

AGENDA

Resources Overview and Scrutiny Panel

Thursday, 03 April 2014 AT 10:00
In the Flensburg Room, Civic Centre, Carlisle, CA3 8QG

****Briefing meeting for Members will be at 9.15 am in the
Flensburg Room****

Apologies for Absence

To receive apologies for absence and notification of substitutions.

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.

Public and Press

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

Minutes of Previous Meeting

5 - 12

To note the minutes of the meeting held on 20 February 2014.
(Copy Minute herewith)

PART A

To be considered when the Public and Press are present

A.1 CALL-IN OF DECISIONS

To consider any matter which has been the subject of call-in.

A.2 OVERVIEW REPORT AND WORK PROGRAMME

13 - 28

To consider a report providing an overview of matters related to the work of the Resources Overview and Scrutiny Panel, together with the latest version of the Work Programme and details of the Key Decisions items relevant to this Panel as set out in the Notice of Executive Key Decisions.

(Copy Report OS.09/14 herewith)

A.3 CORPORATE RISK MANAGEMENT

29 - 38

(Finance, Governance and Resources)

The Deputy Chief Executive to submit to provide a quarterly monitoring report on the risk management arrangements.

(Copy Report SD.08/14 herewith)

A.4 TRANSFORMATION BOARD

39 - 44

(Finance, Governance and Resources)

The Deputy Chief Executive to submit a monitoring report on the activities of the Transformation Board.

(Copy Report SD.09/14 herewith)

(Finance, Governance and Resources)

The Organisational Development Manager to submit a report on the outcome of the Employee Opinion Survey.
(Copy Report CE.05/14 herewith)

PART B

To be considered when the Public and Press are excluded from the meeting

- NIL -

Members of the Resources Overview and Scrutiny Panel

Conservative – Bowman S, Layden, Mallinson J,
Bainbridge(sub), Mrs Parsons (sub), Mrs Prest (sub)

Labour – Mrs Atkinson, Dodd, McDevitt, Watson (Chairman),
Forrester (sub), Ms Patrick (sub), Miss Sherriff (sub)

Liberal Democrat - Allison (Vice Chairman), Mrs Luckley(sub)

**Enquiries, requests for reports, background papers, etc to Lead
Committee Clerk: Rachel Rooney – 817039**

Minutes of Previous Meeting

RESOURCES OVERVIEW AND SCRUTINY PANEL

THURSDAY 20 FEBRUARY 2014 AT 10.00AM

PRESENT: Councillor Watson (Chairman), Councillors Allison, Mrs Atkinson, Bowman S, Dodd, Layden, J Mallinson and McDevitt (from 10.10).

ALSO PRESENT Councillor Dr Tickner – Finance, Governance and Resources Portfolio Holder
Councillor Mrs Luckley – Observer
Councillor Whalen – Observer

OFFICERS Town Clerk and Chief Executive
Director of Resources
Organisational Development Manager
Overview and Scrutiny Officer
Performance and Policy Officer

ROSP.07/14 APOLOGIES FOR ABSENCE

There were no apologies for absence submitted.

ROSP.08/14 DECLARATIONS OF INTEREST

There were not declarations of interest submitted in relation to the business to be transacted at the meeting.

ROSP.09/14 CALL-IN OF DECISIONS

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

ROSP.10/14 MINUTES OF PREVIOUS MEETING

In response to a query from a Member the Director of Resources advised that the voluntary redundancy initiative and the savings in 2015 would realise the required £1million saving in the staffing budget. The voluntary redundancy initiative was currently going through the appeal process and had saved £150,000. The Director explained that the Executive had given clear direction that compulsory redundancies would be minimal if at all.

The Finance, Governance and Resources Portfolio Holder explained that with regard to voluntary redundancies Managers would be looking at how the organisation would work in the future.

RESOLVED – That the minutes of the meeting held on 6 January 2014 be noted.

ROSP.11/14 OVERVIEW REPORT AND WORK PROGRAMME

The Scrutiny Officer presented report OS.05/14 which provided an overview of matters that related to the work of the Resources Overview and Scrutiny Panel.

The Scrutiny Officer reported that the Notice of Key Executive Decisions had been published on 7 February 2014. There were no items which fell within the remit of the Panel.

The Scrutiny Officer drew the Panel's attention to the following Minute Excerpts:

- EX.01/14 – Budget 2014/15, and
- EX.06/14 – Executive Response for the Budget Consultation and Recommendations for the 2014/15 Budget.

A meeting of the Scrutiny Chairs Group was held on 6 February 2014. The Overview and Scrutiny Officer advised that notes of the meeting had been circulated and highlighted the key points from the meeting. Some clashes with meetings of the County Council had been identified and would be discussed at the first meeting of the Panels in the new municipal year to determine whether any meetings dates needed to be amended. The Group had also looked at the structure of the Panels but had agreed, after consultation with their groups that the current structure would remain. The Deputy Chief Executive had suggested that the Senior Management Team could provide more support to the Panels in the development of the Work Programme which would be considered at the first meeting of the new municipal year.

The Annual Scrutiny Report 2013/14 would be submitted to each of the Panels in March and April before going back to the Scrutiny Chairs Group for approval. The final report would then be submitted to Council on 29 April 2014. The Overview and Scrutiny Officer requested any issues to be included in the Report to be forwarded to her as soon as possible.

The Scrutiny Officer drew Members attention to the Work Programme and advised that the Financial Services and HR Manager had requested that the item on Significant Partnerships could be deferred to June to allow for a full year end report to be submitted.

RESOLVED – 1) That the Overview Report incorporating the Work Programme and Key Decision items relevant to this Panel (OS.05/14) be noted.

2) That the decisions of the Executive (EX. 01/14 and EX.06/14) be received.

3) That the item on Significant Partnerships be deferred on the Work Programme until June to allow for a full year end report to be provided.

**ROSP.12/14 2013/14 SICKNESS ABSENCE REPORT APRIL TO DECEMBER
2013**

The Chief Executive presented Report CE.03/14 which set out the authority's sickness absence levels for the period April 2013 to December 2013, 2013/14 benchmarking and other sickness related information. He explained that there had been an 18% reduction in absenteeism in 2012/13 compared to the previous year, which had been attributed to less stress related absences, revised attendance management policies and the introduction of a wider employee assistance programme.

Referring to the report the Chief Executive advised that in the same period as last year sickness levels had again reduced, by 4% and for the rolling twelve months to the end of December 2013 97.4% of return to work interviews were completed. That was an increase on the previous two years' figures.

North West Employers produced a benchmark summary of the region's local authorities' sickness absence statistics at the midpoint of the financial year. For the first six months of 2013/14 Carlisle were fifth out of thirteen district council; the authority had previously been placed fourteenth out of eighteen in 2012/13 and worst performing in 2011/12.

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

- *Members were pleased with the figures indicated within the report.*
- *A Member was concerned that the report did not address the long term sickness figures.*

The Chief Executive stated that the Council had been tackling short term sickness and the results of that were reflected in the report. The return to work interviews picked up any incidences of repeated short absences. Due to the improvement in short term absences it indicated a higher proportion of long term sickness but in fact there were very few in terms of numbers. The Chief Executive explained that he met with line managers of people on long term sick leave to check that they were doing all they could to support that member of staff and was satisfied with the support being provided.

- *The report indicated a figure over an eight month period. Calculating that to twelve months would give a figure of 10.8 days per employee.*

The Chief Executive explained that when the figures were calculated seasonal issues were taken into account. It was expected that there would be more sickness during the winter months and that had been included within the calculation.

- *A Member was concerned at the level of sickness due to stress and depression and queried whether that was due to the current circumstances.*

The Chief Executive was of the view that those levels were not due to the consequences of changes within the authority due to required savings and there had been a relative decrease in the last couple of years.

A stress audit would be undertaken shortly but overall numbers of absences due to stress had fallen.

The Chief Executive acknowledged that for those members of staff who had applied for voluntary redundancy it had been a stressful period waiting for the decision on their application but he stressed that he was trying to ensure that managers were communicating plainly and consistently on the situation and that if any issues were treated as confidential he was happy to explain the reason why. There were a number of issues in the next few years that would be outside the Council's control but how the Council dealt with those issues was within the Council's control.

- *One of the reasons for absence is "Other and no reason given". Can that option be removed as staff should provide a reason if they are unable to come into work.*

The Chief Executive explained that it may be the case that it was to cover a number of alternative reasons and the Director of Resources advised that the categories were national categories and not produced by the Council. The Chief Executive confirmed that he would discuss the matter with colleagues in the Policy unit and report back to Members.

RESOLVED: 1) That Report CE.03/14 – 2013/14 Sickness Absence Report – April to December 2013 – be noted.

2) that an explanation of the categories of sickness be reported by the Chief Executive to the Members of the Panel.

ROSP.13/14 PERFORMANCE MONITORING REPORTS

(a) QUARTER THREE PERFORMANCE REPORT 2013/14

The Policy and Performance Officer presented report PC.02/14 that updated the Panel on the Council's service standards that helped measure performance and customer satisfaction, and included updates on key actions contained within the Carlisle Plan.

Details of each service standard were included in a table appended to the report. The table illustrated the cumulative year to date figure, a month-by-month breakdown of performance and, where possible, an actual service standard baseline that had been established either locally or nationally. The updates against actions in the Carlisle Plan followed on from the service standard information which was attached to the report as Appendix 2.

With regard to Service Standards relevant to the Panel the Policy and Performance Officer explained that the average number of days to process new benefit claims had improved since the end of last year and the Council was now in the second quartile compared to other authorities.

The Director of Resources explained that Officers were monitoring the situation as the final quarter would be busy with the distribution of Council Tax bills etc and that historically time taken to process new claims had increased in the fourth quarter.

The Policy and Performance Officer advised that the other service standards were on target and that the priorities of the Carlisle Plan were being successfully delivered. A more detailed overview of the progress made in the delivery of the Carlisle Plan would be included in the end of year report due at the Panel in the summer.

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

- *Does the Council obtain a set price for waste or does it look around for the best prices available?*

The Director of Resources advised that the Council were tied into a long term contract for waste disposal.

- *A Member requested that the proposed Art Centre be included in the Work Programme for this Panel and the Community Overview and Scrutiny Panel and queried whether the Council was committed to producing a full business case. The Member had attended two recent events at the Arts Centre which were very poorly attended.*

The Finance, Governance and Resources Portfolio Holder explained that any project had to go through a process and that a business case would be developed further through the process. Plans had to be developed and an accurate cost of work calculated before a business case could be produced. The Executive were convinced that the Arts Centre would be successful and that it was what people wanted. Evidence showed that there was a great deal of interest and as part of the strategy moving forward Officers would monitor the levels of support.

The Chief Executive explained that a lot of information was needed before a business case was developed and when a final decision had been made and a business plan produced it would be presented to Members. The Chief Executive believed that members of the public would attend specific events rather than visit on a day to day basis. Any decision to proceed would be discussed at a meeting of the full Council and Scrutiny Panels.

- *A Member did not believe that it was the right time to prioritise the Arts Centre but wished it success if it went ahead.*
- *A Member was concerned that he did not know about the ice rink until he read about it in the newspaper. The Member queried whether the decision had been made by all Members or by the Executive?*

The Director of Resources explained that because the cost to the Council was less than £70,000 the decision could be made by the Executive but had been made available to Members through the regular monitoring reports.

The Finance, Governance and Resources Portfolio Holder explained that the Executive had considered the business case and that it had proved to be cost effective. The rink could be moved to other sites to be incorporated into special events around the city.

RESOLVED: That Report PC.02/14 – Quarter Three Performance Report 2013/14 – be noted.

(b) ORGANISATIONAL DEVELOPMENT PLAN

The Organisational Development Manager presented Report CE.04/14 which updated Members of progress against the Organisational Development Plan 2013-15. The Plan set out key objectives, outcomes for employees, key actions and measures of success for organisational development issues and built on the work done in the Plan in 2011-13.

The Organisational Development Manager explained that the Plan reflected the vision and priorities of the Carlisle Plan and referenced other organisational initiatives including organisational culture, partnership working, a skilled workforce and health and wellbeing. She highlighted a number of successful issues including workshops, partnership working in relation to a Coaching Academy for Cumbria, the health and wellbeing workshops and the Salary Sacrifice Car and Computer Schemes.

The Organisational Development Manager advised that there would be a National Apprentice Week at the beginning of March and a bid to take on four apprentices had been included in the 2014/15 budget. She was working with the Chief Executive and the Deputy Chief Executive on finding providers.

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

- *Apprentices could be used in areas where most needed. Would four be sufficient?*

The Organisational Development Manager believed that four was the right number to start with and of the four apprentices employed by the Council in the last 2½ years three were now employed by the Council.

The Chief Executive explained that a pot of money had been identified for apprentices and managers were required to bid and explain how they could fit into their service. He further explained that the type of management required would change over the period of the apprenticeship and he wanted to see how managers could use the apprentices for their own development.

The Finance, Governance and Resources Portfolio Holder stated that if a post had been made redundant it would not be replaced by a person on the apprenticeship scheme.

- *With regard to appraisal would they be team appraisals or individual appraisals?*

The Organisational Development Manager explained that both types of appraisals would be undertaken and employees could request an individual appraisal.

- *A Member welcomed the Health and Wellbeing initiative but queried the take-up of the e-learning modules.*

The Organisational Development Manager explained that the e-learning modules had been set up approximately two years ago and included a wide range of topics. Whilst some members of were quite enthusiastic others were not. Therefore it had been decided to include information on e-learning in the new starter induction training with one to one sessions explaining the system. Since that introduction a number of staff were now using the modules and more existing members of staff were using the system since raising the profile.

- *How did the salary sacrifice car scheme work?*

The Organisational Development Manager explained that the scheme was a new employee benefit that had been developed following work with Capita. Providers had been shortlisted and it was anticipated that the successful provider would be named shortly. The Organisational Development Manager explained how the scheme would work and outlined the benefits to employees and the Council.

The Finance, Governance and Resources Portfolio Holder believed it to be an exciting initiative and advised that safeguards were in place should an employee leave the Council's service.

RESOLVED: That Report CE.04/14 – Organisational Development Plan – be noted.

**ROSP.14/14 REVENUE BUDGET OVERVIEW AND MONITORING REPORT –
APRIL TO DECEMBER 2013**

The Director of Resources submitted the Revenue Budget Overview and Monitoring Report for April to December 2013 (RD.83/13) which had been considered by the Executive at their meeting on 10 February 2014. He outlined the overall budgetary position and the monitoring and control of expenditure against budget allocations, together with the exercise of virement. He further provided an explanation of balance sheet management issues; a number of high risk budgets; external factors (including the general effect of the economic climate on the Council's income streams; fuel prices, energy costs and other inflationary issues; and the effects of the housing market and property prices, especially with regard to income from land charges, rents and building and development control); Section 106 Commuted Sums and action taken to write off bad debts. The Council's overall position would be closely monitored as the year progressed.

The Director highlighted that of the £424,796 in Business Rates write-offs, £213,196.07 were in respect of The Public Safety Charitable Trust (PSCT). The PCST engaged in taking leases on empty properties to relieve the liability on the landlords. This was known as Empty Rate avoidance. They were charged a nominal rent of £1.00. Such action was deemed illegal by the High Court resulting in the significant write off. Nationally 150 Councils wrote off £15.3million.

The Director reported on a number of key issues together with their budgetary implications, including the corporate Salary Turnover Savings Budget; the Savings Strategy (which would focus on three areas to deliver savings, including the Asset Review, Service Delivery Models and, as part of the transformation programme, a review of those services that were neither core priorities nor statutory requirements). Details of the main variances in the Directorates' budgets were also set out in the report.

Members' attention was, in particular, drawn to the fact that additional savings were required in order to bring reserves up to minimum levels, and the requirement for 2014/15 had been identified on a non-recurring basis from the first call on 2013/14 underspends, first call on any business rate growth in 2013/14 and first call on the 2014/15 allocation of New Homes Bonus and the Executive had been asked to recommend to Council the funding of the £1m non-recurring savings as detailed at Section 4.3 of the report.

The Director advised that the main area of concern was around car parking although there had been a slight improvement since the second quarter of the year.

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

- *Income from car parking had always been an issue. Would the County Council intention to introduce on-street parking help the City Council income? The County Council would be a major competitor for parking in the City.*

The Director stated that it would have a positive impact in the medium term but the initiative was being phased in by the County Council and was subject to detailed consultation.

- *How reliant was the Council on money from the transformation programme? The issues raised in the report reflect the general decline of City Centres.*

The Director advised that the Council could only mitigate for any changes and carry out risk assessments where necessary.

The Finance, Governance and Resources Portfolio Holder stated that recovery and growth was slow but the Council would do all it could to mitigate the issues.

RESOLVED: 1) That Report RD.83/13 – Revenue Budget Overview and Monitoring Report: April to December 2013 – be noted.

ROSP.15/14 CAPITAL BUDGET OVERVIEW AND MONITORING REPORT – APRIL TO DECEMBER 2013

The Director of Resources submitted report RD.82/13, which had been considered by the Executive at their meeting on 10 February 2014, and provided an overview of the budgetary position of the City Council's capital programme for the period April to December 2013. He outlined for Members the overall budget position of the various Directorates and the financing of the 2013/14 Capital Programme, details of which were set out in the report.

The Director stated that a review of the 2013/14 capital programme had been undertaken to identify accurate project profiles. To date, £785,000 had been identified as needing profiled into future years. £710,000 of those had been put forward to Council for approval as part of the 2014/15 budget process and the Executive was asked to recommend to Council a further £75,000 to be carried forward in relation to Public Realm Improvement Works.

He further commented upon performance against the 2013/14 programme, informing Members that the Senior Management Team would provide a strategic overview and monitor the effectiveness of the overall programme of work in delivering the Council's priorities and objectives. Technical project support and quality assurance of business cases and associated project management activities would be managed by a Corporate Programme Board chaired by the Chief Executive. Decisions to proceed or otherwise with proposed projects would be made in the usual way in accordance with the Council's decision making framework.

In summary, the Director stated that a review of all capital expenditure incurred was ongoing to ensure that the expenditure had been correctly allocated between revenue and capital schemes. That work would facilitate the year end classification of assets.

RESOLVED: 1) That Report RD.82/13 – Capital Budget Overview and Monitoring Report: April to December 2013 – be noted.

(The meeting ended at 11.20am)

Resources Overview and Scrutiny Panel

Agenda
Item:

A.2

Meeting Date: 3rd April 2014
 Portfolio: Cross Cutting
 Key Decision: No
 Within Policy and
 Budget Framework
 Public / Private Public

Title: OVERVIEW REPORT AND WORK PROGRAMME
 Report of: Overview and Scrutiny Officer
 Report Number: OS 09/14

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.

Recommendations:

Members are asked to:

- Decide whether the items on the Notice of Key Executive Decisions should be included in the Panel's Work Programme for consideration.
- Give comment on the draft Overview and Scrutiny Annual Report 2013/14
- Note and/or amend the Panel's work programme

Tracking

Executive:	Not applicable
Overview and Scrutiny:	3rd April 2014
Council:	29th April 2014 O&S Annual Report only

1. Notice of Key Executive Decisions

The most recent Notice of Key Executive Decisions was published on 7th March 2014. The following issues fall into the remit of this Panel and are attached at **Appendix 1**.

KD.06/14 Asset Review Business Plan – Refresh of Disposal Programme – the report was scheduled to be considered by the Executive on 7th April 2014. The matter will be the subject of further review and, as such, is not ready for publication. It is therefore deferred.

KD.07/14 2013/14 Provisional Outturn Reports – The outturn reports are scheduled to be considered by the Executive on 23rd June 2014. The reports will be on the agenda of this Panel on 26th June 2014.

2. References from the Executive

There are no references from the Executive following their meeting on 10th March 2014:

3. Scrutiny Annual Report

The Scrutiny Annual Report has been drafted and is attached at **Appendix 2**. Panel Members are asked to comment on the draft which is being considered by all three O&S Panels. The report will then be formally approved by the Scrutiny Chairs Group at their meeting on 17th April 2014.

4. Work Programme

The Panel's current work programme is attached at **Appendix 3** for comment/amendment.

Contact Officer:	Nicola Edwards	Ext: 7122
Appendices attached to report:	1. Notice of Key Decisions	
	2. Overview & Scrutiny Annual Report 2013/14	
	3. Community O&S Work Programme 2013/14	

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

Items relevant to the Resources Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

Key Decision Reference:	KD.06/14
Decision Title:	Asset Review Business Plan - Refresh of Disposal Programme
Decision to be taken:	The Executive will be asked to re consider and approve changes to the Disposal Programme following referral from Council on 7 January 2014 (C.18/14(i)).
Date Decision to be considered:	7 April 2014 consultation period to include Overview and Scrutiny as appropriate
Date Decision to be taken:	23 June 2014
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Director of Governance will be available five working days before the meeting
Contact Officer for this Decision:	Director of Governance, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Finance, Governance and Resources (Councillor Dr Tickner)
Relevant or Lead Overview and Scrutiny Panel:	Resources Overview and Scrutiny Panel

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker.

These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Resources Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

Key Decision Reference:	KD.07/14
Decision Title:	2013/14 Provisional Outturn Reports
Decision to be taken:	The Executive will be asked to consider and approve the 2013/14 Provisional Outturn reports and make recommendations on any carry forward requests to Council on 15 July 2014. <ul style="list-style-type: none"> - Provisional Revenue Outturn - Provisional Capital Outturn - Elected Members Allowances - Provisional Outturn - Council Tax and National Non-Domestic Rates - Provisional Outturn - Treasury Management Provisional Outturn
Date Decision to be considered:	
Date Decision to be taken:	23 June 2014
Is the Decision Public or Private?:	The decision will be taken in public,
Documents submitted for consideration in relation to the Decision:	The report of the Director of Resources will be available five working days before the meeting
Contact Officer for this Decision:	Director of Resources, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Finance, Governance and Resources (Councillor Dr Tickner)
Relevant or Lead Overview and Scrutiny Panel:	Resources Overview and Scrutiny Panel

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Draft Scrutiny Annual Report 2013/14

Introduction

Scrutiny is considered to be the main balance to the power of the Executive and involves many of the Councillors who are not on the Executive. Individual Councillors are selected by their political parties to sit on the scrutiny panels.

The key roles of scrutiny are:

- ensuring that the Council and the Executive is accountable. This means questioning members of the Executive and senior officers about decisions that have been made or are about to be made. It also involves looking at how well the Council is doing against its policy objectives and targets for achievement.
- reviewing and developing policies. In this role, scrutiny can help the Council to develop its policy and budgetary framework. This might involve research and consultation with the community and other agencies on policy issues, good practice and looking at alternative ways of doing things.
- ensuring the continuous improvement of Council services. Scrutiny can make suggestions to the Executive for service reviews. Members of scrutiny panels are often involved in individual reviews where a particular service or function of the Council is thoroughly examined.

In Carlisle, scrutiny operates through three panels - Community Overview and Scrutiny Panel, Resources Overview and Scrutiny and Environment and Economy Overview and Scrutiny. The Scrutiny Chairs Group (Chairs and Vice Chairs of the three Scrutiny Panels) meets on an ad hoc basis to deal with any overarching scrutiny issues.

There are eight non-Executive members on each panel and each panel is politically balanced (ie the proportions of each political party on the panel are the same as on the Council as a whole).

This annual report provides an overview of the work of the scrutiny function during the 2013/14 civic year. The first part of the report provides brief details of the work of the individual panels and gives details of examples of Task Group work. The second part of the report considers current scrutiny practices and issues this year and looks to the future, considering areas where further development could be considered.

Does Cllr Whalen want to add anything here as lead Member of Scrutiny Chairs Group?

Contribution by Leader of the Council

Part 1: Work of the Individual Panels

The sections below give a personal commentary from the Chairs of the Panels on their view of their particular Panel's work over the last year.

Community Panel

Personal View from Cllr Olwyn Luckley, Chair of Community O&S Panel

In the Annual Scrutiny Report for 2012/13 the late Councillor Hendry confirmed his support for the Overview and Scrutiny Panels, describing them as a helpful vehicle in taking forward better local government for the city and its future. I agree with this judgment and consider the work carried out by this Panel through the latest municipal year has been a good demonstration of how this can be achieved.

The Panel has held nine meetings and commissioned work for two Task and Finish Groups.

During 2012/13 a Task and Finish Group examined the relationship between the Community Centres and the Council due to misgivings about it by members and made several recommendations. During 2013/14 the group carried out an examination into the current position and concluded that the relationship had considerably improved after their recommendations had been acted upon. A satisfactory outcome.

A Task and Finish Group was arranged to examine and review the Customer Access Strategy. An interview with the Customer Services Manager and the Director where the strategy and the timetable by which the changes would be made were outlined, was followed by each Member spending time in the Customer Contact Centre experiencing for themselves the service provided. Their conclusions were that the Strategy is proving successful and the changes are improving the service.

A second Task and Finish Group examined the measures taken by other agencies to combat Hate Crime plus the Council's policies and training towards awareness and elimination of such unacceptable behaviour. The Group presented their draft report to the Panel in March before being submitted to the Executive. I know in advance of that submission that a thorough investigation has taken place.

The Panel held two Call In sessions this year. The first subject was Representatives on Outside Bodies. The meeting was a useful examination of the subject and the Panel discussed the experience needed, the importance of regular attendance and the appropriate knowledge and interest of the nominees. As a result the Executive did consider the comments and observations of the Panel and what is a little aired but important subject was highlighted and examined.

The second Call In was concerns over the doubling of capital costs for the proposed Arts Centre Development. There was a rigorous discussion which Scrutiny can produce and ended with a decision not to refer the matter back to the Executive, but with an assurance from the Portfolio Holder that there would be further opportunities for the Panel to scrutinise the project as it develops.

Principle amongst the subjects for the Panel this year was the Council's policies and strategies for Sport, Play, Arts and Housing.

With regard to sport, in July the Panel scrutinised the key finding of the Sports Facilities Needs Assessment. The key findings of the Consultant's report were that there is a need for redevelopment and new provision in various areas of sport supported by the City Council. We later received the Sports and Physical Activity Strategy plus the Sports Facilities Strategy. Both were ambitious and approved.

Carlisle is an area where sport has been a major pastime for many and its contribution to improving health and wellbeing is important. There is a worrying increase in obesity and in some of the more deprived wards figures for illness such as cancer and respiratory problems are above the national average. A successful sports programme of activities and provision will contribute to address the area's health problems. However the sports strategies require large amounts of external funding and the Panel will wish to receive further reports to monitor progress on this aspect.

A report on Carlisle's Play Provision informed the Panel on the condition of the Council's Play Areas and the proposed plans for them. The concern of the Panel was particularly the lack of capital budget to sustain or introduce play equipment. The Panel passed on this concern to the Executive with a recommendation that a capital budget should be found for this work. However, our recommendation was not taken up. The Panel, nevertheless I'm sure will take an ongoing interest in the Play Provision, recognising its importance.

The Panel were very pleased with the annual report from the Tullie House Trust. Their activities have increased and their cooperation with national and international museums is bringing exciting exhibitions and exhibits to Carlisle. The challenge for the Trust is the reduction in funding from the Council proposed in the 2015/16 financial year. Members of the Panel were concerned the effect of the removal of £250,000 from the annual grant will have on the Museum work as the importance and quality of the activities it provides is a unique cultural contribution to the city and its visitors.

Housing and Homelessness is a core subject every year for the Panel and in 2013/14 Members examined reports on the schemes and groups in which the Council and its various partners lend support to local people in the area of housing needs. Too many to list in the annual report.

The Panel receives two reports each year on the Council's partnership with Riverside Cumbria which is an opportunity to gain a true picture of housing provision and requirements within the Social Housing sector and how these are addressed. The Panel has examined Welfare Reform and how both organisations have addressed the challenges and how each were mitigating the consequences for local people.

The Panel has had concerns the effect the changes have on the Revenue and Benefits Services and we were pleased that the service has coped well and remained in the second quartile each month, with the exception of the one for their performance in the time taken to process new Benefit Claims. This is a real achievement by the service and those who provide it.

Under the Council's Housing Assistance Policy the Council's Housing Section were successful in their bid for HCA funding of £273,700. This funding will provide for an estimated number of 45 empty homes that should be made ready for occupation by March 2015.

I hope this report sets out clearly that the Members of the Panel and the Officers who attend the Panel and participate in Task and Finish Groups devote considerable effort to providing satisfactory services for the people who live and work in our district. I would like to thank them all for their contribution with particular mention of the Scrutiny Officer.

Environment and Economy Panel

Personal View from Cllr Marilyn Bowman, Chair of Environment & Economy O&S Panel

My appointment as Chairman of the Environment and Economy Scrutiny Panel for the Civic year 2013-14 brought a new challenge to my expertise. Following nine years as Portfolio Holder for Economy, it could be seen as Gamekeeper turned Poacher. I believe my experience on both side of the fence enables me to have a better understanding of how scrutiny can and should benefit the decision making process.

The Panel has embraced the detailed scrutiny of the Local Plan, making constructive and knowledge based recommendations, on a very important document, affecting the future of the Carlisle Economy.

With economic issues seen as a priority, the panel welcomed the Chairman of Carlisle Economic Partnership, questioned the progress and lack of information from the Local Enterprise Partnership, and await confirmation of the Chairman's attendance at a forthcoming meeting.

Following questions regarding the Business Interaction Centre the Panel visited the University of Cumbria premises and were given an introduction and tour of the facilities by Prof. Frank Peck.

Environmental issues were also high on the Agenda, with the Bring Sites Review and a Task and Finish Group set up to explore the Recycling Service.

The Waste Services Review has been identified as a major piece of work. The Panel resolved to form a cross party working group as this will enable the Elected Members to be well informed and have an input into what is a vital service for the residents of Carlisle.

I would like to thank the Members of the Panel and their substitutes, Chief Officers and many other Officers for their attendance and professional input to the meetings. The Portfolio Holders who have taken the time to partake and finally a special thank you to our Scrutiny Officer for the dedicated advice, guidance and support throughout the year.

Recycling Centre Task and Finish Group –box to be inserted with details of Task Group

Talkin Tarn Task and Finish Group - box to be inserted with details of Task Group

Cllr Elsie Martlew, Portfolio Holder for Environment & Transport

The past twelve months have been very productive. As Portfolio Holder I have ensured that major policies are discussed by O + S before the Executive takes the final decision.

This input by scrutiny members, across the political spectrum, strengthens the whole democratic process.

The robust questioning of the portfolio holder and officers leads to better and more informed decisions. The Task and Finish process is especially useful as it enables more in-depth examination of specific policy areas.

Resources Panel

Personal View from Cllr Reg Watson, Chair of Resources O&S Panel

Scrutiny is an important part of our local government system that aids the democratic structure of the Council and for the past year the Resources Panel has taken a close look at a number of areas. Routine monitoring and overview of the Council's Budget, Risk Register, Partnerships and Performance gives Members of the Panel an opportunity to identify areas of concern which require further scrutiny.

This good practice can be demonstrated in the scrutiny of sickness absence and how sickness is managed in the Authority. The Panel have been vocal in the promotion of back to work interviews and have seen a marked improvement in this area over the last two years. Short term absences have reduced and it was argued that return to work interviews pick up and deter repeated short absences..

The pressure on the Council's budget are currently the biggest this Council has ever faced and scrutiny must continue to challenge Members of the Executive. The Resources O&S Panel will continue to look for assurance that our staff are being supported through difficult times through continuing scrutiny of sickness absence, organisational development and employee surveys.

The Panel have looked at the refresh of the Asset Management Plan and will continue to monitor the disposal programme over the next year.

A big thank you to the Chief Officers, members of the Executive and all who added to our deliberations. Thank you to our Scrutiny Support Officer for the clear advice and support and thank you to members of the Panel who never failed to get to the heart of the matter before us.

We hope we have added value to the Councils deliberations.

Saving Paper Task and Finish Group – update of implementation of recommendations

Representation on Countywide Scrutiny Committees

Cumbria Police & Crime Panel

The Police Reform and Social Responsibility Act 2011 required local authorities to establish a Police and Crime Panel, as a Joint Committee, to scrutinise the directly elected Police and Crime Commissioner. Carlisle City Council nominated Councillor Bowditch, to sit on the Panel, which is administered by Cumbria County Council as the host authority.

The Panel scrutinise the Commissioner's budget and proposed precept and also have the responsibility of scrutinising the Commissioner's Police and Crime Plan and monitoring his delivery against these priorities.

There have also been two major issues over the past year the Panel has kept an awareness of: The commissioner's expenses with regards to travel (chauffeur driven car) and the complaints that were received by the Panel in relation to this. Also the suspension of the temporary Chief Constable and the issues surrounding this.

Cumbria Health and Wellbeing Scrutiny Committee

The Cumbria Health Scrutiny Committee is responsible for reviewing provision and operation of healthcare services in Cumbria and reviewing any relevant issues concerning health care. The membership of the Committee includes County Council and District/Borough Council members and Cllr Bowditch is the City Council's representative.

It has been a very busy year for the committee with a number of issues arising and being explored by the committee. These include: the results of the Koegh review in North Cumbria and scrutinising the Trust's performance. Looking at the proposed acquisition and Merger of North Cumbria Trust by Northumbria. Monitoring the development of the West Cumberland Hospital. Reviewing CQC Inspection Reports and issues relating to health services in the County. Scrutinising the high profile issues that have been raised in Furness re maternity services and oncology. Scrutinising the Better Care Together for the review of potential reconfiguration of services across the Morecombe Bay area. Scrutinising the vascular service reconfiguration and referring the outcome to the Secretary of State for Health.

Part 2: Development of Scrutiny & Summary of Progress

Call-in

There have been three Call-ins in 2013/14.

Decision Reference	Issue	Overview & Scrutiny Panel	Outcome of Call-in Meeting
EX.54/13	Bring Sites Review	Economy & Environment	Members of the Panel voted not to refer the decision back to the Executive
EX.60/13	Representatives on Outside Bodies	Community	That the matter be referred back to the Executive for reconsideration and that the Executive be asked to ensure that the observations and comments of the Panel be taken into consideration when appointments are being made to outside bodies.
EX.069/13	Arts Centre Development	Community	The Panel agreed not to refer decision back to the Executive under the proviso that they continue to monitor the progress of the project.

Relationship with the Executive & Senior Management Team and the Development of the Work Programme

It was reported in the 2012/13 Annual Report that due to an improved relationship with the Executive there had been little requirement for formal Tripartite meetings which were planned to be held on a quarterly basis to allow dialogue between the two. However the Scrutiny Chairs Group have requested that this practice be reintroduced in 2014/15 as they wish to be better informed about key topics throughout the year so that their work programmes can be effective and add value.

It was further agreed by the Scrutiny Chairs Group that SMT Officers should be more pro-active in the development of the Panel's Work Programme and share more information with Members of their focus over the following 12 months and give suggestions how Overview and Scrutiny can be involved.

In the first instance the Scrutiny Officer will arrange to meet with each SMT Officer before the first round of Panels and a draft work programme for 2014/15 will be developed. Each Panel will then be requested to consider the draft at the first meeting of the year. The relevant Portfolio Holders and SMT Officers will be expected to attend these meeting to help assist the Panel in developing a valuable programme for the year ahead.

Scrutiny Members should also use the scoping tool (see Appendix 1) which will help them choose items for their work programme which are relevant.

Training for Scrutiny Members

The Scrutiny Chairs Group agreed that more training is required for Members on Scrutiny Panels to assist them in their role. Although informal induction is provided to new Scrutiny Members by the Scrutiny Officer it is questioned whether more formal training is required.

The following training will be made available for Scrutiny Members in 2014/15

Chairs - Training to be included in the Ethical Governance Programme and Scrutiny Chairs, regardless of their experience will be encouraged to attend.

A formal Induction Session for all new Scrutiny Members will be arranged for June 2014 following the appointment of Panels at Annual Council.

A half day training session will be arranged in June/July 2014 with the focus on

Members of the Panels are asked to discuss their training needs and the Chairs Group will decide the focus of the training

Do Scrutiny Members agree that this is an accurate reflection of the work undertaken this year and address concerns raised appropriately?

Are there any other issues which Members would like included within the report?

Are there any particular topics that Members would like to be considered for review in 2013/14?

RESOURCES OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2013/14

Date last revised: 18 March 2014

Issue	Type of Scrutiny						Comments/Current Status	Meeting Dates								
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		6	18	29	10	28	6	20	3	
								Jun 13	Jul 13	Aug 13	Oct 13	Nov 13	Jan 14	Feb 14	Apr 14	
Current Meeting – 3rd April 2014																
Corporate Risk Register						✓	Bi-annual Monitoring				✓				✓	
Transformation Board						✓	To receive six monthly updates				✓				✓	
Employee Opinion Survey							To inform Members of feedback and action plan								✓	
Scrutiny Annual Report							Draft report for comment before Chairs Group								✓	
Task & Finish Groups																
Saving Paper Task Group			✓				Completed			✓						
COMPLETED ITEMS																
Corporate Programme Board						✓	Bi-annual monitoring of significant projects	✓		✓		✓				

RESOURCES OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2013/14

Date last revised: 18 March 2014

Issue	Type of Scrutiny						Comments/Current Status	Meeting Dates								
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		6 Jun 13	18 Jul 13	29 Aug 13	10 Oct 13	28 Nov 13	6 Jan 14	20 Feb 14	3 Apr 14	
Significant Partnerships				✓			Bi-Annual scrutiny			✓						June 14 Jan 15
Performance Monitoring						✓	Quarterly monitoring of performance within remit of Panel	✓		✓		✓		✓		
Organisational Development Plan	✓					✓	To consider review of Plan July - monitor performance in Nov & Feb		✓			✓		✓		
Sickness Absence	✓						To consider reports relating to the authority's sickness absence levels to invite OH		✓		✓			✓		
Budget Monitoring 13-14					✓	✓	Monitoring of budget			✓		✓		✓		
Budget					✓		Budget setting 2014/15-2018/19					✓	✓			

RESOURCES OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2013/14

Date last revised: 18 March 2014

Issue	Type of Scrutiny						Comments/Current Status	Meeting Dates								
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		6 Jun 13	18 Jul 13	29 Aug 13	10 Oct 13	28 Nov 13	6 Jan 14	20 Feb 14	3 Apr 14	
Asset Management		✓				✓	Monitor disposal and investment programme Review of Plan					✓				
Member Training Report 2012-13						✓	Annual training report				✓					
Localisation of Business Rates							To consider a report detailing the impact of the policy				✓					
Medium Term Financial Plan		✓			✓					✓						
Asset Management Plan		✓			✓		2013-18 Plan			✓						
Carlisle Leisure Ltd				✓			Continued scrutiny of contract monitoring - Audit Report and update	✓								
Treasury Management Counterparties		✓					Scrutinise report recommending	✓								

RESOURCES OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2013/14

Date last revised: 18 March 2014



Issue	Type of Scrutiny						Comments/Current Status	Meeting Dates								
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		6 Jun 13	18 Jul 13	29 Aug 13	10 Oct 13	28 Nov 13	6 Jan 14	20 Feb 14	3 Apr 14	
							amendments to Treasury Management									
2012/13 Provisional Outturn Reports					✓		Outturn reports and requests to Council	✓								

Resources Overview and Scrutiny Panel

Agenda
Item:

A.3

Meeting Date: 3rd April 2014
 Portfolio: Finance, Governance and Resources
 Key Decision: Not Applicable:
 Within Policy and Budget Framework
 Public / Private Public

Title: CORPORATE RISK MANAGEMENT
 Report of: Deputy Chief Executive
 Report Number: SD 08/14

Purpose / Summary:

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

Recommendations:

The Panel is asked to scrutinise and provide feedback on the updated Corporate Risk Register.

Tracking

Executive:	
Overview and Scrutiny:	
Council:	

1. BACKGROUND

- 1.1** In accordance with the Council's Risk Management Policy, the Corporate Risk Register (CRR) is submitted to this Panel for scrutiny. The reporting cycle to ROSP has changed from quarterly to 6 monthly as agreed by ROSP in October 2013 and formally minuted on 28th November 2013. This is the first report to this new cycle.

2. PROPOSALS

2.1 Changes to Corporate Risk Register

The Corporate Risk Register continues to be reviewed quarterly by the Corporate Risk Management Group (CRMG) and Senior Management Team (SMT).

The following corporate risks have been reviewed and updated. Further details of these risks and the strategies in place to reduce them are set out in Appendix A.

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 following risk has been removed from the Corporate Risk Register:

Improving Industrial Estate Performance – Current plans and action to improve Carlisle's industrial estates have reduced this risk to its target level. The risk will continue to be closely monitored on the Economic Development operational risk register.

3. CONSULTATION

- 3.1** Corporate Risk Management Group 12th March 2014.
Senior Management Team 18th March 2014.

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

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

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

5.1 This is the strategic risk assessment for the Carlisle Plan. It will be reviewed quarterly.

Contact Officer: Sarah Mason Ext: 7053

**Appendices SD 08/14 Appendix A
attached to report:**

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

- None

CORPORATE IMPLICATIONS/RISKS:

Chief Executive's – This is the purpose of the report.

Community Engagement –

Economic Development –

Governance –

Local Environment –

Resources -

Appendix A

Corporate Risk Register March 2014



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

Asset Business Plan – Asset Disposal Strategy

'There is a risk that significant delays in the disposal of Council assets will have substantial impact on the capital reinvestment plans and revenue position of the Council'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	12-Mar-2014	6	1. Regularly monitor the disposal negotiations in line with the Asset business case. 2. Seek advice from our agent and be ready to take appropriate action to remarket the asset should this need arise. 3. Complete refresh of the Asset Business Plan partly targetting housing land provision to meet priority in the Carlisle Plan. 4. The impact of delays in the disposal programme has been accounted for in the 2014/15 budget.	
	02-Sep-2013	9	4. The impact of delays in the disposal programme has been accounted for in the 2014/15 budget. <i>Risk to remain on Corporate Risk Register until Business plan is complete.</i>	

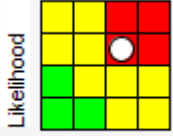
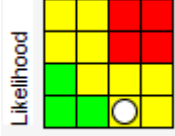
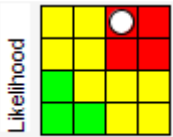
Current Impact Description	High
Current Likelihood Description	Reasonably probable
Risk Score	9

Target Risk Date	01-Dec-2014
Target Risk Score	3

Lead Officer	Mark Lambert
Portfolio Holder	Councillor Tickner
Overview and Scrutiny Panel	Resources

Asset Business Plan – Asset Acquisition Strategy

'There is a risk that significant delays in acquiring new revenue producing assets will have a substantial impact on the Council's revenue position during the current MTFP / budget process'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	12-Mar-2014	9	1. Complete control strategy for above corporate risk (Asset Disposal Plan). The MTFP has taken account of the loss of income. 2. Review and seek agreement from Executive / Council to a Capital Investment Strategy covering the key criteria and potential projects for investment (including the repayment of loans etc). 3. Review Investment Strategy including Invest to Save, linked where appropriate to other procurement activities eg. the redevelopment of the Sands Centre.	
	02-Sep-2013	12		

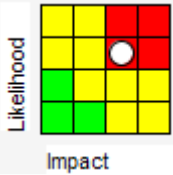
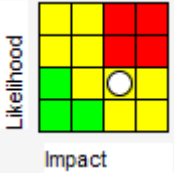
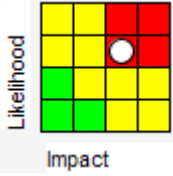
Current Impact Description	High
Current Likelihood Description	Probable
Risk Score	12

Target Risk Date	01-Apr-2016
Target Risk Score	3

Lead Officer	Mark Lambert
Portfolio Holder	Councillor Tickner
Overview and Scrutiny Panel	Resources

Delivering the Carlisle Plan

'There is a risk that we don't have the optimum balance of resources targetted to deliver the activities and projects delivering the Carlisle Plan'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	06-Mar-2014	9	<p>Grant Thornton, the Council's external auditors has recently reviewed the Council's arrangements for securing financial resilience (risk) and is very satisfied with the arrangements in place. However, it does suggest that the Council's usable reserves are the lowest in it's bench marking group.</p> <ol style="list-style-type: none"> 1. Get resources placed appropriately for the objectives of the Council. 2. Develop clear service standards in order to monitor key priority areas, including the Carlisle Plan eg. Clean Up Carlisle and thus balance allocation of resources. 3. The Corporate Programme Board is managing the support resources required to deliver key Council objectives. 4. The 2014/15 budget / MTFP has taken account of budget pressures due to reduction in RSG, additional National Insurance, increased pension costs etc and the implications for transformational savings going forward. Further savings of £1.839m need to be identified by 2015/16 and a further £2.1m in future years. <i>Salary savings through voluntary redundancy and vacancy management initiatives and SMT restructure have identified £370k savings towards 2015/16 target. Also £250k reduction in Tullie House grant. This reduces the 2015/16 target to £1.219m.</i> 	
	02-Sep-2013	9		

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

Target Risk Date	01-Apr-2017
Target Risk Score	6

Lead Officer	Jason Gooding
Portfolio Holder	Councillor Glover
Overview and Scrutiny Panel	Resources

Council's Income Targets

'There is a risk that the Council's income from chargeable services eg car parking does not meet MTFP targets and that the Council does not take advantage of other commercial opportunities'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	12-Mar-14	9	1. Improved marketing of chargeable services. 2. Improved performance information to enable intervention measures to be taken quicker. 3. Review of commercial opportunities to identify a range of opportunities to pursue during 2014/15. 4. Fundamental review of car parking provision and charging <i>is taking place. Staffing structure review subject to consultation.</i> 5. Review of income targets / corporate charging policy in May 2014.	
	02-Sep-2013	9		

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

Target Risk Date	01-Apr-2015
Target Risk Score	4

Lead Officer	Senior Management Team
Portfolio Holder	Councillor Tickner
Overview and Scrutiny Panel	Resources

Housing needs of vulnerable groups

'There is a risk that we are not able to reduce repeat use of access to our homeless facilities'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	28-Feb-2014	6	1. Strengthen procedures that support vulnerable people at the correct times of crisis. 2. Maintain strong partnership working with Supported Housing Providers, Probation, Criminal Justice system, health professionals and pathways to training and employment. 3. <i>Complete the Hostel review implementing the recommendations from April 2014 onwards. This will also strengthen procedures that support vulnerable people.</i>	
	02-Sep-2013	9		

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

Target Risk Date	01-Dec-2014
Target Risk Score	6

Lead Officer	Jane Meek
Portfolio Holder	Councillor Riddle
Overview and Scrutiny Panel	Community

Workforce planning

'There is a risk of not having sufficient management competency to deliver our organisational objectives'

Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	12-Mar-2014	6	<p>1. Transformation reviews across the Council (2011/12/13) have focussed on the deployment of staff and the balance between management, back office and frontline staff. It is felt that this balance currently suits the needs of the Council.</p> <p>2. A new Organisational Development Plan has now been completed. This attends to the issues of management competency and 'new' skills including commissioning, commercial marketing skills and drafting tenders / monitoring contracts. The implementation of this plan has begun and will be monitored via SMT.</p>	
	12-Dec-2013	6		

Current Impact Description	High
Current Likelihood Description	Remote
Risk Score	6

Target Risk Date	01-Apr-2014
Target Risk Score	4

Lead Officer	Jason Gooding
Portfolio Holder	Councillor Tickner
Overview and Scrutiny Panel	Resources

Resources Overview and Scrutiny Panel

Agenda Item:

A.4

Meeting Date: 3rd April 2014
 Portfolio: Finance, Governance and Resources
 Key Decision: Not Applicable:
 Within Policy and Budget Framework
 Public / Private Public

Title: TRANSFORMATION BOARD
 Report of: Deputy Chief Executive
 Report Number: SD 09/14

Purpose / Summary:

The purpose of this report is to update members of the Resources Overview and Scrutiny Panel on the work of the Transformation Board.

Recommendations:

The Panel is asked to scrutinise and comment on the work of the Transformation Board as described in this report.

Tracking

Executive:	
Overview and Scrutiny:	
Council:	

1. BACKGROUND

1.1 The Transformation Board was formed in the latter part of 2011 in response to the developing range of transformational activities.

The purpose of the board is to develop, co-ordinate and manage transformation activity across the Council and ensure that service improvements and savings are delivered in line with the Carlisle Plan and Medium Term Financial Plan. The team is chaired by the Deputy Chief Executive and includes the Directors and other key support officers from across the authority.

2. PROPOSALS

2.1 Summary of Transformation activity for savings target for 2014/15

The Transformation Board has been assisting in co-ordinating the following savings initiatives within each Directorate for the £719k savings target for 2014/15. £536k of this has been achieved.

Current progress to date is detailed below.

Local Environment

£166,900 has been achieved through the Bring Site review and savings already delivered in 2013/14. Reviews of play areas and Bereavement Services are in progress and savings of £35k are scheduled to be delivered by 1st April.

Economic Development

Savings totalling £45k have been achieved from reduction in Parish Council and Village Hall grants; Tourism review; reduction in Business & Employment support & redevelopment; and TIC reduction in stock. A further £125k has been identified from a Hostel review and Access Officer review to be delivered by June 2014.

Resources

Savings totalling £110k have been delivered from restructuring Financial Services (£50k); closure of the Stores (£35k) and savings from Digital and Information Services (£25k).

Governance

A review in Governance has identified savings of £20k which will be delivered in April 2014. This has been delivered mainly from a reduction in the Service Support Team resources (2 part time voluntary redundancies) achieving a saving of £17k.

Chief Executive's team

A review of budgets within the Chief Executive's team has delivered savings of £22k, mainly from supplies and services (£12k) and emergency planning (£10k). A further £3k is still has been identified and will be in place for April 2014.

Other savings achieved

£192k has been achieved through the following:

Reduced salary increase from 1.5% to 1%	£75k
Reduced inflation MTFP allocation	£25k
Reduced neighbourhood forum grants	£20k
Reduced Special Responsibility allowances	£10k
Over achieved savings from previous years	£62.1k

Overall savings target

After the above saving target of £719k as set out above has been achieved the Council will have saved £5.134m since 2010/11 to date.

2.2 Other Transformation activities

Smarter Service Delivery

The Automating Services Project has progressed and expanded into a programme of delivering services in a smarter and more customer centric way. The project team will deliver a new transactional website which will have the capability of use on mobile devices. The current website is mainly information based and does not meet user expectations in the current environment for transactional internet based service delivery.

The project will incorporate full end to end improvements in service delivery. Officers will be trained on following a customer journey from a users perspective to ensure services are delivered in a customer centric manner. The request for service will be fully integrated into back office systems through the Customer Relationship Management (CRM) system. The customer will be able to track their request for service. The same method of customer centric service delivery will be used whichever way customers choose to contact the council. This will build a database of knowledge regarding service requests which can be intelligently used to inform decision making regarding services.

2.2 Future Transformation Programme

Additional recurring savings are required beyond 2014/15 and these saving targets are detailed in the 2014/15 budget. A further £3.939m savings are required between 2015/16 and 2018/19, £1.839m to be delivered by 2015/16 and £2.1m in later years. After this £3.939m has been added to the £5.134m achieved 2010/11 - 2014/15, the Council will have saved £9.073m. This equates to an approximate 45% saving on 2010-11 controllable expenditure budget.

Future savings will be achieved partly in the following reviews:

Asset Review

This will focus on producing a Development and Investment Plan for the City Council's property portfolio with the aim of delivering additional income or reduced costs on a recurring basis.

Discretionary funding to major partners

Funding to major partners will be reviewed. There is already a planned reduction in funding to Tullie House of £250k in 2015/16.

Voluntary Redundancy

A voluntary redundancy initiative, limited to certain criteria, was recently undertaken. This is effective from April 2014, funded from the salary savings made in 2014/15. SMT approved 16 posts to be deleted from the establishment. This will achieve savings totalling £268,700.

Restructure of the Senior Management Team

Deleting Director of Community Engagement post has achieved saving of £76,600 (including on costs).

Vacancy Management

All vacant posts are now reviewed by SMT.

Digital by default

A Council wide exercise is underway to encourage residents to interact with the Council electronically, e.g. savings in postage, printing, stationery.

Rethinking Waste

Currently the options and issues facing the waste and recycling service are being explored. This is part of a major rethink of the service to address decreased recycling rates, round efficiencies, and growing pressure on the service due to new build houses. The review will align with expiring contracts and the future requirements of new vehicles.

Service delivery models

As part of the transformation programme, alternative options for service delivery are being considered in order to make significant financial savings whilst still delivering good standards of service. The options under consideration will include shared services and commissioning of services.

Savings achieved

Out of savings required for 2015/16 of £1.839m, £595,300 has been identified to date.

3. CONSULTATION

3.1 Consultation is dealt with within each separate action.

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

4.1 The Panel is asked to scrutinise and comment on the work of the Transformation Board.

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

5.1 Transformation facilitates the delivery of the Council's priorities through prioritisation and direction of resources in those service areas.

Contact Officer: Sarah Mason

Ext: 7053

**Appendices
attached to report:**

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

CORPORATE IMPLICATIONS/RISKS:

Chief Executive's - Any risks associated with transformation are identified and recorded according to the Council's Risk Management Policy.

Community Engagement –

Economic Development –

Governance –

Local Environment –

Resources -

Resources Overview and Scrutiny Panel

Agenda
Item:

A.5

Meeting Date: 3 April 2014
 Portfolio: Finance, Governance and Resources
 Key Decision: No
 Within Policy and Budget Framework: No
 Public / Private: Public

Title: EMPLOYEE OPINION SURVEY 2014
 Report of: Organisational Development Manager
 Report Number: CE 05/14

Purpose / Summary:

Employee opinion surveys have taken place at Carlisle City Council for a number of years. They offer an opportunity to engage with staff and find out their views about working for the City Council. A survey took place earlier this year, and as with previous surveys, the results are reported to Resources Overview and Scrutiny Panel. A copy of the survey is included.

Recommendations:

Consider the results of the Employee Opinion Survey.

Tracking

Executive:	
Overview and Scrutiny:	
Council:	

1. Background

- 1.1 The 2014 Employee Opinion Survey was sent to staff on 6 January with a closing date of 24 January. This year, 228 surveys were completed giving a response rate of 39.6% (based on 576 staff at 31/12/13), compared with 42.1% in 2013. 27 paper copies were received from operational staff (34 in 2013).
- 1.2 The survey maintained several of the questions from previous years including ones on the City Council as an employer, internal communications and leadership and management. New questions for 2014 included ones on understanding of the City Council's priorities, work/life balance and appraisals.
- 1.4 Of the 226 staff who identified which directorate or team they were in 10.2% were in Governance, 35.4% in Resources, 19% in Economic Development, 21.7% in Local Environment and 13.7% in the combined Chief Executive's and Deputy Chief Executive's teams (the results of these teams have been combined due to the small number of staff in the Deputy Chief Executive's Team).

2. Key Findings

- 2.1 Many of the key issues raised in the survey are similar to those raised in the Work Together, Get Results workshops so there will be a co-ordinated approach to feeding back the results of both and taking action.
- 2.2 A number of comments from staff were about wanting a period of certainty, having fewer reviews and to stop making people redundant. Consideration will be given to how we can better communicate that this is the 'new normal' and help staff build their resilience to cope with constant change.

3. Management and leadership issues and the City Council as an employer

- 3.1 There were several questions in the survey about leadership and management. 71.8% said that the Senior Management Team provided strong leadership, compared with 59.3% in 2013. In 2011 when this question was first asked the result was 21%. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (84%) and staff in Local Environment were least likely (53%).
- 3.2 62.2% of staff said managers in their directorate provided effective leadership compared with 53.4% in 2013. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (90%) and staff in Local Environment were least likely (45%).

- 3.3 This year there was a slight decrease in the percentage of staff who said their line manager supports them in their role, 71% compared with 73.9% in 2013. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (94%) and staff in Local Environment were least likely (57%).
- 3.4 This year 67.5% say their line manager keeps them in touch with what is going on compared with 65.6% in 2013. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (94%) and staff in Local Environment were least likely (49%).
- 3.5 There was a new question this year which asked staff if their line manager provides feedback on their performance. 61.8% of staff said their line managers did this. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (84%) and staff in Local Environment were least likely (51%).
- 3.5A question on how staff rate the City Council as an employer has been included in several previous surveys. This year 90.8% rate the City Council as a good employer compared with 89.4% in 2013. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (97%) and staff in Local Environment were least likely to agree (82%).

4. Feeling valued and the City Council's objectives

- 4.1 This year, 61.7% of staff said they felt valued at work which is an improvement on the 53% in 2013 and 46% in 2012 but there is still work to do on this. Staff in the combined Chief Executive's and Deputy Chief Executive's teams felt most valued (84%) and staff in Local Environment felt least valued (45%).
- 4.2 Staff were asked what makes them feel most valued at work and the most popular responses were positive feedback, recognition, appreciation of work done, being listened to and support from their manager.
- 4.3 This year 84.2% of staff say they understand how their work contributes to achieving the City Council's objectives compared with 74.7% in 2013. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to say this (94%) and staff in Resources were least likely (79%).
- 4.4 A new question for this year asked staff if they had a good understanding of the City Council's priorities and 85.9% said they did. Staff in Governance were most likely to say they did (96%) and staff in Local Environment were least likely (81%).

4.5 Another new question for this year asked staff if they felt their ideas and opinions were listened to by managers at the City Council. 59.2% of staff felt this did happen. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (87%) and staff in Local Environment were least likely (41%).

5. Communications

5.1 This year 75% of staff said they were satisfied with internal communications at the City Council compared with 68.8% in 2013. The Chief Executive has continued with the quarterly briefings for staff and a weekly blog, both of which have proved popular with staff. A monthly staff newsletter, 'In the Loop', has been introduced since the 2013 survey in response to requests from staff for more information. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most satisfied with internal communications (97%) and staff in Local Environment were least satisfied (59%).

5.2 Staff were asked how internal communication could be improved and the most popular answers were providing more regular transformation updates, notes being taken at Management Briefing and shared with all staff, being notified about starters/leavers and improved computer access for all staff including intranet and email facilities in both.

6. Learning and development, appraisals and work/life balance

6.1 There were three new questions this year on learning and development, appraisals and work/life balance. 82.2% of staff said they were able to maintain a good balance between their work and personal lives. Staff in the combined Chief Executive's and Deputy Chief Executive's teams were most likely to agree with this (90%) and staff in Economic Development and Local Environment were least likely (79%).

6.2 78% of staff said they had taken part in learning and development in the last 12 months. Staff in Local Environment were most likely to agree with this (83%) and staff in Economic Development were least likely (74%).

6.3 57.9% of staff said they had taken part in a team or individual appraisal in the last 12 months. Staff in Resources were most likely to agree with this (87%) and staff in Economic Development were least likely (66%).

7. Working for the City Council

7.1 A question asking what staff consider to be the best thing about working for the City Council has been included in several previous surveys. This year, the most popular response from staff was terms and conditions including flexitime, holidays, pay,

pension and employee benefits. Other popular responses were working with good colleagues, providing a service to the people of Carlisle and training opportunities.

8. Improving the City Council

8.1 A question asking staff what one thing could the City Council do to improve the council the most has also been included in previous surveys. This year there were a wide range of suggestions from staff including solving recruitment delays, improving the effectiveness of managers, listening to staff, job security and better communication.

9. Conclusion

9.1 As in 2013, there is not a key issue which all staff are concerned about this year. There are some issues specific to directorates and these will be considered by the directors with support from the Organisational Development Team.

Contact Officer: Emma Titley Ext: 7597

**Appendices Employee Opinion Survey questions
attached to report:**

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

- None

CORPORATE IMPLICATIONS/RISKS:

Chief Executive's - None

Community Engagement – None

Economic Development – None

Governance – None

Local Environment – None

Resources - None



Employee Opinion Survey 2014

Q1 Which directorate or team do you work in?

- Governance..... 1
- Resources 2
- Economic Development..... 3
- Local Environment..... 4
- Chief Executive's Team..... 5
- Deputy Chief Executive's Team..... 6

Q2 Please indicate how much you agree or disagree with the following statements about leadership and management at the City Council.

	Strongly agree	Agree	Disagree	Strongly disagree	Don't know
The City Council's Senior Management Team provides strong leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managers in my directorate provide effective leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My line manager supports me in my role	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My line manager keeps me in touch with what is going on	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My line manager provides feedback on my performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q3 How do you rate the City Council as an employer?

- Very good..... 1
- Fairly good..... 2
- Poor..... 3
- Very poor..... 4

Q4 Please indicate how much you agree or disagree with the following statements about the City Council's priorities.

	Strongly agree	Agree	Disagree	Strongly disagree	Don't know
I have a good understanding of the City Council's priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I understand how my work contributes to achieving the City Council's priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q5 Please indicate how much you agree or disagree with the following statements about working for the City Council.

	Strongly agree	Agree	Disagree	Strongly disagree	Don't know
I feel my ideas and opinions are listened to by managers at the City Council	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have taken part in learning and development in the last 12 months (training courses / workshops / qualifications)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have taken part in a team or individual appraisal in the last 12 months	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am able to maintain a good balance between work and my personal life	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel valued as an employee at the City Council	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q6 What makes you feel most valued at work?

Q7 Overall how satisfied are you with internal communications at the City Council?

- Very satisfied..... 1
- Satisfied 2
- Dissatisfied 3
- Very dissatisfied 4

Q8 How could the City Council improve internal communications?

Q9 Overall what is the best thing about working for the City Council?

Q10 What one thing could the City Council do to improve the Council the most?

Thank you for taking the time to complete our survey

