

AGENDA

Business & Transformation Scrutiny Panel

Thursday, 01 April 2021 AT 16:00

This meeting will be a virtual meeting and therefore will not take place in a physical location.

Virtual Meeting - Link to View

This meeting will be a virtual meeting using Microsoft Teams and therefore will not take place at a physical location following guidelines set out in Section 78 of the Coronavirus Act 2020.

Members of the Business & Transformation Scrutiny Panel

Councillor Bainbridge (Chair) , Councillors Alcroft, Allison, Mrs Birks (Vice Chair), Mrs Bowman, Mitchelson, Paton, Dr Tickner

Substitutes:

Councillors Mrs Atkinson, Betton, Bomford, Mrs Brown, Collier, Ms Ellis-Williams, Mrs Finlayson, Mrs Glendinning, Glover, Mrs McKerrell, McNulty, Meller, Morton, Patrick, Robson, Shepherd, Miss Sherriff, Southward, Tarbitt, Tinnion, Miss Whalen.

PART A

To be considered when the Public and Press are present

Register of Attendance and Declarations of Interest

A roll call of persons in attendance will be taken and 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.

Apologies for Absence

To receive apologies for absence and notification of substitutions

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

To note that Council, at its meeting on 2 March 2021, received and adopted the minutes of the meeting held on 7 January 2021. The Chair will sign the minutes at the first practicable opportunity. [Copy Minutes Minute Book 47(5)]

A.1 CALL-IN OF DECISIONS

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

A.2 CORPORATE PROJECTS STATUS REPORT

7 - 26

Portfolio:	Cross Cutting
Directorate:	Corporate Support
Officer:	Jason Gooding, Town Clerk and Chief Executive
Report:	CE.01/21

Background:

The Town Clerk and Chief Executive to submit an update against corporate projects currently being undertaken in the Council. The narrative contained within the project status report has been updated to offer Members with an up to date snapshot as to the current status of the City Council's corporate level projects. Recent project activity; RAG rating; issues and emerging risks; key activities for the next period and requests for change have all been updated.

Why is this item on the agenda?

Monitoring report.

What is the Panel being asked to do?

The Panel is asked to note and comment on the most recent summary of projects and governance arrangements in place as contained in Appendix One, and the actions being taken to support projects with issues. At Appendix Two is a summary of the standalone IT projects and their current status.

A.3 CORPORATE RISK REGISTER

**27 -
58**

Portfolio:	Finance, Governance and Resources
Directorate:	Community Services
Officer:	Darren Crossley, Deputy Chief Executive
Report:	CS.19/21 herewith

Background:

The Deputy Chief Executive to submit an update on the management of the Council's Corporate Risk Register.

Why is this item on the agenda?

Monitoring report.

What is the Panel being asked to do?

Scrutinise and comment on the current Corporate Risk Register as set out in appendix one.

A.4 IMPROVING ATTENDANCE POLICY

**59 -
122**

Portfolio:	Finance, Governance and Resources
Directorate:	Community Services
Officer:	Darren Crossley, Deputy Chief Executive
Report:	CS.22/21 herewith

Background:

The Deputy Chief Executive to submit an update on the Task and Finish group established to review the Council's Attendance Management Policy. A new policy has been drafted and is proposed to be re-titled the Improving Attendance Policy. The accompanying Manager's toolkit has also undergone a significant update.

Why is this item on the agenda?

Outcome of a Task and Finish Group established by the Business and Transformation Scrutiny Panel.

What is the Panel being asked to do?

Consider and comment on the new Improving Attendance Policy and accompanying Manager's toolkit, noting that the results of a staff consultation will be incorporated in a final report that will be taken to Employment Panel for review and agreement.

A.5 CARLISLE PLAN 2021-2023

**123 -
142**

Portfolio:	Leader
Directorate:	Community Services
Officer:	Darren Crossley, Deputy Chief Executive Rebecca Tibbs, Policy and Performance Officer
Report:	PC.08/21 and Minute Excerpt herewith

Background:

The Deputy Chief Executive to submit the draft Carlisle Plan for consultation.

Why is this item on the agenda?

The matter was included in the Notice of Executive Key Decisions (KD.01/21) and was considered by the Executive on 8 March 2021.

What is the Panel being asked to do?

Consider and comment on the draft Carlisle Plan.

A.6 SCRUTINY ANNUAL REPORT

**143 -
148**

Portfolio:	Cross Cutting
Directorate:	Community Services
Officer:	Rowan Jones, Overview and Scrutiny Officer
Report:	OS.10/21 herewith

Background:

The Overview and Scrutiny Officer to submit the draft Business and Transformation Scrutiny Panel Section for the Scrutiny Annual Report 2020/21.

Why is this item on the agenda?

Annual Scrutiny report.

What is the Panel being asked to do?

Consider and comment on the attached section of the draft report.

A.7 OVERVIEW REPORT

**149 -
154**

Portfolio:	Cross Cutting
Directorate:	Cross Cutting
Officer:	Rowan Jones, Overview and Scrutiny Officer
Report:	OS.07/21 herewith

Background:

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

Why is this item on the agenda?

The Business and Transformation Scrutiny Panel operates within a work plan which has been set for the 2020/21 municipal year. The Plan will be reviewed at every meeting so that it can be adjusted to reflect the wishes of the Panel

and take into account items relevant to this Panel in the latest Notice of Executive Key Decisions.

What is the Panel being asked to do?

Note the items (within Panel remit) on the most recent Notice of Executive Key Decisions.

Discuss the work programme and prioritise if necessary.

PART B

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

Item Title

- NIL -

Item Title

Enquiries, requests for reports, background papers etc to:

Rachel Plant, Democratic Services Officer - rachel.plant@carlisle.gov.uk

Business & Transformation Scrutiny Panel

Agenda
Item:

A.2

Meeting Date: 01 April 2021
Portfolio: CROSS CUTTING
Key Decision: No
Within Policy and
Budget Framework YES
Public / Private Public

Title: CORPORATE PROJECT STATUS REPORT
Report of: TOWN CLERK & CHIEF EXECUTIVE
Report Number: CE 01/21

Purpose / Summary:

The City Council's Transformation Board's role is to ensure that there are effective governance arrangements in place for the projects that the Council undertakes. This report provides an update against corporate projects currently being undertaken in the Council.

The narrative contained within the project status report has been updated to offer Members with an up to date snapshot as to the current status of the City Council's corporate level projects. Recent project activity; RAG rating; issues and emerging risks; key activities for the next period and requests for change have all been updated.

Recommendations:

The Panel is asked to note and comment on the most recent summary of projects and governance arrangements in place as contained in Appendix One, and the actions being taken to support projects with issues. At Appendix Two is a summary of the standalone IT projects and their current status.

1. BACKGROUND

- 1.1** The Transformation Board has a high-level advisory and monitoring role in relation to the projects delivered by Carlisle City Council. As requested by the Panel, a six-monthly progress update on corporate level projects has been provided by the Transformation Board.

The Corporate Project Status report is hosted on SharePoint and updates to the report are co-ordinated via this platform. The use of this system allows us to access live data; a version history is recorded each time the report is updated; workflows can be configured so that should the status of a project change the Programme Office receive a notification.

Members are aware that a risk-based audit review of Programme & Project Management took place in June 2019. This was presented to the Panel in July 2020. The scope of the audit was to provide independent assurance over management's arrangements for ensuring effective governance, risk management and internal controls are in place over the service objectives. Actions stemming from this Audit are now complete.

These actions include the current SharePoint site being enhanced, to act as a central repository for key information relating to individual projects. As well as a revised lessons' learnt report template being approved at a recent meeting of the Transformation Board, which must be completed and reported for all closed projects.

The Audit recognised the need for the City Council to have a record of "lighter" projects across the authority that are live. This list is now hosted on SharePoint, Managers are asked on a quarterly basis to update the list to ensure it is up to date. It is the role of the Transformation Board to monitor this list.

A refresh of the Project Managers' Handbook is now due. This will involve the suite of templates within being enhanced to include sample risk matrices for projects as well as new lessons' learnt/ project closure forms. Members will be kept updated as this progresses.

2. PROPOSALS

2.1 Project progress in the last six months

A summary of the status of current projects within the Council is detailed in

Appendix 1.

This contains a summary of current corporate project status. The majority of Council projects are progressing to schedule. Those that have issues are indicated with an amber rating, indicating that there are some issues which require attention. There are no corporate projects experiencing major issues, which would have required a red rating.

Members are asked to note that the E-Purchasing project has gone from a green RAG rating to an amber RAG rating. No other corporate level projects have escalated in their RAG rating.

There are no additional projects since this report was last considered by the Business & Transformation Scrutiny Panel in July 2020.

At Appendix Two members will note that a number of the City Council's ICT projects have changed in RAG rating since this was last reported, moving from a green RAG status to a red RAG status. The new Digital & Information Services Manager is now in post. The shift in RAG rating is owed heavily to the on-going Covid-19 pandemic as well as staffing and resource issues within the team. The Chief Executive is aware of the issues and is working with the Digital & Information Services Manager to address these going forward.

The Programme Office has received two requests to close projects down, further details are set out below. Their removal from this report is subject to a future meeting of the Transformation Board considering the lessons learnt report from each project and agreeing the projects can be closed.

The key achievements per project in the last six months are set out below:

Public Realm Improvements

The project is currently reporting a green RAG status.

A package of public realm improvement projects for the city centre area have been developed, designed and costed to RIBA 2 stage through the development of the business case for the Future High Street Fund.

The MHCLG has recently confirmed £9.1M funding as part of the Future High Street Fund and it is these funds that will enable the delivery of these projects.

E-Purchasing/Ledger Update

This project is reporting an amber RAG status. It has escalated from a green RAG status when reported to Members in July. This is owing to the impact of Covid-19 and increased workloads meaning that Officers implementing the system have not been able to fully progress its delivery.

Some progress has been made in that training has begun on the implementation of the system and the roll out to suppliers continues.

Digital Information Services projects

Appendix Two sets out the current status of individual ICT projects. Five of the ten projects are showing a red RAG rating meaning major issues have impacted on progress and require attention. As Members will be aware the Digital & Information Services Manager is now in post. The postholder has regular catch ups with the Chief Executive, in his role as line manager, who is aware of the resource issues within the team which has impacted on delivery of these projects. Further narrative per project is contained within Appendix Two.

Asset Recovery Programme

This project is progressing and is reporting an amber RAG status, indicating that there are some issues which require attention.

A summary of recent project activity as well as key activities for the next period is set out in Appendix One.

The ground floor Civic Centre works are in week twenty one of a sixty-week programme of works (as at 11/3/21) and is progressing well. The internal strip out work is now complete and work is underway on the new Council Chamber element of the reinstatement programme.

European General Data Protection Regulation (GDPR)

A request has been received from the Project Manager to close this project down. Work is continuing to ensure the implementation of Corporate Governance internal audit recommendations. A lessons' learnt report will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

St Cuthbert's Garden Village

This project is progressing and is reporting a green RAG status. A summary of recent project activity is set out in Appendix One. Project risks continue to be monitored and reviewed by the Strategic Board and Project Steering Group.

Sands Centre Redevelopment

This project is reporting a green RAG status and is progressing well.

The project is now in week sixteen of a ninety-eight week programme of works (as at 11/3/21). The main contract documentation has been completed. Demolition of the existing site has taken place. Excavation for foundations and the swimming pool have now commenced. The project is at specialist design stage around specific details for swimming pool, making the building dementia friendly etc. There continues to be a strong focus on Covid-19 risk assessments and compliance.

The Sands Centre project team continues to meet regularly where progress, key activities, emerging issues and the projects risk register are discussed and reviewed. The City Council's Deputy Chief Executive is involved in these meetings and ensures updates are received by the Senior Management Team when required.

Discover England Fund Year Two

A request to close this project has been received from the Project Manager. It is felt that project activity has now been delivered. A lessons' learnt report has been received will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

One Public Estate

This project is reporting a green RAG status. A full summary of recent project activity is set out in Appendix One. Covid remains a significant risk in regard to this project. Phase 8 funding has been secured which will be the basis for planning into the next period to help develop and deliver the projects.

3. CONSULTATION

- 3.1** The Transformation Board will note the version of the Corporate Project Status report at today's scrutiny meeting at its next meeting.

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 4.1** The Panel is asked to note the most recent summary of projects, as contained within Appendix 1 and 2 and the actions being taken to progress projects.

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

The Transformation Board works to ensure quality assurance, alignment to key objectives and sound risk management arrangements in the delivery of the Carlisle Plan.

Contact Officer: **Jason Gooding** **Ext: 7001**

Appendices Appendix One: Corporate Project Status report
attached to report: Appendix Two: ICT Project Status 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:

Corporate Programme Board Project status report March 2021

Key to Status

Red Overdue; Significant issues

Amber Some issues

Green On schedule; In progress

	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
1	Public Realm Improvements	Steven Robinson	Economic Development	<p>March 2021</p> <p>A package of public realm improvement projects for the city centre area have been developed, designed and costed to RIBA 2 stage through the development of the business case for the Future High Street Fund.</p> <p>The MHCLG has confirmed £9.1m funding for the Councils FHSF, that will enable the delivery of these projects.</p>		A register is in place for the project and these continue to be monitored and reviewed.	The commencement of the pre-construction work for the scheme, focussing on survey and design work	None
2	E-Purchasing / Ledger upgrade	Steven Tickner	Finance and Resources	<p>March 2021</p> <p>The project will implement E-purchasing throughout the authority which will streamline the ordering of goods, services and payment of invoices. The web enabled Financials Ledger system front end is required to utilise automatic alerts and process information through system workflow and this will need to be rolled out by July 2021 when the Client version becomes unsupported. This will also allow further system enhancements in the future, such as the Civica Fixed Asset module, transparency reporting module and e-budgeting and contract management. Training began prior to COVID-19 for the rollout of the system and work is continuing to establish workflow requirements in order to get the system rolled out.</p>		COVID and increased workloads have meant that officers implementing the system have not been able to progress the delivery of the system.	Continue roll out to all suppliers. Arrange and provide drop-in sessions to help people get the best from the system and to deal with any issues that arise. Training has begun on the implementation.	None
3	Digital Information Services projects	Christian Lexa	Corporate Support	See separate items detailing individual projects at Appendix Two of this report				
4	Asset Recovery Programme	Darren Crossley	Community Services	<p>March 2021</p> <p>Civic Centre</p>		Civic Centre - existing infrastructure issues are having an ongoing impact on the flood reinstatement work.	Sheepmount (Upper and Lower buildings). Complete the investigation of the hot water system. Engage with GLL to review	None

Corporate Programme Board Project status report March 2021

Key to Status

Red Overdue; Significant issues

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	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				<ul style="list-style-type: none"> - The Advanced works for the Fire Risk assessment, security and access is now complete. - The main contract works and associated smaller procurement packages are underway. - The internal strip out work is now complete, and the re-configuration of the ground floor is underway. <p>Sheepmount (Upper and Lower buildings). The site currently shut due to COVID-19 restrictions.</p>		<p>Sheepmount - completion of the reinstatement of the flood damaged areas not covered by the WYG programme of work e.g. stadium earthworks; Sheepmount (Upper and Lower buildings) Continued risks associated with balancing the hot water system.</p>	management practices and deal with outstanding snags	
5	European General Data Protection Regulation (GDPR)	Aaron Linden	Governance and Regulatory Services	<p>June 2020 Attendance at Records Management Course for Information Governance Manager. Close working relationship with ICT to jointly progress records management. Ongoing implementation of Corporate Information Governance internal audit recommendations</p>		Lack of ICT capacity to embed records management across the Council.	See request for change column	Request to close project to then initiate a Records Management Project. Project manager will complete the project closure report and submit to the next meeting of the Transformation Board.
6	St Cuthbert's Garden Village - Carlisle South Masterplan	Neil Cole	Economic Development	<p>March 2021 Stage 2 Masterplanning Framework was completed by the end of October 2020. Executive approved the Masterplanning Framework as evidence to inform the Plan in Dec 2020. Planning application for Carlisle Southern Link Road submitted was approved in November 2021 with CPO inquiry to commence on 14 June 2020. Interim Housing Delivery Statement submitted as part of HIF contracting process.</p>		<p>Issues and emerging risk Project risks continue to be monitored and reviewed. A risk register is in place and is actively considered by the Strategic Board and Project Steering Group at their respective meetings. Key risks include: - the lack of viability of new development. Mitigation is being delivered with specialist consultants on-board to assess and ensure viability considerations influence the Local Plan moving forward alongside</p>	<p>Key activities for next period Reprofile the scope of works from the reduced Development Corporation Competition funding / Housing Infrastructure Fund and procure those works/specialist requirements as necessary. Report to Exec (4 April 2021) seeking adoption of the Strategic Design SPD. Close monitoring of ongoing technical assessments including Transport and</p>	None

Corporate Programme Board Project status report March 2021

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	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				<p>Consultation on Local Plan Preferred Options held between Nov and Dec 2020 – comments from 69 individuals/organisations received which are now being processed.</p> <p>Draft Strategic Design Supplementary Planning Document consulted on between Nov and Dec 2020. This will aid the process should any proposals for early land release in the area come forward in advance of the Local Plan being adopted. Comments are now being acted upon and appropriate amendments made.</p> <p>A £1.2m Expression of Interest submitted to MHCLG for its Development Corporation Competition to explore the feasibility of different development models and drafting of bid well underway with support from Homes England. Confirmation that we received £745k in February 2021.</p> <p>In February 2021, we received £475k from Homes England’s Housing Capacity Fund to provide technical support to advance the Local Plan.</p>		<p>updating the infrastructure requirements, triggers and costs through the Infrastructure Delivery Plan.</p> <ul style="list-style-type: none"> - premature development proposals in advance of the Local Plan’s adoption. Mitigation includes the adoption of the Strategic Design Supplementary Planning Document. - resources available to the project partly mitigated however by the award of external capacity funding. - An unsound Plan remains a live issue with 2 other garden village plans failing in 2020. Mitigation includes monitoring successful and failed local plans bringing forward garden villages and implement appropriate action as required and securing an early advisory meeting with the Planning Inspectorate to identify and address potential issues prior to advancing to the Regulation 19 Stage. 	<p>Movement Study and LCWIP and procuring new studies to ensure the Local Plan is ‘sound’ at examination incl a Strategic Flood Risk Assessment, Water Cycle Study and Drainage Strategy, Playing Pitch Strategy and Employment Land Review. These will collectively redefine and confirm requirements through a new Infrastructure Delivery Plan alongside an updated viability assessment (incl a ‘policy on’ scenario testing) to inform the Local Plan viability.</p> <p>Review timescales for completion of necessary studies and review the timetable and advance the Local Plan to its formal Regulation 19 and Submission stages by close of 2021.</p> <p>Final Housing Delivery Strategy to be submitted by end of September 2020 drawing on completed interim viability and landowner engagement reports.</p>	
7	Sands Centre Redevelopment	Darren Crossley	Community Services	<p>March 2021</p> <p>Work has now started on RIBA stage 4B and 5. The Newman School and temporary Events accommodation has been completed and handed over for a decant.</p> <p>The second phase of the EA flood works (wall strengthening) has also been completed.</p> <p>The demolition and piling work are now complete, and the groundwork is due to start shortly.</p> <p>Work is ongoing to de-risk the project price and scope of works. This includes the RAAC plank roof in the main events hall.</p>		<p>Focus areas include the investigation of the existing services in the events hall and closing out the remaining design queries and risk in this area.</p>	<p>1) Completion of the RIBA Stage 4B design development on the main project.</p> <p>2) Discharge all pre-construction conditions with the Planning Applications and Building Control Applications</p> <p>3) Continue dialogue with the Environment Agency to look the impact of their proposals on the Sands Centre construction and occupation phases.</p>	None

Corporate Programme Board Project status report March 2021

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	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
8	Discover England Fund Year Two	Debbie Kavanagh	Economic Development	<p>November 2019 (project now complete so no recent update – will be removed from this report once authorised at Transformation Board)</p> <p>Outputs / Outcomes achieved as per amplification project plan, grant offer letter and evaluation plan:</p> <p>Embedding Travel Trade Relationships -we have exceeded our target for trade educationals by 6. In total 5 tour operators are proactively promoting England Originals. AC Tours England Originals product due to launch autumn 2019. We have been advised by all trade partner that the main booking period for US Jan to Mar 2020.</p> <p>Ensuring Trade Readiness –ASTA fam trip postponed to 2020. Over 100 agents have graduated from the England. Originals academy. Additional promotion of the academy modules to agents is still to be delivered by ASTA. Target of 80 suppliers selling through the platform has been achieved.</p> <p>Welcome –<i>text to come from Visit Greenwich</i></p> <p>Commencing Consumer Marketing – Facebook and Instagram accounts established 6 DMO's are promoting England Originals via their online presence.</p> <p>Press trips –4 journalists have visited (target 3). Coverage is being published on an ongoing basis.</p> <p>Influencers –2 influencers have visited and covering (blogs etc) are being published on an ongoing basis.</p> <p>A one day event has been held to showcase England Originals and disseminate information and learning from the project. It was attended by 160 delegates from across the UK and involved case studies from across the country and abroad on the subject of interpretation.</p>		The project risk register was reviewed at the last Project Board meeting on 21 October 2019 and closed as the project is now completed.	Final Grant payment received. Project came in in on target with a small surplus which will be utilised as Carlisle City Council's contribution towards round 5 Discover England Fund activity.	Project activity now delivered. Closure of project now requested to be considered at future meeting of Transformation Board.

Corporate Programme Board Project status report March 2021

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				Project Mgt / Delivery - 1 full partnership meeting was held in June. Two project board meetings have been held.				
9	One Public Estate	Darren Crossley	Community Services	<p>March 2021</p> <p>The One Public Estate (OPE) Programme is progressing well, and we are hopeful of a positive funding announcement, which is expected this month. Hot on the heels of that, we are also expecting the announcement of £100m of brownfield funding being made available through OPE9, with a quick turnaround, to drive the development of affordable housing across the country.</p> <p>The current Cumbria Partnership OPE Programme is broken down into 5 main workstreams:</p> <p>1) Public Sector Reform and Efficiency, which is delivering the following:</p> <ul style="list-style-type: none"> • Estate Rationalisation with the NHS progressing site co-location in South Cumbria: <ul style="list-style-type: none"> ○ Draft Heads of Terms have been issued for Kendal and Murley Moss options. ○ Discussions are ongoing to secure a site in Barrow as a Mental Health Resource Centre and clinic. ○ All districts are being encouraged to rationalise their estate as much as possible as there is reduced need for office space due to Covid and home working and in readiness for LGR. 		Covid remains a significant risk, particularly in the roll out of the Health and Communities co-location and integrated service development plans alongside the need to gain senior NHS buy-in from NCIC to the continued roll out in Penrith, Whitehaven and potentially Workington as well. Further funding may also be required to develop the Housing and Public Sector Reform and Efficiency themed projects.	In addition to the priorities, noted above, key activities for the future OPE programme include: The development of the funded themes following the OPE Phase 8 announcement and the preparation of further funding opportunities that may arise to help to develop and deliver the projects within all of the themes, noting that the OPE team currently only consists of a Programme Manager.	None

Corporate Programme Board Project status report March 2021

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				<ul style="list-style-type: none">○ Office hub options are being considered for the NDA and Sellafield Ltd (SL) in Carlisle, Whitehaven, Millom, Workington and Penrith.● Covid Deep Dive Sessions were initially run in September to identify LFE and to work with various Leads from Customer Service, HR, Property and H&S, and IT in order to provide support, share issues and identify any efficiencies that could be made across the county. Further sessions are being run to continue the conversations and develop good working relationships, providing further support as the pandemic continues.● Public Sector Hub partner engagement continues around the development of a welfare hub in Voreda House in Penrith with an aspiration to be in by late autumn 2021 as the blueprint for other hubs being considered across the county in Barrow, Carlisle, Maryport and Whitehaven.● Shared Storage is being considered by all local authorities, Cumbria Constabulary, the NHS, NDA and SL. Options have been submitted from the MOD, Allerdale and SLDC following an initial request for 300,000 sq ft of warehousing space for SL and a joint GPA led Warehousing Audit is being considered as a pilot project in Cumbria, following on from the				

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				<p>national civil estate audit currently being completed.</p> <ul style="list-style-type: none">• Fleet and Depots are being considered across the county with the development of:<ul style="list-style-type: none">○ Transport Managers Meetings being led by Austin Shields from the County Council.○ Quarterly Fleet Technicians Meetings being led by Phil Robinson from Cumbria Constabulary.○ Depots Rationalisation with the long-term plan for a mega depot in the north and south of the county; medium-term plans for shared depots e.g. Cumbria Constabulary in Lillyhall with NWAS; and short-term solutions are also being considered.○ Shared Pool Cars are being sought through Co-Wheels, who work with local authorities UK wide to deliver an affordable, green, leased fleet solution that could be shared county wide with Cumbria Constabulary and other partners as required.○ Electric Vehicle Infrastructure opportunities are being discussed with Cumbria Action for Sustainability, the Zero Carbon Cumbria Group, Charge my Street and the Energy Saving Trust for all				

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				<p>local authorities, Cumbria Constabulary, the NHS and SL, alongside LDNPA and Cumbria Tourism as well. This Gridserve forecourt in Essex is truly inspirational: First Electric Forecourt in the UK.</p> <ul style="list-style-type: none">• Health and Communities, which is developing integrated service models through the co-location of NHS MSK physios in leisure centres across the county. It started with co-location in the Sands Centre in Carlisle in 2017 and is now quickly being developed for delivery in Kendal, Barrow, Whitehaven, Penrith, Ulverston and potentially Workington as well. The services being developed include: Escape Pain, Weight Management, Cardiac Rehab, Pulmonary Rehab, and Falls Prevention and Rehab and will now include Covid Rehab as well. <p>This is gaining national interest and a Cumbrian case study was included within a national NHS Health on the High Street report, which was published by Michael Wood from NHS Confed in December, following a round table event that took place in August 2020 with leaders from the NHS, local government, community businesses and a range of invited experts, that revealed an appetite to reimagine our relationship with the high street and realise the role of health in supporting economic and social recovery, particularly in light of COVID-19. The report provides</p>				

Corporate Programme Board Project status report March 2021

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Amber Some issues
Green On schedule; In progress

	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				<p>recommendations of how the NHS, local authorities and local enterprise partnerships can seize the opportunity to put health at the heart of our place to address health inequalities, offer additional capacity for health service delivery and attract more people into our local high street, while encouraging healthier lifestyles.</p> <p>An initial discussion took place with Pat Graham, Darren Crossley, and Jo Lappin on 21st January in order to begin to consider what this might mean for us in Cumbria. Following a further discussion with Pat and Jo on 26th February, a Discussion Paper will be prepared to prompt the discussion at various forums, particularly the SRCG.</p> <ul style="list-style-type: none">• Housing, which we believe will pick up pace, following the introduction of a relatively new Emerging and Developing Markets manager at Homes England, who is an ex-OPE Programme Manager and is committed to doing all she can to help to deliver affordable housing, extra care accommodation and supported living for our Cumbrian communities, noting our ageing workforce. She has already set up monthly meetings with the OPE Programme Manager to help to drive forward the projects within our Housing workstream, which currently include: Caldew Riverside in Carlisle, the Marina Village in Barrow, the Wellbeing Village and West Cumberland Hospital Site in				

Corporate Programme Board Project status report March 2021

Key to Status
Red Overdue; Significant issues
Amber Some issues
Green On schedule; In progress

	Project Title and Description	Project Manager – to include confirmation project is live	Directorate	Recent project activity for live projects only	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				<p>Whitehaven, any housing opportunities there may be at Newton Rigg in Penrith, any former Cumbrian school sites being made available and with an interest in Maryport Harbour as well.</p> <ul style="list-style-type: none">• Town Centre Regeneration continues through the Station Gateway and Citadels Projects in Carlisle and in conjunction with all the Future High Street Fund and Town Deal bids in Barrow, Carlisle, Cleator Moor, Maryport, Millom and Workington.• Economic Growth continues with the inclusion of a University of Cumbria campus development within Brilliant Barrow’s Town Deal Investment Plan.				

Corporate Programme Board ICT Project status report March 2021

Key to Status

Red Overdue; Significant issues

Amber Some issues

Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
1	Security Incident Event Management (SIEM) Implementation. Used to monitor/highlight/report all security incidents on servers, client computers, IT infrastructure, office 365. Identified as a need in Security audits in 2019	David Strong	Resources	<ul style="list-style-type: none"> implemented 	Green	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> Monitored by Softbox 	Request for Project Closure
2	Windows 10 Upgrade from 1709 to 20H2 Windows 10 1709 EOL October 2020	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> Looking at upgrade process and how the version updates could be done remotely with people working from home 	Red	<ul style="list-style-type: none"> On unsupported version of Windows 10 Lack of dedicated resources to undertake the project work 	<ul style="list-style-type: none"> Confirm upgrade process and sequence for interim version of Widows 10 1809 End User testing with Line of Business apps Commence roll-out to end users Looking at 3rd party support required for implementation 	
3	Remaining Windows 7 clients – 3 remaining clients Windows 7 EOL 14 th January 2020	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> Last department (Licensing) migrated to Windows 10 14/3/20 BACS software transferred to ICT desktops Notice given to Community Centres 	Red	<ul style="list-style-type: none"> Windows 7 is now End of Life (14th January) and updates no longer being issued by Microsoft Awaiting Mastercard to issue Windows 10 Compliant software before Machines (3) can be upgraded to Windows 10 	<ul style="list-style-type: none"> Upgrade Chip and Pin Machine (3) dependent on Mastercard Community centres to be migrated off by 31/3/21 Property Services Heating system to be transferred to Windows 10 Computer 	
4	User H Drive to One drive Migration Move documents newer than 2015 floods to One Drive for access in Office 365. Older documents will be read-only on their H Drive and user can migrate these manually. Once project complete all remaining documents will be archived	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> Due to Covid Response and staff resources this is currently on Hold Also reliant on Windows 10 upgrade 	Red	<ul style="list-style-type: none"> Lack of dedicated resources to facilitate scoping and migration 	<ul style="list-style-type: none"> Continue Testing Roll-out to staff will commence as part of Windows 10 Upgrade from 1709 to 2009 	
5	Server 2008 Decommission There are still some corporate systems (9) in operation using Windows Server 2008	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> RBS moved to new citrix farm for Academy 	Red	<ul style="list-style-type: none"> Server 2008 End of Life 14th January 2020 and updates only issued through extended support Lack of dedicated resources to facilitate scoping and migration Willingness of Departments to migrate/upgrade systems 	<ul style="list-style-type: none"> Purchase extended support to cover critical servers Migrate RBS W360 to new Citrix farm Develop Plans to migrate to newer versions Working with Departments/Suppliers on migration plans/costs and ICT Resource requirements 	

Corporate Programme Board ICT Project status report March 2021

Key to Status

Red Overdue; Significant issues

Amber Some issues

Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
6	Intranet move to SharePoint online (office 365) and K Drive document move to SharePoint Sites (Office 365). Currently Intranet is on 2008 servers and End of Life. Departmental documents (K Drive) are on 2008 Servers and can't be accessed through Office 365	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> Need to review as a corporate project rather than ICT and ensure it has the correct resources 		<ul style="list-style-type: none"> Staff availability in departments to do the migrations Lack of Corporate buy-in of Solution Lack specific dedicated resources to sharepoint roll-out 	<ul style="list-style-type: none"> Corporate buy-in of new solution Develop Document classification and retention policies as a base for building the SharePoint/intranet sites Identify pilot departments/teams to migrate K drive documents to Meeting on Intranet design/proposal – postponed due to Covid Pilot document migrations Secure external consultancy support for requirements and early implementation 	
7	Office 365 Security Review Review of Office 365 security and access from devices especially BYOD and ability to download documents to personal devices. MFA (multi factor authentication) enabled on users but need to restrict access from non-council devices to ICT approved connections only	Laura Griffiths/David Strong	Resources	<ul style="list-style-type: none"> Working with external partner for advice and implementation of: Conditional access Azure AD Security 		<ul style="list-style-type: none"> Re-visit members and officers who need MFA configured 	<ul style="list-style-type: none"> Corporate buy-in of solutions implemented Test with pilot group Plan full organisation roll-out 	
8	Council Websites Review Review security, access and updating information on council websites	Laura Griffiths/Martine Kelly	Resources	<ul style="list-style-type: none"> Security review of websites undertaken with Cantarus Implementation of security recommendations started 		<ul style="list-style-type: none"> Current ICT officer responsible for development on websites retires in June 	<ul style="list-style-type: none"> Recruitment of ICT officer for web development Website content updating to be moved to Policy and Comms team Review options for continued on-premise solution or cloud hosted solution 	
9	3rd Party Software Security Review Review of 3 rd party software and how systems are accessed including: <ul style="list-style-type: none"> Access using current user network login Separate login details – including password complexity MFA enabled or capable Cloud or on-premise login security Access only from white-listed IP's 	Laura Griffiths/Martine Kelly/David Strong	Resources	<ul style="list-style-type: none"> Initial ICT discussions around 3rd party software security and remote access 		<ul style="list-style-type: none"> Concern around 3rd party software and how systems are protected from unauthorised access 	<ul style="list-style-type: none"> Scope/review 3rd party software and access mechanisms with departments Discuss with supplier's access options for their software 	
10	Telephony Cisco Telephone system to end of life including contact centre	Laura Griffiths/David Strong/Matthew Ward	Resources			<ul style="list-style-type: none"> Lack of resources External Consultancy Required 	<ul style="list-style-type: none"> Initial scoping exercise being undertaken Gartner technical services engaged to understand the market options 	

Corporate Programme Board ICT Project status report March 2021

Key to Status
Red Overdue; Significant issues
Amber Some issues
Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
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Report to Business & Transformation Scrutiny Panel

Agenda Item:

A.3

Meeting Date: 1st April 2021
Portfolio: Finance, Governance & Resources
Key Decision: Not Applicable:
Within Policy and Budget Framework NO
Public / Private Public

Title: CORPORATE RISK REGISTER
Report of: Deputy Chief Executive
Report Number: CS.19/21

Purpose / Summary:

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

Recommendations:

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

Tracking

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

1. BACKGROUND

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

2. PROPOSALS

Corporate Risk Register – progress since the last report to Business & Transformation Scrutiny Panel on 3rd September 2020.

- 2.1 Members will be aware that the Corporate Risk Management Group (CRMG) is responsible for delivering and reviewing the Risk Management Assurance Framework, maintaining and improving risk management processes as well as monitoring and advising on the Council's Corporate Risk Register.
- 2.3 The CRMG meets quarterly and most recently met on the 11th March 2021. Special meetings will be called by the Chair should risks be escalated and require an intervention from the CRMG or Senior Management Team.
- 2.4 The CRR was last reviewed by the CRMG at its 11th March 2021 meeting. The control strategy narrative as well as assessment dates and target risk scores have been updated since this meeting and an up to date version is attached at Appendix One.
- 2.5 At its meeting on 1st December 2020, Members of this Panel requested a risk assessment be carried out in relation to the potential impact and implication of a 'Hard' or 'No Deal' Brexit on the City Council and delivery of its services.

This work has been undertaken and the risk assessment was considered by the CRMG at its most recent meeting to discuss whether this risk was to feature on the Council's Corporate Risk Register. The CRMG felt that the risk assessment should be kept under review at an operational level. It was agreed at this meeting that the biggest risk to the City Council is not keeping ahead of new legislation and ensuring a good level of awareness amongst service managers. It is recognised that the

Council will have to respond to issues presented by this issue that are ultimately beyond its control.

- 2.7 None of the risks have escalated in their RAG rating since this was last reported to Members.
- 2.8 The Council's Risk Management sub-group has continued to meet. This sub-group is chaired by the Chief Executive's Office Manager. Penholders for the risk registers are required to attend meetings and present the operational/project risk register that they are responsible for. The Sub-Group acts as a "critical friend" ensuring that risks are comprehensive; accurately scored; relevant, that a consistent approach has been taken etc. The Sub-Group has now considered each operational risk register from across the Council. It is a number of years since the first operational risk register was reviewed by the Group and as such the Group will work its way through the registers for a second time, to ensure standards have been maintained.
- 2.9 The sub-group focuses on risks at an operational/directorate level. Issues raised here can be escalated to the CRMG if deemed appropriate. The CRMG receive the minutes from the Sub-Group for information as a standing item on their agenda.
- 2.10 Updates of operational risk registers for this period have been completed within the specified timescales as set out in the City Council's Risk Management Assurance Framework. These updates are co-ordinated via SharePoint.
- 2.11 The Risk Management Sub Group commissioned a piece of work to be carried out by Zurich. The scope of this piece of work included assessment of the City Council's overarching approach to conducting operational risk assessments, in line with its Risk Management Assurance Framework. This included a review of the procedures for undertaking and assessing risk assessments in relation to liability risks and the arrangements for ensuring consistency and competence.

An action plan has been formulated including nine recommendations for action. This has been considered by the Risk Management Sub Group and timescales will be applied to each action. The Risk Management Sub Group have updated the Corporate Risk Management Group as to the contents of this report and will take on a monitoring role going forward. A copy of this report is attached at Appendix Two for Members' information. This had been a positive piece of work and provided much welcome external challenge to the City Council's processes.

2.12.1 In light of the current Covid-19 pandemic, risk register owners were asked to review their operational risks and to amend current or add new risks so as to reflect the emerging picture. Newly identified risks are around income shortfall; reputational damage associated with cancellation of events, the impact an outbreak could have on staffing levels in key service areas and so on. This is hosted on SharePoint and has been considered by the Risk Management Sub-Group. Regular updates on these risks will be sought.

3. CONSULTATION

Corporate Risk Management Group meeting on 11th March 2021.

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

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

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

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

Contact Officer: Tracey Crilley

Ext: 7114

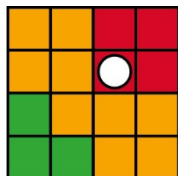
Appendices :

Appendix 1 – Corporate Risk Register attached to report

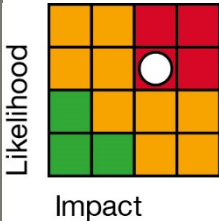
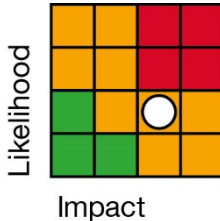
Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers:

Corporate Risk Register – March 2021

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

Preparing for the future funding of local government from 2022				
There is a risk that the Government fails to communicate changes to future local government funding from 2022 in a timely manner, meaning that the City Council cannot effectively prepare for these changes.				
Present Matrix	Assessment Date	Present Risk Score	Control Strategy/Mitigating Actions	Target Risk Matrix
 <p>Likelihood</p> <p>Impact</p>	March 2021	9	<p>The Senior Management Team and the Finance & Resources Directorate are focussed on monitoring the development of government/local taxation and funding proposals for District Councils. However, the Government has confirmed that the two reviews; A Review of Local Authorities Relative Needs and Resources & The Business Rate Retention Reform (75%), will no longer be implemented in 2021/22. The Comprehensive Spending Review expected later this year has also been deferred until 2022. Therefore, there will be a one-year Spending Review for 2021/22 only, meaning that we still do not yet have a sufficiently clear picture of future funding. It is only when the results of these reviews are provided that they can be used to inform our baseline funding levels for 2022/23; however, this may not be known until the autumn of 2022.</p> <p>The MTFP and Capital Investment Strategy for 2021/22 to 2025/26 were approved by Council in September 2020. These included up to date announcements and guidance issued by Central Government on baseline funding and other specific grants and funding as a result of COVID-19. Therefore, we await the outcome of the two reviews to feed into the 2022/23 budget process, and in the meantime, continue to closely monitor our income and expenditure in key areas and keep abreast of any government announcements and guidance issued by the MHCLG.</p>	 <p>Likelihood</p> <p>Impact</p>

Impact Score	3		Target Risk Date	October 2022
Likelihood Score	3		Target Risk Score	4
			Lead Officer	Alison Taylor
			Portfolio Holder	Finance, Governance & Resources
			Scrutiny Panel	BTSP

RESOURCES				
There is a risk that the financial impact of the Covid-19 pandemic on the Council's budget is not fully understood which may require future changes to the Council's Savings Strategy.				
Present Matrix	Assessment Date	Present Risk Scores	Control Strategy/Mitigating Actions	Target Risk Matrix
	March 2021	9	<p>A balanced budget for 2021/22 to 2025/26 was approved by full Council on 17th February 2021; with a savings requirement in order to maintain a minimum level of reserves. The Savings Strategy has been reviewed by both SMT and JMT (March 2021) to feed into the Medium Term Financial Plan for the next five year financial planning process, and areas for potential savings identified for 2021/22 and 2022/23. An exercise will commence shortly to align resources to the new Carlisle Plan priorities, and a Task & Finish Group will be established to assist in the production of a Commercialisation Strategy for the Council. Additional COVID funding of approximately £616,000 has been allocated as part of the finance settlement for 2021/22. The financial implications arising from COVID-19 continue to be monitored through monthly returns to the MHCLG. Emergency funding has been provided in 2020/21 totalling £1.8million and a co-funding package, providing a mechanism for irrecoverable sales, fees and charges income, with the Government funding 75% of losses beyond 5% of planned income, has provided funding of £381,035 to date. The MHCLG also announced that any deficits within the Collection Fund will be subject to a 3-year recovery period; this being a significant risk to the Council in terms of the potential loss of income received from Council Tax and Business Rates. The economic recovery of the city and surrounding areas, following the pandemic, and as part of the Recovery Strategy, is key to ensuring financial sustainability of the Council. The Council's Savings Strategy and the achievement of savings may therefore be subject to review once the financial impact of Covid-19 on the Council's budget becomes clearer during 2021/22.</p> <p>At the present time the Council's S151 Officer does not believe that a S114 notice is required; however, this decision will be revisited periodically once more information on budgetary pressures, in terms of loss of income and additional costs, is known and any new Government funding packages are announced.</p>	

Impact score	3
Likelihood score	3

Target Risk Date	November 2021
Target Risk Score	6

Lead Officer	Alison Taylor
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Portfolio Holder	Finance, Governance and Resources
Scrutiny Panel	BTSP

REVENUE/CAPITAL/ASSETS				
There is a risk that we fail to fully recognise and manage our operational and investment assets leading to high long-term dilapidation costs and reducing control on future capital decisions				
Present Matrix	Assessment Date	Present Risk Score	Control Strategy/Mitigating Actions	Target Risk Matrix
	February 2021	6	<ul style="list-style-type: none"> The Council has an approved Asset Management Plan which is updated annually in which it sets out its control strategy, including maintenance, of its operational and non-operational assets. Further, Council properties are subject to a rolling programme of inspection. The Medium-Term Financial Plan will also give consideration to the capital requirements of this programme. Following completion of condition surveys on our operational and investment portfolio an investment programme has been prepared and implemented to upgrade areas of the portfolio to ensure properties remain fit for purpose. Covid-19 has impacted on our ability to progress our full capital works programme however this will be re-programmed and undertaken once restrictions are eased. 	

Impact score	3		Target Risk Date	October 2021
Likelihood score	2		Target Risk Score	6
			Lead Officer	Mark Lambert
			Portfolio Holder	Finance, Governance & Resources
			Scrutiny Panel	BTSP

ECONOMIC REGENERATION/DEVELOPMENT				
There is a risk that we fail to effectively prioritise and resource key city regeneration sites and miss the opportunity to take these forward in a progressive manner that meets the Council’s aspirations.				
Present Matrix	Assessment Date	Present Risk Scores	Control Strategy/Mitigating Actions	Target Risk Matrix
<div> <div>Likelihood</div> <div> <div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div></div> <div></div> <div></div> <div></div> </div> </div> <div>Impact</div> </div>	March 2021	6	<p>The key regeneration sites continue to be progressed through the Borderlands Inclusive Growth Deal:</p> <ul style="list-style-type: none"> Carlisle Railway Station: the MHCLG has approved the business case to release the £20m funding allocated to the project. Citadels: the preparation of a detailed business case for the site is now nearing completion for a £72m development that will create a campus for the University of Cumbria and a new business innovation centre Caldew Riverside: £850,000 has been secured through the Town Deal Capital Accelerated Fund to remediate the site and prepare it for a residential redevelopment <p>Two key regeneration opportunity sites have also been included in the Council’s business case for Future High Street Fund investment:</p> <ul style="list-style-type: none"> Central Plaza: funding to support and accelerate the redevelopment of the site. 6-24 Castle St. - funding to support and accelerate a repurposing of the building. 	<div> <div>Likelihood</div> <div> <div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div></div> <div></div> <div></div> <div></div> </div> </div> <div>Impact</div> </div>

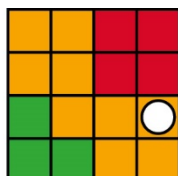
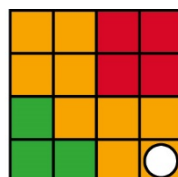
Impact score	3
Likelihood score	2

Target Risk Date	March 2021
Target Risk Score	3

Lead Officer	Jane Meek
Portfolio Holder	Economy, Enterprise and Housing
Scrutiny Panel	EGSP

ECONOMIC/ REGENERATION

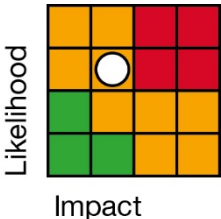
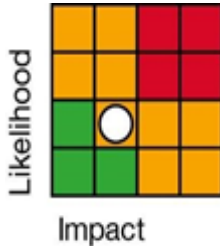
There is a risk that the City Council will not fulfil its obligations as set out in the Carlisle Southern Link Road (CSLR) Grant Determination Agreement with Homes England and that subsequently the funding will be withdrawn, this meaning that the City Council will consequently have to pay the County Council £5m as agreed in the Collaboration Agreement with the County Council.

Present Matrix	Assessment Date	Present Risk Score	Control Strategy/Mitigating Actions	Target Risk Matrix
 <p>Likelihood</p> <p>Impact</p>	March 2021	8	<p>Actions completed to Date:</p> <p>SCGV Masterplan Framework - finalised and submitted to Homes England in November 2020 and subsequently endorsed as evidence to the emerging Local Plan by Executive (December 2020).</p> <p>SCGV Strategic Design Supplementary Planning Document - was consulted on between November and December 2020. Comments have been reviewed and amendments prepared. Scheduled to be considered and adopted by Executive on 6 April 2021.</p> <p>SCGV Final Housing Delivery Statement – scope and content of the HDS agreed with Homes England and both the Outline and Interim Housing Delivery Statements have been successfully submitted to Homes England in accordance with the HIF Agreement. Final Housing Delivery Statement to be submitted in September 2021 will be informed by <i>inter alia</i> the revised outputs from the infrastructure/viability analysis (detailed below).</p> <p>SCGV Local Plan – consultation on the Overview and Scope of the local plan content was undertaken between September and October 2019. This in addition to the SCGV Masterplan Framework informed the Preferred Options Draft (consulted on between November and December 2020). 69 individuals and organisations responded and comments are being analysed. Further evidence is being collated / to be commissioned to refine and further inform the Plan’s infrastructure requirements and viability (fundamental to securing a sound plan). Future programme to now be reviewed to confirm the formal Regulation 19 Publication Draft in mid-2021.</p> <p>Wider Control Measures include:</p> <ul style="list-style-type: none"> Joint County and City Strategic Partnering Board provide oversight on progress and achievement of milestones. Risk Register for the Board is a standing item on the agenda and is regularly updated. Strong Governance and project management arrangements and detailed project plan for preparing the Masterplan and the Local Plan. Detailed risk register is a standing item on the St Cuthbert’s Garden Village Strategic Board and is continually updated. Continued work with cross party St Cuthbert’s Garden Village Members’ Advisory Group (MAG) to ensure they remained briefed and supportive. MAG fulfil their role especially in relation to championing the project to wider members. Interim Procedures in place to guide early applications – design SPD and procedural guidance by legal advice on the strategy for handling planning applications for land release. Effective engagement strategy/comms plan and strong project management of engagement process. Timely feedback of outcomes of community consultation. 	 <p>Likelihood</p> <p>Impact</p>

Impact score	4
Likelihood score	2

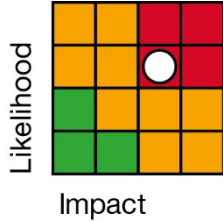
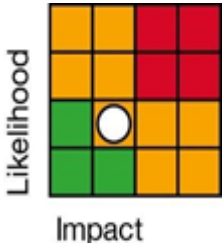
Target Risk Date	May 2021
Target Risk Score	4

Lead Officer	Jane Meek
Portfolio Holder	Economy, Enterprise & Housing
Scrutiny Panel	EGSP

CULTURE & SPORT				
There is a risk that we fail to deliver the required new leisure facilities at the Sands Centre, on time and within budget and therefore do not meet the saving targets identified in the Medium Term Financial Plan.				
Present Matrix	Assessment Dates	Present Risk Score	Control Strategy/ Mitigating Actions	Target Risk Matrix
	Feb 2021	6	<p>Sands main works contract has now been signed and work has started on the main site. The project is currently on target for completion and within budget.</p> <p>An assessment has been made of the impact of Covid-19 based on current guidelines and a range of mitigating measures have been built into the contract and working arrangements. These align with Construction Leadership Council operating procedures.</p> <p>Brexit – where possible arrangements are in place to mitigate the impact of delays in the supply of materials which are imported, manufactured from imported materials or are currently produced in the UK by an overseas company.</p> <p>Further work is currently being undertaken on exploring options for monitoring the condition of the Events Hall roof. This work was outlined in previous Executive and Council reports. Once this more detailed survey work has been completed resulting actions / monitoring plans will be explored with Executive.</p> <p>Work is also underway with GLL to establish the financial impact of Covid-19 and any project delays on the Council's Leisure Management Contract. The results of these discussions will inform any future risk scoring / mitigating actions.</p> <p>Internally Council officers have also set up a 'client' monitoring group to review progress, learn from any lessons and provide a resource for future capital project developments.</p>	

Impact score	2
Likelihood score	3

Target Risk Date	June 2021
Target Risk Score	4
Lead Officer	Darren Crossley
Portfolio Holder	Culture, Heritage & Leisure
Scrutiny Panel	HWSP/BTSP

Corporate Support				
There is a risk that critical Information and Technology (I&T) applications or infrastructure become unavailable which impacts on the delivery of council services.				
Present Matrix	Assessment Dates	Present Risk Score	Control Strategy/Mitigating Actions	Target Risk Matrix
	March 2021	9	<ul style="list-style-type: none">• UPS in computer room.• Increased use of cloud based software, such as Salesforce• Purchase of resilient Internet connection – to be implemented• Virtual server hosts can automatically move virtual servers around• Snapshots of servers before any upgrades are done• Monthly patching of clients• Confirm that all council services have adequate Business Continuity plans during annual ICT needs assessments. <p>Planned actions: Fully automated patching of servers Refresh and test the council I&T Disaster Recovery plans.</p>	

Impact score	3
Likelihood score	3

Target Risk Date	January 2021
Target Risk Score	4
Lead Officer	Jason Gooding
Portfolio Holder	Corporate Support
Scrutiny Panel	BTSP

Corporate Support
There is a risk that our digitally held data becomes unavailable, unreliable or is stolen due to error, negligence or malice

Present Matrix	Assessment Date	Present Risk Score	Control Strategy/Mitigating Actions	Target Risk Matrix
<div><div>Likelihood</div><div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div><div></div><div></div><div></div><div></div></div><div>Impact</div></div></div>	March 2021	9	<ul style="list-style-type: none">All user workstations protected by BitLockerMobile devices and USB portable devices encryptedAccess Management of users on all systemsImplemented basic data loss protection policy in Office 365 including email <p>Planned actions: Categorisation of data Enhanced DLP (Data Loss Prevention) policies</p>	<div><div>Likelihood</div><div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div><div></div><div></div><div></div><div></div></div><div>Impact</div></div></div>

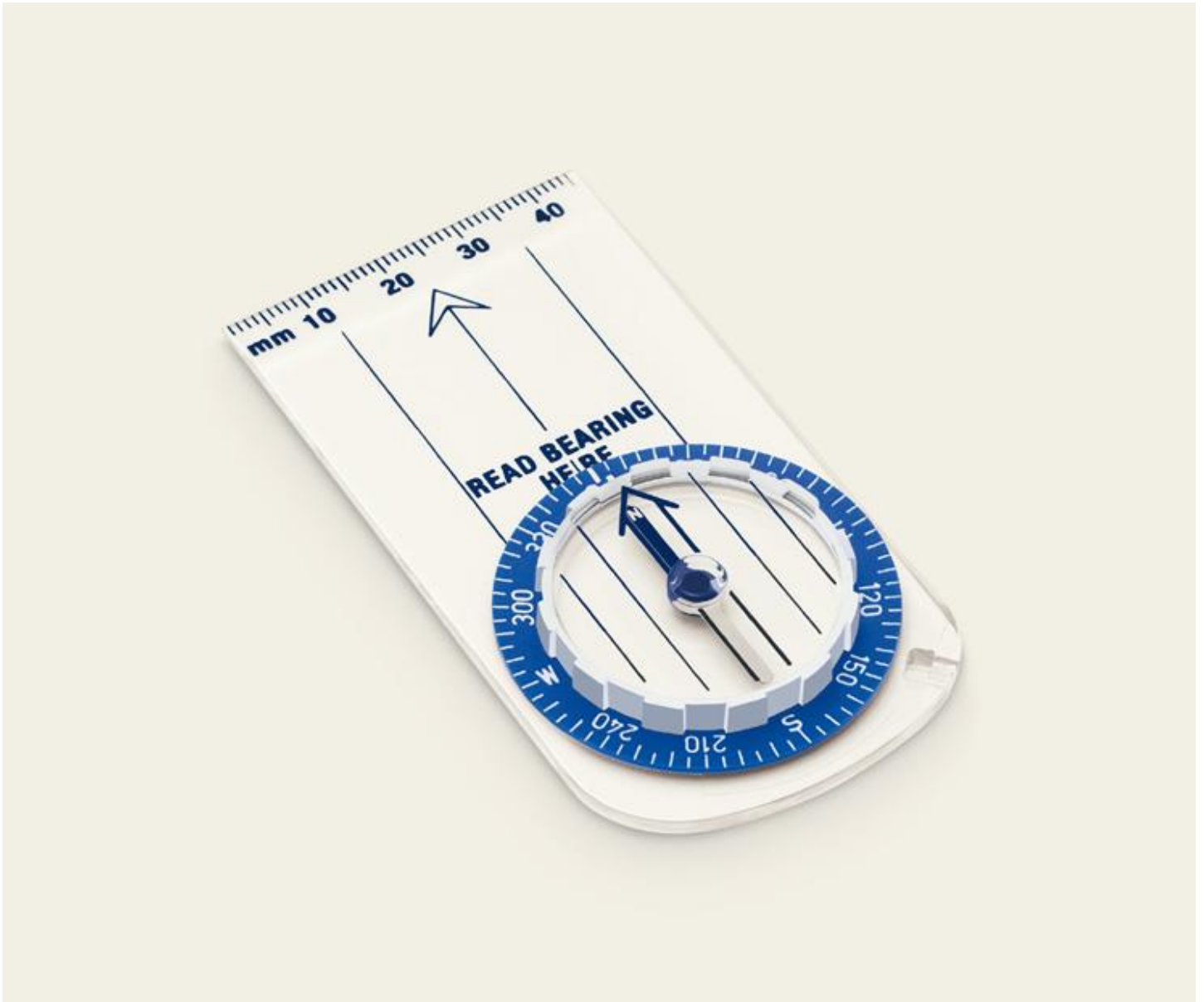
Impact score	3
Likelihood score	3

	Target Risk Date	December 2020
	Target Risk Score	6
	Lead Officer	Jason Gooding
	Portfolio Holder	Corporate Support
	Scrutiny Panel	BTSP

Risk Engineering

Risk Improvement – Liability: Operational Risk Management Review

Helping you to understand and mitigate your risks



Date of Issue: 16 Nov 2020
Confidential

Carlisle City Council
Civic Centre, Rickergate
Carlisle
CA3 8QG
United Kingdom

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Table of contents	Page
Executive summary	4
Abstract on risk improvement action.....	8
Risk improvement action	8
Summary of findings.....	12
Final remarks	15
Appendix	16
Additional services.....	17
Your feedback.....	17

Executive summary

Scope and purpose

This Operational Risk Management Review focused on Carlisle City Council ('the Council') systems for the assessment of key operational risks and the procedures for developing and updating operational risk registers across each of the Council's Service Areas. The review considered the risk assessment policies, methodologies and guidance used by each Service Area and the internal arrangements and working practices to assist in managing operational risks, implementing suitable mitigating measures and defending liability claims.

The review included interviews with representatives from each Service Area with responsibility for managing the risk assessment process and overseeing the updating of the operational risk register. Due to ongoing restrictions on site visits as a result of the current pandemic, interviews were conducted remotely, with relevant documentation shared electronically.

The scope of the review included the overarching approach to conducting operational risk assessments and updating the operational risk register, in line with the Council's *Risk Management Assurance Framework*, the procedures for undertaking risk assessments in relation to liability risks and the arrangements for ensuring consistency and competence. The following Service Areas were involved in the review;

- Building Control
- Carlisle Partnership
- Customer Services
- Financial Services
- Green Spaces, Bereavement Services, City Centre Management
- Homeless Prevention & Accommodation
- Human Resources & Payroll
- Investment & Policy
- ICT
- Neighbourhood Services
- PA Support
- Planning Services
- Policy & Communication
- Property Services
- Regulatory Services
- Revenues & Benefits Service
- Workforce Development

When assessing a customer's approach to operational risk management, Zurich Risk Engineering (ZRE) look for there to be a defined corporate policy or approach to undertaking risk assessment, implemented through;

- Risk identification – *established risk management framework, clear systems for identifying risks and controls and effective management of risk assessment documentation;*
- Assessment of risks – *defined processes for assessing the significance of risks and the suitability of controls;*

- Risk-based action plans – *using the results of risk assessments to determine necessary mitigating actions and systems for tracking the completion of identified actions;*
- Training & competence – *arrangements to ensure that risk assessors are trained & competent;*
- Monitoring & reviewing – *structured arrangements to monitor & review risks and to respond to new and emerging risks.*

This report includes brief commentary on the positive features of operational risk assessment arrangements, together with recommendations and 'Risk Improvement Actions' (RIAs), where these are considered necessary. RIAs are actions that Zurich Risk Engineering would recommend in order to improve the system to a good standard or to improve claims defensibility. Other recommendations may be made that help to develop the risk assessment regime but are not considered as important as RIAs.

Understanding the risks

Public liability claims can come from any third party who believes they have suffered either personal injury or property damage as a result of the Council's negligence. Many claims result from alleged defects to property and other assets. Local Authorities are often seen as soft targets for public liability claims as they have significant property portfolios and assets that are open to a wide demographic of people. Employers liability claims can arise when an employee believes they have suffered personal injury at work as a result of the Council's negligence, or the negligence of another person.

Whilst the Council has insurance policies in place to meet the cost of claims, it must be recognised that claim settlement payments are only part of the true claim cost. Time taken to investigate and process claims requires resources to be committed and inevitably there can be disruption to services. Hidden costs associated with claims can be several times more than amounts met by insurers.

A breakdown of Carlisle City Council's liability and motor claims for the previous two years is included in the Appendix. In addition to the claims listed which were referred to the insurer, there are a significant number of claims which fall within the excess and are not referred to the insurer. These claims are handled internally, with costs met by the Council. When taking into account the claims handled internally, for the period 01/05/2019 to date, there were a total of 27 public liability claims and 162 motor claims.

Adequate risk assessment arrangements, combined with suitable mitigation measures and record keeping, remain a key tool in terms of identifying and reducing the number of potential risks and minimising the potential impact on the organisation. They are also of great importance in the prevention of accidents and incidents in the first instance and in the defence of public or employer's liability claims.

The review examined the Council's arrangements for undertaking risk assessments. It was pleasing to note that there are established risk assessment arrangements in place in each of the Service Areas that were sampled. This report considers the risk assessment practices implemented by each of the Service Areas reviewed.

Positive features

- The Council has defined its general approach and commitment to managing risk in the *Risk Management & Assurance Framework* document, which is signed off by the Chief Executive;
- There was good understanding amongst Risk Owners of risk assessment responsibilities and the requirement to periodically review operational risk registers for each Service Area;
- All operational risk registers had been updated in line with the timescales set out in the *Risk Management & Assurance Framework*;
- It was evident that Risk Owners had considered the impact of current risks on their operations, e.g. the impacts of COVID-19 on operations appeared on risk registers;
- Open discussions concerning risk and the content of Operational Risk Registers at forums such as the Risk Management Sub Group provided oversight of the risk assessment process and support to Risk Owners;
- Training has been delivered to Risk Owners to increase knowledge and understanding of the risk assessment process.

Overview of risk improvement actions

Nine RIAs have been raised in relation to this review, in the following areas;

- Document control arrangements for the risk management framework – 1 RIA
- Risk assessment procedures & arrangements – 5 RIAs
- Risk based action plans – 1 RIA
- Training & competence - 1 RIA
- Monitoring & review – 1 RIA

Across all Service Areas sampled, operational risk assessments were carried out to assist with the review of the operational risk register. There is a reasonably robust system of monitoring and oversight, however some of the expected elements of an effective risk management framework were not fully implemented. It is recommended that one person/department co-ordinates action on RIAs to ensure a consistent approach to improvements, where this is appropriate.

Participants

Vivienne Whiteman – Insurance Officer

Luke Leathers – Head of Service for Green Spaces, Bereavement Services & City Centre Management

Tracey Crilley – Office Manager & PA Support

Reg Bascombe – Revenues & Benefits Manager

Steven O'Keefe – Policy & Communications Manager

Steven Tickner – Financial Services Manager

Robert Doran – Building Control Service Manager

Colin Bowley – Neighbourhood Services Manager

Neil Dixon – Neighbourhood Services Operations Manager

Emma Dixon – Carlisle Partnership Manager

Matthew Ward – Customer Services Manager

Christopher Hardman – Planning Services Manager

Jillian Hale – Principal Local Plans Officer

Helen Jackson – Principal Planning Officer

Mark Walshe – Property Services Manager

Scott Burns – Regulatory Services Manager

Tammie Rhodes – Principal Housing Officer

Sue Kaveney – HR Manager

Julie Kemp – Workforce Development Manager

David Strong – ICT Manager

Christian Lexa – ICT Lead Officer

Neil Cole – Head of Planning Policy

Arup Majhi – Safety, Health & Environmental Manager

Abstract on risk improvement action

Report Date	RIA ID	Completion Status	Action Title	Priority
16 Nov 2020	001	Not yet actioned	Document control arrangements for the risk management framework	Advisory
16 Nov 2020	002	Not yet actioned	Risk assessment procedures & arrangements	Advisory
16 Nov 2020	003	Not yet actioned	Risk assessment procedures & arrangements	Advisory
16 Nov 2020	004	Not yet actioned	Risk assessment procedures & arrangements	Advisory
16 Nov 2020	005	Not yet actioned	Risk assessment procedures & arrangements	Advisory
16 Nov 2020	006	Not yet actioned	Risk assessment procedures & arrangements	Advisory
16 Nov 2020	007	Not yet actioned	Risk based action plans	Advisory
16 Nov 2020	008	Not yet actioned	Training & competence	Advisory
16 Nov 2020	009	Not yet actioned	Monitoring & review	Advisory

Risk improvement action

RIA	Document Control Arrangements for the Risk Management Framework				Advisory
RIA ID 001	Completion Status	Not yet actioned			
	Report Date	16 Nov 20	Target Implementation Date		
Description	The risk management guidance documents referred to during the review, including the <i>Risk Management & Assurance Framework</i> and the <i>Introduction to Risk Assessments</i> guidance, did not include details of document authors, version details or the dates of issue and review. It is recommended that document control arrangements are established for all key risk management guidance documents, including risk assessment templates.				
Update					

RIA	Risk assessment procedures & arrangements				Advisory
RIA ID 002	Completion Status	Not yet actioned			
	Report Date	16 Nov 2020	Target Implementation Date		
Description	The assessment of risks in some Service Areas was undertaken solely by the Risk Owner. It is recommended that, where possible, other key personnel within the Service Area are involved in the process of undertaking risk assessments and reviewing the operational risk register, as this will provide broader risk insights and help to embed understanding of the risk management process within the wider team.				

Update				
RIA	Risk assessment procedures & arrangements			
RIA ID 003	Completion Status	Not yet actioned		
	Onsite Date	16 Nov 2020	Target Implementation Date	
Description	It was confirmed that not all items included in operational risk registers will have a corresponding risk assessment, with the documenting of some risk assessments limited to the entry in the risk register. The risk descriptions included in operational risk registers do not always fully capture details of causation and impacts for the identified risk. If the operational risk register is to be the only recorded assessment for certain risks, it is important that sufficient detail is included. Clear guidance should be developed, or included in the <i>Risk Management Assurance Framework</i> , which explains how to record details of the risk, causation, impacts and controls for each entry, along with details of how to complete each of the fields in the risk register.			
Update				

RIA	Risk assessment procedures & arrangements			
RIA ID 004	Completion Status	Not yet actioned		
	Onsite Date	16 Nov 2020	Target Implementation Date	
Description	Various different risk assessment templates were used for general liability risk assessments across the different Service Areas. It is recommended that a standard template is identified for use which includes all the key elements from a claims defensibility perspective (as identified in the Council's risk assessment template) and provides a consistent approach across all Service Areas.			
Update				

RIA	Risk assessment procedures & arrangements			
RIA ID 005	Completion Status	Not yet actioned		
	Onsite Date	16 Nov 2020	Target Implementation Date	
Description	Most Risk Owners were not aware of the bowtie technique that is endorsed in the document as a tool for exploring risks. There have been previous discussions as to the usefulness of the bowtie method in the context of reviewing operational risks and it is recommended that the next review of the <i>Risk Management & Assurance Framework</i> considers whether this remains in the framework and, if so, the arrangements for implementing, recording and fully embedding this risk assessment approach.			
Update				

RIA	Risk assessment procedures & arrangements				Advisory
RIA ID 006	Completion Status	Not yet actioned			
	Onsite Date	16 Nov 2020	Target Implementation Date		
Description	The 5 step approach to risk assessment is the methodology used for liability risk assessments. It is recommended that this approach is incorporated into the <i>Risk Management & Assurance Framework</i> and/or step by step guidance on how to complete a risk assessment is developed, with reference to the risk assessment templates to be used.				
Update					

RIA	Risk based action plans				Advisory
RIA ID 007	Completion Status	Not yet actioned			
	Onsite Date	16 Nov 2020	Target Implementation Date		
Description	The process for capturing additional mitigating actions is not consistently applied and there is no clear guidance regarding the monitoring of identified mitigating actions, with some Risk Owners utilising the notes field on the operational risk register. It is recommended that this process is reviewed to ensure that it provides adequate assurance that identified actions have been assigned and that they are monitored to completion.				
Update					

RIA	Training & competence				Advisory
RIA ID 008	Completion Status	Not yet actioned			
	Onsite Date	16 Nov 2020	Target Implementation Date		
Description	Some Risk Owners felt that they would benefit from additional risk assessment training and it is recommended that a review of training needs is carried out and additional training is arranged as necessary. For Risk Owners who have recently taken on the role, it was felt that an induction on the risk assessment process would be beneficial.				
Update					

RIA	Monitoring & review				Advisory
RIA ID 009	Completion Status	Not yet actioned			
	Onsite Date	16 Nov 2020	Target Implementation Date		
Description	During discussions regarding liability risk assessments, it was confirmed that some Service Areas utilised a ‘read and sign’ procedure for risk assessments and associated safe working procedures to confirm that employees have read and understood the content. Such records support claims defensibility and it is recommended that this approach is implemented across all Service Areas.				
Update					

Summary of findings

The following section provides a summary of the findings of the review in relation to the overall approach to assessing key operational risks and the procedures for developing and updating operational risk registers across each of the Council's Service Areas. The same criteria were used when assessing each Service Area. A cross reference with any RIAs is provided.

Risk Assessment Framework

The Council has defined its overarching risk management policy in the *Risk Management & Assurance Framework* and this document sets out the approach to the management of operational, strategic and project related risks. The document is signed off by the Chief Executive and there are systems in place to provide oversight of risk registers by key management groups.

The *Risk Management & Assurance Framework* document does not include details of the document author, version details or the dates of issue and review. It is recommended that document control arrangements are established for this and other key risk management documents. **See RIA 001**

In addition to the Council's *Risk Management & Assurance Framework*, various guidance documents are available for managers to refer to when undertaking risk assessments in relation to liability risks, e.g. risk of injury or ill health to employees or others. This documentation is controlled by the Health & Safety Department and includes the internal guidance '*Introduction to Risk Assessments*' and the external Health & Safety Executive guidance document '*5 Steps to Risk Assessment*'.

Assessment of risks

During discussions regarding the process for developing the content of the operational risk register, it was evident that different approaches were adopted by the different Service Areas. Some Risk Owners indicated that they would assess risks in isolation and that this process would not normally involve other representatives from the service or team, whereas others had processes in place for risk management discussions within their supervisory teams, to obtain wider views on potential risk impacts prior to updating the operational risk register. It is recommended that this 'team approach' to undertaking risk assessments is adopted by all Service Areas, as this will provide broader risk insights and help to embed understanding of the risk management process within the wider team. **See RIA 0002**

Some Risk Owners were not familiar with the guidance available to them to assist with the risk assessment process, for example, the risk scoring guidance in the *Risk Management Assurance Framework*, and, for liability risks, the suite of documents provided by the Health & Safety Department.

It was established that not all items included in operational risk registers will have a corresponding risk assessment, with the documenting of some risk assessments limited to the entry in the risk register. The risk descriptions included in operational risk registers do not always fully capture details of causation and impacts for the associated risk. **See RIA003**

In relation to liability risks, there were numerous health and safety risk assessment templates in use (not including specific risk assessment templates). The Carlisle City Council standard risk assessment template, which follows the 5 step approach to risk assessment, tracks required mitigating actions and includes details of who completed the assessment, the date of the assessment, a section for sign off/authorisation and monitoring/review. The guidance document referred to previously, *Introduction to Risk Assessments*, provides a step by step guide on how to complete a risk assessment, although there is no reference to the use of a template to record the risk assessment. Sampling of Service Area risk assessments found that other general risk assessment templates are in use and it was confirmed by the Safety, Health & Environmental Manager that the use of a standard template is not a specific requirement of the internal risk assessment procedure, with the aim being not to discourage those who may prefer to use their own template. Some of the alternative risk assessment templates provided by Service Areas during the review were variations of the Council's standard template with key sections omitted, such as the sign off/authorisation section. Other template examples provided by Service Areas did not include details of who completed the risk assessment or the date of assessment/review, etc. Some of these omissions could present an issue from a defensibility perspective in the event of liability claims.

It is recommended that a standard template is identified for use which includes all the key sections (as identified in the Council's risk assessment template). This will help to ensure a consistent approach to risk assessment across all Service Areas and that, from a claims defensibility perspective, the key elements of the risk assessment are included. **See RIA004.** The document control arrangements outlined at RIA001 should include risk assessment templates.

Liability risk assessments for health and safety risks are assessed using the 5 x 5 risk rating scale, which differs from the 4 x 4 risk analysis scale used in the *Risk Management & Assurance Framework*. Whilst the numerical rating of risks is not a legal requirement, it may aid consistency, particularly where, for example, health & safety risks are subsequently included on the operational risk register, if a single risk rating scale is used.

There was discussion of the methodologies outlined in the *Risk Management & Assurance Framework*, and the majority of Risk Owners were not aware of the bowtie technique that is endorsed in the document as a tool for exploring risks. There have been previous discussions as to the usefulness of the bowtie method in the context of reviewing operational risks and it is recommended that the next review of the *Risk Management & Assurance Framework* considers whether this remains in the framework and, if so, the arrangements for implementing, recording and fully embedding this risk assessment approach. **See RIA005**

The current *Risk Management & Assurance Framework* does not include reference to the 5 step approach to risk assessment or link to the other guidance documents that are available to assist with the risk assessment process. It is recommended that the 5 step approach to risk assessment is incorporated into the *Risk Management & Assurance Framework* and that formal, step by step guidance on how to complete a risk assessment is developed, with reference to the method of recording risk assessments and the templates to be used. **See RIA006**

Risk-based action plans

An essential part of the risk assessment process is using the results of the risk assessment to determine mitigating actions. Where actions are identified for risks that

are included within operational risk registers, it is not clear in all cases how these are tracked and if separate action plans exist. The 'Control Strategy/Mitigating Actions' section of the risk register is sometimes a combination of implemented and planned actions, whereas some Risk Owners use the 'notes' column on the operational risk register to capture planned additional mitigating actions. Discussions indicated that actions included in the notes field would subsequently be re-visited at the next quarterly review by the Risk Owner.

It is recommended that this process is reviewed to ensure that it provides adequate assurance that identified actions have been assigned and dated and that actions are monitored accordingly. Guidance should be provided for Risk Owners explaining how to accurately record risks on the operational risk register, along with the process for capturing and subsequently monitoring identified mitigating actions. **See RIA007**

Training & competence

Discussions during the review confirmed that a range of risk assessment training has been made available for Risk Owners to attend, covering the risk assessment approaches detailed in the *Risk Management & Assurance Framework* and the approach to general H&S risk assessments. Some Risk Owners felt that they would benefit from additional risk assessment training and it is recommended that a review of training needs is carried out and additional training is arranged as necessary. For Risk Owners who have recently taken on the role, it was felt that an induction on the risk assessment process would be beneficial. **See RIA008**

Monitoring & reviewing

There is a well embedded process in place for the quarterly review of operational risk registers by all Service Areas. This process is monitored by the Office/PA Manager and every Risk Owner interviewed had a good understanding of review requirements and the necessary review frequency. There is also good oversight provided by the Risk Management Sub-Group and many Risk Owners commented that they appreciated this 'critical friend' support. There is the opportunity to strengthen the internal review process in some Service Areas by involving more people and this could be done, for example, by including the risk register as an item for discussion at the relevant team meetings prior the quarterly review of the register.

During discussions regarding liability risk assessments, it was confirmed that some Service Areas utilised a 'read and sign' procedure for risk assessments and associated safe working procedures to confirm that employees have read and understood the content. Such records support claims defensibility and it is recommended that this approach is implemented across all Service Areas. **See RIA009**

Final remarks

I would like to take this opportunity to formally thank all those who participated in this review for their assistance and co-operation during the process. If there are any questions arising from the report, or if further information is required, I would be pleased to assist.

Zurich Risk Engineering is continually looking to improve its services. In support of this, it would be appreciated if the recipient of this report could take a few moments to complete the online Customer Response Survey, for which there is a link at the end of this report.

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Appendix

Claims Data

Public Liability							
Policy Year	No of Open Claims	No of Closed Claims	Total Number	TTN	Outstanding	Paid	Total Cost
2019/2020	0	2	2	48	£0.00	£6,150.51	£6,150.51
2020/2021	2	0	2	27	£5,177.00	£0.00	£5,177.00
Total	2	2	4		£5,177.00	£6,150.51	£11,327.51

Motor							
Policy Year	No of Open Claims	No of Closed Claims	Total Number	TTN	Outstanding	Paid	Total Cost
2019/2020	7	19	26	17	£26,201.00	£68,839.39	£95,040.39
2020/2021	9	3	12	19	£19,329.00	£10,200.66	£29,529.66
Total	16	22	38		£45,530.00	£79,040.05	£124,570.05

Miscellaneous							
Policy Year	No of Open Claims	No of Closed Claims	Total Number	TTN	Outstanding	Paid	Total Cost
2015/2016	0	5	5	49	£0.00	£226,689.24	£226,689.24
2017/2018	0	2	2	8	£0.00	£3,236.17	£3,236.17
2018/2019	0	1	1	9	£0.00	£1,286.00	£1,286.00
2019/2020	1	1	2	108	£1,299.00	£496.12	£1,795.12
Total	1	9	10		£1,299.00	£231,707.53	£233,006.53

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Report to Business & Transformation Scrutiny Panel

Agenda Item:

A.4

Meeting Date: 1st April 2021
Portfolio: Community Services
Key Decision: No
Within Policy and Budget Framework: Yes
Public / Private: Public

Title: IMPROVING ATTENDANCE POLICY
Report of: Deputy Chief Executive
Report Number: CS 22/21

Purpose / Summary:

This report provides an update on the Task and Finish group established to review the Council's Attendance Management Policy. A new policy has been drafted and is proposed to be retitled the Improving Attendance Policy. The accompanying Manager's toolkit has also undergone a significant update.

Recommendations:

- 1) Consider and comment on the new Improving Attendance Policy and accompanying Manager's toolkit, noting that the results of a staff consultation will be incorporated in a final report that will be taken to Employment Panel for their review and agreement.

Tracking

Executive:	
Scrutiny: BTSP	
Council:	

1. BACKGROUND

The Council has an Attendance Management procedure which was initially written and implemented in 2004.

At Business and Transformation Scrutiny Panel on 13th February 2020, it was resolved that a Task and Finish Group would be established to assist the HR Manager in reviewing the Attendance Management Policy with the aim of more effectively managing absence.

The aims of the Task and Finish Group were set out as follows:

- Review existing policy, seek advice from HR team on strengths and challenges of existing policy
- Research examples of good practice
- Develop recommendations to share with Business and Transformation Scrutiny Panel (BTSP)

Members of the Task and Finish Group consisted of:

Members:

Cllr Bainbridge (Chair)
Cllr Allison,
Cllr Mrs Bowman,
Cllr Mrs Birks,
Cllr Tickner

Co-opted Members:

Sue Kaveney (HR Manager)
Antonette Cullen (HR Adviser)
Sophie Nixon (HR Adviser)

2. MEETINGS

Meetings of the Task and Finish Group were held on 17th June 2020, 8th July 2020, 19th August 2020 and 4th November 2020. All meetings were extremely positive and engaging and included discussion around the existing policy and areas requiring improvement, benchmarking sickness rates, training and management support/capability, systems and reporting, supportive resources such as Occupational Health and Employee Assistance Programme (EAP), the process of redeployment and revised trigger points.

An online shared One Drive area was setup for all members to access, share information and to publish notes and thoughts.

During discussions it was proposed that the revised policy to be retitled “Improving Attendance” – this felt like a more supportive title than the current “Attendance Management” and something which has been adopted by other local authorities.

Updated flowcharts were developed detailing the revised process for managing absences and long-term sickness. These flowcharts were circulated and subsequently discussed with the Trade Unions. Some minor suggestions were made from the GMB and incorporated into the draft policy. A copy of the draft policy and accompanying Manager’s toolkit was later shared with the Trade Unions via email on 11th November 2020 with no additional feedback received.

These drafts were shared and agreed in the final Task and Finish meeting, held on 4th November 2020. Since the last meeting the HR team have explored the possibility of managers being able to upload absence documents directly into the HR and Payroll system, i-Trent. It was found that the increased storage could potentially reduce the functionality of the system; therefore, the policy draft has since been amended to maintain the existing process of sending documentation to HR to save on personnel files. Future consideration will be given to the use of SharePoint for storing documentation which may require a subsequent minor update to the policy.

3. PROPOSALS

It is proposed that the accompanying Policy and toolkit are, following consultation, adopted for use within the Council.

4. RISKS

None.

5. CONSULTATION

Staff and management consultation in relation to the new policy and toolkit commenced on 16th March 2021 for a period of two weeks. Should any policy changes be considered appropriate following this consultation, a revised policy draft will be discussed with Trade Unions before it is taken to Employment Panel. Whilst the results of the consultation will not be known until after the circulation of this report a verbal update will be provided at the 1st April meeting of this panel.

6. CONCLUSION

The Panel are asked to review and comment on the revised Improving Attendance Policy and subject to any comments agree the final draft for onward progression to Employment Panel.

7. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

Improved sickness monitoring and management to help maximise efficiency and ensure the required level of staff resource is available to help deliver the Carlisle Plan.

Contact Officer: **Darren Crossley** **Ext: 7004**

Appendices attached to report: New final draft Improving Attendance Policy and Final draft Managers Toolkit

Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:

- None

CORPORATE IMPLICATIONS:

LEGAL - This report concludes the work of the Panel's Task and Finish Group and makes recommendations to Employment Panel arising out of its work. Business and Transformation Scrutiny Panel is asked to consider the proposed changes and, if it is happy with the recommendations, to approve onward progression of the new policy to Employment Panel, which has responsibility for adopting such policies. The proposed changes relate to how the Council manages attendance and may amount to a variation of staff terms and conditions. Accordingly, the Council is required to consult with staff before making the changes. Any representations arising out of consultation with staff must be considered.

FINANCE – This report raises no explicit financial issues.

EQUALITY – This report highlights the positive interventions taken around mental health in the workplace. This work demonstrates our commitment to the Public Sector Equality Duty and is consistent with the Equality Policy and Action Plan.

INFORMATION GOVERNANCE – This report raises no explicit issues relating to Information Governance.

Improving Attendance Policy



The Council is fully committed to compliance with the requirements of the General Data Protection Regulations (GDPR) 2016 and the Data Protection Act (DPA) 2018. The Data Protection Legislation aims to balance the requirements of organisations to collect, store and manage various types of personal data in order to provide their services, with the privacy rights of the individual about whom the data is held. The Data Protection Legislation covers both manual and computerised records in any format, where the record contains details that can identify, directly or indirectly data on a natural person or persons. The Data Protection Legislation sets out principles which must be followed by those who process data; it gives rights to those whose data is being processed. Further information regarding how the Council collects, shares and uses personal information can be found in the Council's Privacy Notices.

Policy on a Page

Policy Aim:

The Council is committed to improving attendance and this policy has been designed to ensure absence is effectively and consistently managed across the Council.

The overall purpose of the policy is to encourage employees to improve their attendance at work and support them to achieve an acceptable level of attendance.

Target Audience:

All Carlisle City Council employees.

Training:

Managers will be required to complete mandatory training in relation to this policy; both a practical workshop and a Skill Gate module. A comprehensive Manager's Toolkit will also be provided to support managers with the implementation of this policy and procedure.

Further support and advice with regards to application of the policy and procedure can be sought from the HR team.

Key Principles:

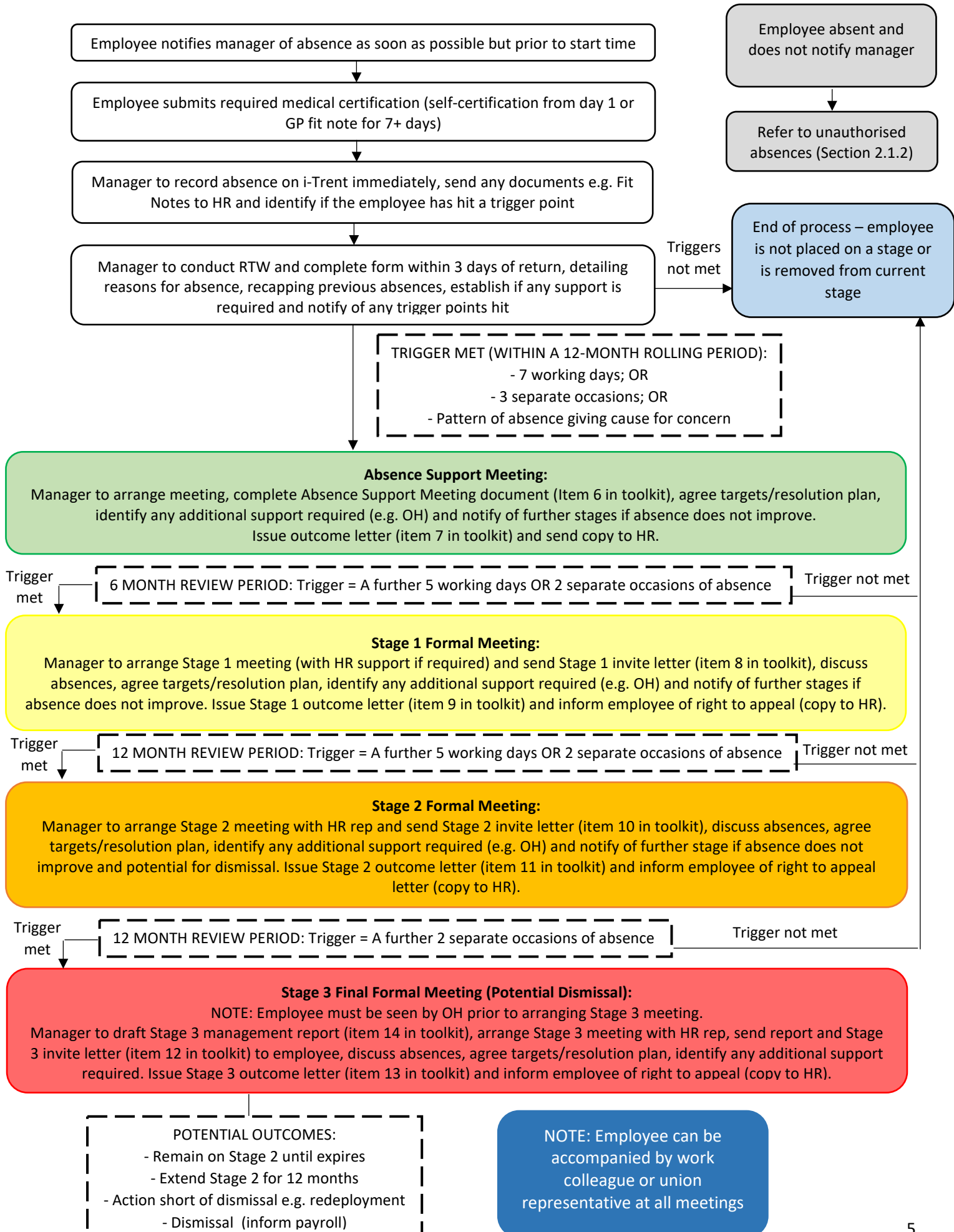
- This policy and procedure apply to all employees of the Council.
- No formal action will be taken without a review of the employee's attendance.
- Employees have the right to be accompanied at all meetings (informal and formal) by a recognised Trade Union representative or work colleague.
- Employees have the right to appeal against written warnings and dismissal due to sickness.

CONTENTS

MANAGEMENT OF ABSENCES FLOW CHART	5
GUIDANCE ON MANAGEMENT OF LONG-TERM ABSENCE	6
1. INTRODUCTION	7
2. POLICY	7
1.1 AIM	7
1.2 SCOPE	7
1.3 RESPONSIBILITIES	7
1.4 CONFIDENTIALITY	8
2. IMPROVING ATTENDANCE PROCEDURE	9
2.1. SICKNESS REPORTING PROCEDURE	9
2.1.1 FIRST DAY OF ABSENCE / INITIAL NOTIFICATION	9
2.1.2 FAILURE TO NOTIFY / UNAUTHORISED ABSENCE	9
2.1.3 ABSENCES UP TO 7 DAYS	10
2.1.4 ABSENCES OF 7 DAYS OR MORE	10
2.1.5 RECORDING ABSENCE	10
2.2. FALLING SICK WHILST AT WORK	10
2.3. IMMEDIATE ABSENCE SUPPORT	11
2.4. RETURN TO WORK INTERVIEWS	11
2.5. ANNUAL LEAVE AND SICKNESS	12
2.6. CONDUCT WHILE ON SICK LEAVE	12
2.7. SURGERY	13
2.7.1 PLANNED SURGERY	13
2.7.2 COSMETIC SURGERY	13
2.8. MEDICAL SUSPENSION	13
2.9. SICK PAY ENTITLEMENT	13
2.10. TIME OFF FOR HEALTH CARE APPOINTMENTS	14
2.11. PHASED RETURNS / TEMPORARY ADJUSTMENTS	15
2.12. PERMANENT ADJUSTMENTS	16
2.12.1. PERMANENT ADJUSTMENTS TO ROLE	16
2.12.2. PERMANENT REDEPLOYMENT	16
3. SICKNESS ABSENCE TRIGGERS	17
3.1. INFORMAL STAGE – ABSENCE SUPPORT MEETING	18
3.2. FORMAL - STAGE 1	18
3.3. FORMAL - STAGE 2	19
3.4. STAGE 3	20

3.5.	EXCEPTIONS.....	20
4.	MANAGEMENT OF LONG-TERM ABSENCES	20
5.	INJURY AT WORK.....	23
6.	REFERENCES <i>(all will be hyperlinked in final policy)</i>	23
7.	POLICY REVIEW SCHEDULE.....	23
8.	VERSION CONTROL.....	24

MANAGEMENT OF ABSENCES FLOW CHART



GUIDANCE ON MANAGEMENT OF LONG-TERM ABSENCE

Absences likely to be one month or more

Manager to refer employee to OH immediately if absence is for Stress, Work related Injury, and or Musculoskeletal problems.

After one month of absence, following OH referral and receipt of report, manager to arrange review meeting (or home visit if appropriate) with HR and send out invite letter (item 15 in toolkit) and outcome letter (item 16 in toolkit). Subsequent meetings to be agreed (suggested every 2-4 weeks).

NOTE: Employee can be accompanied by work colleague or union representative at all meetings

During and after meeting

Complete Checklist (see managers Toolkit), discuss OH Reports, agree action plan e.g. stress risk assessments if appropriate, and manager to issue confirmation letter within 5 days (copy to HR).

Employee to return to contracted duties

Manager to conduct RTW and complete form within 3 days of return, detailing reasons for absence, recapping previous absences, establish if any support is required and notify of any trigger points hit

Monitor as per Management of absence flowchart

Employee to return with modifications (i.e. phased RTW, temporary amended duties etc.)

Agree and confirm recommended modifications prior to return (if temporary, agree timeframe / if permanent, consider any contractual changes)

Manager to conduct RTW and complete form, detailing reasons for absence, recapping previous absences, establish if any support is required and notify of any trigger points hit

Monitor as per Management of absence flowchart (consider re-referral to OH)

OH advise permanent redeployment

Manager and HR to meet employee and complete re-deployment form (item 20 in toolkit) and seek to identify a suitable post. Manager to liaise with HR. Employee is placed on the Redeployment Register for 12 weeks

Has a suitable post been identified within 12 weeks? (Informal interview to take place)

No

Yes

Confirm details with employee, training plan and complete relevant paperwork

New manager to hold regular review meetings with employee (suggest every 2 to 4 weeks) and to confirm outcome after trial period (N.B. trial period for 4 to 12 weeks dependant on role and training)

Employee will not be returning to work (in a reasonable time period)

Manager to liaise with HR for Final Formal Review Meeting (potential dismissal). See items 17-19 in toolkit for templates.

Trial period / Redeployment has been unsuccessful

1. INTRODUCTION

Carlisle City Council is committed to creating a working environment which supports employee health and wellbeing and promotes good attendance at work. It is the responsibility of all employees to ensure they are committed to attending work, as this is vital for the Council's service delivery.

A separate Improving Attendance Toolkit is available for managers to assist them in using this policy and can be found on the HR and Payroll section of the Intranet.

2. POLICY

1.1 AIM

The purpose of this policy and procedure is to support employee health and wellbeing and encourage a culture of high attendance amongst employees within the Council.

This policy also provides managers with a clear framework on how to consistently and fairly manage absence.

1.2 SCOPE

This policy applies to all Carlisle City Council employees. Application of this policy will be considered on an individual case by case basis. Where managers are considering using discretion, advice should be sought from the HR team.

1.3 RESPONSIBILITIES

Employees are responsible for:

- Attending work when fit to do so.
- Notifying their manager if they must leave work or are unable to attend work due to sickness.
- Maintaining regular two-way contact with their manager during a period of absence.
- Engaging with this policy and procedure and any supportive meetings e.g. absence support meetings, Occupational Health and Physiotherapy appointments etc.
- Refraining from any activities outside work that may impair their recovery.
- Taking personal responsibility for their health and wellbeing.
- Raising concerns with their manager, as soon as possible, if they believe that their work is making them ill or contributing to their illness.
- Informing their manager as soon as possible if they sustain an injury during work.
- Informing their manager or any other relevant parties, of any medical information that may pose a potential health and safety risk to themselves or others e.g. if they have been issued with medication that restricts their capacity to carry out normal working activities.

Managers are responsible for:

- Managing employee absence consistently in accordance with this policy and procedure.
- Maintaining regular two-way contact with employees and keeping them up to date with team developments, vacancies and any other relevant Council updates during their absence.

- Ensuring that all employees are made aware of this policy and other relevant Council policies and support available e.g. counselling/Employee Assistance Programme (EAP).
- Carrying out informal and where necessary, formal absence meetings, in line with this policy, ensuring employees are aware of their right to be accompanied by a recognised Trade Union representative or work colleague.
- Ensuring all absence related matters are handled sensitively and confidentially.
- Updating i-Trent with relevant information in a timely manner.
- Keeping records of sickness absence for employees in line with agreed retention procedures.
- Attending and completing all necessary training in relation to this policy.
- Advising the Health and Safety Manager where an employee sustains an injury at work and carry out any investigations, as required.
- Monitoring absence within their team and taking appropriate action to support improved attendance.

Directors are responsible for:

- Determining appropriate managers to carry out various stages of the procedure.
- Ensuring that accurate and up to date records of sickness absence are kept and are available to enable early identification of individual problem areas
- Monitor and review attendance at work at individual and directorate level.
- Attending and completing all necessary training in relation to this policy.

HR and Payroll are responsible for:

- Providing regular reports to management on sickness absence in their area.
- Providing statistical data in relation to employee absence where required by managers or the Senior Management Team (SMT)
- Providing training, advice and guidance on this policy and procedure to managers and staff.
- Assisting with referral to Occupational Health and other avenues of support i.e. counselling, where appropriate.
- Being involved in absence support meetings, where appropriate.
- Being present at all formal meetings from Stage 2 onwards.
- Monitoring and update the policy in its application and ensure it reflects the operational needs of the Council, changing legislation and best practice.

1.4 CONFIDENTIALITY

Any absence related matters will be handled in confidence. Referrals to Occupational Health and any additional avenues of support will be made in conjunction with the employee and with their consent.

2. IMPROVING ATTENDANCE PROCEDURE

2.1. SICKNESS REPORTING PROCEDURE

2.1.1 FIRST DAY OF ABSENCE / INITIAL NOTIFICATION

Employees must contact their manager on the first day of their absence and inform them that they are unable to attend work. This should be done as soon as possible and before an employee's start time to allow managers enough time to plan for cover arrangements.

Employees should make contact with their manager by telephone. If the manager is not available, the employee should contact their manager's deputy to report their absence and provide a contact number for their manager to call them back on. It is not appropriate for employees to report their absence via text message or email, or have somebody report their absence on their behalf, unless there are exceptional circumstances.

When reporting an absence, employees are expected to provide the following information:

- The date the sickness began;
- Nature of sickness;
- Whether the sickness is related to an injury at work;
- Whether the sickness is certified or self-certified;
- Details of any commitments for the period of anticipated sickness (e.g. important meetings/work activity);
- Estimated return date (if known)

If an employee has not contacted their line manager on their first day of absence, the line manager must contact the employee.

For absences which are anticipated to be short term i.e. up to one week, employees must contact their managers daily to provide an update on how they are feeling.

For absences that are anticipated to be longer term i.e. more than one week or covered by a medical certificate, the employee and manager should agree the frequency of contact.

2.1.2 FAILURE TO NOTIFY / UNAUTHORISED ABSENCE

It is a condition of employment, and the Council's sick pay scheme, that employees notify their manager when they are unable to attend work. Failure to do this without good reason may impact an employee's entitlement to sick pay.

Disciplinary action may be taken against an employee where they persistently fail to follow the correct reporting arrangements for absence. Prolonged unauthorised absence could be deemed gross misconduct and may ultimately lead to dismissal.

2.1.3 ABSENCES UP TO 7 DAYS

On the first day of absence, after notifying their manager, employees must complete a Self-Certification form (Item 1 in toolkit). Managers must ensure the absence is recorded immediately on i-Trent and send any documents to the HR Advisory Service e.g. Fit Notes, Return to Work Forms etc.

Employees must advise their manager of their fitness to return to work at the earliest opportunity. This should be at the point when they are fit to return to work, even if this is on a non-working day, otherwise the employee will automatically be regarded as being sick on these days.

2.1.4 ABSENCES OF 7 DAYS OR MORE

For absences greater than 7 (calendar) days a medical certificate must be forwarded to the manager. Where there is continuing sickness absence, the employee must provide consecutive medical certificates to cover the whole period of the absence.

From the outset, it is important that the employee and the manager agree on the frequency and form of communication going forward. This will depend on individual circumstances such as the reason for the absence and predicted absence length.

2.1.5 RECORDING ABSENCE

When recording absence, managers must:

- Input details of sickness absence into i-Trent as soon as possible after an employee has reported their absence and send any relevant documentation e.g. Fit Notes to the HR Advisory Service.
- Keep records and brief notes of all discussions and meetings with employees, to ensure that the absence is being managed effectively and to act as a record of any previous support or action taken.
- Monitor sickness absence levels within their teams and ensure employee attendance is being managed in accordance with this policy i.e. ensuring the appropriate meetings are held when employees reach the various trigger points laid out in Section 3 of this policy.

2.2. FALLING SICK WHILST AT WORK

Where an employee falls sick whilst at work, if they have completed more than 50% of their working day, their absence should not be recorded as sickness for that day. However, managers must keep a record of such occasions to identify any patterns of misuse of this aspect of the policy. Where an employee is sent home before they have completed 50% of their working day, they should be recorded in i-Trent as sickness.

2.3. IMMEDIATE ABSENCE SUPPORT

There are several routes to accessing direct support, as set below.

Active Care

For absences related to stress (work and/or personal), where appropriate, managers should refer the employee (with their consent) to Active Care immediately and complete the [Call Request Form](#). Active Care will carry out a telephone consultation with the employee, arrange counselling support where appropriate and will provide the, the manager, HR and Occupational Health with a report (subject to employee consent).

Employee Assistance Programme (EAP) / Counselling

Employees should be reminded that the Council has an Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. Employees can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk.

Occupational Health

The Council has an Occupational Health service that employees can be referred to, when required. Referrals to Occupational Health must be made by managers using the Manager's Referral Form (item 3 in toolkit) and explicit consent must be obtained from the employee. For muscular skeletal injuries, the employee should be referred to Occupational Health immediately so appropriate advice can be provided.

Physiotherapy

Employees can also be referred to Physiotherapy where required. Referrals must be made by management using the Occupational Health referral form at the earliest opportunity, following a report from an employee that they are experiencing discomfort.

2.4. RETURN TO WORK INTERVIEWS

Managers must conduct a Return to Work interview with all employees on their first day back when returning from sickness absence, except where there are exceptional circumstances. A record of this discussion must be kept and a copy of the Return to Work Interview Form (item 2 in toolkit) (combined with the employee's Self-Certification form) should be sent to the HR Advisory Service to be stored on the employee's personnel file.

The Return to Work interview should cover the following areas:

- Reasons for the absence and reassurance that the employee is fit to return to work.
- Raise any concerns regarding the employee's absence levels and/or patterns of absence, specifically in relation to the absence triggers set out below.

- Discuss whether there is a need for any additional support such as possible adjustments to work patterns and flexible working.
- Enter and close the absence on i-Trent.

2.5. ANNUAL LEAVE AND SICKNESS

If an employee becomes ill during annual leave, they must follow the same notification procedures as set out above. Assuming employees have followed the appropriate reporting procedure, and have produced a medical certificate where required, annual leave days will be reinstated. Please note this does not apply to public holidays i.e. an employee will not be entitled to take time off at a later date if they fall sick on a bank holiday.

If an employee is off on long-term absence, they may wish to take a holiday during this time. This must be discussed and agreed with their line manager before any holiday is taken. The absence will still count as one period of sickness for the purposes of sickness monitoring and determining sick pay entitlement. If the employee has gone into half or no pay during their sickness period, they will receive full pay for the period of annual leave that they have booked.

Employees in half pay or no pay can also choose to use some of their annual leave to top up their pay. This should be discussed with their manager and processed via the HR and Payroll team.

The use of annual leave to cover periods of sickness to avoid a trigger is not permitted, although annual leave can be used to facilitate an extended phased return.

2.6. CONDUCT WHILE ON SICK LEAVE

It is expected that an employee will do their utmost to facilitate a return to work at the earliest opportunity. The Council is supportive of activities which can aid rehabilitation and recovery; however, it would not normally expect anyone who is absent from work due to sickness or injury to:

- Participate in any sports, hobbies, social or other activities which could aggravate the illness or injury or delay recovery;
- Undertake any other employment whether paid or unpaid (without prior discussion with your manager);
- Work additional hours for the Council in an alternative role e.g. as a Casual (without prior discussion with your manager);
- Engage in any activity, which is inconsistent with the nature of the illness or injuries;
- Engage in any activity which is unlikely to be conducive to their recovery.

A breach of any of the above may be deemed as gross misconduct and could be subject to the Council's Disciplinary Policy.

2.7. SURGERY

2.7.1 PLANNED SURGERY

Where an employee provides notice of surgery managers should consider making a referral to Occupational Health (OH) prior to the employee's surgery taking place, where appropriate i.e. where the employee is experiencing health difficulties prior to their proposed procedure.

Again where appropriate, the manager will ensure that a meeting takes place with the employee prior to the commencement of the absence to discuss the OH report and suggested adjustments to their job, which may be incorporated into their return to work plan. The manager will schedule a meeting with the employee following surgery to discuss their health.

Adjustments to the plan may be required where, for example, the employee's recovery is not as expected. In such circumstances, the manager will seek further advice from OH and HR.

2.7.2 COSMETIC SURGERY

Unless for a medical reason confirmed in a medical report, any absence taken for the purposes of cosmetic surgery cannot be taken as time off as sickness absence and should be covered by annual or unpaid leave. This time off must be agreed in advance with the relevant manager. Further information in relation to this can be found in the Council's Special Leave Policy.

2.8. MEDICAL SUSPENSION

Where there are significant concerns relating to the health and wellbeing of an employee, it may be necessary to consider medical suspension.

Where an employee has refused a suggestion to go home from their manager who is concerned about their state of health and believes that the health, safety or welfare of the employee concerned or others may be at risk as a consequence, the manager can take action by approaching their Director to medically suspend the employee. In these circumstances, the manager must immediately contact Occupational Health for an urgent referral and the HR team for advice.

If an employee is suspended in these circumstances it is deemed to be a medical suspension and the employee will receive an allowance equivalent to their normal rate of pay until advice is received from Occupational Health, or the employee's GP, on the suitability of their return to work. If the medical advice received is that the employee is fit to return to work, the medical suspension should end with immediate effect with a return to work agreed. The period of medical suspension will not be recorded as sickness absence but will be reviewed on a regular basis.

2.9. SICK PAY ENTITLEMENT

Sick pay entitlement provided by the Council is set out as below:

<u>Length of service</u>	<u>Full Pay</u>	<u>Half Pay</u>
During the 1st year of service	1 month	2 months (after completing 4 months service)
During the 2nd year of service	2 months	2 months
During the 3rd year of service	4 months	4 months
During the 4th & 5th year of service	5 months	5 months
After 5 years of service	6 months	6months

Payment of sick pay is dependent on employees following sickness absence reporting procedures and co-operating with all action taken designed to assist their recovery.

Sick pay entitlement is made up of two parts; Occupational Sick Pay (OSP) i.e. what the Council pays as part of the benefits package and Statutory Sick Pay (SSP) i.e. what a person is entitled to by law. An employee who is absent due to sickness for longer than 28 weeks is required to claim SSP from the Department of Work and Pensions (DWP). If this period is reached, a member of the HR and Payroll team will advise the employee of this. Any OSP due to the employee will continue to be paid into the employee's bank account on the normal pay date.

For sick pay to be payable for absences of over seven days (whether or not a working day), the employee must submit medical certificates to cover the full period of absence from the 8th day of absence.

Employees who abuse the sick pay scheme may be liable to disciplinary action, and/or immediate suspension of the occupational part of sick pay.

Where an employee is absent due to an accident where a third party is responsible e.g. a road traffic accident which was someone else's fault, the employee must advise their manager of this. The employee will continue to be paid as if sick pay were being paid. However, the employee will be asked to sign an agreement to claim this amount as part of their damages against the third party and, if successful, repay it to the Council. Employees will not be expected to repay any money received in sickness payment unless they are successful in claiming it back.

2.10. TIME OFF FOR HEALTH CARE APPOINTMENTS

As per the Council's Special Leave Policy, employees requiring time off to attend medical, hospital outpatient and dentist appointments should, wherever possible, arrange appointments outside of normal working hours. However, in urgent cases or where this is otherwise not possible, managers will allow employees up to 2 hours paid time off to attend such

appointments. If additional time is needed the employee will be required to take flexi leave, annual leave, unpaid leave or time off in lieu.

Where an employee is receiving a course of treatment, each case will be dealt with on an individual basis. However, managers should explore flexible working options such as different working hours/working pattern to accommodate the appointments. If such options are not feasible, flexi leave, annual leave, unpaid leave or time off in lieu should also be considered.

If an employee is required to attend an appointment relating to the investigation and management of a potentially life threatening/disabling illness and/or of a disability, managers should consider any reasonable adjustments to enable the employee to attend such appointments.

Employees who are required to attend regular appointments will be treated compassionately in accordance with the Improving Attendance Policy and based on service needs.

Employees who are pregnant have a legal entitlement to time off with pay to attend ante-natal appointments. Further details of these provisions are set out in the Maternity, Paternity, Adoption, Shared Parental and Parental Leave Policy.

2.11. PHASED RETURNS / TEMPORARY ADJUSTMENTS

In some cases, following a longer-term absence, it may be appropriate to consider temporary modifications to an employee's role. It may involve any, or all, of the following:

- Changes to working pattern or hours such as shorter hours initially following a return to work and gradually increasing them to full hours
- Reduced/lighter duties and responsibilities, via temporary redeployment if appropriate
- Working from home, or modifications to the physical working environment, where appropriate

Advice from Occupational Health (OH) should be sought in relation to a phased return. Where OH advice supports a phased return, employees will be permitted a phased return of up to four weeks, and during this period the employee will receive normal remuneration. In exceptional circumstances, this may be extended with advice from OH.

An employee can request to extend their phased return using annual leave; however, this will be at the discretion of the manager who will need to consider the needs of the service. Managers should also consider whether an employee will have enough annual leave remaining to cover the rest of the holiday year.

2.12. PERMANENT ADJUSTMENTS

2.12.1. PERMANENT ADJUSTMENTS TO ROLE

An employee should be allowed to return to their substantive post with permanent adjustments made to this role, where all parties agree this is reasonable, safe and feasible to do so.

Managers together with the employee should discuss with the HR team any schemes that may assist employees to remain in employment e.g. Access to Work.

If a return to work with permanent adjustments is not possible, the manager must give clear reasons to the employee and these should be confirmed in writing. This may be as part of the discussion in a Long-term Final Formal Review Meeting.

2.12.2. PERMANENT REDEPLOYMENT

Where Occupational Health (OH) have advised that an employee is unable to return to their current post due to health reasons, managers must meet with the employee to:

- Discuss an appropriate way forward, and to make them aware of the redeployment process; a representative from HR must be present and the individual may be accompanied (either by a trade union representative or work colleague).
- Complete the Redeployment Form (item 20 in toolkit) in order to establish skills and experience so that suitable posts can be offered to the individual.
- Place the individual on the Redeployment Register for 12 weeks, where dedicated efforts will be made to find the employee a suitable post. The outcome of this meeting will be confirmed in writing to the employee and will include the right of appeal.
- Advise the employee that they must also be responsible for identifying suitable posts and making the manager aware of the posts they are interested in.
- Confirm that they will keep in close contact with the employee throughout the process.

If an individual is placed on the Redeployment Register they can be considered for all vacancies as long as they meet the essential criteria for the post. Individuals on the Redeployment Register are given prior consideration for posts before they are advertised more widely.

Where an employee meets the essential criteria (or is able to be trained to meet the criteria in a short space of time), they will be 'slotted in', as long as there are no other individuals seeking redeployment. Where there is competition for the post i.e. other staff who are seeking redeployment (for health reasons) an interview process will take place.

Even where there is no competition for a redeployment post, the employee will still be subject to an informal interview by the recruiting manager to ensure they are a suitable fit for the role. HR will advise the recruiting manager prior to this meeting.

The aim will be to redeploy employees into a post where the terms and conditions are similar to their current post. However, if this is not possible, and the individual is offered a post on a lower grade/pay/hours, they will be entitled to pay protection for 12 months as per the Council's Pay Policy.

When a suitable role has been identified:

- OH will be asked to advise on suitability and fitness for the proposed post.
- The employee can agree to the redeployment on a trial basis for up to four weeks.
- The employee will be offered reasonable on the job training to assist them in taking up the suitable alternative employment.
- Suitable alternative employment may include provision of reasonable adjustments.
- If the employee accepts the alternative employment, they will commence in post on the terms and conditions appropriate to the post. Managers must explain any effect on pay and conditions, including any impact on pension, to the employee when they are considering a redeployment post.

Where no suitable redeployment opportunities are identified, the manager will arrange to meet with the employee for a subsequent Long-term Final Formal Review Meeting, to ensure all possible alternatives have been considered. Termination of employment will be the outcome based on the grounds of capability, and appropriate notice will be given, in line with the employee's contract of employment.

Employees have the right to appeal against dismissal. Appeals must be made in writing to the relevant Service Manager/Director within 14 days of receiving written notification of the outcome.

Any appeal against an outcome of dismissal will be heard by a panel of Councillors. Please refer to the Council's Disciplinary Policy for further details on this appeals process.

3. SICKNESS ABSENCE TRIGGERS

A flow chart of the short-term improving attendance procedure can be found on page 5 of this policy. Template invite letters and outcome letters for each stage of the Improving Attendance Procedure (short-term and long-term) can be found in the Manager's toolkit.

Managers reserve the right to exercise discretion at any stage of the process in particularly sensitive or complex cases; for example, considering extended trigger points for employees with chronic conditions. Managers should contact the HR team for advice when considering applying discretion.

Managers are expected to hold absence review meetings in a timely manner following a trigger being reached. Where employees are staged at any point in the process, the monitoring period

will commence from the date they returned to work following their last period of absence – not from the date of the review meeting.

Employees reserve the right to be accompanied by a trade union representative or workplace colleague at every stage of this process (both informal and formal).

Please note pregnancy related absences will not be counted towards trigger points.

3.1. INFORMAL STAGE – ABSENCE SUPPORT MEETING

An employee will be placed on the Informal Stage of the Improving Attendance Procedure when they have reached one of the following triggers:

- 7 working days (in a 12-month rolling period); or
- 3 separate occasions (in a 12-month rolling period); or
- Where a pattern of absences gives cause for concern

When one of more of the above triggers has been reached, an Absence Support Meeting should be held with the aim of supporting the employee to improve their attendance. The reasons for the absences should be discussed and any appropriate support should be identified.

At this meeting, the employee will be placed on the Informal Stage of the Improving Attendance Policy for a period of 6 months, at which point a review meeting should take place. If the employee has no further absences during the review period, or if the absence is less than the trigger points for Stage 1 (formal), then the monitoring period will cease. If the employee has future episodes of absence after being taken off the Informal Stage, their overall absence rate will be considered over the last 12 months and if any of the triggers above are met again, they will be placed on the Informal Stage of the procedure again.

As this stage of the process is classed as “informal”, there is no formal right of appeal against a decision to place an employee at the Informal Stage. Any issues regarding staging at this point of the process should be dealt with using the Council’s Grievance Policy and Procedure.

3.2. FORMAL - STAGE 1

If in the 6-month review period following the Informal Stage, an employee has the following further absence(s), they will be placed on Stage 1 of the formal procedure:

- 5 working days or more (during the 6-month monitoring period); or
- 2 separate occasions (during the 6-month monitoring period)

When one of more of the above triggers has been reached within the 6-month monitoring period, a Stage 1 meeting should be held with the aim of supporting the employee to improve their attendance. The reasons for the absences should be discussed and any appropriate support should be identified. HR support at this stage of the procedure is optional and should be discussed with HR in advance.

At this meeting, the employee will be placed on Stage 1 of the Improving Attendance Policy for a period of 12 months, at which point a review meeting should take place. If the employee has no further absences during the review period, or if the absence is less than the trigger points for Stage 2, then the monitoring period will cease. If the employee has future episodes of absence after being taken off Stage 1 monitoring, their overall absence rate will be considered over the last 12 months and if any of the triggers above are met again, they will be placed on the Informal Stage of the procedure again.

Employees reserve the right to appeal against a Stage 1 outcome. Appeals must be made in writing to the relevant Service Manager/Director within two weeks of receiving written confirmation of the staging.

3.3. FORMAL - STAGE 2

If in the 12-month review period following Stage 1, an employee has the following further absence(s), they will be placed on Stage 2 of the formal procedure:

- 5 working days or more (during the 12-month monitoring period); or
- 2 separate occasions (during the 12-month monitoring period)

When one of more of the above triggers has been reached within the 12-month monitoring period, a Stage 2 meeting should be held with the aim of supporting the employee to improve their attendance. The reasons for the absences should be discussed and any appropriate support should be identified. A Stage 2 meeting must be supported by a member of the HR team.

At this meeting, the employee will be placed on Stage 2 of the Improving Attendance Policy for a period of 12 months, at which point a review meeting should take place. If the employee has no further absences during the review period, or if the absence is less than the trigger points for Stage 3, then the monitoring period will cease. If the employee has future episodes of absence after being taken off Stage 2 monitoring, their overall absence rate will be considered over the last 12 months and if any of the triggers above are met again, they will be placed on the Informal Stage of the procedure again.

Employees reserve the right to appeal against a Stage 2 outcome. Appeals must be made in writing to the relevant Service Manager/Director within two weeks of receiving written confirmation of the staging.

3.4. STAGE 3

If in the 12-month review period following the Stage 2 an employee has **a further 2 absences**, they will be asked to attend a Stage 3 meeting to consider their attendance record and their future contract of employment. This meeting will be chaired by an appropriate senior manager, in line with the levels of authority detailed in the Council's Disciplinary Policy.

A manager must have a recent report from Occupational Health prior to this meeting being arranged to ensure medical advice is taken account when considering termination of the employee's contract of employment.

There are several potential outcomes following a Stage 3 meeting:

- The employee's contract of employment is terminated, and they are dismissed with immediate effect (with appropriate notice); or
- The employee remains on their Stage 2 monitoring until it expires; or
- The employee is placed on Stage 2 for a further 12 months; or
- An action short of dismissal is applied e.g. redeployment

Employees reserve the right to appeal against a Stage 3 outcome. Appeals must be made in writing to the relevant Director within 14 days of receiving written notification of the outcome.

A Stage 3 Appeal against dismissal will be heard by a panel of Councillors. Please refer to the Council's Disciplinary Policy for further details on this appeals process.

3.5. EXCEPTIONS

Consideration should be given to the appropriateness of moving an employee through the stages of this policy when dealing with:

- Particularly sensitive cases
- Employees who have suffered an injury or illness as a result of their work
- Employees who have a disability, or are due to have planned surgery due to a genuine medical need

Managers should seek advice from the HR team when considering such cases.

4. MANAGEMENT OF LONG-TERM ABSENCES

A flow chart detailing the process for managing long-term absence is on page 6 of this policy.

For the purpose of this policy, long term is referred to where absences exceed 28 calendar days or more.

Managers should complete the Long-Term Sickness Absence Contact Log (item 5 in toolkit) as a means of documenting communication during a long-term absence.

4.1. LONG-TERM SICKNESS ABSENCE REVIEW MEETINGS

After one calendar month of absence, managers should refer employees to Occupational Health (OH) if they have not done so already. Following receipt of the OH report, where appropriate, managers are expected to arrange a review meeting (or home visit if more suitable) with HR. Subsequent meetings should be agreed and will be dependent on the nature of the absence, but every 2-4 weeks is advised, to ensure regular contact with the employee during their period of absence.

The purpose of these meetings is not only to maintain contact, but to determine whether any additional support can be provided to help facilitate a return to work. At these meetings the following issues may be considered:

- OH advice and any other medical advice available;
- Potential return to work, length of sickness and any adjustments that may be required either temporary or permanent and if this should be on a phased basis. This must always be fully considered if the employee has a disability;
- Potential for re-deployment if advised by OH;
- Any re-training, mentorship or additional support needed e.g. counselling, physiotherapy;
- Ill-health retirement, if applicable.

Failure to attend meetings and engage with management, without notification or without good reason, may result in occupational sick pay being withdrawn.

A sickness review meeting should take place prior to a Final Formal Review Meeting to ensure up to date information is captured and added to the management report to ensure fairness.

4.2. LONG TERM SICKNESS FINAL FORMAL REVIEW MEETING

If the above process has been followed, adjustments have been made where possible and the employee is still not able to return to work after a reasonable time period, a Final Formal Review meeting should be held with the employee, HR and an appropriate manager with the authority to potentially dismiss.

If it is not likely that the employee will return within one month of the Final Formal Review, the manager chairing the meeting will consider the information/evidence and the action taken to date. If they are satisfied that all the appropriate action has been taken, then the following options may be considered:

- Potential redeployment to another post within the Council if advised by OH (this should result in a timely return to work and an expectation that the employee will maintain good attendance in the new role).
- A further review period, which would not normally exceed 12 months from the first date of the absence although in exceptional cases and following advice from OH, this may be extended to 15 months.
- The employee is dismissed on the grounds of capability due to ill health (this will require supporting documentation and advice from OH if agreed with the employee. If the employee does not give consent to the release of OH advice, a decision will be taken in the absence of this information.)

The HR representative or note taker will record details of the meeting and actions agreed. Any decision or recommendations will be fully discussed with the employee at the review meeting. The outcome will be confirmed in writing by the manager to the employee within 7 calendar days.

Appeals must be made in writing to the relevant Service Manager/Director within 14 days of receiving written notification of an outcome.

Any appeal against an outcome of dismissal will be heard by a panel of Councillors. Please refer to the Council's Disciplinary Policy for further details on this appeals process.

In particularly sensitive cases, for example terminally ill cases or life limiting prognosis cases, it is recognised that the employee may not wish to take part in the formal process, and this can be discussed with HR and the line manager.

4.3. ILL-HEALTH / PERMANENTLY UNFIT FOR WORK

At any stage of the Improving Attendance procedure, where it has been confirmed that the employee is either permanently unfit for work or the timescale for return to work is not imminent or is unknown, consideration should be given to termination of contract on the grounds of capability due to ill-health. Employees will have the right to appeal this decision as set out above.

Employees who are members of the Local Government Pension Scheme (LGPS) for a minimum of 2 years are eligible to apply for ill health retirement. Such applications will be facilitated by HR, provided the application is supported by Occupational Health (OH).

Ill-health retirement benefits are payable in three tiers.

- Tier 1 – the employee has no reasonable prospect of being capable of undertaking any gainful employment before age 65.

- Tier 2 – the employee is not capable of undertaking gainful employment within 3 years of leaving employment but is likely to be capable of undertaking gainful employment at some time thereafter and before age 65.
- Tier 3 – the employee is likely to be capable of undertaking gainful employment within 3 years of leaving. A review assessment should be arranged after 18 months.

The decision as to whether an employee qualifies for ill health retirement benefits and the tier in which they are payable is advised by an Independent Registered Medical Practitioner (IRMP) as part of an OH assessment. The final decision to award ill-health retirement benefits resides with the Council as the employer. The Corporate Director of Finance and Resources is responsible for authorising such requests.

5. INJURY AT WORK

If an employee or manager believes that an absence is related to an accident or injury at work, an Accident Report Form must be completed as soon as possible, and the Health and Safety Manager advised.

The situation must be investigated in line with the Council's Health and Safety procedures (Accident or Incident Investigation & Report).

The manager must liaise with the Health and Safety Manager and HR as part of the considerations before any formal action is taken.

The manager must also advise the Payroll team and make an immediate referral to Occupational Health as soon as possible.

Sick pay entitlement while absent with an industrial injury is separate from sick pay for other reasons. For this to be claimed employees must seek medical advice and have this supported by a GP Fit Note.

6. REFERENCES *(all will be hyperlinked in final policy)*

Special Leave Policy

Pay Policy

Maternity, Paternity, Adoption, Shared Parental and Parental Leave Policy

Manager's Toolkit

7. POLICY REVIEW SCHEDULE

Policy title	Improving Attendance Policy
--------------	-----------------------------

Policy Location	HR
Policy owner (Directorate)	Finance and Resources
Policy lead contact	Antonette Cullen & Sophie Nixon (HR Advisers)
Approving body (SMT)	Employment Panel
Date of approval	
Date of implementation	
Version no. (amendment date)	V1
Review interval	2 years

8. VERSION CONTROL

Revision date	Issue No.	Summary of Changes
November 2013	V1.0	New document, new format, combination of various statements and entitlements.
January 2018	V2.0	New document, new format, combination of various statements and entitlements.
September 2018	V2.1	With effect from 1 October 2018, the Time Off for Public Duties Order 2018 was extended, and these were added
October 2020	V1	Complete policy re-write; renamed Improving Attendance Policy and replaces previous Attendance Management Policy.

Improving Attendance Policy

Toolkit for Managers

To be used in conjunction with the Improving Attendance Policy



Contents

1.	Employee Self Certification Form.....	3
2.	Return to Work Form.....	4
3.	Occupational Health Referral Form.....	5
4.	Active Care Intervention Form.....	8
5.	Long Term Sickness Absence Contact Log	10
6.	Invite to Absence Support Meeting	11
7.	Absence Support Meeting Outcome	12
8.	Invite to Stage 1 Formal Meeting	14
9.	Stage 1 Formal Meeting Outcome	16
10.	Invite to Stage 2 Formal Meeting	18
11.	Stage 2 Formal Meeting Outcome	20
12.	Invite to Stage 3 Final Formal Meeting	22
13.	Stage 3 Final Formal Meeting Outcome	23
14.	Stage 3 Final Formal Meeting Management Report Template	25
15.	Invite to Long Term Sickness Absence Review Meeting	28
16.	Long Term Sickness Absence Review Meeting Outcome	29
17.	Invite to Long Term Sickness Final Formal Meeting	30
18.	Long Term Sickness Final Formal Meeting Outcome (Dismissal).....	31
19.	LTS Final Formal Meeting Management Report Template	32
20.	Redeployment Form	35

1. Employee Self Certification Form

This certificate is to be completed by the employee to cover the first 1 to 7 days of any absence. For an absence lasting 8 or more days, this form must be returned with your Medical Certificate.

NB Failure to complete and submit this form to your line manager could result in the loss of sick pay and statutory sick pay and lead to disciplinary action.

Name			
Job Title			
Department			
First day I was unfit for work (including weekends)			
First day I was absent from work			
Date on which I was fit to return to work (including weekends)			
Date on which I returned to work			
My absence was caused by the following illness/injury			
If an injury, please specify how this occurred, e.g. motor accident			
I have sought medical advice	Yes	No	
I have consulted my Doctor	Yes	No	
I have visited a hospital or clinic	Yes	No	
Please tick one of the following options:			
During this period of sickness absence, I have not undertaken any paid or unpaid employment or attended any training/study course whilst also claiming sick pay from the Council			
OR			
I have undertaken work during the time or attended a training/study course I have been absent from work through illness. If so, please provide details			
I am signing to confirm that the information that I have provided during my sickness absence is correct to the best of my knowledge			
Employee's signature		Date	
Line manager's signature		Date	

THIS FORM SHOULD BE GIVEN TO YOUR LINE MANAGER

NOTE FOR LINE MANAGER

A copy of this form should be scanned and saved on the employee's i-Trent.

2. Return to Work Form

Explain that any confidential information made known will be not be disclosed other than to the employee's line management and HR/ Occupational Health.

To be completed by line manager

Name		Job Title	
Department		Manager undertaking return to work interview	
First day of employee's absence		Date of employee's return to work	
Date of return to work interview		Length of employee's absence (calendar days)	
Did the employee comply with the Sickness Absence Reporting and Certification Procedures?		Yes/No (if No refer to HR)	
Has the employee declared that they have worked during their absence?		Yes/No	
Total absence during last 12 months days onoccasions			
Is the employee currently on a review period in the Management of Absence process?		Yes / No If Yes, confirm stage	
Has the employee hit a trigger point? <i>If yes, confirm a separate meeting will be arranged and employee will be notified, liaise with HR where required.</i>		Yes / No (if Yes, confirm which trigger e.g. Informal, Stage 1, Stage 2, Stage 3)	

General Questions:			
1. What was the nature of the illness?			
2. Has the employee fully recovered?		Yes / No <i>If No what are the continuing effects of their illness (detail)?</i>	
3. Is the individual to continue to receive treatment for this problem (detail)?		Yes / No	
4. Is there a recommended phased return?		Yes / No <i>State duration agreed</i>	
5. Are there any recommendations as to potential changes to employee's hours, duties or working environment?		Yes / No <i>If Yes, please detail</i> <i>State duration agreed</i>	
6. Does the employee need any additional support, e.g. referral to Active Care, OH, EAP, Physio?		Yes / No <i>If Yes, please detail</i>	
7. Does the employee consider it likely that they will have further absences due to their medical condition?		Yes / No <i>If Yes, please detail, discuss with HR & obtain advice from Occupational Health</i>	
8. Does the employee consider themselves to have a disability under the Equality Act?		Yes / No <i>If yes detail & consult HR</i>	
Date for review (if appropriate)			
I am signing to confirm that the information that I have provided during my return to work interview is a true account of my sickness absence			
Employee's signature		Date	
Manager's signature		Date	

3. Occupational Health Referral Form

OH19



Creating a happy,
healthy workforce

MANAGEMENT REFERRAL FORM – Version 14

SECTION 1 Company Details			
Company Name:			
Referring Manager: Mr/Mrs/Miss/Ms [delete as appropriate]		Email Address:	
Line Manager: Mr/Mrs/Miss/Ms [delete as appropriate]		Email Address:	
Company Address & Postcode:			
Contact Telephone Number:		Fax Number:	
Person(s) to receive report:		Preferred means of receiving report (X)	Email Post
SECTION 2 Employee Details			
Mr/Mrs/Miss/Ms [delete as appropriate]	Surname:	Forename(s):	
Date of Birth:	Employee Number:		
Home Address:	Job Title (include a copy of job description):		
Post Code:			
Contact Telephone Number:	Date commenced employment:		
Contact Email:	Date commenced present job if different:		
Total Contracted hours:	Provide details of working pattern.		
Is the employee currently absent from work?		Yes	No
If the employee has any particular requirements in relation to access, mobility or communication, please give details.			
SECTION 3 Please provide a brief overview of the job the employee carries out including tasks, hours, overtime and travel to other sites if appropriate.			
SECTION 4 Reason for this referral. Please outline the main issue(s) initiating this request including the effects of the health problem on work performance and attendance.			

Please indicate if this a COVID-19 related referral.

Employee Name		DoB	
Assessment Date		QID	

SECTION 5 Please provide details of any temporary adjustments the company can consider to help the employee carry out their role.

SECTION 6 The Occupational Health Report will automatically provide advice on the following:

- Identification of a health problem that may impact on an individual's work.
- The potential effects of the problem on current future performance or attendance.
- Recommendations for adjustments to the work place that would assist in reducing the adverse effects of the health problem on attendance and performance.
- Timescales for expected improvement (and return to work if current on sick leave)

If you are seeking any specific advice in addition to the above please type this here:

SECTION 7 Referral Consent – must be completed or your form cannot be progressed and will be returned.

Referring Manager please complete the following by indicating YES or NO

Yes	No
-----	----

I confirm that I have discussed the reasons for this referral with the employee and obtained the explicit consent to share their personal and sensitive information on this referral

I have passed a copy of this referral to the employee

I am aware that the employee will receive a copy of the resulting report and any additional correspondence.

PLEASE NOTE: if the employee is unaware of your reasons for the referral we may not be able to complete the assessment.

Referring Manager Signature: Date Completed:

Print Name: Job Title:

Date sent to OH:

This form is confidential to **Choose Occupational Health**. It should be completed by the Line Manager or HR Manager/Officer with the employee.

Return Address - Please return the completed form to the postal or email address in the footer

Choose Occupational Health
14 Hartington Place, Carlisle, CA1 1HL
Tel: 01228 513687

Fax: 01228 538916
Email: office@chooseoh.co.uk
Web: chooseoccupationalhealth.co.uk

A trading name of OH Aquisitions Ltd
Company Reg 7365943
VAT No. 12 121 2973



4. Active Care Intervention Form

Please note the below is a screenshot only. For a copy of the form, please follow the following link: [Active Care Intervention request form](#)



ACTIVE CARE – INTERVENTION FOR STRESS RELATED ABSENCE

EXTERNAL USE

The Active Care service from Health Assured Ltd provides an effective intervention on the very first day you receive a fit note from an employee citing a stress related absence.

Upon receipt of an Active Care referral form, Health Assured Ltd will arrange for an experienced clinician to contact the employee and complete a structured consultation.

The focus of the consultation will be to understand the individual's needs, ascertain triggers, treatment prescribed and offer recommendations for support in an impartial manner.

Subject to the employee's consent, a written report will be sent to the referring manager summarising the consultation outcome and recommended steps.

Questions to consider before referral:

1. Has the employee been off for less than two weeks?
2. Has express consent been obtained from the employee for their contact details and a copy of their fit note to be provided to Health Assured Ltd for the purpose of an Active Care consultation?
3. Has the employee consented to a written outcome report being provided to the referring manager following the Active Care referral, and do they understand that they can withdraw their consent if they change their mind?

Employee Consent

Health Assured Ltd is committed to the protection of all client data and the transparent and informed use of our services. Under the General Data Protection Regulation (2016/679) (GDPR), Active Care services are provided with the legal basis of legitimate interest and for the provision of preventive or occupational medicine. Further information regarding how Health Assured Ltd handle data is available in our Privacy Notice on our website - www.healthassured.org/privacy-policy.

For the purpose of the Active Care referral, the employee must provide clear consent for their data to be shared with Health Assured Ltd for the purpose of the Active Care consultation. Consent to an Active Care referral can be withdrawn at any time.

Should the employee wish to, they can withdraw consent by calling Health Assured Ltd on 0161 836 9481; or by emailing activecare@healthassured.co.uk.

Please send the completed form by email to:
E: activecare@healthassured.co.uk

Active Care Call Request Form

Section 1 - Employee Details

Name of employee:

Employee date of birth:

Employee address:

Employee contact telephone number:

Employee email address:

Start date of absence:

Please note: referral will not be eligible for Active Care if the absence commenced more than two weeks ago

Section 2 - Employer Details

Name of referring manager:

Company name:

Company address:

Manager's contact telephone number:

Manager's email address:

Is the absence related to work, personal or both?

Brief description of absence:

Copy of 'fit note' attached?

Yes ☐ No ☐ (please tick as appropriate)

Has express consent been obtained from the employee?

Yes ☐ No ☐ (please tick as appropriate)

Please Note: An Active Care referral can only be made if the employee has consented to receiving our call.

Employer declaration: I confirm that the employee has consented to their contact details and a copy of their fit note to be provided to Health Assured Ltd for the purpose of an Active Care consultation. The employee is aware that a written outcome report will be provided to their employer once completed.

Referring Manager Name Signature Date

5. Long Term Sickness Absence Contact Log

Name of Employee	
Department	
Job Title	
Date Absence Began	
Reason for Absence	

Date and Time of Contact	Contact method	Details

Notes

Date of Occupational Health Appointments	Outcome

Date of Formal Meetings	Outcome

6. Invite to Absence Support Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Absence Support Meeting

Further to your recent absence, I am writing to invite you to attend an Absence Support Meeting in accordance with the Council's Improving Attendance Policy. The purpose of the meeting is to enable us to review your absences in the last 12 months and identify any support we can offer to help you to improve your attendance at work.

Your absences in the last 12 months are as follows:

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

Arrangements have been made to meet with you on DATE at TIME in ROOM/VENUE. Also present at this meeting will be NAME, JOB TITLE as a representative from the Human Resources Department. *[if requested by manager/agreed but not compulsory at this stage of the policy]*

You have the right to be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

If you or your representative are unable to attend this meeting please advise me of this at the earliest opportunity.

A potential outcome of this meeting is that you could be placed on a 6-month review period under the Improving Attendance Policy. However, a decision will not be made on this until you have had an opportunity to put forward anything you wish to raise at the Absence Support Meeting.

I would advise that you read the Council's Improving Attendance Policy which is available on the Council's intranet, so that you are aware of this process. If you cannot gain access to the intranet please contact myself for a copy of this policy. **OR I would advise that you read the Council's Improving Attendance Policy (a copy is enclosed for your information).**

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

7. Absence Support Meeting Outcome

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Outcome of Absence Support Meeting

Thank you for attending the Absence Support Meeting which was held on DATE. Also present at this meeting was HR NAME, HR JOB TITLE and I note that you were / were not accompanied at this meeting by (delete as appropriate).

At the meeting, I considered your absence record over the last 12 months and noted your absence as follows:

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

We discussed whether there were any underlying issues which were contributing to your sickness absence and you confirmed (add details of discussion or reasoning behind absences).

We discussed a referral to Occupational Health and agreed that this is / is not (delete as appropriate) necessary at this time. (If referral is appropriate add the following sentence, otherwise delete) I will ensure a referral is submitted in a timely manner and will advise you of your allocated appointment.

Having taken everything we discussed into consideration, I informed you of my decision to place you on informal monitoring with a 6-month review period. I will continue to monitor your attendance record over the next 6 months from DATE to DATE (6 months from return to work date of last absence). If at any time during the review period you have a further 5 working days or 2 separate occasions of absence, it will be necessary to proceed to a Stage 1 Formal Meeting.

OR

Having taken everything we discussed into consideration, I informed you that you have not been placed on informal monitoring. I advised you that if you have future episodes of absence your overall absence rate will be considered over the last 12 months. If the triggers are met, you will be required to attend another Absence Support Meeting in line with the Improving Attendance Policy.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassured.eap.co.uk. Additionally, union members experiencing financial and emotional difficulties can contact their union's welfare charity, which provides a confidential advice and support service for members and their dependants.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

8. Invite to Stage 1 Formal Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Stage 1 Formal Meeting

Following your Absence Support Meeting held on DATE, you have now been absent during the 6 month informal monitoring period as follows:-

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

In light of the above, you are invited to attend a Stage 1 Formal Meeting in accordance with the Council's Improving Attendance Policy.

The purpose of this meeting is to review your sickness absence which has continued to be at an unacceptable level following the 6-month absence review period and to discuss any further support we can provide to help you to improve your attendance at work.

Arrangements have been made to meet with you on DATE at TIME in ROOM/VENUE. Also present at this meeting will be NAME, JOB TITLE as a representative from the Human Resources Department. *[if requested by manager/agreed but not compulsory at this stage of the policy]*

You have the right to be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

If you or your representative are unable to attend this meeting please advise me of this at the earliest opportunity.

A potential outcome of this meeting is that you could be placed on a Stage 1 of the Improving Attendance Policy for a 12-month review period. However, a decision will not be made on this until you have had an opportunity to put forward anything you wish to raise at the meeting.

I would advise that you read the Council's Improving Attendance Policy which is available on the Council's intranet, so that you are aware of this process. If you cannot gain access to the intranet please contact myself for a copy of this policy. **OR I would advise that you read the Council's Improving Attendance Policy (a copy is enclosed for your information).**

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

Enc: Improving Attendance Policy

9. Stage 1 Formal Meeting Outcome

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Outcome of Stage 1 Formal Meeting

Thank you for attending the Stage 1 Formal Meeting which was held on DATE. Also present at this meeting was HR NAME, HR JOB TITLE and I note that you were / were not accompanied at this meeting by (delete as appropriate).

At the meeting, I considered your absence record over the last 6 months and noted your absence as follows:

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

We discussed whether there were any underlying issues which were contributing to your sickness absence and you confirmed (add details of discussion or reasoning behind absences).

We discussed a referral to Occupational Health and agreed that this is / is not (delete as appropriate) necessary at this time. (If referral is appropriate add the following sentence, otherwise delete) I will ensure a referral is submitted in a timely manner and will advise you of your allocated appointment.

Having taken everything we discussed into consideration, I informed you of my decision to place you on Stage 1 of the Improving Attendance Policy. I will continue to formally monitor your attendance record over the next 12 months from DATE to DATE (12 months from return to work date of last absence). If at any time during the review period you have a further 5 working days or 2 separate occasions of absence, it will be necessary to proceed to a Stage 2 Formal Meeting.

You have the right to appeal against this formal warning. If you wish to do so, you must submit your appeal in writing to Service Manager/Director (see HR for advice) within 14 calendar days of receipt of this letter.

OR

Having taken everything we discussed into consideration, I informed you of my decision to not place you on a Stage 1 of the Improving Attendance Policy. You will continue to be monitored for the remainder of your informal monitoring period from DATE to DATE OR You will continue to be monitored for an additional 6-month informal monitoring period from DATE to DATE (delete as appropriate). I advised you that if you have future episodes of absence your overall absence rate will be considered over the last 12 months. If the triggers are met while you are in the 6-month review period, you will be required to attend another Stage 1 Formal Meeting in line with the Improving Attendance Policy.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk. Additionally, union members experiencing financial and emotional difficulties can contact their union's welfare charity, which provides a confidential advice and support service for members and their dependants.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

10. Invite to Stage 2 Formal Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Stage 2 Formal Meeting

Following your Stage 1 Formal Meeting held on DATE, you have now been absent during the 12-month review period as follows:-

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

In light of the above, you are invited to attend a Stage 2 Formal Meeting in accordance with the Council's Improving Attendance Policy.

The purpose of this meeting is to review your sickness absence which has continued to be at an unacceptable level following the 12-month absence review period and to discuss any further support we can provide to help you to improve your attendance at work.

Arrangements have been made to meet with you on DATE at TIME in ROOM/VENUE. Also present at this meeting will be NAME, JOB TITLE as a representative from the Human Resources Department.

You have the right to be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

If you or your representative are unable to attend this meeting please advise me of this at the earliest opportunity.

A potential outcome of this meeting is that you could be placed on a Stage 2 of the Improving Attendance Policy for a 12-month review period. However, a decision will not be made on this until you have had an opportunity to put forward anything you wish to raise at the meeting.

I would advise that you read the Council's Improving Attendance Policy which is available on the Council's intranet, so that you are aware of this process. If you cannot gain access to the intranet please contact myself for a copy of this policy. **OR I would advise that you read the Council's Improving Attendance Policy (a copy is enclosed for your information).**

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

Enc: Improving Attendance Policy

11. Stage 2 Formal Meeting Outcome

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Outcome of Stage 2 Formal Meeting

Thank you for attending the Stage 2 Formal Meeting which was held on DATE. Also present at this meeting was HR NAME, HR JOB TITLE and I note that you were / were not accompanied at this meeting by (delete as appropriate).

At the meeting, I considered your absence record over the last 12 months and noted your absence as follows:

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

We discussed whether there were any underlying issues which were contributing to your sickness absence and you confirmed (add details of discussion or reasoning behind absences).

We discussed a referral to Occupational Health and agreed that this is / is not (delete as appropriate) necessary at this time. (If referral is appropriate add the following sentence, otherwise delete) I will ensure a referral is submitted in a timely manner and will advise you of your allocated appointment.

Having taken everything we discussed into consideration, I informed you of my decision to place you on Stage 2 of the Improving Attendance Policy. I will continue to formally monitor your attendance record over the next 12 months from DATE to DATE (12 months from return to work date of last absence). If at any time during the review period you have a further 2 separate occasions of absence, it will be necessary to proceed to a Stage 3 Final Formal Meeting. You should be aware a potential outcome of such a meeting may result in termination of your contract of employment.

You have the right to appeal against this formal warning. If you wish to do so, you must submit your appeal in writing to Service Manager/Director (see HR for advice) within 14 calendar days of receipt of this letter.

OR

Having taken everything we discussed into consideration, I informed you of my decision to not place you on a Stage 2 of the Improving Attendance Policy.

You will continue to be monitored as per Stage 1 of the Improving Attendance Policy until the monitoring period expires on DATE (date 12 months was due to expire from original stage 1 meeting)

OR

You will be monitored as per Stage 1 of the Improving Attendance Policy for an additional 12 month period from DATE to DATE (delete as appropriate). I advised you that if you have any future episodes of absence your overall absence rate will be considered over the last 12 months. If the triggers are met while you are in the 12-month review period, you will be required to attend another Stage 2 Formal Meeting in line with the Improving Attendance Policy.

You have the right to appeal against this formal warning. If you wish to do so, you must submit your appeal in writing to **Service Manager/Director (see HR for advice)** within 14 calendar days of receipt of this letter.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk. Additionally, union members experiencing financial and emotional difficulties can contact their union's welfare charity, which provides a confidential advice and support service for members and their dependants.

Yours sincerely

MANAGER NAME

MANAGER JOB TITLE

Copy: Employee's personnel file

12. Invite to Stage 3 Final Formal Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Stage 3 Final Formal Meeting

Following your Stage 2 Formal Meeting held on [DATE], you have now been absent during the 12-month review period as follows:

- DATE – DATE: REASON (AMOUNT OF DAYS)
- DATE – DATE: REASON (AMOUNT OF DAYS)

In light of the above, we are now in receipt of your recent OH report and you are now invited to attend a Stage 3 Final Formal Meeting in accordance with the Council's Improving Attendance Policy.

In accordance with the policy, the meeting will be held by me and STATE HR REP & TITLE on DATE/ TIME IN ROOM. Also present, will be STATE MANAGER NAME who will be presenting the Stage 3 Final Formal Meeting Management Report (a copy of which is enclosed).

You have the right to be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

If you or your representative are unable to attend this meeting please advise me of this at the earliest opportunity.

A potential outcome of this meeting could be dismissal and termination of your contract of employment. However, a decision will not be made on this until you have had an opportunity to put forward anything you wish to raise at the meeting.

I would advise that you read the Council's Improving Attendance Policy (a copy is enclosed for your information).

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassured.eap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely

SNR MANAGER NAME

SNR MANAGER JOB TITLE

Copy: Employee's personnel file

Enc: Improving Attendance Policy

Stage 3 Final Formal Meeting Management Report

13. Stage 3 Final Formal Meeting Outcome

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Outcome of Stage 3 Final Formal Meeting

I am writing to confirm the outcome of your Stage 3 Final Formal Meeting which took place on DATE in line with the Council's Improving Attendance Policy. I chaired the meeting and was supported by HR, NAME, TITLE. Also present at the hearing was LINE MANAGER and NAME who attended as note taker. You were given the right to be accompanied at this meeting by a trade union representative or a workplace colleague, however, chose to attend unaccompanied OR I note that you were accompanied at this meeting by NAME (delete as appropriate).

You were aware that a potential outcome of this meeting could be the termination of your contract of employment.

At this meeting I considered your absence following you being placed on Stage 2 of the policy detailed as follows:

- DETAIL ALL RELEVANT MEETING STAGE DATES, ABSENCES, REASONS HERE

In addition, I took this opportunity to review your overall absence record and the support provided by the Council to date included as follows:

- STATE DETAILS AND INCLUDE ANY ADJUSTMENTS MADE

Having considered all the information presented at the meeting, it has been decided to extend your Stage 2 Absence Review period for a further 12 months i.e. for the period of DATE to DATE OR you will continue to be monitored as per stage 2 of the Improving Attendance Policy, until the monitoring period expires on DATE (date 12 months was due to expire from original stage 2 meeting). Should you progress to a Stage 3 Final Formal meeting again, you are aware a this may lead to a decision to terminate your contract of employment.

(If Stage extended) You have the right to appeal against this decision. If you wish to do so, you must submit your appeal in writing to Service Manager/Director (seek advice from HR) within 14 calendar days of receipt of this letter.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

OR

Having considered all the information presented at the meeting, I can confirm my decision is to dismiss you with immediate effect on the grounds of capability. Please note you will be paid XX weeks' notice from DATE in accordance with your contract of employment. You will also be paid for any outstanding holiday

entitlement in the next payroll run. Your pension contributions will cease, and you will become a Deferred Member of the Pension Scheme.

You have the right to appeal against this decision. If you wish to do so, you must submit your appeal in writing to *Director* within 14 calendar days of receipt of this letter.

If you have any queries in relation to any of the above, please do not hesitate to contact me.

Yours sincerely

SNR MANAGER NAME

SNR MANAGER JOB TITLE

Copy: Employee's personnel file

Stage 3 Final Formal Meeting Report

Re: EMPLOYEE NAME, TITLE, DEPARTMENT

Prepared by:

MANAGERS NAME, TITLE

HR SUPPORT NAME, TITLE

DATE



Background

[include details of full name, job title, department, hours and length of service. Can also include any pertinent information regarding known medical conditions and relevant personal circumstances]

Sickness Over Trigger Periods

Date From	Date To	Diagnosis	No. of Calendar Days
<i>resulted in an absence support meeting held on X placed on informal monitoring from X to X</i>			
<i>resulted in stage 1 meeting held on X placed on Stage 1 review period from X to X</i>			
<i>resulted in stage 2 meeting held on X placed on Stage 2 review period from X to X</i>			
<i>trigger for stage 3 meeting</i>			

total days lost	
-----------------	--

Advice From Occupational Health

[summarise the advice received from occupational health]

Support Provided

[detail all other support provided – this might include, but is not limited to: emergency leave, last minute annual leave, flexible working, career breaks, adjusted duties, time off for appointments etc]

Effect on Service

[detail the effect of high levels of sickness absence on the service provided by the department]

Previous Attendance Record over last 3 years (not including above trigger absences)

Date From	Date To	Diagnosis	No. of Calendar Days

total days lost	
-----------------	--

Any Other Relevant Information

Appendices

[Include copies of: all relevant return to work forms, invite letters and outcome letters pertaining to the trigger period – also copies of any occupational health reports and any other relevant documentation.]

15. Invite to Long Term Sickness Absence Review Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Long Term Absence Review Meeting

I wish to arrange a meeting to discuss your current long term sickness absence and also to provide any necessary support to help facilitate a return to work.

As such, I have arranged a meeting on DATE at TIME in VENUE and HR Rep will be present as a representative from the Human Resources Department. The meeting will be held in line with the Council's Improving Attendance Policy.

At the meeting you may, if you wish, be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

If you or your representative are unable to attend this meeting please advise me of this at the earliest opportunity.

I would advise that you read the Council's Improving Attendance Policy which is enclosed for your information.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely,

**LINE MANAGER
TITLE**

Copy: Employee's personnel file

Enc: Improving Attendance Policy

16. Long Term Sickness Absence Review Meeting Outcome

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re Outcome - Long Term Absence Review Meeting

I am writing following our meeting held on DATE to discuss your current long term absence. I was supported at the meeting by NAME, as a representative from the Human Resources Department and note that you were/were not accompanied at the meeting by NAME, TITLE (delete as appropriate). This meeting was held in line with the Council's Improving Attendance Policy.

The purpose of this meeting was to review your long term absence that commenced on DATE, and to decide the next steps in line with the Policy. You updated me on your current medical situation confirming the following:-

[DETAIL HERE A SUMMARY OF THE DISCUSSIONS]

We reviewed the Occupational Health report dated [DATED DETAIL SUMMARY OF DISCUSSIONS AND PROPOSALS]

From the information provided and discussed, we agreed [DETAIL HERE AGREED ACTIONS AND NEXT STEPS & CONFIRM IF PROCEEDING FURTHER TO FINAL FORMAL MEETINGS WHERE APPROPRIATE AND FOLLOWING HR ADVICE.]

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries, please do not hesitate to contact me.

Yours sincerely,

LINE MANAGER

TITLE

Copy: Employee's personnel file

17. Invite to Long Term Sickness Final Formal Meeting

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Invite to Final Formal Meeting – Long Term Sickness Absence

Further to the previous review meeting on DATE you are now invited to attend a Final Formal Meeting to discuss your continued absence from work. The meeting will be held in line with the Council's Improving Attendance Policy (a copy of which is enclosed).

The purpose of this meeting is to review your sickness absence and to consider your continued employment status with the Council. As part of this, I will review the content of the latest Occupational Health report and consider any recommendations. I must point out that a potential outcome of this meeting could be dismissal and termination of your contract of employment.

Arrangements have been made for us to meet at TIME on DATE in ROOM. I will be accompanied at the meeting by NAME, JOB TITLE, who is a representative from the Human Resources department. Also present, will be STATE MANAGER NAME and HR SUPPORT who will be presenting the management report (a copy of which is enclosed).

You have the right to be accompanied to this meeting by a trade union representative or work based colleague. You should be aware that it is your responsibility to arrange your representative's availability.

Please confirm your attendance at this meeting with me on the number above as soon as possible but no later than two days prior to the meeting.

I understand this may be a difficult time for you and would like to remind you of the Council's Employee Assistance Programme, which offers employees a free and confidential counselling service. The service is provided by an external organisation and callers remain anonymous to the Council. You can contact Health Assured on 0800 030 5182 or visit their website at www.healthassuredeap.co.uk

If you have any queries in advance of the meeting please do not hesitate to contact me.

Yours sincerely

SNR MANAGER NAME

SNR MANAGER JOB TITLE

Copy: Employee's personnel file

Enc: Improving Attendance Policy

Final Formal Meeting Management Report

18. Long Term Sickness Final Formal Meeting Outcome (Dismissal)

PLEASE ADD YOUR DIRECTORATE LETTER HEAD

Date

Strictly Private & Confidential

Employees Full Name

Home Address Line 1

Home Address Line 2

Postcode

Dear First Name,

Re: Outcome of Final Formal Meeting – Long Term Sickness Absence

I am writing to confirm the outcome of your Final Formal Meeting which took place on DATE and in line with the Council's Improving Attendance Policy. I chaired the meeting and was supported by HR, NAME, TITLE. Also present at the hearing was LINE MANAGER and NAME who attended as note taker. You were given the right to be accompanied at this meeting by a trade union representative or a workplace colleague, however, chose to attend unaccompanied OR I note that you were accompanied at this meeting by NAME (delete as appropriate).

You were aware that a potential outcome of this meeting could be dismissal and termination of your contract of employment.

At this meeting I considered your current episode of long term sickness absence.

In addition, I took this opportunity to review your overall absence record and the support provided by the Council to date included as follows:

- STATE DETAILS AND INCLUDE ANY ADJUSTMENTS MADE

Having considered all the information presented at the meeting, I can confirm my decision is to dismiss you with immediate effect from DATE on the grounds of capability. Please note you will be paid XX weeks' notice from DATE in accordance with your contract of employment. You will be paid for any outstanding holiday entitlement in the next payroll run. Your pension contributions will cease, and you will become a Deferred Member of the Pension Scheme.

You have the right to appeal against this decision. If you wish to do so, you must submit your appeal in writing to Director within 14 calendar days of receipt of this letter.

If you have any queries in relation to any of the above, please do not hesitate to contact me.

Yours sincerely

SNR MANAGER NAME

SNR MANAGER JOB TITLE

Copy: Employee's personnel file

Long Term Sickness Absence Final Formal Meeting Report

Re: EMPLOYEE NAME, TITLE, DEPARTMENT

Prepared by:

MANAGERS NAME, TITLE

HR SUPPORT NAME, TITLE

DATE



Background

[Include details of full name, job title, department, hours and length of service.]

Current Sickness Absence Episode

Date From	Diagnosis	No. of Calendar Days	No. of Working Days

[Describe reason for current absence and any pertinent information regarding other known medical conditions and relevant personal circumstances]

Advice from Occupational Health

[summarise the advice received from occupational health]

Support Provided

[detail all other support provided – this might include, but is not limited to: emergency leave, last minute annual leave, flexible working, career breaks, adjusted duties, etc]

Effect on Service

[detail the effect of high levels of sickness absence on the service provided by the department]

Previous Attendance Record

Date From	Date To	Diagnosis	No. of Calendar Days

total days lost	
-----------------	--

Consideration of Reasonable Adjustments and/or Redeployment

[include details of consideration and application of reasonable adjustments and/or redeployment – and if not appropriate/possible give an explanation of why]

Any Other Relevant Information**Appendices**

[include copies of: all relevant invite letters and outcome letters, and also copies of any occupational health reports and any other relevant documentation.]

20. Redeployment Form

Name			
Contact email address (this will be used by HR to send vacancy bulletins to)			
Contact Telephone number			
Job Title			
Department			
Line Manager			
Grade			
Current working hours per week (if part time, please specify hours and days you work)			
Are you flexible on the hours/days you can work? (Please specify what days/hours you are available)			
Are there any days coming up where you would be unavailable to attend an interview (e.g. annual leave, childcare etc).			
Summary of work history/experience/skills			
Summary of Qualifications (e.g Professional Qualification and/or Membership of Professional Bodies)			
Do you have a valid driver's license?			
Is there any other information you would like us to be aware of?			
Employee's signature		Date	

Please send a copy to HRAdvisoryService@carlisle.gov.uk

Business & Transformation Scrutiny Panel

Agenda
Item:

A.5

Meeting Date: 1 April 2021
Portfolio: Leader
Key Decision: Yes
Within Policy and Budget Framework: Yes
Public / Private: Public

Title: Carlisle Plan 2021-2023
Report of: Deputy Chief Executive
Report Number: PC 8/21

Purpose / Summary:

To progress the adoption of a new Carlisle Plan, which forms part of the Council's Policy Framework.

Recommendations:

- Consider and comment on the draft Carlisle Plan.

Tracking

Executive:	8 March 2021 2 June 2021
Scrutiny:	Business & Transformation Scrutiny Panel 1 April 2021 Health & Wellbeing Scrutiny Panel 8 April 2021 Economic Growth Scrutiny Panel 12 April 2021
Council:	20 July 2021

1. BACKGROUND

- 1.1. This is the third iteration of the Carlisle Plan (2013-16, 15-18, 21-23). The associated Carlisle Plan on a Page has been kept up to date throughout with an annual review of key actions, with updates reported through the Quarterly Performance Report.
- 1.2. The Corporate Peer Challenge, January 2020, identified the important role the Plan has through the following recommendation:
‘Develop and agree a new Carlisle Plan to provide the Council’s long term vision for the district and establish clear priorities to deliver this and give the framework for other strategic plans. Agreement on what is a priority or not a priority for the next three years and beyond will be important, underpinned by an aligned MTFP.’
- 1.3. The LGA Remote Peer Support, November 2020, recommends that:
‘Continue to develop the new vision and accompanying priorities as planned, but crucially to use these to help shape the work of the Council’ The Peers added that this work has a central role in achieving the type of improvement we are seeking to achieve.
- 1.4. This new version of the Carlisle Plan brings together an ambitious programme for Carlisle under two priorities and a new vision. The response to and recovery from the Covid-19 Pandemic remains the focus of the Council’s efforts. Accelerating progress on the programme will mean that Carlisle and the local economy can bounce back from the impacts of this public health emergency.

2. PROPOSALS

- 2.1. The draft Carlisle Plan is attached as Appendix A. The Carlisle Plan is made up of a main document containing the detail behind the Plan and a summary ‘Plan on a Page’. The Plan on a Page (Appendix B) is a single page listing the Council’s vision, principles, priorities, and programmes/projects.
- 2.2. The vision has been updated to focus on prosperity as the primary purpose of the Plan, prosperity being the most important determinant of health and wellbeing.
- 2.3. There are two, related, priorities:
 - Economic growth
 - Health and wellbeing
- 2.4. There is an emphasis on maximising the co-benefits for cross-cutting issues such as Climate Change. The detail on these co-benefits will be highlighted within the reporting of the programme work.
- 2.5. The Plan presents the ambition for Carlisle as a place, it is not the organisational plan (Corporate Plan) which is the plan for all the Council’s service delivery. The Corporate Plan will be developed in parallel to the Carlisle Plan programmes/projects over the next months, through Service and Directorate

Planning. The updated Corporate Plan will become the reverse side of the Carlisle Plan on a Page so that every officer can see the contribution they are making to fulfilling the priorities and service delivery.

- 2.6. Progress on the Carlisle Plan will be reported in the quarterly performance report, beginning in April 2021. Work is underway to review the current performance report through a Scrutiny Task & Finish Group.

3. RISKS

- 3.1. The risks associated with the delivery of the Carlisle Plan will be managed in accordance with the Risk Management Assurance Framework Policy.

4. CONSULTATION

- 4.1. Public consultation is not planned due to the Covid-19 Pandemic. Effective consultation and engagement around the priorities and programme can be evidenced over the last two years through the major projects and strategies.
- 4.2. Informal consultation on the plan will be undertaken with partners engaged in delivering the priorities. The Council will engage with community and voluntary groups on the plan to identify opportunities to continue to develop this sector and support existing initiatives.

5. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 5.1. The commitment of investment in Carlisle and development of clear programmes and strategies now means that it is an appropriate time to update the Carlisle Plan.
- 5.2. The recommendation is to consider and comment on the draft Carlisle Plan.

6 CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 6.1 The Plan sets out the new priorities.

Contact Officer:	STEVEN O'KEEFFE	Ext: 7258
	A: Carlisle Plan 2021-23	
Appendices	B Carlisle Plan on a Page	
attached to report:		

Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers: None

CORPORATE IMPLICATIONS:

LEGAL - The Carlisle Plan 2021-23 replaces the previous Carlisle Plan 2015-18 and forms part of the Council's Policy Framework. In exercising some statutory powers, the Council must have regard to its approved Plan.

FINANCE – There are no specific financial implications of adopting the Carlisle Plan, however the plan will be used to inform future budget processes to align council resources to the priorities contained within it.

EQUALITY – None. The equality impacts will be considered within the programmes and projects of the two priorities.

PROPERTY – Carlisle City Council has an extensive property portfolio that can assist in delivering the aspirations of the plan.

INFORMATION GOVERNANCE – None.

Carlisle Plan

2021-23

The vision

To enable Carlisle to grow and prosper as the capital of the Borderlands region, benefiting the health and wellbeing of the people of Carlisle.

We will work in partnership so that all can enjoy the benefits of new opportunities and choices, whilst rising to the challenges of a changing climate.

Contents

Introduction.....	3
The Vision	4
Principles.....	5
The Seven Principles of Public Life	5
Clarity, confidence and commitment	5
Priorities	6
Economic growth.....	6
Key economic growth programmes and projects.....	6
Health and wellbeing	8
Key health and wellbeing programmes and projects.....	9
Performance Monitoring	12

Introduction

The Carlisle Plan, the third of its kind, is an ambitious plan setting out the Council's vision, priorities, and key actions.

Carlisle is the capital of Cumbria with a population more than 108,000. The city is recognised as the economic capital of a region serving 1.1 million people who live in Cumbria, Northumberland, and Southern Scotland. The City of Carlisle is the largest settlement in the district with more than two thirds of the population. The remaining population is distinctly more rural and in places extremely sparse. The most significant rural populations are in smaller market towns and large villages spread across the district, including Brampton, Dalston, Longtown and Wetheral.

Across the district, there are a wealth of natural and cultural assets making Carlisle a great place to live, work and visit. Carlisle draws strength from its strategic location, with heritage and environmental sites of national and international importance (Solway Coast and North Pennines), and good connections to national infrastructure.

Now is a golden opportunity for growth and development, Carlisle can build on its established economic role whilst encouraging the development of new sectors and entrepreneurship.

Carlisle is set within some of the country's most spectacular natural scenery and the city is the final stop for three of the country's scenic railway lines (Settle to Carlisle, Cumbria Coast Line and Tyne Valley Line). Landmark buildings and heritage sites such as Carlisle Castle, Carlisle Cathedral, Lanercost Priory and Hadrian's Wall attract visitors from across the world.

The Covid-19 Pandemic has had a significant impact on our local economy. The impact has highlighted the importance of health and wellbeing across all communities reminding us that Carlisle is a place focused on tackling health inequalities and enabling communities to thrive and be healthy. This Plan will seek to assist Carlisle to bounce back from this public health emergency, with greater confidence and commitment to meet future challenges.

The Vision

To enable Carlisle to grow and prosper as the regional capital, benefiting the health and wellbeing of the people of Carlisle.

We will work in partnership so that all can enjoy the benefits of new opportunities and choices, whilst rising to the challenges of a changing climate.

The Council plays a key role in enabling growth and prosperity, building on Carlisle's reputation as a regional capital. Our focus is on raising prosperity levels across the district as the primary purpose of the Plan; prosperity being the most important determinant of health and wellbeing. Improving health and wellbeing and tackling Climate Change will run through all our plans and services.

There are challenges ahead that will impact especially on our rural areas due to their ageing population, accessibility and often higher living and infrastructure costs. Knowing these issues and adapting policies and practices to meet the needs of rural areas will be vital to fulfilling the Vision.

Many of our activities and assets have a significant impact on the wider social, economic, and environmental determinants of health and wellbeing. Our employees work to address health inequalities daily and have a positive impact on the lives of some of the most vulnerable residents in Carlisle. We will continue to support the work of the Carlisle Healthy City partnership and the aspirations outlined in the Phase VII World Health Organisation Healthy City Plan.

We will be the best possible partner to organisations, communities and individuals that share our commitment, clarity, and confidence in Carlisle. We will help shape the future of Carlisle, delivering the priorities in the Carlisle Plan whilst operating a highly effective organisation where employees are supported to be the best they can be. We will continue to adapt to meet the financial challenges of the future by carefully and confidently allocating our resources whilst seeking to develop new income streams that add value to the local economy.

Principles

The Seven Principles of Public Life

All officers and Carlisle City Councillors adhere to The Seven Principles of Public Life (also known as the Nolan Principles):

- Selflessness.
- Integrity.
- Objectivity.
- Accountability.
- Openness.
- Honesty.
- Leadership.

Clarity, confidence, and commitment

Three principles have been developed by our staff and Councillors to guide how we will deliver the vision for Carlisle:

- Clarity.
 - Confidence.
 - Commitment.
-
- We are a clear, committed, and confident Council.
 - By setting out our vision, we show that we understand the needs of Carlisle's residents, businesses, and visitors. Our plans to respond to these needs are clear and straightforward. We know what is expected of us and do our best to create clarity in how we work.
 - We are committed to achieving our vision for Carlisle. We will ensure that our day to day work and resources are consistent with the priorities.
 - We will continue to work effectively with partners to drive positive change for Carlisle and will celebrate our successes and achievements. As part of our ongoing work to develop all our communities we will engage young people and make sure the Carlisle Plan helps to deliver their aspirations for Carlisle.

Priorities

Economic growth

We will continue to prioritise the current response to and rapid recovery from the economic impacts of the Covid-19 Pandemic on the local economy.

We aim to deliver inclusive and sustainable economic growth, ensuring we provide opportunities for all our communities to prosper. We will boost the local economy, making Carlisle a more attractive place for investment, improving skills and drive key sector development. Committed to ensuring our growth agenda is as inclusive as possible, we will ensure that our activities benefit our rural communities.

We see improving connectivity is a key driver, both through the delivery of transport and digital connectivity, as well supporting the development of low carbon transport.

Carlisle's population will flourish through housing led growth and the delivery of St Cuthbert's Garden Village. This will add to the vibrancy and activity in Carlisle City Centre, creating a thriving community of students, residents, businesses, and workers using the centre for education, housing, work, and leisure activities, during the day and into the evening. We will also grow Carlisle's visitor economy, attracting additional footfall and spending to the city.

Key economic growth programmes and projects

Delivering the Borderlands Inclusive Growth Deal:

- Carlisle Station Gateway: improving the railway station and surrounding public spaces as the key transport hub for the Borderlands and preparing for HS2.
- Citadels University Campus: developing a new City Centre campus/headquarters for the University of Cumbria. Investing in the university to attract greater student numbers and boost the number of Higher Education (HE) learners and graduates in Carlisle.
- Citadels Business Infrastructure: Creating a new bespoke business hub for the Creative and Digital sector, supporting the growth of an emerging high value sector in the city to boost productivity, reputation, and reach.
- Support and lobby for the improvement/increased coverage of rural public transport networks, including the reopening of Gilsland railway station and Borders rail feasibility study.
- Improving digital infrastructure and access through the Borderlands digital voucher scheme, providing a new innovation centre for the digital sector at the

Citadels and improving skills through the proposed digital and community learning hub.

- Delivery of the Longtown Place Plan: Working with local communities in Longtown to develop a locally owned place plan for Longtown, to seek investment in the town from the Borderlands Inclusive Growth Deal.
- Destination Borderlands (Hadrian's Wall): Seeking to work with key partners such as Tullie House Museum and Art Gallery to bring investment to the western side of the Wall, boost visitor numbers, create new jobs and support rural communities.
- Digital Voucher Scheme: providing opportunity for greater broadband speed for rural communities and businesses.

Delivering St Cuthbert's Garden Village:

- Delivery of 10,000 new homes and over 9,000 direct jobs south of Carlisle.
- Establishing new communities where population health, wellbeing and environmental sustainability goals are at the heart of good design and land use.
- Providing improved walking and cycling infrastructure through projects such as St Cuthbert's Garden Village, Southern Link Road and Town Deal.
- Through our £1.2m bid to the Government's New Development Corporation Competition, we will explore alternative mechanisms to deliver the Garden Village and ensure the long term stewardship of the new social and environmental assets that will be created.

Delivering the Future High Street Fund, Town Investment Plan and Towns Fund, Town Deal Accelerated Fund, and related regeneration projects:

- Revitalising the Market Square, pedestrianised improvements to Devonshire Street, redevelopment of the former Central Plaza site, and 6-24 Castle Street.
- Start with the Park (St Cuthbert's Garden Village).
- Digital and Community Learning Hub: investing in community learning to improve the local skills base.
- Investment in Tullie House, Market Hall, Southern Gateway (English Street/Botchergate/Crescent), lighting-up Carlisle project (event and infrastructure).
- Citadels Business Infrastructure (Linked to Borderlands Inclusive Growth Deal).
- Caldew Riverside: Remediation of development site with potential to provide new city centre living opportunities.
- Creation of a temporary, modular 'pod village' in Bitts Park, providing a vibrant small business hub.

Building on success through new economic opportunities:

- Kingmoor Park Enterprise Zone: continuing support for the first Enterprise Zone in Cumbria as a local hub for key sectors such as manufacturing and logistics and an environment that welcomes new investors and high growth organisations.

- Development of a Rural Strategy: to work with rural communities and the agricultural sector to address the challenges and identify new priorities and opportunities following the UK departure from the EU.
- Proactively position Carlisle for future investment: encourage private and public sector investment in Carlisle to improve productivity, help grow and boost the city; bringing in key employers and more high value jobs, while also ensuring we have investment in our infrastructure to help build Carlisle's future. Making it clear to government and the private sector alike that Carlisle is open for business.
- Grow our visitor economy: ensuring that Carlisle's strong potential as a tourist destination is realised, through providing an enhanced visitor experience with new attractions and increased vibrancy, whilst continuing work to promote the city through the Discover Carlisle brand.
- Working in partnership to tackle the carbon footprint of tourism.

Health and wellbeing

We will continue to prioritise the current response to and rapid recovery from the health and wellbeing impacts of Covid-19 Pandemic.

We will work with our partners in the public, health, private and voluntary sectors to deliver a broad programme that will support the good, lifelong health and wellbeing of our residents and visitors. This priority builds on the framework of the Cumbria Public Health Strategy and WHO Healthy City Programme with projects and programmes that will focus on the determinants of health; a sense of place and safety; the quality of the local environment and tackling Climate Change together.

Housing and a sense of home is fundamental to health and wellbeing. We will continue to tackle homelessness and rough sleeping with a strategic focus on early intervention and prevention rather than crisis management. We will also seek to improve the homes of residents in most need, ensuring that everyone has access to safe, warm, affordable housing.

As a Sustainable Food City, we will promote a vibrant and diverse food economy, with local communities having access to a range of healthy and affordable food options. We will continue to increase recycling and reduce waste and increase recycling and energy recovery, helping to reduce the Carbon footprint of our current lifestyles.

All communities will have good access to a wide range of recreational, leisure and exercise opportunities, that are both diverse and affordable. We will encourage opportunities to participate in and engage with the arts

and culture, the strategic focus will be on establishing Carlisle as a central hub for culture within the wider region. Accessible green spaces have a vital role in human health and wellbeing as well as providing opportunities to increase net biodiversity gains through improved wildlife habitats.

Making Carlisle a great and safe place to walk, cycle, and use electric vehicles, alongside public transport systems will increase activity and reduce the Carbon footprint of local journeys.

Key health and wellbeing programmes and projects

Deliver The Sands Centre Redevelopment project:

- The delivery of a new £27 million flagship sport, leisure, and entertainment facility at the heart of the City will transform the quality and accessibility of health and leisure provision in our district. The new facilities will also enhance our strong partnership relationships with NHS providers focused on improving population health. The Sands Centre will host an extensive Musculoskeletal unit designed to offer patients treatment and preventative services at the heart of a leisure setting.
- The design and development of the new facilities include a range of sustainable features which will support the council's plans for reducing Carbon emissions, improving energy efficiency, and providing sustainable, healthy transport options.
- The new extension will significantly improve the access opportunities for all our communities to use and enjoy the facilities and services. Access to the building will be significantly improved from all points as will the internal layout. The development of the project has used an inclusive design approach to ensure equal access and wellbeing. This will assist users with physical and other conditions such as dementia to make full use of the site and surroundings.
- The facilities will also improve the existing opportunities for The Sands to host performances, cultural events, and conferences.

Support the delivery of partnership plans:

- Develop and maintain a short-term Partnership Place Plan.
- Explore the opportunity to pilot a collaborative funding model, focusing on a place based and coordinated approach for investment in the civil society.
- Develop shared spaces and new ways of working to allow partners to come together to improve outcomes and address core areas.
- Building capacity to collaborate across the Place to grow awareness, knowledge, and partnership workforce capacity.
- Develop a Draft Strategy for Social Prescribing in Cumbria by March/April 2020
- Secure system support for the Social Prescribing Strategy in North Cumbria.

Deliver the Homelessness Prevention and Rough Sleepers Strategy:

- Reduction of multiple exclusion homelessness and rough sleeping.
- Prioritising early intervention and prevention of homelessness.
- Promoting safeguarding and harm minimisation support for victims of domestic violence.
- Increasing access to flexible move on accommodation and support options available for people experiencing homelessness.
- Improve experiences and opportunities for young people and children experiencing homelessness.
- Increase key partnerships to respond effectively to local emergency situations.
- Meeting the Council's commitments via the Armed Forces Covenant by providing housing choices and support for those leaving the services.

Deliver the Homelife programme of advice and support:

- Programme of Disabled Facilities Grant and discretionary grants funded through the Better Care Fund.
- Hospital Discharge Grants to anyone who is in hospital, or has recently been discharged, and requires emergency repairs or measures to get them home.
- Working to address fuel poverty, improve energy efficiency and Carbon savings.
- Work to help bring empty homes back into use.

Delivery of Phase VII World Health Organisation Healthy City Plan:

- Work with partners to deliver on key district wide actions associated with the WHO 6 Ps (People, Place, Prosperity, Planet, Peace, Participation)
- Via the County-wide Public Health Strategy and WHO 6 Ps sustain a focus on delivery projects and programmes that address - healthy weight management, physical activity levels, developing a child friendly city, supporting vulnerable adults, addressing population mental health management particularly post Covid19 restrictions.
- Continue to influence and shape public planning policy for key developments such as the St Cuthbert's Garden Village, city centre redevelopment and other key place based developments.

Deliver the Local Environment (Climate Change) Strategy

Climate Change presents new challenges and opportunities for our whole region. In partnership we are committed to working towards a net zero Carbon future for Carlisle, Cumbria, and the Borderlands. Through programme and partnership working we can realise the cross-cutting co-

benefits presented by the two priorities of economic growth and health and wellbeing. There are clear health benefits from improved air quality, healthier diets and more walking and cycling. The drive for clean growth has the potential for industrial and commercial opportunities. The strategy has the following objectives:

- Reducing emissions from the City Council estate and operations.
- Reducing energy consumption and emissions from homes and businesses in Carlisle and tackling fuel poverty, by promoting energy efficiency measures, sustainable construction, renewable energy sources and behaviour change.
- Reducing emissions from transport by promoting sustainable transport, reducing car travel and traffic congestion, and encouraging behaviour change.
- Reducing consumption of resources, increasing recycling, and reducing waste.
- Supporting council services, residents, and businesses to mitigate against and adapt to the impacts of Climate Change.

Deliver the Green Spaces Strategy and support the delivery of the Local Cycling and Walking Infrastructure Plan (CWIP):

- To make sure that Carlisle's reputation as a place that is enriched by its wealth of green spaces is enhanced as the city continues to grow and develop, recognising the health benefits from contact with green space and the natural environment and maintaining the current standard of 3.6ha of green space per 1000 population.
- To meet and exceed a set of challenging quality standards for all green spaces which will ensure they are safe, attractive, and welcoming for everyone who visits them.
- To make sure that all residents of Carlisle and our visitors have easy access to our inspirational green spaces, whatever their level of physical ability and that we take every opportunity to link and connect green spaces, walking and cycling routes, nature reserves and riversides.
- To manage our green estate as a diverse and flourishing natural resource which provides a range of environmental services including resilience against future flooding, reducing the impacts of and mitigation against Climate Change and enhancing biodiversity to provide rich and varied wildlife habitats.
- To nurture and support the role of our communities in caring for our green spaces and natural resources, encouraging them to take a leading role where appropriate and promoting green spaces as a primary resource in the cultural life of the city including as venues for events, play, sports and recreational activities.
- Make an ongoing and effective contribution to the development of extensive cycling and walking infrastructure plans for Carlisle and the wider district, building on the existing infrastructure, increasing and improving the range of cycle and walking options and ensuring that these safe routes are widely publicised and sign posted.

Development and delivery of the new Cumbria Waste Strategy:

- Development of the new Waste and Recycling Strategy which presents an opportunity to reflect the aims and objectives of the Resources & Waste Strategy, the Environment Bill, Clean Growth Strategy and Litter Strategy. The strategy will bring together the strategic aims of these national strategies, and focus on waste reduction, Carbon impacts and plan for future waste management infrastructure to meet national targets.

Support for the delivery of the Carlisle Cultural Framework:

- Placing culture at the heart of Carlisle's ambitions for environmental sustainability, inclusive economic prosperity, and good health for all
- Embedding culture within regeneration and local planning to attract investment for city centre transformation and infrastructure development.
- Playing a full and active role in Carlisle's ongoing commitment as a World Health Organisation, Healthy City, using culture to improve the wider determinants of health, wellbeing, and community cohesion.
- Supporting artists and venues to emerge stronger from the COVID-19 crisis.
- Co-ordinating and promoting an exciting, wide-ranging, and inclusive programme of events in the city centre and across the district.

Performance Monitoring

We will measure progress against the plan through an updated performance framework. This framework will include progress in key projects, risks, and opportunities.

A new set of measures will be agreed with Service Managers and the Senior Management Team. We will present these measures under each priority. Their purpose will be to help steer services and projects towards the benefits we want to achieve by implementing the plan. The performance framework will be monitored through Directorate Management Team meetings and a quarterly report to Senior Management Team. A quarterly summary of performance will be reported to Executive and Overview and Scrutiny.

The Carlisle Plan will be reviewed annually before the setting of service plans within our Directorates.

Carlisle Plan 2021-2023 Summary

Vision: To enable Carlisle to grow and prosper as the regional capital, benefiting the health and wellbeing of the people of Carlisle. We will work in partnership so that all can enjoy the benefits of new opportunities and choices, whilst rising to the challenges of a changing climate.

Priorities: Economic growth

Health and wellbeing

Key programmes and projects:

1. Delivering the Borderlands Inclusive Growth Deal.
2. Delivering St Cuthbert's Garden Village.
3. Delivering the Future High Street Fund, Town Investment Plan and Towns Fund, Town Deal Accelerated Fund, and related regeneration projects.
4. Building on success through new economic opportunities.
5. Deliver The Sands Centre Redevelopment.
6. Deliver the Homelessness Prevention and Rough Sleepers Strategy.
7. Deliver the Homelife programme of advice and support.
8. Delivery of Phase VII World Health Organisation Healthy City Plan.
9. Deliver the Green Spaces Strategy and support the delivery of the Local Cycling and Walking Infrastructure Plan (CWIP).
10. Development and delivery of the new Cumbria Waste Strategy.
11. Deliver the Local Environment (Climate Change) Strategy.
12. Support for the delivery of the Carlisle Cultural Framework.
13. Support the delivery of partnership plans.
14. We will continue to prioritise the current response to and rapid recovery from the impacts of the Covid-19 Pandemic.

Corporate Plan 2021-2023 Summary

Purpose: Enabling the fulfilment of the Carlisle Plan whilst ensuring the efficient and effective delivery of all Council services.

The Corporate Plan is a signpost to the following strategic documents, plans and projects, within which we set out how services will be improved, and key projects resourced and delivered:

- Medium Term Financial Plan (MTFP): A comprehensive plan for strategic finance decision-making
- Asset Management Plan (AMP):
- Workforce Plan (WFP): The Workforce Plan provides a framework for dealing with challenges in a consistent way.
- Customer Service Charter: The customer charter outlines how our principles are at the heart of everything we do. Our promise is to continue to innovate so our customers can access council services anytime, anywhere.
- Project Management Handbook: A toolkit for project management.
- Performance Framework: This framework draws together all the activities that contribute to our performance.
- Risk Management Assurance Framework: This framework clearly sets out how we manage operational, strategic and major project risks.
- Information Governance Framework: This framework provides an over-arching basis of the Council's approach to the governance of its information.

Business change plans and strategies:

Together these documents will enable agile working, compliance with the new rules on data and improve the tasking and coordination of demand-led services.

- Business Continuity Planning.
- Dispersed and agile working.
- ICT Strategy and programme.
- Transformation Board actions.
- Directorate Planning & Service Planning: Service planning sets out what needs to be delivered, how, when and by whom, in the context of the Carlisle Plan, Corporate Plan and statutory/service responsibilities.

EXCERPT FROM THE MINUTES OF THE EXECUTIVE HELD ON 8 MARCH 2021

EX.30/21 CARLISLE PLAN 2021-2023
(Key Decision – KD.01/21)

Portfolio Leader

Relevant Scrutiny Panel Business and Transformation; Health and Wellbeing;
and Economic Growth

Subject Matter

The Leader submitted report PC.7/21 presenting the draft Carlisle Plan 2021-2023 which brought together an ambitious programme for Carlisle under two priorities, namely Economic Growth and Health and Wellbeing; together with a new vision focussing on prosperity as the primary purpose, prosperity being the most important determinant of health and wellbeing.

There was also an emphasis on maximising the co-benefits for cross-cutting issues such as Climate Change, the detail in relation to which would be highlighted within the reporting of the programme work.

The Leader then moved the recommendations, which were duly seconded by the Deputy Leader.

Summary of options rejected None

DECISION

That the Executive:

1. Had considered and commented on the draft Carlisle Plan 2021 – 2023 as appended to Report PC.7/21.
2. Referred the draft Carlisle Plan to the Overview and Scrutiny Panels for consultation.

Reasons for Decision

The commitment of investment in Carlisle and development of clear programmes and strategies now meant that it was an appropriate time to update the Carlisle Plan

Business and Transformation Scrutiny Panel

Agenda
Item:

A.6

Meeting Date: 01 April 2021

Portfolio: Cross-cutting

Key Decision: No

Within Policy and
Budget Framework

Private/Public Public

Title: Scrutiny Annual Report

Report of: Overview and Scrutiny Officer

Report Number: OS.10/21

Purpose / Summary:

This report provides the draft Business and Transformation Scrutiny Panel Section for the Scrutiny Annual Report 2020/21.

Recommendations:

Members are asked to:

- Consider and comment on the attached section of the draft report.

Tracking

Executive:	Not applicable
Scrutiny:	BTSP 01/04/21
Council:	27/04/21

1. Background

1.1 The Constitution: Article 6 – Overview and Scrutiny Committees, 6.03 Specific functions [c] states that:

***‘Annual report.** Overview and scrutiny committees must report annually to full Council on their workings and make recommendations for future work programmes and amended working methods if appropriate’.*

1.2 This report contains this Panel’s draft sections for the Annual Scrutiny Report 2020/21. Each Scrutiny Panel will consider their own sections of the draft report before recommending its acceptance to Council.

2. Recommendations

2.1 That the Panel consider and comment on the appended draft report.

Contact Officer: Rowan Jones Email: rowan.jones@carlisle.gov.uk

Appendices
attached to report: Draft general and Business and Transformation
Scrutiny Panel sections for the Scrutiny Annual Report
2020/21

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:

LEGAL -

FINANCE –

EQUALITY – This report raises no explicit issues relating to the public sector Equality Duty.

INFORMATION GOVERNANCE –

APPENDIX: Draft general and Business and Transformation Scrutiny Panel sections for the Scrutiny Annual Report 2020-21

Introduction

The Annual Report for the Civic Year 2020-21 will reflect on a year of significant change for Scrutiny Panels at Carlisle City Council. The changes for Scrutiny reflect how the City Council as a whole has adapted to remote working and virtual meetings in response to the unprecedented challenges of the Covid-19 Pandemic.

Carlisle City Council has three scrutiny panels:

- Business and Transformation Scrutiny Panel
- Economic Growth Scrutiny Panel
- Health and Wellbeing Scrutiny Panel

Over the course of the year each Panel has run a full and varied workplan, reflecting aspects of the City Council's function that fall within that Panel's remit. Members have looked carefully at their work programmes, working with council officers to ensure that their scrutiny activity is targeted at the most important issues and decisions that are facing the City Council as Carlisle looks to recover and move forward from the Covid-19 pandemic.

What is Scrutiny and why is it important?

Scrutiny is a process to ensure that decisions taken by the Council reflect the needs and priorities of communities in Carlisle. Scrutiny is carried out by Councillors who understand and promote the concerns of the people who elected them, connecting decision makers to local communities.

Council decisions can be made by Council Officers, by the Council's 'Executive' (the political leadership) and by full Council (all Councillors).

Scrutiny Panels are made up of Non-Executive Councillors who work together, across political parties, to understand why decisions are made and how the Council is performing to deliver the best possible outcomes for Carlisle and its people. Scrutiny Panels do not have decision-making powers; their role is to challenge and make recommendations that influence decision makers.

Scrutiny Response to Covid-19

During 2020/21 all Panel meetings have taken place in a virtual setting, following guidelines set out in the Coronavirus Act 2020.

Carlisle City Council was quick to respond to the need to deliver virtual committee meetings and we would like to note our achievement in having delivered all planned scrutiny meetings during 2020/21. Panel Members and Officers have worked together to develop a new way of working, adapting and persevering with new IT skills, supporting each other and showing tolerance and humour at the bumps in the road that have sometimes accompanied the shift to virtual meetings.

Maintaining scrutiny activity during the pandemic has been important because:

- Significant decisions with impacts on Carlisle have been made during this time.
- Councillors represent their local communities and their knowledge and perspective are vital to ensuring a robust, democratic response to the crisis and recovery plans that are suitable for local needs.

Scrutiny Chairs have worked closely together to co-ordinate their Panel's activities to ensure a good level of oversight across the City Council's role in Covid-19 response and recovery.

Comment from Leader of the Council, Councillor John Mallinson

<Text to be inserted>

Corporate Peer Challenges, January and November 2020 – implications for Scrutiny

The Carlisle Corporate Peer Challenge undertaken in January 2020 was positive and highlighted a number of strengths for the Council. This Peer Challenge focussed on leadership, governance, corporate capacity and financial resilience. This Peer Challenge included some comments around the role of scrutiny. Scrutiny Panels, led by their Chairs, have made some steps in beginning to respond to these comments. For example, in recognising that developing robust workplans can help Scrutiny to focus on key strategic issues for Carlisle and making recommendations that will add value to the decision making process.

A further Corporate Peer Challenge, undertaken remotely in November 2020, reviewed the Council's use of existing governance arrangements. There are likely to be further implications of this Peer Challenge for scrutiny panels that can be considered over the coming scrutiny year.

Public engagement in Scrutiny

Scrutiny Panels are open to the public to attend at the Civic Centre, when Panels are meeting at a physical location. Panel meetings can be viewed online via the Council's website, whilst virtual meetings are taking place as part of Covid-19 social distancing measures.

Agendas, report and minutes from Scrutiny Panel meetings are available on the City Council website. Members of the public can also submit questions for meetings; these need to be submitted 11 full days before the Panel Meeting.

For more information on these meetings or on how to engage with the Scrutiny process, please contact: scrutiny@carlisle.gov.uk.

Business and Transformation Scrutiny Panel (BTSP)

Chair's Report, Councillor James Bainbridge

At the time I wrote my last annual report, if you had said that over the coming year the Council would see an extensive level of direct and sustained financial support from Government, which would enable both the Council and the wider local economy to exist as solvent entities through a global pandemic, I would have thought it far-fetched. However, in terms of the remit of this panel, 2020 has been one of the most varied and unpredictable years in local government finance.

The financial performance of the Council at this time, has been very much on the radar of BTSP. In addition to the regular quarterly reports, the panel has reviewed the impact of Covid on our financial position. This we will continue to monitor in the coming months through further reports and study of budget outturns.

The present work of the Council on the major capital projects at the Sands Centre and on the ground floor of the Civic Centre both came before the panel for review. There has been a reassuring degree of oversight by Officers in the projects, which at this point are both on schedule and within agreed budgets.

With the conclusion of the Junction 44 drawing near, we have taken the opportunity to review this project and consider it within the context of wider commercialisation work that Carlisle City Council has undertaken and wishes to undertake in the future. Some Councillors, myself included, had expressed some concern when the project was

commenced. It is fair to say that the work of BTSP has assisted in offering members a reassurance that such projects can enhance the City as a whole, as well as providing a secure level of income to the Council to fund service provision.

On the horizon there is the final report due from the Corporate Peer Review. The previous initial report firmly highlighted the need for enhancements in the present scrutiny arrangements. In the likely two years that we have ahead of us as an authority, this will be an issue that will require our further attention.

We held an extremely positive and productive Task and Finish Group on long term absence and, as a Panel, are extremely proud of the work undertaken in this area and the potential improvements this could bring the Council on many levels. Thank you to the Members and staff of the Council who gave additional time to take this project forward. Our next area of Task and Finish work will relate to the commercialisation strategies and policies of the Council.

I wanted to take a brief moment in this report to thank Rowan, Jacqui and Rachel for their work in establishing and managing the online meetings. I am sure that Members will be aware that several Councils in the UK took the position that Covid restrictions on meetings would result in their own Scrutiny Panels being put on hold, in a few cases they still are in abeyance a year later. In Carlisle, we missed the last cycle of meetings in the previous civic year, but virtual meetings commenced in May 2020 at the start of this Civic Year. We were amongst the first Councils (if not the first) to establish online Scrutiny meetings. The meetings have been professionally delivered by the Council, and I am sure that we are appreciative for the efforts made to keep Member involvement in the scrutiny of policies and projects active at this time.

Comment from Councillor Gareth Ellis, Portfolio Holder for Finance, Governance and Resources

<Text to be inserted>

Key items for Business and Transformation Scrutiny Panel in 2021-22

The following items are topics that Business and Transformation Scrutiny Panel have identified will be key their workplan for 2021/22:

- Commercialisation Strategy T&F Group
- Covid-19 impacts and challenges to business recovery

Business and Transformation CARLISLE CITY COUNCIL Panel

Agenda
Item:

A.7

Meeting Date: 01
Portfolio: www.carlisle.gov.uk
Cross-cutting

Key Decision: No

Within Policy and
Budget Framework

Private/Public Public

Title: Overview Report
Report of: Overview and Scrutiny Officer
Report Number: OS.07/21

Purpose / Summary:

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

Recommendations:

Members are asked to:

- Note the items (within Panel remit) on the most recent Notice of Key Executive Decisions
- Review the current work programme and resolutions and make recommendations for the future work programme

Tracking

Executive:	Not applicable
Scrutiny:	BTSP 01/04/21
Council:	Not applicable

1. Notice of Key Decisions

1.1 The most recent Notice of Key Executive Decisions was published on 8 March 2021. This was circulated to all Members. The following items fall within the remit of this Panel:

Items which are included in the Panel's Work Programme:

- KD 01/21 – Carlisle Plan

Items which are not included in the Panel's Work Programme:

- KD 08/21 – Medium Term Financial Plan and Capital Investment Strategy
- KD 09/21 – 2020/21 Provisional Outturn Reports
- KD 10/21 – Budget Process 2022/23 – 2026/27

2. References from Executive

2.1 At their meeting of 8 March 2021, the Executive referred the Carlisle Plan 2021-2023 to BTSP (minute reference EX.30/21).

3. Progress on resolutions from previous meetings

3.1 The following table sets out the meeting date and resolution that requires following up. The status is presented as either “completed”, “pending” (date expected), or “outstanding”. An item is considered outstanding if no update or progress has been made after three panel meetings. All the completed actions will be removed from the list following the meeting.

	Meeting date	Minute reference	Action	Status
1	03/09/20	BTSP 47/20	3) That a Task and Finish Group be established to support the development of the Commercialisation Strategy and the invitation to join the Task Group be circulated to all Members.	Pending
	15/10/20	BTSP 64/20	1) That a Commercialisation Strategy Task and Finish Group be set up in early 2021.	
2	01/12/20	BTSP 73/20	2) That a report be submitted to a future meeting of the Panel setting out the comparison work that has been undertaken with other authorities in addressing their climate change targets.	Complete Scheduled for 03/06/21 BTSP
3	18/02/21	BTSP 16/21	2) That the Corporate Director of Finance and Resources provide the Panel with the following information:	Pending

			- Up to date figures on the number of applicants for the Christmas support payments for wet led pubs and details of the promotion for the scheme; - Information on the head rent figures for the Lanes and any potential impact on income following the closure of Debenhams; - Comparison information on the bad debt write offs - Copy of the Discretionary Grants Policy.	Pending Complete Complete
4	18/02/21	BTSP 20/21	2) That the Deputy Chief Executive provide the Panel with an update on the progress of the Improving Attendance Policy including the date it would be submitted to the Panel;	Complete
5	18/02/21	BTSP 20/21	3) That the Deputy Chief Executive provide a written response to the Panel setting out what, if any, exit interviews were undertaken when staff leave the authority how work related stress was recorded and what triggers were in place to deal it what training was available to manage staff sickness.	Pending

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

5.1 The overview and scrutiny of the Carlisle Plan items that match the panel remit contribute to ongoing policy development.

Contact Officer: Rowan Jones

Ext: rowan.jones@carlisle.gov.uk

**Appendices
attached to report:**

1. Draft Scrutiny Panel Work Programme 2020-21

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:

LEGAL -

FINANCE –

EQUALITY – This report raises no explicit issues relating to the public sector Equality Duty.

INFORMATION GOVERNANCE –

APPENDIX 1: Draft Scrutiny Panel Work Programme 2020-21

Title	Type of Scrutiny	Lead Officer	BTSP Date
Scrutiny Annual Report 2019/20	Policy development	Rowan Jones	28/05/2020
End of Year Performance Report - for info report	For info	Gary Oliver	May 2020
Outturn Reports	For info	Steven Tickner	July 2020
Medium Term Financial Plan and Capital Strategy	Policy development	Alison Taylor	23/07/2020
Asset Management Plan and Annual Property Survey Report	Policy development	Mark Walshe	23/07/2020
Employee Opinion Survey	Monitoring	Gary Oliver	23/07/2020
End of year Performance Report	Monitoring	Gary Oliver	23/07/2020
Corporate projects	Policy update	Jason Gooding	23/07/2020
Asset Management of Kingstown Industrial Estate and Parkhouse Business Park - Update on Progress - Part B	Policy update	Mark Walshe	23/07/2020
Sickness Absence EOY 19/20 and Q1 20/21	Monitoring	Sue Kaveney	03/09/2020
Performance Report Q1	Monitoring	Gary Oliver	03/09/2020
Corporate Risk Register	Monitoring	Darren Crossley	03/09/2020
Budget monitoring Q1 20/21	Monitoring	Steven Tickner	03/09/2020
Annual Equality Report & Action Plan - for info report	For info	Rebecca Tibbs	Sept 2020
Sands Centre Redevelopment Project - special meeting	Policy update	Darren Crossley	17/09/2020
Review of Attendance Management Policy - T&F Group Report	Policy development	Sue Kaveney/ T&F Group	15/10/2020
Corporate Peer Review	Policy development	Darren Crossley	15/10/2020
Allocation of S.106 funds	Policy update	Chris Hardman	15/10/2020
Planning for a no Deal Brexit	Policy development	Jane Meek	15/10/2020
Performance Report Q2	Monitoring	Gary Oliver	01/12/2020
Budget setting	Budget	Alison Taylor	01/12/2020
Budget monitoring Q2 20/21	Monitoring	Steven Tickner	01/12/2020
Brexit risk assessment	Policy update	Jason Gooding	01/12/2020
Sickness Absence Q2 20/21	For info	Sue Kaveney	Dec 2020
Civic centre reinstatement and development	Policy update	Darren Crossley	07/01/2021
Budget setting (including Treasury Management Strategy Statement)	Budget	Alison Taylor	07/01/2021
Covid/ Budget item		Alison Taylor	07/01/2021
Performance Report Q3	Monitoring	Gary Oliver	18/02/2021
Budget monitoring Q3 20/21	Monitoring	Steven Tickner	18/02/2021
Sickness Absence Q3 20/21	Monitoring	Sue Kaveney	18/02/2021
Sands Centre Project Monitoring Report	Monitoring	Darren Crossley	18/02/2021
Draft Carlisle Plan	Policy development	Steven O'Keeffe	18/02/2021
Update on Gateway 44 - Part B item	Policy Update	Mark Walshe	18/02/2021
Chancerygate Annual KPI Report	Policy update	Mark Walshe	18/02/2020
Scrutiny Annual Report 2020/21	Policy development	Rowan Jones	01/04/2021
Corporate projects	Monitoring	Jason Gooding	01/04/2021
Corporate Risk Register	Monitoring	Darren Crossley	01/04/2021
Draft Improving Attendance Policy	Policy development	Darren Crossley	01/04/2021

Draft Carlisle Plan	Policy development	Steven O'Keeffe	01/04/2021
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