

# **Business & Transformation Scrutiny Panel**

## **Agenda**

**Thursday, 26 October 2017 AT 10:00**  
**In the Flensburg Room, Civic Centre, Carlisle, CA3 8QG**

**\*\*A preparatory meeting for Members will be held at 9.15am in the  
Flensburg Room \*\***

The Press and Public are welcome to attend for the consideration of any items  
which are public.

### **Members of the Business & Transformation Overview and Scrutiny Panel**

Councillor Mrs Riddle (Chairman), Councillors Allison, Mrs Birks, Mrs Bowman (Vice  
Chairman), Mrs Glendinning, Mallinson J, Robson, Watson

Substitute Members:

Bainbridge, McDonald, Mrs McKerrell, McNulty, Shepherd, Sidgwick S

**PART A**  
**To be considered when the Public and Press are present**

**Apologies for Absence**

To receive apologies for absence and notification of substitutions.

**Declarations of Interest (including declarations of “The Party Whip”)**

Members are invited to declare any disclosable pecuniary interests, other registrable interests, and any interests, relating to any item on the agenda at this stage.

**Public and Press**

To agree that the items of business within Part A of the agenda should be dealt with in public and that the items of business within Part B of the agenda should be dealt with in private.

**Minutes of Previous Meeting**

**5 - 12**

To agree the minutes of the meeting held on 14 September 2017.  
(Copy Minutes attached)

**A.2 OVERVIEW REPORT AND WORK PROGRAMME**

**13 - 18**

Portfolio: Cross Cutting

Directorate: Cross Cutting

Officer: Steven O'Keeffe, Policy and Communications Manager

Report: OS.20/17 attached

**Background:**

To consider a report providing an overview of matters related to the work of the Business and Transformation Scrutiny Panel.

**Why is this item on the agenda?**

The Business and Transformation Scrutiny Panel operates within a work plan which has been set for the 2017/18 municipal year. The Plan will be reviewed at every meeting so that it can be adjusted to reflect the wishes of the Panel and take into account items relevant to this Panel in the latest Notice of Executive Key Decisions.

**What is the Panel being asked to do?**

- Note the items (within the Panel remit) on the most recent Notice of Executive Key Decisions
- Discuss the work programme and prioritise if necessary

## **A.3 SMT SUB GROUPS**

### **(a) TRANSFORMATION 19 - 24**

Portfolio: Cross Cutting

Directorate: Corporate Support and Resources

Officer: Jason Gooding, Town Clerk and Chief Executive

Report: CE.14/17 attached

#### **Background:**

The Town Clerk and Chief Executive to submit an update on the work of the Transformation SMT Sub-group to aid work programme planning for the Panel.

#### **Why is this item on the agenda?**

The Panel requested the report at their meeting on 14 September 2017

#### **What is the Panel being asked to do?**

### **(b) BUSINESS MANAGEMENT & DEVELOPMENT 25 - 30**

Portfolio: Finance, Governance and Resources

Directorate: Governance and Regulatory Services

Officer: Mark Lambert, Corporate Director of Governance and Regulatory Services

Report: GD.70/17

#### **Background:**

The Corporate Director of Governance and Regulatory Services to submit an update on the work of the Business Management and Development SMT Sub-group to aid work programme planning for the Panel.

#### **Why is this item on the agenda?**

The Panel requested the report at their meeting on 14 September 2017.

#### **What is the Panel being asked to do?**

Comments or questions are welcome.

## **A.4 CORPORATE RISK REGISTER**

**31 - 42**

Portfolio: Cross Cutting

Directorate: Corporate Support and Resources

Officer: Tracey Crilley, Chief Executive's Office Manager

Report: CE.39/17 attached

### **Background:**

The Town Clerk and Chief Executive to update the Panel on the Corporate Risk Register.

### **Why is this item on the agenda?**

Bi annual monitoring report

### **What is the Panel beng asked to do?**

Scrutinise and comment on the Corporate Risk Register

## **PART B**

### **To be considered in Private**

- NIL -

Enquiries, requests for reports, background papers etc to:

Rachel Plant, Democratic Services Officer, (01228) 817036 or  
[rachel.plant@carlisle.gov.uk](mailto:rachel.plant@carlisle.gov.uk)

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# **Minutes of Previous Meeting**

## **BUSINESS AND TRANSFORMATION SCRUTINY PANEL**

**THURSDAY 14 SEPTEMBER 2017 AT 2.00PM**

**PRESENT:** Councillor Mrs Riddle (Chairman), Councillors Allison, Mrs Birks, Mrs Bowman, Mrs Glendinning, Mallinson J, Shepherd (as substitute for Councillor Robson), and Sidgwick S (as substitute for Councillor Watson).

**ALSO PRESENT:** Councillor Dr Tickner – Deputy Leader, and Finance, Governance and Resources Portfolio Holder

**OFFICERS:** Town Clerk and Chief Executive  
Deputy Chief Executive  
Deputy Chief Finance Officer  
Strategic Asset Investment Services Manager  
Policy and Communications Manager  
Policy and Performance Officer

### **BTSP.18/17 APOLOGIES FOR ABSENCE**

Apologies for absence were submitted on behalf of Councillor Robson and Councillor Watson.

### **BTSP.19/17 DECLARATIONS OF INTEREST**

There were no declarations of interest affecting the business to be transacted at the meeting.

### **BTSP.20/17 PUBLIC AND PRESS**

**RESOLVED** - It was agreed that the items of business in Part A be dealt with in public and Part B be dealt with in private.

### **BTSP.21/17 MINUTES OF PREVIOUS MEETINGS**

**RESOLVED** – That the minutes of the meeting held on 3 August 2017, which had been approved by Council on 11 September 2017, be signed by the Chairman.

### **BTSP.22/17 CALL - IN OF DECISIONS**

There were no items which had been the subject of call-in.

### **BTSP.23/17 OVERVIEW REPORT AND WORK PROGRAMME**

The Policy and Communications Manager presented report OS.20/17 providing an overview of matters relating to the work of the Business and Transformation Scrutiny Panel.

The Notice of Executive Key Decisions had been published on 25 August 2017 and the item which fell within the Panel's remit had been included on the agenda (KD.21/17 – Bitts Park Lodge Flood Reinstatement).

The Panel's work programme was attached to the report as appendix 1 and the Chairman asked for a brief update on the work being undertaken on the Community Asset Transfer Policy.

The Policy and Performance Officer reported that development work for the Policy had begun and included comparison work with other authorities and consideration of the requests that the City Council had received to date.

The Chairman proposed that the Panel undertake a small task and Finish Group comprised of the Chairman, Vice Chairman and Councillor Allison to support officers in shaping and developing the Community Asset Transfer Policy with a view to providing the Panel with an update on their work in October.

In reviewing the work programme the Chairman asked that a report from the Transformation and Business Management Development SMT Sub Groups, which gave an overview of their work, be submitted to the October meeting of the Panel.

RESOLVED – 1) That the Overview Report incorporating the Work Programme and Key Decision items relevant to the Business and Transformation Scrutiny Panel (OS.20/17) be noted.

2) That a Community Asset Transfer Policy Task and Finish Group be established comprising of the chairman and Vice Chairman of the Business and Transformation Scrutiny Panel and Councillor Allison That the Task and Finish Group provide an update on their work to the Panel in October.

3) That a report from the Transformation and Business Management Development SMT Sub Groups, which gave an overview of their work, be submitted to the October meeting of the Panel.

#### **BTSP.24/17            REVENUE BUDGET OVERVIEW AND MONITORING REPORT – APRIL TO JUNE 2017**

The Deputy Chief Finance Officer presented report RD.18/17 which provided an overview of the Council's overall budgetary position for the period April to June 2017 for revenue schemes only. The revenue report included details of balance sheet management issues, bad debts written off in the period and progress against the transformation savings was also provided.

The Deputy Chief Finance Officer drew the Panel's attention to section 3 of the report which summarised the budgetary position as at June 2017 and highlighted the main income and expenditure variances as summarised at Section 3.3 of the report.

The matter had been considered by the Executive on 29 August 2017 (EX.86/17 refers) and they decided:

“That the Executive:

1. Noted the budgetary performance position of the Council to June 2017.
2. Noted the action by the Chief Finance Officer to write-off bad debts as detailed in paragraph 6 of Report RD.18/17.
3. Noted the virements and release of reserves as set out in paragraph 2.1 and Appendix A.”

In considering the report Members raised the following comments and questions:

- How confident were officers that the £1million additional income from the Council's assets would be achieved from 2018/19?

The Deputy Chief Finance Officer explained that the £1million additional income would be in the budget from 1 April 2018 and almost half of the additional income had been already been achieved.

The Panel asked that an update on the progress being made with rent reviews be circulated to the Members.

- How would Chancerygate be paid and what affect would it have on the income from rent reviews?

The Deputy Chief Finance Officer explained that Chancerygate were paid on a fee basis which had been covered from the reserves this year but it was anticipated that the future fee would be covered from the increase in income as a result of their work.

- Had the backdating of shortfall in the Lanes income been dealt with and had the budget for the Lanes income been reduced to reflect the reduction in income?

The Deputy Chief Finance Officer confirmed that the backdating of the shortfall in the Lanes income had been completed and the budget had been reduced to take account of the lower level of income received, however, the income was still not achieving the lower target.

- What were the implications of the ICT Strategy and the reported overspend?

The Deputy Chief Finance Officer explained that work was being undertaken to realign the profiles of expenditure budgets for the implementation of the ICT Strategy and it was not envisaged that there would be an overspend by the end of the year.

- Had the increase in Garden Waste income come from the expansion of the service?

The Deputy Chief Finance Officer responded that the increase had been the result of additional recycling credits from Cumbria County Council.

- What were the contractual arrangements for the garden waste service and when were the rates last agreed?

The Deputy Chief Finance Officer agreed to circulate a written response to Members.

- A Member had concerns that the debtors balance was very high and asked how this would be reduced and monitored.

The Deputy Chief Finance Officer reported that the majority of the figure was made up of overpayments to housing benefits and officers would look to recover the monies as part of their ongoing work. He added that the debtors figure remained constant throughout the year. Some of the amount would be written off but the debt was not forgotten and could be written back on.

- What was the reason for the reduction in the investment balance?

The Deputy Chief Finance Officer reminded the Panel that the Council had made the decision to pay the pension costs up front as a one off payment and the investment balance would be back up by the end of the three years.

- Was the Council looking to recover all of the shortfall in income from the closure of John Street Accommodation from the insurers?

The Deputy Chief Finance Officer confirmed that the Council was looking to recover all of the lost income and the final settlement would not be agreed until the final accounts had been received.

- The Panel congratulated officers for the work that had been undertaken to receive the “write on” credits.

RESOLVED – 1) That the Panel note the overall budgetary position for the period April to June 2017 (RD.18/17).

2) That an update on the progress being made with rent reviews be circulated to all Members of the Panel.

3) That details of contractual arrangements for the garden waste service be circulated to all Members of the Panel.

## **BTSP.25/17            CAPITAL BUDGET OVERVIEW AND MONITORING REPORT – APRIL TO JUNE 2017**

The Deputy Chief Finance Officer presented report RD.19/17 which provided an overview of the budgetary position of the City Council's capital programme for the period April to June 2017.

Members' attention was drawn to the Capital Budget Overview and details of the budget monitoring position as set out in sections 2 and 3 of the report.

The matter had been considered by the Executive on 29 August 2017 (EX.87/17 refers) and they decided:

“That the Executive:

1. Noted the budgetary position and performance aspects of the capital programme for the period April to June 2017.
2. Noted adjustments to the 2017/18 capital programme for ICT Strategy (£49,600), Harraby Cycle Track (£41,500) and Public Realm (£25,000) to account for all external funding available towards the projects as detailed in paragraph 2.1 of Report RD.19/17.”

In considering the report Members raised the following comments and questions:

- What was the reason for the underspend on Disabled Facilities Grants (DFGs)?

The Deputy Chief Finance Officer reminded the Panel that the City Council received a higher grant allocation from the Better Care Fund and as a result there was more money available to the authority. A discretionary scheme had been introduced to allow some of the additional monies to be spent in different ways and work was being undertaken to look at County wide schemes.

The Town Clerk and Chief Executive added that the City Council had approved the Discretionary Policy which gave the Council the discretion to pay additional money above the statutory limit for DFGs. If the money allocated was not spent it would be carried over to future years.

The Town Clerk and Chief Executive reported that he was leading on collaborative work across the six districts for better use of the monies beyond DFGs. Senior officers were keen to work together but there were issues with different processes on how DFGs were awarded across the districts. It would be a continuing piece of work but there was other work being carried out using the funding in the meantime.

In response to a Member's question the Chief Executive confirmed that one option being looked at was the employment of Occupation Health officers to speed the DFG process up. The Regulatory Services Manager had a timetable of work that would use the funding which would



be circulated to Members to enable them to determine if any of the projects required further scrutiny.

RESOLVED – 1) To note the overall budgetary position for the period April to June 2017 (RD.19/17)

2) That the timetable of works using the Better Care Funding be circulated to Members of the Panel to enable them to identify any potential areas for Scrutiny.

#### **BTSP.26/17            QUARTER 1 PERFORMANCE REPORT 2017/18**

The Policy and Communications Manager presented the 1<sup>st</sup> quarter performance by exception list against the current Services Standards and a summary of the Carlisle Plan 2015-18 actions as defined in the 'plan on a page'. Proposed new Service Standards and Key Performance Indicators (KPIs) were also included (PC.16/17).

Details of the current standards were set out in section 1 of the report and a set of proposed new Service Standards and KPIs were presented in section 2 of the report. Section 3 detailed updates against actions in the Carlisle Plan.

In considering the report Members raised the following comments and questions:

- The Panel supported the new report layout, new services standards and agreed that they would have service standards reported to them on an exception only basis.
- In response to a Member's request the Deputy Chief Executive agreed to circulate the proposed timeframe for the new leisure contract to Members of the Panel.
- Would the cycle track at Harraby be operational by October 2017 as originally planned?

The Deputy Chief Executive confirmed that the track would not be operational by October, a revised timescale for the track was being developed.

RESOLVED – 1) That the Panel supported the new layout of the Performance report (PC.16/17) and the proposed new service standards and agreed that services standards would be reported to the Panel on an exception only basis.

2) That the Deputy Chief Executive circulate the timescales for the new leisure contract to Members of the Panel.

#### **BTSP.27/17            BITTS PARK – FLOOD REINSTATEMENT**

The Strategic Asset Investment Services Manager presented report GD.54/17 which outlined proposals for the reinstatement of flood affected assets in Bitts Park.

The Strategic Asset Investment Services Manager played a short flythrough of the proposals for Bitts Park and reminded the Panel of the damage which had occurred to Councils buildings in Bitts Park during the 2015 flood. He explained that officers had worked closely with WYG to review all flood affected assets in the park and it was established that the Pavilion was beyond repair. The depot and public toilets had suffered substantial damage and the park keepers lodge had escaped with only minor flooding to the basement areas.

It became clear that the flood presented an opportunity to redevelop the park facilities to provide an enhanced offer. Consultations with service users allowed plan and proposals to be developed and they were presented in section 2 of the report.

The Strategic Asset Investment Services Manager reported that having considered the location and user requirements of the previous Pavilion and the former lodge plans were devised to redevelop the lodge into a new pavilion facility. The plans included a new single storey addition, enhanced café area with decked area and integrated toilet facility.

The new pavilion would deal with all bookings for the tennis courts and provide basic changing rooms with back office accommodation and storage. Flood resilience measures would be incorporated into the design along with security measures.

In addition to the pavilion the Strategic Asset Investment Services Manager reported that a basic reinstatement of the ground floor of the depot was proposed to reflect the current use of the facility.

The report detailed the proposed timescales along with the financing proposals and the Panel was asked to consider the proposals and provide observations and comments for consideration by the Executive on 25 September. The Strategic Asset Investment Services Manager added that further reports would be considered by Members to gain approvals as necessary throughout the project.

The Chairman commended officers for using the unfortunate circumstances as an opportunity to rebuild in an imaginative way.

The Panel had a detailed and in depth discussion with regard to the security arrangements for the building and, in particular, the toilet facilities. They were concerned that the toilet facilities would only have limited opening hours and leave the Park without facilities early evening or when other activities were taking place. The old toilets had suffered from anti-social behaviour and there were concerns that the Lodge would not be secure at night.

The Deputy Chief Executive agreed that there had been issues with the previous toilets and the Lodge would be designed with flood resilience and security included. He added that the proposals were the first step in the process and the final design and details would go back through the Executive process. There were many details that needed to be addressed in more detail and these included the toilet facilities, who would run the proposed facilities, opening hours, access to the toilets and changing rooms and the final design of the building.

Members highlighted issues with opening hours at the facilities at Talkin Tarn and Hammonds Pond and were concerned that similar issues would arise in Bitts Park especially during the winter months. They wanted to see the income from the facilities maximised and suggested that officers investigate the facilities other authorities offered in their parks and consider evening corporate events.

The Chairman asked who the stakeholders were with regard to consultation and whether the final design would be available for the Panel to scrutinise. The Deputy Chief Executive explained that the stakeholders included the Parks and Greenspaces Team, the Leisure Contract provider and Planning Services. The final design and request for release of monies would go through the Executive process.

RESOLVED – 1) That the Panel note report GD.54/17 Bitts Park Flood Reinstatement;

2) That the Panel support the proposed design in particular the re-use of the Lodge and look forward to see the final designs at a future meeting;

3) That the comments and concerns of the Panel as detailed above be forwarded to the Executive.

(The meeting ended at 3.25pm)



# Business and Transformation Scrutiny Panel

Agenda  
Item:  
**A.2**

Meeting Date: 26<sup>th</sup> October 2017

Portfolio: Cross Cutting

Key Decision: No

Within Policy and  
Budget Framework

Public / Private Public

Title: OVERVIEW REPORT AND WORK PROGRAMME

Report of: Overview and Scrutiny Officer

Report Number: OS 20/17

## Summary:

This report provides an overview of matters related to the Business and Transformation Scrutiny Panel's work. It also includes the latest version of the work programme.

## Recommendations:

Members are asked to:

- Note the items (within Panel remit) on the most recent Notice of Key Executive Decisions
- Consider the work programme and prioritise if necessary

Contact Officer: Steven O'Keeffe

Ext: 01228 817258

Appendices attached  
to report:

1. Business and Transformation Scrutiny Panel Work Programme 2017/18

## **1. Notice of Key Executive Decisions**

The most recent Notice of Key Executive Decisions was published on 22<sup>nd</sup> September 2017. This was circulated to all Members. The following items fall within the remit of this Panel:

*Items which have been included in the Panel's Work Programme:*

KD.23/17 Budget Process 2018/19 (December)

*Items which have not been included in the Panel's Work Programme:*

KD.22/17 ICT Replacement Programme 2017/18 - Release of Capital Scheme Monies

KD.28/17 Polling Station Review 2017/18

KD.29/17 Land and Property Transaction - Land at Low Harker Dene

## **2. References from the Executive**

There are no references from the Executive.

## **3. Work Programme**

The Panel's current work programme is attached at **Appendix 1**.

The Panel will receive a verbal update on progress made through the Task and Finish Group on a draft Community Asset Transfer Policy.

**Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None**

## Appendix 1: Work Programme

Appendix A Work Programme

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
Current Meeting – 26 October 2017															
Transformation + Business Management and Development SMT Sub-Groups Jason Gooding/Mark Lambert			✓				Annual update for Panel on work of SMT Sub-groups to aid work programme planning for the Panel				✓				
Corporate Risk Register Tracey Crilley						✓	Bi-annual monitoring				✓				✓
Task & Finish Groups															
Community Asset Transfer Policy Becky Tibbs			✓				Assist in policy development process				?				
Future Items															
Sickness Absence Gary Oliver	✓						To consider reports relating to sickness absence levels. Biannual reporting	✓				✓			

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
<b>Customer Services</b> Jill Gillespie			✓				Consider workflow and new technology within Customer Services – incorporating Customer Contact Strategy					✓			
<b>Kingstown Industrial Estate</b> Mark Walshe						✓	Consider business plan. Update on progress after 6 months requested		✓					✓	
<b>Corporate Risk Register</b> Tracey Crilley						✓	Bi-annual monitoring				✓				✓
<b>Budget setting 2018/19</b> Alison Taylor					✓		Draft budget consultation					✓	✓		
<b>Transformation Board: Corporate programme of projects</b> Tracey Crilley						✓	Bi-annual monitoring of significant projects					✓			
<b>Flood Update Report</b> Darren Crossley		✓	✓			✓	Final report					✓			
<b>Scrutiny Annual Report</b> Dave Taylor							Draft report for comment before Chairs Group approval								✓



Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
<b>Performance Monitoring</b> Gary Oliver	✓					✓	Quarterly monitoring of performance within remit of Panel	✓		✓		✓		✓	
<b>Budget Monitoring 17-18</b> Alison Taylor					✓	✓	Monitoring of budget – both revenue and capital			✓		✓		✓	
<b>COMPLETED ITEMS</b>															
<b>Street Trading Policy</b> Scott Burns			✓				New policy being developed	✓							
<b>Freedom of Information Requests</b> Clare Furlong						✓	Annual Report on Freedom of Information requests. From 2018 onwards, for information only		✓						
<b>Medium Term Financial Plan and the Capital Strategy 2018/19 to 2022/23</b> Alison Taylor		✓			✓		Policy Documents Consultation		✓						
<b>Asset Management Plan</b> Mark Walshe		✓					2017 to 2022 Plan		✓						

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
<b>2016/17 Provisional Outturn Reports</b> Alison Taylor					✓		Outturn reports and requests to Council	✓							
<b>Asset Recovery: Civic Centre</b> Darren Crossley			✓				Consultation on reinstatement plans		✓						
<b>Performance Monitoring</b> Gary Oliver	✓					✓	Quarterly monitoring of performance within remit of Panel	✓		✓					
<b>Bitts Park Lodge – Flood Reinstatement</b> Mark Lambert		✓					Key Decision			✓					
<b>Budget Monitoring 17-18</b> Alison Taylor					✓	✓	Monitoring of budget – both revenue and capital			✓					
<b>FOR INFORMATION ONLY ITEMS</b>															
<b>Details</b>								<b>Date Circulated</b>							

# Report to Business & Transformation Scrutiny Panel

Agenda  
Item:  
**A.3  
(a)**

Meeting Date: Thursday 26<sup>th</sup> October 2017  
Portfolio: Cross Cutting  
Key Decision: Not Applicable:  
Within Policy and Budget Framework Yes  
Public / Private Public

Title: SMT Sub Group - Transformation  
Report of: Chief Executive  
Report Number: CE 14/17

## Purpose / Summary:

This report describes the work of the Business & Transformation Board (a subgroup of the Senior Management Team). It is for information as requested by the Panel.

## Recommendations:

None.

## Tracking

Executive:	Not applicable
Overview and Scrutiny:	Not applicable
Council:	Not applicable

The purpose of the Business & Transformation Board is to oversee corporate programme management, corporate standards for project management, the progress of Smarter Service Delivery, ICT projects and other related works as determined by the Senior Management Team. This work was previously undertaken by the Corporate Programme Board and the Smarter Services Delivery Board. Progress on these work areas will continue to be reported regularly to the Business & Transformation Scrutiny Panel in the usual way – for example through the regular Corporate Project Status Report.

The Board is chaired by the Chief Executive who is the link between the Board and the Senior Management Team. The terms of reference and membership is attached for members' information.

Other work currently underway includes the refresh of the Council's Project Managers' Handbook. This sets out the corporate standards and methodology for project management in the Council. It will come to this Panel for comment and input before being finalised. This will describe how, for example, we wish business cases to be developed, project risk to be managed and set out how project governance and accountability must be addressed.

A significant piece of work is currently being considered, which will result in a new Corporate Plan and a Competency Framework for all staff. Both areas of work are at an early stage and will fully involve the Business & Transformation Scrutiny Panel in their policy development role.

This 'inward looking' Corporate Plan (distinct from the Carlisle Plan) will be an overarching strategic plan for the 'business' of the organisation bringing together and helping us to co-ordinate management of people, information and resources to best deliver the priorities of the 'outward looking' Carlisle Plan.

Members will be familiar with the Management Competency Framework that we have had in place for a few years. This defines the behaviours that we expect from high-performing managers. The intention is to build upon this and reflect our values explicitly through a Competency Framework for all staff.

The Board (and officers more widely) considered the development of a 'Target Operating Model' for the Council. This would essentially be a blueprint for service delivery across the whole organisation. This idea has been discarded as unnecessarily complicated and inflexible. Experience has taught us that the Council performs best when managed according to shared principles and values rather than immutable processes.

We do need, however, to be clear about how we are going to deliver services. The Senior Management Team feel that, rather than having a big 'Target Operating Model', the Corporate Plan, Competency Framework and a Customer Service Charter will between them define what we need.

As with the other two elements, the Customer Service Charter will come to the Panel for consideration and scrutiny as it is developed.

There will of course be processes that need to be properly designed and refined, but the point here is that we can approach that as and when we need to in the context of clearly understood principles and priorities rather than trying to design one complex blueprint for the Council that will probably be out of date before we complete it.

Comments and suggestions on the work of the board are welcomed from members.

## Transformation Board – Terms of reference

### Vision and Context

The board's purpose is to design and oversee the delivery of business change to improve productivity, deployment of resources and deliver the Carlisle Plan. The board will also subsume existing activities around corporate program/project management and smarter service delivery.

The board will co-ordinate with SMT and the Business Development & Management Board to create a strategic plan (driven by the Carlisle Plan) – enabling design of an information strategy to drive decisions on IT applications and infrastructure.

The board will develop a target operating model for the organisation which will clearly define requirements for compliance with new ways of working.

### Roles and Responsibilities

The Chair (JG) will be the link to SMT to ensure that strategy development is congruent across the council.

Sub groups will be established where required, chaired by a member of the board, to deliver specific areas of related work.

Core membership may be changed, or other members temporarily added to the board at the discretion of the chair.

### Core Membership (version 1)

Chief Executive (Chair)  
Policy & Communications Manager  
Service Improvement Manager  
Customer Services Manager  
Chief Executive's Office Manager  
Principal Accountant  
ICT Services Manager  
Workforce Development Manager  
Revenues & Benefits Operations Manager

### Scope

Scope will included, but is not limited to the following. Scope may be modified at the discretion of the Chief Executive.

- Organisational development, culture, competencies and skills

- Smarter service delivery
- Corporate project and programme management
- Service delivery innovation
- Business transformation
- IT and information management

#### Initial Tasks

Design service plan template

Develop corporate plan (organisational objectives)

Design target operating model (business architecture)

Develop information strategy (with ML's group in particular)

Design "Enterprise Programme Management Office" capability





# Report to Business & Transformation Scrutiny Panel

Agenda  
Item:  
**A.3**  
**(b)**

Meeting Date: 26 October 2017  
Portfolio:  
Key Decision: No  
Within Policy and Budget Framework Yes  
Public / Private Public  
Title: SMT Sub-Groups – Business Management & Development  
Report of: Corporate Director of Governance and Regulatory Services  
Report Number: GD.70/17

## Purpose / Summary:

The Report describes the work of the Business Management & Development Senior Management Team Sub Group. It is for information, as requested by the Panel.

## Recommendations:

Members have requested the Report and any comments or questions are welcome.

## Tracking

Executive:	
Scrutiny:	26 October 2017
Council:	

## 1. Background

The Business Management and Development Sub-Group is a sub-group of the Senior Management Team and is chaired by the Corporate Director of Governance & Regulatory Services. The Sub-Group is primarily tasked with taking care of operational matters, looking for improvements where possible and considering commercial opportunities for the Council.

The Sub-Group has a core membership of the Director, the Chief Finance Officer, the Legal Services Manager and the Policy & Performance Manager. Each Chair a different task Group, which also include other, relevant officers, which reports back to the over-arching sub-group. The task groups are as follows:

Task Group	Remit
Governance	<ul style="list-style-type: none"><li>• Constitution</li><li>• Schemes of Delegation</li><li>• Training</li><li>• FOI</li><li>• ICT Security</li><li>• Audit</li><li>• Information Management</li><li>• Codes of Conduct</li></ul>
Commercial Strategy	<ul style="list-style-type: none"><li>• Asset Business Plans</li><li>• Income Generation</li><li>• New Ventures</li></ul>
Financial Planning	<ul style="list-style-type: none"><li>• Medium Term Financial Plan</li><li>• Strategic Financial Planning Group</li><li>• Budget Development</li><li>• Financial Monitoring</li><li>• Efficiency Plans</li></ul>
Corporate Planning	<ul style="list-style-type: none"><li>• Service Planning</li></ul>
Performance Management	<ul style="list-style-type: none"><li>• Reports to Members</li><li>• Reports for the Public</li><li>• Reports for Management</li></ul>
Risk Management	<ul style="list-style-type: none"><li>• Project Risks</li><li>• Directorate Risks</li><li>• Service Risks</li><li>• Audit (Risk)</li></ul>

Using the themes of Governance & Finance; Commercial Strategy and Performance Management, the current work areas of the groups are as follows:

## Governance & Finance

Task	Purpose
Investigation of electronic voting system for Council Chamber.	To modernise and make the functioning of Council meeting more efficient.
Review of sealing of legal documents.	Increased efficiency.
Review of other Councils' meeting procedures (by attendance)	To see whether we can learn and do anything better.
Project manage and implement the General Data Protection Regulations.	To implement the GDPR – project team <ul style="list-style-type: none"> <li>• Data Audit underway</li> <li>• Assessment of required policies</li> <li>• Authority to appoint a new senior 'Information Officer' – JD agreed and evaluated. To advertise.</li> </ul>
Review of procurement strategy	To keep it fit for purpose. Now approved.
Code of Corporate Governance	Reviewed and amended (Audit Committee) Significant piece of work as relates to the Council's decision making framework.
Annual Governance Statement	Reviewed, amended and approved (Audit Committee).
Ethical Governance Training Programme	Now run by the SMT sub-group. Issues re lack of take up when choice is allowed.
Chief Officer Schemes of Sub-Delegation	Chief Officers operate by passing their delegated powers on to other. The schemes of sub-delegation are designed to clearly and transparently record how this is done.
Medium Term Financial Plan	Considering different ways of progressing this: base budgets/minimum reserve provision/Business Rate Retention
Constitution review	Ongoing process to see if it can be improved. First section will be the Financial Procedure Rules (Audit Committee)
Strategic Financial Planning Group	Terms of reference reviewed and updated.
Developing e-learning for financial systems users.	To reinforce the application of financial controls.
Review of Budget Monitoring Process	To improve where possible.
Develop the Financial Systems Ledger: e-purchasing system.	To improve purchasing efficiency for the Council.
Risk Management Group	Monitors Directorate Risks throughout the Council (sits below the Corporate Risk Management Group).
Review of Budget Process	To introduce efficiencies: <ul style="list-style-type: none"> <li>• More efficient involvement of Scrutiny Panels</li> <li>• The wider Member role.</li> <li>• Improve consultation</li> </ul>

	<ul style="list-style-type: none"> <li>• Reporting Cycle</li> </ul>
Cumbria Legal Training	Organised by Carlisle. We've now had two training sessions on Joint Ventures/Compulsory Purchase and State Aid/Income Generation. Hosted in Carlisle. Approx saving of £20,000 across Cumbria.

### **Commercial Strategy/Income/Savings**

Crowd Funding	Consideration of whether this is possible for the Council.
Building Control	Assessment of income generation potential and suitable legal structures to deliver the Business Proposals.
Review current 'commercial' activities	FAMO, Primark, Solar Panels.
Investment in energy generating weir/ local housing company/ lottery/ renting spare office space/ car parking	Possible income generating areas.

### **Performance Management**

Employee Wellbeing Dashboard	Project progressed – able to extract data from iTrent as an Excel Spreadsheet.
Data Analysis	Assessing data linkage in relation to Clean Neighbourhoods legislation.
Performance Framework	Improvements made to system – reported to SMT and approved.
Scrutiny Chairs	Sub-Group has oversight of Performance Reporting to Scrutiny Chairs

**Contact Officer: Mark Lambert**

**Ext: 7019**

**Appendices None  
attached to report:**

**Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers:**

- None

## **CORPORATE IMPLICATIONS/RISKS:**

**Community Services -**

**Corporate Support and Resources –**

**Economic Development –**

**Governance and Regulatory Services –**



# Report to Business & Transformation Scrutiny Panel

Agenda  
Item:  
  
**A.4**

Meeting Date: Thursday 26<sup>th</sup> October 2017  
Portfolio: Cross Cutting  
Key Decision: Not Applicable:  
Within Policy and Budget Framework NO  
Public / Private Public

Title: CORPORATE RISK REGISTER  
Report of: Deputy Chief Executive  
Report Number: CS 39 17

## Purpose / Summary:

The purpose of this report is to update members of the Business and Transformation Scrutiny Panel on the Corporate Risk Register.

## Recommendations:

The Panel is asked to scrutinise and comment on the Corporate Risk Register, as set out in Appendix 1.

## Tracking

Executive:	Not applicable
Overview and Scrutiny:	Not applicable
Council:	Not applicable

## **1. BACKGROUND**

- 1.1** In accordance with the Council's Risk Management Policy, the Corporate Risk Register (CRR) has been submitted to the Business and Transformation Scrutiny Panel for monitoring on a six-monthly basis. This report contains the revised draft CRR, attached at Appendix 1 for consideration and comment.

## **2. PROPOSALS**

### **2.1 Corporate Risk Register – progress since the last report to Business & Transformation Scrutiny Panel on 13<sup>th</sup> April 2017**

Members will be aware that the Corporate Risk Management Group (CRMG) is responsible for delivering and reviewing the Risk Management Strategy, maintaining and improving risk management processes as well as monitoring and advising on the Council's Corporate Risk Register.

The CRMG now meets quarterly and most recently met on 11<sup>th</sup> October 2017. Special meetings will be called by the Chair should risks be escalated and require an intervention from the CRMG or Senior Management Team.

It is recognised that the City Council's Risk Management Policy and Risk Management Strategy both need to be reviewed and if appropriate updated. This review is now underway and is being considered alongside work being led by our internal audit team focussing on the Council's approach to assurance.

The Council now also has a Risk Management sub group of the Business Management Board. This meets monthly and has now met three times. This sub group is chaired by the Council's Section 151 Officer and it focuses on risks at an operational/directorate level. Issues raised here can be escalated to the CRMG when deemed appropriate. The CRMG receive the minutes from this Group for information.

Following discussions at the Risk Management Sub Group, additional training has been arranged for officers, through the City Council insurers. Individual sessions have been arranged which focus on:

1. Overview of Risk Management
2. Practical Risk Assessment



### 3. Accident Investigation

The training days are taking place in October and November 2017.

Updates of operational risk registers have also taken place during this period and have been completed within specified timescales as set out in the City Council's Risk Management Policy.

The CRR was last reviewed by the CRMG at its meeting on 11<sup>th</sup> October 2017. The new draft CRR now reflects the most update version of the Carlisle Plan and has also taken into account the preparations for the forthcoming 2018/19 budget and updated Medium Term Financial Plan.

### 3. CONSULTATION

- 3.1 Joint Management Team in October 2017  
Senior Management Team meeting in November 2017  
Corporate Risk Management Group meeting on 11<sup>th</sup> October 2017.

### 4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 4.1 The Panel is asked to scrutinise and comment on the Corporate Risk Register as set out in Appendix One.

### 5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 5.1 The Corporate Risk Register is reviewed quarterly, it is the strategic risk assessment for the Carlisle Plan.

**Contact Officer: Darren Crossley**

**Ext: 7004**

**Appendices  
attached to report:**

**Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers:**

- None

## **CORPORATE IMPLICATIONS/RISKS:**

**Chief Executive's -**

**Deputy Chief Executive –**

**Economic Development –**

**Governance –**

**Local Environment –**


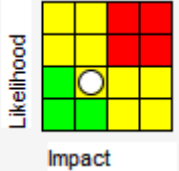
**Resources -**

## Corporate Risk Register – September 2017

Note: Amendments in the last quarter are marked in red italics. The inclusion of the previous and current risk matrices shows the effect that the control strategies have had on risk ratings since the last update. A target risk matrix shows the risk level that the Council is aiming to achieve from the successful implementation of the control strategies and the date for when this will be achieved.

### Preparing for the future funding of local government from 2019

There is a risk that the Government fails to communicate changes to future local government funding from 2019 in a timely manner, meaning that the City Council cannot effectively prepare for these changes.

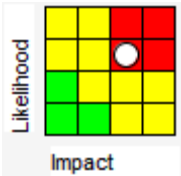
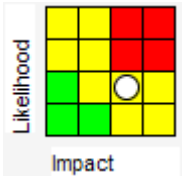
Present Matrix	Assessment Date	Control Strategy	Target Risk Matrix
	October 2017	The Senior Management Team and the Corporate Support & Resources Directorate are focussed on monitoring the development of government/local taxation and grant plans for District councils. At present we do not yet have a sufficiently clear picture of post 2019 funding, especially in relation to the retention of Business Rates and Funding for Local Government in general. The 2018/19 Local Government Finance settlement paper which consults on issues such as multi-year settlements, the distribution of New Homes Bonus funding, the Government's proposals on council tax referendum principles and the impact on the 2017 business rates revaluation in terms of adjusting business rates tariff and top ups has been considered by Members. The outcome of the Fair Funding Review is awaited in order to determine the potential impact our funding streams.	

Impact Description	3
Likelihood Description	3
Risk Score	9

Target Risk Date	30-Sept-2018
Target Risk Score	4

Lead Officer	Jason Gooding
Portfolio Holder	Finance, Governance & Resources
Overview and Scrutiny	Business & Transformation

<b>REVENUE/CAPITAL/ASSETS</b>
<b>There is a risk that we fail to fully recognise and manage our operational and investment assets leading to high long-term dilapidation costs and reducing control on future capital decisions</b>

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	September 2017	9	The Council has an approved asset management plan in which it sets out its control strategy, including maintenance, of all of its operational and non-operational assets. Further, Council properties are subject to a rolling programme of inspection. The Medium Term Financial Plan will also give consideration to the capital requirements of this programme.	

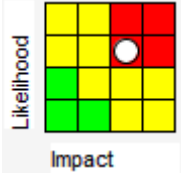
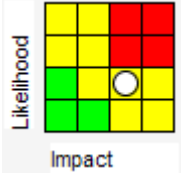
Current Impact Description	High
Current Likelihood Description	Reasonably Probable
Risk Score	9

Target Risk Date	1 <sup>st</sup> April 2018
Target Risk Score	6

Lead Officer	Mark Lambert
Portfolio Holder	Finance, Governance & Resources
Overview and Scrutiny Panel	BTSP

ECONOMIC REGENERATION/DEVELOPMENT

There is a risk that we fail to effectively prioritise and resource key city regeneration sites and miss the opportunity to take these forward in a progressive manner that meets the Council’s aspirations.

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	October 2017	9	<p>This period has seen the following activities undertaken:</p> <ul style="list-style-type: none"><li>• Dedicated regeneration team established</li><li>• Alignment with the Council’s MTFP and Annual Budget to reflect the Regeneration Strategy (Q3 2017/18)</li><li>• Approval of Regeneration Strategy (Q3 2018/19)</li></ul>	

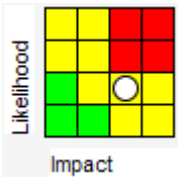
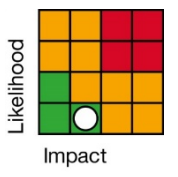
Current Impact Description	3
Current Likelihood Description	3
Risk Score	9

Target Risk Date	Q3 2018/19
Target Risk Score	6

Lead Officer	Jane Meek
Portfolio Holder	Economy, Enterprise and Housing
Overview and Scrutiny Panel	Economic Growth

ECONOMIC REGENERATION/DEVELOPMENT

There is a risk that we fail to play a leading role in developing the key industrial sectors within the functional economic area and these do not develop to assist in the growth of the local economy.

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	October 2017	6	<p>This period has seen the following activities focussed upon:</p> <ul style="list-style-type: none"> <li>Development and implementation of the Economic Strategy (Q2 2018/19)</li> <li>Alignment of Strategy with annual budgets and MTFP (especially Business Rates Retention)</li> <li>Delivery of key actions arising from Kingmoor Park Enterprise Zone Implementation Plan and Borderlands</li> </ul>	

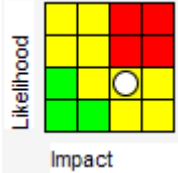
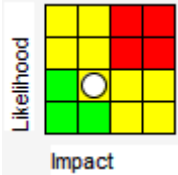
Current Impact Description	3
Current Likelihood Description	2
Risk Score	6

	Target Risk Date	Q2 2018/19
	Target Risk Score	2

	Lead Officer	Jane Meek
	Portfolio Holder	Economy, Enterprise and Housing
	Overview and Scrutiny Panel	Economic Growth

ECONOMIC REGENERATION/ DEVELOPMENT

There is a risk that we fail to influence the delivery of an adequate supply and mix of homes to meet local needs and to support population growth and step change in our demographics

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	October 2017	6	<div>This period has seen a focus on:</div> <ul style="list-style-type: none"><li>• Delivery of Local Plan objectives</li><li>• Development and delivery of the Housing Strategy (Q4 2017/18)</li><li>• Development and delivery of St. Cuthbert's Garden Village</li></ul>	

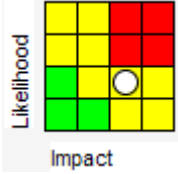
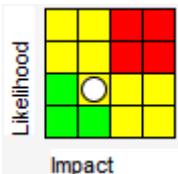
Current Impact Description	3
Current Likelihood Description	2
Risk Score	6

	Target Risk Date	1st April 2018
	Target Risk Score	4

	Lead Officer	Jane Meek
	Portfolio Holder	Economy, Enterprise and Housing
	Overview and Scrutiny Panel	Economic Growth

ECONOMIC REGENERATION/ DEVELOPMENT

There is a risk that we fail to play a leading role in determining the current and future skills required to sustain and grow the local economy and create higher value jobs

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	October 2017	6	<div>This period has seen a focus on:</div> <ul style="list-style-type: none"><li>Development and implementation of the Economic Strategy (Q2 2018/19)</li><li>Delivery of Borderlands and Enterprise Zone Implementation Plan key actions</li><li>Any other actions relating to the University of Cumbria or other Higher Education institutions</li></ul>	

Current Impact Description	3
Current Likelihood Description	2
Risk Score	6

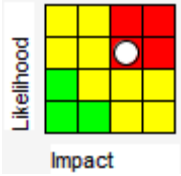
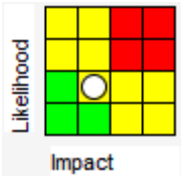
	Target Risk Date	Q2 2018/19
	Target Risk Score	4

	Lead Officer	Jane Meek
	Portfolio Holder	Economy, Enterprise and Housing
	Overview and Scrutiny Panel	Economic Growth



CULTURE & SPORT

There is a risk that we fail to deliver the required new leisure facilities at the Sands Centre, on time and within budget and therefore do not meet the saving targets identified in the Medium Term Financial Plan.

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	September 2017	9	<p>The Sands Centre project group have undertaken the following activities during Q1 and 2 of this year:</p> <ul style="list-style-type: none"> <li>• Appointment of advisory team to recruit Design &amp; Build contractors (June 2017)</li> <li>• Appointment of multidisciplinary design team (September 2017)</li> <li>• Development and delivery of the Sands Centre project plan (December 2017)</li> <li>• Negotiated and agreed leisure management contract taking full account of the Sands project and closure of the Pools (November 2017)</li> <li>• Sands Project will be fully costed and funded with the impact of the new contract fed into the MTFP to ensure that the projected revenue savings of £329,000 per annum can be accurately assessed (January/February 2018)</li> </ul> <p>A full risk analysis will be produced to aid decision making at the next stage of this project.</p>	

Current Impact Description	3
Current Likelihood Description	3
Risk Score	9

Target Risk Date	February 2018
Target Risk Score	4

Lead Officer	Darren Crossley
Portfolio Holder	Culture, Heritage & Leisure
Overview and Scrutiny Panel	Health & Wellbeing/ Business Transformation

