



# Confident, Capable Council Scrutiny Panel

1 October 2014

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

**Venue** Committee Room 1 - Civic Centre, St Peter's Square, Wolverhampton WV1 1SH

## Membership

**Chair** Cllr Rita Potter (Lab)  
**Vice-chair** Cllr Christopher Haynes (Con)

### Labour

Cllr Ian Angus  
Cllr Mary Bateman  
Cllr Alan Bolshaw  
Cllr Craig Collingswood  
Cllr Jasbir Jaspal  
Cllr Milkinderpal Jaspal  
Cllr Caroline Siarkiewicz  
Cllr Jacqueline Sweetman

### Conservative

Cllr Arun Photay  
Cllr Andrew Wynne

Quorum for this meeting is three Councillors.

## Information for the Public

If you have any queries about this meeting, please contact the democratic support team:

**Contact** Matt Vins  
**Tel/Email** Tel: 01902 554070 or [matthew.vins@wolverhampton.gov.uk](mailto:matthew.vins@wolverhampton.gov.uk)  
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Wolverhampton WV1 1RL

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Some items are discussed in private because of their confidential or commercial nature. These reports are not available to the public.

# Agenda

## Part 1 – items open to the press and public

*Item No.*    *Title*

### MEETING BUSINESS ITEMS

- 1            **Apologies**
- 2            **Declarations of interest**
- 3            **Minutes of previous meeting** (Pages 1 - 6)  
[To approve the minutes of the previous meeting as a correct record]
- 4            **Matters arising**  
[To consider any matters arising from the minutes]

### DISCUSSION ITEMS

- 5            **FutureWorks Progress Report** (Pages 7 - 18)  
[To review the progress to date on the FutureWorks programme and provide any feedback or questions to the programme team.]
- 6            **Terms of reference and nominations for the Specific Reserves Working Group**  
(Pages 19 - 22)  
[To agree the terms of reference for the Specific Reserves Working Group]
- 7            **Annual Complaints Report** (Pages 23 - 38)  
[To discuss and provide comment on the findings of the report.]



# Confident, Capable Council Scrutiny Panel

## Minutes - 10 September 2014

### Attendance

#### Members of the Confident, Capable Council Scrutiny Panel

Cllr Rita Potter (Chair)  
Cllr Ian Angus  
Cllr Mary Bateman  
Cllr Alan Bolshaw  
Cllr Jasbir Jaspal  
Cllr Milkinderpal Jaspal  
Cllr Caroline Siarkiewicz  
Cllr Jacqueline Sweetman  
Cllr Andrew Wynne

#### Employees

Mark Taylor	Assistant Director, Finance - Delivery
Charlotte Johns	Head of Policy – Office of the Chief Executive
Dawn Phillips	Safety, Health and Welfare Manager - Delivery
Deb Breedon	Scrutiny Officer – Office of the Chief Executive

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## Part 1 – items open to the press and public

*Item No.*    *Title*

- 1 Apologies**  
Apologies for non-attendance were submitted on behalf of Cllr Craig Collingswood who is attending official council business as a member of the West Midlands Fire & Rescue Authority and Cllr Christopher Haynes.
- 2 Declarations of interest**  
There were no declarations of interest
- 3 Minutes of previous meeting**  
Resolved:  
That the minutes of the meeting held on 17 April 2014 be approved as a correct record and signed by the Chair as a correct record.
- 4 Matters arising**  
Minute 7. - Future Works Programme

Councillors referred to the Agresso system and reported that there had been some negative feedback from employees and schools using the Agresso system. Cllr Alan Bolshaw requested an update on the current position relating to feedback from schools, statistics about distribution and payment of invoices, and any snagging issues

Cllr Johnson advised that there had been some problems with invoicing at the launch of the new system but feedback now is that using the system is clearer and better. He advised that leave booking had recently been gone live and that it was timely for a comprehensive update report.

Mark Taylor gave a verbal update relating to Agresso roll out. He advised that how two academies and Wolverhampton Homes payrolls had been paid out of Agresso and that dual processes would continue being run to ensure that everyone is paid at the end of September when there will be a full payroll parallel run, he confirmed that payments would definitely be transferred by October payroll.

In response to questions about problems during the August payroll run, Mark Taylor advised that WH payroll has 800 employees and that there had been the normal number of enquiries about pay. The phased approach identifies any issues which can be adjusted and should there be a real issue the dual process ensures everyone is paid from the existing payroll.

Charlotte Johns advised that an update report is programmed for the next panel meeting, 1 October 2014.

Resolved:

That an update report be submitted to the 1 October 2014 Confident Capable Council Scrutiny Panel.

Minute 4 – Matter Arising

Cllr Milkinder Jaspal referred to the Audit Investigation and indicated that he had previously requested a report on this item. The Chair advised that the minute indicated that Audit Committee had previously received an exempt report which indicates that Audit Committee has oversight of the outcomes of the audit investigations including a series of recommendations which have been or were in the process of being implemented. She said there was no resolution to bring a report back to the Scrutiny Panel.

Resolved:

No further action

## 5 **Budget Update and Review**

Cllr Andrew Johnson and Mark Taylor presented a report which provided information about the Council's finances which had been reported to Cabinet and Cabinet (Resources) Panel.

The Panel considered the arrangements for ensuring adequate identification and management of budget risks and budget planning and forecasting for future years.

Cllr Andrew Johnson said the report was very comprehensive and detailed. He referred to the highlights contained under paragraph 3, 'managing the budget cuts – the next phase', and the requirement to identify £25 million of additional savings for 2015-16. He indicated that £18.1 million of savings had been identified for 2015/16 and that work is continuing to identify a further £1.7 million of savings. He advised that a further £35 million of additional savings has to be identified taking the total to be identified to £60 million, in order to address the projected budget deficit over the medium term to 2018/19.

Councillors noted the enormity of the task, recognising that it is one thing saying and identifying the saving and another thing achieving it. Cllr Andrew Wynne asked if the savings were across the board or service specific.

Cllr Andrew Johnson advised that the detail is in the 25 June 2014 Cabinet report, Budget next phase table 1 and that savings were indicated in table 6.

Cllr Rita Potter asked if the Council is meeting its legal duties. Mark Taylor confirmed that this is the case, the budget was agreed in March 2014, at that time the Council resolved it would make the savings; it is currently identifying the way to do that. Cllr Rita Potter asked about the risk of additional unexpected resource implications, such as increasing looked after children (LAC) numbers. Mark Taylor said there was no spare capacity in the budget and that in those circumstances the council would have to consider additional savings from other services.

Councillor Andrew Johnson advised that the council was pursuing early intervention, trying to prevent children coming into care and also trying to reduce the numbers of council fosters carers and use agency foster carers. Other interventions are being considered such as trying to get specialist foster care placements for the more difficult cases. Mark Taylor advised that there are robust plans to underpin the savings put forward. The Community directorate are taking plans forward; Cllr Andrew Johnson advised that he is meeting with the Director and Cabinet Member every six weeks for specific budget meetings.

Mark Taylor said that in relation to the budget the Council has to be satisfied, Price Waterhouse Cooper (PWC) need to be convinced and Councillors have to be convinced that the budget and savings are achievable, somewhere between prudent and not too ambitious.

Cllr Sweetman advised that when using her Ipad the links on Modern.gov to the budget report are broken. Mark Taylor acknowledged the broken links and agreed to report this back to the Democratic Services Manager.

Resolved:

1. That the Budget update and review be noted.
2. That Confident Capable Council Panel receives regular Budget Update reports.

Cllr Andrew Johnson and Mark Taylor provided a report to enable the Panel to review the recommendations from the independent review of process for the medium term financial strategy and budget, and the action plan developed to address those recommendations.

Cllr Andrew Johnson highlighted the positive comments at paragraph 3.2 of the report relating to approach and construction of the Councils process for medium term financial strategy and budget.

Cllr Andrew Johnson summarised that overall it is a really good report but there are some issues and recommendations to be addressed of how to make the budget more transparent to a wider group of people. He outlined the seven recommendations and said that this is a good chance for scrutiny to get involved in ensuring that they are implemented. Particularly in relation to recommendation 2 relating to 'the assumptions', scrutiny can really add value by giving greater challenge to the assumptions.

Mark Taylor indicated that the Council has been very open to this review, several recommendations have been made and will be taken up, however it was recognised by the review that the Council is largely doing things right.

In response to comments relating to ear marked reserves, Charlotte Johns confirmed that a report to confirm the membership of the Ear Marked Reserves Working Group will be considered at the next meeting 1 October 2014.

Cllr Sweetman referred to the comments made about the presentation of reports and the need to represent the facts in graphic form. She suggested that there is a need to show:

- this is what we spend
- to indicate what impact this would have if the finance is reduced
- to indicate that as we make decisions, we understand the implications

Mark Taylor referred Panel to [Cabinet \(Resources\) School Balances report](#) 9 September 2014, he indicated that the approach suggested has been used in the report.

Cllr Ian Angus congratulated officers he found the report reassuring and suggested using some of the comments in the report to respond to public requests for information.

Resolved:

That the Panel endorse the comments, recommendations and actions developed to address the recommendations.

- 7 **Health, Safety and Wellbeing Strategy 2014-17**  
Dawn Phillips presented a report to provide the Health, Safety & Wellbeing Strategy 2014-17. The Panel considered the report

Cllr Rita Potter asked if an overload of work could trigger some stress and pressure in the workplace. Dawn Phillips advised that the Council is in the process of developing a health and wellbeing strategy. She said it would build on current interventions such as workshop for managers to help them recognise stressors, stress risk assessment tool kit, counselling and work with managers who can offer mentoring services. Essentially it is up to managers to recognise potential stressors in their employees and take early action if there is a specific health issue work with the employee.

Cllr Rita Potter asked if there would there be arrangements available to have a gradual return to work. Dawn Phillips advised that the fit note enables employers to look at what tasks the individual is able to do, even if they are not fully fit. Wherever possible the manager will provide support to enable an early return to work, which could include alternative work as long as the employee can safely carryout the tasks, in order to get them back into work.

Charlotte Johns indicated that this links to the HR policy for management of attendance.

Cllr Rita Potter asked if there would be training available and if there would be a budget. Dawn Phillips informed the panel that the strategy takes account of this and is building on what training resource is available at the moment, including the e-learning programme.

Cllr Milkinder Jaspal asked when the panel will we get an update on management of attendance and to seek assurances that even in financially difficult times want to know we are on track. Cllr Jaqueline Sweetman suggested that scrutiny should be forensic and investigate what is not working and why.

Dawn Phillips advised the panel that the performance indicators contained within the strategy are deliberately aimed to protectively manage health and safety to prevent a failing and that we continue to measure failure which include accident and incidents, HSE involvement, number of success liability claims etc.

If we have HSE involvement the corporate health and safety team will support management to investigate the incident, as a breach of health and safety can be expensive (£124 an hour for HSE to come and investigate) if HSE identify a breach and come to investigate. Charlotte Johns advised that the number of near misses reported was incredibly low and that it is important to register near misses to avoid accidents happening next time.

Dawn Phillips advised that the new accident and incident software system iCASS allows managers to report in real-time and the corporate health and safety team to pick up any emerging issues promptly. Managers can now use the intelligence and can identify their own trends.

In response to further points raised panel was advised:

- That liability injury claims can also be an indication of improvement.
- The number of working days lost and related corporate indicators will be reported to Scrutiny Board next week, this is a good news story.

In relation to paragraph 9.3 briefings on the roles and responsibilities for managers and their work requirements to produce operational health and safety work plans.

Panel was advised that no deadline has been agreed. Panel suggested that assistant directors can start this immediately.

Resolved:

1. That the proposed development and the implementation of a health, safety and wellbeing strategy to establish a clear vision for the further development of health and wellbeing policies, procedures and measures in the Council to ensure the full discharge of senior management responsibilities.
2. The work plans for the initial implementation of the strategy, which identify the key supporting activities at both corporate and business levels of the organisation.
3. That an update on performance and management of attendance is included in the work programme.





# Confident, Capable Council Scrutiny Panel

1 October 2014

<b>Report title</b>	FutureWorks Programme Update Report	
<b>Cabinet member with lead responsibility</b>	Councillor Andrew Johnson Resources	
<b>Wards affected</b>	All	
<b>Accountable director</b>	Keith Ireland, Delivery	
<b>Originating service</b>	FutureWorks Programme	
<b>Accountable employee(s)</b>	Danny Fitzgibbon	Programme Manager
	Tel	01902 551483
	Email	<a href="mailto:danny.fitzgibbon@wolverhampton.gov.uk">danny.fitzgibbon@wolverhampton.gov.uk</a>
<b>Report to be/has been considered by</b>	None	

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## Recommendation(s) for action or decision:

The Panel is recommended to:

1. Review the progress to date on the FutureWorks programme and provide any feedback or questions to the programme team.

## 1.0 Purpose

- 1.1 This report updates the Confident Capable Council Scrutiny Panel on the FutureWorks programme.

## 2.0 Background

- 2.1 The FutureWorks Transformation Programme set out to transform the Council's major administrative functions of HR, Payroll, Finance and Procurement through the delivery of a new technology solution (Agresso) which is used by over 100 councils. The delivery of the Agresso solution and the associated transformation is targeted with delivering £3.4m of annual savings. These savings will be delivered through increased efficiency of the workforce by enabling them to self-serve functions which previously involved multiple departments and manual re-work. The original intention was to roll out self service across the organisation from July and this was accelerated with the early deployment of finance self service functions for example raising of requisitions, management of spend and three way matching of payments. In addition, Agresso is integrated to circa 18 systems including Northgate Revenues and Benefits and Housing, SIMS and Carefirst.
- 2.2 Replacement of all finance, procurement, HR and payroll systems is a complex undertaking involving:
- Implementation of 43 system interfaces
  - Automating and streamlining processes into and across systems to support channel shift
  - Delivery of a shared service centre – The Hub as part of a new target operating model
  - Preparation of the organisation for the changes
  - From 1 April the Finance, Procurement and elements of the HR system went live. The remaining functionality which is predominately around payroll and HR is being rolled out from end of July through to end of September 14. The table below provides a breakdown of the Agresso modules, the date they have been delivered and the target date when the remaining functionality will be delivered.

Some of the key challenges that the programme faced during the implementation included:

**Payroll** – The overriding principle for payroll was that no risk would be taken in relation to the payment of employees. The initial approach to testing payroll was to use an intelligent sampling approach that would cover all of the scenarios the Council would face. It became evident that testing this across multiple organisations in conjunction with the complexity of the workforce meant that this approach would not provide the require confidence. In addition, reconciliation work has highlighted significant manual adjustments being made on a monthly basis in order to pay correctly. This has resulted in a change in the testing approach which is now focused on reconciling two consecutive months (Mainframe and Agresso) to prove calculations are correct. We have successfully

paid the City of Wolverhampton Academy Trust and Woden in July 2014, Wolverhampton Homes in August 2014 and we are targeting payment of for the Council and schools by the end of December 2014.

**Payments** – The agreed workflow for approval to process invoices ensures clear accountability is placed with the appropriate budget manager. The supplier also has responsibility for a number of actions including ensuring that a valid order number is quoted on an invoice. There have been several communications to over 7,000 suppliers to prepare them for the changes that they need to implement to process their invoices efficiently and also to remind them of the actions that they need to undertake. We are also planning to communicate with suppliers again in the near future to further re-iterate their responsibilities. This has been a huge change to the way the previous processes operated both for the organisation and suppliers and has resulted in delays to payments being made. Escalation routes have been put in place to ensure that payments can be prioritised as necessary.

**Complexity** – the core solution has had to be built to cater for a complex set of working arrangements across the Council, Wolverhampton Homes, West Midlands Pension Fund and Academies. All of these have separate employee terms and conditions, contracted arrangements and policies for example multiple positions, different leave schemes and over 500 payment and deductions codes. In addition a large scale change in the Local Government Pension Scheme from 1 April 2014 had to be incorporated into the Agresso payroll which has affected the majority of the council workforce. On-going changes to the establishment as a result of organisational change, for example reporting lines and changes to working conditions has made it difficult to validate data migrating into Agresso. This has reduced confidence in the data quality and prevented self service from being rolled out as planned.

Some examples of improvements that have been delivered include:

- Category data – five months of data is now available to drive procurement savings which has highlighted a large number of contracts which were not being centrally managed
- Council Brand - The introduction of the standard templates for sales and purchase orders makes it easier to communicate quickly and consistently with customers and suppliers
- Income – this is now reflected daily in the system enabling budget managers to more accurately report service performance and recognise service issues
- VAT Return – provides a simple online report to track the Council's VAT position
- HMRC - Electronic Submissions for HMRC for Construction Industry Schemes saving approximately three days a month
- Elections payroll – paid all individuals involved in elections on time and informed HMRC of real time information (RTI)
- Schools – are now informed of when suppliers have been paid not just that we have received a request for payment

## Programme Milestones

<b>Payroll</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
<b>Functional Area</b>			
Payroll	Delivery of a comprehensive and compliant Payroll solution	Academies July 2014 Wolverhampton Homes Aug 2014	Council and Schools by December 2014
Election Payroll	Functionality to deliver payments to individuals who took part in the May elections. This includes the delivery of real time information to HMRC	June 2014	
<b>HR</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
<b>Functional Area</b>			
Human Resources	Core HR Module supporting the management and administration of the Council's, Wolverhampton Homes and West Midlands' employees	April 2014	
Expenses	Self-service enabling the online submission and approval of mileage and subsistence claims	April 2014	
Planned Absence	Self-service enabling the online submission and approval of planned absence such as annual leave	September 2014	
Absence Management	The recording and reporting of un-planned absences		July 2014 – targeted for Mid October
HR Flexi Forms	Self-service HR Forms including Occupational health, Probation Management, Induction, Appraisals		Sept 2014
Reporting and Analysis Suite	Reporting and MI capability used across all modules / data		Aug - Sept 2014
<b>Strategic &amp; Operational Finance</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
<b>Functional Area</b>			
General Ledger	Core accounting solution covering over 1,700 cost centres, journal, statutory reporting, VAT returns and subjective analysis	April 2014	
Contract Accounting	Ensures selection of requisitioned goods from preferred supplier contract where one is in place – drives the accounting reconciliation but also the Procurement controls	April 2014	

<b>Strategic &amp; Operational Finance Functional Area</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
Planner	Common Budget Forecasting and Monitoring functionality. Delivered in live April 2014 but part of the roll out plan for 2014/15 with strategic finance to ensure budget managers have access to information	April 2014	
Asset register and asset accounting	Financial register of Asset information, which is fully compliant with statutory requirements, provides valuation of Council assets and the ability to apply depreciation rules.	April 2014	
Project Costing and Billing	Allows capital projects to record costs both resource and capital items over multiple reporting years and track via timesheet entry the costs associated with capital programmes against their associated funding sources. *There has been some difficulty with PCB. The Programme Team have worked collaboratively with the service in the delivery of this system	June 2014*	
Reporting and Analysis Suite	Reporting and MI capability used across all modules / data providing one version of the truth.	April 2014	
Income	Managing the bank account reconciliation processes, receipting, Captures the analysis of the income and expenditure and the details of the bank lodgement being made by non-Finance staff. Integrated processing and validation of Debit and Credit card transactions via a secure PCI-DSS compliant service	April 2014	
Accounts Payable	Core creditor module managing over 7000 suppliers who transact with the council. Capturing spend data, SME trading and allowing the enforcement of payment terms. Automatic gateway with HMRC for Construction Industry Scheme. Approximately 19,000 transactions dealt with in the first 3 months of go live	April 2014	
Accounts Receivable	Core debtors functionality with specific workflow controls for each type of debt driving collection activities. Manages collection of debt via court process - summonses, court costs etc. Over 13,000 sales orders in the system totalling £13.2m and being actively tracked via the Hub.	April 2014	
Purchasing	Core Procurement suite – Including Requisitions ordering goods and services with automatic category analysis (spend data) captured to help drive savings	April 2014	
E market place	Requisitioning from a marketplace (live with Staples) to ensure that the council is buying goods from the right suppliers, at the right cost with a completely paperless process.	April 2014	

<b>Strategic &amp; Operational Finance Functional Area</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
Contract Accounting	Links procurement spend to approved contracts and monitors spend against contracts	April 2014	
Due North	Provides an external hosted portal to support e-Tendering. Live since September 2013 – recent examples include tendering the new Council banking contract	September 2013	
Reporting and Analysis Suite	Reporting and MI capability used across all modules / data – automatic capture of spend analytics	April 2014	
Workflow on Reporting Output	Core workflow engine allowing business rules to be maintained / amended. Ability to track processing time on all transactional workflows (e.g. average approval times by users / department)	April 2014	
	Local Government Template workflows included		
	Custom reporting integral to the solution		
<b>ICTS Functional Area</b>	<b>Description</b>	<b>Delivered</b>	<b>Target Delivery Date</b>
BizTalk	Integration hub which minimises the impact on the source systems by allowing for the data translation to occur in the middleware solution. Over 30 interfaces developed which work across the council systems with ICT now managing the service and trained to support new requirements as a corporate solution wider than FutureWorks. Interfaces working everyday 24/7 with key systems including BACS payment runs, Revenues and Benefits Income and Care Provider Payments	April 2014	
SolarWinds Monitoring	Automatic monitoring of the availability and responsiveness of Agresso to proactively manage service issues and performance – no performance issues since day 1	April 2014	
Other systems	Development and delivery of six additional systems enabling the decommissioning of the mainframe. These systems cover a variety of invoicing and payments requirements that have now been combined within the Agresso system	April 2014 – through to June 2014	

## **Business Case – Benefit Realisation**

- 2.3 The cashable benefits (saving) target for the programme of £3.45 million is included in the Council's medium term financial strategy.
- 2.4 Additional saving targets of £400,000 in 2018/19 plus £316,000 in 2019/20 were allocated to the programme in the March 2014 budget recommendations to Council.
- 2.5 As previously reported, the most significant cashable benefits as a consequence of the programme are:

### **Reduce staff costs in line with Target Operating Model.**

2014/15 – target is £1 million recurrent savings

- This is being achieved in the main through voluntary redundancies; a significant number of in-scope posts were filled on a temporary basis over recent months in anticipation of downsizing after the new systems and processes were introduced.
- By September 2014, 34.2 FTE in-scope employees have been approved to leave on voluntary redundancy by December 2014 resulting in a full-year saving of £1.1M.

2015/16 onwards – target is a further £2.45 million recurrent savings

- The FTE reductions for Year 2 onwards will be achieved through implementation of the new target operating model based on the Hub and introduction of manager and employee self-service, resulting in cross-skilling, smaller finance and HR teams and further economies of scale.
- As reported above, draft structure proposals for the Strategic Finance and Hub teams have been prepared with a target implementation date of April 2015. The final HR team structure proposals will be dependent on successful implementation of the remaining HR and payroll elements of Agresso.

### **Reduce ICT operating costs**

Implementation of Agresso will enable a net reduction in the number of system support posts in ICT along with associated reductions in system running costs as a consequence of decommissioning mainframe systems and hardware.

- Agresso implementation means that (subject to payroll implementation going live according to plan) these benefits (£0.6M) will be realised by April 2015

### **3.0 Financial implications**

- 3.1 As reported to Cabinet on 8 December 2009, an annual revenue budget of £2.5 million was established for the replacement of the core mainframe applications. This budget was incorporated into the medium term financial strategy (MTFS) for three financial years starting in 2010/11, making a total of £7.5 million. The reserve was increased by a further £4.0 million in 2010/11.
- 3.2 After taking into account the 2011/12 and 2012/13 outturn the reserve has been reduced to £6.6 million. £1.8 million has previously been approved by Cabinet and approval for £3.5 million has been requested in the quarter one monitoring. It is important to note that the reserve was set up to cover the one off costs of the programme rather than covering the full cost of ownership over several years.
- 3.3 The expenditure for 2013/14 is £5.8 million. £3.1 million of this was capitalised. The projection for 2014/15 is £2.6 million, with the potential to capitalise £1.1 million.
- 3.4 The cost as quoted by Agilisys of £6.0 million only includes those areas in-scope as agreed during the evaluation process. Any further development/upgrades or implementation of systems that are out of scope will require a business case to establish further funding.
- 3.5 The savings that have been reported in the medium term financial strategy are £1.0 million in 2014/15 and a further £2.4 million in 2015/16; these savings will be delivered from a contribution of employee and non-employee budgets as a result of the implementation of the new system  
[DM/22092014/M]

### **4.0 Legal implications**

- 4.1 There are no adverse legal implications arising from the matters set out above, the project team will continue to receive legal advice and assistance as required.
- 4.2 The programme is partially governed by the contract between the Council and Agilisys.  
[RB/11092014/F]

### **5.0 Equalities implications**

- 5.1 The latest equality analysis was approved by the programme board on 20 March 2014.

### **6.0 Environmental Implications**

- 6.1 Bidders' environmental management & sustainability policies were assessed at PQQ stage during the procurement process to ensure that they meet the Council's minimum requirements.



- 6.2 Implementation of new technology and working practices through this programme will significantly reduce the requirement to hold paper records.
- 6.3 A key deliverable from the programme will be improved management information for decision-making. This includes information, for example, about usage of supplies and services, to enable more sustainable procurement decisions.

## 7.0 Human resources implications

- 7.1 The current number and cost of in-scope staff in the Delivery directorate are detailed in the table below:

	FTE	Cost (£)
Corporate Procurement	14.1	617,650
Human Resources	52.0	2,145,232
Occupational Health	5.0	165,694
Strategic Finance	61.3	2,491,860
New Business Support Team	6.0	331,217
New ICT Roles	2.0	113,183
Hub - including new management roles	93.3	2,480,256
Other – former Operational Finance role	1.0	70,410
<b>TOTAL</b>	<b>234.7</b>	<b>8,413,700</b>

- 7.2 Also in-scope was any of the above activities that were carried out in other directorates, in particular transaction processing, where it was concluded that they would be provided more effectively as part of the new Target Operating Model. These activities and staff numbers (3.1FTE) were quantified when planning implementation of the Hub. Hub staff are co-located in the same area of the civic centre and a new Head of Service and management team have been appointed.
- 7.3 Briefing meetings have been held with in-scope in the Delivery directorate over recent months to raise awareness of the programme and the potential implications for existing teams and roles.
- 7.4 Further consultation meetings are planned as implementation of the detailed restructure proposals that underpin the Target Operating Model commences.
- 7.5 Regular meetings are being held with the trade unions to consult on the proposals and updates are provided to the Joint Consultative Panel.

7.6 All appointments to roles will be made in line with the council's HR policies and procedures.

## **8.0 Corporate landlord implications**

8.1 There are no corporate landlord implications arising from this report

## **9.0 Schedule of background papers**

Report to Performance, Governance and Support Services Scrutiny Panel – 21 June 2012 - *Shared Services Programme Update*

Report to Cabinet (Resources) Panel – 25 July 2012 - *Shared Services Transformation Programme*

Report to Cabinet (Resources) Panel – 11 September 2012 - *Shared Services Transformation Programme*

Report to Cabinet – 14 November 2012 - *Shared Services Transformation Programme*

Report to Performance, Governance and Support Services Scrutiny Panel – 24 January 2013 - *Shared Services Programme Update*

Report to Cabinet (Resources) Panel – 3 April 2013 and Cabinet 10 April 2013 - *Shared Services Transformation – Contract Award*

Report to Cabinet (Resources) Panel – 3 April 2013 and Cabinet 10 April 2013 - *Shared Services Transformation – Full (Outline) Business Case*

Report to Cabinet (Resources) Panel – 21 May 2013 and Cabinet 22 May 2013 - *FutureWorks Programme – Governance Arrangements*

Report to Confident, Capable Council Scrutiny Panel – 18 July 2013 - *FutureWorks Programme – Progress Update and Final Business Case*

Report to Cabinet (Resources) Panel – 23 July 2013 and Cabinet 24 July 2013 - *FutureWorks Programme – Progress Update and Final Business Case*

Report to Confident, Capable Council Scrutiny Panel – 5 September 2013 - *FutureWorks Programme – Progress Update and Target Operating Model*

Report to Cabinet (Resources) Panel – 11 September 2013 - *FutureWorks Programme – Progress Update and Target Operating Model*

Report to Confident, Capable Council Scrutiny Panel – 10 October 2013 - *FutureWorks – Training Strategy*

This report is PUBLIC  
[NOT PROTECTIVELY MARKED]

Report to Confident, Capable Council Scrutiny Panel – 7 January 2014 - *FutureWorks Update Report*

Report to Confident, Capable Council Scrutiny Panel – 17 April 2014 - *FutureWorks Update Report*

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# Confident Capable Council Scrutiny Panel

1 October 2014

<b>Report title</b>	Terms of Reference and Nominations for Specific Reserves Working Group	
<b>Cabinet member with lead responsibility</b>	Councillor Andrew Johnson Resources	
<b>Wards affected</b>	All	
<b>Accountable director</b>	Keith Ireland, Delivery	
<b>Originating service</b>	Delivery	
<b>Accountable employee(s)</b>	Nick Alderman Tel Email	Chief Accountant 01902 55(2368) nick.alderman@wolverhampton.gov.uk
<b>Report to be/has been considered by</b>		

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## Recommendation(s) for action or decision:

The Panel is recommended to:

1. Approve the terms of reference for the specific reserves working group.
2. Accept nominations for and approve the membership of the specific reserves working group.

## **1.0 Purpose**

- 1.1 The purpose of the report is to establish the terms of reference for a working group to review the Council's specific reserves and to agree the membership of the working group.

## **2.0 Background**

- 2.1 Specific reserves are made up of revenue resources which have been voluntarily set aside by the Council in previous financial years in order to fund specific items of expenditure in the future.
- 2.2 Under the Council's financial procedure rules, the establishment or dissolution of specific reserves requires the approval of the Cabinet. Use of specific reserves requires the approval of the Cabinet (Resources) Panel. Specific reserves must also be reviewed for relevance and adequacy at least twice per financial year, as part of the outturn and budget preparation processes.
- 2.3 These reserves are currently being reviewed as part of the 2015/16 budget process. As in previous years, it is proposed that a specific reserves working group is established to scrutinise the reserves and seek the views and observations of members of the working group as to the appropriateness of the specific reserves that are held by the Council. It is proposed that this working group meet in December in order that any comments can be considered for the final 2015/16 budget report.

## **3.0 Specific Reserves Working Group.**

- 3.1 The proposed terms of reference are provided at appendix 1
- 3.2 The Panel is requested to make nominations for the specific reserves working group and agree the membership of the group.

## **4.0 Financial implications**

- 4.1 There are no direct financial implications arising from this report although the establishment of the working group contributes to the financial transparency and governance of the council.  
[NA/22092014/D]

## **5.0 Legal implications**

- 5.1 Section 151 of the Local Government Act 1972 requires local authorities to make arrangements for the proper administration of their financial affairs.  
[RB/23092014/Y]

**6.0 Equalities implications**

6.1 There are no direct equalities implications arising from this report.

**7.0 Environmental implications**

7.1 This report has no direct implications for the council's environmental policies.

**8.0 Human resources implications**

8.1 There are no direct Human Resources implications

**9.0 Schedule of background papers**

9.1 None

## **Specific Reserves Working Group Terms of Reference**

### **1. Background**

- 1.1 A specific reserve is an amount of money set aside voluntarily by the Council to fund or partially-fund future expenditure plans on a specific project or item. Under the Council's financial procedure rules, the establishment or dissolution of specific reserves requires the approval of the Cabinet. Use of specific reserves requires the approval of the Cabinet (Resources) Panel. Specific reserves must also be reviewed for relevance and adequacy at least twice per financial year, as part of the outturn and budget preparation processes.

### **2. Terms of Reference**

- 2.1 To receive a detailed report on specific reserves.
- 2.2 To review and scrutinise the balances and movements of the council's specific reserves to ensure that they are appropriately established and required.
- 2.3 To make recommendation or comment to Cabinet on matters arising from the review and scrutiny of specific reserves.





# Confident Capable Council Scrutiny Panel

1 October 2014

<b>Report title</b>	Annual Complaints Report	
<b>Cabinet member with lead responsibility</b>	Councillor John Reynolds Central services	
<b>Wards affected</b>	All	
<b>Accountable director</b>	Keith Ireland, Delivery	
<b>Originating service</b>	Customer Services	
<b>Accountable employee(s)</b>	Lamour Gayle Tel Email	Complaints Manager 01902 55(1901) Lamour.gayle2@wolverhampton.gov.uk
<b>Report to be/has been considered by</b>	Strategic Executive Board	18 September 2014

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## Recommendation(s) for action or decision:

The Panel is recommended to:

1. Discuss and provide comment on the findings of the report.

## **1.0 Purpose**

- 1.1 The purpose of this report is to provide a summary of the Complaints, Compliments and Local Government Enquiries received by the Council during the period April 2013 – March 2014.
- 1.2 Complaints, Compliments and Ombudsman Enquiries are considered as a form of customer feedback. They are recorded and monitored by Customer Services Corporate Complaints Team within the Delivery Directorate. Monitoring customer feedback provides details about the types of complaints that are received by the authority, and highlights any improvements or amendments made to service provision or delivery.

## **2.0 Complaints**

- 2.1 During 2013-2014, the Council received 326 corporate complaints; complaints are assessed as to whether they are justified or not by the Complaints Manager. Of the complaints received during this period, ten were upheld (3%). Waste Management accounted for the highest number of upheld complaints (6). Their upheld complaints related to customer service, bins not being completely emptied, one related to the customers' bin being used to transport bulky waste items and one related to clothes that had been incorrectly placed in the recycling bin, removed and placed on to the customer's front garden. Details of all complaints received are attached to this report at Appendix 1.
- 2.2 Parking Services, Street Scene and Revenues and Benefits received one upheld complaint each.
- 2.3 There were no trends or concerns identified from the upheld complaints. As a result of continuous monitoring with service managers the issues that have been identified from the upheld complaints have been addressed and remedied by apologising to the customers and informing them of the improvements that have been made.
- 2.4 Revenues and Benefits received the highest number of complaints (69), followed by Waste Management (46) and Street Scene Services (38)
- 2.5 The Performance Indicator for stage one complaints responded to within 21 calendar days is 90%. Response timescales are monitored on a monthly basis, for this year, on average 94% of our complaints were responded to within timescale (Fig 2).
- 2.6 Reminders in respect of response timescales are sent to investigating officers by the complaints team on a weekly basis; the complaints team also provides support to investigating officers to ensure that they meet deadlines by making contact with them by email and phone regarding deadlines and ensuring that customers are kept updated when delays are unavoidable.
- 2.7 The Council have achieved our target of responding to 90% of our complaints within 21 days.

- 2.8 Revenues and Benefits and Waste Management dealt with the highest number of complaints, however they completed investigations into their complaints within an average 14 days. This has contributed significantly to achieving an average overall response timescale of 14 days for this year.
- 2.9 There has been a noted improvement to our response timescales during Quarter 4 where we have achieved 100% for January, February and March.

### **3.0 Stage 2 complaints**

- 3.1 During 2013/14, 10% (31) of the stage one complaints progressed to stage two of the Complaints procedure. Two of the stage 2 complaints were upheld, these related to overgrown hedges causing damage to fencing and an operational finance issue.
- 3.2 A report was issued by the Complaints Manager regarding the complaint about Operational Finance. All recommendations from the report were agreed.
- 3.3 There were no further issues or concerns with the complaints that progressed to stage two.

### **4.0 Local Government Ombudsman enquiries**

- 4.1 During 2013/14 the Council received 41 enquiries from the Local Government Ombudsman (LGO). Six enquiries were received for Communities, six enquiries were received for Wolverhampton Homes, eight enquiries were received for Education and Enterprise and 21 enquiries were received for Delivery.
- 4.2 With regards to the enquiries for Communities, the Council received four enquiries about Social Care, one enquiry about Housing Options and one enquiry about Adult Education Services (AES). The LGO decided to discontinue their investigation regarding Housing Options and not to investigate the enquiry relating to AES.
- 4.3 With regards to the enquiries about Social Care, there was one complaint where the Ombudsman decided that there was maladministration and made recommendations for improvement. The recommendations related to complaint handling and timescales for arranging Disruption Meetings. This case is still open and an update will be provided within the Quarter 1 report (Apr – June 2014). Investigations into the three further complaints relating to Social Care were recorded by the LGO as, 'not in jurisdiction' and 'not investigated'.
- 4.4 Since April 2013, Ombudsman enquiries about the Council's Arm's Length Management Organisations (ALMO's) have been managed by the Housing Ombudsman.
- 4.5 For the period 2013/14, the Council has received six enquiries from the Ombudsman about Wolverhampton Homes. The enquiries related to delays in carrying out repairs, anti-social behaviour, fencing and fire damage to a property. The outcomes for these complaints were recorded by the Ombudsman as, 'satisfied with the Council's actions' and 'not in jurisdiction'. We are still awaiting the outcome of the enquiry relating to fire

damage to property, an update about this case will be provided in the Quarter 1 report for 2014/15.

- 4.6 Education and Enterprise received an enquiry about the Special Education Needs team. The LGO found a historical fault going back to 2009 in the Council's placement and appeal processes. As a remedy, the Council agreed with the LGO recommendations to pay the complainant £1500 and to apologise to the complainant for the mistake.

## 5.0 LGO Annual Review letter

The Ombudsman has published complaint statistics for each Local Authority for the period 2013/14. The statistics includes data for each English local authority. In relation to the percentage of complaints upheld, The Council has performed extremely well. See chart below to show comparison with neighbouring authorities.

Authority	Advice given	Closed after initial enquiries	Incomplete/invalid	Referred back for local resolution	Upheld	Not upheld	% upheld*	Total
Dudley MBC	4	25	1	38	3	16	15.8%	87
Birmingham City C	52	131	22	254	82	43	65.6%	584
Coventry City C	1	25	9	56	10	9	52.6%	110
Sandwell MBC	12	32	3	61	20	10	66.7%	138
Shropshire Council	0	28	2	44	19	12	61.3%	105
Telford & Wrekin BC	3	11	4	14	3	7	30.0%	42
Walsall MBC	2	14	3	28	9	17	34.6%	73
Wolverhampton City Council	8	27	1	32	5	23	17.9%	96

- 5.1 There is also a significant improvement in the average number of days that we take to respond to LGO enquiries. During 2011/12 the average number of days taken to respond to LGO enquiries was 45.9 days. For the period 2013/14 the average number of days taken to respond to LGO enquiries was 10.4 days.
- 5.2 The LGO did not produce a report for 2012/13 due to changes they were undergoing, therefore for the purpose of this report a comparison has been made with response timescales from 2011/12.

## 6.0 Compliments

- 6.1 For the period 2013/14 the Council received 26 compliments. The Local Discretionary Grants team accounted for the highest number of compliments received (seven) followed by Central Services (five). The compliments were regarding customer service delivery.

## 7.0 Monitoring Information

- 7.1 The Complaints team have worked jointly with the Policy team to improve the complaints recording database. As a direct result of the improvements that have been made to the database we have been able to collect valuable data that will provide us with customer insight that will assist us with tailoring our services to needs of Wolverhampton residents.
- 7.2 Please see Appendix 1 for customer profiling information. There are no concerns with the data analysis as there is no evidence of any groups being disproportionately affected.

## 8.0 Customer Satisfaction

- 8.1 All complainants were given the opportunity to take part in a customer satisfaction survey regarding the experience that they had been through when complaining to the Council. 68 complainants took part in the survey which equates to 21% response rate; the results were as follows;
- 99% of people surveyed said they were aware of the acknowledgement timescale (four calendar days)
  - 84% of people surveyed said they were aware that there are two stages to the complaints procedure
  - 100% of the people surveyed said that they were aware of the complaint response timescale.

## 9.0 Service Improvements

- 9.1 The Complaints Team produce service improvement reports for upheld complaints where the recommendations are for a change to policy or service delivery. The recommendations are agreed with Heads of Service shared with the relevant Assistant Director, Strategic Director and Chief Executive.
- 9.2 The production of Service Improvement reports commenced in January 2014. To date the Complaints Team has issued two reports recommending service improvements which have been agreed and implemented:

### **Report One:**

This related to a complaint that had not been thoroughly investigated at stage 1. Recommendations agreed included ensuring that employees record all incidents of threats of violence on ICASS or IR1 forms and that witness statements are recorded at the earliest opportunity to prevent inaccurate accounts.

### **Report Two:**

This related to a complaint received from the LGO about the Council's Adoption Support Process. The LGO made four recommendations for improvement. The improvements have been agreed and will be monitored over the next 12 months.

## 10.0 Corporate complaint handling improvements

- 10.1 The corporate complaints procedure was reviewed in 2013 to improve the handling of complaints. One of the improvements made to the procedure was to reduce the response timescale from 28 calendar days to 21 calendar days. For the period 2013/14 the average time taken to respond to complaints was 14 calendar days.
- 10.2 Prior to 2013, complaints were sent to recording officers for each directorate by the Complaints team for allocation to an investigating officer. Currently, all corporate complaints with the exception of those received for the Community Directorate are allocated directly to the investigating officer by the Complaints Team. The Complaints team are now able to effectively and actively monitor timescales and provide support to investigating officers to ensure that complaints are responded to within the timescale. This has resulted in a significant improvement to complaint response timescale. For the period 2013/14, we responded to 94% of complaints within timescale, for the period 2012/13, we responded to 89% of complaints within timescale.
- 10.3 Customer Services will work with Communities to review complaints handling within their directorate and support centralisation of functions that are a “best fit” where appropriate. Response timescales for complaints are also being reviewed; it is anticipated that centralisation of all corporate complaints will enable a more efficient service with shorter response times to be delivered to our customers.
- 10.4 Further improvements to complaint handling include the following:
- Establishment of an officer Service Improvement group to regularly review complaint trend and concerns.
  - Establishment of a Customer Focus group to ensure that improvements as a result of complaints are customer driven.
  - Benchmarking with neighbouring authorities for customer satisfaction with regards to complaint handling
  - The Regulators’ Code came into statutory effect on 6 April 2014 under the Legislative and Regulatory Reform Act 2006, replacing the Regulators’ Compliance Code. It provides a clear, flexible and principles-based framework for how regulators should engage with those they regulate.

The code states that regulators should publish, on a regular basis, details of their performance against their service standards, including feedback received from those they regulate, such as customer satisfaction surveys, and data relating to complaints about them and appeals against their decisions.

As a result of this a review of commissioned services is currently being undertaken to ensure that their complaints procedures are robust and monitoring information is shared with the Council.

## **11.0 Financial implications**

11.1 There are no financial implications associated with this report  
[CH/22092014/A]

## **12.0 Legal implications**

12.1 There are no legal implications associated with this report.  
[Legal Code: TS/19092014/G]

## **13.0 Equalities implications**

13.1 For the period 2013-14 the Council did not receive enough equality information to produce meaningful data. The majority of complaints are received via our online E-forms. As an improvement and to enable us to effectively collect and monitor this data, equality information collection is now included on the E-form (see appendix 1).

13.2 There is no evidence that the complainant gender is especially disproportionate when compared to the city's gender split

## **14.0 Environmental implications**

14.1 There are no environmental implications associated with this report.

## **15.0 Human resources implications**

15.1 There are no Human resource implications associated with this report.

## **16.0 Corporate landlord implications**

16.1 There are no Corporate Landlord implications associated with this report.

## **17.0 Schedule of background papers**

17.1 Customer Feedback report 2013-2014  
Customer Insight report 2013-2014

Appendix 1

**Customer Insight Report 1**

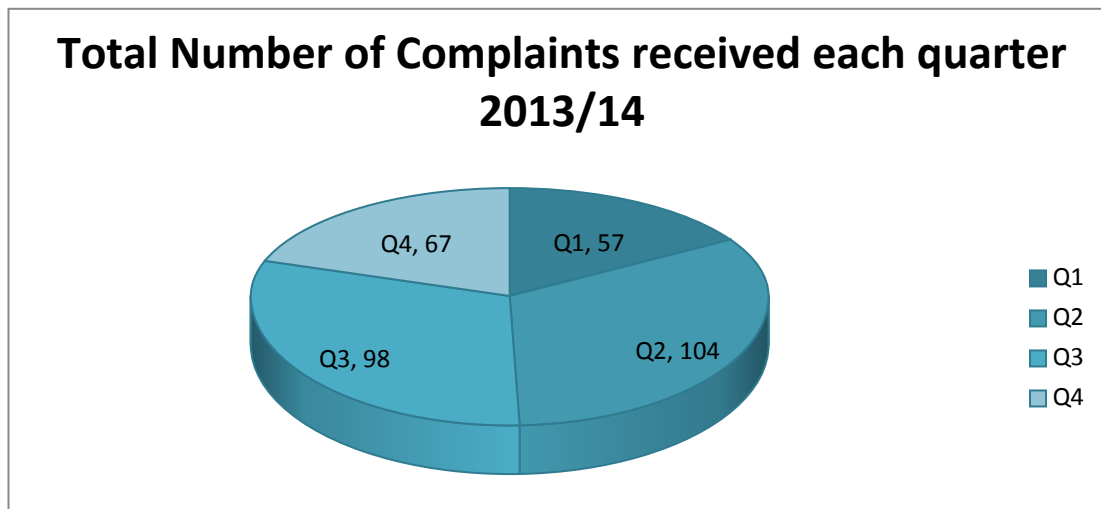
**April 2013 – March 2014**

Stage 1 complaints 2013/14						
Service Group	Q1	Q2	Q3	Q4	Total	Upheld
Adult Education	1	3	0	0	4	0
Business Relationship (Legal)	0	1	1	1	3	0
City Direct	2	4	4	6	16	0
Civic Halls and Outdoor Events	0	2	2	1	5	0
Commissioning - Older People	0	1	1	0	2	0
Development and Building Control	1	1	1	0	3	0
Employee Relations	1	1	0	0	2	0
Environmental Health, Trading Standards and Licensing	0	2	2	2	6	0
Facilities Management	0	2	0	0	2	0
Housing Support	1	7	7	4	19	0
Operational Finance	3	3	3	1	10	0
Parking Services	2	3	3	7	15	1
Parks & Open Spaces	4	0	0	0	4	0
School admissions	0	3	3	4	10	0
Public Protection	1	3	3	2	9	0
Revenues and Benefits	17	18	18	16	69	2
Leisure Centres	0	5	5	3	13	0
Strategic Planning, Housing Policy and Sustainability	1	0	0	0	1	0
Street Scene Services	5	16	16	1	38	1
Waste Management	12	12	12	10	46	6
Libraries	1	0	0	1	2	0
Bereavement Services	0	2	2	2	6	0
Fleet Services	0	1	1	0	2	0
Regeneration	0	3	3	0	6	0
Transportation Strategy & Development	2	4	4	0	10	0
Property Management	0	1	1	0	2	0
Chief Executive's Office	0	1	1	0	2	0
Older People Assessment & Care Management	1	0	0	0	1	0
Private Sector Housing and Housing Intervention	0	1	1	0	2	0
Parks	0	1	1	0	2	0
Elections	0	1	1	0	2	0
Resourcing (HR)	0	1	1	0	2	0
Market Service	0	1	1	0	2	0
Public Realm Services	0	0	0	2	2	0
Highways Operations	2	0	0	1	3	0
Planning	0	0	0	1	1	0
Children's Safeguarding	0	0	0	1	1	0



Democratic Services / Members Services	0	0	0	1	1	0
Catering & Cleaning Services	0	0	0	0	0	0
Debt Management - Finance	0	0	0	0	0	0
Strategic Financial Services	0	0	0	0	0	0
Licensing	0	0	0	0	0	0
The Hub	0	0	0	0	0	0
<b>Total</b>	<b>57</b>	<b>104</b>	<b>98</b>	<b>67</b>	<b>326</b>	<b>10</b>

Fig 1



Number of complaints received for each Directorate 2013/2014					
	OCE	Delivery	Community	E&E	Total
<b>Q1</b>	0	42	3	12	<b>57</b>
<b>Q2</b>	0	70	13	21	<b>104</b>
<b>Q3</b>	1	67	11	19	<b>98</b>
<b>Q4</b>	0	51	6	10	<b>67</b>
<b>Total</b>	<b>1</b>	<b>230</b>	<b>33</b>	<b>62</b>	<b>326</b>

### Percentage of complaints responded to within timescale 2013/14

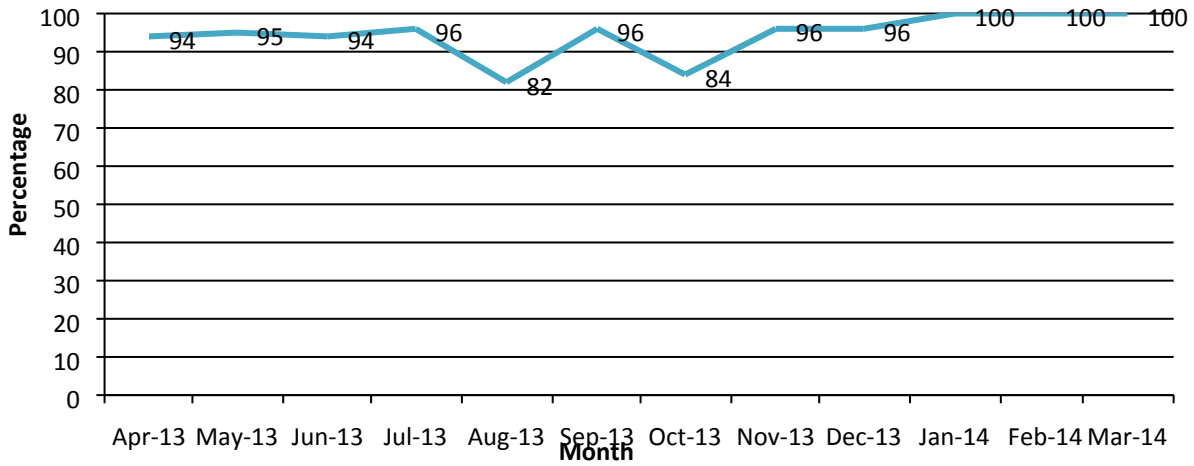
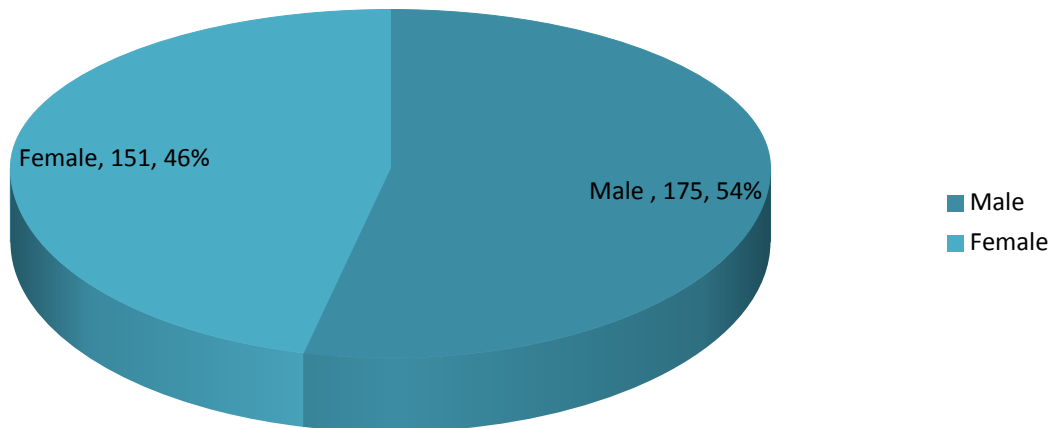
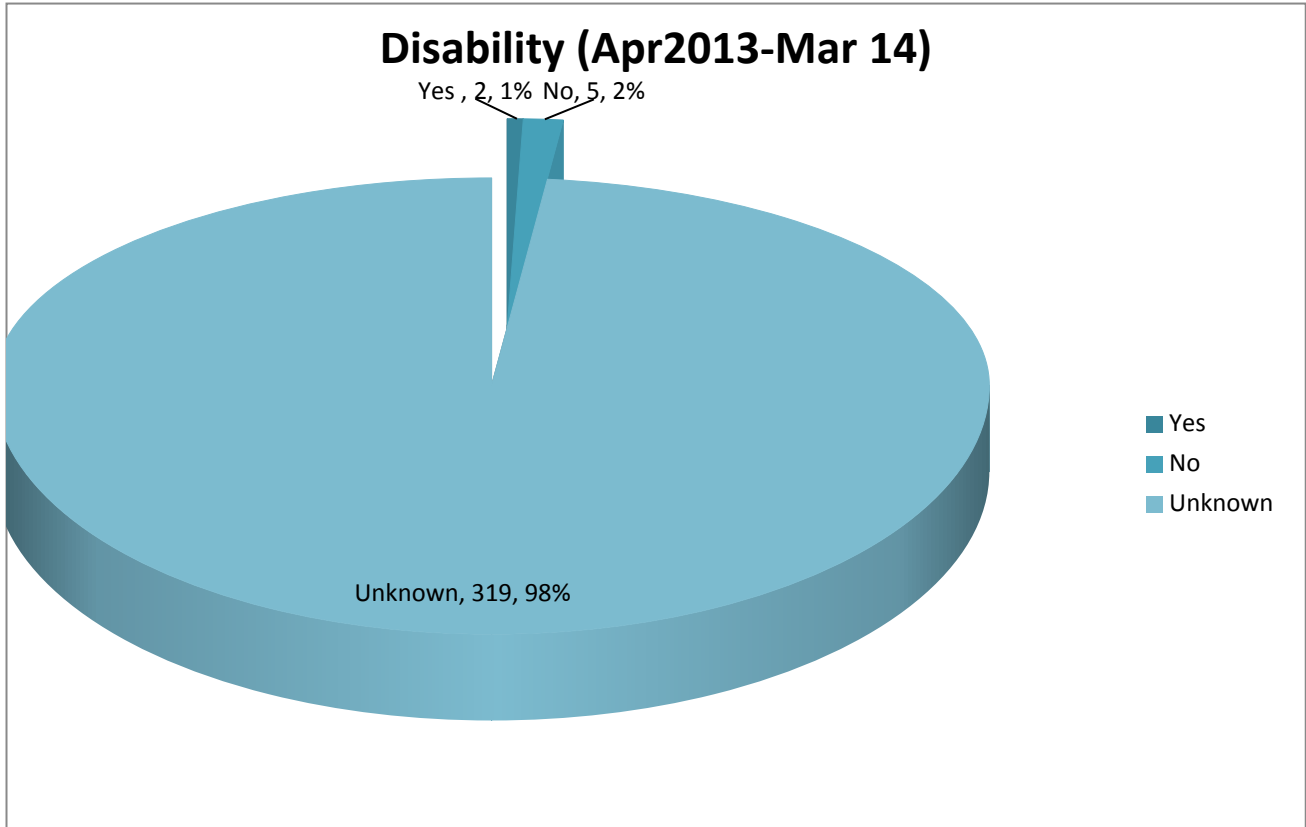


Fig 2

### Equality information

#### Complainant Gender (Apr 13 - Mar 14)

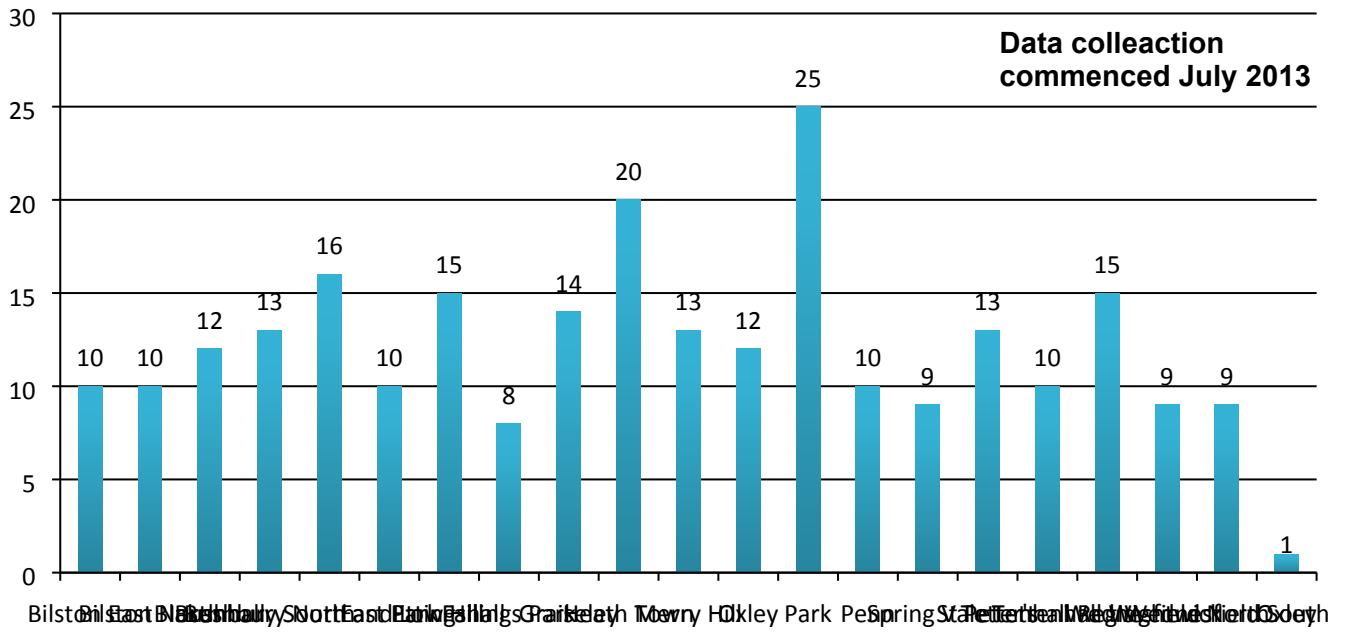




Age					
16-24	25-34	35-44	45-54	75+	Unknown
1	4	5	3	3	310

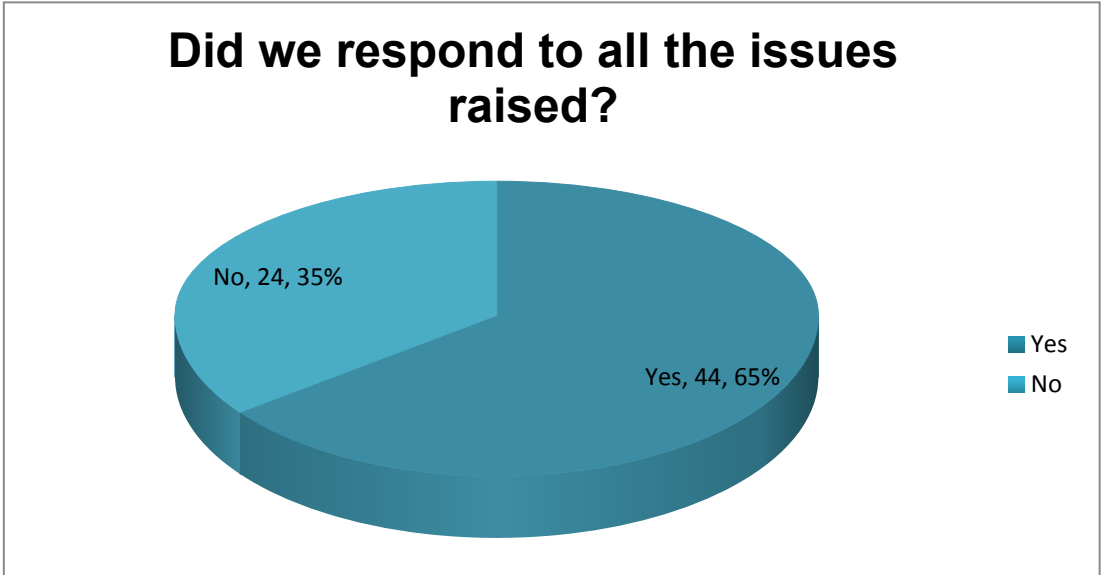
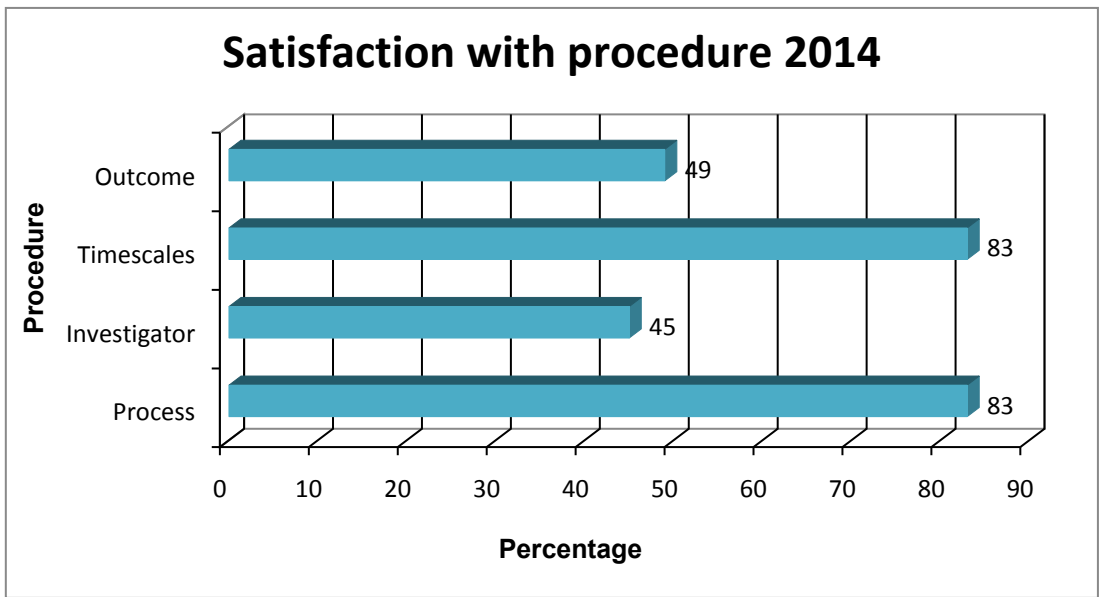
Ethnicity			
White British	Black Caribbean	Asian Indian	Unknown
5	2	2	317

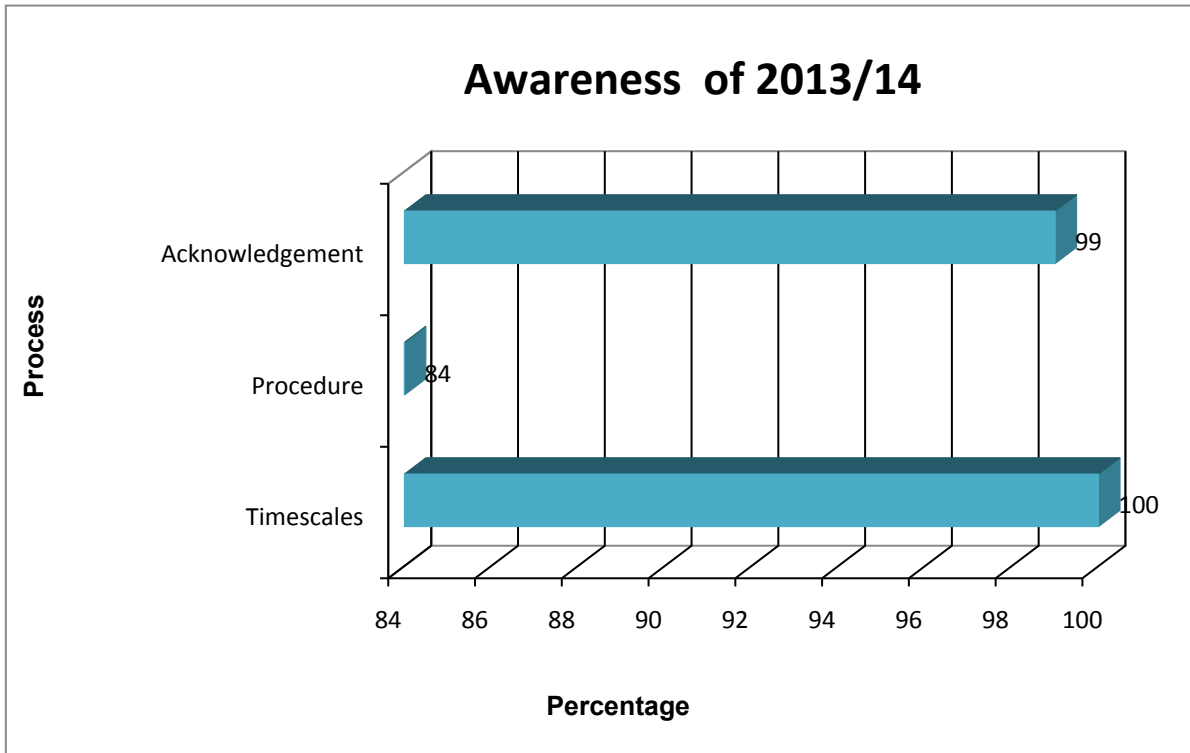
### Complaints received per ward July 13-March 14



### Customer Satisfaction

68 of the complainants responded to the customer satisfaction survey about the complaints procedure and process. This equates to a response rate of 21%.





Awareness of process		
	Yes	No
Timescale	68	0
Procedure	57	11
Acknowledgement	67	1

- 99% of people surveyed said they were aware of the acknowledgement timescale (4 calendar days)
- 84% of people surveyed said they were aware that there are 2 stages to the complaints procedure
- 100% of the people surveyed said that they were aware of the complaint response timescale.

### Customer Satisfaction Equality data

Gender	
Male	38
Female	30

Disability	
Yes	5
No	63

Age						
18-25	26-35	36-45	46-55	56-65	66+	Unknown
0	14	29	8	17	0	0

Ethnicity	
White British	53
White Irish	7
*AO White background	0
*MW & BC	1
MW & Asian	0
AO Mixed background	0
Asian or Asian British	3
Indian	0
Pakistani	0
Bangladeshi	0
AO Asian background	0
Black / Black British	4
Caribbean	0
African	0
AO Black background	0
Chinese	0
AO Ethnic Group	0
Prefer not to say	0

\***AO** Any Other

\***MW** Mixed White

\***BC** Black Caribbean

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