is low.

Other Systems - Out of Scope Activity

In respect of spend processed via other systems all systems / payments marked * have been confirmed as transaction groups which do not fall within the scope of the procurement regulations, council Contract Procedure Rules or within the Procurement section of the Local Government Transparency Code.

These transactions in general relate to a combination of grant payments, funding transfers, property payments and financial reconciliation transactions which are not concerned with contracting activity which falls within scope.

Systems Link - Utilities Transactions

Whilst contract entries need to be raised on In-tend all of the contracts have been let compliantly via nationally leveraged contracting arrangements.

The committee should note that the financial records on Systems Link require update as the name of the gas supplier has not been changed from Gazprom Marketing & Trading Limited to SEFE Energy following the intervention from the German government in 2022. The committee can be assured that this is purely a system update issue which is now being resolved and that no gas is being sourced from Russia.

MOSAIC - Children's Social Care Finance System

Work is required to cross reference transactions against In-tend contract entries. The 0% compliance figure reflects that work is yet to be undertaken and does not denote that there are no contract entries already published on the In-tend system for transactions.

The vast majority of the transactions are in relation to placements which do fall under the scope of procurement regulations and transparency requirements, however this is not considered to be a high risk area for non-compliance as there is often a lack of supply in this area, lessening competition and associated challenge risk from the market.

CONTROCC - Adult Social Care Finance System

Work is progressing to put in place effective cross-referencing between transactions and In-tend contract entries although this is subject to referencing systems rather than automated links between systems. This is reflected in the higher % of transactions which can be traced to contract entries when compared to the report taken to the committee in March.



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The transactions which cannot be accurately linked to contract entries relate to dynamic individual spot purchasing from suppliers that on an individual basis would not breach procurement regulation thresholds. However, aggregation across transactions does need to be considered which when take into account will put spend with some of the suppliers above threshold.

As spot purchasing is an established market norm risk of challenge in the event of non-compliance is not considered to be high. Work is required to further review spot purchasing arrangements in respect of compliance with wider procurement regulations. Contract entries will need to be raised on In-tend that can be cross referenced to transactions in order to meet transparency requirements and allow for effective reporting.

SCALA - Portsmouth International Port Finance System

Only one transaction above £100k cannot be traced to a contract entry although it can be traced to a fully compliant procurement process. Risk is therefore considered to be low.

The transactions related to this contract which is concerned with a major works project totalled £3,462,196.10 over Q1. A contract entry on In-tend will be raised as a matter of urgency. When this transaction is removed spend compliance for the Port increases from 27.4% to 98.6%.

SECTION 2 - CONTRACT AWARD VIA WAIVER

The tables below show a comparison of waiver approvals with a value of £100,000 or more awarded via application of a waiver between November 2022 - January 2023, as reported to the committee on March, with those awarded via waiver over Q1 23, being April 2023 - June 2023.

In addition information is also provided on contracts where the waiver approval in Q1 is less than £100,000 but there has been previous waiver approvals granted which cumulatively put the overall value of waivers associated with the contract above £100k.

Whilst waivers are to be sought for any significant departure from the council's Contract Procedure Rules (CPRs), the report focuses upon waiver approvals above £100k to let contracts via negotiated direct award as it is at this threshold that review by Procurement and Legal was mandated under the council CPRs that were in place. Below this threshold waivers could be approved by the relevant Director or Assistant Director.

Under the previous CPRs which were in place during Q1 waivers can be approved by:

- Director including for Assistant Directors given delegated authority by the Director - up to £100k
- Procurement manager - up to £1M (delegated to procurement seniors as well)
- Procurement Gateway Board - above £1M

Above £100k Waiver Approvals- Reporting Period Comparison

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Risk Profile	November 22 - January 23		April 23 - June 23		
	No. of Contracts	Waiver Value	No. of Contracts	Waiver Value	Cumulative Waiver Value
HIGH RISK	0	£0	0	£0	£0.00
MEDIUM RISK	3	£3,568,817	4	4,731,854.74	£16,297,710.74
LOW RISK	6	£5,358,558	6	£798,101.83	£1,012,490.83
TOTAL	9	£8,927,375	10	£5,529,956.57	£17,310,201.57

Q1 Below £100k Waiver Approvals but Above £100k Total Cumulative Value

Risk Profile	April 23 - June 23		
	No. of Contracts	Waiver Value	Cumulative Waiver Value
HIGH RISK	0	£0	£0.00
MEDIUM RISK	1	£74,999.60	£614,996.60
LOW RISK	4	£190,128.45	£1,199,685.36
TOTAL	5	£265,128.05	£1,814,681.96

Summary information regarding the waivers including for service area, contract name, supplier, value, term, etc. and risk analysis rationale can be found within the exempt 'Appendix 2, Waivers Q1 Apr - Jun 23'.

Analysis

Risk ratings have been applied to the waivers reviewed in accordance with the following criteria / characteristics:

- HIGH RISK - In breach of statutory procurement regulations, high probability of market challenge, lack of effective mitigation strategies, no agreed strategy in place to bring the contract into compliance

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- MEDIUM RISK - In breach of statutory procurement regulations, low probability of market challenge, mitigation strategies in place, agreed strategy in place to bring the contract into compliance, rationale for waiver meets Council CPR requirements
- LOW RISK - No breach of statutory procurement regulations, low probability of market challenge, mitigation strategies in place, rationale for waiver meets Council CPR requirements

The number of waiver approvals above £100k in Q1 has stayed broadly the same as the number reported at the previous Committee (10 vs 9) and represents a consistent reduction compared to 21 previously reported for period covering April - June 2022.

Whilst the reasoning for the decrease has not been investigated in detail, it can be assumed that the reduction may be due to the lessening impacts of the COVID-19 pandemic upon re-tendering programmes. However, whilst work is progressing, there is still work required to address the backlog of contracts that require re-tendering, although this backlog has reduced significantly.

The value of waivers has reduced compared to the last reporting waivers (£5.5M vs £8.9M) which has been driven by above £1M waivers being processed within the last reportable quarter. However, the risk profile associated with the waiver sign offs between the quarters is very similar and again no instances of any High risk waiver sign offs within the last reportable quarter.

When taking into account Q1 waiver approvals below £100k but cumulatively above £100k this only adds one more medium risk and 4 more low risk waivers to the Q1 figures and has only a small impact in respect of total value of waivers.

All waivers have been subject to a level of financial benchmarking and delivery performance assessment in order to provide best value assurance in the absence of full competitive processes. For all on-going medium to long term requirements, Procurement have engaged with services to plan and implement procurement processes which will bring the contracts back into compliance.

Summary information regarding each waiver instance reported on above for Q1 including for risk analysis rationale and mitigation measures can be found within exempt Appendix 4 (EXEMPT - G&A&S - App 4 - Procurement Data Analysis - Q1 Apr 23 - Jun 23).

SECTION 3 - CONTRACT MANAGEMENT PERFORMANCE MONITORING

Implementation of New KPI Model

In line with the course of action set out at the March committee meeting, the previous KPI reporting model, which was overly complicated, inconsistently applied and not always completed has now been fully disbanded.

A new simplified flexible single KPI model has been developed whereby contracts are assessed on a consistent 0-5 basis as per the example below:

- 0 - Unacceptable Performance - grounds for immediate termination and barring from future contract opportunities



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- 1 - Poor - significant issues have arisen. May invoke termination and barring from future opportunities unless significant and immediate improvements are implemented.
- 2 - Fair - activities were generally undertaken to a satisfactory level however a number of smaller issues arose that were addressed when improvement notices were issued
- 3 - Satisfactory - met the contractual obligation and performed within the range of expectation
- 4 - Good - met and on occasion exceeded contractual expectations. Activities undertaken to a high standard.
- 5 - Excellent - performed above general contracted requirement by bringing added value and exceeded expectations in multiply areas.

The model by virtue of its core simplicity is flexible and can be applied on a proportionate and relevant basis to any contract irrespective of the value, scale and complexity of the contract. The new model also requires contract managers to provide a summary rationale for the score they have allocated which will significantly improve upon previous reporting mechanisms.

This revised model has now been implemented across 72 contracts which include for the council's highest value strategic contracts and medium value works call off contracts let via the council's £100M Primary Contractor Framework.

Whilst the number of contracts that the KPI model has been successfully piloted against represents a fraction of the contracts that are registered on the In-tend they have a collective lifetime value of over £1.2B, equating to 42.5% of the £2.9B total lifetime value of all of the contracts registered on In-tend.

Following the successful piloting of the model Procurement will now roll out the new KPI reporting structure at a steady pace and are targeting to have applied the model 80% of the contracts by contract value by the end of this financial year.

KPI Performance Analysis Q1 Apr - Jun 23

KPI completion statistics and reported performance statistics for Q1 are set out within the table below.

Performance Element - New KPI Model Reporting & Delivery Performance	No.	%
Total number of contracts with KPI reporting due between 01.04.23 - 30.06.23	14	0.84%
Total number of KPIs completed for contracts with Q1 KPI reporting	14	100.00%
Total lifetime value of contracts subject to Q1 reporting	£1,221,475,809	41.48%
*Total per annum value of contracts subject to Q1 reporting	£101,331,408	29.63%
Total number of contracts subject to Q1 reporting that scored 0 (unacceptable) or 1 (poor)	0	0.00%

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Performance Element - New KPI Model Reporting & Delivery Performance	No.	%
Total lifetime value of contracts subject to Q1 reporting that scored 0 (unacceptable) or 1 (poor)	£0	0.00%
Total number of contracts subject to Q1 reporting that scored 2 (fair) or 3 (satisfactory)	6	42.86%
Total lifetime value of contracts subject to Q1 reporting that scored 2 (fair) or 3 (satisfactory)	£113,765,485	9.31%
Total number of contracts subject to Q1 reporting that scored 4 (good) or 5 (excellent)	8	57.14%
Total lifetime value of contracts subject to Q1 reporting that scored 4 (good) or 5 (excellent)	£1,103,720,400	90.36%

All KPIs / 100% due have been completed which is a very significant improvement compared to completion rates for the old KPI model which are set out in the table below which only equated to a 23% completion rate.

Analysis Parameters	Nov 22 - Jan 23	
Total No. Contracts with KPI Due Assessment in Last Quarter	324	
Total No. Contracts with KPI Assessed in Last Quarter	75	23%

Performance reports are however difficult to compare to those last reported to committee as the scoring structure for the new KPI model has changed significantly from the old model which was in place for the last report.

The scores and supporting rationale for every contract subject to KPI reporting in Q1 is included within exempt appendix 'App 3 Contract KPIs Q1 Apr - Jun 23'.

In no instance has any contractor been assessed as performing to an 'unacceptable' or 'poor' level of performance. 2 contracts, including for 1 strategic contract, have been scored as 'fair' and requiring some level of improvement which in both instances have been actioned by the relevant council contract manager.

4 of the contracts, including for 1 of the council's strategic contracts, were assessed as 'satisfactory' and not requiring any level of significant remedial action. 8 of the contracts, including for 7 of the strategic contracts have been assessed as 'good' and either fully meeting or exceeding contract requirements.

.....
 Signed by Richard Lock - Assistant Director, Procurement

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