



## Cambridge City Council Civic Affairs

**Date:** Wednesday, 10 October 2018

**Time:** 5.30 pm

**Venue:** Committee Room 1 & 2, The Guildhall, Market Square, Cambridge, CB2 3QJ

**Contact:** [democratic.services@cambridge.gov.uk](mailto:democratic.services@cambridge.gov.uk), tel:01223 457000

### Agenda

- |    |                                                                                                                                   |                   |
|----|-----------------------------------------------------------------------------------------------------------------------------------|-------------------|
| 1  | Apologies                                                                                                                         |                   |
| 2  | Declarations of Interest                                                                                                          |                   |
| 3  | Minutes                                                                                                                           | (Pages 3 - 12)    |
| 4  | Public Questions                                                                                                                  |                   |
| 5  | Officer Delegated Decision                                                                                                        |                   |
| 5a | To implement the Joint Negotiating Committee for Chief Executives and Chief Officers of Local Authorities Pay Award for 2018-2020 | (Pages 13 - 16)   |
| 6  | Ernst and Young Annual Audit Letter                                                                                               | (Pages 17 - 44)   |
| 7  | Internal Audit Plan: Progress Report                                                                                              | (Pages 45 - 60)   |
| 8  | Freedom Of Information, Data Protection And Transparency: Annual Report 2017/18                                                   | (Pages 61 - 82)   |
| 9  | Annual Complaints Report 2017-18                                                                                                  | (Pages 83 - 112)  |
| 10 | Independent Remuneration Panel - Special Responsibility Allowance update                                                          | (Pages 113 - 120) |
| 11 | Process for scrutiny of the Council's budget                                                                                      | (Pages 121 - 136) |
| 12 | Calendar of Meetings 2019/20                                                                                                      | (Pages 137 - 140) |

**Civic Affairs Members:** McPherson (Chair), Benstead (Vice-Chair), Dalzell, Gawthrope, O'Connell and Robertson

**Alternates:** Martinelli and Sargeant

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## **CIVIC AFFAIRS**

11 July 2018  
6.00 - 6.05 pm

**Present:** Councillors Benstead (Vice-Chair), Dalzell, Gawthrope, O'Connell and Robertson

### **FOR INFORMATION OF THE COUNCIL**

#### **18/33/Civ Apologies**

Apologies were received from Cllr McPherson and Rob Bennett the Council's Independent Person.

#### **18/34/Civ Declarations of Interest**

There were none.

#### **18/35/Civ Public Questions**

There were no public questions.

#### **18/36/Civ Council submission to Local Government Boundary Commission for England on new warding arrangement for Cambridge City Council**

The Committee received a report from the Democratic Services Manager and an update report on the ward boundary proposals which had been published on 10 July 2018 following deliberations by the Member Working Group. The Committee noted that this cross-party Member Working Group had produced a ward boundary proposal that could be recommended to the Committee unanimously. The proposals, as published on 10 July, would be re-formatted into the required submission to the Local Government Boundary Commission for England. It was noted that all members of the Council would receive the submission to the Local Boundary Commission for England with the Committee's adoption minute.

The Vice Chair thanked the Members of the Working Group and the officers for their work in achieving an agreed proposal.

**Resolved to recommend (unanimously) –**

That Council approves the city council submission to the Local Government Boundary Commission for England as set out in the appendix to this minute.

The meeting ended at 6.05 pm

**CHAIR**

**CIVIC AFFAIRS**25 July 2018  
5.35 - 6.40 pm

**Present:** Councillors McPherson (Chair), Benstead (Vice-Chair), Dalzell, Gawthrope, Martinelli and Robertson

**Officers:**

Chief Executive: Antoinette Jackson

Head of Finance: Caroline Ryba

Head of Shared Internal Audit Service: Jonathan Tully

Principal Accountant (Technical &amp; Financial Accounting): Charity Main

Committee Manager: James Goddard

**Others Present:**

Ernst &amp; Young Senior Manager: Hayley Clark

Independene Person: Rob Bennett

**FOR THE INFORMATION OF THE COUNCIL****18/37/Civ Apologies**

Apologies were received from Councillor O'Connell. Councillor Martinelli attended as an alternate.

**18/38/Civ Declarations of Interest**

Item	Councillor	Interest
18/44/Civ	Benstead	Personal: Council appointed Trustee of Cambridge Live

**18/39/Civ Minutes**

The minutes of the meetings held on 14 and 24 May 2018 were approved as correct records and signed by the Chair.

**18/40/Civ Public Questions**

There were no public questions.

**18/41/Civ Officer Delegated Decision*****18/41/Civa To implement the Joint Negotiating Committee for Chief Executives of Local Authorities Pay Award for 2018-20***

The decision was noted.

**18/42/Civ Annual Head of Internal Audit Opinion**

The Committee received a report from the Head of Shared Internal Audit Service regarding his opinion on the overall adequacy and effectiveness of the organisation's internal control environment, governance, and the risk management framework.

The Head of Shared Internal Audit Service said the following in response to Members' questions:

- i. An analytical review of IT equipment and insurance records identified some variances. Recommendations were made to review and update the asset list.
- ii. The IT register was up to date, the insurance register needed to be updated to ensure there were no discrepancies as details were originally held on two systems.

The committee reviewed and noted the annual opinion of the Head of Shared Internal Audit.

**18/43/Civ Annual Governance Statement and Local Code of Corporate Governance**

The Committee received a report from the Head of Shared Internal Audit Service which provided:

- An update on the progress of actions identified in the previous year.
- Reported the annual review of effectiveness and any new governance issues.
- Provided an update of the Local Code of Corporate Governance.

In response to Members' questions:

- i. The Head of Shared Internal Audit Service said the report was written in-line with Chartered Institute of Public Finance and Accountancy guidance. It also included the statement of accounts.
- ii. The Chief Executive said officers were keeping a watching brief on what Brexit meant to the council.
  - a. The Local Government Association was collating risks to councils across the country including what would require urgent action.

There would be a time lag after Brexit before Central Government would have details in place to replace European Law.

- b. There were a number of risks for the council to review as Brexit arrangements progressed. These included, the impact on business and the city's economy, how this might impact on business rates; and whether the council would lose staff who were EU nationals or have difficulty recruiting to some roles in future.

The Chair decided that the recommendations highlighted in the Officer's report should be voted on and recorded separately.

Members of the committee **unanimously approved** the Annual Governance Statement (AGS) in advance of the Statement of Accounts.

Members noted the:

- Arrangements for compiling, reporting on and signing the AGS.
- Progress made on issues reported in the previous year.
- Current review of effectiveness.
- Issues considered for inclusion in the current AGS.

Members **unanimously noted and endorsed** the amendments to the updated Local Code of Corporate Governance.

### **18/44/Civ Statement of Accounts 2017-18**

The Committee received a report from the Principal Accountant. Before giving their formal opinion of the accounts there was a requirement for Ernst & Young to present their audit findings and obtain a letter of management representation signed by both the Head of Finance and a member on behalf of 'those charged with governance.' Under the Council's Constitution, this responsibility rested with the Civic Affairs Committee.

The Principal Accountant updated her report to say:

- i. Figures listed in "Group Comprehensive Income and Expenditure Statement" on P191 of the agenda were mislabelled. Details were corrected in the statement of accounts awaiting sign off.
- ii. P85. On 10 July, BDO (the external auditors of the Cambridgeshire Local Government Pension Scheme), informed Ernst & Young of a material difference between the estimate of the assets of the scheme used by the actuary in the reports given to Cambridgeshire councils to use for their year end accounts and the actual year end position. Councils across the

country were in a similar position. The City Council's assets had increased by £2.8m between the estimate and actual figure.

The Senior Manager (Ernst & Young) guided Civic Affairs Committee through the executive summary set out on P234 of the agenda.

The Senior Manager said in response to questions from Members and the Independent Person:

- i. Clarified agenda P249 "*The proportion of the land being developed for market housing has been treated as a disposal as the land transfers to the owner on purchase of a property.*" When houses were sold, land would transfer from the Cambridge Investment Partnership to the new property owners.
- ii. There were no issues with pension valuations and disclosures (agenda P247).
- iii. The capital assets portfolio would be reviewed in full each year in future. This was not needed previously. There were no issues with the portfolio currently.

In response to Members' questions the Principal Accountant said:

- i. For accounting purposes, the Council had significant influence over Cambridge Live through its 'associate' status.
- ii. Storeys Field Charitable Trust had not been consolidated in the group accounts as it was not material because they were too small. Officers planned to review this in 2018/19. It was not an issue.

Councillors asked the minutes to record the Committee's thanks to Officers from the City Council and Ernst & Young, who ensured the accounts were prepared early, as Central Government brought the deadline forward. A complex close down was completed.

The Committee received the audit findings presented by Ernst & Young.

The Committee **approved (by 5 votes to 0)** the Statement of Accounts for the year ending 31 March 2018.

Councillor Benstead did not vote on this item.

The Chair of the meeting was authorised to sign the Letter of Representation and Statement of Accounts for the financial year ending 31 March 2018 on behalf of the Council.

**18/45/Civ Annual Report on Counter Fraud and Corruption**

The Committee received a report from Head of Shared Internal Audit Service regarding the annual report on the Prevention of Fraud and Corruption Policy.

(Ref agenda P293 item 3.5) The Head of Shared Internal Audit Service undertook to liaise with the Fraud Prevention Team Leader to ascertain if further council properties could be made available or further savings achieved through fraud prevention; then respond to the Executive Councillor for Finance and Resources.

The Executive Councillor asked for trend information to be included in future reports. The Chief Executive gave the following figures from the previous year for comparison:

- 67 inappropriate Council Tax discounts or exemptions had been removed.
- Investigations conducted under the Prevention of Social Housing Fraud Act resulted in 13 Council owned properties being made available for genuine tenants.
- 8 people were sanctioned for Council Tax Reduction, Discount or Social Housing fraud.

The Executive Councillor for Finance and Resources asked for the Officer's recommendation to be amended to correct typographical errors.

The committee noted the details of fraud / whistle-blowing activity provided for the period ~~1 April 2016 – 31 March 2017~~ **1 April 2017 – 31 March 2018** in section 3 of the Officer's report.

The Committee **unanimously agreed** the correction.

The Committee noted the details of fraud / whistle-blowing activity provided for the period 1 April 2017 – 31 March 2018 in section 3 of the Officer's report.

**18/46/Civ Internal Audit - Quality Assurance and Improvement Programme**

The Committee received a report from the Head of Shared Internal Audit Service. The Internal Audit Team has been externally assessed as generally conforming with the Public Sector Internal Audit Standards and the accompanying Local Government Application Note.

The Head of Shared Internal Audit Service said the following in response to Members' questions:

- i. Undertook to review good practice (eg using the Chartered Institute of Public Finance and Accountancy guidance) and bring this back to committee to improve its work.
- ii. Internal customer feedback sessions had waned over time but had now been re-introduced. These occurred on an annual basis as they were resource intensive.

The committee noted that the Internal Audit team had completed the Quality Assurance and Improvement Programme as required by the Public Sector Internal Audit Standards.

### **18/47/Civ Review of Elections 3 May 2018**

The Committee received a report from the Chief Executive.

The Committee made the following comments in response to the report:

- i. Expressed concern that the Panton Street Polling Station was unfit for purpose as it was not accessible when the front door was unusable as the back door opened onto a narrow street. Suggested using alternative venues in the ward such as the Centre at St Pauls, Hills Road or the or the Signal Box on Glenalmond Avenue.
- ii. Polling station staff did not always pass on turn-out figures to candidates. Requested staff were briefed so they knew this should be actioned upon request.
- iii. Referred to agenda P333 item 4.13 and took issue with the statement that no complaints had been being reported. A number of residents who lived in Walpole Road were unable to vote at Walpole Road Polling Station because of the change in pooling district boundaries.

The Chief Executive said the following in response to Members' questions:

- i. Panton Street Polling Station front doors were shut due to building work.
- ii. Other venues could be asked if they were willing to act as polling stations, but they were not always willing to do so. This made it difficult to find accessible buildings.
- iii. The Chief Executive could exercise discretion on whether to provide turn out figures or not at polling stations. She had instructed Poll Clerks to pass on this information in the last election. This issue would be addressed in Presiding Officer training.
- iv. She was aware about the concerns in Walpole Road and agreed this should be reviewed in future.

The Committee noted the Officer's report and provided the feedback noted above to the Returning Officer on issues it would like to be considered in the management of future polls.

The meeting ended at 6.40 pm

**CHAIR**

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## CAMBRIDGE CITY COUNCIL

### Officer Record of Decision

<b>What decision(s) has been taken:</b>	To implement the Joint Negotiating Committee for Chief Executives of Local Authorities Pay Award for 2018-20.
<b>Who made the decision:</b>	Head of Human Resources
<b>Date decision made:</b>	25 June 2018
<b>Matter for Decision /Wards affected</b>	Decision delegated from Civic Affairs Committee
<b>Reason(s) for the decision including any background papers considered</b>	To implement the nationally agreed pay award for chief executives following receipt of notification by circular from the Joint Negotiating Committee for Chief Executives of Local Authorities dated 8 June 2018.
<b>Any alternative options considered and rejected:</b>	The pay award for the chief executive level post is determined by national level collective bargaining between the national employers and trade unions. Once agreed at a national level the City Council implements the pay award in accordance with the terms of staff contracts of employment.
<b>Conflicts of interest and dispensations granted by the Chief Executive:</b>	None.
<b>Other Comments:</b>	<p>This decision is taken in accordance with the delegated authority from Civic Affairs Committee to the Head of Human Resources, as follows:</p> <p>To implement any award of a joint negotiating body so far as it concerns rates of salary, wages, car allowances or other allowances payable to officers and other employees of the Council except where the terms thereof involve the exercise of a discretion by the Council provided that when any action is taken</p>

in pursuance of this paragraph members are advised by the Head of Human Resources and a record of that advice be made available to the public.

**Reference:** To be completed by Democratic Services

**Contact for further information:** Deborah Simpson, Head of Human Resources.

## CAMBRIDGE CITY COUNCIL

### Officer Record of Decision

<b>What decision(s) has been taken:</b>	To implement the Joint Negotiating Committee for Chief Officers of Local Authorities Pay Award for 2018-20.
<b>Who made the decision:</b>	Chief Executive
<b>Date decision made:</b>	24 July 2018
<b>Matter for Decision /Wards affected</b>	Decision delegated from Civic Affairs Committee
<b>Reason(s) for the decision including any background papers considered</b>	To implement the nationally agreed pay award for chief officers following receipt of notification by circular from the Joint Negotiating Committee for Chief Officers of Local Authorities dated 12 July 2018.
<b>Any alternative options considered and rejected:</b>	The pay award for the chief officer level posts (Strategic Directors and Heads of Service on JNC1) is determined by national level collective bargaining between the national employers and trade unions. Once agreed at a national level the City Council implements the pay award in accordance with the terms of staff contracts of employment.
<b>Conflicts of interest and dispensations granted by the Chief Executive:</b>	The Chief Executive is exercising this decision as the Head of Human Resources has a personal interest in this pay award.
<b>Other Comments:</b>	<p>This decision is taken in accordance with the delegated authority from Civic Affairs Committee to the Head of Human Resources, as follows:</p> <p>To implement any award of a joint negotiating body so far as it concerns rates of salary, wages, car allowances or other allowances payable to officers and other employees of the Council except where the terms thereof involve the exercise of a</p>

discretion by the Council provided that when any action is taken in pursuance of this paragraph members are advised by the Head of Human Resources and a record of that advice be made available to the public.

**Reference:** To be completed by Democratic Services

**Contact for further information:** Antoinette Jackson, Chief Executive



Item

## **EXTERNAL AUDIT 2017/18 ANNUAL AUDIT LETTER**

**To:**

Civic Affairs Committee 10/10/2018

**Report by:**

Caroline Ryba, Head of Finance

Tel: 01223 - 458134 Email: caroline.ryba@cambridge.gov.uk

**Wards affected:**

None directly affected

### **1. Introduction**

- 1.1 The attached Annual Audit Letter (Appendix 1) from Ernst & Young (EY) summarises the key issues arising from their 2017/18 audit.

### **2. Recommendations**

- 2.1 That the contents of the Annual Audit Letter are considered and noted.

### **3. Background**

- 3.1 The Local Audit and Accountability Act 2014 requires a committee of the Council to consider the letter. For this Council that committee is Civic Affairs.
- 3.2 The letter was issued by EY in August 2018 and sent to members of Civic Affairs.

## **4. Implications**

### **(a) Financial Implications**

None.

### **(b) Staffing Implications**

None.

### **(c) Equality and Poverty Implications**

None.

### **(d) Environmental Implications**

None.

### **(e) Procurement Implications**

None.

### **(f) Community Safety Implications**

None.

## **5. Consultation and communication considerations**

The Annual Audit Letter has been published on the Council's website.

## **6. Background papers**

No background papers were used in the preparation of this report:

## **7. Appendices**

Appendix 1 – Ernst and Young Annual Audit Letter 2017/18

## **8. Inspection of papers**

To inspect the background papers or if you have a query on the report please contact Charity Main, Principal Accountant (Technical & Financial Accounting), tel: 01223 - 458152, email: [charity.main@cambridge.gov.uk](mailto:charity.main@cambridge.gov.uk).

**Cambridge City Council**

Annual Audit Letter for the year  
ended 31 March 2018

August 2018

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Focused on your future



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

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

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

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

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



01

# Executive Summary



# Executive Summary

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

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

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

Area of Work	Conclusion
<b>Reporting to the National Audit Office (NAO) on our review of the Council's Whole of Government Accounts return (WGA).</b>	The Council is below the specified audit threshold of £500 million. Therefore, we did not perform any audit procedures on the consolidation pack.

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## Executive Summary (cont'd)

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As a result of the above we have also:

Area of Work	Conclusion
Issued a report to those charged with governance of the Council communicating significant findings resulting from our audit.	Our Audit Results Report was issued on 25 July 2018.
Issued a certificate that we have completed the audit in accordance with the requirements of the Local Audit and Accountability Act 2014 and the National Audit Office's 2015 Code of Audit Practice.	Our certificate was issued on 26 July 2018.

### Fees

Throughout the year we have engaged early and effectively with the finance team on matters relating to the Council's subsidiary companies and the group accounts and significant capital transactions and their associated complex accounting treatment. The finance team have been very receptive to our engagement and we have valued their openness. In addition, we have been required to use our specialist Information Technology auditors to carry out focused procedures on the Council's implementation of its new financial management system. These matters have represented changes to the scope of the audit, which we have reported throughout the year to the Council, and as a result we have agreed additional fees with the Head of Finance which we outline in Section 7.

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

Suresh Patel

Associate Partner

For and on behalf of Ernst & Young LLP



## 02 Purpose and Responsibilities



# Purpose and Responsibilities

## The Purpose of this Letter

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

We have already reported the detailed findings from our audit work in our 2017/18 Audit Results Report to the 25 July 2018 Civic Affairs Committee, representing those charged with governance. We do not repeat those detailed findings in this letter. The matters reported here are the most significant for the Council.

## Responsibilities of the Appointed Auditor

Our 2017/18 audit work has been undertaken in accordance with the Audit Plan that we issued on 14 February 2018 and is conducted in accordance with the National Audit Office's (NAO) 2015 Code of Audit Practice, International Standards on Auditing (UK and Ireland), and other guidance issued by the NAO.

As auditors we are responsible for:

Expressing an opinion:

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

Alongside our work on the financial statements, we also review and report to the NAO on your Whole of Government Accounts return. The Council is below the specified audit threshold of £500 million. Therefore, we did not perform any audit procedures on the return.

## Responsibilities of the Council

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

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



**03**

**Financial Statement Audit**

# Financial Statement Audit

## Key Issues

The Council's Statement of Accounts is an important tool for the Council to show how it has used public money and how it can demonstrate its financial management and financial health.

We audited the Council's Statement of Accounts in line with the National Audit Office's 2015 Code of Audit Practice, International Standards on Auditing (UK and Ireland), and other guidance issued by the National Audit Office and issued an unqualified audit report on 26 July 2018.

Our detailed findings were reported to the 25 July Civic Affairs Committee. The key issues identified as part of our audit were as follows:

## Significant Risk

### Misstatements due to fraud or error

The risk is that the financial statements as a whole are not free of material misstatements whether caused by fraud or error.

As identified in ISA (UK and Ireland) 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We identify and respond to this fraud risk on every audit engagement.

We assessed journal amendments, accounting estimates and unusual transactions as the area's most open to manipulation. Linking to the presumed risk of fraud in revenue and expenditure recognition we identified the inappropriate capitalisation of expenditure on Property, Plant and Equipment as a risk. This has been identified as a specific risk as set out on the next page, and therefore we have not repeated that information here.

## Conclusion

In undertaking our work on management override of controls we considered the balances included in the Council's financial statements that were the most susceptible to judgement or estimation techniques. The key estimates were considered to be the NNDR appeals provision, the valuation of Property, Plant and Equipment and the valuation of pension liabilities. Due to the significance of PPE and pension valuations on the financial statements we included them as higher inherent risks in our audit strategy and include a separate section to report on these separately below and not repeated that information here. Given that the impact of valuation and measurement of property, plant and equipment and pension liabilities did not impact the general fund we did not consider these to be significant estimates subject to fraudulent misreporting.

We tested the appropriateness of journal entries recorded in the general ledger and other adjustments made in the preparation of the financial statements. We obtained a full list of journals posted to the general ledger during the year and using our data analytics tool confirmed the completeness of the population and analysed these journals using criteria we set to identify any unusual journal types or amounts. We then tested a sample of journals that met our criteria and tested these to supporting documentation. We identified no issues.

We evaluated the Council's estimates, including provisions, accruals, deferred liabilities, bad debt provision and depreciation, as low risk of material misstatement. No issues were noted in our work in these areas.

We did not identify:

- ▶ any material weaknesses in controls or evidence of material management override.
- ▶ any instances of inappropriate judgements being applied.
- ▶ any other transactions during our audit which appeared unusual or outside the Council's normal course of business.

## Financial Statement Audit (cont'd)

The key issues identified as part of our audit were as follows (cont'd):

Significant Risk	Conclusion
<p><b>Inappropriate capitalisation of expenditure</b></p> <p>Under ISA 240 there is a presumed risk that revenue may be misstated due to improper revenue recognition. In the public sector, this requirement is modified by Practice Note 10 issued by the Financial Reporting Council, which states that auditors should also consider the risk that material misstatements may occur by the manipulation of expenditure recognition.</p> <p>The Council has historically performed well in relation to their outturn position for the year. In 2017/18 the Council incurred a surplus of £4.9m chargeable to the General Fund and Housing Revenue Account (HRA) as set out in the Expenditure and Funding Analysis. The overall position against the budget set by the Council was a surplus of £1.7m for general fund services and a surplus of £1.8m for the HRA.</p> <p>As the Council is more focused on its financial position over the medium term we do not consider there to be a heightened risk for the Council's standard income and expenditure streams except for the capitalisation of revenue expenditure on Property, Plant and Equipment (PPE) given the extent of the Council's capital programme.</p>	<p>We focused on management's judgement in capitalising expenditure as PPE. The Council has a number of large capital programmes and therefore judgement can be exercised in the allocation of costs between revenue expenditure and capital expenditure. This judgement impacts the valuation/measurement of the expenditure and also the existence of the asset on the balance sheet and completeness of expenditure included within the Comprehensive Income and Expenditure Statement (CIES). We performed the following specific procedures over the identified risk areas:</p> <ul style="list-style-type: none"> <li>▶ Capital additions testing - We selected a sample of capital additions and tested these to confirm that all amounts could be agreed to appropriate audit evidence (e.g. invoice, valuation certificate etc.) and that the item being capitalised was capital in nature. No significant issues were noted in our testing.</li> <li>▶ Journal entry testing - As part of our journal testing we included a specific test to search for unusual activity that moves expenditure from the CIES to PPE on the balance sheet. No unusual activity was identified as part of our review.</li> </ul> <p>We also considered the following:</p> <ul style="list-style-type: none"> <li>▶ Reviewed the appropriateness of revenue and expenditure recognition accounting policies and testing that they had been applied correctly during our detailed testing.</li> <li>▶ Performed cut off testing and unrecorded liabilities testing to consider the completeness of assets and liabilities included in the financial statements.</li> <li>▶ Evaluated the business rationale for any significant unusual transactions.</li> </ul> <p>Our testing did not identify any material misstatements from the inappropriate capitalisation of expenditure.</p> <p>Overall our audit work did not identify any material issues or unusual transactions to indicate any misreporting of the Council's financial position.</p>

## Financial Statement Audit (cont'd)

The key issues identified as part of our audit were as follows: (cont'd)

Significant Risk	Conclusion
<p><b>Financial Management system</b></p> <p>Following implementation of Technology One Financial Management System (T1 FMS), the Council has migrated the balances from Oracle to Technology One. This migration took place on 1 March 2018, one month prior to the financial year end.</p> <p>The migration to a new finance system is a significant event that involves extensive planning and arrangements to ensure that the governance of the process is maintained, the new system delivers as expected and there is no loss of financial data.</p> <p>As such, we consider this to represent a significant risk to the audit where this occurs during the financial year.</p>	<p>In order to address this risk we carried out a range of procedures including:</p> <ul style="list-style-type: none"> <li>▶ Involving our risk assurance experts in assessing how the migration has been governed and performed;</li> <li>▶ Testing the migration of the data between the two systems to ensure it remains complete and accurate;</li> <li>▶ Reviewing the mapping of data between the two systems; and</li> <li>▶ Gaining an understanding of the new IT environment and the impact this has on the processes associated with significant classes of transactions - As a result of the change in the finance system we undertook additional procedures to consider how significant classes of transactions were processed in the financial statements. This included consideration of key controls. We did not identify any significant issues in the design of controls, however, we note that we did not perform a controls based audit.</li> </ul> <p>Based on the procedures performed, we concluded there were sufficient controls in place to enable us to gain reasonable assurance that system migration activities did not result in a material misstatement of the financial statements.</p>
<p><b>Other Key Findings</b></p> <p><b>Group accounting</b></p> <p>There were a number of changes to the group structure during the year, including Cambridge Investment Partnership and Storey's Field Charitable Trust. It is important that the Council performs a detailed assessment to ensure that all potential associates and joint ventures are appropriately recognised and disclosed in the accounts.</p>	<p><b>Conclusion</b></p> <ul style="list-style-type: none"> <li>▶ We reviewed the Council's processes for consolidation, agreed the consistency of accounting policies, and ensured the inter-company elimination is appropriate. We have also tested the balances being consolidated taking into account materiality.</li> <li>▶ We performed testing over the material transactions consolidated within the group accounts with no issues noted.</li> <li>▶ We reviewed management's assessment of CIP as a joint venture and have agreed with their assessment. As this is the first year of inclusion in the financial statements we have requested specific procedures to be performed over certain balances by the CIP auditors. No issues were identified.</li> </ul> <p>We assessed the group boundary and the significance of the components to the group accounts and have concluded that it is materially accurate.</p>

## Financial Statement Audit (cont'd)

The key issues identified as part of our audit were as follows: (cont'd)

Other Key Findings	Conclusion
<p><b>Valuation of capital assets</b></p> <p>Property, Plant and Equipment ( PPE) and investment properties (IP) represent significant balances in the Council's accounts and are subject to valuation changes, impairment reviews and depreciation charges. Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the Balance Sheet for land and buildings in particular. The Council will engage external expert valuers who will apply a number of complex assumptions to these assets. Annually, assets are assessed to identify whether there is any indication of impairment.</p> <p>As the Council's asset base is significant, and the outputs from the valuer are subject to estimation, there is a risk fixed assets may be under/overstated. This risk relates to assets that are revalued, being 'Council dwellings', 'Other land and Buildings', 'Surplus assets' and 'Investment Properties'. Vehicles, plant and equipment, infrastructure assets and community assets are held at cost. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.</p>	<p>In order to address this risk we:</p> <ul style="list-style-type: none"> <li>▶ Considered the work performed by the Council's valuers, including the adequacy of the scope of the work performed, their professional capabilities and the results of their work.</li> <li>▶ Reviewed and sample tested key asset information used by the valuers in performing their valuation (e.g. floor plans).</li> <li>▶ Considered the annual cycle of valuations to ensure that assets were valued within a 5 year rolling programme as required by the Code for PPE and annually for IP. We also considered if there were any specific changes to assets that occurred and that they were communicated to the valuer.</li> <li>▶ Reviewed assets not subject to valuation in 2017/18 to confirm that the remaining asset base was not materially misstated and that asset categories held at cost were assessed for impairment and were materially correct.</li> <li>▶ Considered external evidence of asset values via reference to the NAO commissioned Local Government Gerald Eve report and broader market data for the Cambridge area where relevant. Specifically we considered if this indicated any material variances to the asset valuations performed by the valuers and to those assets not revalued.</li> <li>▶ Considered changes to useful economic lives as a result of the most recent valuation and tested that the valuation accounting entries had been correctly processed in the financial statements, including the treatment of impairments.</li> </ul> <p>There are approximately £12m of investment properties that had not been revalued at the balance sheet date, which is not in compliance with the Code. We have therefore assessed whether there is any risk of material misstatement associated with the properties. In order to be materially misstated the value would need to be different by more than 17%. Whilst there are a range of movements for individual assets, the average value change is approximately 5%. As such we do not consider there to be a risk of material misstatement associated with these assets. The Council should review this going forward to mitigate against the risk of material error.</p> <p>No other issues were identified. We did not identify any material issues in the valuations based on our work.</p>

## Financial Statement Audit (cont'd)

The key issues identified as part of our audit were as follows: (cont'd)

Other Key Findings	Conclusion
<p><b>Pension valuations and disclosures</b></p> <p>The Local Council Accounting Code of Practice and IAS19 require the Council to make extensive disclosures within its financial statements regarding its membership of the Local Government Pension Scheme (LGPS) administered by Cambridgeshire County Council. The Council's pension fund deficit is a material estimated balance and the Code requires that this liability be disclosed on the Council's balance sheet. At 31 March 2018 this totalled £16.396 million in the draft accounts (£114.032 million at 31 March 2017).</p> <p>Accounting for this scheme involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. The information disclosed is based on the IAS 19 report issued to the Council by the actuary to the County Council. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.</p>	<p>We liaised with the auditors of, Cambridgeshire Pension Fund, BDO, to obtain assurances over the information supplied to the actuary in relation to Cambridge City Council.</p> <p>We assessed the work of the Pension Fund actuary (Hymans) including the assumptions they used by relying on the work of PWC - Consulting Actuaries commissioned by Public Sector Auditor Appointments for all Local Government sector auditors, and considering any relevant reviews by the EY actuarial team.</p> <p>The assumptions used by the actuary were reviewed by both PwC and our EY actuarial team who both concluded that the assumptions and methodology used were considered to be appropriate. We reviewed and tested the accounting entries and disclosures made within the Council's financial statements in relation to IAS19 - no issues were noted.</p> <p>In calculating the scheme assets as at 31 March 2018 the actuary performs a roll forward technique based on asset data submitted to them by the Pension Fund at 31 December 2017. The reporting from the Pension Fund auditors highlighted that the market value of the pension fund assets at 31 March 2018 was £2,958 million.</p> <p>When compared to the actuarial estimate of the fund assets at 31 March 2018 of £2,891 million this created a judgemental difference of £67 million. Management obtained a revised IAS19 report and processed an adjustment of £2.8 million to reduce the net liability.</p> <p>Assumptions used by the actuary and adopted by the Council were considered to be generally acceptable. The sensitivities surrounding these assumptions have been correctly disclosed in the notes to the financial statements.</p> <p>No other issues have been identified in completing our work.</p>

# Financial Statement Audit (cont'd)

The key issues identified as part of our audit were as follows: (cont'd)

Other Key Findings	Conclusion
<p><b>Capital transactions</b></p> <p>As set out in our audit plan, the Council informed us during the year of a number of potentially large capital transactions that would have an impact on the 2017/18 financial statements. Specifically we have considered the following:</p> <ul style="list-style-type: none"> <li>▶ The disposal of land to the Council's joint venture, Cambridge Investment Partnership (CIP).</li> <li>▶ The part disposal of an asset recently constructed in the year, where the top two floors have been leased to a housing association.</li> </ul> <p>Review of deferred consideration for asset sales which contain overage elements as part of the overall consideration.</p> <p>It is important for the Council to fully understand the arrangements in place and any accounting implications so that these can be appropriately recognised in the accounts.</p>	<p>We focused on managements judgements around:</p> <ul style="list-style-type: none"> <li>▶ The classification of leases associated with the transactions and the resulting treatment in the financial statements.</li> <li>▶ Any apportionment considerations management has been required to make in disposing of assets.</li> <li>▶ The substance and legal form of arrangements and the accounting treatment then adopted in the accounts.</li> </ul> <p>In order to address this risk we :</p> <ul style="list-style-type: none"> <li>▶ Understood the substance of significant one off transactions.</li> <li>▶ Reviewed and tested the accounting treatment proposed by management to ensure that it is in accordance with accounting standards and the Code and has been recognised at the correct value and in the correct financial year.</li> <li>▶ Considered the completeness and accuracy of any related disclosures (for example, joint arrangements).</li> </ul> <p>We worked closely with the Council during the financial year to agree the accounting and disclosure requirements associated with the above transactions. We understood the transactions, reviewed the accounting treatment and disclosures and confirmed that these have been correctly incorporated into the financial statements.</p>
<p><b>Cash flow statement and EFA</b></p> <p>The Council has amended the method in which they prepare their cash flow statement for 2017/18, moving from preparing it using cash records as the source to using the Surplus or Deficit on the Provision of Services and adjusting for non-cash items. This has therefore involved a restatement of the prior year to ensure the comparatives to the primary statement are consistent. In addition, the Council has made some amendments to the presentation of the Expenditure Funding Analysis (EFA) to combine the disclosures into one note. This is an amalgamation of notes as opposed to a restructure of how income and expenditure is categorised.</p>	<p>In order to address this risk we have:</p> <ul style="list-style-type: none"> <li>▶ Reviewed and tested the restated cash flow statement and ensured compliance with the Code;</li> <li>▶ Review and test the completeness and accuracy of any associated disclosures to the cash flow statement and the EFA, including narrative explaining the in year changes; and</li> <li>▶ Reviewed and tested the amalgamated expenditure funding analysis to ensure its consistency with the prior year comparatives.</li> </ul> <p>No issues have been noted in the performance of our procedures.</p>

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## Financial Statement Audit (cont'd)

### Our application of materiality

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

Item	Thresholds applied
Planning materiality	<p>We determined planning materiality to be £2.6 million (2017: £2.8 million), which is 2% gross expenditure on net cost of services plus expenditure relating to interest payable, pension finance costs, investment properties and pooling of housing capital receipts reported in the accounts.</p> <p>We consider this to be one of the principal considerations for stakeholders in assessing the financial performance of the Council.</p> <p>As the Council prepares consolidated accounts we are also required to determine materiality for the purposes of the group. As the consolidated entities do not have a significant impact on the CIES we have kept the materiality levels the same for the group and the Council as a single entity.</p>
Reporting threshold	<p>We agreed with the Committee that we would report to the Committee all audit differences in excess of £0.130 million (2017: £0.14 million)</p>

We also identified the following areas where misstatement at a level lower than our overall materiality level might influence the reader. For these areas we developed an audit strategy specific to these areas. The areas identified and audit strategy applied include:

- ▶ Remuneration disclosures, related party transactions and councillor allowances -As these disclosures are considered to be of interest to users of the accounts we have adopted judgement in ensuring that we have tested the disclosures in sufficient detail to ensure they are correctly disclosed.

We evaluate any uncorrected misstatements against both the quantitative measures of materiality discussed above and in light of other relevant qualitative considerations.



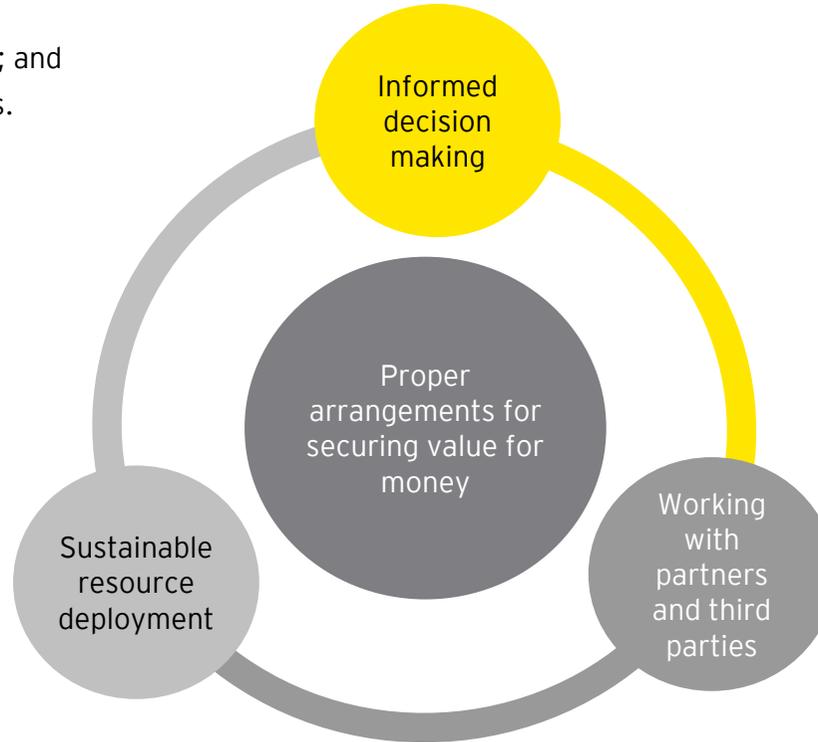
# 04 Value for Money

# Value for Money

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

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

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



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## Overall conclusion

We did not identify any significant risks around these criteria. We are satisfied that the Council has adequate arrangements in place in regard to financial resilience over the medium term (as set out on the following page).

We therefore expect to have 'no matters to report' about your arrangements to secure economy, efficiency and effectiveness in your use of resources.

## Value for Money Considerations

### What are our findings?

The Council has historically performed well in relation to their outturn position for the year. In 2017/18 the Council incurred a surplus of £4.9m chargeable to the General Fund and Housing Revenue Account (HRA) as set out in the Expenditure and Funding Analysis. The overall position against the budget set by the Council was a surplus of £1.7m for general fund services and a surplus of £1.8m for the HRA.

The Council currently has un-earmarked general fund reserves of £13.4m, which are above the minimum levels range set by the Council's s151 officer (which are currently £5.25 million). These provide the Council with the flexibility to manage its financial position over the short-to-medium term, and reduce the risk that an unexpected overspend, or unexpected one-off item of expenditure, has a detrimental impact on the Council's financial standing. The Council plans to maintain this level of General Fund reserves indefinitely and we note that the projected general fund reserves in the Budget Setting Report (BSR) does not fall below the target level over the next 5 years.

The 2018/19 budget is balanced, through the use of efficiencies, income plans, but also the use of £0.479m of general fund reserves. The level of savings identified to date means that the saving targets for 2018/19 based on the BSR have been met. There are target savings required of £1m over the next 5 years. While incrementally savings can become harder to achieve over time, the Council's performance in delivering its plans gives confidence that it can continue to do so.

We also reviewed the key assumptions in the budget and MTFS, which adequately took into account the economic environment at that time for business rate projections, and the forecast for reduced central government funding and the potential settlement.

The Council also has earmarked reserves (£24.6m at 31 March 2018) which have been established for a number of purposes, including an Invest for Income fund and Greater Cambridge Partnership Fund fund. The existence of these reserves provides further evidence of the Council's prudent approach to financial management.

The savings plans set out in the BSR for 2019/20 onwards, when compared to a gross expenditure of approximately £140m per annum, equate to less than 1%. When combined with historic performance of savings achievement, we assess the Council to have adequate arrangements, based on the known information as at the end of the financial year

Our review of the budget setting process, assumptions used in financial planning, in year financial monitoring, and the Council's history of delivery has not identified any significant matters that we wish to report to you.



05

## Other Reporting Issues



## Other Reporting Issues

### Whole of Government Accounts

The Council is below the specified audit threshold of £500 million. Therefore, we did not perform any audit procedures on the consolidation pack.

### Annual Governance Statement

We are required to consider the completeness of disclosures in the Council's annual governance statement, identify any inconsistencies with the other information of which we are aware from our work, and consider whether it is misleading. We did not identify any matters to report.

### Report in the Public Interest

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

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

### Written Recommendations

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

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

### Objections Received

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

### Other Powers and Duties

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

### Independence

We communicated our assessment of independence in our Audit Results Report to the Civic Affairs Committee on 14 February 2018 and 25 July 2018. In our professional judgement the firm is independent and the objectivity of the audit engagement partner and audit staff has not been compromised within the meaning regulatory and professional requirements.

### Control Themes and Observations

Our audit did not identify any controls issues to bring to the attention of the Civic Affairs Committee.



**06**

**Focused on your future**



## Focused on your future

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

Standard	Issue	Impact
<b>IFRS 9 Financial Instruments</b>	<p>Applicable for local authority accounts from the 2018/19 financial year and will change:</p> <ul style="list-style-type: none"> <li>▶ How financial assets are classified and measured;</li> <li>▶ How the impairment of financial assets are calculated; and</li> <li>▶ The disclosure requirements for financial assets.</li> </ul> <p>There are transitional arrangements within the standard and the 2018/19 Accounting Code of Practice for Local Authorities has now been issued, providing guidance on the application of IFRS 9. In advance of the Guidance Notes being issued, CIPFA have issued some provisional information providing detail on the impact on local authority accounting of IFRS 9, however the key outstanding issue is whether any accounting statutory overrides will be introduced to mitigate any impact.</p>	<p>Although the Code has now been issued, providing guidance on the application of the standard, along with other provisional information issued by CIPFA on the approach to adopting IFRS 9, until the Guidance Notes are issued and any statutory overrides are confirmed there remains some uncertainty. However, what is clear is that the Council will have to:</p> <ul style="list-style-type: none"> <li>▶ Reclassify existing financial instrument assets</li> <li>▶ Re-measure and recalculate potential impairments of those assets; and</li> <li>▶ Prepare additional disclosure notes for material items.</li> </ul> <p>The Council is yet to carry out a review of their financial instruments to assess the potential impact.</p>
<b>IFRS 15 Revenue from Contracts with Customers</b>	<p>Applicable for local authority accounts from the 2018/19 financial year. This new standard deals with accounting for all contracts with customers except:</p> <ul style="list-style-type: none"> <li>▶ Leases;</li> <li>▶ Financial instruments;</li> <li>▶ Insurance contracts; and</li> <li>▶ For local authorities; Council Tax and NDR income.</li> </ul> <p>The key requirements of the standard cover the identification of performance obligations under customer contracts and the linking of income to the meeting of those performance obligations.</p> <p>Now that the 2018/19 Accounting Code of Practice for Local Authorities has been issued it is becoming clear what the impact on local authority accounting will be. As the vast majority of revenue streams of Local Authorities fall outside the scope of IFRS 15, the impact of this standard is likely to be limited.</p>	<p>As with IFRS 9, some provisional information on the approach to adopting IFRS 15 has been issued by CIPFA in advance of the Guidance Notes. Now that the Code has been issued, initial views have been confirmed; that due to the revenue streams of Local Authorities the impact of this standard is likely to be limited.</p> <p>The standard is far more likely to impact on Local Authority Trading Companies who will have material revenue streams arising from contracts with customers. The Council will need to consider the impact of this on their own group accounts when that trading company is consolidated.</p> <p>Given the nature of the Council's income streams, it is unlikely that the future implementation of IFRS 15 will have a material impact on the single entity financial statements of the Council. However, the Council is yet to carry out a review of contract income from service recipients to assess the potential impact.</p>



## Focused on your future (cont'd)

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



# 07 Audit Fees

## Audit Fees

As part of our reporting on our independence, we set out below a summary of the fees paid for the year ended 31 March 2018.

We confirm we have undertaken non-audit work outside the PSAA Code requirements in relation to our work on the 2016/17 Pooling of Housing Capital Receipts Return which was completed during the 2017/18 financial year. We have adopted the necessary safeguards in our completion of this work.

Non-audit work is work not carried out under the Code. We have adopted the necessary safeguards in completing this work and complied with Auditor Guidance Note 1 issued by the NAO in Month Year.

	Final fee 2017/18	Planned fee 2017/18	Scale fee 2017/18	Final Fee 2016/17
	£	£	£	£
Standard fee	51,979	51,979	51,979	51,979
Group reporting	8,150	7,500 - 10,500	N/A	4,530
Capital transactions	8,750	2,000 - 7,500	N/A	N/A
FMS implementation	19,978	10,000-25,000	N/A	N/A
Cash flow restatement	750	750	N/A	N/A
<b>Total audit fee - code work</b>	<b>89,607</b>	<b>72,229 - 95,729</b>	<b>51,979</b>	<b>56,509</b>
Other non-audit services not covered above (Housing Benefits)	15,077	15,077	15,077	15,438
Other non-audit services not covered above (pooling return)	3,750	3,750	N/A	N/A
<b>Total other non-audit services*</b>	<b>18,827</b>	<b>18,827</b>	<b>15,077</b>	<b>15,438</b>
<b>Total fees</b>	<b>108,434</b>	<b>91,056 - 114,556</b>	<b>67,056</b>	<b>71,947</b>

We have agreed the additional fees with management as set out above. Details in relation to these have been set out as follows:

1. Group reporting - in addition to the work required over the subsidiary reporting we have also performed work over the group reporting for Cambridge Investment Partnership (CIP), as a newly consolidated entity in the year.
2. Capital transactions - there have been a number of capital transactions we have been required to perform additional work on. In particular we have worked with management to agree the complex accounting treatment in relation to CIP. The complexities involved in this have meant that more work was required than originally estimated, including the use of specialists to agree the correct treatment for the HRA.
3. FMS implementation - This fee arose as a result of the implementation of the new finance system in the year, including the use of IT specialists.
4. Cash flow restatement - additional fee for undertaking audit work on the restated 2016/17 cash flow statement.

\* Fees for other non-audit services will be finalised once the work has been concluded.

All scale fee variations will be subject to agreement with the PSAA.

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Item

## INTERNAL AUDIT UPDATE

**To:**

Civic Affairs Committee [10/10/2018]

**Report by:**

Jonathan Tully, Head of Shared Internal Audit Service

Tel: 01223 - 458180 Email: jonathan.tully@cambridge.gov.uk

**Wards affected:**

All

### 1. Introduction / Executive Summary

- 1.1 The purpose of this report is to inform the committee of the work of Internal Audit, completed between March 2018 to September 2018, and the developments within the team.
- 1.2 The role of Internal Audit is to provide the Civic Affairs committee, and Management, with independent assurance on the effectiveness of the internal control environment.

### 2. Recommendations

- 2.1 It is recommended that the Committee note the contents of the report.

### 3. BackgroundPage: 1

- 3.1 The Accounts and Audit Regulations 2015 require that the Council “must 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.”

- 3.2 Internal Audit assists the Council, and the Civic Affairs Committee, to discharge its governance responsibilities. Our work supports the Council's corporate objectives, and the corporate governance framework.
- 3.3 Internal audit coverage is planned so that the focus is upon those areas and risks which will most impact upon the council's ability to achieve its objectives.
- 3.4 Internal Audit work should help add value to the Council by helping to improve systems, mitigate risks, and subsequently inform the Annual Governance Statement.

#### **4. Implications**

##### **(a) Financial Implications**

None.

##### **(b) Staffing Implications**

The audit plan reflects current available resources, and factors in current vacancies in the team, plus time for successful recruitment.

##### **(c) Equality and Poverty Implications**

There are no implications.

##### **(d) Environmental Implications**

None.

##### **(e) Procurement Implications**

None.

##### **(f) Community Safety Implications**

None.

#### **5. Consultation and communication considerations**

None

#### **6. Background papers**

Background papers used in the preparation of this report:

- Risk-Based Internal Auditing – Working Standards and Procedures

- Public Sector Internal Audit Standards
- CIPFA Local Government Application Note
- Cambridge City Council Risk Registers
- Corporate Plan

## **7. Appendices**

- a) Internal Audit Progress report
- b) Audit definitions

## **8. Inspection of papers**

To inspect the background papers or if you have a query on the report please contact:

Jonathan Tully, Head of Shared Internal Audit Service,  
tel: 01223 - 458180, email: [jonathan.tully@cambridge.gov.uk](mailto:jonathan.tully@cambridge.gov.uk).

# Appendix A – Internal Audit Progress report

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## Cambridge City Council

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### Introduction

1. Management is responsible for the system of internal control and establishes policies and procedures to help ensure that the system is functioning correctly. On behalf of the Civic Affairs Committee, Internal Audit acts as an assurance function by providing an independent and objective opinion on the control environment.
2. The purpose of this report is to provide an update on the recent work completed by internal audit. The information included in the progress report will feed into and inform our overall opinion in the annual Head of Internal Audit (HoIA) report issued at the year end. This opinion will in turn be used to inform the Annual Governance Statement which accompanies the Statement of Accounts. We previously provided an update, to the committee, in July 2018.
3. Where appropriate reports are given an overall opinion based on four levels of assurance. This is based on the evaluation of the control and environment, and the type of recommendations we make in each report. If a review has either “Limited” or “No” assurance, the system is followed up to review if the actions are implemented promptly and effectively. Further information is available in Appendix B - Audit definitions.

## **Resources**

4. An audit plan is presented at least annually to the Civic Affairs Committee. It is good practice to continually review the plan, to reflect emerging risks, revisions to corporate priorities, and changes to resourcing factors. The latest internal audit plan, commencing April 2018, was presented to the Civic Affairs Committee on the 14<sup>th</sup> February 2018.
5. Since the previous report, to the Committee, there have been changes to the team. A business case and proposal for establishing a shared internal audit team was approved by South Cambridgeshire District Council and Cambridge City Council in 2017. Establishing a centralised team, operating from both sites, will enable economies of scale, more resilience, and smarter ways of working. We have successfully recruited into one of the vacant Senior Auditor posts, and have planned further advertising for the remaining vacant posts which are currently resourced through agency workers.
6. Progress of the plan delivery is illustrated on the following pages for information.

**Progress against the plan**

Finalised reviews

The following audit assignments have reached completion, since the previous report to the committee:

Assurance			Actions				Commentary
System reviewed	Prior review:	New Assurance:	Critical:	High:	Medium:	Low:	
Council Tax	Significant <i>Sept 2013</i>	Significant	0	0	1	0	<p>There are strong controls in place to ensure both accurate billing and good collection management. The controls are operating effectively and a number of areas of good practice were identified during the review, including:</p> <ul style="list-style-type: none"> <li>• regular reconciliation to the Valuation Office Agency;</li> <li>• exemptions are automatically removed;</li> <li>• regular and comprehensive single person discount verification is undertaken;</li> <li>• refunds are created correctly, properly evidenced, and</li> <li>• collection rates are regularly reviewed and reported.</li> </ul> <p>The Council is working on a revised write off policy / procedure document. This will help to streamline the write off process and reflect the revised write off authorisation thresholds.</p>
National Non Domestic Rates	N/A – New risk based review	Full	0	0	0	0	<p>Our review of the NNDR system concluded that the system is well managed, and the key controls are operating effectively. A number of areas of good practice were identified during the review, including:</p> <ul style="list-style-type: none"> <li>• regular reconciliation to the Valuation Office Agency;</li> <li>• the NDR1 estimated return is completed annually and independently checked prior to submission;</li> <li>• the daily receipts are allocated to NDR accounts correctly;</li> </ul>

Assurance			Actions				Commentary
System reviewed	Prior review:	New Assurance:	Critical:	High:	Medium:	Low:	
							<ul style="list-style-type: none"> <li>• bills are raised promptly, arrears are chased, debts are written-off where recovery is not possible; and</li> <li>• all system parameter amendments are reviewed and approved by the Head of Revenues and Benefits.</li> </ul> <p>There were no actions arising from this review.</p>
Building Control Fees	N/A – New review	Limited	0	4	4	1	<p>We completed a review of the shared service, as the lead authority. The service had a challenging start, relying upon interim management and temporary staff to cover vacant posts. A permanent Strategic Lead was appointed in June 2017. The service is now benefiting from increased stability in leadership and permanent staffing, enabling the Strategic Lead to focus on service delivery and identifying areas where opportunities to increase income can be developed.</p> <p>The review identified that the governance arrangements for the approval of the fees structure needed to be reviewed, with delegations established within each of the partner authorities to ensure that the Joint Director of Planning and Economic Development (or his nominee) has the appropriate authority to set fee structures for the shared service. The Strategic Lead is working to ensure that these delegations are established.</p> <p>The review identified opportunities to improve financial procedures, in particular the reconciliation of income due on the Uniform system to the income received within the new Financial Management System, and the procedures for monitoring/chasing outstanding invoices.</p> <p>During the audit it was noted that changes were introduced to streamline income procedures, and work is on-going to introduce</p>

Assurance			Actions				Commentary
System reviewed	Prior review:	New Assurance:	Critical:	High:	Medium:	Low:	
							<p>on-line payments, which should generate further efficiencies within the service.</p> <p>Management have agreed actions to improve the internal controls and these will be followed up by the Internal Audit team.</p>
Housing Benefit Assurance Program – Parameter Testing	Full <i>July 2017</i>	Full	0	0	0	0	<p>The team completed a review of two modules of the Housing Benefit Count, using the diagnostic templates and criteria set by the Public Sector Audit Appointments. This work provided assurance to the external auditors, that the system parameters were set and calculated correctly, and was timed to support the review of the Statement of Accounts.</p> <p>We adapted our approach to completing the work, enabling us to reduce the amount of time needed to complete the testing. This was a positive achievement, given the reduced timescale for completing the Statement of Accounts.</p> <p>There were no actions arising.</p>
Sickness Absence	N/A - New review	Significant	0	0	4	0	<p>This audit reviewed the procedures in place for managing sickness absence, and the guidance available to managers. A sample of cases, from high risk areas, was reviewed for compliance.</p> <p>The Council has sickness absence policies and procedures in place for managing both short-term and long-term sickness absence. During the review a new Sickness Absence Management Policy has been implemented, combining the intermittent and long-term sickness absences process. This will help to strengthen the existing procedures to help managers reduce and manage sickness absence.</p>

Assurance			Actions				Commentary
System reviewed	Prior review:	New Assurance:	Critical:	High:	Medium:	Low:	
Carbon Management Data Quality	Significant <i>September 2017</i>	Significant	0	3	0	0	<p>The Council collates annual energy consumptions and fuel usage data, and converts these into tonnes of CO2 emissions, to demonstrate how it is reducing carbon emissions. This information is then reported to members in the Annual Greenhouse Gas report and used to complete the Authority's annual carbon emissions data submission to the Department for Business, Energy and Industrial Strategy (BEIS).</p> <p>We were requested to complete a data quality check, as an additional piece of unplanned work. This included reviewing the accuracy of data input, and that all calculations and formulae were correct. Data was also verified back to available source data. Feedback was provided where data was incorrect, the appropriate corrections were completed, and the revised data sets were subsequently rechecked. This provided assurance that the data was reliable. We also identified opportunities to improve the data collection and calculation process, and will help support their implementation for the next year's calculation.</p>
Annual Governance Statement	<i>July 2017</i>	N/A	NA	NA	NA	NA	We prepared the draft Annual Governance Statement and the Local Code of Governance, which was reviewed and approved by the Civic Affairs Committee.

## Works in Progress

The following reviews are currently in progress:

<b>System reviewed</b>	<b>Prior review:</b>	<b>Commentary and update</b>
Grant assurance - Disabled Facility Grant	Unqualified opinion <i>September 2017</i>	We have commenced our review of grant funding, which is part of the Better Care Fund, to ensure that funds have been spent according to grant conditions set by the Ministry of Housing Communities and Local Government. Two grant payments totaling £704k were allocated to the Council in 2017/18; we have certified one grant and are now reviewing the second.  The review includes further sampling of Disabled Facility Grants, allocated to the public, to ensure that they have been processed effectively and efficiently.
Agency Contract	N/A - New review	We have concluded our testing of this system, and are currently completing our working papers.
Premises Security	N/A - New review	Testing of the control environment, and compliance testing of data, has been completed, and we are currently completing our working papers. Recommendations are being made to improve policies and procedures.
Scheme of delegation - Compliance	N/A - New review	We have concluded our testing of this system, and are currently completing our working papers.
Serious Organised Crime	N/A - New review	We have commenced our review of the Council's framework for proactively managing and responding risks associated with Serious Organised Crime.
Project - Streets & Open Spaces	No assurance <i>July 2016</i>	We have started preparing our follow-up review of this system, to test the effectiveness of the actions from the previous audit.

System reviewed	Prior review:	Commentary and update
Safeguarding - 3rd Party Providers & Contractors	Significant <i>September 2015</i>	We have commenced our testing of this system.
Performance Management	Significant <i>January 2013</i>	We have commenced our testing of this system.

Work completed to date

Below is a summary of other work completed to date, from the current year and internal audit plan. These have already been reported to the Civic Affairs Committee, will be used to inform the annual opinion, and further information can be read in the previous committee reports.

Assurance			Actions			
System reviewed	Date reported:	Assurance / Status:	Critical:	High:	Medium:	Low:
Annual Internal Audit Opinion	July 2018	Completed	0	0	0	0
Public Sector Internal Audit Standards review	July 2018	Completed	0	0	0	0
National Fraud Initiative	July 2018	Ongoing	0	0	0	0

## Counter fraud and corruption update

7. The Council participates in a national data matching service known as the National Fraud Initiative (NFI), which is run by the Cabinet Office. Data is extracted from Council systems for processing and matching. It flags up inconsistencies in data that may indicate fraud and error, helping councils to complete proactive investigation. Nationally it is estimated that this work has identified £1.69 billion of local authority fraud, errors and overpayments since 1996. Historically this process has not identified significant fraud and error at Cambridge City Council, and this provides assurance that internal controls continue to operate effectively. Work has commenced on reviewing the current matches, and will continue throughout the year. Any significant matters arising in terms of fraud and error identified will be reported, and there are no matters arising at this time. The Cabinet Office has issued a briefing paper<sup>1</sup> on the current exercise, and the next data extract is currently being planned.

## Other audit and assurance activity

8. The Public Sector Internal Audit Standards (PSIAS) require that Internal Audit develops and maintains a quality assurance and improvement programme that covers all aspects of the Internal Audit activity. External assessments must be conducted at least once every five years by a qualified, independent assessor. The internal audit team completed a self-assessment, to the Public Sector Internal Audit Standards, and the supplementary Local Government Application Note, and this was independently verified by CIPFA. This provided assurance that we “**Generally Conform**” with the Public Sector Internal Audit Standards (PSIAS) and the accompanying Local Government Application Note (LGAN). This is a positive achievement for the team and was reported to the Civic Affairs committee at the previous meeting.
9. We have provided advice and consultancy on a number of activities, and also completed some special investigations to date. A contingency resource is included within our plan to manage a reasonable amount of unplanned work.

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<sup>1</sup>[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/737146/National-Fraud-Initiative-Report-2018.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/737146/National-Fraud-Initiative-Report-2018.pdf)

10. We contributed to the review of the Annual Governance Statement, and the Local Code of Governance, which accompanies the Statement of Accounts. The draft version was reported to the Civic Affairs committee at the previous meeting, and approved with the Statement of Accounts.

## Appendix B - Audit definitions

An assurance opinion is provided at the conclusion of the audit. The following definitions are used by Internal Audit to assess the level of assurance which may be provided, and to assess the impact of individual findings. We categorise our opinions according to our assessment of the controls in place and the level of compliance with them

Assurance	Description
<b>FULL</b>	The system is designed to meet objectives / controls are consistently applied that protect the Authority from foreseeable risks
<b>SIGNIFICANT</b>	The system is generally sound but there are some weaknesses of the design of control and / or the inconsistent application of controls. Opportunities exist to mitigate further against potential risks
<b>LIMITED</b>	There are weaknesses in the design of controls and / or consistency of application, which can put the system objectives at risk. Therefore, there is a need to introduce additional controls and improve compliance with existing ones to reduce the risk exposure for the Authority
<b>NO</b>	Controls are weak and / or there is consistent non-compliance, which can result in the failure of the system. Failure to improve controls will expose the Authority to significant risk, which could lead to major financial loss, embarrassment or failure to achieve key service objectives

We categorise our **recommendations** according to their level of risk and priority for implementation:

Priority	Description	Timescale
<b>CRITICAL</b>	Extreme control weakness that jeopardises the complete operation of the service.	To be implemented immediately
<b>HIGH</b>	Fundamental control weakness which significantly increases the risk / scope for error, fraud, or loss of efficiency.	To be implemented as a matter of priority
<b>MEDIUM</b>	Significant control weakness which reduces the effectiveness of procedures designed to protect assets and revenue of the Authority.	To be implemented at the first opportunity
<b>LOW</b>	Control weakness which, if corrected, will enhance control procedures that are already relatively robust.	To be implemented as soon as reasonably practical

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## **FREEDOM OF INFORMATION, DATA PROTECTION AND TRANSPARENCY: ANNUAL REPORT 2017/18**

**To:**  
**Civic Affairs Committee 10/10/2018**

**Report by:**

**Jo Brooks Data Protection Officer & Information Governance Officer  
(3C Information Governance)**

**Tel: 07814 390 368. Email: jo.brooks@3csharedservices.org**

**Wards affected:**

All

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### **1 INTRODUCTION**

- 1.1 This report provides Civic Affairs Committee with an annual report on performance and activity during 2017/18 on transparency issues, including: data protection; requests for information under Freedom of Information (FOI) and Environmental Information Regulations (EIR); and open data.

### **2. RECOMMENDATIONS**

- 2.1 Note: Changes to information legislation under GDPR & Data Protection Act 2018 in May 2018

#### **Information Governance Service**

### **2.2**

The Information Governance (IG) service falls under the 3C ICT shared service with Huntingdonshire District Council and South Cambridgeshire District Council. The IG service produces and implements the Information Governance framework regarding Access to information, Information Management and Data Protection and information security, in accordance with legislation. The four person

team is headed up by the Information Governance Manager who is also the Data Protection Officer; this is a new independent statutory role mandatory for local authority.

### 3. **DATA PROTECTION**

#### **Background & Changes to Legislation**

- 3.1 The Council collects and holds a wide range of personal information about our tenants, residents and the users of our services. This information helps us to provide services and assist our customers.
- 3.2 The Data Protection Act (DPA) provides a framework to ensure that personal information is handled appropriately, fairly and securely. Note the legislation went through an overhaul in May 2018 when the General Data Protection Legislation (GDPR) came into force and was enacted in to UK law by the Data Protection Act 2018. The Council must process personal data in accordance with the Data Protection Principles, as follows:
- Information must be processed fairly and lawfully. This means that the individual providing personal information to Council services must clearly understand why their data is needed, who it will be shared with, giving them a clear indication of how their personal data will be used.
  - Personal information is collected for specified, explicit and legitimate purposes, and ensuring that the information collected is not processed in a manner incompatible with those purposes.
  - Using personal information only for the purposes specified by the authority to the Information Commissioner Office (ICO)
  - Processing is adequate, relevant and limited to what is necessary.
  - Ensuring that personal information collected is accurate, kept up to date, and inaccurate, information is erased or rectified without delay.
  - kept in a form which permits identification of data subjects for no longer than is necessary.
  - Ensuring that personal data is kept securely. The Council is required to take appropriate technical and other measures to prevent unauthorised or unlawful access to personal information, or accidental loss, destruction or damage of personal information.
  - Ensuring that personal information about individuals is not shared with other people or organisations, except in the circumstances

described by the Act. These exceptions to the Act include when information could assist in the prevention and detection of a crime, the apprehension or prosecution of offenders and matters of taxation and where disclosure is required by law or in connection with legal proceedings.

- Providing individuals with access to information held by the Council about them, through responding to Subject Access Requests and by upholding their enhanced rights. The Council must now be much clearer about what we do with individual's personal data through our Privacy Notices. Other rights include the right to rectification, erasure, to restrict processing, data portability, and to object to processing.
- The Council is now required to prove accountability - it does this by recording its processing activity (The Council maintains an Information Asset Register) and is required to have processing agreements or sharing agreements in place with all third party processors of personal data.

### **Data Breaches**

- 3.3 If the Council is in breach of the above data protection principles, it can have a significant impact on the individual(s) affected. In particular, the loss or unauthorised sharing of personal information can have serious impacts, ranging from harassment to identity theft. In such circumstances, public bodies such as the City Council can be liable for significant fines.
- 3.4 The Information Commissioners Office (ICO) receives reports of breaches of the Data Protection Act and makes decisions in each case. The ICO under the new law has the power to impose fines of up to £17million (previously the maximum was £500,000) for breaches of data protection obligations, as well as issuing enforcement notices and requiring organisations to sign undertakings to improve their practices.
- 3.5 Their guidance on notification of data breaches under the new law is that where a breach incident is likely to result in risk to the rights and freedoms of individuals, the Council must inform the ICO within 72 hrs and if its likely to result in high risk to rights and freedoms of

individuals, the Council has a lawful duty to inform the individuals without undue delay. The Council has a new incident policy to reflect this.

- 3.6 The Council consider the following factors as laid out in the (ICO) guidance when considering what should be reported. Potential detriment and adverse affect to the data subject is the overriding consideration. This includes emotional distress, and includes information about the private aspects of a person’s life becoming known to others. The extent of detriment depends on the volume of the data and its sensitivity. Where there is little risk that individuals would suffer significant detriment there is no need to report.

## Cambridge City Council Performance 2017/18

- 3.7 The council records incidences of data breaches or incidents. In 2017/18 eleven incidents were reported by staff or the public. This is a reduction on the previous years (16 incidents were reported 2016/17)

Type of incident	Count
<b>Cyber security</b> <ul style="list-style-type: none"> <li>Malware potentially affecting one computer.</li> <li>Spear phishing email (Email posing as someone known to the receiver or a known account).</li> <li>Nation-wide ransom-ware attack (WannaCry) Some machines disabled from the network as a precautionary measure.</li> <li>A Councillors personal email hacked.</li> </ul>	4
<b>Data posted to incorrect recipient</b> <ul style="list-style-type: none"> <li>There have been 3 instances where emails containing personal information have been sent to the wrong recipient in error.</li> </ul>	3
<b>Failure to properly redact data</b> <ul style="list-style-type: none"> <li>Ineffective or incorrect redaction of documents.</li> </ul>	2

<ul style="list-style-type: none"> <li>• Personal data published in error.</li> </ul>	
<b>Inappropriate disclosure</b>	
<ul style="list-style-type: none"> <li>• Tender evaluation data provided to unsuccessful bidder</li> </ul>	1
<b>Loss</b>	
<ul style="list-style-type: none"> <li>• Licence application mislaid.</li> </ul>	1

3.8 In all instances, immediate steps were taken by officers to mitigate the incident, once known, such as contacting incorrect receiver of emails from the recipients of the email and those affected, and removing documents from the Council's website. Management actions have also been taken to continue to reduce the risk of similar incidents taking place in future, including new data protection and cyber security training.

3.9 The decision was made to notify the ICO of the malware incident affecting one computer, due to the potential risk that may have existed, to enable individuals to safeguard themselves from any potential risk. Where possible those individuals have been informed. To date no one has been adversely affected. We have supported the ICO with their review; however we have not been informed of any findings to date.

3.10 Increased awareness of data protection further to this years work across the authority in preparation for the changes to legislation (GDPR) has resulted in more enquiries especially around information sharing and safe disposal of information and retention practices. This is a positive outcome for the council, as staff are more aware of data protection and vigilant to areas of risk.

3.11 An Information Security Group (ISG) meets regularly to review issues and drive improvements in the Council's approach to information security matters. Membership includes the Head of Service or senior managers representing City Council services that handle a high volume of personal data, including Revenues and

Benefits, Housing, Customer Services, Community Services and Human Resources. The Group is chaired by the Senior Information Risk Owner. The Strategic Director took over this role in July 2018

- 3.12 The IG team have put in place a web policy portal which contains up to date data security suite of policies, these alongside other IG framework policies will be accessible in a one stop shop on the Information Governance 3C intranet. Numerous Information governance policy and guidance have been updated or created to reflect the enhanced accountability measures under the new Data Protection Legislation.
- 3.13 Staff training and awareness of data protection continues to be key to data protection compliance in the City Council. All new staff are required to complete a *Data Protection* e-learning module, ideally on their first day of employment within the organisation. This may not be feasible in all situations (i.e. where a colleague is still waiting for their email account to be created) and therefore in these circumstances we allow 10 days for this to be completed. Temporary staff are also required to complete the Data Protection e-learning module as part of their first day induction.
- 3.14 A session on information security is included at corporate induction, attended by all staff joining the Council.
- 3.15 In addition to new staff, all existing staff with access to Council IT accounts are required to complete the GDPR and Data Protection e-learning module. At the time of this report 575 had completed the new training. The team are monitoring to ensure this is achieved.

The Information Governance team have procured a new information security video training module for staff and Members, which covers awareness in cyber security in addition to how to protect information in general. Staff will be expected to complete both training modules within a twelve month period this will serve to keep good data protection practices fresh in mind.

- 3.16 GDPR awareness training seminars were run for staff and Members.

3.17 Specific training requirements are identified in the Training Needs Assessment and rolled out in an annual programme.

### Looking Forward

3.18 The implementation of the GDPR into UK law of has been the focus of the Information Governance team. Preparation for the Council to comply with the tighter legislation has included many work streams and focused on the following key legislative changes –

Personal data	<ul style="list-style-type: none"> <li>•Definition of 'identifiers' expanded</li> <li>•Includes biometric , IP.</li> </ul>
Accountability	<ul style="list-style-type: none"> <li>•Council must have robust data protection measures in place and <b>prove</b> accountability .</li> <li>•Must create and maintain a record of all processing activities</li> <li>•A data protection by default ethos carrying out data protection impact assessments for systemic changes in use &amp; new systems use.</li> </ul>
Third parties	<ul style="list-style-type: none"> <li>•Must ensure contracts are in place with thirds parties</li> <li>•Where no contracts, data sharing agreements</li> </ul>
Rights	<ul style="list-style-type: none"> <li>•Increases rights of the individual</li> <li>•Obliges Council to be clear about data use</li> </ul>

3.19 Service level reports with 10 actions were produced as a method to record tasks and monitor the progress to make the necessary compliance changes, to enable scheduled conclusion of tasks. A GDPR consultant has assisted with this work (July- September 2018). The Council is in a satisfactory position in terms of compliance.

3.20 The IG team have produced a 2018/19 forward plan which itemises compliance tasks to ensure the Council has appropriate measures in place to protect personal data, which underwent review by the Information Security Group and will be reviewed by the 3C Board in October 2018. The forward plan reinforces the requirement to embed

a robust accountability structure (see appendix C) and regular engagement with those parties is scheduled.

### **3.21 ACCESS TO INFORMATION**

3.22 The Freedom of Information Act 2000 (FOI) and the Environmental Information Regulations 2004 (EIR) give rights of access to information held by public authorities. Both require the authority to proactively disclose certain information, and to release other information in response to requests, subject to certain exemptions.

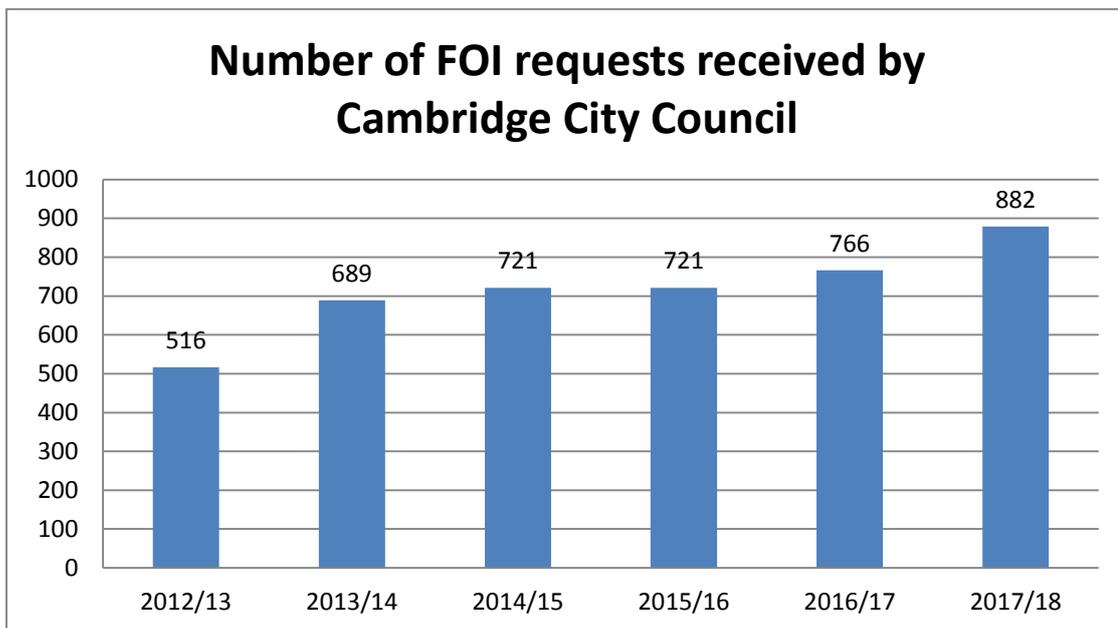
3.23 EIR gives access to information about the environment, and requests for information held by a number of Council services, including planning services, environmental services and the shared waste service, fall under this legislation.

#### Performance

3.24 In 2017/18 (April – March) the council received a total of 882 requests under FOI and EIR, a 15% increase in the number of requests received in the previous year.

3.25 The 2017/18 figure comprises of 2 elements: 767 requests answered by services at Cambridge City Council and 115 requests directed to CCC that were answered directly by 3C Shared Services teams.

3.26 As Figure 1 below shows, there has been a significant increase in the number of requests over the past 6 years, from 516 in 2012/13 to 882 in 2017/18. This represents an increase of 70 % over this period. There has been increase nationally. Top FOI enquirers were a number of personal search companies requesting land charges information. Journalists requesting homelessness figures and cost, and tower block fire safety (following Grenfell tragedy last year) and information on enforcement and licensing carried out by the council. These were followed by further enquiries from members of the public. General public enquiries still make up largest share of FOI requests, followed by Corporate and Media. Frequent topics relate to planning applications and developments.

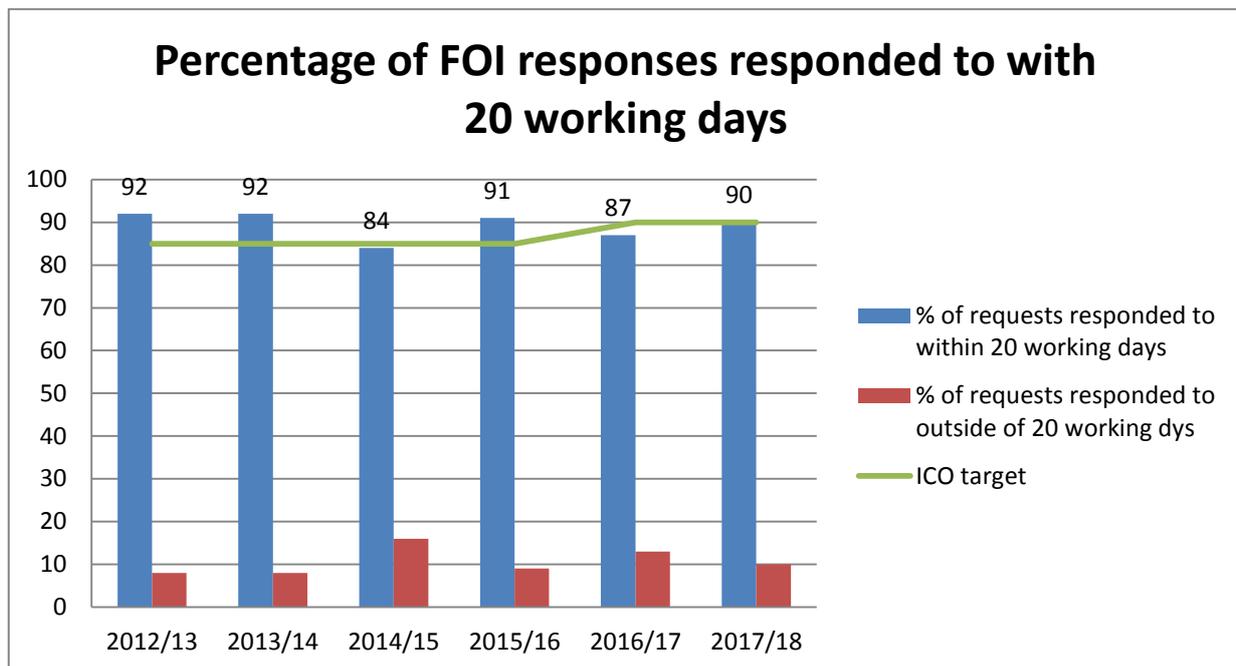


3.27 The authority has a duty to respond to FOI and EIR requests as soon as possible, and no later than 20 working days following receipt. This can be extended to 40 working days when considering the public interest on an exemption (FOI) or if the information requested is 'complex and voluminous' (EIR).

3.28 The Council responded to 90% of FOI requests in 2017/18 within 20 working days. This performance meets the threshold set by the Information Commissioner's Office (ICO), which monitors the compliance of local authorities with FOI legislation. The Council has a performance target of 100%.<sup>1</sup>

3.29 As Figure 2 below shows, the Council's performance on FOI requests within 20 working days has been above the ICO threshold in 4 out of the last 6 years. Performance in 2014/15 (84%) dropped below the ICO threshold largely due to poor performance in Quarter 4, when 77% of requests were responded to on time. Performance in 2017/18 exceeded the ICO's previous target of 85% and meets the revised target of 90%.

<sup>1</sup> <https://ico.org.uk/media/action-weve-taken/monitoring/2791/how-the-ico-selects-authorities-for-monitoring.pdf>  
Version 4 published 3 March 2017



**Fig 2 Percentage of FOI responses responded to with 20 working days**

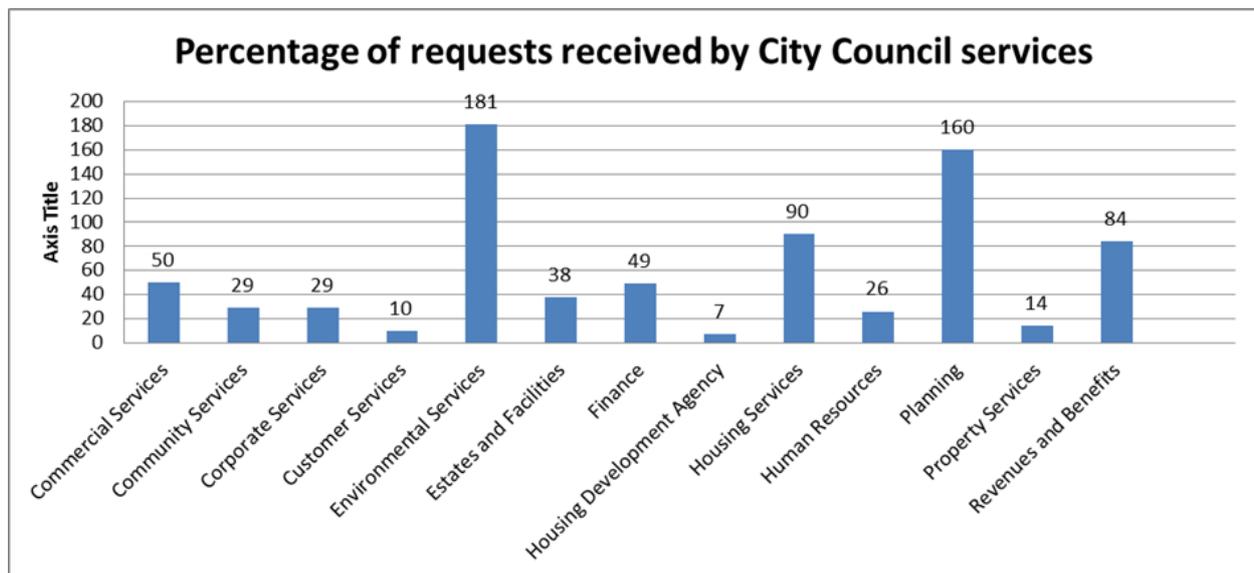
3.30 The average number of days taken for the Council to respond to the FOI requests is 10.73 days.

3.31 To improve the response further, weekly updates are now circulated to managers alerting them to requests that have five days remaining to conclude. Where responses did exceed the 20 working day limit, reasons include:

- complex requests involving a high volume of information to be considered
- information having to be gathered and collated from a number of sources
- taking time to consider relevant exemptions for disclosure of parts or all of the information requested

3.32 It should also be noted that, although the time limit for responding to most requests is 20 working days, there are some circumstances where it is legitimate to respond to a request under FOI and EIR within 40 working days. Under both FOI and EIR legislation, if a request is being clarified with the applicant then these requests should be placed 'on hold' and the time waiting for clarification should not count toward the overall processing time.

3.33 The number of requests received by different Council services varies significantly. Figure 3 below provides a breakdown of request by service area for the period April – March. Requests to three customer facing services account for over 50% of FOI requests to the council in 2017/18. The top three services were: Environmental Services (24%) Planning (21%) and Housing Services (12%).



**Fig 3 Percentage of requests received by City Council services**

3.34 The Council uses an FOI case management system to coordinate request handling.

### Looking Forward

3.35 The case management system went live in June 2017. It enables officers to manage their FOI caseload through automatic reminders of deadlines, the ability to centralise information disclosed, and by standardising responses by use templates improved quality of communication and compliance with legislation. All requests are logged and acknowledged centrally, and performance data is readily accessible to users.

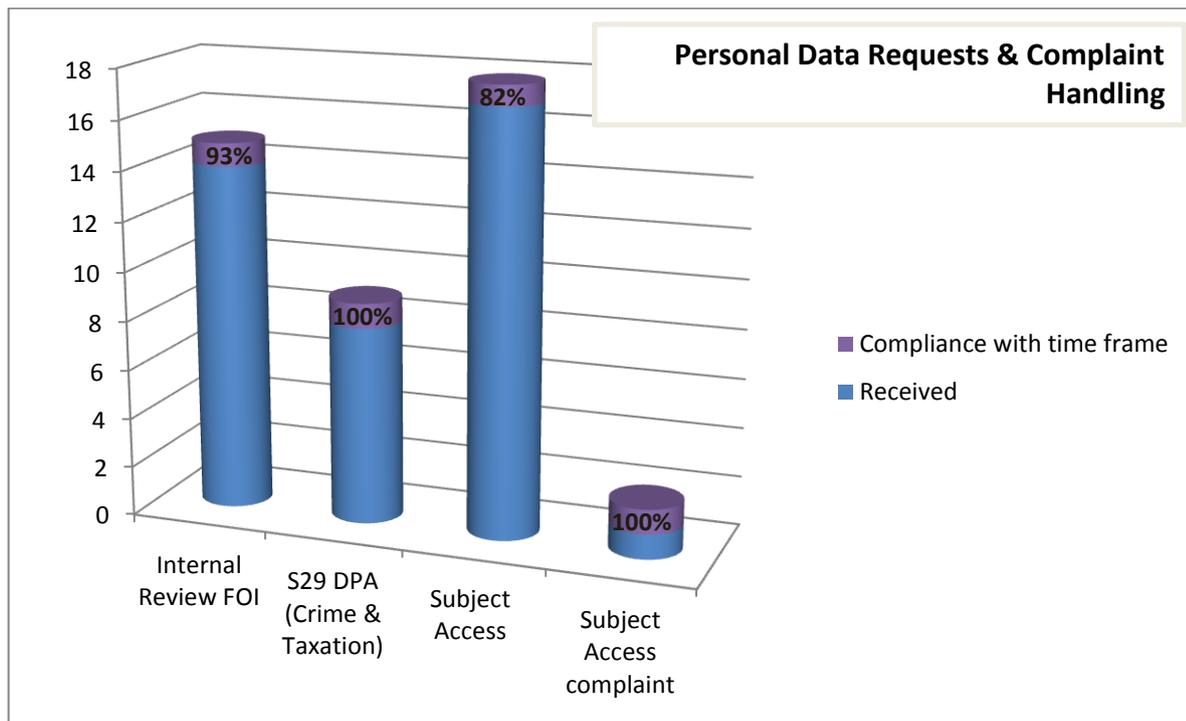
3.36 The case management system allows for central oversight of requests, reducing the administration time for requests and improving

the timeliness of responses. Where requests for information involve multiple services, these are managed centrally by the IG team therefore improving performance in handling complicated requests. The automated web site disclosure log will be implemented in October, allowing efficient publication of FOI responses on the website. This is currently manually uploaded: a laborious inefficient process.

3.37 The case management system is also used to log other information requests such as Section 29 requests, Subject Access Requests, Internal Reviews, Complaints and other information requests. The below statistics are available from April – March 2017/18.

3.38 Under GDPR, the public have a Right of Access which is equivalent to Subject Access Requests (SAR) under DPA 1998. However, the time period is reduced to 30 calendar days and a charge is not permissible. The data in the chart below relates to the period when a 40 day response time was required.

3.40 Internal reviews, Section 29 (crime & taxation) requests from third parties, complaints and other information requests should be answered within 20 working days.



### **3.41 OPEN DATA AND TRANSPARENCY**

3.42 The Council continues to pro-actively publish information and data as part of its work on open data and transparency. There are a number of drivers for this work

- Ensuring that the work of the Council is transparent and increasing access to information about the Council's activities so that members of the public can hold the Council to account – this is one of the City Council's core values
- Meeting the requirements of the Local Government Transparency Code
- Meeting the publication scheme requirements of the Freedom of Information Act.

3.43 The Local Government Transparency Code 2015 requires local authorities to publish specific datasets under a number of categories of information, and update this information on a quarterly or annual basis. See Appendix A for details of all mandatory datasets, all of which are available.

3.44 The Council also publishes a range of datasets (see Appendix B for a full list) in response to the requirement in the FOI Act to have a publication scheme, including information on:

- What the Council does
- What the Council spends and how it is spent
- Priorities and performance
- Inspection reports
- Decision-making
- Policies and procedures
- Lists and registers

- Services performed by the Council
- 3.45 In addition to the data that the Council is required to publish by the Transparency Code and the FOI Act, we have also identified data and information which is most frequently requested under FOI and EIR and published it voluntarily on the Council's website. The aim of this work is to reduce the burden of responding to FOI and EIR requests and to make data more easily accessible to our customers.
- 3.46 The council regularly publishes data most frequently requested under Freedom of Information. These relate to the Council's Non-Domestic Rates (Business Rates) and information held by the Bereavement Services regarding assisted funerals. While the Council continues to receive requests for this information, proactive publication has reduced the time taken to respond to these requests significantly, because requesters can be quickly directed to the information on the website, rather than staff having to generate the data in response to each request.
- 3.47 It would not be practical for the Council to publish all the information requested under FOI on a proactive basis. The Council receives a wide range of requests for information, many of which are not repeated. Where possible the Council continues to identify datasets that can be proactively published to meet public demand for information, and refer requesters to this information as much as possible. This can include information published by third parties.
- 3.48 The IG team will be running an Open Data Strategy over the next twelve months, working with partners at Cambridgeshire County Council, publishing our data sets through the Cambridgeshire Insight web site. This allows users to access City Council data alongside data from neighbouring authorities; making the data available more widely through the national data.gov.uk portal; and providing additional metadata about the datasets, which will improve the Open Data classification rating of our information.

### **3. 49 CONCLUSIONS**

The Council takes transparency issues seriously and is broadly compliant with the legislation. A number of measures have been put in place to increase the Council's performance in these areas, and to reduce the risk of breaches in compliance with the legislation.

Officers will continue to review practice, learning from 3C ICT partners and others to strive to continually improve performance, serve residents better and reduce the council's exposure to risk.

### **4. IMPLICATIONS**

#### **(a) Financial Implications**

No decisions with financial implications are proposed in this report.

#### **(b) Staffing Implications**

Staff will continue to be supported to understand and meet their obligations regarding the protection of personal data and to apply appropriate practices in accordance with the new information legislation and the Councils policies.

#### **(c) Equality and Poverty Implications**

This report does not propose decisions with equalities impacts, so and EqIA has not been produced.

#### **(d) Environmental Implications**

No decisions with environmental implications are proposed in this report.

#### **(e) Procurement**

n/a

### **5. Consultation and communication**

As set in the body of the report, the need for vigilance and training on data protection and related matters has been communicated to managers and staff regularly. Senior managers have been consulted in the production of this report.

### **6. BACKGROUND PAPERS:**

No background papers that were used in the preparation of this report:

## **7. APPENDICES**

**Appendix A** Local Government Transparency Code Datasets  
(Mandatory)

**Appendix B** Data already available through FOI Publication Scheme

**Appendix C** Information Governance Accountability Framework

**8.** To inspect the background papers or if you have a query on the report please contact Jo Brooks. Tel: 07814 390 368. Email: [jo.brooks@3csharedservices.org](mailto:jo.brooks@3csharedservices.org)

Appendix A: Local Government Transparency Code Datasets (Mandatory)

Information Title	Dataset	Frequency
Expenditure over £500	Details of each individual item of expenditure that exceeds £500	Quarterly
Government procurement card transactions	Details of every transaction on a Government Procurement card	Quarterly
Procurement information	Invitation to tender for contracts with a value over £5,000	Quarterly
	Details of any contract, commissioned activity, purchase order, framework agreement or other legally enforceable agreement with a value over £5,000	Quarterly
Local Authority Land	Publish details of all land and building assets	Annual
Grants to voluntary, community and social enterprise organisations	Grants to voluntary, community and social enterprise organisations, either through tagging transactions in the expenditure over £500 dataset or publishing as a separate list or register	Annual
Organisation chart	Organisation chart covering staff in top 3 levels of the organisation	Annual
Trade Union facility time	Number of union representatives, number or representatives devoting at least 50% of their time to union activities, trade unions represented in the local authority, estimate of spending on the unions as a percentage of total pay bill	Annual
Parking revenues	Revenue collected from on and off street parking, parking enforcement notices	Annual
Controlled parking spaces	Number of marked out controlled on and off street parking spaces	Annual
Senior salaries	Number of employees whose remuneration was at least £50,000, details of remuneration and job title of senior employees whose salary is at least £50,000, list of functions these staff are responsible for, budget held	Annual
Constitution	Constitution	Annual
Pay multiple	Pay multiple defined as ratio between	Annual

Information Title	Dataset	Frequency
	highest paid salary and median salary of the workforce.	
Fraud	The Councils Counter Fraud work	Annual
Social Housing Asset Value	Value of social housing stock that is held in the housing revenue account.	Annual

## **Appendix B – Data already available through FOI Publication Scheme**

### **What we do**

- Constitution
- Council and democratic structure
- Location and opening times of our offices
- Councillors information and contact details
- Election results
- Relationships and partnerships with other authorities

### **What we spend and how we spend it**

- Financial statements, budgets and variance reports
- Capital programme members allowance scheme
- Staff allowances, expenses pay and grading
- Election expenses
- Procurement
- District Auditors report
- Financial statements for projects and events
- Internal financial regulations
- Funding for our partnership arrangements

### **What our priorities are and how we are doing**

- Annual reports
- Strategies and business plans for services provided by the council
- Internal organisational performance reviews
- Strategies developed in partnership with other authorities
- Economic development action plan
- Forward Plan

### **Inspection reports**

- Statistical information provided by the Council
- Impact assessments service standards

### **How we make decisions**

- Timetable of committee and council meetings

- Agendas, minutes and reports
- Copies of agendas and decision notes
- Major policy proposals and decisions
- Copies of agendas and decision notices
- Public consultations and their outcomes
- Guidance and good practice notes for officers and Councillors

## **Our policies and procedures**

- Policies and procedures for conducting council business
- Codes of governance, our constitution and the regulations that inform how we make policies.
- Policies and plans for delivering our services
- Recruitment and employment policies and procedures
- Customer service standards
- Housing and tenancy services, complaints procedure
- Personal data policies
- Data protection policies and our privacy statement
- Charging regimes and policies

## **Lists and registers**

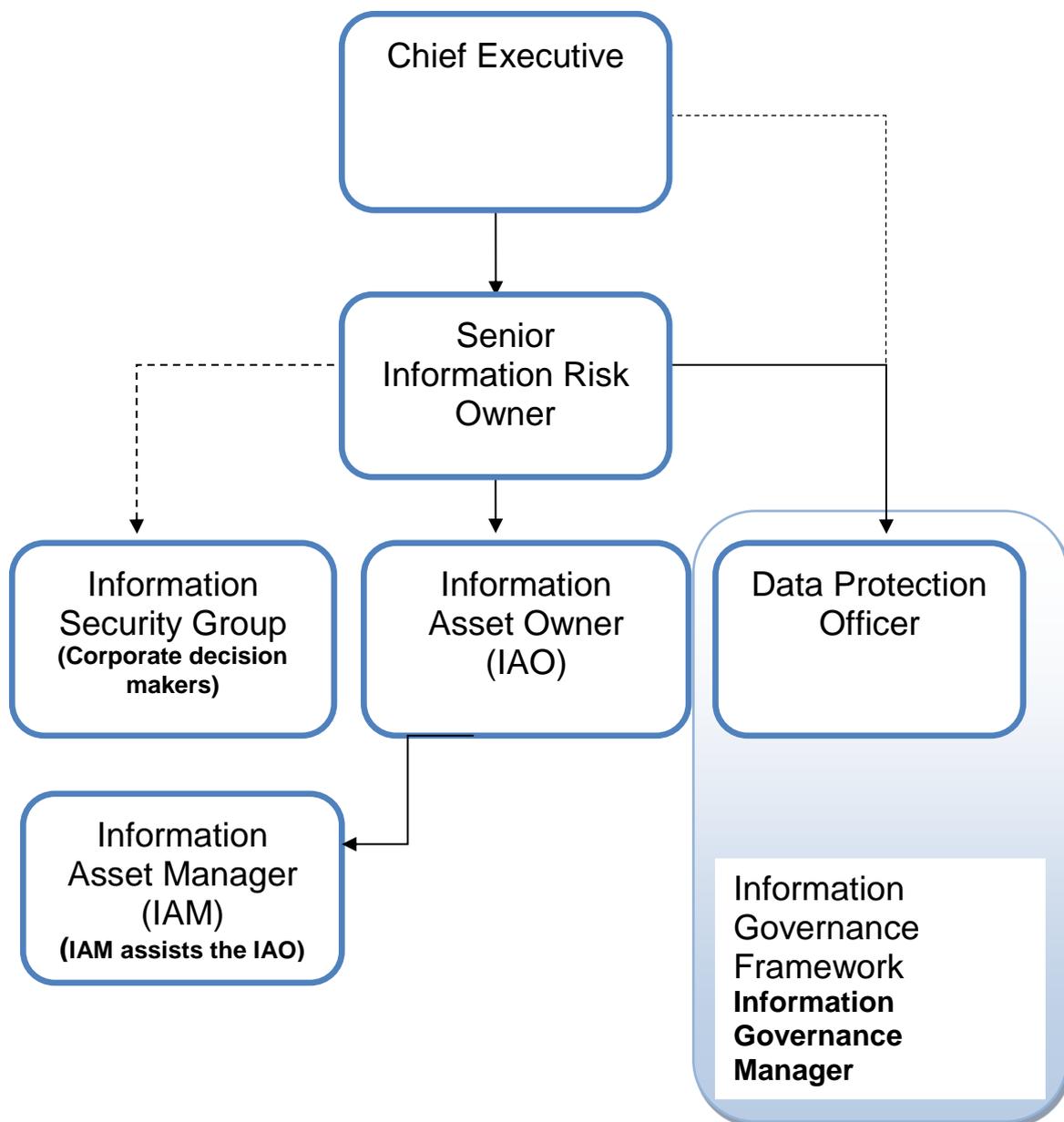
- Public registers
- Details of the registers we hold as public records and how to access them.
- Asset registers
- Information on the assets we hold and how we manage them.
- Freedom of Information disclosure log
- Register of councillors' financial and other interests
- You will need to select the Councillor you are interested in

## **Services provided by the Council**

- A-Z of the services we provide
- Information for visitors to the area
- Services for local businesses
- Economic data, information and advice, planning guidance
- Leisure information
- What is on in and around Cambridge

- Newsletters
- Newsletters produced for city residents and tenants
- Advice and guidance
- Details of the advice and guidance we give to city residents
- Media releases

## Appendix C - Information Governance Accountability Framework



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Item

## **ANNUAL COMPLAINTS AND FEEDBACK REPORT 2017-18**

**To:**

Civic Affairs Committee

**Report by:**

Customer Services

**Wards affected:**

None directly affected

### **1. Introduction**

- 1.1 This report provides an analysis of the complaints and compliments received by the Council during 2017-18 under the Corporate Complaints, Compliments and Comments procedure.
- 1.2 The purpose of the report is to identify topics and trends in relation to complaints; identify areas of organisational learning that have taken place over the past year as a result of the complaints received and make further recommendations based on trend data to improve services.
- 1.3 The report also highlights those areas of good practice within the Council and seeks to identify themes and trends in relation to comments made by members of the public so that the Council can also take action where appropriate to improve services.

## 2. Recommendations

### 2.1 Civic Affairs to:

- Consider the draft Annual Complaints Report for 2017-18, shown at Appendix A, and approve for publication on the Council's website.
- Consider amending our response target to ten working days to better align with South Cambridgeshire.

## 3. Background

*Page:*

*2*

3.1 The City Council has been recording information about complaints for the last thirteen years and trend data is included in the report from 2015. In 2017-18 we received 698 complaints compared with 567 in the previous year.

3.2 The report in Appendix A includes:

- A summary of complaints received, their trends and action taken
- Details of compliments and comments
- Complaints investigated by the Independent Complaints Investigator
- Complaints escalated to the Local Government Ombudsman
- Complaints relating to conduct of councillors

3.3 As well as complaints we also receive many positive comments about the Council's services and staff. A section on compliments is included in the report because knowing where things are working well and are appreciated is as important as knowing where things are not working well.

3.4 Subject to approval by Civic Affairs on the 10<sup>th</sup> October, officers will finalise and publish the report on the Council's website with hard copies being made available on request.

3.5 With a number of services now shared with neighbouring authorities, we are proposing to extend our target response timeline to ten working days instead of seven. This will bring the Council in line with South

Cambridgeshire District Council, and allow colleagues working within a shared service to work to one timeframe. Our services have also evolved over the years and complaints have become more complex and time consuming to respond to. Therefore we believe this change will assist managers in ensuring a comprehensive response is made within target

## **4. Implications**

### **(a) Financial Implications**

*Page:*

*3*

The time and resources spent on responding to complaints is a not insignificant cost to the Council. Our aim should be to get things right first time as often as we can.

### **(b) Staffing Implications**

None

### **(c) Equality and Poverty Implications**

Analysis and action taken as a result of complaints has an important role to play in ensuring that our services are accessible to all those who wish or need to use them and, that as far as possible, we are able to respond flexibly to the differing needs of our citizens and visitors. An updated EQIA assessment was completed in September 2018.

### **(d) Environmental Implications**

None

### **(e) Procurement Implications**

None

### **(f) Community Safety Implications**

None

## **5. Consultation and communication considerations**

None

## **6. Background papers**

Background papers used in the preparation of this report:

(a) Departmental Quarterly Monitoring Reports 2016-17

## **7. Appendices**

**(a)** 3 Year Service Analysis

## **8. Inspection of papers**

To inspect the background papers or if you have a query on the report please contact Tony Stead, Business and Development Manager, tel: 01223 - 457501, email: [Tony.Stead@cambridge.gov.uk](mailto:Tony.Stead@cambridge.gov.uk).



# Cambridge City Council

## Annual Complaints and Feedback Report 2017-18

Cambridge City Council's Annual Complaints Report	<b>3</b>
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## **Cambridge City Council's Annual Complaints Report**

Every year we publish our Annual Complaints Report, which gives an overview of the complaints the Council has received and how we have dealt with them, though we do not publish names or other personal details of people who have complained.

Cambridge City Council welcomes customer feedback, to help us to identify and address problems for customers, and to improve our services. This report shows how we have increased customer feedback about services and how we are responding to complaints.

### **Why we produce this report**

- To learn from our mistakes so that we can improve our services.
- To encourage people who have cause to complain to make comments and suggestions to help us make these improvements.
- To show how we've responded to complaints and what we've done to try to put things right.
- To publicise and explain our complaints process.

## **Our Complaints Procedure**

### **What is a complaint?**

A complaint can be wide ranging, but can be defined as an expression of dissatisfaction with the service provided, or lack of action by the Council, or its staff. This can include failure to achieve specific standards of service.

It should be highlighted that issues brought to the Council for the first time, are dealt with as a request for service and so is not processed as a formal complaint. However service requests can then transpire into a stage 1 complaint if the customer is further unsatisfied, this may occur from delays in response or dissatisfaction with staff behaviour or policies.

Customers complain to the Council if they:

- Are unhappy about something we have or haven't done.
- Are not satisfied with the way a member of staff has treated them.
- Are not happy with the way a councillor has treated them.

Cambridge City Council has a three stage complaints process:

**Stage One:** A complaint that has been made for the first time.

**Stage Two:** Internal review of a complaint where the complainant is unsatisfied with the response to their complaint or the way in which the complaint has been handled, and they wish for their complaint to be considered further.

**Stage Three:** Review by an Independent Complaints Investigator, where the complainant remains unsatisfied with the internal process and wish to take their complaint further.

The **Local Government Ombudsman (LGO)** is the final stage - the person affected must have gone through our complaints process before going to the LGO for an independent review.

## **Executive Summary**

Cambridge City Council welcomes feedback from customers, so that we can address immediate issues, and can learn from complaints, in order to improve our services. In 2017-18, total complaints rose 131 from 567 to 698. Many departments saw a decrease in complaints or small rises, however the re-structuring of the waste collection service took time to settle down and complaints against that service increased by 149. In the same time period we received 140 compliments.

In seeking feedback, we have also received 7330 comments via GovMetric, a customer satisfaction rating system. In April 2018, we appeared in the top 10 for positive telephone feedback across 70 plus councils who adopt GovMetric. Last year over 270,000 telephone and electronic contacts were received and over 57,000 face to face visits were recorded at the Customer Service Centre.

Overall 254 (35%) of complaints were for Waste Services. This is an increase of 149 from the 105 (19%) in 2016-17. Waste moved to a shared collection service with South Cambridgeshire in February 2017, and 69% of the complaints related to missed collections. A third of Waste complaints were received in April to June 2018 which suggests they were submitted as a result of the changes to routes and collection days. As staff and residents adjusted to the new service, the number of complaints decreased as the year progressed.

In addition to Waste, complaints were also up on the previous year for Car Parks. However they were down for Planning, Environmental Services, and Housing Services. Parking saw an increase from 12 complaints in 2016-17 to 36 in the current year mainly as a result in changes to car parking charges. Environmental Services saw a large drop from 99 complaints last year to 78 this year. Housing saw a similar decrease from 139 to 93.

### **Independent Complaints Investigator (ICI)**

1 Stage 3 (ICI) Complaint was carried forward from 2016-17. 19 new complaints were submitted to the ICI in 2017-18. Of these complaints, 1 is outstanding, 19 were investigated, 1 was upheld. 7 were partially upheld and 10 were not upheld.

### **Local Government Ombudsman (LGO)**

19 complaints were made to the Local Government Ombudsman. Of these, three were investigated and two were upheld.

### **Reporting and Recording**

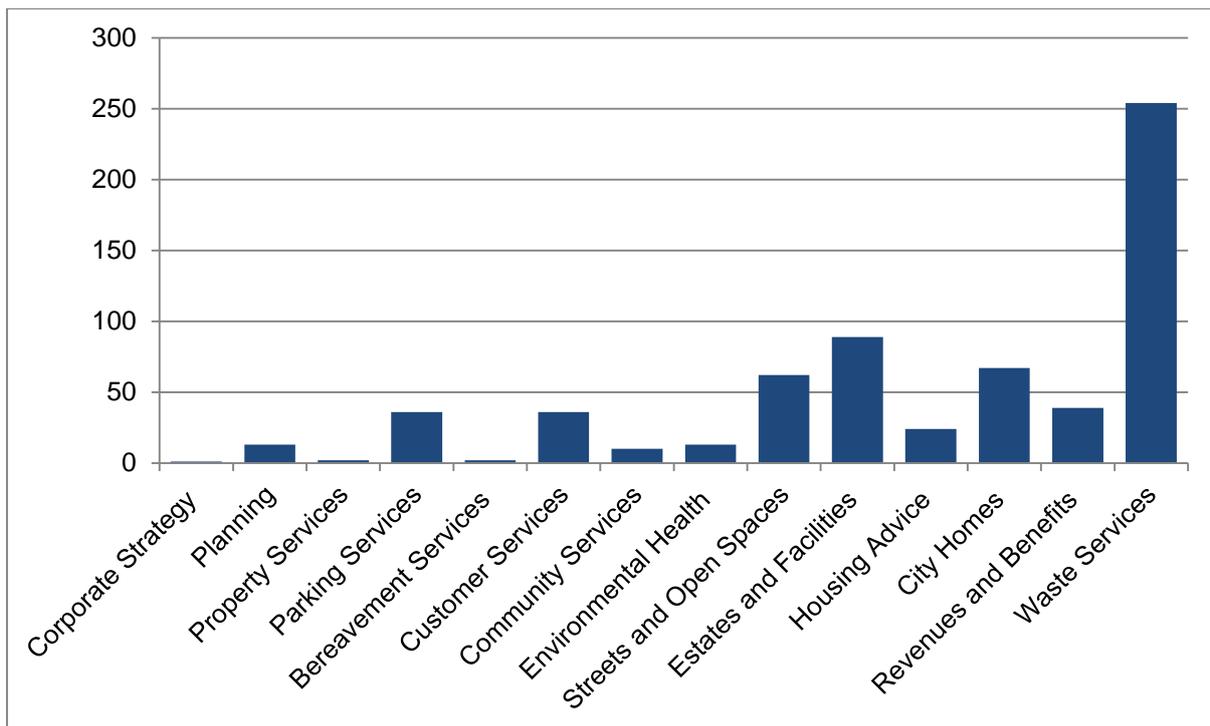
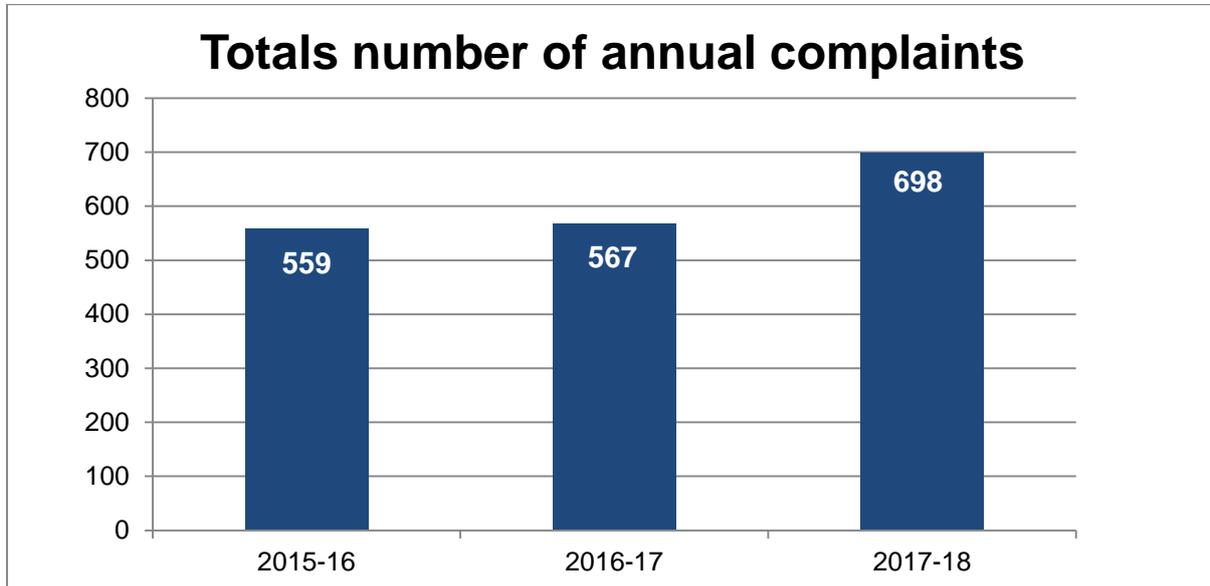
The City Council has worked hard to understand the reasons for the complaints, and has taken action to prevent the poor service that triggered those complaints from being repeated. We continue to work hard to deliver high quality services to all residents and customers, and welcome all feedback on our services and suggestions for improvement. Following feedback and a review of our complaints process we have changed the way we record and monitor complaints, compliments and comments.

The Lead Complaints Officer reviews data on a monthly and quarterly basis to establish themes and trends. This is discussed with Directors and Heads of Service to understand what the service needs to do to improve, change or prevent a reoccurrence. Particular attention is focused on reducing complaints being escalated to the independent complaints investigator. The reason for escalation has often in the past been due to the complaint

involving more than one council service at stage one and we have changed the procedure to ensure that such complaints are dealt with more efficiently.

## Complaints to the City Council in 2017-18

We received 698 complaints in 2017-18. This was an increase of 26% on the number received in the previous year as can be seen in the table below.



Last year over 270,000 telephone and electronic contacts were received and over 57,000 face to face visits recorded at the Customer Service Centre. The number of complaints is relatively low in relation to the volume of customer contacts received by Council services. Complaints provide an opportunity to address customer issues and improve services for others where possible.

In 2017-18 the Council received 140 compliments via Complaints Tracker. We also received 4253 positive comments through GovMetric, our customer satisfaction rating system.

Authorities who adopt GovMetric are benchmarked against each other to compare monthly performance. In April 2018 Cambridge City Council appeared in the top 10 for telephone response satisfaction for the first time.

In 2017-18, Waste Services introduced a change to their rounds, which affected every household within the City. The service moved to a cross border collection with South Cambridgeshire, and implemented a complete rerouting of rounds and days of collection. With such a large change, a higher number of complaints was expected. 35% of complaints were for Waste services. This works out as 254 complaints, which is an increase of 151 from the previous year. 34% of these complaints were received in Q1. This could indicate that these complaints are related to unresolved issues from the aforementioned changes to collections. Following a review of these changes, the number of complaints declined as the year progressed, and the decline continued into Q1 2018-19, with a 56% decrease when comparing April 2018 with April 2017.

Numbers across services stayed close to last year for Stage 2 complaints. There was a decrease in the number of stage 2 complaints for Community Services, but an increase in stage 2 for Waste. 8 of the 9 stage 2 waste complaints related to missed bins, and were escalated because customers did not feel their case was resolved at stage 1.

Complaints Tracker was introduced in October 2017 as a new way of recording and reporting complaints. Tracker has enabled us to improve our recording of data, and ensure greater accuracy when responding to cases. A new and more user friendly customer reporting form was implemented as part of the new system.

Tracker also enabled more in depth reporting, and a simpler way to discover key themes and trends to complaints. In April 2018 we introduced monthly Heads of Service reports so that staff can keep track of their complaints on a monthly basis. In addition to these monthly reports, the senior leadership team monitors performance management across the Council with the aid of the corporate balance score card, quarterly complaints reports, and senior management meetings. Each quarter services provide performance data against around 40 corporate indicators. This provides a snapshot of how the Council is performing in key service areas including complaints.

Extensive training has been arranged to bed Tracker in with staff, including two sessions with the developer of the system. These sessions were well attended by managers and staff across the Council. Drop-In sessions and ad-hoc training have also been arranged for several services, and continues to be offered. A manager's forum event was held in July 2018 with a focus around complaints, and the quality of responses being sent to customers.

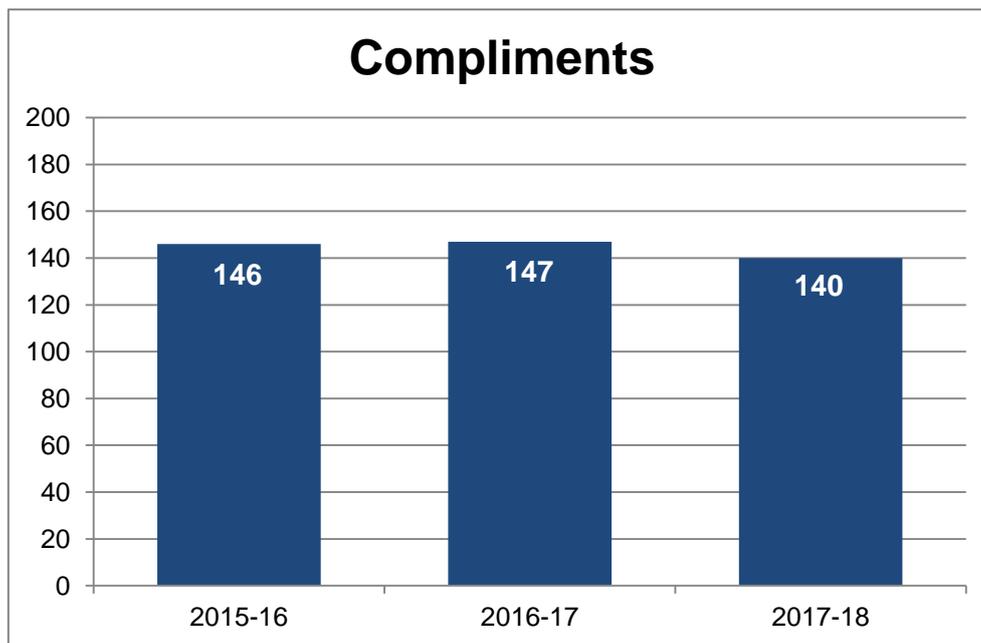
With a number of services now shared with neighbouring authorities, we are proposing to extend our target response timeline to ten working days instead of seven. This will bring the Council in line with South Cambridgeshire District Council, and allow colleagues working within a shared service to work to one timeframe. Our services have also evolved over the years and complaints have become more complex and time consuming to respond to. Therefore we believe this change will assist managers in ensuring a comprehensive response is made within target.

## How complaints were received

Year	Face to Face %	Letter %	Email %	Telephone %	Other (Comment Cards) %
2017-18	2	3	86	6	3
2016-17	3	7	82	6	2
2015-16	3	9	76	10	2

The majority of complaints were received in writing, predominantly via email. 40% of complaints were logged by members of the public using the web form to report directly into Tracker. Following feedback, we have updated the format of our customer comment cards, and physical complaints form to support Community Services and the various reception desks across Council offices. This has led to a very small rise in use of these comment cards.

## Compliments



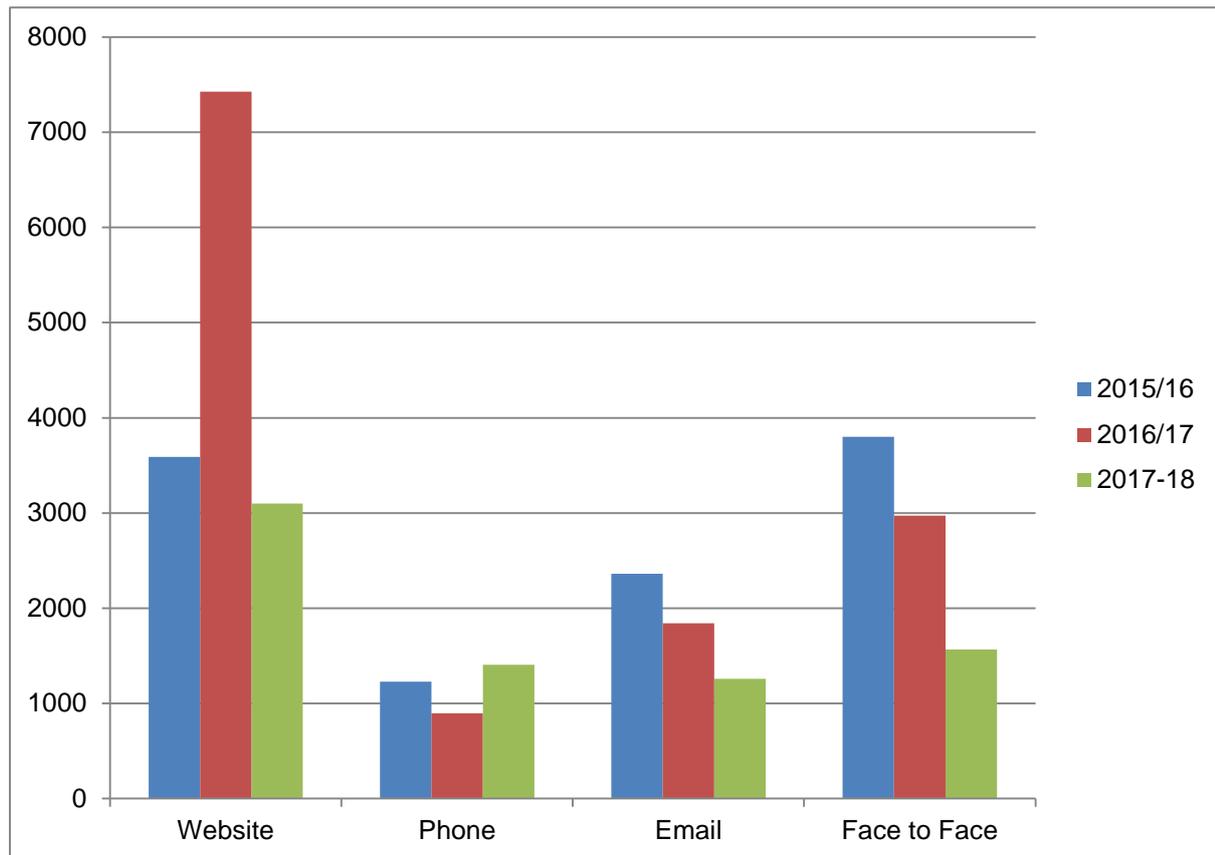
In 2017-18 compliments have stayed at a similar level to previous years. The Council received 140 compliments across all services via Complaints Tracker. As with previous years, Customer Services and Streets & Open Spaces received the highest amount of compliments, with the majority relating to helpful staff members.

## GovMetric - Customer Feedback System

GovMetric was introduced by customer services to monitor feedback and measure improvement. The tool allows us to record how the feedback was received, ratings of good, average or poor can be selected by customers. They are also able to select service areas/departments and give more specific detail about their experiences.

We currently use GovMetric to monitor feedback from the website, face to face visits in Mandela House reception and via service e-mails and incoming calls to Mandela House.

### Total Feedback via GovMetric 2015-2018



## GovMetric feedback via channels 2015 – 2018

Channel	Date	Total	Good %	Average %	Poor %
Phone	2017-18	1405	82%	12%	6%
	2016-17	898	76%	16%	8%
	2015-16	1230	87%	6%	7%
Face to Face	2017-18	1567	76%	10%	14%
	2016-17	2974	73%	10%	16%
	2015-16	3801	71%	12%	17%
Email	2017-18	1259	57%	16%	27%
	2016-17	1843	58%	15%	27%
	2015-16	2361	70%	10%	20%

### Feedback from the Customer Service Centre

In 2017-18 the volume of feedback received from Govmetric increased significantly in the contact centre due to a refocus within Customer Services. 82% of customers rated the service they had received from the advisor as good, demonstrating that customers appreciate the service they are receiving.

The automatic reports going to individual advisors which show the number of positive feedback results they have achieved are well received by the team. We continue to publicise the performance of the whole team on communications boards within the centre and we have set an objective for each advisor to encourage three customers per day to give feedback. This approach has proved effective with the results shown above and we have also been in the top ten of all 70+ local authorities which are benchmarked by Govmetric in their last update.

The feedback we receive from face to face enquiries also shows that customers value our service, with 76% of customers rating the service as good. The number of customers giving feedback face-to-face has reduced. This is as a result of the replacement kiosk not being operational until August of last year. The front of house team have also been in the top ten of benchmarked authorities twice in the last six months which is a great achievement.

Feedback on email communications has remained consistent with 2016-17 performance with a slight decline in numbers of customers giving feedback. Customers cannot give specific reasons for their feedback and due to the nature of the interaction, encouraging customers to give feedback is limited to the footer message and customers own motivation to leave feedback.

The 27% of poor feedback from the Email channel has highlighted that the two services contributing to this are Homelink and Waste and Recycling. Homelink comments from customers in is primarily in relation to the delays in response time, or dissatisfaction with their Homelink application. There has

## **Feedback from the Web Team**

<b>Channel</b>	<b>Date</b>	<b>Total</b>	<b>Good %</b>	<b>Average %</b>	<b>Poor %</b>
<b>Web</b>	<b>2017-18</b>	<b>3099</b>	<b>38%</b>	<b>15%</b>	<b>47%</b>
	2016-17	7425	47%	18%	35%
	2015-16	3589	47%	13%	40%

The web team check Govmetric comments, and where possible make content amends to the website to help customers find information more easily, as well as fixing broken links. From recent feedback, the webteam are planning to work with services to improve conservation area maps, and are reviewing links to gov.uk to ensure their pages answer questions our customers may have.

Govmetric feedback has indicated that the high percentage of poor feedback received is in regards to the Council Tax web pages. The comments received from customers have primarily identified the wish to speak to an advisor, whether it is over the phone or in person, as their queries are regarded as too complex to be able to find an answer on the website. Feedback has also drawn attention that the content on the Council tax website is not user friendly when wishing to set up an account or when trying to pay council tax. In 2018-19 a new system has been introduced for creating a council tax account which is more user friendly and intuitive to use for both staff and customers.

There has been a drop in the volume of web feedback by over half on the previous year. This is because a change was made to how the Govmetric smileys display online. It was highlighted that an issue was being caused whereby the smileys would obstruct the main web page when users accessed the website via a mobile device. The smileys were moved to the bottom of each page, and made smaller to fit in line with the layout of the page. This may have contributed to the drop in feedback volumes.

## Service Complaint Trends and Feedback

Each council department reviews the complaints and compliments it receives on a quarterly basis. This enables services to identify if there are any trends in the types of complaint being made or the services that complaints are being made about. As a result, changes are made to services and how they are provided.

Pages 10-17 detail comments from Services on actions they have taken to prevent, improve or change as a result of the feedback received in 2017-18. The total in the first column is the sum of Stage 1, 2 and ICI complaints.

### Waste Services

Waste 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	254	11	-	51%	7	3
2016-17	105	2	-	71%		8
2015-16	104	9	-	75%		7

The shared waste service has seen a prominent spike in complaints, a 43% rise in comparison to last year. This surge in complaints is primarily due to service restructure and changes in collection dates. These changes affected 120,000 households, and every resident within the city. The main themes of complaint were missed bins, bin positioning and crew/driver attitude.

The majority of the 243 complaints received were successfully resolved at Stage 1 of the complaints procedure, only 11 were escalated at Stage 2. The reason as to why these complainants wished for their complaint to be progressed to the second stage was due to repeat missed bin collections despite assurances from managers at Stage 1 that they would be collected.

Due to the large amount of complaints received, unfortunately there has been a substantial decline in complaints being responded to within target, this year only 51% were responded to within the allocated time, in comparison to 2016-17 where it was a 71%. The reason for these figures was that only one person was allocated to respond to these complaints, leaving no resilience if this person was out of the office. This has since been resolved by ensuring that additional measures have been put in place to ensure that complaints are followed up within the allocated timescale.

Additional customer care training has been provided to bin crews to reinforce the importance of delivering good customer service as highlighted by staff conduct themes in several complaints received.

## Estates & Facilities

Estates & Facilities 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	89	4	1	43%	11	4
2016-17	86	4	-	62%		2
2015-16	98	11	-	57%		16

Estates & Facilities have found recruiting trade staff to carry out repairs difficult. Sustaining a level of skilled operatives to manage demand has also been a challenge this year. Due to the challenges faced, there is often a long wait for tenants from booking the initial job until it is completed. 48% of complaints in this service were because of delayed repair jobs. A new training programme has been introduced for operatives to learn other skills and become 'Multi-Skilled'. It is expected that at the end of the programme, ten staff will have skills to carry out repairs across multiple trades, increasing capacity and resilience, and reducing wait times. The team are also using a new system to identify missed appointments and where operatives' time is being wasted due to these.

Incorrect allocation and complexity of some cases relating to asset management led to a delay in response, and some complaints going out of target. In total 43% of complaints were responded to within the target time. One complaint for this service went to the ICI as the complainant was not satisfied with the response at the first two stages. The ICI did not uphold this complaint. Estates & Facilities also deal with planned works to council properties, and are looking at a way to bring some programmed work forward to prevent more frequent responsive repairs.

## Environmental Services

Environmental Services 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	78	9	3	54%	10	54
<i>Environmental Health</i>	16	4	3	36%	2	-
<i>Streets &amp; Open Spaces</i>	62	5	-	56%	8	54

### 2016-17

<i>Environmental Health</i>	22	2	-	59%	-	2
<i>Streets &amp; Open Spaces</i>	77	7	2	73%	-	36

### 2015-16

<i>Environmental Health</i>	9	2	-	62%		5
<i>Streets &amp; Open Spaces</i>	54	-	1	79%		12

This service has seen a drop in complaints from last year from 97 in total to 70. However the percentage of complaints responded to within the target has dropped from 70% to 54%.

Environmental Services have found that the complaints being reported are getting more complex, and this is reflected in the statistics as the majority (35%) of their complaints are individual complaints with no evident trends. These complaints can involve complex technical issues that need to be investigated, which can result in delays. All street enforcement staff now wear body cameras to assist with investigations around staff conduct, which is another prominent theme in this area.

Finally, the other large area of complaint was around public toilets. A large number of these are in older buildings which require a large amount of investment. There are also issues around vandalism in public toilets. Several complaints related to the toilets in Silver Street, and there is now a project underway to replace these toilets.

## Housing Services

Housing Services 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	93	3	5	67%	12	17
<i>Housing Advice</i>	24	1	2	73%	6	2
<i>City Homes</i>	67	2	3	64%	6	8
<i>Supported Housing</i>	2	-	-	100%	-	9

2016-17						
<i>Housing Advice</i>	60	5	-	88%	-	5
<i>City Homes</i>	79	1	1	88%	-	18

2015-16						
<i>Housing Advice</i>	40	3	1	92%	-	2
<i>City Homes</i>	67	3	-	63%	-	21

Staff vacancies created at City Homes as a result of a staff restructure has increased the workload for each housing officer, and affected the delivery of the service. Responding to complaints within target has dropped from 88% to 67%, which in part is a result of this increased workload for housing officers, as City Homes has the lowest response rate in the entirety of Housing Services at 64%.

The main theme highlighted in relation to the 92 complaints received was failure to manage customer expectations at City Homes. Homelessness/banding decision and the application process were identified as one of the key factors for Housing Advice.

The housing application process is not performing at a level the team would want it to due to a backlog of applications which are being worked through. This backlog was created by changes made to the verification system, and the sickness levels within the team have had an effect on this backlog being cleared.

This service has noticed a number of requests for service being reported via Complaints Tracker. Further training for complaints admin staff has been made available to ensure that everyone is aware of what constitutes a complaint.

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## **Customer Services**

<b>Customer Services 2017-18</b>	<b>Total Complaints</b>	<b>No. of Stage 2 Complaints</b>	<b>No. of ICI Complaints</b>	<b>Complaints in Target</b>	<b>No. of Multi-Service Complaints</b>	<b>No. of compliments</b>
	<b>36</b>	-	-	<b>88%</b>	<b>11</b>	<b>30</b>
2016-17	32	1	-	84%		31
2015-16	39	-	-	83%		38

38% of complaints in this area related to staff conduct. These have been very specific complaints about customer interactions with Customer Service Advisors. Where this has been the case, we have given targeted feedback to the advisors mentioned, and arranged individual coaching plans for any individuals mentioned in complaints.

Customers have also voiced their frustration with the automated telephone system across Council Tax, Benefits and some Environmental Services lines. The scripts used by these automated systems have been reviewed again, and changes were made to the introduction. Any specific issues reported about the Inform 360 system are investigated and escalated to the supplier to resolve where necessary.

Some customers were unhappy with the opening times for the cashiers office at Mandela House. These were changed to reflect customer demand. There is still support available for customers outside cashier opening hours and payments can be made via the self service payment kiosk. Following this change we conducted a survey of customers asking why they choose to queue and wait for the cash window to open rather than using the kiosk. 60% of the respondents said that they preferred the interaction of being served by a person rather than using the payment machine. This feedback is expected as part of our strategy to encourage customers to self-serve using digital methods.

Customer Service training was provided for all staff in September 2017 as part of the training programme within the centre.

## Commercial Services

Commercial Services 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	38	2	-	71%	-	8
<i>Parking Services</i>	36	1	-	69%	-	5
<i>Bereavement Services</i>	2	1	-	100%	-	2
<i>Strategic Procurement</i>	-	-	-	-	-	1

2016-17						
<i>Parking Services</i>	12	-	-	92%	-	3
<i>Bereavement Services</i>	1	-	-	100%	-	-

2015-16						
<i>Parking Services</i>	26	2	-	93%	-	3
<i>Bereavement Services</i>	11	-	-	84%	-	1

### **Parking Services**

38 complaints received for Parking Services for 2017/18. Each year approximately 2.5 million people use our car parks to put this figure into context.

Complaints main themes:

#### **Price**

Cambridge faces a continuing challenge in preventing the deterioration in air quality and ever increasing congestion, the City Council has an overall policy of discouraging non-essential car journeys. Our prices are aimed at incentivising the use of other modes of transport to access the city. Cambridge is considerably more expensive than comparative shopping areas in the region and we have a marked increase in tariff for stays over four hours. It is this comparison to others and the level of parking charge that generates the majority of complaints.

#### **Payment machines**

Following several incidents of theft and vandalism the Council decided on 17 March 2017 that, unfortunately, we would have had to remove payment by cash from our pay and display car parks. This was to prevent further thefts, protect the Council's revenue stream and be mindful of the impact of costs for replacement. Whilst the cash value stolen was not vast, the costs of replacing machines and the subsequent required civil works have run into thousands costing in excess of £30,000. It's worth noting that since the introduction of the pay by phone service, we have not had a machine stolen.

A delay at Gwydir Street car park between March and August 2017 whilst waiting for a software upgrade in order for it to accept card payments, meant that for a short period this car park became Pay by Phone only. The combination of no longer taking cash, card payment facilities not available at Gwydir Street or Riverside and the convenience fee charged when using the Pay by Phone service contributed to complaints in this area.

A 10p 'convenience charge' is payable if using the pay by phone service and this was absorbed by the Council from 4 May 2017 at Gwydir Street and Riverside as customers were only able to pay using this method. The convenience charge at Riverside will continue to be absorbed by the Council now pay by phone is the only payment option ensuring customers only pay the advertised tariff. A new pay by phone provider, Just Park took over the contract from 1 October 2018 with cheaper charges.

### **Signage**

Signs displaying our tariffs are located at every pay machine, as well as the entrances to all our car parks thereby giving customers the option to decide whether to continue to enter and park. We have separate daytime and evening tariffs which can cause confusion as customers need to add the two elements together if they wish to pre-estimate the cost of parking. The tariff boards undergo design overhauls each year and customer feedback is channelled into improvements where practicable. All of our communications are kept under continuous review to ensure they are clear and easy to read.

### **Bereavement Services**

This service received a low number of complaints at stage one, so will not be reported on in detail. The stage two complaint for this service was raised because action following the initial stage one complaint was not carried out. In the response at stage two, the investigating officer worked to agree a solution with the customer, and there was no further contact or escalation.

### **Strategic Procurement**

There were no complaints recorded for Strategic Procurement in 2017-18.

## **Revenues & Benefits**

<b>Revenues &amp; Benefits 2017-18</b>	<b>Total Complaints</b>	<b>No. of Stage 2 Complaints</b>	<b>No. of ICI Complaints</b>	<b>Complaints in Target</b>	<b>No. of Multi-Service Complaints</b>	<b>No. of compliments</b>
	<b>41</b>	<b>1</b>	<b>2</b>	<b>85%</b>	<b>4</b>	<b>8</b>
<i>2016-17</i>	<b>35</b>	<b>1</b>	<b>-</b>	<b>94%</b>	<b>-</b>	<b>26</b>
<i>2015-16</i>	<b>33</b>	<b>1</b>	<b>-</b>	<b>85%%</b>	<b>-</b>	<b>6</b>

During 2017/18 the team has received complaints from customers unhappy about receiving reminders and summonses for non-payment of council tax and complaints. We have also received complaints as a result of misunderstanding of complex issues where customers should be directed to seek an alternative remedy through a statutory appeals process. We have also seen some complaints resulting from delays in responding to customers.

We continue to review processes within both Revenues and Benefits, with an aim to reduce the time it takes to action incoming work. We now provide additional online functionality to enable customers to self-serve and update their accounts and claims, and we encourage customers to use this service. We now offer eNotifications for Benefit customers. We are

also reviewing the information provided within the complaints system to direct customers to established appeal processes.

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## **Community Services**

<b>Community Services 2017-18</b>	<b>Total Complaints</b>	<b>No. of Stage 2 Complaints</b>	<b>No. of ICI Complaints</b>	<b>Complaints in Target</b>	<b>No. of Multi-Service Complaints</b>	<b>No. of compliments</b>
	11	1	1	70%	2	27
2016-17	23	7	-	87%		15
2015-16	9	-	-	100%		34

This service has not been reported on in detail due to a low number of complaints and no theme identified.

The stage two complaint in this area was escalated due to an unsatisfactory stage one response. Officers gave out information which they believed was correct, however it did not answer the customers complaint. There was no further response from the complainant following the initial stage two response.

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## **Planning**

<b>Planning 2017-18</b>	<b>Total Complaints</b>	<b>No. of Stage 2 Complaints</b>	<b>No. of ICI Complaints</b>	<b>Complaints in Target</b>	<b>No. of Multi-Service Complaints</b>	<b>No. of compliments</b>
	15	1	5	46%	1	-
2016-17	36	3	1	81%		1
2015-16	63	11	3	83%		-

This service has not been reported on in detail due to a low number of complaints. However, the service received three ICI complaints. One of which was partially upheld. This complaint related to the Council's refusal to grant a certificate of lawfulness for the erection of an annexe. The customer was unhappy with the stage 1 & 2 responses, and chose to escalate further. The ICI found the customers complaint to be partially upheld, and an apology was made by the Council, along with some financial redress.

## Property Services

Property Services 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	2	1	-	50%	-	-
2016-17	2	-	-	100%		-
2015-16	2	-	-	100%		-

This service has not been reported on in detail due to a low number of complaints.

The stage two complaint in this area was re-opened following a request for compensation from an old complaint which was originally raised in 2014. Following a review of the stage one complaint, compensation was not considered to be an appropriate resolution.

## Chief Executive

Chief Executive 2017-18	Total Complaints	No. of Stage 2 Complaints	No. of ICI Complaints	Complaints in Target	No. of Multi-Service Complaints	No. of compliments
	1	-	1	100%	-	-
2016-17	4	1	-	75%	-	-

One complaint was escalated to ICI asking how to pursue a complaint about the Chief Executive. Advice was given on the process, but the complaint was not subsequently pursued further.

## **Multi-Service Complaints**

<b>Multi Service Complaints 2017-18</b>	<b>Total Complaints</b>	<b>No. of Stage 2 Complaints</b>	<b>No. of ICI Complaints</b>	<b>Complaints in Target</b>
	<b>32</b>	<b>5</b>	<b>2</b>	<b>41%</b>

It was identified with the implementation of Complaints Tracker, that a new process was needed for dealing with complaints which span more than one service. Multi-Service complaints tend to be more complex and involve more officer time to investigate, which could explain the low number of complaints responded to within target.

The most common areas involved in multi-service complaints are Estates & Facilities and Customer Services with 11 complaints each. This is to be expected as Estates & Facilities can often involve housing officers if the complaints concern decisions made. Customer Services, as the first point of contact can also be expected to be involved in multi-service complaints.

When a multi-service complaint is allocated, all Heads of Service involved are contacted to establish a lead officer who will then co-ordinate an investigation and response, including input from all relevant services involved.

A multi-service case was partially upheld by the ICI, relating to Housing, Environmental Health and Commercial Services.

There is no data to compare to previous years, as multi-service complaint reporting was introduced for the first time this year.

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## **Non-Cambridge City Council**

In addition to the above complaints, the Council also received 18 complaints for non Cambridge City Council services. These complaints were responded to by admin officers, who directed the complainants to the correct authority.

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## **Other Complaints**

In 2017-18, several services were not reported on in detail due to a low number of cases. These were:

- ICT – one Stage 1 complaint
- Building Control – one Stage 1 complaint
- Housing Development Agency – three Stage 1 complaints
- Corporate Strategy – one Stage 1 complaint

## **Independent Complaints Investigator (ICI)**

1 Stage 3 (ICI) Complaint was carried forward from 2016-17. 19 new complaints were submitted to the ICI in 2017-18. Of these complaints, 1 is outstanding, 19 were investigated, 1 was upheld and 7 were partially upheld. 10 were not upheld.

<b>Upheld and partially upheld Stage 3 complaints in 2017-18</b>		
<b>Service</b>	<b>Date</b>	<b>Decision</b>
Housing Advice	24 <sup>th</sup> April 2017	Partially upheld
Environmental Health	3 <sup>rd</sup> May 2017	Partially upheld
City Homes (North)	22 <sup>nd</sup> June 2017	Partially upheld
Revenues & Benefits	24 <sup>th</sup> August 2017	Upheld
City Homes (North)	18 <sup>th</sup> November 2017	Partially upheld
Planning	19 <sup>th</sup> February 2018	Partially upheld
Multi Service- City Homes & Environmental Health	2 <sup>nd</sup> March 2018	Partially upheld
Housing Advice	18 <sup>th</sup> March 2018	Partially upheld

### **ICI Complaints received between 2015 – 2017-18**

<b>Period</b>	<b>Partially upheld</b>	<b>Upheld</b>
<b>2017-18</b>	1* + 7	1
<b>2016-17</b>	1* + 2	1* + 3
<b>2015-16</b>	3	2

\*Complaints carried over from the previous financial year

## **ICI Complaint Service Feedback**

Pages 19-21 detail comments from Services on actions they have taken to prevent, improve or change as a result of the ICI feedback received in 2017-18

### **Upheld ICI Complaints**

Revenues & Benefits – 24/08/17

Decision – **Upheld**

#### **Complaint Overview**

A customer was dissatisfied with one of the Council's employees, and the failure to apologise following an unwarranted suggestion by the Council that the complainant had re-typed some submitted documents.

#### **ICI Suggested Way Forward**

- For the City Council to send a written apology in plain English recognizing the offence that had been caused to the customer. The written apology should include reassurance that the complainants future dealings with the Revenues & Benefits department will not be affected by the complaint, and all future dealings will be courteous and professional.

#### **ICI Learning points and Recommendations**

- The complainants concerns highlighted that staff were not aware of how members of the public can progress a complaint. ICI has suggested the staff member involved receive training in the staged complaints procedure of the City Council. This is to avoid a repetition of the failures identified, and ensure the public's confidence in the Council is maintained

#### **Actions taken in response to feedback**

- Staff attended training and received guidance on the complaints process, system and policy. The training also included guidance on response writing to try to improve the standard of apologies being sent.

## **Partially Upheld ICI Complaints**

### **Housing Advice 24/04/17**

#### ***Complaint: Delays in progressing Home-Link Application***

Escalated to ICI as complainant not satisfied with Stage 1 and 2 responses. Council officers provided thorough responses in regards to Homelink application, offered explanation and apology, however complainant still wished for escalation.

- ICI recognised service failure about length of time in regards to the application and a further written apology and compensation of £100 to be awarded.

### **Environmental 03/05/17**

#### ***Complaint: Mooring residency- Policy***

Complainant unhappy with responses at stages at 1 and 2, citing discontent with City Council's Mooring Policy, however both responses from Council officers accurately and adequately reflected the factual position. Customer proceeded to escalate case to ICI.

- ICI report stated that the City Council should confirm and explain issues raised, no further action identified.

### **City Homes 22/06/17**

#### ***Complaint: Housing Officer Complaint***

Complainant was unsatisfied with answers from both Stage 1 and Stage 2, stating that they were both inaccurate and inadequate. Customer then approached LGO, who referred back to ICI for consideration. Complainant was unhappy with ICI report findings, however was informed that he has a right of appeal to the LGO.

- ICI overall findings highlighted that council officers failed to respond to complaints made in a timely manner and lack of action addressing anti-social behaviour with other tenants. Concluding in an apology and explanation to the complainant by the City Council.

### **City Homes 18/11/17**

#### ***Complaint: Cost of cleaning services for tenants/leaseholders***

Complainant specified that they received an un-satisfactory stage 1 and 2 response which left questions unanswered, due to this, they wished to escalate to ICI.

- ICI partially upheld the complaint and stated that Cambridge City Council should liaise with Churchill's cleaning service to ensure that residents are notified of changes concerning cleaning dates.

### **Planning 19/02/18**

#### ***Complaint: Refusal to issue Certificate of Lawfulness for Annexe***

Complainant contacted LGO however the case was referred back to stage 1 of the City Council's complaint process. Customer was unsatisfied with responses at Stages 1 and 2, and requested to escalate to ICI.

- ICI report recommendations state that City Council provide a written apology, recognising maladministration identified in poor customer service and service delivery and compensation in the sum of £250 to be awarded.

**Multi Service (City Homes & Environmental) 02/03/18**  
**Complaint: Nuisance neighbours, anti-social/criminal behaviour**

Complainant escalated to ICI due to no improvement regarding Anti-Social Behaviour and noise and cites that the response was merely a review of things that have happened.

- ICI findings recommended that Cambridge City Council review its current policy and guidance in respect of its decision making processes when considering the closure of any of its live / on-going ASB cases.

**Housing Advice 18/03/18**  
**Complaint: Homelink account**

This complaint was escalated to Stage 3 (ICI) due to customers dissatisfaction with both responses at Stages 1 and 2, finding her Homelink account still locked and being asked to provide additional information in regards to her application.

- ICI report proposed that the issue of ill health as a consideration for extending submission deadlines needs review.

**Local Government Ombudsman (LGSCO)**

If customers are not satisfied with the way their complaint has been handled they can contact the Local Government and Social Care Ombudsman's office. The LGSCO investigates complaints of injustice arising from maladministration by local authorities and other bodies. In 2017-18 the Local Government and Social Care Ombudsman received 19 enquiries and complaints, 3 were treated as complaints where decisions were applicable. As a result of the LGO's detailed investigations, 1 were upheld and 1 was not upheld. A planning & Development enquiry (ref 16 004 091) was received and investigated during April 17, this was upheld and included in the Service comments below.

Department	No of Complaints Received	Decision
Revenues & Benefits	2	2 Referred back for local resolution
Environmental Services & Public Protection & Regulation	2	1 Referred back for local resolution 1 Closed after initial enquiries
Housing	6	1 Closed after initial enquiries 1 incomplete/invalid 3 Referred back for local resolution
Planning & Development	5	<b>1 Upheld</b> 1 Closed after initial enquiries 3 Referred back for local resolution
Corporate & Other Services	3	<b>1 Not upheld</b> 1 Referred back for local resolution 1 Closed after initial enquiries
Adult Care Services	1	1 Referred back for local resolution
<b>Total</b>	<b>19</b>	

## **Comments from Planning Services relating to upheld Complaint (ref 16 004 091)\*:**

This upheld complaint also concerned a resident who had submitted objections to a planning application by his neighbor for an extension. The application was reported to Planning Committee who accepted the officer recommendation of approval. The LGO summarised the complaint as relating to failings in the way in which application was determined, specifically that the submitted drawings were inaccurate and the Committee report contained errors. The LGO requested that an additional screen be provided to protect the neighbor which has been agreed by the applicant. The LGO also recommended a compensation payment of £500 which has been paid. Planning officers have been reminded of the need to check that plans are accurate. This complaint has been reported to Planning Committee and Council.

**\*This complaint was investigated during the 2016-17 period and the decision was made after the end of the year reporting in April 2017, taking it outside the LGO's reporting period. The investigation took place during the 2016-17 period which is why it is included in the report**

## **Yearly comparison 2015 – 18**

<b>Year</b>	<b>Total Enquiries Received</b>	<b>Change</b>
2017-18	19	+11%
2016-17	17	+6%
2015-16	16	0

## **Complaints under the Councillors' Code of Conduct**

Councillors must adhere to the Council's Code of Conduct whenever they are conducting Council business, representing the Council or conducting the business of the office to which they were elected. The purpose of the Code of Conduct is to ensure high standards of ethics and conduct are maintained and that councillors treat everybody in an equal capacity and with respect, ensuring at all times that the integrity of the Council is not compromised in any way.

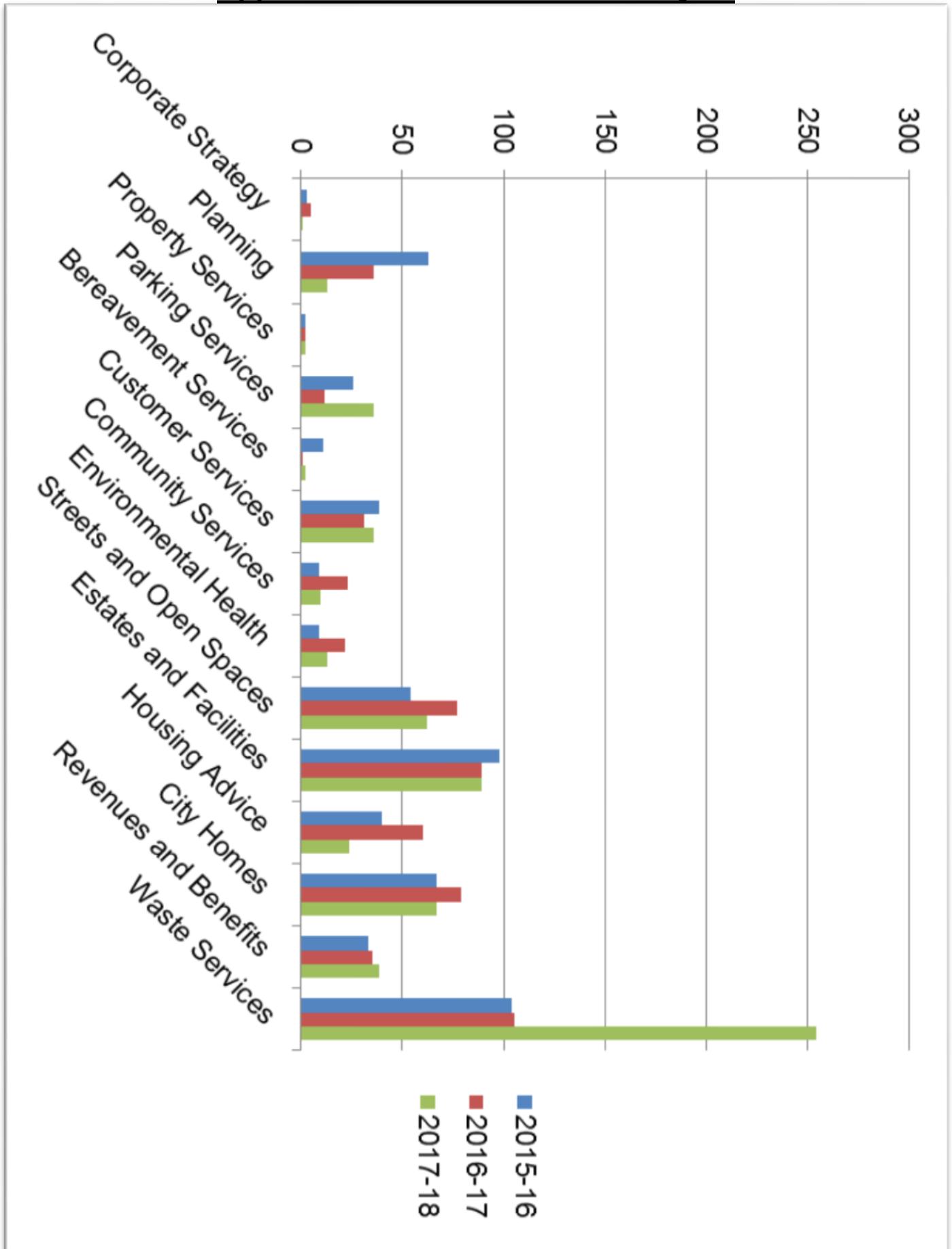
Complaints about councillors are considered initially by the Council's Monitoring Officer (who is also the Head of Legal Practice). When the Monitoring Officer receives a complaint about breach of the Code of Conduct, they consult one of two "Independent Persons" appointed by the Council. The role of the "Independent Persons" is to introduce external scrutiny of the complaints process. The Monitoring Officer can respond to a complaint, can commission a formal investigation or can refer it for consideration by the Council's Standards Sub-Committee. The Council's Standards Sub-Committee is made up of three Councillors.

During 2017-18, the Council received two complaints about the conduct of Councillors. Both of the complaints were dismissed.

Both complaints involved the conduct of a Councillor at a Committee meeting but in neither case was it the opinion of the Monitoring Officer or Independent Person that there had been a breach of the Member Code of Conduct. Both complaints were therefore dismissed.

There were 3 complaints in 2015/16 and 4 complaints in 2016/17. To find out more about the Council's Code of Conduct visit our website or contact the Council's Monitoring Officer Tom Lewis [tom.lewis@3csharedservices.org](mailto:tom.lewis@3csharedservices.org)

## Appendix 1 – 3 Year Service Analysis





Item

## **SPECIAL RESPONSIBILITY ALLOWANCES UPDATE 2018/19**

**To:**

Civic Affairs Committee 10/10/18

**Report by:**

Democratic Services Manager, Gary Clift

Tel: 01223 - 457011 Email: gary.clift@cambridge.gov.uk

**Wards affected:**

None directly affected

### **1. Introduction**

- 1.1 The Council (at its meeting on 22 February 2018) agreed a new Special Responsibility Allowance (SRA) be paid to the Cabinet Member on the Cambridgeshire and Peterborough Combined Authority for municipal year 2017/18 . It also approved further evidence gathering on the work of city councillor responsibilities on the Combined Authority, Greater Cambridge Partnership (GCP) and Police and Crime Panel, reporting back to the Civic Affairs Committee in the new municipal year.

### **2. Recommendations**

- 2.1 To determine whether to agree with the IRPs recommendations, or to amend them, for Council decision.

### **3. Background**

#### **Special Responsibility Allowances**

3.1 Officers circulated a questionnaire to councillors to seek comments from councillors who held these roles in 2017/18 and 2018/19 to help inform the IRP whether these roles had significant additional responsibilities in relation to the discharge of the authority's functions and warranted an SRA:

- Combined Authority Overview and Scrutiny Committee (2 Cllrs)
- Combined Authority Audit and Governance Committee (1 Cllr)
- Greater Cambridge Partnership Assembly (3 Cllrs)
- Cambs and Peterborough Police and Crime Panel (1 Cllr)
- GCP Board Member (1 Cllr)
- Cabinet Member of the Combined Authority (1 Cllr)

3.1. The IRP met on 14 August 2018 with Councillors Bick, Sargeant, Herbert and Baigent to consider the Council resolution of 22 February 2018 detailed below:

- i. Approve further evidence gathering on the work of city councillor responsibilities on the Combined Authority, Greater Cambridge Partnership and Police and Crime Panel, reporting back to the Civic Affairs Committee in the new municipal year.

3.3 The IRP were also asked to consider travel allowances paid under the Council's members allowances scheme and whether it could be made clearer when a member could claim travel allowances.

3.3 The IRP's report is attached. The Panel has made three recommendations. Any decision on amending the Allowances Scheme is for the Full Council. The Committee can recommend, amend, or reject the Panel's proposals. The Panel has been invited to attend the Committee.

## **Travel claims**

3.4 The Panel have provided clarification on travel claims for Cambridge City Council meetings (ie. within the city) and that officers can consult the three group leaders in cases of doubt.

## **4. Implications**

### **(a) Financial Implications**

*Page:*

The IRP recommendation would mean an additional £6,775 which for

*3*

2018/19 can be funded from forecast underspends in Corporate Strategy budgets.

**(b) Staffing Implications - none**

**(c) Equality and Poverty Implications**

The IRP have equality considerations within its terms of reference and informed its work on the special responsibility allowances for city councillor's who hold positions on the Combined Authority, Greater Cambridge Partnership (GCP) and Police and Crime Panel.

**(d) Environmental Implications**

**(e) Procurement Implications**

**(f) Community Safety Implications**

None of the above.

## **5. Consultation and communication considerations**

Not applicable.

## **6. Background papers**

Members allowances schemes for Councils who are a member of the Cambridgeshire and Peterborough Combined Authority

Members allowances schemes for the Greater Manchester Combined Authority

Members allowances schemes for the West of England Combined Authority

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# Report of Independent Remuneration Panel – August 2018

## A) Special Responsibility Allowances

### Background

With the increase in joint working with other authorities, most notably the Combined Authority and the Greater Cambridge Partnership, we were asked to consider an increase in the number of Special Responsibility Allowances to include six additional responsibility posts. (Ref. Minutes of Council meeting Thursday 22 February 2018 on the recommendation of the Civic Affairs Committee held on 14 February 2018).

These positions are:

Combined Authority:

Cabinet Member (1)

Members on the Overview and Scrutiny Committee (2)

Member on the Audit and Governance Committee (1)

Greater Cambridge Partnership:

Board Member (1)

Assembly Members (3)

Police and Crime Panel Member (1)

### Principles

The principles that guided our initial report on SRAs in 2016/7 still apply, ie that SRAs should:

- be perceived by everyone to be fair,
- be evidence based, logical and coherent
- be transparent, efficient and easy to administer,
- encourage councillors to fill the most arduous roles,
- encourage scrutiny in order to augment the effectiveness of the democratic process,
- be adaptable to future changes.

We also note the Statutory Guidance – in particular that SRAs should go to those who have 'significant additional responsibilities in relation to the discharge of the authority's functions'.

### Method

A questionnaire was sent to each of the current incumbents and those who had held the posts in the previous year. All were invited to meet the panel in person and were offered an opportunity after these meetings to give further written evidence. Of the nine Councillors approached, five sent written responses and four, including the leaders of the ruling and opposition parties, gave oral evidence. Two members did both. The Leader gave follow-up evidence.

We also researched the SRAs awarded in other Combined Authorities but could not find an appropriate comparator.

## Findings

From the oral and written evidence we have received, we conclude that each of these roles carries significant responsibilities in addition to those expected of a City Councillor. These roles take City Councillors into areas not traditionally part of the City Council role, most notably transport, and they bring a level of complexity greater than that present within a single Council.

Our reasoning revolves around several factors:

- additional areas of responsibility and greater complexity
- the amount of time needed to attend daytime meetings at various locations within Cambridgeshire and Peterborough,
- the weight of decision-making,
- the necessity of proper scrutiny within both the CA and GCP,
- the increasing importance of each of these roles to City Council residents and/or businesses.

## Recommendations

1. That each of the roles should receive an SRA in the following percentages of Basic Allowance and that these allowances be back-dated to the start of the Municipal Year.

Role Title	Percentage of Basic Allowance	Cost in this Municipal Year
Combined Authority: Cabinet Member (1)	50%	1169 (25% increase on what is already in the scheme)
Combined Authority: Members on the Overview and Scrutiny Committee (2)	25%	2338
Combined Authority: Member on the Audit and Governance Committee (1)	10%	467
Greater Cambridge Partnership: Assembly Members (3)	15%	2100
Police and Crime Panel Member (1)	15%	701

2. Given the evolving nature of the partnership bodies and of the roles undertaken by Councillor members, we recommend that these allowances should be reviewed in 2020 to take account of any further changes in roles and responsibilities. At that time there should

be more evidence about the approaches being taken to SRAs in the other constituent councils of the Combined Authority and Greater Cambridge Partnership.

In addition

At present there does not seem to be a significant problem with recruitment and retention for these roles. Succession planning is difficult in elected bodies but, if the Council is to continue to ensure that appropriate councillors are available to fill the most arduous roles, planning for succession will become increasingly important.

## **B) Travel Expenses**

We were asked to provide further clarification with regard to travel costs to City Council meetings and suggest the following addition:

For Cambridge City Council meetings only, you can only claim travel costs **from outside** Cambridge if your absence from Cambridge was unavoidable or if a meeting is called at short notice, and you have to make a journey which you would not otherwise have made. The exception to this rule is attending Planning or Licensing Committee meetings, as these take place more frequently than other meetings.

If a claim is made and an officer is unclear whether or not the travel expense should be reimbursed, the officer shall consult the political group leaders prior to approving payment. If any claim remains unresolved, it is the responsibility of the Chief Executive to determine.

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Item

## **PROCESS FOR SCRUTINY OF THE COUNCIL'S BUDGET**

**To:**

Civic Affairs Committee 10/10/2018

**Report by:**

Andrew Limb, Head of Corporate Strategy

Tel: 01223 - 457004 Email: Andrew.Limb@cambridge.gov.uk

**Wards affected:**

All

### **1. Introduction**

- 1.1 Scrutiny of the Council's budget is an essential part of the governance of the Council, and contributes to sound financial management. However, the current process for pre-scrutiny of the Budget Setting Report each year has evolved to an extent that reports have in recent years gone to six separate meetings. This involves the production of separate reports for each of these meetings, and officer attendance and briefing and committee meetings on each occasion, which has been felt to put additional burdens on both officers and members.
- 1.2 In a context where officer capacity is coming under increasing pressure, and in the light of the review of scrutiny committee arrangements that took place in 2017/18, officers were asked to review the current process for scrutinising the BSR to propose ways of streamlining the total effort consumed by the scrutiny process whilst retaining sufficient opportunities for Budget pre-scrutiny. This report sets out the officer recommendation.

## **2. Recommendations**

- 2.1 That Civic Affairs Committee recommends to Council the changes to the Council's budget and policy framework procedure (part 4c) and Council Procedure Rules appendix 2 budget recommendations and amendments (part 4a) as set out in Appendix A.

(These changes reflect Option A described in the report below and in Appendices B and C).

## **3. Background**

- 3.1. The scrutiny of BSR proposals currently happens across a number of committees, and extends over a period of a month. Producing papers for all these meetings, and attending briefings and meetings consumes a significant amount of officer and member time.

- 3.2 The member working group that reviewed scrutiny committee arrangements in 2017/18 agreed that officers should report back on improvements to the current arrangements.

- 3.3 Officers have reviewed the arrangements with the two objectives in mind:

(a) ensuring that there is sufficient opportunity for member scrutiny of the Budget Setting Report and any amendments ahead of the budget-setting council meeting in February.

(b) streamlining the process to focus member and officer effort where it will add most value.

### **3.4 Proposed Revised Process – Option A**

- Option A in the attached Appendix B would see a move from two Strategy & Resources scrutiny committee meetings to a single meeting. This would happen later than the traditional "S&R1" meeting, but slightly earlier than the traditional "S&R2" meeting.
- Sub-sets of the BSR relating to specific portfolios would not be taken to individual thematic scrutiny committees (other than housing – scrutiny of the HRA BSR remains unchanged by these proposals).
- A briefing to which all members will be invited on the ruling group's BSR would be held shortly after it is published in early January. This would allow the Head of Finance to fully brief all councillors on the technical and structural aspects of how the budget is put together and how the

various elements inter-relate. The Executive Councillor for Finance and Resources would provide a strategic overview of the budget strategy, and also be available for questions and discussions to clarify the purpose of various items.

- The single S&R meeting would consider both BSR and amendments plus any Executive amendments. The Executive would meet formally immediately after the S&R meeting to formally recommend the BSR (as amended, if necessary) to Council.
- Amendments that had been submitted to the S&R meeting would also be submitted for consideration at Council, as at present.
- If the final BSR differed from the version published in January, any member would have an opportunity to further amend their amendment for final submission to the Council meeting after the Executive had recommended the final BSR to Council.

### **3.5 Proposed Revised Process - Option B**

- Option B retains all of the elements of the current “as is” process, but brings the meeting of the Executive forward to the same night as the S&R1 committee meeting. There would not need to be any amendment to the constitution procedure rules to effect this change.

### **3.6 Benefits of the Change – Option A**

3.6.1 The benefits of these proposals are that they bring scrutiny of the whole BSR together in one place. All Executive Councilors and spokes would be invited to attend the S&R meeting. This would allow full scrutiny of all the proposals (both ruling group and opposition), from all aspects, rather than fragmenting the discussion into portfolio-related items.

Some members have expressed the view that these portfolio-specific BSR items rarely see detailed scrutiny, as questions and debate can tend to be reserved for later meetings.

3.6.2 This would also align decision making on the BSR with other Executive decisions, i.e. the officer report and any amendments would be on the table in front of the Executive, and would have had the chance to be scrutinized by all sides, before the Executive makes its decision.

3.6.2 Furthermore, this approach would save officer time (and the financial and environmental costs of printing and distributing multiple reports), and allow officer effort to be focused on supporting members in

constructing their budget and budget amendment, and on supporting the one scrutiny meeting.

3.6.3 Having the Executive meeting on the same night as S&R would save having to arrange a separate meeting on a separate night and the disruption for councilors and officers that that entails.

3.6.4 This proposal provides for nearly three working weeks from the publication of the BSR to the submission of budget amendments. Officers would make themselves available to opposition members to ensure this was sufficient.

### **3.7 Benefits of the Change – Option B**

3.7.1 Having the Executive meeting on the same night as S&R would save having to arrange a separate meeting on a separate night and the disruption for councilors and officers that that entails.

### **3.8 Comparison of the impacts of options A and B**

3.8.1 The table in Appendix C provides a concise summary and comparison of the impacts of the two options, not least with regard to the objectives of the review, which are to provide opportunity for scrutiny of the BSR whilst streamlining total effort, time and resource going into the process.

3.8.2 Officers consider that Option A provides the greater degree of fit with the objectives, given the greater reduction in separate meetings and reports.

## **4. Implications**

### **(a) Financial Implications**

There would be a small cost saving from not printing and distributing the finance reports to so many meetings, and not holding so many meetings. This would be greater for Option A than Option B.

### **(b) Staffing Implications**

There would be a reduction in the demands on busy Finance and Senior officers from producing fewer separate reports, and arranging and attending fewer separate briefing meetings and committee meetings. This would be greater for Option A than Option B.

### **(c) Equality and Poverty Implications**

N/A

#### **(d) Environmental Implications**

There would be a small positive environmental impact from printing and distributing fewer separate reports and arranging fewer meetings. This would be greater for Option A than Option B.

#### **(e) Procurement Implications**

N/A

#### **(f) Community Safety Implications**

N/A

### **5. Consultation and communication considerations**

These proposals have been developed in discussion with the Member Working Group comprising the three Group Leaders in the Council and the Chair of Civic Affairs Committee. Officers in Finance have also been consulted.

### **6. Background papers**

No background papers were used in the preparation of this report. An Equality Impact Assessment has not been produced as officers have not identified any specific or differential impacts on people with any of the protected characteristics.

### **7. Appendices**

- (a) Budget scrutiny and amendment procedure rules showing proposed changes
- (b) BSR scrutiny options timeline table
- (c) BSR scrutiny options analysis

### **8. Inspection of papers**

To inspect the background papers or if you have a query on the report please contact Andrew Limb, Head of Corporate Strategy, tel: 01223 - 457004, email: [andrew.limb@cambridge.gov.uk](mailto:andrew.limb@cambridge.gov.uk) .

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## Appendix A2 - Council Procedure Rules – Budget Recommendations and Amendments

1. These rules supplement the Budget and Policy Framework Procedure Rules contained in Part 4C of this Constitution. They also modify the Council Procedure Rules as follows.
2. ~~Once the Executive has met in accordance with Rule 3.7 of the Budget and Policy Framework Procedure Rules, it shall publish its budget recommendations to the Council.~~
3. ~~Following publication of budget recommendations under Paragraph 2, there will be a period of five full working days during which amendments or alternatives (referred to here collectively as “amendments”) to the budget recommendations may be proposed. Amendments shall be in writing and must be delivered to the Chief Executive within the period mentioned above. Amendments need not be seconded. Subject to the exceptions set out in this Appendix, amendments received outside this period will be invalid.~~
4. ~~Valid amendments submitted under Paragraph 2 shall be considered at a special meeting of the Strategy & Resources Scrutiny Committee. The Strategy & Resources Scrutiny Committee may comment on these amendments and the comments of the Committee will be submitted to the Budget Council Meeting for consideration.~~
5. ~~The Executive may amend its budget recommendations in the light of the Strategy & Resources Scrutiny Committee’s consideration of amendments.~~
6. Subject to the provisions contained in this paragraph, only amendments submitted in accordance with the Budget and Policy Framework Procedure Rules Paragraph 3 shall be considered at the Budget Council Meeting. ~~The exceptions to this rule are as follows:~~
  - 6.1 The Executive may introduce amendments at the Council meeting or give advance notice of revised recommendations. This might be necessary, for instance, in response to changed circumstances, or in the light of scrutiny of amendments or to correct technical errors. The Leader must explain why it has proved necessary to introduce any amendment. This is to be done at the beginning of the budget item.
  - 6.2 The Executive may make changes to the budget recommendations to give effect to decisions by precepting authorities.
  - 6.3 Further amendments may be moved by any member in direct response to amendments made by the Executive at the meeting.

- 6.4 Technical amendments may be made by leaders of minority groups or proposers of amendments to correct arithmetical or factual errors.
  - 6.5 The Mayor shall have discretion to permit amendments from members when satisfied that the need for the amendment could not have been anticipated before the deadline. The Mayor should also be satisfied that advance notice of such amendments was given as soon as reasonably practical, and not left to the day of the meeting unless this was unavoidable.
  - 6.6 Members may submit revised amendments where the Mayor is satisfied that the substantive issues have been considered at the ~~special~~ Scrutiny Committee meeting.
  - 6.7 The Executive may amend its budget recommendations in the light of amendments moved at the Strategy & Resources Scrutiny meeting or at the Council meeting.
  - 6.8 If the Executive fails to secure Council adoption of its budget, further amendments may be moved, and these rules will not apply;
  - 6.9 The Council may, by a simple majority, suspend these rules and permit further amendments.
7. The rules of debate contained in the Council Procedure Rules shall be modified in respect of the Budget Council Meeting as follows:
    - 7.1 The Executive shall present its budget recommendations. A period of 45 minutes is allowed for this, extendable at the discretion of the Mayor. The format and mode of the presentation is for the Executive to decide.
    - 7.2 Minority groups may then present alternative budgets, subject to compliance with the provisions of this Appendix. A period of 45 minutes is allowed for each alternative budget, extendable at the discretion of the Mayor. The format and mode of the presentation is for the minority group to decide.
    - 7.3. Alternative budgets will then be moved in turn as amendments to replace the Executive recommendation. They will be debated in the usual way, although replacement budgets will be deemed to have been moved and seconded.
    - 7.4 At the conclusion of each debate, a vote will be taken for and against the alternative budget.

- 7.5 If the alternative budget is voted down, the Leader of the proposing Group may ask for separate votes to be taken on individual proposals within the alternative budget, but there shall be no further debate.
- 7.6 Where individual amendments have been submitted by councillors, these will then be debated in the usual way. However, where they are to the same effect as something in an alternative budget, they shall be considered at the same time as the alternative budget, with the proposer being able to ask for a separate vote in accordance with paragraph 7.5.
- 7.7 After consideration of amendments the Executive's budget proposals will be debated in the usual way but, subject to paragraph 7.8 below, no amendments may be moved.
- 7.8. If the Executive's budget is rejected, amendments and alternative proposals may be made as under the present rules, subject to the dispute resolution provisions set out in the Budget and Policy Framework Procedure Rules contained in Part 4C of this Constitution.

## Part 4C-Budget and Policy Framework Procedure Rules

### Budget Setting – Scrutiny of Budget Proposals, amendments and Executive Recommendation

3.3 ~~During the Committee cycle leading up to budget setting, each Scrutiny Committee will receive a short report focused on the revenue and capital budget proposals (bids and savings) relating to relevant Portfolios with Strategy & Resources Scrutiny Committee meeting to take an overview, as well as considering budget proposals within its remit. The Executive will publish the Budget Setting Report, which will be followed as soon as practicable by a Member Briefing to which all members of the Council will be invited to attend. Amendments from Opposition Groups or any Member, to the Budget Setting Report will be published no later than three working days prior to the Strategy and Resources Scrutiny Committee. The Scrutiny Committee may comment on these amendments (but may not amend them) and the comments from the Scrutiny Committee will be submitted to Council for its consideration.~~

3.4 The Executive shall meet collectively to recommend budget proposals for submission to the Council. The Executive may amend its budget recommendations in the light of the Strategy & Resources Scrutiny Committee's consideration of amendments.

3.5 Once the Executive has met in accordance with Paragraph 3.4, it shall publish its budget recommendations to the Council.

#### Amendments following the Executive's recommendation to Council

3.6 Following publication of the Executive's recommendation to Council, further amendments may be submitted by Opposition Groups or any Member. These must be amendments which satisfy the following:

(i) amendment(s) could not have been presented to the Strategy and Resources Scrutiny because information was not available at the time

(ii) amendment(s) are received by the Council's s151 Officer within 4 working days of the Executive's meeting.

(iii) amendments, including the s151 Officer opinion, are published with the agenda for the Council budget meeting.

#### Submission of Budget Amendments

~~3.6 Following publication of budget recommendations under Paragraph 3.5, there will be a period of five full working days during which amendments or alternatives (referred to here collectively as "amendments") to the budget recommendations may be proposed. Amendments shall be in writing and must be delivered to the Chief Executive within the period mentioned above. Amendments need not be seconded. Subject to the exceptions set out in this s, amendments received outside this period will be invalid.~~

- ~~3.7 Valid amendments submitted under Paragraph 3.6 shall be considered at a special meeting of the Strategy & Resources Scrutiny Committee. The Strategy & Resources Scrutiny Committee may comment on these amendments and the comments of the Committee will be submitted to the Budget Council Meeting for consideration.~~
- ~~3.8 The Executive may amend its budget recommendations in the light of the Strategy & Resources Scrutiny Committee's consideration of amendments.~~

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## BSR Scrutiny options

As-is			Option A			Option B	
Process	Date 2018		Process	Date 2019		Process	Date 2019
BSR published	04/01		BSR published All-member briefing with Head of Finance & Exec Cllr Finance & Resources	07/01 09/01		BSR published All member briefing if requested by a majority of members	07/01
BSR portfolio elements scrutinised by thematic committee			<i>[Committees other than Housing do not scrutinise portfolio budgets. Policy decisions with budgetary implications are "subject to" approval of the BSR.]</i>			BSR portfolio elements scrutinised by thematic committee	
BSR in totality scrutinised at S&R1	22/01		<i>[S&amp;R1 cancelled]</i>			BSR in totality scrutinised at S&R1	21/01
Executive recommends BSR to Council	25/01		Opposition amendments submitted	25/01		Executive recommends BSR to Council	21/01
Opposition Amendments published	05/02		Opposition Amendments published, with s.25 amendments	29/01		Opposition Amendments published	04/02
S&R2 scrutinises opposition & Exec amends	12/02		S&R2 scrutinises totality of BSR AND opposition and Executive amendments.	04/02		S&R2 scrutinises opposition & Exec amends	11/02
			Executive recommends BSR to Council	04/02			
Council papers published	14/02		Opportunity for further opposition amendments to be submitted if Executive Budget different from budget as originally scrutinised	08/02		Council papers published	13/02
Council agrees BSR & CT precept	22/02		s.151 officer signs off amendment	12/02		Council agrees BSR & CT precept	21/02
			Council papers published	13/02			
			Council agrees BSR & CT precept	21/02			

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## GF BSR scrutiny options analysis

	As-is	Option A	Option B
Number of formal public meetings BSR is discussed at, in whole or in part	6	3	6
Member briefing	0	1	Only if requested by members
Number of days on which meetings take place	6	2+1 <sup>1</sup>	5
Pre-scrutiny of Exec BSR <u>and</u> amendments before Executive decision	x	✓	x
Opportunity for councillors to clarify understanding of Executive's budget before finalising amendment	✓	✓	✓
Focus on scrutiny of budget as a whole	x	✓	x
Detailed scrutiny of portfolio budget by service committee	✓	x <sup>2</sup>	✓
Other considerations for officers	Requires Finance Officers to produce separate reports for 6 meetings, and finance officers and senior officers to attend 6 meetings + associated briefings		Requires Finance Officers to produce separate reports for 6 meetings, and finance officers and senior officers to attend 6 meetings + associated briefings
Other considerations for members	Cllrs required to attend more meetings and briefings Executive do not see oppn amendment before finalising budget	Less time between publication and oppn amendment deadline Oppn amendment submitted before Exec decision but chance to amend further before Council Cllrs (Exec & Spokes) need to be available for super-S&R	Cllrs required to attend more meetings and briefings Executive do not see oppn amendment before finalising budget

<sup>1</sup> +1 is the proposed member briefing

<sup>2</sup> Spokes can attend unified S&R meeting





Item

## Municipal Year 2019/20 (Indicative)

**To:**

Civic Affairs Committee 10/10/18

**Report by:**

Democratic Services Manager, Gary Clift

Tel: 01223 - 457011 Email: gary.clift@cambridge.gov.uk

**Wards affected:**

None directly affected

### 1. Introduction

- 1.1 The report seeks comments and approval of the Council's meeting calendar for the Municipal Year 2019/20 (indicative).

### 2. Recommendations

- 2.1 To comment on the meetings calendar 2019/20 and, if required, to delegate final approval to the Chief Executive in consultation with Group Leaders by the end of October.

### 3. Background

- 3.1 This committee sets the forward programme of dates for the Council and committee meetings, with Group Leaders having seen the draft calendar for any prior comment. The four Area Committees agree dates at respective meetings in February-April each year.
- 3.2 The calendar avoids main school holidays and political party conferences where possible. Liaison with external partners is done so the calendar seeks to avoid date clashes wherever possible. . The

calendar takes into account the proposals to alter the budget cycle from January 2019.

#### **4. OPTIONS**

The Committee can suggest alternatives to the calendar proposed.

#### **5. Implications**

**(a) Financial Implications** - none

**(b) Staffing Implications**-none

**(c) Equality and Poverty Implications**

The calendar spreads the meetings across days of the week (Monday-Thursday) and hours of the day. There are more meetings in the late afternoon/evening to suit current councillor preferences.

**(d) Environmental Implications** - none

**(e) Procurement Implications** - none

**(f) Community Safety Implications** - none

#### **5. Consultation and communication considerations**

Group Leaders, the Monitoring Officer and s151 Officer have been consulted on the proposed calendar.

#### **6. Background papers**

GCP, Combined Authority and SCDC and County Council draft meetings calendars and published meeting dates.

## Cambridge City Council Meeting Dates, May 2019 - May 2020

MEETING	DAY	TIME	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY
<b>Council</b>	Thurs	<b>18:00</b>	23-11am		18			17				13		9	21-11am
<b>Environment and Community Svcs</b>	Thurs	<b>17:00</b>		27				3			16		26		
<b>Planning and Transport</b>	Tues	<b>17:30</b>		25				1			14		24		
<b>Housing</b>	Tues	<b>17:30</b>		18			27-Thurs				15 - Wed		17		
<b>S&amp;R</b>	Mon	<b>17:00</b>			1			7				3	30		
<b>Civic Affairs</b>	Wed	<b>17:30</b>	13		24			9			29				18
<b>Full Licensing</b>	Mon	<b>10:00</b>			8		31				27		23		
<b>Planning</b>	Wed	<b>10:00</b>		11	3	7	4	2	6	4	8	5	4	1,22	
<b>Jnt Dev Control</b>	Wed	<b>10:30</b>		19	17	21	19	23	20	18	22	19	18	15	
<b>Equalities</b>	Mon	<b>16:00</b>		10					18						
<b>DCF</b>	Wed	<b>10:00</b>		26	10	14,28	12	9	13,27	11		13	13	10	
<b>JSEF</b>	Tues	<b>17:00</b>			9			8				4	31		
<b>Licensing Sub</b>	Mon	<b>10:00</b>	13	17, 24	22, 29	5, 19	9, 24	7, 21	4, 18	2, 16	6, 20	10, 25	2, 16, 30	6, 27	
<b>East Area *</b>	Thurs	<b>19:00</b>													
<b>North Area *</b>	Thurs	<b>19:00</b>													
<b>South Area *</b>	Mon	<b>19:00</b>													
<b>West Area *</b>	Thurs	<b>19:00</b>													
<b>Executive</b>	Thurs	<b>18:00</b>													

\* Area Committees set their own dates and times in March/April 2018

Member Briefings	TIME	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY
Mon, Tues or Wed at 18:00	<b>18:00</b>	Various*												

\* Various member briefings/training sessions for new/all councillors are taking place during May (see Induction Programme)

2019 Lib Dem Party Conference, 15 - 18 September

2019 Labour Party Conference, 23 - 26 September

The Executive meet on 3 February 2020

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