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# RESOURCES OVERVIEW AND SCRUTINY PANEL

## *Panel Report*

**Public**

**Date of Meeting:** 25<sup>th</sup> August 2009

**Title:** Overview Report and Work Programme

**Report of:** Acting Scrutiny Manager

**Report reference:** OS 15/09

### **Summary:**

This report provides an overview of matters related to the Resources O&S Panel's work. It also includes the latest version of the work programme and details of Forward Plan items relevant to this Panel.

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### **Recommendations:**

Members are asked to:

- To note the Panel's work programme (Appendix 1).
- To agree the Development Session notes and amendments to Work Programme.
- Agree issues where the Panel would like to be further involved and, if appropriate, nominate Members for Task and Finish Work.
- To not future arrangements for the Scrutiny Chairs Group and process for approval of Scrutiny Annual Report.

**Contact Officer:** Nicola Edwards

**Ext:** 7122

## **1. Forward Plan of Key Decisions of the Executive**

- 1.1. The Forward Plan of the Executive, covering the period 1 August to 30 November 2009 was published on 17<sup>th</sup> July 2009.
- 1.2. The issues which fall within the remit of this Panel are as follows and full details are set out in Appendix 2:
  - (a) Medium Term Financial Plan (including Corporate Charging Policy) and the Capital Strategy 2010/11 to 2014/15.
  - (b) Asset Management Plan 2009/14
  - (c) Revenues and benefits Shared Services Business Case

Items (a)(b) and (c) are to be considered elsewhere in the agenda.

## **2. Resources O&S Panel Development Session**

- 2.1. It was agreed at the meeting of the Panel held on 9<sup>th</sup> June 2009 that a Development Session would be arranged for Members to develop the Panel's Work Programme and map out ideas for subject review work over the next 12 months. The session was arranged for 15<sup>th</sup> July 2009 and notes of the session are attached at Appendix 3.
- 2.2. Panel Members are requested to:
  - (a) Approve notes of Development Session and relevant amendments to the 2009/10 Work Programme.
  - (b) Agree issues where the Panel would like to be further involved (listed under 3. *Topics for Review* in Appendix 2), and, if appropriate, nominate Members for Task and Finish Work.

## **3. Scrutiny Chairs Group and process for approval of Scrutiny Annual Report**

- 3.1. Following consideration of the above items at all Scrutiny Panels during the last cycle (considered by Resources O&S Panel 16<sup>th</sup> July 2009) it was subsequently agreed at a meeting of the Scrutiny Chairs on 28<sup>th</sup> July 2009:
  - That the Scrutiny Chairs Group be made up of the Chairman and Vice Chairman of the three Overview and Scrutiny Panels;
  - That minutes would be taken for all meetings of the Scrutiny Chairs Group;

- That a brief Terms of Reference would be produced for the Scrutiny Chairs Group based on the content of the report already circulated to the three Overview and Scrutiny Panels;
- That the Scrutiny Chairs Group would meet as and when required and could be called by any Member of the Group.
- That the proposed process for agreeing the Scrutiny Annual Report be agreed with the Report being formally considered by each of the three subject based Overview and Scrutiny Panels.

Notes of the above meeting of the Scrutiny Chairs have been circulated to all Scrutiny Members.

# RESOURCES OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2009/10

Issue	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Forward Plan Item/Referred from Executive	Policy	Review/Development Scrutiny of Partnership/ External Agency	Budget	Monitoring		9 Jun 09	16 Jul 09	25 Aug 09	15 Oct 09	10 Dec 09	7 Jan 10	18 Feb 10	1 Apr 10
Current Meeting – 25 <sup>th</sup> August 2009															
Capital Strategy 2009/10–2001/12					✓	✓	Monitoring of predictions, level of reserves and future trends			✓					
Asset Management Plan 2008–2013					✓	✓				✓					
Medium Term Financial Plan & Corporate Charging Policy					✓					✓					
Budget Monitoring 09/10					✓	✓	Monitoring of budget expenditure.			✓		✓		✓	
Lease Cars			✓				To consider the report of the Task and Finish Scrutiny Review. TG Members – Allinson/Clarke/Glover			✓					
Performance Monitoring Reports	✓					✓	Quarterly Monitoring of PI's.		✓	✓		✓		✓	

Last Revised: 13/08/2009

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Revenues and Benefits Shared Services			✓			✓	To consider Business Case including enhanced ICT software & operating systems.			✓						
FUTURE MEETINGS																
Property Portfolio Options		✓	✓				Workshop held 18/8/09				✓					
Sickness Absence	✓						Update on sickness absence statistics and management action		✓		✓		✓		✓	
Corporate Risk Register	✓					✓	Routine quarterly monitoring		✓		✓		✓		✓	
Transformation Programme of Carlisle City Council			✓				To scrutinise the suggested priorities	✓	Special meeting 6/7/09							

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	Performance Management	Forward Plan Item/Referred from Executive	Policy Review/Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		9 Jun 09	16 Jul 09	25 Aug 09	15 Oct 09	10 Dec 09	7 Jan 10	18 Feb 10	1 Apr 10	
Shared ICT Services			✓			✓	Monitor the shared service between Allerdale BC and Carlisle CC	✓				✓				
Pay & Workforce Strategy			✓			✓	Currently subject to consultation period	✓								
Corporate Projects Board	✓					✓	Bi-annual report detailing Corporate Projects				✓				✓	
Carlisle Renaissance				✓		✓	To scrutinise the Action Plan for Carlisle Renaissance on a 6 monthly basis		Special Meeting held 6/8/09				Special Meeting due Jan 2010			
Caldew Riverside Development							To consider draft Heads of Terms for land transactions									

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Customer Service Review	✓		✓				To inform Members of remits of review and update of progress								
Employee Opinion Survey & Improvement Plan						✓	Annual Report						✓		
Use of Resources					✓		Progress of UOR Assessment submitted to Audit Commission						✓		
Treasury Management					✓		Annual Report	✓							
Scrutiny Annual Report							Draft report for comment before Chairs Group							✓	
Completed Items															
Member Training Annual Report	✓					✓	Routine Annual Monitoring		✓						
Corporate Complaints Annual Report	✓					✓	Routine Annual Monitoring		✓						

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	Performance Management	Forward Plan Item/Referred from Executive	Policy Review/Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		9 Jun 09	16 Jul 09	25 Aug 09	15 Oct 09	10 Dec 09	7 Jan 10	18 Feb 10	1 Apr 10	
Scrutiny Arrangements: Chairs Group and agreeing the Scrutiny Annual Report							A report providing options for amending the Scrutiny Chairs Group and the process to agree the annual report		✓							
Provisional Outturn 08/09					✓	✓	Monitoring & examination of variation.	✓								

## INFORMATION ONLY ITEMS

Details	Date Circulated



**FORWARD PLAN**  
**Index of Active Executive Key Decisions relevant to:**  
**Resources Overview and Scrutiny Panel**

<b>Key Decision Ref Nos:</b>	<b>Subject:</b>	<b>Date of Executive Meeting</b>
KD.009/09	The Medium Term Financial Plan (including the Corporate Charging Policy) and the Capital Strategy 2010/11 to 2014/15 (EX.149/09 and EX.150/09 on 27 July 2009)	27 July 2009 and 1 September 2009
KD.030/09	Budget Process 2010/11	(a), (b), (c), (d), (e), (f) and (g) on 23 November 2009 (h) on 14 December 2009 (i), (j), (k), and (l) on 17 December 2009 (m), (n), (o) (p) and (q) on 18 January 2010
KD.034/09	Procurement of Advice on Asset Management	28 September 2009
KD.026/09	Revenues and Benefits Shared Services	1 September 2009
KD.015/09	Asset Management Plan 2009-14 (EX.151/09 on 27 July 2009)	27 July 2009 and 1 September 2009

**FORWARD PLAN**  
**Active Executive Key Decisions relevant to:**  
**Resources Overview and Scrutiny Panel**

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**Ref:** KD.009/09                      **Portfolio Area** Finance and Performance Management

**Subject** The Medium Term Financial Plan (including the Corporate Charging Policy) and the Capital Strategy 2010/11 to 2014/15 (EX.149/09 and EX.150/09 on 27 July 2009)

**Key Decisions:**

To consider the Council's Medium Term Financial Plan and Corporate Charging Policy, and the Council's Capital Strategy and make recommendations to Council on 15 September 2009

**Decision to be taken at Executive on:** 27 July 2009 and 1 September 2009

**Responsible or Lead Overview and Scrutiny Panel:**

Corporate Resources Overview and Scrutiny Committee

**Date when the matter will be available for consideration by Overview and Scrutiny Panel**

Policy and Budget Framework matter which will be considered on 25 August 2009 by Corporate Resources Overview and Scrutiny Committee

**Consultees:**                      Overview and Scrutiny

**Date for Consultees' comments:** August 2009

**Relevant reports/background papers which are available:**

Report CORP.36/09 - Draft Capital Strategy 2010/11 to 2014/15 (at Executive 27 July 2009)

Report CORP.35/09 - Draft Medium Term Financial Plan (Incorporating the Corporate Charging Policy) 2010/11 to 2014/15 (at Executive on 27 July 2009)

The Director of Corporate Services report will be available five working days before the meeting.

**Further Information From:**

Director of Corporate Services, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG

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**Subject** Budget Process 2010/11

**Key Decisions:**

To consider strategic financial issues arising from the budget setting process:

- (a) Budget Update - Revenue Estimates
- (b) Individual Charges Reviews (Community Services, Legal & Democratic Services, Development Services)
- (c) New Revenue Spending Proposals
- (d) New Savings Proposals
- (e) New Capital Spending Proposals and Provisional Capital Programme
- (f) Repair and Maintenance
- (g) Treasury Management and Prudential Borrowing Implications
- (h) Consideration of Overview and Scrutiny Consultation feedback
- (i) Draft Revenue Support Grant Settlement (if available)
- (j) Summary Overall Revenue and Capital Position
- (k) Draft Treasury Management and Investment Strategy including MRP Strategy
- (l) Executive Draft Budget Proposals for consultation
- (m) Final Revenue Support Grant and Final Revenue Budget Summary
- (n) Provisional Capital Programme
- (o) Treasury Management and Investment Strategy including MRP Strategy
- (p) Consideration of Final Budget Consultation
- (q) Executive's Final Budget Proposals

**Decision to be taken at Executive on:** (a), (b), (c), (d), (e), (f) and (g) on 23 November 2009  
(h) on 14 December 2009  
(i), (j), (k), and (l) on 17 December 2009  
(m), (n), (o) (p) and (q) on 18 January 2010

**Responsible or Lead Overview and Scrutiny Panel:**

Resources Overview & Scrutiny Panel for all budget issues except the detailed service estimates.

Community and Environment & Economy Overview and Scrutiny Panels for New Spending Proposals, Savings and Charges pertaining to their individual areas of responsibility

**Date when the matter will be available for consideration by Overview and Scrutiny Panel**

Policy and Budget Framework matter which may be considered as follows:

- (a), (b), (c), (d), (e), (f) and (g) - Community Overview & Scrutiny Panel on 1 December 2009, Environment and Economy Overview & Scrutiny Panel on 3 December 2009 and Resources Overview & Scrutiny Panel on 10 December 2009
- (i), (j) and (k) - Resources Overview & Scrutiny Panel on 7 January 2010

**Consultees:** Overview and Scrutiny Panels, Business Community, Trade Unions, Citizens and Staff

**Date for Consultees' comments:** Consultation period 17 December 2009 to 14 January 2010

**Relevant reports/background papers which are available:**

The Director of Corporate Service's report will be available five working days before the meeting.

**Further Information From:**

Head of Financial Services, Carlisle City Council, Civic Centre, Carlisle CA3 8QG

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**Ref:** KD.034/09                      **Portfolio Area** Cross Cutting

**Subject** Procurement of Advice on Asset Management

**Key Decisions:**

To determine the next steps in the development of the Council's land at Morton

**Decision to be taken at Executive on:** 28 September 2009

**Responsible or Lead Overview and Scrutiny Panel:**

Resources and/or Environment and Economy

**Date when the matter will be available for consideration by Overview and Scrutiny Panel**

**Consultees:**                      None

**Date for Consultees' comments:** N/A

**Relevant reports/background papers which are available:**

DS.59/09 Procurement of Advice on Asset Management reported to Executive on 27 July 2009

**Further Information From:**

Head of Economic and Community Development Services, Carlisle City Council, Civic Ce

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**Ref:** KD.026/09                      **Portfolio Area** Finance

**Subject** Revenues and Benefits Shared Services

**Key Decisions:**

Revenues and Benefits Shared Services Business Case including enhanced ICT software and operating systems

**Decision to be taken at Executive on:** 1 September 2009

**Responsible or Lead Overview and Scrutiny Panel:**

Resources Overview and Scrutiny Panel

**Date when the matter will be available for consideration by Overview and Scrutiny Panel**

Policy and Budget matter which will be considered on 25 August 2009 by Resources Overview and Scrutiny Panel

**Consultees:**                      Consultation with 2400 customers, staff, Unions and other stakeholders

**Date for Consultees' comments:** Will be included in the Business Case or covering report

**Relevant reports/background papers which are available:**

The Director of Corporate Service's report will be available five working days before the meeting.

**Further Information From:**

Head of Revenues and Benefits Services, Carlisle City Council, Civic Centre, Carlisle CA3

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**Ref:** KD.015/09

**Portfolio Area** Finance and Performance Management

**Subject** Asset Management Plan 2009-14 (EX.151/09 on 27 July 2009)

**Key Decisions:**

To decide on the Asset Management Plan for the forthcoming period in tandem with the Council's Medium Term Financial Strategy

**Decision to be taken at Executive on:** 27 July 2009 and 1 September 2009

**Responsible or Lead Overview and Scrutiny Panel:**

Corporate Resources Overview and Scrutiny Committee

**Date when the matter will be available for consideration by Overview and Scrutiny Panel**

Policy and Budget Framework matter which will be considered on 25 August 2009 by Corporate Resources Overview and Scrutiny Committee

**Consultees:** Service Users

**Date for Consultees' comments:** 18 August 2009

**Relevant reports/background papers which are available:**

Report DS.58/09 - Draft Asset Management Plan (at Executive 27 July 2009)

The Property Services Manager's report will be available five working days before the meeting.

**Further Information From:**

Property Services Manager, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG

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# Resources Overview and Scrutiny Development Session

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15<sup>th</sup> July 2009

Present:

Cllr T Allison

Cllr S Layden

Cll R Knapton

Cllr J Hendry

Cllr D Cape

Apologies:

Cllr M Boaden

Cllr J Geddes

Cllr A Glendinning

Members were informed that the purpose of the session was to:

- Review Work Programme
- Identify areas for Subject Review/Task and Finish work
- Identify Lead Members for topics
- Identify gaps in knowledge

Members started the session by having a general discussion on the workings of the Panel. Members were concerned about the length of agendas and length of formal panel meetings. In the Civic Year 2008/09 the Panel held 14 meetings, including 6 special meetings and spent nearly 31 hours in formal meetings considering a total of 59 substantive agenda items. The general consensus was that often on a long agenda the later agenda items, at times, do not get sufficient attention.

Members also agreed that they receive too many reports which they “note” and that items being scrutinised in the formal panel arena should be items where scrutiny can add value.

Task and Finish groups were discussed and generally Members felt that this was a positive way of working and enabled them to get really involved in a topic which could produce real outcomes. It was agreed that there should be more Task and Finish Groups over the next year.

Members also discussed the idea of having lead or specialist Member for topics, whereby a nominated Member would take the lead on an issue and outside of the formal panel meetings to build their knowledge and make sure that the Panel as a whole is better informed and more able to pursue proper scrutiny of the given area.

Members looked at the current monitoring items the Panel receive and agreed that the following would apply during the 2009/10 Civic Year.

Item	Frequency 2008/09	Keep on Agenda (if yes frequency)	Contain in Overview Report	Information Only	Lead Member
Performance Monitoring Report	Quarterly	✓ Quarterly			Cllr Boaden
Corporate Risk Register	Quarterly	✓ Annually			Cllr Layden
Budget Monitoring	Quarterly	✓ Quarterly			To be agreed following Budget Scrutiny T&F
Sickness Absence	Quarterly	✓ Quarterly			Cllr Cape Cllr Hendry
Corporate Projects Board	Bi-Annual	✓ Bi-Annual			
Member Training Annual Report	Annual	✗		✓	
Corporate Complaints Report	Annual		✓		
Outturn Reports	Annual	✓ Annual			
Employee Opinion Survey & Improvement Plan	Annual	✗		✓	
Treasury Management Annual Report	Annual	✓ Annual			
Use of Resources Assessment	Annual	✓ Annual			

### Session with Portfolio Members and Officers

Councillors Mitchelson and Earp attended the session along with Jason Gooding, Deputy Chief Executive, Angela Brown, Corporate Director (Corporate Services) and Steven O'Keefe, Policy and Performance Manager.

The objective of this session was to to inform Members of priorities, ongoing work and future developments of Policy over the next 12 months. Scrutiny Members would then be able to plan their work programme accordingly and may also identify areas of pre-policy work.

Steven O'Keefe gave Members a presentation on *Transforming the Policy Framework*. (Appendix 1). Members were informed that scrutiny could be involved in this work which would review and rationalise the current policy framework. Recommendations could then be made to the Executive on changes required to the framework.

Cllr Mitchelson informed Members that *Transformation* was the main area of work which the Panel had already had some involvement. The *Property Portfolio Options* was also an area which Scrutiny could be involved and it was suggested that a workshop be arranged so that Scrutiny could contribute to the report which is due to be submitted to the Executive in September.

Jason Gooding suggested that Scrutiny could be involved in the production of the new *Corporate Plan* and look at the priorities. This would enable Scrutiny to be more pro-active rather than re-active. The *Comprehensive Area Assessment (CAA)* was also an area where Scrutiny could have some involvement.

## Topics for Review

Members discussed the various options for potential topics for review and developed the following shortlist. It was agreed that this would be circulated to all Panel Members before a decision was made on areas which scrutiny would have involvement.

- Development of the Corporate Plan
- Tullie House (Community O&S have this on their Work Programme)
- Shared Services
- Policy Framework

The following areas were identified by Members within the Review of Scrutiny:

- Use of Consultants
- Corporate Projects Board
- Consultation with public and/or staff
- Media Communications
- Effectiveness of Partnerships
- Review of Council's Constitution
- Carlisle Renaissance
- Asset Management



Transforming the Policy Framework - Presentation  
Steven O'Keeffe  
Policy & Performance Manager

What is the policy framework?

The constitution 2009 states.....

Article 4 - The Full Council

4.01 Meanings

(a) Policy Framework. The policy framework means the following plans and strategies:-

.....List three pages long...

.....All other plans and strategies of the Council

Who's policy framework is it?

4.02 Functions of the full Council

- Only the Council will exercise the following functions:
- (a) adopting and changing the Constitution;
- (b) approving or adopting the policy framework, the budget and any application to the Secretary of State for the inclusion of disposals in a disposals programme and for
- consent to such disposals in respect of any Housing Land Transfer;

Role of Executive

- The executive is responsible for initiating and developing policy and taking decisions within the budget and policy framework in respect of all the functions of the local authority.....

Role monitoring officer

- (g) Advising whether executive decisions are within the budget and policy framework. The monitoring officer will advise whether decisions of the executive are in accordance with the budget and policy framework.

Role for O&S?

- 6.03 Specific functions

(a) Policy development and review. Overview and scrutiny committees may:

- (i) assist the Council and the executive in the development of its budget and policy framework by in-depth analysis of policy issues;

#### Role of members

- 21. Collectively, members are the ultimate policy-makers, determining the core values of the Council and approving the authority's policy framework, strategic plans and budget.

#### Role of Chief Officers and all other officers

- 1.2.2.1 The plans, strategies and policies forming the policy framework approved or adopted by the Council.

#### Article 4

- Over 200 'policies' added in the last three years.
- Not including over 50 personnel 'policies'.
- Listed in alphabetical order...with the catch all:  
"All other plans and strategies of the Council"

#### Reviewing the policy framework

- AIM

To review and rationalise the policy framework.

- OBJECTIVES

To identify the gaps in our framework and develop policy to fill these gaps.

To differentiate between policy, strategy, plans and guidance.

#### How ?

- Policy & Performance Team & Overview & Scrutiny Team as the engine room.
- Senior Management Team providing expertise.
- Monitoring Officer providing assurance.
- Overview & Scrutiny providing the recommendations to Executive.
- Executive considering the changes and making recommendations to the Full Council.
- Full Council agreeing the changes. (May 2010)
- New Constitution 2010 with a new article 4.