

COUNCIL

SUMMONS

To the Mayor and Members of Carlisle City Council

You are summoned to attend the Meeting of Carlisle City Council which will be held on **Tuesday, 04 November 2014 at 18:45**, in the **Council Chamber, Civic Centre, Carlisle, CA3 8QG**



Director of Governance

AGENDA

1. The Mayor will invite the Chaplain to say prayers.
2. The Town Clerk and Chief Executive will open the meeting by calling the roll.

3. **Minutes**

The Council will be asked to receive the Minutes of the meeting of the City Council held on 9 September 2014.

4. **Public and Press**

To determine whether any of the items of business within Part A of the Agenda should be dealt with when the public and press are excluded from the meeting.

To determine whether any of the items of business within Part B of the Agenda should be dealt with when the public and press are present.

5. Declarations of Interest

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.

6. Announcements

- (i) To receive any announcements from the Mayor
- (ii) To receive any announcements from the Leader of the Council
- (iii) To receive any announcements from Members of the Executive
- (iv) To receive any announcements from the Town Clerk and Chief Executive

7. Questions by Members of the Public

Pursuant to Procedure Rule 10.1, the Town Clerk and Chief Executive to report that no questions have been submitted on notice by members of the public.

8. Presentation of Petitions and Deputations

Pursuant to Procedure Rule 10.11, the Town Clerk and Chief Executive to report that no petitions or deputations have been submitted by members of the public.

9. Questions from Members of the Council

Pursuant to Procedure Rule 11.2, the Town Clerk and Chief Executive to report that no questions have been submitted on notice by Members of the City Council.

10. Executive

(a) Minutes

The Council will be requested to receive the Minutes of the meetings of the Executive held on 15 and 17 September, and 13 October 2014 and ask questions of the Leader and Portfolio Holders on those Minutes.

(b) Portfolio Holder Reports

The Council will be asked to receive reports from the following Portfolio Holders:

- | | |
|--|----------------|
| (i) <u>Leader's Portfolio</u> | 7 - 10 |
| (ii) <u>Finance, Governance and Resources</u> | 11 - 16 |
| (iii) <u>Environment and Transport</u> | 17 - 20 |
| (iv) <u>Economy, Enterprise and Housing</u> | 21 - 22 |
| (v) <u>Communities, Health and Wellbeing</u> | 23 - 26 |
| (vi) <u>Culture, Leisure and Young People</u> | 27 - 30 |
- and ask questions of the Leader and Portfolio Holders on those Reports.
(Copy Reports herewith)

11. Overview and Scrutiny

The Council will be asked to receive the Minutes from the following meetings of the Overview and Scrutiny Panels and to ask questions of the Chairmen; and receive reports from the Chairmen of the Overview and Scrutiny Panels:

- | | |
|--|----------------|
| (i) <u>Community Overview and Scrutiny Panel</u> | 31 - 34 |
| (a) Minutes of the meetings held on 8 and 11 September 2014
(b) Chairman's Report | |
| (ii) <u>Resources Overview and Scrutiny Panel</u> | 35 - 38 |
| (a) Minutes of the meeting held on 18 September 2014
(b) Chairman's Report | |

(iii) Environment and Economy Overview and Scrutiny Panel 39 - 40

- (a) Minutes of the meetings held on 8 and 25 September 2014
- (b) Chairman's Report

(Copy Reports herewith)

12. Regulatory Panel

To receive the Minutes of the meetings of the Regulatory Panel held on 3 September and 8 October 2014.

13. Licensing Committee

To receive the Minutes of the meeting of the Licensing Committee held on 8 October 2014.

14. Development Control Committee

To receive the Minutes of the meetings of the Development Control Committee held on 18, 27 and 29 August 2014.

15. Audit Committee 41 - 56

To receive the Minutes of the meetings of the Audit Committee held on 14 April (copy Minutes herewith) and 24 September 2014.

16. Employment Panel

To receive the Minutes of the meeting of the Employment Panel held on 2 September 2014.

17. Appeals Panel

To receive the Minutes of the meeting of the Appeals Panel held on 29 September 2014.

18. Notice of Motion

Pursuant to Procedure Rule 12, the Town Clerk and Chief Executive to report the receipt of the following motion submitted on notice by Councillor Mrs Martlew:

"This Council believes it is crucial that a consultant led maternity service be maintained at the Cumberland Infirmary.

We call on the Members of Parliament for Carlisle and Penrith & the Borders to use their influence to ensure that this service is not down-graded."

19. Decisions Taken as a Matter of Urgency

57 - 60

Pursuant to Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the Director of Governance to report on a decision taken as a matter of urgency.
(Copy Report GD.51/14 herewith)

20. Communications

To receive and consider communications and to deal with such other business as may be brought forward by the Mayor as a matter of urgency, in accordance with Procedure Rule 2.1(xiv) to pass such resolution or resolutions thereon as may be considered expedient or desirable.

PART 'B'

To be considered in private

21. Proposals from the Executive in relation to the Council's Budget and Policy Framework

EX.101/14 - Proposed Leasing Arrangement

- Information relating to the financial or business affairs of any particular person (including the authority holding that information);

This report is not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972, as the report contains exempt information relating to the financial or business affairs of any particular person (including the authority holding that information)

Pursuant to Minute EX.101/14, Council to consider verification of the decision taken by the Executive to approve the leasing of Herbert Atkinson House to the Tullie House Museum and Art Gallery Trust. (Copy Report GD.55/14 and Minute Extract herewith)

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Leaders Portfolio Holder's Report –
Councillor Colin Glover**

Local Government Association – Peer Review

In September the Local Government Association (LGA) conducted a peer review at the request of myself and the chief executive. The review team were rightly impressed by the capability and commitment of our staff as well as the clear political direction provided by this administration. There are of course areas for improvement and the forthcoming refresh of the Carlisle Plan will provide the opportunity for an even sharper focus in priorities supported by work that officers will be leading on a new performance management framework. The final report from the LGA will be made available to all as soon as we have it.

Borderlands Initiative

The Borderlands meeting is due to be held in Carlisle on Friday 14th November. This follows the Summit in April. The meeting will be attended by representatives from Dumfries and Galloway, Scottish Borders, Northumberland, Cumbria County Council, Association of North East Councils, Scottish Parliament and the Department of Business, Innovation and Skills (BIS). The meeting will focus on Key Economic corridors and transportation; Connectivity; Tourism; Education and Skills and Forestry. The objective is to maximise the economic potential of the area through collaboration and investment in key areas.

ALMA

On the 15th October I attended the official opening of the Military Museum at the Castle. This is a fantastic project which has come to fruition through the hard work and dedication of a small group of volunteers and museum staff supported by funding from the Heritage

Lottery Fund. The museum is a stunning addition to the Castle and the Historic Quarter of Carlisle. The museum traces over 300 years of military history in Cumbria, providing much greater access to the collections than was possible in the museum's former home in Queen Mary's Tower. The museum also has dedicated research space for those who wish to learn more about military or family history. Cumbria's Museum of Military Life truly lives up to its aim of telling the story of 'Ordinary people doing extraordinary things'.

Fireshow

At the time of writing, plans are well advanced for the 28th Fireshow staged by Carlisle City Council and this year, held in Bitts Park on Saturday 1 November. I would like to thank CFM Radio for supporting the event this year.

The event includes a fairground open from 5.30pm on Devonshire Walk car park with Fireshow pre-entertainment starting at 6.30pm and the bonfire lit at 7pm.

In addition two FREE community lantern workshops are part of the build up to this year's Carlisle Fireshow. Organised by Carlisle City Council with support from Same Sky. The creative events open to all, and were held in the Market Hall, units 87 and 88, on Wednesday 29 October between 10.30am and 12.30pm & between 1.30pm and 3.30pm with expert support and materials provided.

This year's event also includes a series of flags flown from the top of the bonfire which the City Council asked local schools to help create prior to the event. Key Stage 2 (Year 3-6) school children from Hallbankgate Village School, Kingmoor Junior School, Norman Street School and Rockcliffe CE School took part in creative workshops. The flags are linked in with their 'burning ambitions' for Carlisle.

As part of the build up to the Carlisle City Council Fireshow, a Funday held on Saturday, 1 November, for the family included FREE activities, including a live broadcast by CFM Radio, street entertainment, face painting, balloon making, street magic and a Fireshow performance by the Fairly Famous Family!

There was also a Fireshow photo booth in the Tourist Information Centre.

Community Events Panel

The panel met on Wednesday 8 October and agreed to fund Heather Bank Promotions, for a Christmas Entertainment Programme. Live music will be playing in the bandstand, every weekend, from Saturday 22 November to Sunday 21 December

City Centre Ice Rink

Carlisle's ice rink is moving to the city centre this Christmas and will be part of a fantastic addition to the Christmas festivities.

The open-air facility is usually based in Bitts Park, but between Monday 15 December and Sunday 18 January will be outside the Old Town Hall. Skating costs are £3.50 plus £1.50 for skate hire for a child and £5 plus £1.50 skate hire for an adult. Children must be at least four years old to skate on the rink and be accompanied by an adult. Children aged 13 years or older can skate unaccompanied. To find out more, visit www.carlisleicerink.com

Upcoming Events

- [Festival of Remembrance](#) - St Cuthbert's Church, Friday 7 November -7pm. Free but admission by ticket only.
- [Remembrance Sunday](#) - City Memorial, city centre (Greenmarket) - Sunday 9 November, 11am. The Mayor and Mayoress of Carlisle will lead the Ceremonial Parade, when the two minutes' silence will be observed and a Wreath will be laid by the Mayor. All welcome.
- [Christmas Lights Switch-On](#) - Carlisle City Council will provide a packed family entertainment programme to suit all ages. The Christmas Lights Switch-On stage will be in place outside the Old Town Hall in the city centre, on Sunday 16 November, between 1pm and 5.30pm, and will play host to a fabulous afternoon free open-air entertainment.
- [Late Night Shopping](#) starts on Thursday 20 November and continues each Thursday until 18 December.
- [Santa's Grotto](#) at The Old Town Hall, Tourist Information Centre, every weekend from Saturday 29 November up to Sunday 21 December, plus between Monday 22 December and Christmas Eve. Various times. Entry is £4 per child.

- An International Christmas Open-Air Market will be held between Wednesday 3 December and Sunday 7 December in the city centre.
- A Christmas Carol Parade will be held on Thursday 11 December. Starting at 6.15pm at St Cuthbert's Church, this popular event will also include carol singing in the city centre followed by a Hog Roast in the historic Tithe Barn. Tickets for the Hog Roast will be available on the night of the event.
- Carlisle's Victorian Covered Market Hall will be transformed into a winter wonderland on Saturday 13 December when it stages its Festive Fun Day. Santa and friends will be there, between 11am and 3pm, handing out chocolate treats. There will also be stilt walkers, face painting and balloon modelling.
- A festive event will be held in the tranquil grounds of Talkin Tarn Country Park on **Sunday 14 December**, between 11am and 5pm. The 'Countdown to Christmas' event will include a FREE Christmas trail and quiz for children. Local ukulele band 'Ukes Akimbo' will also be performing Christmas tunes on the tearoom balcony from 2.30pm.
- Christmas workshops will be held in the wooden cabin at 11am, 12.30pm, 2pm and 3.30pm. Under the guidance of 'Willowpool Designs' you can make your own willow wreaths or Christmas Tree decorations using locally sourced materials. The sessions cost £5 per person, including all materials.
- Talkin Tarn Boathouse Tearoom will also be serving tasty seasonal treats and mulled wine. Christmas lunches are also available on **10, 12, 17 and 19 December** plus other dates are available for group bookings. To book a place on a Christmas workshop, or to book a Christmas lunch, telephone **016977 41050**.

Events listing

Additional upcoming events funded via the City Council's Events Panel:

End of August through to November*

State Management Exhibition

Carlisle Tourist Information Centre, the Old Town Hall

Saturday 8 - Saturday 15 November*

Carlisle Photo Festival

Various venues

Report to:

Council

Agenda
Item

10(b)(ii)

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Finance, Governance and Resources Portfolio Holder's Report –
Councillor Dr Les Tickner**

Organisational Development

A Member/Officer Forum is taking place on 4 November 2014 in Committee Room Flensburg from 4.00pm to 6.30pm. Carlisle City Council staff will be on hand to update Members about projects including the First World War Memorials Restoration Programme, the Old Fire Station, WiFi in the City Centre, the Development Framework and Smarter Service Delivery. Staff from Fair Food Carlisle and Cumbria Action for Sustainability will also be there.

The money Members gave up by not taking an increase in their allowances for the 2014/15 Civic year is being used to fund health and wellbeing projects for staff. The first project is refurbishing staff rest areas and the Buildings and Facilities Team have started work on the Cemetery bothy and the Tourist Information Centre staff room. The work on the Cemetery bothy will include repairing the roof, replastering and painting walls, covering the floor, replacing broken fixtures and fittings and providing new furniture. At the Tourist Information Centre the work will include moving the staff room to make it accessible to all staff, fitting a hot water boiler and providing new furniture.

Licensing

Carlisle licensing hosted the North West Institute of Licensing quarterly meeting in the Council Chamber this month. Over 40 delegates from north west England and some guests from southern Scotland attended the session. Speakers included an update from the Gambling Commission; Gary Grant, Barrister, on recent High Court appeals; Scott

Blair, Solicitor, Scottish case law; Stephen McGowan, Public Health objective and Nick Arron, Solicitor, gambling update.

We are in the middle of the 2014 Carlisle & Eden Best Bar None assessments. Licensing, Environmental Health and Police Officers are conducting the assessments which are essentially a two hour audit to ensure premises comply with the four licensing objectives, prevention of crime, public health, public safety and protection of children from harm. The top premises will be judged in October with the Award Ceremony taking place in November.

Digital and Information Services

Two apprentices have joined our service; both have settled in well and have started their studies for the HND qualification.

The development of a new Digital Strategy is almost complete. The strategy will outline the council's goals, principles and values in the use of digital technologies over the next five years.

We are implementing additional security measures to protect the council from malicious attempts to gain access to our network. These attempts take many forms and their perpetrators continue to devise new ways of attacking an organisation. It is of the upmost importance that we continually review our security.

Legal Services

Work is underway on the next phase of disposals, including the garages at Broad Street which will be auctioned on 23rd October.

At the Magistrates' Court, so far this month we have successfully prosecuted Citadel Estates Limited, a high profile planning prosecution with considerable local interest, and two Benefit Fraud matters.

Finally, this month the team has provided Witness Training for officers as part of the Ethical Governance programme. Ethical Governance training sessions are provided by the Legal, Finance and HR sections and are designed to assist City Council officers in their day to day jobs. All trainers are internal officers.

Corporate Planning

The Corporate Programme Board met on 10th October to review the programme. A number of new projects were discussed and these will now be progressed through to the Senior Management Team for approval and delivery through the Directorates.

The PRISM (Projects, Risks, Issues and Service Performance Management) project has now been merged with the work on a management information system as the cross-over between these projects was considerable. The PRISM project will be presented at the next Officer & Member Forum on 4th November.

Policy development

Waste and Recycling Framework

The waste and recycling policies have been reviewed and brought together to provide a clear framework for our services. The aims of this work are to improve our business processes and therefore our customers' experiences of waste and recycling services. The development of e-forms and the redesign of the website pages will also enable customers to communicate with the Council more effectively.

Volunteering Policy

Work is about to commence on developing this policy that will be used throughout the Council.

Business Continuity Plan (BCP)

The BCP is currently undergoing its annual review. Version 2.0 will be published next month and tested through the revised date of Exercise Cygnus.

Service Standards

The Mid-year Performance Report which includes the service standards will be produced over the next month prior to being presented to SMT.

Local Government Association: Future Council Review

The review was completed between 9th and 11th September 2014, the team spent three days onsite in Carlisle, during which time they spoke to more than 80 people including a range of council staff together with councillors and external partners. Overall the team spent more than 240 hours on the review, the equivalent of one person spending more than six weeks in Carlisle.

The initial feedback is available on the intranet site

(<http://intranet/yourcouncil/teams/first/FCR/default.aspx>) under the heading Feedback and Position Statement. The review team were struck by the level of commitment they found to Carlisle City Council and Carlisle. A summary of there overall messages and observations included:

- Strong sense of place and opportunities for Carlisle
- Clear political direction, including the focus on growth
- Use refresh of the Carlisle Plan to enable a clearer focus on priorities to ensure you make a difference
- Well regarded Leader and Chief Executive partnership providing energy and confidence – use this to raise the profile and impact of Carlisle
- Use your engagement with business to deliver tangible outcomes in a timely and sustained way
- Achieving impact through significant cultural change that is empowering staff
- seeking to embed '**clarity, confidence and commitment**'
- Very committed and capable staff
- But you need a clearer framework within which flexibility can flourish, with performance feedback and accountability
- People are seeking clarity about how the organisation will operate
- Prioritisation and end to end transformation to deliver savings – 'salami slice' not enough
- Need to inject greater pace of change

2013/14 Final Accounts Process

The External Auditor, Grant Thornton, has issued an unqualified opinion on both the accounts and the VFM conclusion, by the statutory date of 30th September, and Members of the Audit Committee received a very positive report from the Commission at their meeting on 24th September. No changes were required to main statements although some minor changes were required to the disclosure notes to aid readership and understanding of the accounts. A separate report on Financial Resilience was also presented which concluded that the authority's arrangements meet or exceed adequate standards. The 2013/14 Statement of Accounts is now available on the Council's website and hard copies have been provided for the Customer Contact Centre.

The Auditor's notice of completion has been received for 2013/14 and this now concludes the formal audit process.

Strategic Planning

Following approval of the Budget Strategy documents by Council in September, the 2015/16 budget process has commenced. Detailed reports on the core budgets, spending pressures and savings, and the charging reports will be considered by the Executive and the relevant overview and scrutiny panels in November and December, with the Executive producing its draft Budget Proposals for consultation purposes at its meeting on 15th December. This will ensure that a balanced budget is approved by Council on 3rd February 2015. Initial financial modelling indicates that there will be significant pressures on both the revenue and capital budgets and discussions are being co-ordinated by the Director of Resources to identify any mitigating actions in line with the Council's Saving Strategy.

Internal Audit Services

The Audit Committee on 24 September 2014 received 2 completed audit reports. The outcomes from these reviews were noted by members and no major concerns were raised.

Audit Area	Assurance Opinion
Income Management	Substantial
Car Parking Income	Substantial

A monitoring report on all previous audit recommendations (open and closed actions) which have been followed up during the last quarter period was received. Whilst there were no overdue responses, it was noted that a number of revised implementation dates had been agreed; these were to be carefully monitored to ensure the effective implementation is achieved within the revise timescales.

The revised audit report template was received and the reasons for the changes were discussed with members. Enhancements to performance measures and monitoring arrangements for the Internal Audit Shared Service were also noted.

Electoral Services

The City Council and County Council by elections in the Castle Ward / Castle Division were held on the 11th September 2014.

The initial write out which was carried out under Individual Electoral Registration to inform electors of their status on the Electoral Register was completed on 12th August. On the 12th September a further 2000 Household Enquiry Reminder forms and 7500 Invitation to Register Reminder forms were sent out. A team of Canvassers are visiting non responding households / individuals and it is expected that they will complete their work by the end of October. This will enable work to be carried out to complete the electoral register throughout November with the new register published by the statutory deadline of 1st December.

Work on the Annual Review of polling places has commenced and Members, County Councillors, MP's and Election Agents views will be canvassed on the polling places which are used prior to a report being submitted to the meeting of the City Council at the turn of the year.

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Environment & Transport Portfolio Holder's Report –
Councillor Elsie Martlew**

GREEN SPACES

Garden of Memories – Bitts Park The dilapidated hedge maze was removed to make way for the next phase of the Garden of Memories Project, undertaken in partnership with Eden Valley Hospice. In place of the old maze we intend to create a space for family and friends to remember their loved ones in an environment which is intended to lift the spirits and provide positive memories. A mosaic-type maze or puzzle is being planned with help from the Hospice.

Carols at Chance's Park - A Carols in the Park event will be held in Chance's Park on Friday 12 December. The festive event will start at 6.30pm and will be held in the grounds outside Morton Manor Community Centre, off Wigton Road. Actor Tim Baker will compere the evening event. Carlisle Musical Society and Yewdale School Choir will be performing accompanied by the St Stephen's Silver Band. Following the carol service, mulled wine, mince pies and other festive fayre will be available inside Morton Manor Community Centre.

Christmas at Talkin Tarn - A festive event will be held in the tranquil grounds of Talkin Tarn Country Park on Sunday 14 December, between 11am and 5pm. The 'Countdown to Christmas' event will include a FREE Christmas trail and quiz. Local ukulele band 'Ukes Akimbo' will also be performing Christmas tunes on the tearoom balcony from 2.30pm.

Talkin Tarn Boathouse Tearoom will also be serving tasty seasonal treats and mulled wine. Christmas lunches are also available on 10, 12, 17 and 19 December plus other dates are available for group bookings

Melbourne Park Play Area – Following the successful official opening of the Dale End Field Play Area on the 4th October, the consultation process has started for the next project which is the refurbishment of the Melbourne Park play area. Initial responses have

informed us that the local community are looking for better play opportunities for young children and toddlers and so the project will prioritise this type of equipment. Funding is available from Section 106 contributions from housing developments in the vicinity of the park.

ENVIRONMENTAL HEALTH – On Thursday 21st September Environmental Health, Housing and Mental Health Officers attended a workshop in the Civic Centre to discuss how Environmental Health Services across Cumbria can best support mental health and wellbeing. Poor mental health affects about one in six adults at any one time and one in four people in their lifetime. Mental health can affect the individual but also those living around them. Working in the community Environmental Health can come into contact with people with a mental health illness and the workshop will lead to improvements in the links made between Environmental Health and Mental Health agencies.

NEIGHBOURHOOD SERVICES

Waste Services

Customer feed back on the service - Over 270 surveys on Neighbourhood Services have been completed so far highlighting the main areas of concern for our customers. The main issues are as follows:

Dog fouling, weeds and litter has been highlighted as a concern to residents

When asked what would help them to recycle more they highlighted that a larger recycling container, more frequent collections and a greater range of waste that could be recycled would help them to recycle more.

Street Cleaning

Litter Bin Review - We are currently carrying out a litter bin review to assess where best the litter bins should be located. We have also carried out trials on 'Big Belly Bins' to look at decreasing the number of times we empty the current bins in specific locations. The trial is complete and the results are being reviewed. It may be that the most efficient use of these smart bins would be in parkland areas.

Leaf Fall - A majority of the street cleaning resources are diverted to cleaning up leaf fall this time of year.

CITY ENGINEERS

Free parking for late night Christmas Shoppers in Carlisle - A special offer is available for shoppers visiting Carlisle this festive season. Parking will be FREE after 3pm each Thursday between 13 November and 18 December in the following car parks: Civic Centre, Town Dyke Orchard, Bitts Park, Lowther Street, Upper Viaduct, Paddy's Market, The Sands Centre, Swift's Bank, Cecil Street, William Street, Lower Viaduct and Devonshire Walk.

Festive Lighting – installation work has started for the 2014 Festive Lights ready for switch on on the 16th November. There are some enhancements this year to the lights in Scotch Street and Fisher Street.

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Economy, Enterprise and Housing Portfolio Holder's Report –
Councillor Heather Bradley**

Local Plan

Refinement of the content of the next draft of the plan is now nearing completion. The Local Plan Member Working Group met as envisaged on 10th September to consider the revised vision, strategic objectives and key strategic policies alongside the proposed housing allocations. Feedback on these elements of the emerging plan was generally very positive and helpfully discussions identified a small number of opportunities to strengthen aspects which have since been acted on.

In terms of key aspects of the evidence base which supports the emerging Local Plan, responses to the consultations on the draft City Centre Development Framework (CCDF) and updated version of the Council's Strategic Housing Land Availability Assessment (SHLAA) are currently being analysed and will subsequently be used to inform the final drafts of both. The responses are also being used to inform policy choices within the emerging plan.

Joint working is continuing with officers from the County Council on identifying the investment in infrastructure needed to facilitate the delivery of the policies and proposals within the Local Plan. Positive news on the identification of the necessary highways infrastructure is that the County Council agreed at their Cabinet meeting on the 25th September, further to a recommendation from the Carlisle Local Area Committee, to contribute £15k towards a necessary study - which equates to c. 50% of the cost.

The next milestone in the preparation of the Local Plan will be consultation on a 'publication' draft in January early.

Affordable Housing

Two schemes providing a total of 21 new homes for affordable rent have recently been completed by Riverside at Arnside Court, Harraby and Borland Avenue, Botcherby.

Affordable Housing Target - SHMA (Strategic Housing Market Assessment)

The new SHMA identified a need of 295 affordable homes per annum, with an overall annual housing target of between 480 to 565 new homes. A joint presentation by the Planning and Housing teams was delivered to Economy & Environment Overview and Scrutiny Panel on 25 September to provide an update on the new SHMA research.

Small Business Saturday

A Small Business Saturday event will be held in Carlisle city centre on Saturday 6 December. Organised by the Federation of Small Businesses, with support of Carlisle City Council, it will include a variety of open-air market stalls and will showcase local businesses.

Report to:

Council

Agenda
Item

10(b)(v)

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Communities, Health and Wellbeing Portfolio Holder's Report –
Councillor Jessica Riddle**

Crime and Disorder

Operation Roman Candle

On the build up to Bonfire Night, Carlisle City Council has joined forces with Cumbria Constabulary, Trading Standards, Riverside Housing and Cumbria Fire & Rescue Service to tackle anti-social behaviour.

At the time of writing it was proposed that Operation Roman Candle has runs between Friday, 24 October and Thursday, 6 November. The partnership venture will deal with anti-social behaviour and nuisance fires during the half term, Halloween and Bonfire Night period.

It will include a series of co-ordinated activities including visits to schools, activities for young people, skip drops for Riverside tenants alongside enforcement measures including test purchasing, removal of unauthorised bonfires and high visibility patrols by the police.

Denton Holme Street Safe

Following a number of calls from local residents in relation to ASB, criminal damage and drug related behaviour, Carlisle City Council and Cumbria Constabulary carried out a Street Safe Event in Denton Holme on Wednesday 1st October 2014.

Officers visited a number of properties on Trafalgar Street and spoke to residents about their concerns. Residents were reassured that agencies are working together to tackle their concerns and will be formally notified of the outcome in the next few weeks.

Anti-social Behaviour, Crime and Policing Act 2014

The Government has proposed a new approach to crime, policing and community safety which is set out in the new Anti-social Behaviour, Crime and Policing Act 2014.

The Act streamlines the current range of powers and brings greater responsibility on more agencies than before. The effective use of these powers lies in the collective approach to dealing with incidents and issues.

The six new powers to tackle anti-social behaviour are:- Civil injunctions, Criminal Behaviour Orders, Dispersal Power, Community Protection Notice, Public Spaces Protection Order and Closure Powers. The two new tools to improve accountability are:- Community Remedy and the Community Trigger. Officers across the County are working closely to implement the new changes over the coming weeks / months.

Homelife Carlisle

Homelife Carlisle have recently launched a subscription service for the handy person's and managed repair service for residential premises. The subscription service enables participating customers to get discounted rates for the handy person service. This includes gardening and cleaning.

Equality and Diversity Policy

An equality and diversity workshop for managers was held on 1st October 2014. This workshop focused on the Public Sector Equality Duty and the implications for the Council, encouraging managers to identify areas for improvement within their services. The training is part of the Council's review of its approach to equality, which aims to be completed by April 2015.

Health and Wellbeing

Carlisle has now received the WHO Healthy City certificate which has been signed by the Leader and Regional Director of the WHO Regional Office for Europe. Thanks to all those involved in helping achieve this.

A number of the individuals who attended the Walking for Health cascade training course are beginning to be assessed. Several have now passed and are linking into schemes across the district. Outcomes include a community led walk at Morton and lunchtime walks from the Civic Centre.

The Carlisle Partnership and the Health subgroups are assisting the University of Cumbria in preparation for its “Health week”. This begins the week commencing 20th October and a variety of partners have been recruited to link into the week long event.

Carlisle Food City work continues to develop, Carlisle Food City’s work was recognised nationally and Fair Meals Direct featured recognition in the national Sustainable Food Cities newsletter.

Partnership Working with Fair Meals Direct

The partnership working between the hostels service and Fair Meals direct at Water Street Women and Families accommodation has been recognised by the Northern Housing Consortium via short listing for an award in the Community Capacity Building category.

The project will be brought to life via a film that will be used as part of the selection process. The award ceremony will take place at the Northern Housing Consortium annual summit dinner in Leeds on 6 November

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Culture, Leisure and Young People Portfolio Holder's Report –
Councillor Anne Quilter**

Discover Carlisle update

To prepare for the launch of the *CityCentreWifi* we have been working with BT and NVG to create new landing pages that are responsive to the different devices visitors could use. This places Discover Carlisle at the forefront of tourism marketing.

A Carlisle Fireshow 2014 section has been created on the Discover Carlisle website to promote the event. This includes information on the Fireshow, the Funday, special accommodation deals for the weekend, public information, parking and more.

<http://www.discovercarlisle.co.uk/lifestyle/events/carlisle-fireshow-2014.aspx>

Discover Carlisle review

The review has now reached an important milestone with the selection of a partner. We have decided to remain with New Vision Group (NVG) and work is now underway to project plan the rebuild of the website.

Carlisle Holiday Guide, Places to Visit Guide and Events Guide

Through our partner, Aha! Distribution, we have distributed over 10,750 Holiday Guides and 133,100 Places to Visit Guides.

Over 3,250 of The August to October 2014 Events Guide have been distributed as of 13/10/2014. The November 2014 to January 2015 Events Guide is currently being collated and designed, due for release on Monday 27 October.

Arts Centre Update

There has continued to be a lot of interest in the Old Fire Station via email and phone enquiries with artists and potential users wanting tours of the building. The final tours were undertaken in late September. This has included discussions with local and national artists regarding exhibition space within the centre to complement the performance and arts programme.

Subsequently the construction firm has moved in and work has started on the redevelopment of the building. The site is now wholly under the control of Thomas Armstrong for the duration of construction works.

Interviews with the shortlisted catering partners have been undertaken in mid October with a final decision on the award of a concession due shortly

Partnership Scheme in Conservation Areas

In 2011, the City Council managed to secure the last Partnership Scheme In Conservation Areas grant awarded, for Carlisle. The programme of £300,000 grant monies from English Heritage managed by the City Council has attracted match funding from property owners and we have been successful in maximising the spend of the £300,000 English Heritage grant funding.

A total of 18 properties received funding through this programme.

Focus has been on repair and restoration of listed buildings to either bring them back into use or secure the fabric of building (deal with disrepair) to ensure continued use by residents and businesses alike.

Thirteen businesses were supported through this scheme, so the economic benefits of this programme have been realised and are ongoing – either through supporting the development of new businesses and creating jobs or by retaining current businesses and safeguarding jobs in the city centre.

Sports Development

As part of our partnership with British Cycling 19 guided rides have taken place over the Spring/Summer/Autumn so far. 336 people have attended the rides programme the programme. We are working with British Cycling to look at further funding to continue the

ride scheme beyond the current contract in March 2014. The current partnership is funded through Groundwork UK and British Cycling with Officer time and co-ordination provided by Carlisle City Council. The benefits of this scheme have been vast including promoting sport and physical activity, improving the health of the local community and bringing local cycling groups and networks together. We are also working on the development of BMX track with Cumbria County Council and Harraby together we can.

We are working with the Cumberland Football Association on various facility projects in Carlisle. A football development plan is being developed for the Harraby campus site to ensure that the funding Carlisle City Council have invested in the project achieves outcomes aligned to our Sport and Physical Activity Strategy. The plan will look at areas such as youth participation, adult participation, coaches, volunteers, clubs and women and girls football development. The facility will be a great development for local Sport and physical activity provision in Carlisle. This will also deliver against our Sports facility strategy and Playing Pitch Strategy.

As part of our Playing pitch Strategy we have been successful in a funding award of £23,233. The funding is for a football pitch improvement scheme in Keenan Park, Harraby. The total project cost will be £46,465.

Tullie House

Large Visitor Attraction of the Year Award 2014

Tullie House Museum and Art Gallery Trust was presented with the Cumbria Tourism Large Visitor Attraction of the Year Award 2014 at an awards ceremony held at the Castle Green Hotel in Kendal in July.

The judges were impressed with Tullie House's high standards of facilities, general information, interpretation and presentation. A "mystery visitor" reported on the outstanding levels of customer service throughout their visit to Tullie House. The winner needed to ensure that the needs of visitors with disabilities are of a high standard and to demonstrate strong links with the local community.

All Cumbria winners will be invited to represent the county at the national Visit England Awards ceremony in early 2015.

Shop Development

The shop area at Tullie House is being refurbished with new shop fittings and reception area. The installation will be completed in October. Shop stock is being reviewed in line with the shop developments and the opening of the Wargames exhibition over the winter period.

Membership Scheme

A Tullie House Membership Scheme is being launched in December. Membership benefits will include free entry to Tullie House, including exhibitions, invitations to lectures and exhibition previews, priority advance booking for talks and 10% discount on shop purchases.

WWI – One Day in the Life

We have secured a Heritage Lottery Grant with partners Wordsworth Trust and Lakeland Arts to deliver a volunteer project “One Day in the Life”, comparing 5 December 1914 to 5 December 2014.

Report to:

Council

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11(i)(b)

Meeting Date: 4th November 2014

Public/Private*: Public

Title: **Community Overview and Scrutiny Chairman's Report – Councillor
Rob Burns**

Not only, but also...

Let me apologise in advance for the length of this report, which reflects not only the fact that much has happened since the last one, but also, the as yet undiminished enthusiasm of the new boy in school. No doubt the reports will get shorter should I become disillusioned by the disappointment of unrequited expectation!

p.s Speed reading courses are available through the Members Learning and Development Programme.

the (seemingly) never ending story.....

Just when we thought the debate about the Old Fire Station had been happily concluded, a further call- in was requested, on the matter of the updated Business Plan. Fortunately, the issue was resolved with no great angst, but it did raise an interesting point about the use of call-ins generally.

In this case, all that was required was the provision of the estimated cost of time which would be spent by existing staff, directly on the operation of the Arts Centre, a figure which was readily produced.

This figure could have been made available without the necessity for a call-in, had Members requested it or indeed had the information been provided to members of the panel, knowing that it was they who had made the initial request that the amount should be included in the financial statement before the Business Plan was finally agreed by the Executive.

Call-ins are an important part of the Council's governance procedures, but they are devalued if they are used for anything other than to test the merits or seek a re-consideration of a decision. In my view this call-in did neither of those (discuss!).

The good news of course is that the matter **has** now been happily concluded and work has at last, begun on the development of the building.

I recall one of the earliest tasks in my role as an Officer of the Council (circa 1990), was to recruit for the newly created post of Community Arts Development Officer.

The advert asked, 'Are you up to the challenge of changing the perception of Carlisle as a cultural desert and artistic backwater?'

There have been a few false dawns and a few discarded Consultants reports along the way, but this facility is yet further proof that deserts can be cultivated!

Old dog....new tricks?

The Panel received an informative and interesting presentation from the Chair, Chief Executive and the Carlisle Area Manager from Carlisle Leisure Ltd. The minutes of the meeting record and reflect the discussion that prevailed following the presentation (I will not risk incurring the displeasure of Members of the Council by cutting and pasting the details here!), but Members of the Panel were generally agreed that the company was serving both the City Council and the people of the City well.

Much of the discussion referred to the proposed merger of CLL with Greenwich Leisure Ltd and the potential impact that might have on the company and its staff and on its ability to continue to deliver its contract with the City Council. Re-assurances were given but clearly there were important issues still to be considered and resolved.

The Chair of CLL agreed to a request that, following the results of the staff vote which would decide the outcome of the proposed merger, a further meeting with the COSP would be held specifically to discuss the merger (which has of course since been confirmed) and its potential impact on the future management of some of the Council's most important leisure/cultural/recreational facilities. I hope we may be able to open this meeting up for any interested Member to attend.

Both under the direct management of the Council and CLL, the Sands Centre has been a key component in the emergence of the city from the 'cultural desert' days referred to earlier, to the present status of growing multi cultural enlightenment and in the process, has developed and enviable level of public endorsement and affection.

Whilst changing its name from Rover to Fido may mean that the old dog will learn some new tricks, hopefully it will not change the essential nature of the beast.

The art of sucking eggs

Like Winston Churchill (we have so much in common!) I love learning, but hate being taught, which probably explains my dismal academic record compared to my record of reasonable achievement in the game of Trivial Pursuit.

So it was with no great enthusiasm that, together with nine fellow Members, I responded to the summons to attend a training day on the subject of understanding the principles and operation of effective overview and scrutiny.

At this point, for the story to be really interesting, there should I suppose, be an announcement of a 'eureka' moment, but alas that was not the case, although I confess that the tutor from INLOGOV did a fine job in maintaining everyone's interest in a topic about which, even the most ardent Local Government aficionado must find it difficult to drool over.

However, it was useful to be reminded of the true purpose of the overview and scrutiny process and to be re-assured by the tutor, who had previously been, amongst other things, the Director of Scrutiny for Birmingham City Council, that Carlisle City Council seems in the main, to be using the processes wisely and effectively.

This, together with the positive comments of the recent Peer Review team concerning our use of O&S, affirmed therefore that we didn't really need to be teaching our granny to suck eggs after all!

To be or not to be.....

(involved) ...that is the question that the Member Involvement Task Group are seeking the views of fellow Members of the Council on, with regard to whether they feel they are, or wish to be, involved as much as they'd like, in the policy and decision making processes of the City Council.

A questionnaire was recently distributed to all Members with the view of assessing the level of disenchantment, if there is any.

The Task Group was set up on the basis of mainly anecdotal evidence, that a significant number of Members do not feel fully engaged, so the questionnaire is designed to help get a more accurate picture and a 100% response would be very helpful in that regard.

All Members are therefore urged to complete it as honestly as possible and if the responses suggest there is an issue worthy of further review, then the Task Group will set about trying to investigate it.

'The only really effective mechanism for corporate governance is the active involvement of the owners' So said Louis V Gerstner Jnr, ex Chair of IBM and American Express and so say all of us.... presumably!

'We come equals into this world'...

The COSP received a report indicating that the Council's Comprehensive Equality Scheme is to be reviewed and updated over the next few months, with a wide ranging cohort of opinion and advice being sought, before the revised policy is presented for approval early next summer.

Although the Equality Scheme is produced as part of the Council's Public Sector Equality Duty, we should acknowledge that our approach to the development of such a policy is to do it, not because it is a duty to do so, but because we believe that it is the right thing to do.

This approach in my view, will make the Scheme a more relevant and meaningful plan which will seek genuinely to provide a framework to reach out to all sectors of the community including individuals, as we all have a 'protected characteristic', as the minutes of the discussion at the meeting show.

This Scheme should itself stand equally amongst all the Council's other headline policies, for unless all our citizens are considered equal, we are all equally diminished. I hope as many Members as possible will take the opportunity to be involved in this Review.

Healthy lightbites

No, not free samples of low calorie doughnuts for all Members, but some bite size snippets of interest arising from the last meeting of the Cumbria Health Scrutiny Panel on 16th October.

The transfer of the 'Step Up, Step Down' care at Reiver House into a community setting, is on schedule to be completed by the end of October and from then, as part of a range of improvements to cancer services, the building will be used to deliver new chemotherapy services.

The 'Step Up, Step Down' transfer took place as part of the extension of the Mrs Carlisle Hospital at Home pilot scheme, which has been selected from a list of over 200 schemes worldwide, to be presented at the World Health Organisation's Healthy Cities Conference in Athens later this year. Emma Dixon, the City Council's Partnership Development Officer, will be one of the presenting team.

The issue of car parking at the Cumberland Infirmary is currently the subject of an investigation being carried out by Healthwatch Cumbria, with a view to identifying possible solutions. It seems that some progress has been made by the North Cumbria University Hospitals Trust in identifying additional land for parking. Watch this space! (which is about all you can do in the car park at the moment!)

Reports were received outlining some significant developments presently underway, in an attempt to improve some key areas of health service delivery in Cumbria, including the development of a new, comprehensive Mental Health Strategy and a major review of the current configuration of maternity services across the county.

It was also reported that due to many vital safety and quality changes made over the past 18 months, the mortality rate in North Cumbria hospitals, which had been recorded as being one of the highest in England, has seen a sustained and continuing decline.

I will notify Members when the full minutes of the Panel's meeting are available.

Report to: Council

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11(ii)(b)

Meeting Date: 4th November 2014

Public/Private*: Public

Title: **Resources Overview and Scrutiny Chairman's Report – Councillor
Reg Watson OBE**

Member Involvement Update

All members will receive a questionnaire from Cllr Rob Burns who is chairing the Task Group. I would ask all members to return the questionnaire as soon as possible.

Thanks to the Council members who attended the Scrutiny Training Day, the attendance was unfortunately low, but well received by those in attendance.

Overview report and work programme

The Overview and Scrutiny Officer reported that a request had been sent out to Members of all three Overview and Scrutiny panels for volunteers to be involved in the Members Involvement and Empowerment Task Group. Subsequently Councillors Burns, Caig, Mallinson, McDevitt, Nedved and Watson had been appointed and the first meeting took place on Friday 19 September 2014. Details will be reported back to the Panel on 30 October 2014.

The Chairman highlighted meeting dates which clashed with those scheduled by the County Council and the issues it caused for dual hatted Members. He urged officers to work with the County Council so it could be approved by full Council in January.

Revenue budget Overview and Monitoring Report: April to June 2014

Member's attention was drawn to a number of high risk budgets which had been identified as requiring detailed monitoring throughout the year; Section 106 commuted sums currently held by the Council; together with details of the Council's Direction of Travel and action taken in writing off bad debts.

The Executive had considered the report at their meeting on 18th August 2014 (EX.89/14 refers) noted the budgetary performance position of the Council to June 2014 and the action by the Director of Resources to write off bad debts as detailed in paragraph 9 of Report RD.20/14.

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

- *Members discussed the previous car parking review which the Council had undertaken. Many of the recommendations had been auctioned and the projected yield had not materialised. Members asked if the review would be revisited.*

The Director of Resources confirmed that the authority had been losing 10% per annum on car parking charges and following advice from the review the Council had slowed the reduction in income but had not increased the income. He informed the Panel that a new review of the entire car parking structure would be undertaken.

The Director of Governance agreed that there had been a rise in planning applications for private car parks in Carlisle, the planning team were looking at the applications to ensure they met planning law and were compatible with the Council's Local Plan. He felt that the authority needed a clear parking strategy which tied in with the new Local Plan.

The Finance, Governance and Resources Portfolio Holder felt that the reduction in car parking income was a result of the recession and the change in shopping habits. He felt that the City had to ensure that they had a good offer to attract people into Carlisle.

- *The income from the Lanes had continued to decline and the report had indicated that this had been a result of economic recession. It was agreed that this had initially been a result of the recession but it was felt that the continued decline was actually as a result of the change in retail pattern. It was suggested that the Council looked at the long term future of the investment in the Lanes.*

Quarter One Performance Report 2014/15

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

- *Members were disappointed to see the increase in the number of days it took to process new benefits claims and asked for more details on the current absence levels within the Shared Service.*

The Director of Resources explained that there was an unprecedented level of sickness and vacancies mainly within the Copeland Council staff. There was a variety of reasons for the absences but many of the vacancies were due to staff moving to Sellafield. He informed the Panel that it took at least one year to train new assessment officers and during this time there was an increase in the time taken to process new claims. He stressed that there were no issues with staff in Carlisle.

The Director of Resources added that the main cost to the authority was the reduction in performance as it affected the most vulnerable people in the community. There was a financial cost in overtime payments and outside contractors and all three authorities had made a financial contribution to cover those costs.

The Finance, Governance and Resources Portfolio Holder added that there would be a review of the Shared Service if the situation did not improve in the next three months. He explained that one of the results of the Welfare Review had been key staff leaving the authority for more secure positions and a lack of applicants for vacancies due to unknown future of the service.

Report to: Council

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11(iii)(b)

Meeting Date: 4 November 2014

Public/Private*: Public

Title: **Environment & Economy Overview and Scrutiny Panel - Chairman's Report –
Councillor Nedved**

The Panel met on the 25th September and were provided with an update on the Rethinking Waste Project, a report on the Strategic Housing Market Assessment Update, and the Quarter One Performance Report.

Rethinking Waste Project

The visual presentation provided by the Director of Local Environment was a precursor to a meeting to held by the Panel in November concentrating largely on Waste issues. Various pressures, time-line, and a series of options with cost implications were outlined including whether to award a new contract for recycling or to bring recycling collection in-house by 2015. Members raised questions on food waste disposal, servicing new estates, future vehicle provision, tendering process and current position on bring sites. The Litter Bin Audit Task and Finish Group have joined Waste Services operatives in their rounds in and around the City over 3 mornings.

Strategic Housing Market Assessment (SHMAA)

A report was provided by the Investment and Policy Manager and Housing Development as part of the ongoing consideration of the Local Plan by this Committee coupled with the Local Plan Working Group. The SHMAA represented a part of the evidence base by the Local Plan. The overall housing need identified that between 2013 and 2030 between 8,200 and 9,600 new houses would be required with a further assessment of an additional 5,011 affordable homes. Information was provided on the different types of affordable housing and how figures were calculated. Questioning related by Members to issues as diverse as calculation of targets for new houses, 106 agreements, infrastructure delivery plan and calculations for affordable housing.

A Special meeting of the Panel was held on the 8th September called on to scrutinise the Development at Rosehill Part B Report. The reasons outlined for the call-in were;

- a) to scrutinise the decision making process and external advice given to the Council
- b) to question whether or not the Council is maximising the value of the asset -lack of consultation.

A majority vote by the Panel decided that this matter was referred back to the Executive for reconsideration at a Special Meeting of the Executive on the 17th September.

The Panel met on the 21st October, at the Business Interaction Centre for a morning session dedicated to business support. Members were joined by the Director of Economic Development, Leader and the Portfolio Holder for Environment and Transport. Presentations on business support were provided by Dr Michele Lawty-Jones , University of Cumbria provided a presentation on the BIC and what provision of support is provided to local business. Suzanne Caldwell , Chamber of Commerce provided a presentation on the Growth Hub and support provided. Paul Foster representing the Federation of Small Business joined in the discussions. Q&A sessions followed by round the table discussions covering a wide range of areas relating to how and to whom Business Support is provided with special emphasis on small and medium enterprises in the area and start-ups followed. A Task and Finish Group on Business Support will be formed next month.

The Panel reconvened for an afternoon meeting to discuss agenda items with an update report on phase 2 of the Tourist Information Centre, Public Realm and a Part A/part B report on the business plan for Talkin Tarn.

TIC Phase 2

Members were made aware of ongoing actions to deliver phase 2 upgrade works, tendering process and programme of activities with a completion date in July 2015. A re-location was discussed to alternative accommodation from January to July 2015.

Public Realm

A short update was provided on potential public realm projects which would include possible directional and interpretative signage at points in the City.

Talkin Tarn Draft Business Plan and Report

A Section A report concentrated on a 4 year plan to attract new visitors and address sustainability with the objective of the Tarn being self-sufficient by 2020 (an additional 55,900 income per year). A series of ideas and plans were outlined. The Neighbourhood Services Manager indicated that the Boat House, Tea-room and kiosk revenue whilst significant could be increased through marketing, and promotion. Focus was given to watersports, craft fairs, events, hire of meeting room and car-park ticket sales with prospect of new attractions without compromising the natural beauty of the Country Park. Questions relating to dog-fouling and littering at the Tarn were brought up by Panel Members.

A Section B report provided a draft business plan looking at increasing income and possible ideas for projects for development over 3 years. Events and activities, marketing and promotions were outlined, resulting in a lively, wide-ranging discussion !! Results of a customer survey are awaited.

Full details of the discussions to be found within the minute book.

Cllr Paul Nedved.

Chairman.

AUDIT COMMITTEE

MONDAY 14 APRIL 2014 AT 10.00 AM

PRESENT: Councillor Ms Patrick (Chairman), Councillors Mrs Atkinson, Atkinson (P) – from 11.07 am, Earp, Mrs Mallinson and Nedved

OFFICERS: Chief Executive
Director of Governance
Director of Resources (until 10.30 am)
Financial Services & HR Manager
Audit Manager
Senior Auditor

ALSO

PRESENT: Ms Jackie Bellard (Director, Grant Thornton); and
Mr Richard McGahon (Manager, Grant Thornton)

AUC.16/14 WELCOME

The Chairman welcomed all those present to the meeting.

AUC.17/14 APOLOGIES FOR ABSENCE

Apologies for absence were submitted on behalf of Councillors Bowditch and also Atkinson (P) who would arrive late.

AUC.18/14 DECLARATIONS OF INTEREST

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

AUC.19/14 PUBLIC AND PRESS

RESOLVED – That Agenda item A.2 – Certification Work Report 2012/13 be dealt with as the first item of business to facilitate the attendance of the Director of Resources.

AUC.20/14 CERTIFICATION REPORT 2012/13

Councillor Mrs Mallinson declared an interest in accordance with the Council's Code of Conduct. The interest related to the fact that a tenant of hers received Housing Benefit.

The Manager (Grant Thornton) presented the Certification Report for 2012/13, which summarised their overall assessment of the Council's management arrangements in respect of the certification process and drew attention to significant matters in relation to individual claims. An overview of the approach to certification work, the roles and responsibilities of the various parties involved and the scope of the work performed was set out in the Certification Plan issued to the Council in July 2013.

Included within the current report was a summary of all claims and returns subject to certification (Appendix A).

In terms of the Key Messages, the Manager (Grant Thornton) reported that:

- Both the Housing Benefit and Council Tax Benefit and the National Non Domestic Rates claims were submitted to Grant Thornton on time and certified within the required deadlines
- No amendments or qualification letter was required for the National Non Domestic Rates Return this year. That was in line with the performance in 2011/12
- A significant number of errors were identified during detailed testing of the Housing Benefit and Council Tax Benefit claim. Those errors had resulted in amendments to the claim and a qualification letter. That represented a significant deterioration in performance when compared with 2011/12.
- Supporting working papers for both claims were good, which enabled certification within the deadline.

In terms of the way forward, Grant Thornton had set out recommendations to address the key messages referred to above and other findings arising from their certification work at Appendix B. Recommendations had been made to address issues relating to:

- Improving data input into assessments for income to ensure the correct amount of benefit was awarded to claimants
- Ensuring overpayment errors were correctly classified according to type i.e. eligible error or LA error
- Ensuring that expenditure relating to modified scheme was valid

Implementation of the agreed recommendations would assist the Council in compiling accurate and timely claims for certification. That, in turn, would reduce the risk of penalties for late submission, potential repayment of grant and additional fees. Given the timing of the work some of the issues may not however be fully addressed during 2013/14.

In conclusion, the Manager (Grant Thornton) drew Members' attention to Appendix C which set out details of the fees.

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

- Was the certification fee unchanged?

The Manager (Grant Thornton) explained that for 2011/12 the fee was based upon the actual hours worked. However, under the new contract an indicative fee was set by the Audit Commission which would move depending upon the work undertaken.

He emphasised that the fee for 2012/13 reflected the level of errors and the amount of work which had to be done to certify the Housing Benefit and Council Tax Benefit claim. In terms of the Housing Benefit and Council Tax Benefit claim, the City Council had missed the opportunity of reducing the fee because of the significant additional work/testing that was required.

- What action and monitoring was in place to ensure that errors, which resulted in the payment of increased fees, did not occur in future?

The Director of Resources drew Members' attention to the Action Plan at Appendix B which had been agreed with Grant Thornton. He acknowledged that there were issues around training; consistency and quality checking; and ownership of errors. Part of the problem related to the fact that Revenues and Benefits staff were working across three sites, with their own individual ways of working.

In addition to the Action Plan alluded to, a third party report had been commissioned (from Liberata) which had resulted in a number of recommendations on the Revenues and Benefits Shared Service. The Chief Executives from Allerdale and Copeland Borough Councils and Carlisle City Council had also met on 11 April 2014 and were committed to the Action Plan.

The Director of Resources cautioned that it would in all likelihood be 2014/15 before Members would see significant improvements in terms of accuracy.

- The issue of staff training had previously given Members cause for concern. Had the issues around governance been addressed and if not, why not?

In response, the Director of Resources advised that there had been issues around the IT systems and culture of the individual authorities. Staff all attended the same training, in addition to which the training provided was being reviewed with a view to making it more effective.

The Chief Executive agreed with the Director's comments indicating that, if the recommendations were successfully implemented, improvements would be made.

The Chief Executive explained that there was some anxiety as to whether the Revenues and Benefits Shared Service was providing the best service for the residents of Carlisle. Following the Chief Executives' meeting referred to, the Chief Executive had spoken to staff and Members here in Carlisle and he outlined his position on the future of the Shared Service for the benefit of the Committee. The Director of Resources was working on defining the criteria necessary for Carlisle to have confidence in remaining in the Shared Service.

In terms of the governance issue, although Carlisle was the employing authority, it was not the managing authority. The Liberata report contained recommendations to address the issue.

- Were the issues around accuracy reflected across the three local authorities, and did they represent a high corporate risk?

The Director of Resources replied that the errors were the same, but the financial impact was not significant at the moment.

The Chief Executive stated that one of the observations of the Liberata report was that overall the Shared Service was performing fairly well. Where there were concerns for Carlisle those were being picked up through good management arrangements.

- A Member felt it was important that the Audit Committee had sight of the Liberata report to ensure that the Council's Officers were protected.

- The Certification Report 2012/13 had identified a significant deterioration in performance compared to 2011/12. Had resources been diverted from Carlisle which had given rise to that situation?

In response, the Chief Executive explained the differing processes followed by Customer Services and Benefits staff in Carlisle and Copeland. That inconsistency needed to be addressed via a clear set of criteria / Service Level Agreement in order that Members may be assured that the Council's position was protected and Carlisle was not subsidising work in other areas of the Shared Service.

The Chief Executives of Allerdale and Copeland were very committed to putting effort and resources into addressing the issues identified.

The Chief Executive stressed the need to be confident in the ability of the Shared Service to deliver a good service and respond to change.

- The Chairman asked that an overview of the Liberata report and an update on the Action Plan be provided to the next meeting of the Committee.

The Chief Executive replied that a clear project plan and deliverables on the recommendations would be put in place, which could be submitted to the Committee.

A Member moved that the Committee ask the Resources Overview and Scrutiny Panel to scrutinise the issues raised.

RESOLVED – (1) That the Certification Work Report 2012/13 be noted and received.

(2) That the Audit Committee noted that the issues and concerns regarding the significant number of errors identified during detailed testing of the Housing Benefit and Council Tax Benefit claim would be addressed through the Action Plan (Appendix B).

(3) That the Chief Executive be requested to circulate the Liberata report (concerning the Review of the Revenues and Benefits Shared Service) to Members of the Committee.

(4) That the Audit Committee would receive an update on progress on the recommendations contained within the Action Plan and the Liberata report at their September 2014 meeting.

(5) That the Resources Overview and Scrutiny Panel be requested to consider the issues concerning the Revenues and Benefits Shared Service identified by the Chief Executive.

AUC.21/14 MINUTES

The Minutes of the meeting of the Audit Committee held on 24 January 2014 were submitted.

The Financial Services and HR Manager reiterated that consideration was being given to the provision of training prior to the July 2014 meeting of the Committee. She added that work had been undertaken on good governance principles which could be brought to the training session.

Referring to Minute AUC.05/14 – Minutes of the Resources Overview and Scrutiny Panel, a Member indicated that he had not yet received a copy of the Director of Resources' written response regarding the Central Hotel, Victoria Viaduct.

By way of assistance, the Director of Governance advised that, following the dissolution of the then owner, Goldfern Properties Limited, in August 2012, the property had fallen to the Duchy of Lancashire but the said duchy had disclaimed the property and it was understood that the Crown was now the owner. The Legal Services Section were now in correspondence with the Treasury Solicitor (acting on behalf of the Crown) to clarify the situation.

The Member requested an update at the earliest opportunity.

Referring to Minute AUC.07/14 – Grant Thornton – Audit Committee Update, the Chairman advised the meeting that it had been agreed that a tabulated document on the emerging issues of relevance to the Council would be prepared for submission to the next meeting of the Committee.

The Financial Services and HR Manager advised that, although she had started to look at the questions, there was a significant amount of documentation which she wished to go through in detail. The matter would go forward to the Senior Management Team before proceeding to the July meeting of the Committee.

RESOLVED – (1) That the Minutes of the meeting of the Audit Committee held on 24 January 2014 be agreed as a correct record and signed by the Chairman.

(2) That the Financial Services and HR Manager report on the emerging issues of relevance to the Council (referred to above) to the July 2014 meeting of the Audit Committee.

AUC.22/14 MINUTES OF RESOURCES OVERVIEW AND SCRUTINY PANEL

The Minutes of the meeting of the Resources Overview and Scrutiny Panel held on 20 February 2014 were submitted for information.

RESOLVED – That the Minutes of the meeting of the Resources Overview and Scrutiny Panel held on 20 February 2014 be noted and received.

AUC.23/14 AUDIT PLAN 2013/14

The Director (Grant Thornton) presented the Audit Plan for Carlisle City Council for the year ended 31 March 2014. The content of the report related only to the matters which had come to Grant Thornton's attention, which they believed needed to be reported to the Committee as part of the audit process. It was not a comprehensive record of all the relevant matters, which may be subject to change, and in particular they could not be held responsible for reporting all of the risks which may affect the Council or any weaknesses in its internal controls.

The Director (Grant Thornton) indicated that a key element of the audit was gaining an understanding of the challenges and opportunities faced by the client (i.e. the Council), a summary of which was provided. In addition, Grant Thornton also considered the impact of key developments in the sector and took account of national audit requirements as set

out in the Code of Audit Practice and associated guidance. The Plan was based on a risk-based approach to audit planning.

There was no plan to certify the NNDR claim this year, nor was it expected that certification work would be required on the Council Tax element of the benefit claim scheme which was a change from previous years. However, likely that some audit work would need to be done on those areas to be able to give the opinion on the accounts.

The report also set out Grant Thornton's approach to identifying audit risks and the additional risks considered relevant to the current audit of the accounting statements.

There were two presumed significant risks applicable to all audits under auditing standards (International Standards on Auditing – ISAs), namely: the revenue cycle included fraudulent transactions; and management over-ride of controls. Details of the other reasonably possible risks were also provided.

Turning to the interim audit work undertaken the Director summarised the overall conclusion that:

- Internal Audit - the Internal Audit Service continued to provide an independent and satisfactory service to the Council and that internal audit work contributed to an effective internal control environment at the Council. Grant Thornton's review of internal audit work had not identified any weaknesses which impacted on their audit approach;
- Walkthrough testing - no weaknesses had been identified which impacted on their audit approach;
- Review of information technology (IT) controls - no material weaknesses which were likely to adversely impact on the Council's financial statements had been identified;
- Journal entry controls – Grant Thornton would complete their journal testing at the final accounts visit. Currently they had no issues to report; and
- Early substantive testing – Grant Thornton would complete their substantive testing at the final accounts visit. Currently they had no issues to report.

The Director added that Grant Thornton was required to give a statutory value for money conclusion on the Council's arrangements to secure economy, efficiency and effectiveness in its use of resources. The conclusion this year would be based on two criteria, specified by the Audit Commission.

A Member asked whether an update on the significant risks identified could periodically be submitted to the Committee in order that an audit trail was in place.

In response, the Director (Grant Thornton) confirmed that she would report back following completion of the audit (i.e. to the September 2014 meeting of the Committee).

Referring to the fact that the National Non-Domestic Rates (NNDR) would no longer be certified, the Financial Services and HR Manager asked whether any other body was coming in to take on that role.

The Director understood the Manager's concerns, commenting that some elements of the NNDR return would be looked at as part of the Accounts.

The Manager (Grant Thornton) informed the Committee that there were no outstanding claims for 2012/13. Details of the position for 2013/14 would be set out in the next report to the Committee.

RESOLVED – (1) That the Audit Plan for 2013/14 be noted and received.

(2) That the Audit Committee would receive an update on the significant risks identified in the report at their September 2014 meeting.

AUC.24/14 AUDIT COMMITTEE UPDATE REPORT

The Manager (Grant Thornton) submitted a paper detailing progress in delivering Grant Thornton's responsibilities as the Council's external auditors. Also included was a summary of emerging national issues and developments which may be of relevance to the authority.

Members' attention was particularly drawn to:

- progress at 25 March 2014 in terms of the 2013-14 accounts audit plan; the interim accounts audit; and the 2013-14 final accounts audit. The Manager advised that there were no significant changes in approach to the Value for Money (VFM) conclusion work carried out in previous years. There was, however, continued emphasis on financial resilience with a separate report produced and reported in September alongside the ISA+260 Audit Findings Report.
- the Audit Commission research – Tough Times 2013 (page 61 of the document pack)
- 2016 Tipping Point? Challenging the current (page 67 of the document pack)
- the alternative delivery models in local government (page 68 of the document pack). The Manager (Grant Thornton) stated that he had attended an event in South Lakeland on 10 March 2014 which focussed on collaboration and alternative delivery models
- Reaping the benefits: first impressions of the impact of welfare report (page 69 of the document pack). The Manager (Grant Thornton) had interviewed Carlisle in terms of the report and was quite impressed. Looking ahead, however, further reforms such as the implementation of universal credit and the move to direct payments presented significant uncertainties and challenges over the next few years.
He added that the Director (Grant Thornton) had talked about the revaluation of assets, which would be picked up in consultation with the Financial Services and HR Manager
- Business rate appeal provisions (page 71 of the document pack) – the Manager (Grant Thornton) and the Financial Services and HR Manager would be meeting to discuss the matter
- Accounting for and financing the local government pension scheme costs – there would be a slight change in terms of where the figures appeared in the Accounts.

The report also included a number of challenge questions in respect of emerging issues which the Audit Committee may wish to consider.

A Member indicated that in most local authorities there was now a budget shortfall and significant additional savings were required in order to bring reserves up to minimum levels. That was the first call on the 2014/15 allocation of the New Homes Bonus which was not what it was designed for.

In response, the Financial Services and HR Manager advised that the New Homes Bonus had been included within the City Council Budget as an income stream (a non-ring fenced financial grant). She did not think that the Council would be open to challenge in that regard.

RESOLVED – That the Audit Committee noted the content of the Update Report; and that details of work undertaken to address the emerging issues referred to would be submitted to their July 2014 meeting.

AUC.25/14 HOUSING BENEFIT SUBSIDY CERTIFICATION WORK PLAN

The Manager (Grant Thornton) reported that, as the Council's appointed external auditor, Grant Thornton undertook grant certification work acting as an agent of the Audit Commission. The only claim which required certification at the City Council for 2013/14 was the Housing Benefit Subsidy claim.

He reported that the indicative fee for grant claim certification for the Council, based on the 2011/12 actual certification fee, was £17,200. The Audit Commission had not yet confirmed the final figure, but it was expected to reduce by around 10% - 12%.

The Manager (Grant Thornton) expected to complete the certification work by 30 November 2014 and to issue a grant certification report after that date highlighting any issues that needed to be brought to the Council's attention.

RESOLVED – That the Audit Committee noted the content of the Housing Benefit Subsidy Certification Work Plan.

AUC.26/14 FEE LETTER 2014/15

The Director (Grant Thornton) presented the Audit fee letter for 2014/15.

The Director outlined details of the audit fee for the Council, explaining that:

- the scale fee for 2014/15 had been set by the Audit Commission at £70,153 i.e. the same as the audit fee for 2013/14; and
- the composite indicative grant certification fee had been set at £18,790.

Details of the scope and timing of the work, Value for Money conclusion and details of the Team were also provided.

The Manager (Grant Thornton) referred to the document entitled "A guide to local authority accounts" (copies of which had been handed to Member immediately prior to the meeting) which was to assist and provide some useful challenge questions.

The Chairman thanked the Manager for that input which was helpful in terms of increasing Members' knowledge.

RESOLVED – That the Audit Committee noted and received the Audit fee letter for 2014/15.

Councillor P Atkinson entered the meeting

AUC.27/14 AUDIT COMMITTEE'S ANNUAL REPORT 2013/14

The Chairman presented report RD.03/14 summarising the work undertaken by the Audit Committee during the period from 15 April 2013 to 24 January 2014.

The existence of the Audit Committee and its work programme enabled the Council to demonstrate that it was following the recommended best practice of the CIPFA Practical Guidance for Audit Committees in Local Authorities. The Committee had strengthened the Council's internal control process through its ability to ensure that systems and controls were robust; that challenges were raised as appropriate; and that adequate follow-up procedures were in operation in relation to audit recommendations. That had been noted and commented on by the external Auditors Audit Manager.

In conclusion, the Chairman recommended that the Audit Committee note and accept the report.

Referring to the Audit Committee's Rules of Governance (Section 6.1 – Attendance), a Member pointed out that attendees would usually include the Leader or Deputy Leader and the Portfolio Holder for Finance. He noted that was not necessarily the case in practice and, following discussion, it was suggested that the word "usually" be amended to "could", "may" or "is likely to".

It was also agreed that the Committee would ask the Executive to give consideration to that point.

RESOLVED – (1) That the Annual Report of the Audit Committee, which would be submitted to the City Council on 29 April 2014, be noted and accepted.

(2) That the Executive be requested to consider the wording of Section 6.1 – Attendance of the Audit Committee's Rules of Governance as identified above.

AUC.28/14 INTERNAL AUDIT PLAN 2014/15

The Audit Manager (Carlisle City) reported (RD.02/14) that internal Audit was required, under the mandatory Public Sector Internal Audit Standards (PSIAS), to prepare an annual risk based Audit Plan for approval by the Audit Committee.

She outlined for Members the content of the draft Audit Plan, attached at Appendix A, which had been prepared was in line with updated planning methodology. The Plan had, through consultation with the Council's senior management and consideration of the Council's Corporate Risk Register and Annual Governance Statement Action Plan, identified the areas where it was considered that Internal Audit could add the greatest value.

Other sources of assurance were also a factor for consideration, to avoid duplication and ensure the best use of Internal Audit resources and the agreed actions from the recent Grant Thornton review of Internal Audit had also been incorporated into the planning process, particularly around:

- The rationale for inclusion in the Plan was now explained
- A reduction in the proportion of the Plan allocated to routine testing of the main financial systems in favour of a three year rolling programme of financial system reviews
- An increase in the proportion of the Plan allocated to risk-based internal audit reviews designed to provide assurance over arrangements for governance, risk management and internal control

Details of internal audit service delivery; the roles of management and of internal audit; internal audit resources; categories of internal audit work; and performance standards were provided.

The Audit Manager (Carlisle City) highlighted that further discussions were required with the external auditors on the three year cyclical approach to financial systems reviews.

In conclusion, the Audit Manager (Carlisle City) requested that the Committee receive the report and approve the 2014/15 Audit Plan.

The Chairman and Members welcomed the new clearer format of the report.

Referring to Section 5.5 (Computer Audit) and the Government's Code of Connection (CoCo), a Member sought reassurance that the Council had a clear certificate from the Regulator. She suggested that may be picked up in the audit of Customer Services.

In response the Audit Manager explained that the corporate review led on from the work done on e-forms between Customer Services and IT.

The Member added that the issue should be picked up as part of the scoping exercise.

RESOLVED – (1) That the Audit Committee noted the content of Report RD.02/14.

(2) That the Audit Committee had considered and approved the Internal Audit Plan for 2014/15 attached as Appendix A to the report.

AUC.29/14 INTERNAL AUDIT PROGRESS REPORT 2013-14 (NO. 4)

The Audit Manager (Carlisle City) submitted report RD.01/14 summarising the work carried out by Internal Audit and detailing progress made on delivery of the approved 2013/14 Audit Plan.

The Audit Manager reminded Members that the 2013/14 Strategic and Annual Risk Based Audit Plans were presented to the Audit Committee on 15 April 2013 (Report RD.06/13 referred). The current position of the Plan up to 21 March 2014 was illustrated at Appendix A for Members' assistance.

The Plan called for 540 direct audit days. 468 days (87%) had been delivered. Details of the areas upon which time had been spent were provided.

Members were asked to note the progress made against the agreed 2013/14 Audit Plan.

A report on the position of all follow ups of previous audit recommendations monitored via Covalent was attached as Appendix B. Attention was drawn to the colour coding used to highlight the progressive action taken against each audit recommendation.

In summary, a total of 89 recommendations have been monitored since April 2012. In that reporting period there were 9 where sufficient action had been reported and those recommendations were now closed. There were 22 'open' recommendations; 16 of which were 'in progress' and 6 where insufficient information had been provided to determine whether or not appropriate action had been taken to date. For those recommendations which had not had an adequate response, further enquiries with Managers continued to have been made and the Audit Manager (Carlisle City) was able to provide a verbal update on the responses received subsequent to preparation of her report, the effect of which was that:

Audit of Development Control/Management

R2 – could now be recorded as green (actioned)

Audit of Systems Administration

R3, R8 and R13 – could now be recorded as amber (in progress)

Audit of IT Service Desk

R2 – could now be recorded as green (actioned)

R5 – could now be recorded as amber (in progress)

The Chairman considered the above updates on feedback received to be really positive, adding that the Committee appreciated the number of recommendations actioned in a timely manner.

Members were asked to note the position on the follow up of previous audit recommendations.

In response to a Members' request, the Audit Manager (Carlisle City) confirmed that it would be possible to include a glossary in future progress reports to the Committee.

The Audit Manager then outlined in some detail the content and ratings attached to the audit reports in respect of Tendering and Contracting Procedures; Organisational Development (Devolved Development and Training); and Customer Services. Copies were appended to the report.

The Committee gave consideration to the completed audits, raising the following issues:

Audit of Tendering and Contracting Procedures (Reasonable Assurance Evaluation)

- Follow up Schedule of Previous Audit Recommendations (Appendix B) - a Member sought clarification as regards progress on the various recommendations.

In response, the Financial Services and HR Manager said that she had included realistic timescales for implementation thereof. The Audit Manager (Carlisle City) added that, if

relevant, the recommendations would be brought forward into Appendix C (Agreed Action Plan).

The Senior Auditor updated Members on the current position regarding implementation of the Electronic Document Management System (EDMS).

- Recommendation R2 (there is no financial information contained within the Contract Register)

The Audit Manager (Carlisle City) referred the Member to recommendation R4 on page 161 of the document pack, explaining that there was now a link between the payments system and the Contracts Register. The issue was around how best to enhance arrangements and make links clearer.

Audit of Organisational Development – Devolved Development and Training (Reasonable Assurance Evaluation)

- A Member expressed concern as to whether recommendations R2 and R3 had been addressed since the 2010 Budget.

The Chief Executive stated that it was a question of context, his preference being that the budgets referred to be centralised and clear principles applied to ensure that they were used more effectively.

- A Member questioned whether Member training should be needs based / mandatory.

The Chief Executive replied that the issue was around perception and senior Members may have a role to play in terms of Member development.

Audit of Customer Services (Partial Assurance Evaluation)

- Notwithstanding the fact that a great deal of good work had been undertaken, the Chairman considered the concerns expressed concerning the lack of automation to be of particular relevance moving forward.

The Audit Manager (Carlisle City) advised that those issues would be picked up, the key issue being the Customer Relation Management “CRM” system.

The Chief Executive fully accepted the recommendations / gradings and recognised the significant weaknesses in technological arrangements. Although the Council’s website had recently been rated as good by SOCITM, more could be done in terms of the automated systems.

A significant project (Improving Customer Access) had been put in place with a view to addressing the recommendations and he was therefore confident that much was being done to improve matters.

- A Member emphasised the importance of protecting the City Council brand name. Implementation of the recommendations required to be monitored and an update provided to the Committee.

The Chairman pointed out that the Committee was scheduled to receive an update on Covalent at their next meeting.

The Chief Executive stated that the departure of the Director of Community Engagement had impacted upon progress. Following an internal restructure Customer Services now sat within the Chief Executive's Team and the Customer Services Manager was taking action to progress matters.

The Member thanked the Chief Executive for his comments.

- Speaking in his capacity as Lead Member of the Recycling Task and Finish Group, a Member reported that he had met with the Customer Services Manager. The aim was to find out what recycling service related problems were presented to the Contact Centre; whether there were any trends; and also how problems and complaints were dealt with. He added that some of the issues identified were now starting to be addressed.

RESOLVED – (1) That report RD.01/14 be received and progress made against the agreed 2013/14 Audit Plan referred to in Section 2 and as illustrated in Appendix A be noted.

(2) That the updated position on the follow up of previous audit recommendations, as outlined in Section 3 and verbally by the Audit Manager, be noted.

(3) That the Audit Committee received the completed audit reports referred to in Section 4 of the report.

(4) That a Glossary be included in future progress reports to the Committee.

(5) That the Committee noted that Customer Services now fell within the remit of the Chief Executive's Team providing greater corporate ownership, and was satisfied that the Action Plan attached to the Audit of Customer Services would address the recommendations identified during the audit review.

(6) That the Audit Manager be requested to submit a report updating Members on implementation of the recommendations to a future meeting of the Committee.

AUC.30/14 INTERNAL AUDIT CHARTER

Pursuant to Minute AUC.15/14, the Audit Manager (Carlisle City) reported (RD.05/14) that the Cumbria Shared Internal Audit Service was required to conform to the mandatory Public Sector Internal Audit Standards (PSIAS). Those standards comprised a Definition of Internal Auditing, a Code of Ethics and the Standards by which internal audit work must be conducted.

An Audit Charter was one of the key requirements of the PSIAS and failure to approve an Audit Charter may be considered to be a significant deviation from the requirements of the Standards.

The Audit Manager reminded Members that they had received the Draft Charter in January 2014. Since that time, there has been an update within Section 6 (Resources, Proficiency and Due Professional Care) to provide more coverage on confidential reporting practices

within the Internal Audit Shared Service. The Charter had also been considered by the Executive on 10 March 2014 and their comments were as detailed within Minute Excerpt EX.29/14, a copy of which was attached.

RESOLVED – That the Audit Committee:

1. Noted the changes to Section 6 – Resources, Proficiency and Due Professional Care; and
2. Approved the Internal Audit Charter alongside the 2014/15 Audit Plan.

AUC.31/14 TREASURY MANAGEMENT OCTOBER - DECEMBER 2013

The Financial Services and HR Manager submitted report RD.84/13 providing the regular quarterly summary of Treasury Management Transactions for the third quarter of 2013/14.

The Financial Services and HR Manager emphasised, in particular, the fact that interest receivable was falling behind budgeted projections due to average investment returns being lower than those anticipated when the budget was set.

The report had been received by the Executive on 10 February 2014. The Audit Committee was now invited to make any observations on treasury matters which took place during that quarter, although Members would note that it had been a relatively quiet period in treasury terms.

RESOLVED - That Report RD.84/13 be noted and received.

AUC.32/14 CORPORATE RISK MANAGEMENT

The Director of Governance presented report SD.10/14 providing an update on the Council's risk management arrangements. Details of the background position were provided.

The Corporate Risk Register continued to be reviewed quarterly by the Corporate Risk Management Group and Senior Management Team in line with the Council's Risk Management Policy. It contained those risks considered to be the significant risks in achieving the City Council's objectives for 2014/15:

- Asset Business Plan – Asset Disposal Strategy
- Asset Business Plan – Asset Acquisition Strategy
- Delivering the Carlisle Plan
- Council's Income targets
- Housing needs of vulnerable groups
- Workforce planning

The Financial Services and HR Manager then informed Members that arrangements were currently being made for a risk management training programme for 2014/15, which would focus on the following areas:

- IOSH (Institution of Occupational Safety and Health) training for managers
- Updating the risk management e-learning module and delivering to staff
- Zurich insurance risk management training

Officers were also looking at the provision of an e-learning package.

Members were asked to consider any training required to assist them in better appreciation of risk management good practice.

A Member indicated that the issue of training had been raised at the Members' Development Group. She recognised the difficulties associated with mandatory training and questioned whether the proposed training would be open to Members and Officers. The issue was how best to deliver training, one possibility being through informal Council meetings.

In response, the Financial Services and HR Manager advised that the training could be provided jointly for Members and Officers. Consideration was being given to the training currently provided in the 1st floor Training Room to include e-learning.

A Member commented upon the advantages of e-learning, particularly for those Members who found it difficult to attend training sessions. There were a number of methods by which uptake could be increased e.g. group work, and contacting Members directly to remind them.

Another Member said that the uptake of e-learning was low which was why informal Council was suggested as a way forward.

The Chairman stated that there were three areas under Risk Management – Policy and Strategy; Risk Analysis; and Positive Risk Management which she would like covered as part of the training.

The Audit Manager (Carlisle City) advised that Internal Audit looked at the risk register and Carlisle had good procedures in place. She gained a lot of reassurance from that.

The Chairman noted that the Resources Overview and Scrutiny Panel also considered Corporate Risk Management and asked that an excerpt from the Panel Minutes be submitted to the Committee in future.

RESOLVED – (1) That the Audit Committee had considered and noted the content of Report SD.10/14 as evidence of the continuing commitment to and culture of sound governance arrangements for corporate risk management.

(2) That Officers, in conjunction with the Member Training Officer, give consideration to the provision of Risk Management Training, possibly via informal Council briefings / e-learning modules with a view to encouraging as many Members as possible to take advantage thereof.

AUC.33/14 CODE OF CORPORATE GOVERNANCE - ACTION PLAN

The Financial Services & HR Manager submitted report RD.04/13 updating Members on the Council's governance arrangements and its systems of internal control in line with CIPFA's Good Governance Framework.

The Financial Services & HR Manager explained that the Annual Governance Statement for 2012/13 had highlighted one area of weakness (related to contract monitoring) in the Council's governance arrangements, together with the progress made against that area

(Appendix A referred). During 2013/14 a review of Records Management had been undertaken by Audit Services and a significant weakness identified. That had been included within the Appendix along with action taken to progress the issue.

She added that there were no new significant issues which needed to be brought to Members' attention, nor were there any new areas of risk arising from the Audit Reviews or from the Risk Registers that needed to be drawn to Members' attention.

In conclusion, the Financial Services & HR Manager asked that the Committee note the Action Plan attached to the report, together with the current position relating to the issues identified.

The Chairman pointed to the target date for a number of the actions (March 2014), commenting that the Committee wished to be assured that the actions would be duly completed before receiving the report.

The Financial Services and HR Manager assured Members on that point.

The Chairman suggested that Records Management be retained on the Action Plan until the Committee had been updated on the position at their July 2014 meeting.

RESOLVED – That the Code of Corporate Governance Action Plan and the current position relating to the issues which had been identified be noted.

[The meeting ended at 12.12 pm]

Report to Council

Agenda
Item:

19

Meeting Date: 4 November 2014

Portfolio: Cross Cutting

Key Decision: Not Applicable

Within Policy and
Budget Framework Not Applicable

Public / Private Public

Title: OPERATION OF THE PROVISIONS RELATING TO CALL-IN
AND URGENCY

Report of: Director of Governance

Report Number: GD.51/14

Purpose / Summary:

To report on the operation of call-in and urgency since the previous report to Council on 9 September 2014.

Recommendations:

That the position be noted.

Tracking

Executive:	N/A
Overview and Scrutiny:	N/A
Council:	4 November 2014

1. BACKGROUND

This report has been prepared in accordance with Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 which prescribes that the intention to hold a meeting in private must be published at least 28 clear days prior to that meeting.

Where the date by which a meeting must be held makes compliance with the Regulation impracticable, the Chairman of the relevant Overview and Scrutiny Panel or the Chairman of the Council must agree that the meeting is urgent and cannot reasonably be deferred.

2. OPERATION OF THE PROVISIONS RELATING TO CALL IN AND URGENCY

The Chairman of the Environment and Economy Overview and Scrutiny Panel had called in for scrutiny Minute EX.93/14 concerning a Development at Rosehill (which decision was taken in private by the Executive on 18 August 2014). On 8 September 2014, the Panel decided to refer the matter back to the Executive for reconsideration. The Overview and Scrutiny Procedure Rules (within the Council's Constitution) require that the Executive reconsider any such reference back within 7 clear working days before adopting a final decision (i.e. at a special meeting held on 17 September 2014).

Since compliance with Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 was impracticable, the Chairman of the Environment and Economy Overview and Scrutiny Panel had agreed that the decision was urgent and could not reasonably be deferred, and that the matter could be dealt with by the Executive at their special meeting on 17 September 2014. A Notice setting out the reasons for urgency was also published in compliance with the Regulation.

3. CONCLUSION AND REASONS FOR RECOMMENDATIONS

3.1 That the position be noted.

Contact Officer: Morag Durham

Ext: 7036

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:

- **Carlisle City Council's Constitution**
- **The Local Authorities (Executive Arrangements)(Meetings and Access to Information)(England) Regulations 2012**

CORPORATE IMPLICATIONS/RISKS:

Chief Executive's – N/A

Community Engagement – N/A

Economic Development – N/A

Governance – Report is by the Director of Governance and legal comments are included.

Local Environment – N/A

Resources - N/A

