CITY OF WOLVERHAMPTON COUNCIL

Confident, Capable Council Scrutiny Panel

13 June 2018

Time	6.00 pm	**Public Meeting?**	YES	**Type of meeting**	Scrutiny

Venue   Committee Room 3 - Civic Centre

Membership

Chair   Cllr Paula Brookfield (Lab)
Vice-chair   Cllr Jane Stevenson (Con)

Labour	**Conservative**
Cllr Alan Bolshaw	Cllr Udey Singh
Cllr Jacqueline Sweetman	
Cllr Caroline Siarkiewicz	
Cllr Payal Bedi-Chadha	
Cllr Dr Michael Hardacre	
Cllr Ian Brookfield	
Cllr Milkinderpal Jaspal	
Cllr Peter O'Neill	
Cllr Susan Roberts MBE	

Quorum for this meeting is three Councillors.

Information for the Public

If you have any queries about this meeting, please contact the Democratic Services team:

Contact	Martin Stevens
Tel/Email	martin.stevens@wolverhampton.gov.uk/01902 550947
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Agenda

Part 1 – items open to the press and public

Item No.   *Title*

1   **Apologies**
        [To receive any apologies for absence]

2   **Declarations of interest**
        [Members are reminded that they must not participate in the discussion or voting on any matter in which they have a Disclosable Pecuniary Interest and should leave the room prior to the commencement of the debate].

3   **Minutes of previous meeting** (Pages 3 - 8)
        [To approve the minutes of the previous meeting as a correct record]

4   **Matters arising**
        [To consider any matters arising from the minutes]

5   **Work Programme** (Pages 9 - 24)
        [To consider the Scrutiny Work Programme]

6   **Strategic Risk Register** (Pages 25 - 52)
        [To consider a briefing report on the Strategic Risk Register]

7   **Smart Working** (Pages 53 - 66)
        [To consider a briefing note on Smart Working]

8   **Finance Training for Councillors & Finance Explanatory Booklet** (Pages 67 - 80)
        [To consider a briefing note on Finance Training for Councillors and the Finance Explanatory Booklet for 2018-2019]

CITY OF
WOLVERHAMPTON
C O U N C I L

Confident, Capable Council Scrutiny Panel

Agenda Item No: 3

Minutes - 18 April 2018

Attendance

Members of the Confident, Capable Council Scrutiny Panel

Cllr Alan Bolshaw
Cllr Paula Brookfield
Cllr Dr Michael Hardacre
Cllr Louise Miles (Chair)
Cllr Ian Brookfield
Cllr Craig Collingswood
Cllr Stephen Simkins

Employees
Martin Stevens (Scrutiny Officer) (Minutes)
Mark Taylor (Strategic Director of People)
Claire Nye (Director of Finance)
Alison Shannon (Chief Accountant)
Sukhvinder Mattu (Human Resources Business Partner)

Part 1 – items open to the press and public

Item No.   *Title*

1   **Apologies**
      Apologies for absence were received from Cllr Payal Bedi-Chadha, Cllr Udey Singh, Cllr Jacqueline Sweetman and Cllr Andrew Wynne.

2   **Declarations of interest**
      There were no declarations of interest.

3   **Minutes of previous meeting**
      The minutes of the previous meeting, held on 14 February 2018, were approved as a correct record.

4   **Matters arising**
      A Councillor asked if there had been any further progress on the arrangements for public access to the Committee Rooms on the third floor and the Council Chamber on the fourth floor.

The Scrutiny Officer commented that the audio/visual equipment was still being installed in the Committee rooms. He understood the Director of Commercial Services was still working on the security and access arrangements. Members commented that some Committee meetings such as Planning Committee, had large amounts of public attending and questioned the practicalities of having to escort each person in and out of the building.

The Chair stated, at a meeting recently held at the Civic Centre, members of the public had been left standing in the reception area and unable to access the meeting they wished to attend due to needing a security pass.

The Strategic Director of People undertook to speak to the Deputy Managing Director to find out what progress had been made on the access and security arrangements to the Committee rooms and promised to inform Members promptly with an update on the progress. A Councillor commented the problem had been raised by the Panel over six weeks ago and was surprised the issues had still not been resolved. He was also concerned about the condition of the pointing on the front of the Civic Centre which he had been previously advised would be rectified as part of the Future Space works.

5   **Work Plan**
The Chair stated she had recently met with the Scrutiny Officer to the Panel and had asked for a number of items to be included on the Work Programme for the Confident, Capable Council Scrutiny Committee. These included the management of the Strategic Risk Register, Benefits and Procurement, Legal Services being able to undertake and charge for private work, Finance training for Members, explanatory finance booklet and the terms of reference for a potential Budget Task and Finish Group. She was interested in scrutinising how the Council promoted Local Government elections and the consultations the Council held on the location of Polling Stations, if this fell under "Democracy," which was listed as being in the remit of the Committee. She also suggested the Black Country LEP should be considered by the Scrutiny Board in the near future.

A Councillor asked why apprenticeships was on the Work Programme for two of the Panels when he considered a much more important area to consider was why a large percentage of young people were leaving school without five GCSE's.

The Scrutiny Officer responded apprenticeships was on the Work Programmes for two of the Committees because this had been agreed at Scrutiny Board after the Chair of the Stronger City Economy Scrutiny Panel had specifically requested the item also be considered at that Panel. The reason for it being on the Scrutiny Board Panel in the future was because of previous requests by Councillors to have evaluation scrutiny. A number of recommendations had been made by the Apprenticeships Review Group and Councillors wanted to monitor their progress. He could certainly request that the issue of people leaving school without GCSEs be considered as an item for a Scrutiny Panel in the future.

6   **Smart Working Draft Policy**
The Human Resources Business Partner introduced a report on the Smart Working Policy and outlined the main areas of the report. The policy had been considered by the Strategic Executive Board (SEB) earlier that day and they had requested the

policy be tightened up in certain areas, including addressing the employees who would be disadvantaged. The SEB had been asked to consider whether home working would be permitted during inclement weather in further detail.

A Member of the Panel stated that the draft Smart Working Policy needed to be reconsidered to take into their account concerns over equalities issues for teachers and school staff, who were currently excluded from the policy. Concerns were also raised in relation to the management of staff performance. Some Panel Members suggested the policy should be implemented on a trial basis in a certain team.

A Panel Member stated progress needed to be made on agile working because there were 2000 people to be based at the Civic Centre and only 1400 desks. He hoped appropriate work place risk and health and safety assessments would be taking place for those working at home as the employer still had a duty of care. The extra risk assessments which would be required would put more pressures on managers.

A Panel Member expressed concern that the core working hours were being changed and a request was made for further information on how this would impact staff and the Council. In addition, Members requested further information on which teams the Smart Working Policy was expected to improve performance and for which teams there would be no perceived benefit. The Chair stated she did have some concerns about the equality implications of the draft Smart Working Policy, believing it could cause some tension between staff.

A Panel Member stated they wanted to have a better understanding of how performance would be monitored before the policy was implemented. It was requested the item should come back to Scrutiny as a policy formulation item, where a vision could be established for agile working. The Strategic Director of People confirmed that the draft policy was still yet to be considered by the Cabinet. Some of the agile working practices detailed in the report, were already being trialed in some teams on an informal basis.

There was a discussion about the financial implications of the Smart Working Policy. The report had stated that there were no direct costs associated with the report. Members believed there were indirect savings associated with the report due to agile working enabling Council owned or rented buildings to be relinquished, due to more staff being able to use Civic Centre as a base because of agile working. The Strategic Director of People agreed with this assessment.

A Member asked if Human Resources reports were still completed on the percentage of employees who had been given an annual appraisal. He felt that if this was not at 100% compliance, then more work was required on managing performance before Smart Working was enhanced.

The Chair expressed dissatisfaction with the recent communications the Council had sent to Staff and Councillors on 11 December 2017 about inclement weather. She expressed concern that it adversely effected women more than men and was therefore unlawful under the Equalities Act. The second concern was that an employer could only ask staff to take a day's paid leave if they gave them sufficient warning. The law stated that you must be given a warning period of at least double the length of the annual leave you were being asked to take. So, if an employer wanted you to take one day's annual leave, they would need to give you two days'

notice. If a workplace was closed the law stated you were entitled to be paid and an employer could not force you to take annual leave. She made a formal recommendation that the Strategic Executive Board (SEB) should reconsider the current inclement weather policy. A Member stated that the communications sent out adversely effected people who had further to travel than someone living close to their office, who were more likely to be able to use alternative methods of transport, if they could not drive their car. There were also concerns that people who had no remaining annual leave, would have been adversely affected.

The Strategic Director of People stated that cooking and cleaning staff had been informed they would not be paid if the school was closed, which was clearly not right. The Chair stated that it was her opinion this had been probably unlawful. The Strategic Director of People stated that whilst the communications to staff about inclement weather arrangements had been sent with the right intent, they had in practice not achieved their original goals. A full equalities impact assessment was required. The concerns raised by Panel Members would be raised with the Strategic Executive Board (SEB) in the future.

Members of the Panel requested the draft Smart Working Policy be considered again at a future meeting of the Confident and Capable Council Scrutiny Panel with more information provided on the concerns they had raised as a Panel.

| 7 | **Treasury Management** |

The Director of Finance introduced a report on treasury management. As part of the Treasury Management Strategy it was a requirement that the Confident, Capable Council Scrutiny Panel review the Strategy. CIPFA had updated and released new versions of both the Code of Practice on Treasury Management and the Prudential Code in December 2017. Although the new codes had been released and were effective for the 2018-2019 financial year, the detailed specific guidance had not been issued. CIPFA had recognised that the requirement to produce a Capital Strategy, which was a new requirement under the Prudential Code, would potentially require a longer lead-in time and that this requirement would potentially not be able to be implemented until the 2019-2020 financial year.

A Panel Member stated that Members needed comprehensive training on treasury management. It was important that Members had a good understanding of treasury management in order to hold the Executive and the Section 151 Finance Officer to account. In response, the Finance Director stated the Council's treasury advisor, "Link Assets," were happy to provide training as required. Finance training sessions had been put on in the past, which had not been as well attended as had been hoped. A Panel Member suggested it should be a compulsory requirement for Members to undertake Finance and Risk training and Counter-Terrorism training each year.

A Councillor asked what scrutiny arrangements were in place to consider the finances of the West Midlands Combined Authority (WMCA). He wanted to ensure there was appropriate oversight of the Combined Authority, particularly when the Council was lending the WMCA money. The Scrutiny Officer responded that the WMCA had a Scrutiny Committee and there was also a Budget Task and Finish Group. Cllr Stephen Simkins was the Council's representative on the WMCA Scrutiny Committee and Cllr Jaqueline Sweetman was his substitute Member. Cllr Simkins stated he had some concerns about the WMCA scrutiny arrangements. He

thought the work of the WMCA should be debated by the Full Council on at least a quarterly basis.

After a discussion about the formulation of Scrutiny Panel recommendations the Chair asked for the process of how a Scrutiny Panel constructs recommendations, to be considered at the Scrutiny Annual Work Programme Event on the 28 June 2018.

The Chair stated that the Vice-Chair, who was unable to be present for the meeting, had asked her to convey how he had seen the Scrutiny Panel as a good example of working outside political affiliations and how much he had enjoyed being the Vice-Chair of the Panel.

The Chair of Scrutiny Board, Cllr Simkins, and other Panel Members thanked the Chair for her hard work over the course of the Council year.

The meeting closed at 7:40pm.

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Scrutiny Work Programme

Scrutiny Board

The Board will have responsibility for scrutiny functions as they relate to:

Combined Authority, Future Customer, Future Performance and Communications

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
05.06.2018	Annual Work Plan – invite all chairs and vice chairs (buffet from 4.30pm) Scrutiny Planning Event Youth Council Mini-Scrutiny Reviews Report	Julia Cleary Andrew Scragg	
03.07.2018	Invite Equalities Champion to meeting – plans for the year. Invite Member ICT and Development Champion to meeting – Plans for the year. Fire Safety Scoping Group Equality Sub Group Annual Scrutiny Report - Pre Council	Julia Cleary Julia Cleary Julia Cleary	Cllr Gakhal Cllr Evans Agree scope and membership of Group
11.09.2018	Black Country LEP Update Update on recommendations form the Fire Safety Scrutiny Petitions Annual Report	Julia Cleary	Leader Chair of the LEP
11.12.2018	Budget		

08.01.2019	Update on the Combined Authority Overview and Scrutiny Committee and Task and Finish Groups	Overview and Scrutiny Officer – CA Julia Cleary	Cllr Peter Hughes Cllr Steve Simkins
12.03.2019	Portfolio Holder for Governance Questions and Answer Session Leader Q & A Session		
09.04.2019			

Other potential items: -

1.   Cyber Security

Scrutiny Reviews

1. Budget Task and Finish Group for the Combined Authority Scrutiny Committee
2. Transport- what could transport in the city look like in 20 years' time?
3. Possible Councillor engagement (See M. Sargeant Tettenhall Governance Review Report)

Scrutiny Board – Terms of Reference

a.   To arrange for the consideration of forthcoming Executive Decisions published in accordance with the Access to Information Procedure Rules with a view to identifying issues for early discussion with the Cabinet and/or scrutiny prior to decisions being made.

b.   The Board will oversee the operation of the call-in mechanisms with the Panels being responsible for hearing those call-ins related to their terms of reference. When the call-in relates to an overarching policy framework / budget issue or a matter that falls within the remit of more than one scrutiny panel it will default to the Scrutiny Board. Further, if the issue is considered to be of particular significance, either the Chair or Vice Chair of the Scrutiny Board can ask for it to come to the Board.

d.   The Board will oversee the work programmes of Scrutiny Panels to

avoid duplication of work and to ensure coherence of approach to cross-cutting policy themes. The Board may determine that one named Panel shall take lead responsibility for a cross-cutting policy theme or may determine that the work be shared between one or more named Panels.

e. The Board will ensure coherence between the policy development work of the named Panels and their role in the consideration of reports received from external auditors and external regulatory Inspectors.

f. The Board will make recommendations to the Cabinet on the allocation of budgetary and employee resources held centrally for the purpose of supporting scrutiny work.

g. The Board will ensure that good practices and methods of working are shared between Panels and in particular will seek to optimise the inclusion of citizens, partners and stakeholders in the work of Scrutiny.

h. The Board will review or scrutinise non-Cabinet business and may make reports or recommendations to the Council. The Board will consider policy and due process and will not scrutinise individual decisions made by Regulatory or other Committees particularly those quasi-judicial decisions relating to development control, licensing etc. which have been delegated by the Council. The Board will not act as an appeal body in respect of non-Cabinet functions.

i. The Board will oversee the work of any Councillors appointed to act as lead members or 'champions' in respect of any specific priority tasks or areas of policy development identified by the Council.

j. The Board or another relevant scrutiny panel will consider any petition that contains 2,500-4,999 signatures with a view to making recommendations for action by employees or review by the Executive as appropriate.

k. The Board will undertake the tracking and monitoring of scrutiny review recommendations.

L. The Board will oversee the coordination of the budget scrutiny process.

Confident, Capable Council Scrutiny Panel Work Programme

The Panel has responsibility for Scrutiny functions as they relate to: -

Strategic Financial Services, Revenues and Benefits, Strategic Procurement, The HUB, Audit, Human Resources, Corporate Administration, Democracy, Corporate Landlord, Transformation and ICT

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
13.06.2018	• Strategic Risk Register Management • Finance Training Schedule, Explanatory Booklet • Smart Working Policy Update	Peter Farrow Claire Nye Denise Pearce	
26.09.2018	• Future use of the Mezzanine area and Temporary Councillor Office Area • Treasury Management – Annual Report 2017-2018 and Activity Monitoring Quarter One 2018-2019 • Strategic Procurement (*Provisional*)	Tim Pritchard Sarah Hassell Andy Moran	
28.11.2018	• How we promote Local Government Elections / Polling Station Consultation process (*Provisional*) • Legal Services Private Work	Martyn Sargeant Kevin O'Keefe	
06.02.2019	• Benefits (*Provisional*) • Portfolio Holder Session with Q & A	Claire Nye Louise Miles	Universal Credit / Local effects of ESA / PIP / Knowing what benefits people are eligible for / Loan Sharks
10.04.2019	TBC		

Stronger City Economy Scrutiny Panel Work Programme

The Panel will have responsibility for Scrutiny functions as they relate to: -

Enterprise and Skills, City Development, Visitor Economy, Adult and Cultural Learning, Economic Inclusion and Service Development.

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
26.06.2018	• Footfall and working collaboratively with partners and agencies to fill vacant property and Marketing City Centre Plan	Isobel Woods / Charlotte Johns	
18.09.2018	• City Apprenticeships	Angela McKeever	(Note - Ensure – Meredith Teasdale Invited)
20.11.2018	• Portfolio Holder Session with Q & A • Supporting businesses in the City to Innovate	John Reynolds Charlotte Johns	
12.02.2019	TBC		
02.04.2019	TBC		

Other Potential items (when something significant needs a panel recommendation):

1. The potential effects of Brexit on the local economy
2. Policy implications from West Midlands Combined Authority/Regional/National or International Sources
3. How do we monitor our communications?
4. Skills and Employment

Vibrant and Sustainable City Scrutiny Panel Work Programme

The Panel will have responsibility for Scrutiny functions as they relate to: -

Operational Services, Public Realm, Commercial Services, Regulatory Services (policy), City Housing, Planning (policy), Strategic Transport, Keeping the city clean, Keeping the city moving, Improving the city housing offer and Strategic Asset Management.

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
12.07.2018	• The Work of Contractor Kingdom	Ross Cook	
	• Waste Management Delivery Plan and Strategy	Ross Cook	
04.10.2018	• Evaluation of Waste Management Delivery Plan	Ross Cook	
	• Parking Outside Schools – Review Progress of Implementation of recommendations	Earl Piggott-Smith	
	• Full Review of Housing Allocations Policy	Anthony Walker	
06.12.2018	• Director of Public Health – Progress Report Park and Stride Scheme	John Denley	
	• WV Active	Sean McBurney	How well are WV Active doing at meeting their targets?
28.02.2019	• Portfolio Holder Session with Q & A	Steve Evans	
11.04.2019	TBC		

Potential Future Item: -

1. The Condition of the Roads (Including Potholes) in Wolverhampton

Health Scrutiny Panel

The Panel will have responsibility for Scrutiny functions as they relate to:-

- All health-related issues, including liaison with NHS Trusts, Clinical Commissioning Groups, Health and Wellbeing Board and HealthWatch.
- All functions of the Council contained in the National Health Service Act 2006, to all regulations and directions made under the Health and Social Care Act 2001, the Local Authority (Overview and Scrutiny Committees Health Scrutiny Functions) Regulations 2002,
- The Health and Social Care Act 2012 and related regulations.
- Reports and recommendations to relevant NHS bodies, relevant health service providers, the Secretary of State or Regulators.
- Initiating the response to any formal consultation undertaken by relevant NHS Trusts and Clinical Commissioning Groups or other health providers or commissioners on any substantial development or variation in services.
- Participating with other relevant neighbouring local authorities in any joint scrutiny arrangements of NHS Trusts providing cross border services.
- Decisions made by or actions of the Health and Wellbeing Board.
- Public Health – Intelligence and Evidence
- Public Health – Health Protection and NHS Facing
- Public Health - Transformation
- Public Health – Commissioning
- Healthier City
- Mental Health
- Commissioning Mental Health and Disability
- HeadStart Programme

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
24.05.2018	• The Royal Wolverhampton NHS Trust - Quality Accounts 2017/18	Cheryl Etches, The Royal Wolverhampton NHS Trust (RWHT)	Does the draft Quality Account reflect people's real experiences as told to local Healthwatch by service users and their families and carers over the past year? Is there evidence that any of the basic things are not being done well by the hospital? Is there evidence from the draft Quality Account that there is a learning culture within the hospital that allows people's real experiences to be captured and used to enable decision makers to get better at what it does year on year? Are the priorities for improvement as set out in the draft Quality Account challenging enough to drive improvement? Is it clear how improvement has been measured in the past and how it will be measured in the future?
	• Healthwatch Wolverhampton Annual Report 2017/18 - summary	Elizabeth Learoyd, Chief Officer, Healthwatch	How does the performance of Wolverhampton Healthwatch compare against the eight national Healthwatch England principles?
	• City of Wolverhampton Draft Hot Food Takeaway Supplementary Planning Document	Dr Lina Martino Consultant in Public Health	Findings and recommendations of the public consultation of the City of Wolverhampton Council Hot Food

			Takeaway Supplementary Planning Document – how will the impact of the policy be monitored and reviewed, and progress reported against performance measures to control and manage new hot food takeaways? What changes, if any, have been made to the policy in responses to comments from the public consultation? Using the planning system to control hot food takeaways - A good practice guide
19.07.2018	• Patient Safety - Never Events - The National Patient Safety Agency (NPSA) definition of a Never Event is: *A serious, largely preventable patient safety incident that should not occur if the available preventative measures have been implemented by healthcare providers.*	Cheryl Etches, The Royal Wolverhampton NHS Trust (RWHT)	Report progress and compliance against revised **Never Events policy and framework** - January 2018
	• Urgent and Emergency Care 7-day Services	Dr Odum, RWHT	What progress has been made against the six national performance standards? What are lessons learnt on the effectiveness of winter planning and what changes will be made to plans for delivering an urgent and emergency care 7- day service?
	• Evaluation of the Red Bag Scheme - *The Hospital Transfer Pathway, affectionately known as the 'red bag' scheme was designed to ensure that residents living in Sutton care homes receive safe, coordinated and efficient care should they need to go into hospital in an emergency.*	David Watts, CWC	Hospital Transfer Pathway (Red Bag) video Evaluation of Sutton Homes of Care Vanguard - Interim report – 4.12.17

	• Black Country Partnership NHS Foundation Trust – Transforming Care Partnership – update	Lesley Writtle, BCP	
	• Quality Accounts 2018/19 – progress against priorities	Lesley Writtle, BCP	
20.09.2018	• Healthwatch Wolverhampton Annual Report 2017/18 – published report	Elizabeth Learoyd, Chief Officer, Healthwatch	
	• Patient Mortality Rates	Dr Odum, RWHT	
15.11.2018	• Refreshed CAMHS Local Transformation Plan	Margaret Courts Children's Commissioning Manager, WCCG,	
	• Public Health Vision – Analysis of consultation responses	John Denley, Director of Public Health	
24.01.2019	• TBC		
21.03.2019	• Hospital Mortality Statistics – update	Dr Odum, RWHT	

	• Public Health Vision – Review of Progress	John Denley, Director of Public Health	

Long list of topics - dates for presentation and method of scrutiny to be agreed

1. The Royal Wolverhampton NHS Trust – Primary Care Vertical Integration
2. West Midlands Ambulance Service - Quality Accounts 2017/18
3. CAMHS – Emma Bennett to lead and Stephen Marshall (CCG)
4. Walsall CCG - Reconfiguration of hyper acute and acute stroke services
5. Wolverhampton Health Economy - Winter Plan 2017/18

Adults and Safer City Scrutiny Panel

The Panel will have responsibility for scrutiny functions as they relate to: -

Older people assessment and care management, Financial support services, Libraries and community hubs, Independent living centre, Commissioning older people, Carers support and All age disabilities (disabilities).

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
12.06.2018	• Safer Wolverhampton Partnership Annual Report • Modern Slavery - update report	Karen Samuels	
25.09.2018	• Wolverhampton Adult Education Service - briefing about the current education offer • Progress report on the implementation of the recommendations from the Scrutiny Review of the Adult Mental Health Commissioning	Joanne Keatley, Head of Service Earl Piggott-Smith	
	• The West Midlands Police and Crime Plan 2016-20	David Jamieson, West Midlands Police and Crime Commissioner	
27.11.2018	TBC		
29.01.2019	TBC		
26.03.2019	TBC		

Adults and Safer City Scrutiny Panel

Long list of topics - dates for presentation and method of scrutiny to be agreed

1. Quality of Care – issues of quality assurance   - Sarah Smith, Head of Commissioning
2. Draft People Directorate Commissioning Strategy – 13.6.17
3. Responding to Serious and Organised Crime - To provide an outline of partnership proposals to address serious and organised crime in the city and the Council's contribution. (Karen Samuels – CWC Community Safety/Chief Inspector Karen Geddes – West Midlands Police/Andy Moran – CWC Procurement)
4. David Jamieson, West Midlands Police and Crime Commissioner, accepted invitation to attend meeting to present report – date tbc

Briefing notes for distribution via the Document Library:

1. Fatal Contraband and Alcohol - Update requested from meeting in July 2016 – Sue Smith agreed to lead
2. Crime Reduction and Community Safety and Drugs Strategy Update – request from meeting held in July 2017 – Karen Samuels and David Watts
3. Supporting a Safe and Seamless Transfer from Specialist Care or Hospital Setting – Update to be provided following meeting on 31 January 2017 (David Watts).
4. Better Care Fund – Update requested at meeting held on 31 January 2017.
5. Dementia City – Update on how GP services could be improved, any identified strengths and weaknesses and if possible data on which GPs were reporting incidents – lead Kathy Roper

Children, Young People and Families Scrutiny Panel

The Panel will have responsibility for scrutiny functions as they relate to: -

Children in need/child protection, Looked after children, Early help 0-5, Early help 5-18, Youth offending, Children's commissioning, School planning and resources and Standards and vulnerable pupils.

Date of Meeting	Item Description	Lead Report Author	Specific Questions for Scrutiny to consider
20.06.2018	• Proposals for change in Play Service Offer		
	• Early Years Strategy	Lisa Hill - Early Years' Service Manager	
	• Q4 Children's Improvement Plan and the 18/19 plan		
	• The Vision for School Organisation in Wolverhampton 2018-2020	Katherine Dowd, School Organisation Officer	
05.09.2018	• Troubled Families Report	Kate Lees - Strengthening Families Partnership Manager Intervention People	

	• Elective Home Education - DfE consultation: Home Education	Rachel King, Head of Service	• How effective is local authority monitoring of provision made for children educated at home? Which current approaches by local authorities represent best practice? • If monitoring of suitability is not always effective, what changes should be made in the powers and duties of local authorities in this regard, and how could they best ensure that monitoring of suitability is proportionate? • Should there be specific duties on parents to comply with local authorities carrying out monitoring if such LA powers and duties were created, and what sanctions should attach to non-compliance? • Is it necessary to see the child and/or the education setting (whether that is the home or some other place), in order to assess fully the suitability of education, and if so, what level of interaction or observation is required to make this useful in assessing suitability? • What can be done to better ensure that the child's own views on being educated at home, and on the suitability of the education provided, are known to the local authority? • What are the advantages and disadvantages of using settings which are not registered independent or state schools, to supplement home education? How can authorities reliably obtain

			information on the education provided to individual children whose education 'otherwise than at school' includes attendance at such settings as well as, or instead of, education at home? • What are the advantages and disadvantages of using private tutors to supplement home education? How can authorities best obtain information on the education provided to individual children whose education at home includes private tuition, or who attend tuition away from home? • Are there other matters which stakeholders would wish to see taken into account in this area?
	• Early Help Strategy 2018-2022	Denise Williams - Head of Service Early	
	• Children's Trust Board		
14.11.2018	TBC		
16.01.2019	TBC		
27.03.2019	TBC		

Long list of topics - dates for presentation and method of scrutiny to be agreed

1. Supporting Unaccompanied Asylum-Seeking Children – pre-suggested item
2. Mental Health Issues/CAMHS (Emma Bennett/CCG) – pre-suggested item
3. Youth homelessness – pre-suggested item
4. Unregistered independent schools and out of school settings

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Work Plan Version: 05/06/18 10:16

Agenda Item No: 6

CITY OF WOLVERHAMPTON COUNCIL

Confident, Capable Council Scrutiny Panel
13 June 2018

Report title	Strategic Risk Register
Cabinet member with lead responsibility	Councillor Louise Miles Resources
Wards affected	All
Accountable director	Claire Nye, Strategic Director
Originating service	Audit Services
Accountable employee(s)	Peter Farrow Head of Audit Services
	Tel 01902 554460
	Email Peter.Farrow@wolverhampton.gov.uk
Report to be/has been considered by	None

Recommendations for noting:

The Confident, Capable Council Scrutiny Panel is recommended to:

1. Note the Council's process for maintaining its strategic risk register.

1.0   Purpose

1.1   To inform the Confident, Capable Council Scrutiny Panel of the process undertaken in the compilation and maintenance of the Council's strategic risk register.

2.0   Background

2.1   At the April Confident, Capable Council Scrutiny Panel meeting, it was agreed by Members that they wished to receive a report on the Council's strategic risk register.

2.2   The former Chair of the Confident, Capable Council Scrutiny Panel Councillor Louise Miles was particularly interested in a number of specific questions, and these have been addressed in paragraph 3 below.

2.3   The Council is no different to any organisation and will always face risks in achieving its objectives. Sound risk management can be seen as the clear identification and management of such risks to an acceptable level.

2.4   The responsibility for the monitoring of the Council's strategic risk register predominantly sits with the Audit and Risk Committee. Within the Committee's terms of reference, there is a statement of purpose which states:

"The purpose of our Audit and Risk Committee is to provide independent assurance to the members of the adequacy of the risk management framework and the internal control environment. It provides independent review of the governance, risk management and control frameworks and oversees the financial reporting and annual governance processers. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place".

The terms of reference go on to state part of their role is:

"To monitor the effective development and operation of risk management in the Council".

"To monitor progress in addressing risk-related issues reported to the committee".

2.5   In order to help discharge this role, the strategic risk register is presented to each meeting of the Audit and Risk Committee, who review the register and obtain assurance that key risks are appropriately managed. They also take the opportunity to conduct deep dives by 'calling-in' certain risks for a more detailed review at their next meeting.

2.6   The strategic risk register does not include all the risks that the Council faces. It represents the most significant risks that could potentially impact on the achievement of the corporate priorities. Other risks are captured within directorate, programme, project or partnership risk registers in line with the Council's corporate risk management framework.

2.7   A summary of the strategic risk register that was last presented to the Audit and Risk Committee in March 2018 is included at Appendix 1 of this report. These risks are reviewed on an on-going basis and can be influenced by both external and internal factors and as such, may fluctuate over time.

3.0 **Progress, options, discussion, etc.**

3.1 Specific questions raised by the former Chair of the Confident, Capable Council Scrutiny Panel:

What is the process for adding items to the strategic risk register and how well is this process working in his view? Do items get missed?

There is a two-way process for adding items to the strategic risk register. Risks are either suggested by senior managers and added to the register or identified by Audit Services through their audit work and horizon scanning.

The process is working well, a new Risk Management framework is being developed and the Senior Auditor responsible for risk management has been working with management teams to embed risk management across the Council. As a result, more officers are approaching Audit Services with potential risks, it is anticipated this will increase further as the risk management process becomes more embedded.

In our opinion, items do not get missed and risks are included on the register as they emerge. This is demonstrated by how quickly risks relating to public safety, such as *'safety concerns around the City's tower blocks'* and *'Fire Safety – Public Buildings'* risks were included on the register following the fire at Grenfell Tower.

Are Mangers / Service Directors efficient in contacting Audit with items for the register?

As stated above an increasing number of managers and service directors are contacting Audit Services to include items on the strategic risk register. Audit Services are aiming to further develop this by updating the Risk Management framework and continuing to work with senior managers and leadership teams to help embed risk management.

When items are added to the strategic risk register what measures are put in place to reduce the risks and ensure the risk is appropriately managed?

When risks are added to the strategic risk register a risk owner is identified and a risk score is allocated to each risk, mitigating actions, controls and gaps in control are discussed with the risk owner on at least a quarterly basis and documented on risk-maps. Risk-maps are monitored regularly to ensure that controls are being adhered to and mitigating actions put in place. Where appropriate, target dates to reduce risk scores are set, these are monitored to ensure that risks are reduced in accordance with plans.

Where target dates are not met, and controls and mitigating actions are not put in place issues are reported by Audit Services to the Strategic Executive Board (SEB) and the Audit and Risk Committee, in some instances risks scores are increased accordingly.

Is there anything which the Council should be doing better in relation to the production and management of the strategic risk register?

Audit Services are in the process of reviewing and updating the Risk Management framework, once this has been finalised we will be able to ensure that all directorates are following the same procedures with regards to risk management. Adoption of a clear and concise Risk Management framework should also help to embed risk further into the organisation, help ensure that key risks are not omitted from the strategic risk register and that there is a clear and transparent process for risks moving between the strategic risk register and directorate risk registers.

How do Audit manage the subjective nature in identifying the appropriate level of risk for items and when does something become enough of a risk to be placed on the register?

Risks are ultimately owned and scored by the risk owners in conjunction with Audit Services, senior managers and directors. All scores are based on discussions with key officers at all levels.

Risks are scored by assessing the likelihood of the risk occurring and its potential impact. A '5 by 5' risk matrix approach, rating the likelihood and impact of each risk from 1 – 5 using the criteria set out below:

Risk Scoring – Impact

Impact	Score	Descriptor
Low	1	Minimal loss, delay inconvenience or interruption. Can be easily and quickly remedied
Low / Medium	2	Minor loss, delay, inconvenience or interruption. Short to medium term effect.
Medium	3	Significant waste of time and resources. Impact on operational efficiency, output and quality. Medium term effect which may be expensive to recover.
Medium / High	4	Major impact on costs and objectives. Serious impact on output / or quality. Medium to long-term effect and expensive to recover.
High	5	Critical impact on the achievement of objectives and overall performance. Critical impact on costs and / or reputation. Very difficult and possibly long-term to recover.

Risk Scoring – Likelihood

Impact	Score	Descriptor	
Low	1	Rare (0-5%)	This risk will only materialise in exceptional circumstances.
Low / Medium	2	Unlikely (5-25%)	The risk will probably not materialise.
Medium	3	Possible (25-60%)	The risk may materialise at some point.
Medium / High	4	Likely (60-80%)	The risk will probably materialise.
High	5	Almost certain (80%+)	The risk will materialise in most circumstances.

The two ratings are then multiplied to give a final score for each risk. Scores can be plotted onto the risk matrix below to identify whether risks are red, amber or green.

How often does the strategic risk register get checked and updated?

The strategic risk register is monitored and updated on an ongoing basis, new risks can be included on the register and risk scores can move up and down at any point.

How often does the Audit and Risk Committee see the strategic risk register and is there is enough Member oversight of the register? Who else sees the register and what is their role?

Reports on the strategic risk register are presented to the Audit and Risk Committee on a quarterly basis, prior to presentation to the Committee, reports are issued to each Leadership Team and a report is presented to SEB. In addition to receiving quarterly reports, the Committee also 'call-in' individual risks where they feel they require additional assurance and the relevant risk owner will attend the next Committee meeting.

Does the Council dedicate the appropriate level of resources to manage risk?

Audit Services are responsible for monitoring and updating the strategic risk register and preparing reports for the leadership teams, SEB and the Audit and Risk Committee. The team have a Senior Auditor who is responsible for the strategic risk register with support provided from the Head of Audit Services the Audit Business Partners.

Directorate risk registers are managed by individual directorates with support from Audit Services.

How does our strategic risk register management processes compare to other Councils and are we doing more than we are statutory required to do?

A comparison to other Councils have identified similar processes, the majority of councils also present their risk registers to their respective Audit Committees. The Council's Head of Audit also acts in that role in a number of other organisations including Sandwell Metropolitan Borough Council, West Midlands Combined Authority, West Midlands Fire Service and the West Midlands Pensions Fund, this also allows a reasonable comparison to be made. There are no specific statutory requirements with regards to risk management, although it is widely regarded as good practice to maintain such a register.

An explanation of how items get removed or the risk changed from the strategic risk register when they are no longer considered important enough to feature on the register.

Items are either de-escalated to a departmental risk register, demonstrated by the *Community Cohesion Risk* that was de-escalated to a departmental risk register in December 2017, or archived when they are no longer applicable. Both de-escalated and archived risks are reported to SEB and to the Audit and Risk Committee. A record of all risks removed from the strategic risk register is maintained by Audit Services.

4.0   Financial implications

4.1   There are no financial implications arising from the recommendations in this report.[]

5.0   Legal implications

5.1   There are no legal implications arising from the recommendations in this report. []

6.0   Environmental implications

6.1   There are no environmental implications arising from the recommendations in this report.

7.0   Human resources implications

7.1   There are no human resources implications arising from the recommendations in this report.

8.0   Corporate landlord implications

8.1   There are no corporate landlord implications arising from the recommendations made in this report.

9.0   Schedule of background papers – None

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Appendix 1 –
Strategic Risk Register
@ February 2018
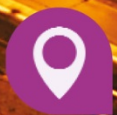
Stronger Economy

Stronger Communities

Stronger Organisation

CITY OF
WOLVERHAMPTON
COUNCIL

- The following are the reported strategic risks that are currently assessed as high/medium (10 +) that the Council faces in delivering its corporate priorities.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
3 01/14	**Information Governance (IG)** If the Council does not put in place appropriate policies, procedures and technologies to ensure: • that the handling and protection of its data is undertaken in a secure manner and consistent with both the provisions of the Data Protection Act 1998 and the General Data Protection Regulation (GDPR) which comes into force during May 2018; • compliance with the Freedom of Information Act and Environmental Information Regulations; then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information. Risk owner: Kevin O' Keefe Cabinet Member: Cllr Milkinderpal Jaspal	12 Amber	→	12 Amber	8 Amber Nov 2018	The score of this risk remains at 12 to reflect the demands of GDPR which is due to come into effect on 25 May 2018. As reported previously, in preparation for the new regulation a work programme has been developed. Progress against the work programme to date is as follows: • In accordance with the Communication and Training Needs Analysis - department/team training sessions are ongoing, with training for priority 1 departments being completed first. Training delivery is on track. • Three Councillor training sessions have been undertaken and an information pack to support Councillors in their role as Data Controllers has been produced and issued to them. • A Project Manager from the Council's Programme Office is assigned to the project. • The IG Team have attended the new and existing Headteacher forums and have delivered awareness training on GDPR at these sessions. In addition, regular updates on the regulation are being communicated through the weekly schools bulletin. Schools are also being offered training through the Information Governance and GDPR specific SLA offering. • Various City People articles regarding the new regulation have been published, alongside a GDPR briefing document that staff can download for further information. Further communications in City People and the Council's Core Brief have been scheduled during key points during 2018. • GDPR update reports have been presented to Strategic Executive Board, Scrutiny Board and Cabinet Performance Panel. • The GDPR e-learning module provided by the Learning Hub has been reviewed and is being re-configured to ensure that it meets the Council's needs. It is envisaged that this will provide further support to staff. • Performance in response to both Freedom of Information and Subject Access requests continues to be high. However, it is

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
						anticipated that the number of Subject Access Requests received from May 2018 may rise with the introduction of GDPR, as the £10 fee is being removed. • An information governance risk register has been established and will be reported to and monitored by the Information Governance Board.
4 01/14	**Medium Term Financial Strategy** If the Council does not manage the risks associated with the successful delivery of its medium term financial strategy including the continual review of the assumptions and projections of the strategy, the effective management of the key MTFS programmes and projects such as the transformation of Adults and Children's services then revenues may be exhausted, resulting in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties. Risk owner: Keith Ireland Cabinet Member: Cllr Andrew Johnson 	12 Amber		12 Amber	8* Amber On-going	The Draft Budget and Medium Term Financial Strategy 2018-19 to 2019-20 was presented to Cabinet on 20 February 2018. The report detailed the following matters: • That the budget for 2018-2019 is in balance without the use of general reserves • That a further £19.5 million needs to be identified over the period to 2019-2020 in order to address the projected budget deficit. • That the projected budget deficit assumes the achievement of budget reduction and financial transaction proposals amounting to £28.3 million over the two-year period 2018-2019 and 2019-2020. • That work will start immediately to identify additional budget reductions to address the projected budget deficit and that a report will be presented to Cabinet in July 2018 to include a high-level strategy.

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
8 01/14	**Business Continuity Management (BCM)** Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services. Risk owner: Mark Taylor (John Denley) Cabinet Member: Cllr Paul Sweet	8 Amber	⬆	12 Amber	8 Amber March 2019	The risk score has increased because the Resilience Manager and one of the two current Resilience Officers are leaving their posts at the end of March. The Council are in the process of recruiting a Senior Resilience Officer and are currently reviewing options with regards to how the service will be provided in future.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
9 01/14	**City Centre Regeneration** If the city centre regeneration programme is not effectively managed in terms of project timings, costs and scope, then it will be unable to maximise opportunities including: • the attraction of private sector investment • the creation of space to accommodate new businesses and economic growth • the enhancement and creation of visitor attractions • the creation of well paid employment • retention of skilled workers • the creation of residential opportunities • a functioning city centre offer that serves the residents of the City • a reduced demand on Council services Risk owner: Tim Johnson Cabinet Member: Cllr John Reynolds 	12 Amber		12 Amber	12* Amber On-going	Risks are being managed across the City Centre programme to address the potential for delayed delivery and cost overrun. With regards to key projects the following is noted: • On Interchange, Ion has now entered into the station build contract with Galliford Try, construction work commenced during December 2017. The negotiation around the contract had delayed construction start dates and increased overall costs but with the contract now concluded this clearly represents a major milestone in the delivery of the Interchange masterplan. • An Investment Prospectus has been prepared in conjunction with CBRE which presents an ambitious but deliverable 10-year vision for the regeneration of the city centre. This is designed to engage investors and offer a compelling vision for private investment supported by targeted public intervention. The Prospectus points to opportunities for 1 million sq. ft. of office development around the Interchange, the next phase of which will be the i9 office development, a business case for which was recently approved by Cabinet. • Benson Elliot has largely completed the refurbishment works to the Mander Centre with Debenhams, the anchor store now open. Continued support is being offered to Benson Elliot in attracting new occupiers. • Outline planning permission has been secured for Westside with a view to the developer commencing works to phase 1 in Q3 2018. Work to enable this development including the relocation of the retail market to Snow Hill is progressing to meet this programme. • Proposals to enhance key areas of public realm throughout the city are progressing with Westside Link and Cleveland Boulevard (connecting Westside and The Royal to the core centre) due for commencement in late 2018. These works will seek funding from the Local Enterprise Partnership off the back of outputs secured through the associated major developments. • A collaboration agreement was signed with Canal & River Trust as a major landowner in the Canalside South area to partner on bringing forward key sites for residential led development.

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
						• A joint study (with funding support from the Homes and Communities Agency) has recently been commissioned which will result in a phased masterplan proposal with clear routes to delivery, recommendations to support a business case for funding towards enabling works and potential procurement routes. • A design for City Learning Quarter is ongoing to meet the needs of user groups. Enabling works around land acquisition is continuing. The delivery programme is challenging and options around a phased decant for the college are being appraised. • Engagement with developers and investors continues across a range of sites. Feedback is very positive from investors who are becoming increasingly convinced that there is a developing momentum around the city centre.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
15 01/14	**Emergency Planning** Failure to develop, exercise and review plans and capabilities for preventing, reducing, controlling or mitigating the effects of emergencies in both the response and recovery phases of a major incident. Failure to train sufficient numbers of staff to undertake the roles in our plans that assist our residents in emergencies and protect the council's reputation from damage. Failure to audit the emergency response plans and capabilities of third party organisations that deliver statutory services on behalf of the council. Risk owner: Mark Taylor (John Denley) Cabinet Member: Cllr Roger Lawrence and Cllr Paul Sweet	8 Amber	⬆	12 Amber	8 Amber March 2019	The risk score has increased because the Resilience Manager and one of the two current Resilience Officers are leaving their posts at the end of March. The Council are in the process of recruiting a Senior Resilience Officer and are currently reviewing options with regards to how the service will be provided in future.

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
22 01/17	**Skills for Work and Economic Inclusion** If the city residents do not have the appropriate skills that employers require and the Council does not work effectively with its partners to promote and enable growth, high rates of unemployment and economic inclusion will result in increased demand for council services. Risk owner: Tim Johnson (Keren Jones) Cabinet Member: Cllr John Reynolds 	10 Amber		10 Amber	5 Amber March 2018	Work is ongoing to support City residents and businesses effected by the insolvency of Carillion PLC. The Council has set up a multi-agency Carillion taskforce whose members include the West Midlands Combined Authority, Black Country Local Enterprise Partnership (LEP), Black Country Chamber of Commerce, Department for Work and Pensions and the Department for Business, Energy and Industrial Strategy. • A helpline to support affected business went live on 16 January 2017. To date the majority of businesses who have contacted the helpline are manufacturers and construction firms awaiting payment. • Working in partnership with local training providers the Council have developed an online 'Response to Redundancy' support package. This includes an offer of one-to-one coaching and advice, access to vacancies, assistance with CV writing, interview preparation and support with online job applications. • 13 Wolverhampton apprentices have been identified as affected, ten working in construction and three within Business Administration. The Construction Industry Training Board are working with and supporting the construction apprentices (approx. 1,400 in total including the ten from Wolverhampton), Black Country Training Group and the City of Wolverhampton College are providing Support to the Business Administration apprentices. • Work is continuing to assess the full impact on supply chain businesses and the final number of Wolverhampton residents at risk of redundancy. Work in other areas is ongoing; • At the time of reporting there had been over 92,000 unique visits to the Wolverhampton Work Box site and over 2,200 sign ups. The next stage of the project will be to engage between 10 -15 businesses as 'early adopters' who will post vacancies on the Work Box and to further enhance content by showcasing Careers into Care, Apprenticeships and Community Programmes. Workbox will also partner with Kareerhub to enhance Labour Market information and careers advice for school students.

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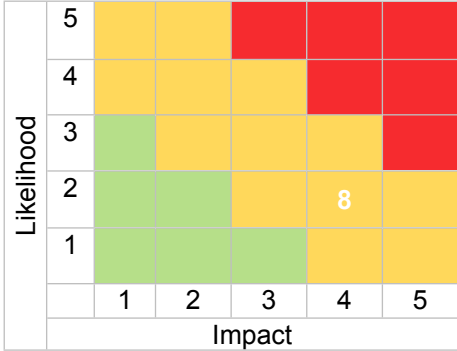| Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
						• 280 employers have now agreed to be part of the Wolves @ Work programme which has successfully supported 1,948 people into work. • The Black Country wide European Social Fund and Youth Employment Initiative Impact project is ongoing. The project aims to support young people between 16 – 29 who are not in employment, education or training. 1500 young people have now engaged with the project which is currently performing ahead of profile. 600 of these have achieved positive outcomes in employment or education and training.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
23 01/17	**Cyber Security** Failure to maintain a high level of cyber security (technology, processes and awareness) throughout the Council may result in cyber-attacks and theft or loss of confidential data leading to financial penalties, reputational damage and a loss in public confidence. Risk owner: Andy Hoare Cabinet Member: Cllr Milkinderpal Jaspal *(risk matrix showing value 10 at Likelihood 2, Impact 5)*	10 Amber	⇨	10 Amber	10 Amber Ongoing – Dependent on cyber world-wide cyber incidents	The level of this risk remains at ten as there are no imminent threats to Local Government at present. Maintaining robust, secure and up-to-date technology defences continues to be the Council's first line of defence against cyber-attacks. Regular maintenance of the cyber security technical defences is required to address identified vulnerabilities. System back-up's continue to be undertaken in accordance with agreed time-tables and practise restores to the Council's non-production area are ongoing to ensure that back-ups have been undertaken correctly and can be restored. Since last reported it is noted; • The Council's routine patching schedule has continued to ensure protection against the newly discovered threats and vulnerabilities whilst a special update was performed for the processor bug within Intel chipsets. Microsoft patches were uploaded and installed onto Council systems as soon as possible following their release in January. • The move to the cloud helped to ensure minimal disruption following the recent flood in ICTS. • Preparation for the next PCN Certification has begun, the certification is due in June. Prior to this internal and external health checks will be undertaken to identify any vulnerabilities which will then be addressed prior to the renewal of the certification. • An independent body, NCC have been commissioned to undertake a health-check review which will take place in February. ICTS are not informed when the review will take place to ensure a true assessment is completed. Information Security and Cyber-Security policies identify the good practices that need to be adopted by the Council. These, along with other HR policies, are regularly reviewed and updated to ensure they are keeping pace and addressing potential threat opportunities. Employee awareness of potential threats and good working practices, through mandatory and associated training continue to enhance the understanding of cyber security and good working practices, helping to minimise the opportunities.

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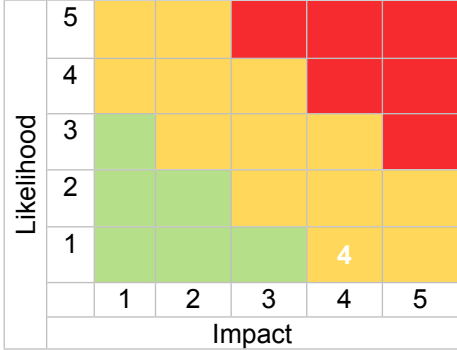This report is PUBLIC [NOT PROTECTIVELY MARKED]

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
29 12/17	**Fire Safety – Public Buildings** If the Council does not have in place appropriate systems to ensure compliance with the Regulatory Reform (Fire Safety) Order 2005 within public buildings (including schools) there is a risk of injury to members of the public and exposure to regulatory action, financial penalties and reputation damage to the Council. Risk owner: Tim Johnson (Tim Pritchard) Cabinet Member: Cllr Peter Bilson	10 Amber	→	10 Amber	5 Amber March 2019	The Council is the Responsible Person for public buildings. The named Responsible Person is Corporate Landlord's Head of Assets. • 98% of public buildings currently have a fire risk assessment (FRA). Existing FRA's have been reviewed and new FRA's commissioned where required. 78% of corporate buildings and 32% of community schools have a suitable and updated FRA. • Subject to the agreement of additional funding, plans are in place to ensure that 100% of corporate buildings and community schools will have a suitable, updated FRA by the end of 2018. • FRA's identify actions required to improve fire safety, which are the responsibility of Corporate Landlord or the Site Duty-holder. However, Corporate Landlord retain oversight of ALL actions in order to ensure implementation. • Corporate Landlord undertakes actions to both buildings and systems, for example maintaining and upgrading fire protection systems such as alarms and sprinklers. Sufficient resource(s) are required in terms of specialist staff to arrange works and funding to undertake the works. Whilst additional staff have been provided, there is currently a funding shortfall, details of which will be presented in a briefing note, to Strategic Executive Board prior to the end of the financial year. • It is also being recommended, in a separate briefing note that a Site Duty-Holder role be established to manage regular testing of equipment, training of staff, evacuation arrangements and provision of fire marshals. Corporate Landlord will support Site Duty-Holders in fulfilling their responsibilities, for example by arranging training for 500 fire marshals, in conjunction with Workforce Development. Corporate Landlord will develop online fire log books during 2018, and will undertake site audits to ensure that Site Duty-Holders are undertaking required actions. • Corporate Landlord will also implement liaison arrangements for buildings in multiple occupation, such as I10 and I11.

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
30 01/18	**Civic Halls** There is a significant reputational and financial risk to the Council and to the City's wider visitor economy if the revised Civic Halls refurbishment programme is not effectively managed in terms of project timings, costs and scope. Risk owner: Tim Johnson (Keren Jones) Cabinet Member: Cllr John Reynolds	N/A	N/A	16 Red	12 Amber Dec 2018	As previously reported plans for the £14.4 million redevelopment of the 80-year-old, Grade II-listed Civic Halls had begun but work was held up when contractors uncovered major issues. On 31st January 2018, the Council approved a further £23.7 million for a new scheme for the Civic Halls on the basis of a revised business case to address significant building fabric, structural and management issues following detailed technical surveys and reviews that were undertaken in 2017. Additional works include a substantial number of items not included in the original scheme such as a new electrical and engineering system, major structural work, including a new roof and the latest safety and security measures. A new governance and project management structure is being put in place, commensurate with the scale and complexity of this much larger scheme, including the appointment of a more experienced Project Manager. The new project includes a range of work-streams alongside the main design and construction works. Brief details of which are provided below; • Business continuity – including the identification of alternative venues for key entertainment events in 2018 and 2019. • Business development – which includes the development of the new entertainment and conferencing offer to be introduced once the venue is reopened. • Economic – ensuring economic objectives such as provision of skills and training and providing support to local business. • Financial – ensuring appropriate financial controls are in place and where appropriate external funding is utilised effectively. A full risk assessment work shop to fully review and mitigate against all risks across these work streams was undertaken on 7 February 2018. As a result of the issues at Civic Halls the Managing Director has requested Audit Services to undertake a lessons learnt review in order to prevent similar issues with future projects.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date	Comment
31 02/18	**City of Wolverhampton College** There is a risk that the City of Wolverhampton College is not financially viable without a partner. The preferred partner is the City of Wolverhampton Council. Without the Council's support, there is a risk of a merger. At this point we are unable to agree the words of a Memorandum of Understanding which satisfies the business requirements of the Council. The risk of not finding a solution could be the loss of the College to influences external to the City. Risk owner: Keith Ireland Cabinet Member: Cllr Claire Darke and Cllr John Reynolds	N/A	N/A	12 Amber	4 Amber Sept 2018	The Managing Director, Director of Finance and the Director of Governance are working with the Transaction Unit, Education and Skills Funding Agency and the College to find an acceptable way forward.

Likelihood / Impact matrix showing score 12 at Likelihood 3, Impact 4.

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- The following are the medium and low (assessed at less than 10) strategic risks that the Council faces in delivering its corporate priorities.

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
7 01/14	**Safeguarding** If the Council's safeguarding procedures and quality assurance processes are not consistently and effectively implemented then it will fail to safeguard children and vulnerable adults and lead to reputational damage. Risk owner: Emma Bennett Cabinet Member: Cllr Val Gibson and Cllr Sandra Samuels OBE	8 Amber	→	8 Amber	5 Amber March 2018

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
14 01/14	**School Improvement** If the Council does not provide effective support, challenge and appropriate intervention to raise standards in maintained schools and school governance, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence. Risk owner: Meredith Teasdale Cabinet Member: Cllr Claire Darke	8 Amber	⬇	4 Amber	4 Amber Target achieved 95% maintained schools @ good or above

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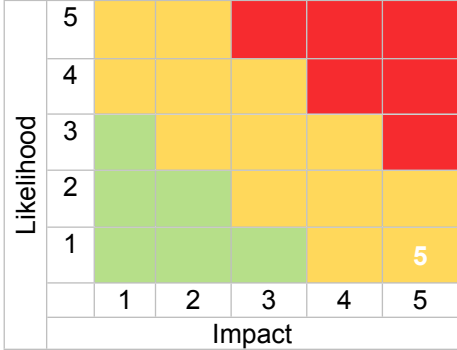| Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
24 01/17	**Maximising Benefits from West Midlands Combined Authority** If the Council does not put in place effective co-ordination arrangements to utilise the opportunities available from being part of West Midlands Combined Authority (WMCA) it will be unable to maximise the benefits and opportunities available to it. Risk owner: Keith Ireland Cabinet Member: Cllr Roger Lawrence	6 Amber	⇨	6 Amber	3 Green April 2018

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Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
25 03/17	**Payment Card Industry Data Security Standard** If the Council does not put in place appropriate systems, procedures and technologies to ensure agent-led telephone payments are compliant with the Payment Card Industry Data Security Standard, there is a risk of data breaches which may result in regulatory action, financial penalties and reputational damage. Risk owner: Mark Taylor Cabinet Member: Cllr Andrew Johnson	8 Amber	→	8 Amber	4 Amber April 2019

This report is PUBLIC [NOT PROTECTIVELY MARKED]

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
27 06/17	**Safety concerns around the City's tower blocks** Following the recent tragic events at Grenfell Tower in London, there is an urgent need for the Council to ensure that the tower blocks in the City do not face the same risks, and that tenants can be assured on this. Risk Owner: Shaun Aldis Cabinet Member: Cllr Peter Bilson	5 Amber		5 Amber	5 Amber Target achieved

Risk ref	Risk title and description	Previous score (Dec 2017)	Direction of travel	Current score (Feb 2018)	Target score and date
28 10/17	**Health and Safety** Through failure to use safe working methods the Council may be exposed to regulatory action, financial penalties and reputational damage. Risk owner: Claire Nye Cabinet Member: Cllr Milkinderpal Jaspal	8 Amber	→	8 Amber	4 Amber Sept 2018

* The target assessment for these risks remains constant as they are risks which are likely to remain at their current level over the medium term and as such these risks may not have target dates.

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Briefing Note

CITY OF WOLVERHAMPTON COUNCIL

Agenda Item No: 7

Title: Smart Working

Prepared by: Sukhvinder Mattu   Date: 05 June 2018

Intended audience: Internal ☒   Partner organisation ☐   Public ☐   Confidential ☐

Purpose
To provide feedback on concerns raised by C3 Scrutiny Panel held on 18 April 2018

Overview
On 18 April 2018, C3 Scrutiny Panel was briefed on the possibility of introducing a Smart Working Policy at City of Wolverhampton Council. Within the briefing, a number of concerns were raised – this briefing note aims to respond to those.

Background

This briefing note is laid out by providing the concern raised and the response directly below it.

1.   Why introduce a Smart Working Policy?

1.1   Concern – C3 wanted to understand the business case for introducing a Smart Working policy.

1.2   Response: There is no defined business case, the main driver was that in 2015 it was agreed to operate efficiently within the buildings we need and dispose of buildings we don't by working more proficiently in the buildings which remain open, under the Future Space work stream. This involved retaining 4 buildings, disposing of 16 and approximately 2,000 employees working from 4 buildings instead of 20.

1.3   As a result of the reduction of workspace within the Civic Centre, agile working was initially rolled out to encourage employees and managers to be flexible in terms of their work location. This would involve working from varying locations and having a bank of desks in the Civic Centre that could be used when back at the office. An Agile Working Protocol was introduced in 2017 to support this way of working and to provide employees and managers with some protocols and guidance around this.

1.4   The Future Space programme, which began in 2015 and has seen essential repairs, maintenance and improvement to the Civic Centre, has now concluded and has been handed back to Corporate Landlord. The programme was completed on time, in budget and will deliver annual savings of £500,000. This means that the final phase of employees can move into the Civic Centre so it is at planned capacity.

1.5   In February 2018 CWC conducted a Smart Working survey to find out employees' views on Smart Working and any potential barriers preventing Smart Working. This also helped to gauge the level of Smart Working practices adopted across the Council. There were 434

responses to the survey and respondents came from a wide range of services and locations across the Council.

1.6   Of those who responded, 60% of managers and 45% of employees (non-managers) confirmed they already adopt Smart Working practices. This includes ways of working such as; occasional working from home, using technology to replace the need for travelling to meetings, reporting progress to managers using technology, adapting the hours worked to the tasks that need to be completed and changing the location they work to be closer to the activities they have planned for the day.

1.7   Due to many of these practices already taking place across the Council, it was identified that there is a need to replace the current agile working protocol with a policy to ensure that these practices are governed appropriately, consistently and managed effectively.

1.8   To support this method of work, CWC recognises that there are a number of benefits for adoption of Smart Working as follows:

2.   What are the benefits of Smart Working Policy?

2.1   Improved productivity

2.1.1 Putting a price on productivity is a challenging task. However, National research carried out by Lister and Harnish (2011) 'The Shifting Nature of work in the UK- bottom line benefits of teleworking' found that by 'workshifting' to mobile work, remote work at a client's location, work at a shared office centre/hub or home work just twice a week could bring about productivity savings. They identified a productivity increase equating to an annual saving per Smart Working employee of £2,054 per year (based on 2011 average national wage).

2.1.2 In Acas' research paper (2013) 'Home is where the work is' Acas found that performance is slightly higher for homeworkers and mobile workers. In addition, work hours were the shortest amongst office workers and homeworkers and partial homeworkers are more likely to work in excess of their contracted hours, while mobile workers work significantly more hours in excess of their contracts than all other groups of workers.

2.1.3 There is a need to carry out further research within CWC to understand the potential productivity benefits of Smart Working although increases in productivity have already been seen in some areas. The use of Skype to replace travel to meetings has been demonstrated in some services (see appendix 1- Smart Working in Adult Social Care) and having a clear Smart Working policy and revised travel policy will help to encourage further use of such practices.

2.1.4 Productivity can be increased across the Council through other smart working interventions, including using technology to work collaboratively on documentation and being able to access files from any location rather than having to return to a fixed office base. Other examples include field workers who visit clients in their own homes – they can travel to work locations close to them to print documents, check emails etc if they have available downtime rather than spend time travelling to their base location when it will take longer and cost more as it is further away.

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2.1.5 In addition, employees may choose to begin work at a different work location as they have a meeting within that building later on in that day which also saves on travel time and cost.

2.2 Asset realisation

2.2.1 The benefits of delivering the Future Space programme will not be fully realised if Smart Working is not supported across the Council.

2.2.2 Within Council buildings there are 2,013 employees and 1,734 workstations. Up until now this ratio has been achieved through the flexible use of space including desk sharing and to a lesser extent the option for working from home. If, as planned, further buildings are disposed of, employees would have to be supported to work in fewer buildings. Increasing flexibility in terms of location and times of work is essential if the benefits of Future Space are to be fully met. This can be done by promoting the Smart Working policy and providing support to managers to facilitate the change to working practices.

2.2.3 In addition, the Smart Working survey found that employees wanted better use of space to allow them to work efficiently. This included; quiet space for uninterrupted work, more informal space to allow collaborative working and workspaces that allow skype calls to be made in a more private way.

2.3 Reduced cost of sickness absence

2.3.1 In 2014 the Office of National Statistics conducted a large-scale study which surveyed more than 60,000 people to investigate the relationship between commuting to work and personal well-being. It found on average, commuters were less satisfied with their lives, rated their daily activities as less worthwhile and reported less happiness and higher anxiety than non-commuters.

2.3.2 People working from home were the happiest and most satisfied group, and the most likely to find their work worthwhile.

2.3.3 Acas says 'in return for providing greater flexibility on hours, and offering opportunities to work from home, employers can often expect to see improved loyalty, engagement and productivity from their employees'.

2.3.4 A CIPD Absence Management Survey conducted in 2009 said 'In organisations where flexible working was not offered but valued by employees as an option they would like to have, an average of 7 days were lost per employee per year. Where flexible working was offered and valued by workers, average absence was 3.2 working days per employee per year…. Unfortunately for organisations that want to reduce sickness absence, there is no neat formula that says if they introduce flexible working practice X, they will reduce sickness absence by Y amount. But there is a general feeling that where flexible working practices are embraced by an organisation and help make it a better place to work, then sickness absence levels are likely to fall.'

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2.3.5   In 2017-2018 CWC lost 39,735 days due to sickness absence. The public-sector average for 2016 was 9.3 days per employee per year (source: XpertHR survey conducted 2017). City of Wolverhampton Council's average during 2017-2018 per employee was 9.3 days.

2.3.6   Wokingham Borough Council introduced Smart Working in 2011 and found that absence rates for employees who were smart working is nearly 2 (FTE) days less than those who were not smart working (Source: http://www.flexibility.co.uk/cases/wokingham-council-smart-working.htm)

2.4   Reduction in travel

2.4.1   Currently CWC has annual mileage claims in the region of £531,000 and 1,196,656 miles are travelled by car for work related travel. This equates to 351,302 tonnes of CO2. By using the Smart Working technology available to us and supporting this with the Smart Working policy, we can help to reduce work related travel across the Council. This should result in a reduction in Carbon emissions and mileage expenses claims. Skype for Business is a key tool in reducing the need for work related travel and the Smart Working policy promotes the use of this and other communication and collaboration tools.

2.4.2   Examples where savings could be made include:

- Holding skype meetings rather than several people travelling to one location for a meeting
- Travelling to work locations close to meetings to work rather than back and forth to an office base
- Working from home and skyping in for meetings and telephone calls when needed
- Working from client sites or external locations where there is wi-fi

2.5   Recruitment and Retention

2.5.1   In research carried out by the Chartered Institute of Personnel and Development (CIPD,2009) 65% of companies indicated that offering flexible work was their most effective hiring strategy.

2.5.2   Other local Councils offer flexible working arrangements, including Birmingham City Council who offer a 'Flex' scheme (24 hours a day). Under the scheme, employees have the flexibility to work around personal commitments to help achieve a better work/life balance. Core hours have been removed and employees are not restricted to working set hours in a fixed workplace. This scheme promotes equality, aims to increase agile working, increase morale, improve productivity and remove core hours.

2.5.3   The policy has the following exclusion 'The Flex Scheme may not be suitable for all roles or services within the organisation – for example, services that require face-to-face delivery during specified times'. It also says this method of working should not be allowed if it were to have a detrimental impact upon service delivery and it must be agreed by managers in advance.

2.5.4   The Flex scheme is intended to make Birmingham City Council: 'an employer of choice in order to attract and retain excellent staff'.

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2.5.5 Allowing greater flexibility can support employees to be happier, healthier and more productive. CIPD research (2016, Employee Views on Working Life- Commuting and Flexible Working) 28% of respondents said that flexibility of working hours and locations was a key factor in them staying with their current employer.

2.5.6 It is important to note that Birmingham, Dudley and Walsall Councils have flexible working arrangements and relaxed working hours. CWC compete against these for talent acquisition – it is therefore vital that we review our working practices and hours of work so that we have an attractive offer for those who value flexibility or where it could be a determining factor in working for us.

3. Inclement Weather

3.1 Below is a table showing concerns raised by C3 Scrutiny panel in relation to inclement weather and the response from HR:

Concern from C3	HR Response
3.2 The course of action taken by the Council during recent inclement weather was adversely affecting women due to the fact that more women were likely to take time off to look after dependants whilst schools/nurseries etc closed than men.	At CWC during the period between 01 April 2017 to 31 March 2018, a total of 1,103 days was booked on Agresso as Time off for Dependants across the Council (including WMPF). 70% were booked by female employees and 30% by males. This is representative across the organisation as there were 70.5% females and 29.5% males. This shows that time off for dependants is taken equally between men and women at CWC.
3.3 There is a requirement that employers should give notice to make employees take annual leave	According to ACAS, all employees have the right to time off during working hours for dependants to deal with unforeseen matters and emergencies under the Employment Rights Act 1996. There is no legal right to be paid; however, some employers may offer a contractual right to pay under the terms and conditions of employment – CWC does, it offers up to 5 working days off a year for these circumstances and also where time off may be required for the bereavement of a relative. Time off for Dependants was not offered in this situation because advance severe weather warnings had been issued and this was therefore not classed as an 'unforeseen matter or an emergency'. CWC allowed employees to take annual or flexi leave rather than taking unpaid leave to avoid any detrimental impact on pay – in addition, ACAS states where there is bad weather employers can allow employees to take annual leave - http://www.acas.org.uk/index.aspx?articleid=2797#close

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3.4 Where a workplace is closed employees should be paid	This is correct but an employer also has the right to offer alternatives to the employee, these can be as follows: • Ask staff to work from another workplace or temporarily work from home • Allow employees to come in slightly later than usual • Use flexible working to allow employees to make up lost time Source: http://www.acas.org.uk/index.aspx?articleid=2797#close
3.5 Where employees have no annual leave remaining what choice would they have when they are unable to travel to work?	Other options were available to employees – such as taking unpaid leave, flexi leave etc. Some managers also allowed employees to make up the hours lost at an alternative time. In addition, employees can now purchase up to an additional 10 days of annual leave.
3.6 Adversely affect employees who work further away from the Civic Centre	Start and finish times were relaxed for employees during the inclement weather to ensure those who had further to travel had sufficient time to do so.
3.7 Feedback from JCP – Caterers and Cleaners have to work from an alternative location if their usual workplace is closed. If the employee is unable to do this they have to take unpaid leave.	Upon receipt of advice from Human Resources (after discussion with SEB), this has now been adapted so where a workplace is closed during inclement weather, Caterers and Cleaners will be paid and will have to make up for hours lost at an alternative time.

3.8   The HR recommendation to SEB for inclement weather is as follows:

3.9   Currently, during inclement weather, employees are required to take annual, flexi or unpaid leave if they are unable to attend work during inclement weather. To tie in with SMART working and as a result of member and employee feedback, SEB are asked to consider allowing manager discretion to agree to homeworking during inclement weather if, even after every effort has been made, employees are unable to attend work. This would allow services to operate at near normal capacity, rather than seeing a spike in annual leave and a decline in service levels from those services impacted by employees who could not get into work.

3.10   Recommendation: Allow home working at managers discretion during inclement weather.

4.   Exclusions to the Policy – Teachers and Schools

4.1   Concern - Smart Working Policy needs to be reconsidered to take into account concerns over equalities issues for teachers and school staff, who were currently excluded from the policy.

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4.2 Response - Teachers terms and conditions are agreed separately to employees who are on single status terms and conditions and we would therefore have to consult separately with school unions to agree this. In future, if there is a requirement from schools to introduce a similar policy, this can be explored.

4.3 Ultimately, smart working is only allowed dependant on the needs of the service. Many areas throughout the Council will only be able to implement Smart Working partially, whilst others fully or not at all. Schools will need to adopt these same principles.

5. Equality Impact – General

5.1 The Smart Working Project Manager has liaised with the Council's Equalities team throughout the project to ensure that the equality impacts of the project are understood.

5.2 The Smart Working policy has the potential to bring about greater equality across the Councils employees, with specific regard to employees with protected characteristics as defined by the Equality Act (2010).

5.3 Among the potential impacts of the Smart Working policy are:

- The ability to be more flexible in terms of working hours and locations can bring benefits to carers and working parents, allowing a better balance between work and their caring role/ childcare arrangements.

- The use of technology to reduce the need for work related travel (e.g. travel to meetings in other locations). This has the potential to reduce travel and related stress and could allow people with mobility issues to attend meetings virtually.

- In locations where we have desk sharing, the Council is committed to making reasonable adjustments for people with disabilities, which may include having an assigned desk.

- Other organisations have found that Smart Working has seen an increase in the number of women returning to work following maternity leave. For example, BT's Anytime Anywhere working scheme, which allows flexible hours and location working identified that 99% of women returned to work after maternity leave. This is compared to a 40 per cent UK average (CIPD, Annual Recruitment, Retention and Turnover Study).

5.4 Wokingham Borough Council has deployed Smart Working effectively across its employees since 2011. Their policy applies to 'all non-school based employees (unless adopted by the school governing body) working for the Council whose work location may be 'Smart'. Smart Working is a contractual requirement for all other new employees in Wokingham and this is mirrored across other Councils which have met the challenge of reducing building bases by taking a firm stance to enforce work from other locations.

5.5 Smart Working is not just about working from home. However, it is appreciated that there may be inequalities where some employees can work from home, but others cannot. This will apply to roles that are dependent on face-to-face, observation, supervision etc. The CWC policy will confirm that there will be exclusions and also where these may apply to

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ensure consistency. However, it is important to note that some elements of Smart Working may still be available to these groups (e.g. collaborative working with colleagues using technology, being able to access information on the go etc). Where other Local Authorities have implemented smart working, a statement has been included within the policy that it will not be available to everyone.

5.6   It is also important to recognise that not all people want to work from home or can work from home. This may be due to personal circumstances or preferences. The Council is committed to ensuring that working from home is a choice, rather than a demand.

5.7   The CWC Smart working policy includes the following wording to assist employees and managers:

5.8   It has been recognised, that for many employees, it may not be practicable for them to take advantage of smart working as the needs of the service will make it impossible to operate. Managers must therefore consider the impact of granting access to increased flexi-time to one group of workers but excluding others within the same team, e.g. care staff and admin staff.

5.9   It should be noted that all CWC jobs when advertised include a job description, these should give applicants an indication of whether the job they are applying for may allow elements of smart working or not, and general hours of work.

5.10   Additionally some employees may be classed as fixed workers when their actual workstyle is mobile, due to the equipment required to support their disability. Managers must ensure that reasonable adjustments are made to ensure that they are treated as much as possible the same as their mobile counterparts.

6.   Management of Employee Productivity

6.1   Concern – Would like to have a better understanding of how performance would be monitored before the policy was implemented.

6.2   This concern was mirrored by SEB who asked Human Resources to undertake focus groups with managers. The aim was to understand whether there may be any training requirements.

6.3   Human Resources attended several leadership and management team meetings where this was discussed and the consensus was that they already have the skills and knowledge to manage staff by outcome rather than observable behaviour. It was confirmed (and then later supported by the Smart Working survey) that both managers and employees had already adopted smart working in an informal way. They did however feel that it would be useful to have a policy to refer back to if they had queries in relation to this method of work.

6.4   To support managers who may be new to this way of working, a Managers guide to Smart Working has been produced to accompany the Smart Working policy. In addition, briefing sessions will be held for managers and employees before and after the Smart Working Policy is introduced. This will help managers to manage employees based across a number

of physical locations by outcome as opposed to observable behaviour. It will also assist employees to understand how their performance may be measured/monitored.

7. Policy implementation – Possibility of trialling Smart Working Policy

7.1 Concern - Some Panel Members suggested the policy should be implemented on a trial basis in a certain team

7.2 Response - Smart Working practices have already been adopted across many teams within the Council. To further support Smart Working and to provide reassurance around the potential impacts, Smart Working initiatives will be planned with discreet teams rather than taking a whole Council approach. These teams will be identified following consultation with Management Leadership Teams within the Council.

8. Risk Assessments – pressure on management

8.1 Concern - Appropriate work place risk and health and safety assessments will be taking place for those working at home as the employer still has a duty of care. The extra risk assessments which would be required would put more pressures on managers.

8.2 The proposed CWC Smart Working policy takes guidance from The Health and Safety at work Act 1974 (HSWA) which places duties on employers and employees.

8.3 Proposed Policy statement: If working from home or other work locations is agreed (regardless of frequency), the employee has a responsibility to ensure they have an appropriate workspace with adequate security, storage and screening from activities and noise. There must also be adequate ventilation and lighting. It is necessary to ensure that any workstation used is not likely to cause employees any health risk. In view of this, employees should assess the risks for workstations that are occupied at irregular intervals as a result of flexible working practices such as hot-desking. The basic criteria employees should always check when working with display screen equipment can be found on the Health and Safety Intranet Portal (DSE – Self Assessment Form). Any risks must be discussed with management to help minimise these.

8.4 The HSE provide the following advice on a frequently asked question:

8.5 Question - If I have to hot-desk do I have to carry out a workstation assessment every time I use a new desk?

8.6 Answer: It is necessary to ensure that any workstation you use is not likely to cause you any health risk. In view of this, you should assess the risks for workstations that are occupied at irregular intervals as a result of flexible working practices such as hot-desking. There are basic criteria you should always check when working with display screen equipment (see below). It may be useful, if hot-desking is widespread within your organisation, to provide a checklist of what people should assess.

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8.7   The guidance provided within the policy is in line with HSE information and will not put excessive pressure on managers to conduct risk-assessments.

9.   Amendment to working hours and impact to employees and the Council

9.1   Concern - Core working hours are being changed and a request was made for further information on how this would impact staff and the Council.

9.2   The proposed amendment to the Working Hours Policy would see employees given greater choice and control over when they work. Managers of services would need to ensure the needs of the business continue to be met and this aligns with the wording of the proposed Smart Working policy. It is also supported by the responses we received from our Smart Working survey, which found that given the choice of 67% of respondents would adapt their working pattern depending on the needs of the service.

9.3   By increasing the flexibility of the workforce, there is the potential to decrease congestion at rush hour on the cities roads, allow employees a better work/life balance and help CWC to be more responsive to customer queries. In addition, it will help to attract and retain talent as other Local Authorities have already adapted their working hours to make them more flexible.

10.   Which teams would see improved productivity/no benefit

10.1   Concern - Members requested further information on which teams the Smart Working Policy was expected to improve performance and for which teams there would be no perceived benefit.

10.2   Response - As part of the Smart Working initiatives, we are planning to identify key processes within services and support employees to use technology and policy to make the processes more efficient. Examples of success will be used as case studies to promote Smart Working across other areas of the Council. Smart Working has the potential to benefit the majority of teams across the Council.

11.   Financial implications

11.1   The financial implications to the original report have been amended as follows:

11.2   The proposed Smart Working Policy has been developed in house.

11.3   The implementation of the proposed Smart Working Policy, focusing on a more agile working environment, will indirectly support the delivery of existing budget reduction proposals linked to transformation of the organisation through the Future Space and Digital Transformation programmes. It is also possible that the future adoption of new guidelines on travel and subsistence, consistent with the Smart Working Policy, will reduce travel costs incurred.

[MH/04062018/W]

Appendix 1- Smart Working in Adult Social Care- The Impact of Skype for Business on Quality Assurance Meetings (Author: Maria Smith)

Background
This case study shows the benefits of using Skype for business for over 65's Quality Assurance Meeting (QAM) during the period from 9 October to 27 September 2017.

Quality Assurance Meetings occur every Monday, 9:30-13:00. There is a static panel, which Social Work Unit Managers (SWUMs) present their cases to. SWUMs have previously been expected to attend the offices at Red Lion Street and present their cases in person. This is time-consuming and costly as most are based in the locality teams across the city.

QAMs are responsible for deciding if a proposed care and support plan is the most appropriate way of meeting an individual's needs, when large packages of care or care home placements are being proposed.

A referral is made to QAM after an assessment of need is completed and the proposed support plan is over the value of £250 for domiciliary care, over £100 for day care and if a current package increases by 20%. The allocated worker will then complete an application which provides details about the proposed support plan and outlines the costings involved.

The application is then reviewed by the worker's SWUM and if they agree the proposal is appropriate they present the case to QAM. QAM will debate and evaluate a support package and determine that all other potential solutions have been explored.

Adult Social Care's Digital Transformation
As part of their mobile/ agile working roll out, Adult Social Care distributed new equipment, including Skype for Business, to employees throughout the service in July 2017.
Video calling on Skype enables SWUMs to present their cases virtually and allows Adult Social Care to meet key objectives to improve productivity and reduce spending on travelling expenses and subsistence.

Benefits
Using Skype reduces claims on expenses for mileage and car parking:

Date of QAM	Number of SWUMs Skyped	Parking - £3 p/h	Mileage - 7 miles (approx.) claimed at 45p
9 October 2017	5	£15	£15.75
16 October 2017	4	£12	£12.60
23 October	3	£9	£9.45
30 October	3	£9	£9.45
3 November	4	£12	£12.60
13 November	2	£6	£6.30
20 November	3	£9	£9.45
27 November	3	£9	£9.45
Total	**27**	**£81**	**£84.75**

Approximate saving made since 9 October 2017 in parking and mileage costs= £165.75

Skype means that SWUMs do not have to travel to QAM. On average this saves up to an hour commuting to and from Red Lion Street. One SWUM explained that it took on average in total 1 hour and 30 minutes in total for commuting, waiting, presenting and parking.

The time spent travelling to meetings can now be used to conduct other tasks including providing supervision, dealing with Mental Health Act requests, maintaining the team desktop and screening all incoming referrals. One SWUM highlighted that the most important benefit was how they could maintain management oversight over the team and as a result staff feel more supported

Skype allows more flexibility with the agenda at QAM. If someone is running late or one item of the agenda takes longer than anticipated the SWUM is not as affected, as they can continue with their work in the meantime. One SWUM highlighted that they could wait up to 20 minutes to present their case.

Similarly, if QAM is running ahead of schedule there is more freedom to Skype the next SWUM presenting and reduces need to wait for them to turn up at Red Lion Street. This is a more efficient way of working, as if QAM finishes early it frees up time for the meeting participants, consequently increasing work productivity.

Skype enables SWUMs to refer to the allocated worker, who is usually in the office. This is extremely beneficial as the allocated worker (who prepared the report the SWUM is presenting) can provide clarity if queries arise. It means that questions that may go unanswered or help the panel decide, can be acted on immediately. This is positive as it can possibly prevent the case from returning to QAM the following week, maximising productivity.

Another benefit of using Skype is that other colleagues e.g. Commissioners, who may be unable to commit to attending the full Quality Assurance meeting, can be allotted a time on the agenda to join the meeting and respond to any issues that have been identified during the discussions.

Feedback
The consensus is that videoing calling SWUMs is preferred over attending in person, for both SWUMs and the panel.

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Briefing Note

Agenda Item No: 8

Title: Finance Training for Councillors

Prepared by: Alison Shannon – Chief Accountant   Date: 29.05.2018

Intended audience: Internal ☒   Partner organisation ☐   Public ☐   Confidential ☐

Purpose
To provide an overview of the current finance training programme provided to Councillors along with an option on Treasury Management training for consideration.

Overview
On 18 April 2018, Confident, Capable Council Scrutiny Panel requested an update on the current finance training provided to Councillors along with options of exploring future training on Treasury Management.

Background

In-House Training

Strategic Finance currently provide finance training as part of the Councillor Induction Programme and Development Programme. A Finance Guide is also produced on an annual basis (attached).

On 24 May 2018 two sessions were held as part of the Councillor Indication Programme for newly elected Councillors.

A training session is also booked for Councillors as part of the Development Programme on 4 October 2018.

The training sessions give an overview of:
- the sources and structure of local government finance
- the financial cycle including budget setting, budget monitoring and identify the budget challenge
- local government financial governance arrangements

External Training

Training is also provided by the Local Government Association (LGA) which is offered to Councillors as part of their LGA membership – 'Leadership Essentials: Finance'.

This cost of this training is fully subsidised; however, places are limited and are offered on a strictly first come first served basis.

The training is a two day residential programme will help leaders and finance portfolio holders get to grips with the financial challenges facing their authority. The course discusses setting longer term strategies for sustainability as well as balancing the budget on an annual basis and how to work with officers to ensure that the Council is making the most of its opportunities.

Topics covered are:

- The role of leaders and portfolio holders in a changing financial environment
- Working with others to make sense of the opportunities
- Understanding the council's finances
- Navigating the budget process
- The financial aspects of the new delivery models
- Recognising a good business case for change

All training is held at Warwick Conferences, Coventry with dates in October, November and December 2018.

Option for further training – Treasury Management

The Scrutiny Panel expressed an interest is receiving Treasury Management training. Treasury Management is defined as

"is the management of the local authority's borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistence with those risks."

The Council uses Link Asset Services, Treasury solutions as it's external management advisors. Link Assets can be approached to provide training tailored to the Council's specific needs. The aim of the training is to provide an enhanced awareness of Councillors role within the Treasury Management function; understanding the changing regulatory and market environment and the challenges facing authorities.

The training covers the following topics:

- The overarching strategic and governance framework relating to the Capital Strategy and Treasury Management activity
- The Treasury Management and Prudential Code of Practice
- Ministry of Housing, Communities and Local Government Investment Guidance
- Risk Management
- The Financial Markets
- Interest Rate Forecasts
- Credit Ratings and Creditworthiness
- Investment Management
- Debt Management
- Non -Financial Investments
- Scrutiny Focus

The estimated cost of the training is £1,500. If Councillors wished to take up the offer of this training, then a proposal would need to be submitted to the Councillor Development Advisory Group for consideration.

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Finance Guide

2018 - 2019

wolverhampton.gov.uk

CITY OF
WOLVERHAMPTON
COUNCIL

Strategy Summary

The council has several financial strategies outlined below.

Revenue Budget Strategy

The Revenue Budget Strategy sets out the Council's General Services revenue expenditure plans and the level of available resources. The Council has set a balanced budget for 2018-2019 without having to call on its general reserve. The latest version of the General Services revenue budget and Medium Term Financial Strategy, however, projects that unless the Council takes further action the annual budget deficit the will stand at £19.5 million by 2019-2020.

Capital Investment Strategy

The Capital Investment Strategy sets out the plans to invest over £280 million in the City over the next four years together with the funding to support that investment. Despite the financial challenge and constraints, the Council is committed to investing in the future.

Treasury Management Strategy

The Treasury Management Strategy sets out how the Council's treasury service supports borrowing and capital investment decisions together with the management of day to day cash balances in order to minimise the impact on revenue budgets and protect the Council from loss.

Housing 30-Year Business Plan

The Housing Business Plan sets out what the Council considers it will need to invest in council housing together with its annual management and maintenance plans over the next 30 years, and how it plans to pay for these improvement programmes.

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Revenue Budget

Chart 1: Where the budget comes from 2018-2019 (exc. schools and housing benefits expenditure)

- General Grants: 11.5% (£45.0 million)
- Specific Grants: 25.4% (£99.7 million)
- Localised Business Rates: 19.3% (£75.7 million)
- Council Tax: 24.9% (£97.8 million)
- Fees, Charges & Other Recharges: 18.8% (£74.0 million)
- Interest: 0.4% (£1.6 million)
- Contributions to Reserves: -0.3% (£1.1 million)
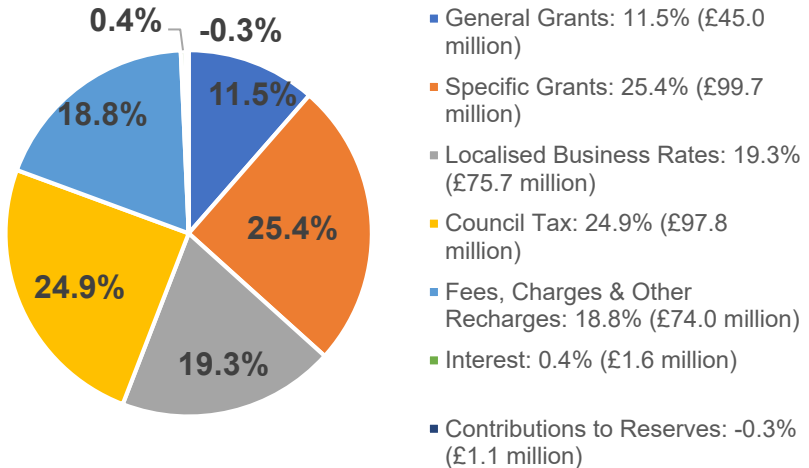
Chart 2: where we plan to spend the budget in 2018-2019 (exc. schools and housing benefits core grants)

- Adult Services: 25.4% (£99.9 million)
- City Economy, Environment, Housing and Corporate Landlord: 21.5% (£84.5 million)
- Children & Young People: 22.9% (£90.0 million)
- Corporate Services and Governance: 15.6% (£61.3 million)
- Corporate Budgets inc. Treasury Management: 8.9% (£35.0 million)
- Public Health & Wellbeing: 5.7% (£21.9 million)

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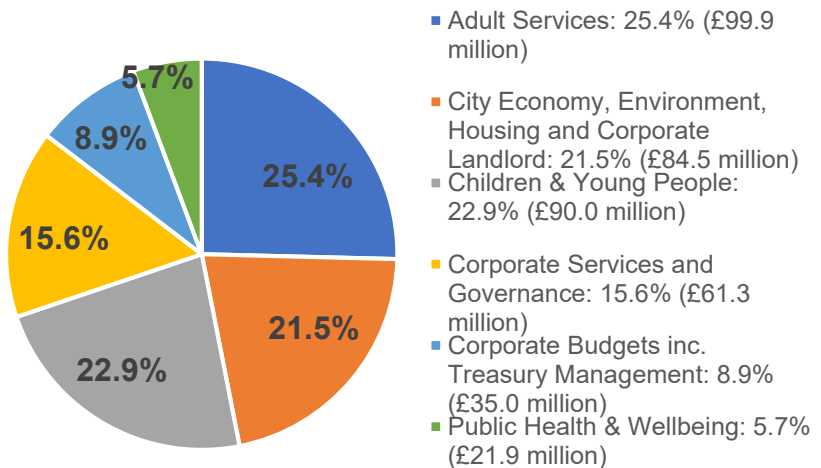
Medium Term Financial Strategy (MTFS)

Since 2011-2012 the Council has reduced its annual budget in excess of £200 million. Despite this, the latest projections show that there is still more to do and our current projections predict that if we take no further action by 2019-2020, there would be a £19.5 million shortfall in our resources, when compared against the cost of our services.

Table 1: General Services Financial Projections 2018-2019 to 2019-2020

	2018-2019 £ million	2019-2020 £ million
Previous Years Net Budget Brought Forward	222.6	229.1
Increasing/(Decreasing) Cost Pressures	6.5	17.4
Net Budget	229.1	246.5
Projected Corporate Resources	(229.1)	(227.0)
Projected Cumulative Budget Deficit	-	**19.5**

The updated projected budget deficit assumes the achievement of budget reduction and financial transaction proposals amounting to £28.3 million over the two-year period from 2018-2019 to 2019-2020.

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Annual Budget Setting Cycle

April
Previous year's accounts are closed.

May
Corporate Plan priorities are considered within the context of the Medium Term Financial Strategy (MTFS).

Budget reduction and income generation proposals are developed by Senior Management.

June
External Audit of the Statement of Accounts.

July
Previous year's Outturn is reported to Cabinet.

Cabinet consider the Draft Budget Report (1 of 4).

Previous year's Outturn is reviewed to identify ongoing budget reductions and financial performance.

Update on new budget reduction and income generation targets against the MTFS, to be reported to Cabinet in July.

August
Budget reduction and income generation proposals continue to be developed.

September
Consider implications of new budget reduction and income generation proposals.

October
Cabinet consider Fees and Charges Report.

Cabinet considers the Draft Budget Report, including budget reduction and income generation proposals (2 of 4).

Formal Budget Consultation starts.

November

Detailed scrutiny of budget reduction and income generation proposals by all Scrutiny Panels.

Review assumptions in MTFS for inclusion in December Cabinet report.

Calculate forecasts for council tax and business rates income.

December

Scrutiny Board provides the outcome of the first round of scrutiny.

Central government issues provisional settlement details for following financial year.

January

Cabinet consider the Draft Budget Report (3 of 4).

Cabinet note Forecast Collection Fund Outturn.

Cabinet approves the council tax base.

Cabinet receives outcomes of Budget Consultation.

Senior Management work with Cabinet to finalise proposals for presentation to Council.

Scrutiny Board provides the outcome of the second round of scrutiny.

February

Central government issues final settlement details for following financial year.

Cabinet receives and responds to the outcomes of scrutiny/budget consultation.

Cabinet approves the Final Budget Report.

March

Full Council votes on budget and council tax.

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Capital Investment Strategy

Despite the financial constraints, the Council remains committed to an ongoing programme of capital investment to support the economic growth of the area and employment opportunities for the City's residents. Examples include; i10 Office and Commercial Building, i54 Business Park, Wolverhampton Interchange, Bilston Urban Village, Civic Halls and Grand Theatre, Westside Development, Primary Schools Expansion Programme, Digital Transformation and Our Vision for the City of Wolverhampton in 2030.

The Council's Capital Investment Strategy for the period 2017-2018 to 2022-2023 was approved by Full Council on 7 March 2018. When developing the Capital Programme, close attention is paid to the direct impact capital expenditure can have on revenue budgets, for example, the cost of borrowing in the form of interest charges. Table 2 (over leaf) shows a summary of the Council's latest approved Capital Programme.

Table 2: Capital Programme and funding 2017-2018 to 2022-2023

	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	Total
	£ million						
Expenditure							
General Services	92.8	147.7	85.0	41.7	5.9	-	373.1
Housing Services	39.2	64.4	69.4	67.6	51.9	37.3	329.8
Total Expenditure	**132.0**	**212.1**	**154.4**	**109.3**	**57.8**	**37.3**	**702.9**
Financing							
External Funds	(32.3)	(35.2)	(35.9)	(5.4)	-	-	(108.8)
Internal Funds	(99.7)	(176.9)	(118.5)	(103.9)	(57.8)	(37.3)	(594.1)
Total Financing	**(132.0)**	**(212.1)**	**(154.4)**	**(109.3)**	**(57.8)**	**(37.3)**	**(702.9)**

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Technical Terms Explained

Though we have tried to make the language in financial documents as clear as possible, there may be occasions where we must use technical terms. We explain these in the body of the text where possible, but we hope you will find this list useful.

Arm's Length Management Organisation

Often called an ALMO, this is an organisation which is controlled by a parent body such as the Council, but which is in charge of its own day-to-day operations. Wolverhampton Homes is a good example.

Balances and Reserves

An amount of money that the Council has chosen to set aside in order to meet future spending needs.

Budget

A budget is a plan of approved spending during a financial year.

Business Rates

Businesses across the country have to pay business rates. The Government decides how much they should pay and local authorities collect the money. The City of Wolverhampton Council, under the business rates retention pilot scheme, keeps 99% of the business rates' growth raised in the area with the balance owed to the West Midlands Fire Service.

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Capital Expenditure

Expenditure on the purchase of property, plant and equipment, or expenditure which adds to, and not merely maintains, the value of an existing asset.

Capital Grant

A contribution, usually by Central Government, towards the cost of Capital Expenditure.

Capital Programme

The plan of approved capital expenditure.

Council Tax

A tax paid by residents to the Council, based on the value of their property, to be spent on local services.

Council Tax Reduction

Council Tax Reduction is help to pay Council Tax for both tenants and owner occupiers on a low income.

Dedicated School Grant

A specific grant from Central Government which is mainly delegated to schools to provide educational services.

Deficit

This occurs when spending exceeds income.

Equality Analysis

An equality analysis is a way of finding out whether a policy, service or strategy will have an adverse impact on any particular group or sector of the community.

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Financial Year
As with all councils' this runs from 1 April to 31 March for the City of Wolverhampton.

General Services Budget
The cost of all services of the Council except for Council Housing. The net cost of General Services is met by Council Tax, Government Grants and Business Rates.

Government Grants
Assistance by Government and inter-governmental agencies and similar bodies, in the form of cash or transfers of assets to an authority, in return for past or future compliance with certain conditions relating to the activities of the Council.

Growth Deals
Growth Deals provide central government funds to Local Enterprise Partnerships (LEPs), which are partnerships between local authorities and businesses, for projects that benefit the local area and economy.

Housing Benefit
Housing Benefit is help for tenants with all or part of their rent.

Housing Budget
A ring-fenced account detailing the day to day income and expenditure arising from the provision of council housing.

Housing Capital Account
A ring-fenced account detailing the Council's investment which adds value to council housing and the

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associated capital funding streams.

Minimum Revenue Provision (MRP)
A minimum amount set by law, which the Council must charge to the General Services revenue account, to set aside to repay borrowing.

Prudential Indicators
Financial and statistical indicators that the Council uses to identify whether capital investment and debt/treasury management plans are prudent, affordable and sustainable.

Revenue Expenditure
Expenditure on the day-to-day running costs of services, for example employees, premises.

Ring-fenced Budget/Grant
Certain budgets or grants must be maintained separately outside of the General Services account.

Stakeholder
A person, group or organisation that has an interest or concern in the Council or the community it serves.

Treasury Management
Management of the Council's investments, borrowings and daily cash balances.

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