

## Shadow Authority for Cumberland Council

**To: The Chair and Members of the  
Shadow Scrutiny Committee**

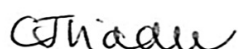
Dear Member

### **SHADOW SCRUTINY COMMITTEE**

A meeting of the Shadow Scrutiny Committee will be held as follows:

**Date: Wednesday, 22 March 2023**  
**Time 10.30 am**  
**Place: Conference Room A/B, Cumbria House, Botchergate,  
Carlisle, CA1 1RD.**

Yours sincerely



**Clare Liddle**  
**Monitoring Officer**  
**Shadow Authority for Cumberland Council**

**\*\*\* A pre-briefing for Members will take place 30 minutes before the  
start of the meeting. \*\*\***

Enquiries and requests for supporting papers to: Lorraine Davis  
Direct Line: 07929 164805  
Email: Lorraine.davis@cumbria.gov.uk

## **MEMBERSHIP**

Cllr T Allison  
Cllr R Betton  
Cllr Dr H Davison  
Cllr M Eldon  
Cllr J Ghayouba  
Cllr J Grisdale  
Cllr M Hawkins (Chair)

Cllr L Jones-Bulman  
Cllr J Mallinson  
Cllr L Patrick  
Cll S Pollen  
Cllr A Pratt (Vice-Chair)  
Cllr G Troughton  
Cllr H Tucker

## **ACCESS TO INFORMATION**

### **Agenda and Reports**

Copies of the agenda and Part A reports are available for members of the public to inspect prior to the meeting. Copies will also be available at the meeting.

The agenda and Part A reports are also available on the Cumberland Council website <https://www.cumberland.gov.uk/>

# **AGENDA**

## **PART A: ITEMS TO BE CONSIDERED IN THE PRESENCE OF THE PRESS AND PUBLIC**

### **1. APOLOGIES FOR ABSENCE**

To receive any apologies for absence and notifications of substitutions.

### **2. DECLARATIONS OF INTEREST**

To receive declarations by Members and/or co-optees of disclosable pecuniary interests, other registrable interests and any other interests in respect of items on this agenda.

### **3. EXCLUSION OF PRESS AND PUBLIC**

To consider whether the press and public should be excluded from the meeting during consideration of any items of business on the agenda.

### **4. MINUTES OF PREVIOUS MEETINGS (PAGES 5 - 16)**

To receive the minutes of the meetings of the Shadow Scrutiny Meetings held on 1 and 15 February 2023 (copies enclosed).

### **5. SCRUTINY ANNUAL REPORT (PAGES 17 - 24)**

To consider a report by the Scrutiny Officers (copy enclosed).

### **6. SCRUTINY OVERVIEW AND WORK PLAN REPORT (PAGES 25 - 30)**

The Scrutiny Officers to provide an overview of matters related to the Committee's work, including the current version of the Scrutiny Work Programme.

### **7. LOCAL GOVERNMENT REORGANISATION PROGRAMME TRANSITION (PAGES 31 - 44)**

The LGR Programme Director to submit an update on the Programme in place to support Local Government Reorganisation in Cumbria.

### **8. DATE AND TIME OF NEXT MEETING**

To note that this is the last meeting of the Shadow Scrutiny Committee.



## **CUMBERLAND SHADOW SCRUTINY COMMITTEE**

Minutes of a Meeting of the Shadow Scrutiny Committee held on Wednesday, 1 February 2023 at 10.30 am at Council Chamber, Allerdale House, Workington, CA14 3YJ

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### **PRESENT:**

Cllr T Allison  
Cllr J Ghayouba  
Cllr J Gridale  
Cllr M Hawkins (Chair)  
Cllr L Jones-Bulman  
Cllr J Mallinson  
Cllr L Patrick  
Cllr S Pollen  
Cllr S Stoddart

Also present Councillor Lisa Brown (Deputy Leader Statutory) Portfolio Holder for Governance and Thriving Communities

### **Officers in attendance:**

Ms H Younger	LGR Programme Manager (Cumbria County Council)
Ms A Madden	HR/OD (Cumbria County Council)
Mr P Robinson	AD Organisational Change (Cumbria County Council)
Mr I Smith	ICT Security Manager (Cumbria County Council)
Mr J Rasbash	Policy and Scrutiny Officer (Cumbria County Council)
Ms R Jones	Policy and Scrutiny Officer Carlisle City Council)
Ms G Roach	Democratic Services Officer (Allerdale Borough Council)

## **PART 1 ITEMS CONSIDERED IN THE PRESENCE OF THE PUBLIC AND PRESS**

### **24. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Betton, Davison, Eldon, Troughton and Tucker.

### **25. DECLARATIONS OF INTEREST**

There were no Declarations of Interest received.

### **26. EXCLUSION OF PRESS AND PUBLIC**

RESOLVED that the press and public not be excluded from the meeting for any items of business on the agenda.

### **27. MINUTES OF PREVIOUS MEETINGS**

RESOLVED that the minutes of the meeting held on 21 December 2022 be confirmed as a correct record.

It was noted that the draft Calendar of Meetings as referenced in Minute Number 22 would be circulated to members as soon as it was available.

### **28. SCRUTINY OVERVIEW AND WORK PLAN REPORT**

The Scrutiny Officers provided the Committee with an overview of matters related to the Committees work, along with the current version of the Scrutiny Work Programme.

The Committee considered and noted the current Forward Plan of Key Decisions.

With regards to the Draft Budget 2023/24 it was noted that discussions were taking place with the Finance team around the budget setting timetable with a view to hopefully arranging a Scrutiny consultation session before the draft budget went before the Council for approval. If a session was looking possible the group would be contacted by Democratic Services for their availability in the coming days. Members expressed the importance of Scrutiny's involvement in the draft budget setting process and suggested a Teams session may assist if timescales were to be tight.

Members then discussed the information provided on the cost of living crisis as requested at a previous meeting.

Making reference to the Cost of Living motion approved at the full Council meeting on 11 October 2022, detailed on page 24 of the report, one member highlighted the importance of the motion for the sake of supporting the local communities and expressed it would require support from both the Scrutiny Committee and Executive.

Councillor M Hawkins proposed a motion to request that the Executive update the Scrutiny Committee on the plans to address the cost of living crisis and how they intend to support what was already taking place and available.

This was seconded by Councillor S Pollen. The motion was agreed.

RESOLVED That:

- a) The items on the most recent Forward Plan of Key Decisions be noted;
- b) The update on Scrutiny Arrangements for Cumberland Council be noted;
- c) The current Work Programme, work planning activity and comment on the programme, in particular on items for the next Committee meeting be noted;
- d) The update report on Scrutiny activity undertaken by Sovereign Councils on the Cost of Living Crisis and wider activity being undertaken to address the Cost of Living Crisis be noted;
- e) The Executive update the Scrutiny Committee on the plans to address the cost of living crisis and how they intend to support what was already taking place and available.

**Councillors J Mallinson and T Allison joined the meeting**

## **29. LOCAL GOVERNMENT RE-ORGANISATION PROGRAMME UPDATE**

The LGR Programme Manager provided the Committee with an overview of the report and highlighted the main points to note.

Now 48.6% of the programmes milestones had now been fully completed, equating to 648 milestones, with 29 of the 227 Day 1 Requirements fulfilled and 34 near completion.

The Chief Officer and Assistant Director roles and structures were now complete and recruitment was well underway.

From the staff allocation process only 192 roles out of near 8,000 were remaining of the more complex cases.

From the list of 20 key milestones detailed in the attached Programme Dashboard, 14 had now been completed and 6 were in progress, those being Numbers 4, 9, 10, 11, 12 and 20.

An update was also provided on the Key Strategic Risks.

One member said that generally the update report had been very reassuring however asked for an opinion on what the three most important outstanding issues were causing the most concern for officers. The LGR Programme Manger offered in their opinion those were probably to be ICT, that area was to be covered in more detail later in the meeting, staffing issues and the budget, in that it all must be managed appropriately.

One member asked whether it was likely that much work for the new Cumberland Council could be undertaken in Year 1 or would time still be required dealing with legacy issues. The Portfolio Holder for Governance and Thriving Communities explained that it was likely to be a mixture, some areas would take many years to be fully transitioned and it would be the job of the Executive and Scrutiny to identify where they could begin to put their own stamp.

It was suggested it may be worthwhile for a piece of work to be carried out to compile a list of all legacy projects that may hang over from Day 1, which Scrutiny could monitor. The LGR Manager agreed to look in to whether that would be possible to undertake.

With regards to the Highways Information Asset Management System and the use of a 'Hotline' one member pointed out that it was generally a big issue for councillors and asked whether the service transition would be seamless. It was explained that there were to be two golden telephone numbers, one for each new authority customer services and the calls would be directed accordingly.

The Committee then received a verbal update on the HR and OD activities related to LGR.

The current priorities were highlighted to members as follows;

- Reviewing staff allocations against budget
- Completion of the remaining 192
- Agency workers – understanding the rights and how they fit in
- Development and principles
- Finalising the TUPE letter templates
- Design of HR Policies and Procedures for Day 1 onwards

Of the TUPE process, 97% of staff had been allocated. Staff were to receive their TUPE confirmation letter by the end of February and in March HR were to share the employee liability information to the new Head of Paid Service.

A Day 1 recruitment process was now in place for new roles, jobs, candidates and a HR delivery approach agreed. A core essential training programme had also been developed and agreed.

Members made the comment that the hope was to recruit and employ in house and avoid redundancies etc as opposed to using agency staff. The HR Manger confirmed that was the intention.

[The Committee took a ten minute break and the meeting resumed at 12.04pm]



The AD Organisational Change, Cumbria County Council provided an overview of the ICT continued progress.

Due to many recurring budget pressures in relation to the ICT the budget position had been reprofiled accordingly and factored in the Medium Term Financial Plan for members to consider with the budget, the main commitment being getting everything over the line in time for Day 1.

Lots of work was happening behind the scenes with regards to emails, with group emails generating more complex scenarios needing to be addressed, either through migrating emails or creating new ones.

A lot of work was also required around Microsoft licensing.

A number of member specific questions were raised around such as council provided equipment and access to legacy accounts. It was explained that a session would be arranged specifically for members to explain everything and provide an opportunity for questions.

The Committee then received a presentation on Cyber Security from ICT Security Manager from Cumbria County Council which covered the National Cyber Security Centre 10 steps to cyber security.

One member commented that training was going to be crucial going forward to assist with maintaining security and asked what the plans were for training elected members. The ICT Security Manager explained that due to the risks involved cyber security training was going to be mandatory with regular refreshers for all.

Members asked whether there would be an option to purchase old currently owned IT equipment and it was explained that wasn't going to be an option due to the risks but it was also commented that, once equipment had been cleaned and all Council related things removed the equipment wasn't then worth anything to the user.

It was noted that the Scrutiny Committee had a real opportunity to continue the scrutiny of cyber security by for example regular consideration of risk registers and assurances to ensure it remains a priority.

One member enquired as to whether old/currently owned printers could be purchased by members. The ICT managers agreed to take the request away to consider and debate and an answer would be provided in due course.

RESOLVED That:

- a) The report details and key points included within section 3 of the report be noted;
- b) It be considered whether it's possible to compile a list of all legacy projects that may hang over from Day 1, for Scrutiny to monitor;
- c) The update presentations provided on HR/OD, ICT and Cyber Security be noted;
- d) A decision be made on whether old/currently owned printers may be purchased by members.

**30. DATE AND TIME OF NEXT MEETING**

It was noted that the next meeting of the Committee would be held on 22 March 2023 at 10.30 am at Cumbria House, Carlisle.

The meeting ended at 1.16 pm

# Public Document Pack

## CUMBERLAND SHADOW SCRUTINY COMMITTEE

Minutes of a Meeting of the Shadow Scrutiny Committee held on Wednesday, 15 February 2023 at 4.00 pm at Council Chamber, Allerdale House, Workington

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### **PRESENT:**

Cllr A Pratt (Chair)  
Cllr T Allison  
Cllr Dr H Davison  
Cllr J Forster, substituting for Cllr M Eldon  
Cllr A Glendinning, substituting for Cllr L Jones-Bulman  
Cllr J Ghayouba  
Cllr J Gridale  
Cllr J Mallinson  
Cllr C McCarron-Holmes, substituting for Cllr L Patrick  
Cllr S Pollen  
Cllr G Troughton  
Cllr H Tucker

### **Officers in attendance:**

Mr A Seekings	-	Chief Executive for Cumberland Council
Ms C Nicholson	-	Section 151 Officer for Cumberland Council
Ms C Liddle	-	Monitoring Officer for Cumberland Council
Mr W Johnston	-	Group Finance Manager (Cumbria County Council)
Mr A Gilbert	-	Strategic Advisor, Communications & Marketing (Allerdale Borough Council)
Ms R Jones	-	Policy and Scrutiny Officer (Carlisle City Council)
Mr J Rasbash	-	Policy and Scrutiny Officer (Cumbria County Council)
Miss R Blaney	-	Democratic Services Officer (Scrutiny) (Copeland Borough Council)

Councillor Barbara Cannon (Portfolio Holder for Financial Planning and Assets) and Councillor Chris Southward (Portfolio Holder for Digital Connectivity and Customer Focus) were also in attendance.

## **PART 1 ITEMS CONSIDERED IN THE PRESENCE OF THE PUBLIC AND PRESS**

### **1. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors M Hawkins, R Betton, M Eldon, L Jones-Bulman and L Patrick.

### **2. DECLARATIONS OF INTEREST**

There were no Declarations of Interest received.

### **3. EXCLUSION OF PRESS AND PUBLIC**

**RESOLVED** that the press and public not be excluded from the meeting for any items of business on this occasion.

### **4. BUDGET 2023-24 AND MEDIUM-TERM FINANCIAL PLAN GENERAL FUND REVENUE AND CAPITAL**

The Cumberland Section 151 (S151) Officer and the Portfolio Holder for Financial Planning and Assets provided the committee with an overview of the report before inviting members to ask questions.

Members thanked all the staff who worked on the Budget report for all their hard work.

Members had a discussion regarding the conversations had with the Department for Levelling Up, Housing and Communities (DLUHC), the possible options for financial assistance to fund transformation costs post vesting day and the consequences/risks that could come from both receiving and not receiving the money. The Portfolio Holder for Financial Planning and Assets noted that conversations were ongoing at high levels with DLUHC. The Chief Executive explained that detailed thought was being put in to deliver public services, whether permission for financial support arrangements was agreed by DLUHC or not, so that all outcomes were considered to ensure that all residents and especially the most vulnerable could receive the services they required. The S151 Officer noted that the budget included the repayment of any borrowing to fund transformation costs, including the 20 year time limit and MRP interest rate, and that Cumberland only had to start repaying once the borrowed amount was taken out.

A member asked about the capital assets of the council; the Chief Executive remarked that assets were part of an ongoing discussion, as an option was being given to be able to use capital receipts to pay off capital debt, especially with how

assets are being used differently post-pandemic. But noted that discussions were still ongoing.

A member requested that a 'Glossary of Terms' be included within the Budget report in the future to help understand the acronyms included within the report.

Members had multiple discussions throughout the meeting regarding budget monitoring and Treasury Management. The S151 Officer confirmed that the Treasury Management included the financial delegation scheme which they would be happy to bring to the appropriate Scrutiny panel when practicable. It was then explained that the normal Treasury Management monitoring process through the Audit Committee and then Full Council but, as the strategy was not currently in place, the process had been delegated to the S151 Officer and the strategy would not be available until after April 2023. The Portfolio Holder for Financial Planning and Assets highlighted that all councillors needed to be involved in budget monitoring, with Cumberland planning to have an Executive monitoring process in place with regular quarterly reporting and the Executive minutes would also be available for Full Council to scrutinise. They also commented that it would be up to Scrutiny to decide within their work programme how they would like to participate in budget monitoring.

Members had multiple discussions throughout the meeting regarding outstanding accounts of the sovereign councils and their potential risks. The Chief Executive and S151 Officer noted that they were aware of all the potential risks from the outstanding accounts, especially in Copeland, but that further work would need to be done, through creating legacy plans, that would provide further detail and would help Cumberland deal with any risks from outstanding accounts. It was also noted that Cumberland would need to trust the integrity of the current officers and auditors during the end of financial year close down process, that outstanding accounts are acknowledged as a risk but the details would only be known once the audits had been completed.

A member asked about potential risks and scope for additional budget if required regarding transformation. The S151 Officer and the Portfolio Holder for Financial Planning and Assets explained that transformation costs were built into the budget (in Section 9), with detailed analysis of what would be needed and the impact/risks having been completed. That ideas for driving out savings through streamlining and removing duplication had been factored in. They also noted that, should there be issues, consideration would be given to other methods such as increased service cuts and hiring freezes to limit those pressures.

Members discussed the properties that Cumberland would be inheriting from the sovereign councils with the Chief Executive noting that a property realisation and rationalisation plan would need to be created, commenting that members would be kept updated on any changes and that there was a commitment to communities that Cumberland would be sensitive to the buildings with crucial community ties.

A member asked about savings being realised for which the Chief Executive explained that, though savings are not predicted within the next financial year, they

are possible, especially once structures are in place to integrate the appropriate systems and duplications are removed.

Members had a discussion regarding the reserves. The S151 Officer explained that there is no set amount for reserves and that no comparisons to other councils can be made in terms of reserves, as deciding on reserve amounts and limits is for the S151 Officer to decide and is unique to each authority. The S151 Officer then highlighted that the reserves are reviewed with a risk based approach to saving plans and reserves with contingencies including a range of assumptions.

Members had a discussion regarding harmonisation of council tax, fees and charges and staff wages. The S151 Officer noted that council tax was being harmonised for day one and that all the fees and charges that could be harmonised for day one would be, as seen in the appendices of the report, but highlighted that there were some fees and charges that would need to be investigated further. The S151 Officer and Chief Executive also explained that, for harmonisation of staff wages, there needed to be an economic reason, which they would work with Unions on. They then explained that there were no current plans to harmonise staff wages, as all staff are protected under the TUPE regulations, but that they would work to ensure that there were no tensions between staff during this process of building a new organisation.

A member asked about staff and the TUPE process. The Chief Executive noted that all staff will be transferred under the TUPE regulation to the appropriate council, with an opportunity to look at how the council operates with an aim to improve the operating model at a lower cost with better services, keeping in mind the idea of intervention and prevention rather than crisis management. It was highlighted that this does not mean a reduction in numbers of staff, but rather reviewing the way of working, such as looking at agency worker numbers. The Chief Executive and Portfolio Holder for Financial Planning and Assets noted that staff health and wellbeing was being taken into account and support was available.

A member asked about the Leconfield site which was confirmed to be in Cleator Moor.

A member asked about the Pension Fund, which the Portfolio Holder for Financial Planning and Assets explained would be hosted by Westmorland & Furness Council and it would be the sole purpose of that board to focus on the Pension Fund.

A member asked about Britain's Energy Coast (BEC) going forward with the S151 Officer and Portfolio Holder for Financial Planning and Assets highlighting that it's not a budget issue but rather a separate organisation, of which the sovereign councils are part owners.

Members had a discussion regarding Climate Change, with a focus on carbon reduction, and the terminology being included within the budget report. The Portfolio Holder for Financial Planning and Assets noted that carbon literacy training for officers and councillors was being planned, along with planning for improvements and changes with lessons learned being taken into account. They also noted that

specific terminology, such as 'net zero', would normally be linked into the budget, but this year would instead be found in the references to the Council Plan.

A member asked about diversification within the workforce and agile working productivity. The Chief Executive noted that agile working is a balance for Cumberland, looking at productivity gains and offsetting the carbon footprint (through heating buildings and commutes), while also considering the process to create a new organisation with new bonds needing to be formed, which in person meetings would be needed for. The Chief Executive also questioned the view that home working was less productive than just being in the office and explained that flexible working needs to be underpinned by a performance based approach to work. The Chief Executive additionally commented on the diversification of the workforce, helped by agile working, that has allowed for strategies to be put in place to reach and employ those who had previously not been able to come back into the workforce.

A member asked about balancing the budget and projecting a deficit. The S151 Officer explained that there is a legal requirement to balance the budget and that the projected deficit is part of the forecast included within the Medium-Term Financial Plan to help balance the budget for next year.

Members had a discussion regarding improving and expanding communications with the public to highlight both the positives and negatives of the budget process, to help improve transparency and answer questions. The S151 Officer and Portfolio Holder for Financial Planning and Assets agreed that more could be done to help improve the communications to improve public understanding for the difficult but important aspects of the decisions that are being made and reach as many people as possible, to highlight the help that is being provided such as the Council Tax Reduction Scheme.

The committee discussed and amended the proposed recommendations which they wanted presented to the Executive on their behalf and came up with the following:

- 1) Note that this budget is based heavily upon the information provided by sovereign councils. Assumptions are held to give a good level of assurance by the S.151 Officer for Cumberland, but there is the possibility that end of financial year close down of accounts could produce new issues or some changes.
- 2) There is a risk around the assumption within this budget that a request to DLUHC for exceptional financial support to cover costs of transformation, in order to deliver long term benefits and well-managed transformation, will be successful. It is recognised that this is an assumption. If DLUHC refuse this request, then this issue should be referred to Scrutiny for further consideration.
- 3) Note that the amounts of Reserves within this budget are estimates and advise that the recommendation of the S.151 Officer for Cumberland for prudent levels should be given due regard.

- 4) Identified that harmonisation of fees and charges across the Cumberland Authority area is important and should be a priority for the new Authority, where it cannot be achieved at Day 1.
- 5) Note that delegated authority is requested to allow the S.151 Officer to finalise policies and financial strategies, including the Treasury Management Strategy; these documents should come back to Scrutiny for review when practicable.
- 6) Highlight the importance of a regular and robust budget monitoring process by Scrutiny in order to allow a good overview of the detail and development of the budget as it emerges. Note that Executive will be receiving quarterly budget monitoring reports, recommend that these quarterly reports are considered by Scrutiny too.
- 7) Scrutiny note that the feedback on the Council Tax consultation did not wholly support the decision that has been made. The Committee would like to highlight that it is important for Cumberland Council to clearly articulate its motivations for policies and decisions to ensure that communities and local people understand reasons behind them.
- 8) Issues raised in the Council Tax consultation should be dealt with in an explanatory feedback document.

**RESOLVED** that the agreed recommendations above be presented to the Executive at their Special Budget meeting on 16 March 2023.

## **5. DATE AND TIME OF NEXT MEETING**

It was noted that the next meeting of the Committee would be held on Wednesday 22 March 2023 at Cumbria House, Carlisle.

The meeting ended at 6.06 pm



## **Cumberland Shadow Authority Scrutiny Meeting**

### **22 March 2023**

### **Shadow Scrutiny Annual Report**

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**Report from:** Scrutiny Officers

**Report Author:** Joel Rasbash and Rowan Jones

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#### **1.0 Purpose/Summary of report**

1.1 The Scrutiny Annual Report 2022-23 summarises the role of Scrutiny in the Cumberland Shadow Authority. It provides information on scrutiny activity over the shadow year, highlighting achievements and offering recommendations for Scrutiny activity in the next civic year, 2023-24.

#### **2.0 Recommendation**

##### **2.1 It is recommended that scrutiny:**

- (1) Consider and comment on the content of the Scrutiny Annual Report**
- (2) Offer recommendations on any other achievements or recommendations for future scrutiny activity to be included in this report.**

#### **3.0 Background**

3.1 The Cumberland Shadow Constitution does not require Scrutiny to produce an annual report for the Shadow year. However, Scrutiny Annual Reports are considered good practice and the Cumberland Council Constitution will require a Scrutiny Annual Report to be produced in future years.

3.2 Shadow Scrutiny have chosen to produce an annual report to align to good practise and to provide an insight into their work.

**Contact Officer**

Joel Rasbash, Strategic Policy and Scrutiny Advisor, Cumbria County Council,  
[scrutiny@cumberland.gov.uk](mailto:scrutiny@cumberland.gov.uk)

Rowan Jones, Policy and Scrutiny Officer, Carlisle City Council  
[scrutiny@cumberland.gov.uk](mailto:scrutiny@cumberland.gov.uk)

**4.0 Appendices Attached to this Report**

Appendix No.	Name of Appendix
1	Shadow Scrutiny Annual Report

# **Cumberland Shadow Scrutiny Committee**

## **Annual Report 2022-23**

## **What is Scrutiny and why is it important?**

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

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

Scrutiny Panels are made up of Non-Executive Councillors who work together, across political parties, to understand why decisions are made and how the Council is performing to deliver the best possible outcomes for Cumberland and its people.

Scrutiny Panels do not have decision-making powers; their role is to challenge and make recommendations that influence decision makers.

## **Local Government Re-organisation**

On 1 April 2023 a new Cumberland Council will be established under Local Government Re-organisation (LGR) in Cumbria, replacing the current arrangement of Cumbria County Council, Allerdale District Council, Carlisle City Council and Copeland District Council that cover the geographic area.

Over this year, 2022-23, a Shadow Cumberland Authority has existed that has included shadow scrutiny arrangements.

The Shadow Scrutiny Committee has considered matters relating to the Shadow Cumberland Authority and work being undertaken to establish the new Cumberland unitary authority. County and District Council Scrutiny Panels have considered matters within the remit of the sovereign councils, such as the day to day running of services.

As the LGR process has developed, the effective handover of services and strategic priorities has been a recurring theme in scrutiny discussions at both Sovereign and Shadow councils.

## **Scrutiny Chair's Report, Councillor Mike Hawkins**

After the May 2022 elections it was important to establish a scrutiny committee to help Members and the Executive begin to get an understanding of the enormity of the changes that LGR presents. Shadow Scrutiny work has given Members an opportunity to hear from senior officers and the Executive on the LGR process and challenges that we anticipate moving from seven councils to two.

The new Cumberland authority brings together Members with different levels of experience and understanding of council services. Bringing together different councils and different ways of working was expected as a challenge for Shadow Scrutiny. I have been impressed by the Members of Scrutiny and the experienced Scrutiny Officers in their willingness to learn from each other, and in embracing differing views in a friendly manner.

I have learned that underneath the headlines of LGR being a vehicle for savings across Cumbria, there is much more detail than the general public hear about. For example, given the number of services that we will have to deal with as a council, Scrutiny Committee Members will need to dedicate more time to this important council function. The reduction in the number of councillors that we have in Cumberland is going to be a challenge, with Member workloads. There is, in my view, a high risk of Member burn out that may need to be addressed going forward.

Given the concerns around councillor numbers, it has been important to establish the right number of scrutiny committees to cover all council functions but being mindful of Member and officer resources for these committees. Shadow Scrutiny undertook a task and finish group on future scrutiny arrangements for Cumberland. I feel that the scrutiny arrangements that are in place for Cumberland Council will achieve the right balance to start with in the number of committees. I would like to thank all Members and supporting officers who joined the task and finish group in undertaking this important piece of work, which helped to shape the Cumberland scrutiny arrangements.

The new Cumberland Council is a chance to reset our priorities and the way that services are delivered. To local people, arrangements such as the more localised Community Panels are an opportunity for Cumberland Council to be more engaged and to deliver priorities for our local communities. I am especially looking forward to putting people and public health at the heart of everything that we do. Despite the challenges that we will face, especially around finance, this is an exciting time to be involved in local government. I wish all Members, staff and officers well for the coming year.

## **Comment from Deputy Leader, Portfolio Holder for Governance and Thriving Communities, Councillor Lisa Brown**

I am pleased to add my comments to this Shadow Scrutiny Annual Report, and excited that we're on the verge of vesting and will be appointing Members to our five new scrutiny panels at our AGM on 13<sup>th</sup> April.

As Deputy Leader, it was really important to me to be a part of steering the governance to embed scrutiny in the structure of the Cumberland Council. Scrutiny is the balance to our work on the Executive, and as a former scrutiny chair myself, I recognise that the challenge it brings is a vital element of ensuring that everything we do keeps our overall council plan aspirations in sight.

Moving forward, I'd like to see Scrutiny as a full participant in the decision making process of this new council – with a commitment to full engagement by the Executive and Senior Management Team, and to pre-scrutiny wherever possible. We have a once in a generation opportunity here to unite and transform services from across both tiers of local government in Cumberland, and with a strong focus on locality working and community engagement – Scrutiny, along with our Community Panels, has to be one of our key approaches to challenging that we are consistently taking decisions in the best interests of our people and communities.

Thank you to Members and Officers for all their work during this shadow year, and I look forward to working with you all during the year ahead.

## **Shadow Scrutiny Activity during 2022-23**

During the Shadow Authority year, Scrutiny has been engaged in the following matters:

- Local government re-organisation programme delivery – focus on risk register and appropriate risk management; staffing and employee engagement; ICT and Information Security; financial management of the LGR programme.
- Cumberland Council Plan development – focus on strengthening climate change commitments; links to cost of living.
- Future scrutiny arrangements – task and finish group– developed proposals that informed the development of the Cumberland constitution.
- Budget setting and council tax consultation – considered proposals for Council Tax harmonisation and 2023-24 increases prior to public consultation; considered the draft budget and Mid-Term Financial Plan and fed back comments to the Executive.

The Committee has recognised that training and briefing for all Cumberland Councillors is important and has undertaken and hosted a number of training and workshop sessions.

### **Recommendations for Future Cumberland Scrutiny Committees**

Cumberland Council will have several Scrutiny Committees, each focussing on different areas of Council responsibility:

- Business and Resources Overview and Scrutiny Committee
- Health Overview and Scrutiny Committee
- Place Overview and Scrutiny Committee
- People Overview and Scrutiny Committee
- LEP Overview and Scrutiny Committee

There will also be joint scrutiny arrangements with Westmorland and Furness Council for Joint Services and Police, Fire and Crime Panel.

During the Cumberland Shadow Authority year, Shadow Scrutiny have identified that the following issues are likely to be important for inclusion in future scrutiny workplans:

- Quarterly Budget Monitoring (Resolution at Budget Special 15/02/23)
- Treasury Management Strategy (Resolution at Budget Special 15/02/23)
- Transformation of council services – budget, process, outcomes for the community, staffing implications (Scrutiny meeting 01/02/23)
- Cost of Living – review of legacy of cost of living work undertaken by Sovereign Councils and Cumberland plans to address the cost of living in year 1 (Scrutiny meeting 01/02/23)
- Climate change as a cross-cutting theme for policy and strategy development (Scrutiny meeting 01/02/23)

A number of Scrutiny Panels and Committees from sovereign councils have provided end of year reports; these documents provide useful insights into the issues that they had identified as strategic priorities for Scrutiny to engage with:

County Council -

<http://moderngov.ccc/documents/s128954/Appendix%201%20SMB%2006%2003%2023%20SMB%20Reflections%20and%20Learning.pdf>

Carlisle City Council Scrutiny Annual Report - [Meetings and Events \(cmis.uk.com\)](https://www.cmis.uk.com)

Allerdale Borough Council 'Climate Change Action Plan - [Achievements and recommendations](https://democracy.allerdale.gov.uk/documents/s130692/Climate-change-action-plan_update-March2023_final.pdf)' - [https://democracy.allerdale.gov.uk/documents/s130692/Climate-change-action-plan\\_update-March2023\\_final.pdf](https://democracy.allerdale.gov.uk/documents/s130692/Climate-change-action-plan_update-March2023_final.pdf)

Allerdale Borough Council 'Scrutiny Sign Off report'  
<https://democracy.allerdale.gov.uk/ieListDocuments.aspx?CId=1277&MId=5269&Ver=4>



## Cumberland Shadow Authority Scrutiny Meeting 22 March 2023 Scrutiny Overview and Work Programme

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**Report from:** Scrutiny Officers  
**Report Author:** Joel Rasbash and Rowan Jones

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### **1.0 Purpose/Summary of report**

1.1 To provide Members of the Shadow Scrutiny with an overview of matters related to the committee's work. It also includes the current version of the scrutiny work programme.

### **2.0 Recommendation**

#### **2.1 It is recommended that scrutiny:**

- (1) Note items on the most recent Forward Plan of Key Decisions**
- (2) Note and comment on progress on resolutions from previous meetings**
- (3) Note the completed work programme**

### **3.0 Background**

3.1 The Cumberland Shadow Constitution (Part 4, D Overview and Scrutiny Procedure Rules) sets out that Overview and Scrutiny will consider the following items at their meetings:

#### **14 Procedure at Overview and Scrutiny Committee Meetings.**

*14.1 The Overview and Scrutiny Committee shall consider the following business:*

- (a) record of the last meeting;*
- (b) consideration of any matter referred to the Committee by the Shadow Authority or by the Shadow Executive;*
- (c) consideration of any matter referred to the Committee for advice in relation to call-in or a decision;*
- (d) responses of the Shadow Executive on reports of the Overview and Scrutiny Committee; and*
- (e) the business otherwise set out on the agenda for the meeting.*

3.2 The minutes of the last meeting are considered as a separate agenda item, at the start of each scrutiny meeting. This Scrutiny Overview Report will cover the remaining items of business that are required.

#### 4.0 References and Responses to Scrutiny

4.1 References from the Shadow Authority or Shadow Executive:

None

4.2 Matters Referred to Scrutiny for Advice in Relation to Call-in or a Decision:

None

4.3 Responses of Shadow Executive on Overview and Scrutiny Reports

None

#### 5.0 Progress on Resolutions from Previous Meetings

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

	Meeting date	Item	Action	Status
1	02/11/22	Scrutiny Overview and Workplan	2) briefings on major projects of sovereign councils and local government re-organisation impacts on staff be made available to members.	<b>Closed</b>  LGR impacts on staff covered in discussion at 1 Feb 2023 meeting.  Director for Place, Sustainable Growth and Transport has been contacted – briefing will be offered to Place Panel
2	21/12/22	LGR Programme Update Report	b) The Scrutiny Officers contact the relevant officer to circulate the grant list as requested.	<b>Pending</b>
3	21/12/22	Scrutiny Overview and Work Programme	d) An example of the draft calendar of meetings for 2023/24 be added onto the agenda for the next meeting.	<b>Closed</b>  Draft calendar will be shared with all Members in March Council.
4	01/02/23	Scrutiny Overview and Work Programme	e) The Executive update the Scrutiny Committee on the plans to address the cost of living crisis and how they intend to support what was already taking place and available.	<b>Pending</b>

5	01/02/23	LGR Programme Update Report	c) It be considered whether it be possible to compile a list of all legacy projects that may hang over from Day 1, for Scrutiny to monitor;	<b>Pending</b>
6	01/02/23	LGR Programme Update Report	e) A decision be made on whether old/currently owned printers may be purchased by members.	<b>Pending</b>

## 6.0 Forward Plan of Key Decisions

6.1 The most recent Forward Plan of Key Decisions is published on the Cumberland Council website, covering the period 1 April 2023 to 31 July 2023.

Issue	Decision due	Details

## 7.0 Work planning

7.1 A robust workplan is important for scrutiny. Work planning activity will take place across the year to ensure that the workplan remains up to date. A copy of the current draft workplan is provided at 7.3.

7.2 Scrutiny Members are asked to consider this workplan, in the context of the key decisions that are currently on the Forward Plan and any references to scrutiny and comment on this.

### 7.3 Cumberland Shadow Scrutiny Committee Work Plan 2022/23

Meeting Date	Item	Lead Officer
25/05/2022	Induction Session for Scrutiny Members – Introduction to Scrutiny at the Shadow Authority	Centre for Governance and Scrutiny (CfGS)
20/06/2022	Scrutiny Terms of Reference and Induction Update	Scrutiny Officer/ Interim Monitoring Officer
	Local Government Re-organisation Programme Status Report	Programme Director
	Scrutiny Overview and Work Plan Report	Scrutiny Officer
22/06/2022	Induction Session for Scrutiny Members – Work Programming	CfGS
10/08/2022	Draft Cumberland Council Plan	Interim Head of Paid Service
	Local Government Re-organisation Programme Status Report	Programme Director
	Scrutiny Overview and Work Plan Report	Scrutiny Officer
26/08/22	Draft Cumberland Plan – virtual workshop - plan development	
23/09/2022	Cumberland Plan – feedback from Scrutiny workshop and consultation findings. Include update on the Cumberland Headquarter Arrangements work (report on Forward Plan)	Interim Head of Paid Service
	Local Government Re-organisation Programme Status Report Including risk register (if possible – Panel requested)	Programme Director
	Scrutiny Overview and Work Plan Report	Scrutiny Officers
23 Sept 2022	Scrutiny Committee “away day” afternoon	Scrutiny Officers
Sept-Oct '22	T&F Group – Future Scrutiny Arrangements	Scrutiny Officers
02/11/2022	Task and Finish Group Report - Future Scrutiny Arrangements for Cumberland Council	Scrutiny Officer
	Local Government Re-organisation Programme Status Report	Programme Director
	Scrutiny Overview and Work Plan Report	Scrutiny Officer
25/11/2022	Budget workshop	S.151 Officer
21/12/2022	Finance Update	S.151 Officer
	Local Government Re-organisation Programme Status Report	Programme Director
	Scrutiny Overview and Work Plan Report	Scrutiny Officer
01/02/2023	Local Government Re-organisation Programme Status Report	Programme Director
	Scrutiny Overview and Work Plan Report including Update on Scrutiny Activity on Cost of Living Crisis in Sovereign Councils	Scrutiny Officer
22/03/2023	Local Government Re-organisation Programme Status Report	Programme Director
	Shadow Scrutiny Annual Report	Scrutiny Officer
	Scrutiny Overview and Work Plan Report	Scrutiny Officer

<b>Risk Management</b>	<b>Consequence</b>	<b>Controls required</b>
Poor scrutiny governance	Scrutiny is unconstitutional and does not fulfil its role	Tracking references to scrutiny and recommendations by scrutiny.
Poor scrutiny work planning	Failure to support good decision making through lack of robust discussion and evidence gathering.	Alignment of Forward Plan and Scrutiny workplan to ensure appropriate scrutiny activity on key issues.

### Contact Officer

Joel Rasbash, Strategic Policy and Scrutiny Advisor, Cumbria County Council,  
[scrutiny@cumberland.gov.uk](mailto:scrutiny@cumberland.gov.uk)

Rowan Jones, Policy and Scrutiny Officer, Carlisle City Council  
[scrutiny@cumberland.gov.uk](mailto:scrutiny@cumberland.gov.uk)

### 8.0 Appendices Attached to this Report

<b>Appendix No.</b>	<b>Name of Appendix</b>
<b>1</b>	<b>None</b>

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## Cumberland Shadow Executive

**Date** 22nd March 2023

**Title** LGR Programme Transition

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**Report from:** Kathryn Griffiths, Senior Manager – LGR Programme

**Report Author:** Kathryn Griffiths, Senior Manager – LGR Programme

**Wards:** All

**Key Decision:** No

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### 1.0 Purpose/Summary of report

- 1.1. This report provides Members with an overview of the key achievements made in delivering the Programme in place to support Local Government Reorganisation in Cumbria.
- 1.2. The report details the activities identified to be completed post-Vesting Day, the proposed transition arrangements from the LGR Programme to Cumberland Council business as usual operations and sets out the proposed business continuity planning.
- 1.3. The report includes the latest Programme Dashboard presented to the Programme Board (21 February 2023), and a summary of the Day One Board report presented to the Day One Programme Board (21 February 2023) for information.

### 2.0 Recommendation

#### 2.1 It is recommended that the Shadow Authority Scrutiny Committee:-

- (1) Notes the report details and key points included in section 3 of this report.

### 3.0 Background and Proposals

- 3.1 Members have previously agreed the format of this report and associated appendices for providing a monthly update on the progress of the LGR Programme. It includes a summary of key progress

considered by the Programme Board (Appendix 1) and the Day One Board (Appendix 2) on 21 February 2023.

3.2 As this is the final update due to be provided to the Shadow Scrutiny Committee prior to Vesting Day, this report will have an increased focus on:

- Key achievements delivered through the LGR Programme
- An overview of the activities identified to be completed post-Vesting Day
- The proposed transition arrangements from the LGR Programme to Cumberland Council business as usual operations
- The proposed business continuity planning arrangements for Day 1.

3.5 Key achievements delivered through the LGR Programme:

- As at writing this report (w/c 6/3/23) 76.5% (998) of the programmes 1,305 milestones have now been completed, with 77 of the 209 Day 1 Requirements fulfilled and a further 80 nearing completion. A strong focus on accountability for delivery has been maintained by the Day 1 Board with the ongoing provision of support and challenge across all themes.
- Appointment to Chief Officer structures (including Section 151 and Monitoring Officer) have been finalised.
- Direct appointments for Assistant Directors have been confirmed and internal recruitment for the remaining vacant posts is underway through to 10th March.
- The staff allocation process is complete. All TUPE letters were issued to staff by 22nd February.
- Consultations on the 2023/24 budget for Cumberland and for 2023/24 Council Tax for Westmorland Furness have been completed; with full Council approval of the budgets received on 1st and 7th March 2023 respectively.
- Constitutions have been approved for both Council's and the Inter Authority Agreement and supporting Service Schedules will be finalised for approval on 27th March.
- Planning for Services activity is well underway for all services at Assistant Director level in both Council's and will continue to year end; both Cumberland and Westmorland & Furness Senior



Leadership Teams remain focused on strategic priorities up to and post vesting day.

- The Senior Responsible Officers (Chief Executive Designates and Cumbria County Council Chief Executive) are continuing to closely monitor and manage the LGR implementation reserve to ensure all expenditure relating to Local Government Reorganisation has been accounted for in the year-end accounts. Any remaining funds will be held in a reserve hosted by Westmorland and Furness after 1<sup>st</sup> April.
- The programmes strategic risks have seen further reduction; with the approach of vesting day the likelihood of a number of risks occurring and any potential impact has reduced. Half of the strategic risks are now at the target risk level.
- New websites are in place for each new unitary council, and development of content is underway alongside legacy websites to ensure a consistent customer journey. Telephony solutions are in place and implementation activity is underway with "golden numbers" for each Council confirmed.
- The ICT Theme has been closely monitored throughout the programme and this continues with a detailed user acceptance testing and go-live timetable in place for all systems that have been split in readiness for Day 1.
- A number of ICT systems will be split after Vesting Day, including both the Adult and Children's Social Care case management and charging systems. The systems are now subject to Plan B contingency planning to ensure a solution is in place for uninterrupted service delivery on Day 1. A resource plan is being prepared to ensure the remaining ICT projects are delivered in a timely manner after 01 April.

### 3.6 Activities to be completed after Vesting Day

- In addition to the disaggregation/implementation of several ICT systems, circa. 40 milestones in the Day 1 delivery plans have been identified by the programme's Technical Leads for completion after Day 1. As set out in Table 1 below, some will be completed shortly after Vesting Day however others are longer-term milestones that will be built into the unitary delivery plans or future transformation plans. All activities have been assigned a responsible owner in the new councils or the Fire Service.

**Table 1: Post-Day 1 Activities**

Category	Summary of milestones
ICT system disaggregation / implementation	<ul style="list-style-type: none"> <li>▪ Social Care Case Management and Charging</li> <li>▪ HR &amp; Payroll</li> <li>▪ Building access system</li> <li>▪ Elections management system</li> <li>▪ MIG and Great North Care Record</li> <li>▪ NHS DBS</li> <li>▪ Education Management system</li> <li>▪ Strata</li> </ul>
Not complete but workarounds in place for Day 1	<ul style="list-style-type: none"> <li>▪ Appointment to Director of Public Health</li> <li>▪ Appointment to posts in Central Business Function of Provider Services</li> <li>▪ Court appointed persons transferred appropriately</li> <li>▪ Local Focus Hub email connections</li> </ul>
Not completed but not required for Day 1	<ul style="list-style-type: none"> <li>▪ Recruitment in Adult Social Care</li> <li>▪ Housing policies, street naming and local development schemes</li> <li>▪ Various Fire policies and processes</li> <li>▪ Corporate Landlord processes</li> <li>▪ Collaboration services in ICT</li> <li>▪ Complaints guidance</li> </ul>
Scheduled activity after Day 1	<ul style="list-style-type: none"> <li>▪ Financial closure</li> <li>▪ Billing Housing Revenue Account leaseholders</li> <li>▪ Grant activity for Financial Year 2024/25</li> </ul>
Transformation activity transferred to unitary councils	<ul style="list-style-type: none"> <li>▪ Various development and sign off milestones</li> </ul>

### 3.7 Proposed transition arrangements

- It is proposed that delivery of all post-Day 1 activities will be monitored via a Joint Transition Board across both Westmorland and Furness and Cumberland councils.
- Governance arrangements for the Joint Transition Board will be agreed during March in readiness for Vesting Day.

### 3.8 Business Continuity Arrangements

- To ensure sufficient support is in place on Vesting Day, it has been agreed to establish strategic Service Continuity Governance arrangements in both councils.
- A high-level review of existing business continuity arrangements is underway for critical services to identify gaps and highlight any significant risks.
- A framework is in place to manage business as usual issues; utilising existing systems and processes that are known to employees and customers.
- Daily management reporting will be in place in the lead up to and after Vesting Day to ensure service continuity is closely monitored across both councils and issues are escalated as appropriate.

### **Contact Officers**

Kathryn Griffiths, Senior Manager - LGR, [kathryn.griffiths@cumbria.gov.uk](mailto:kathryn.griffiths@cumbria.gov.uk), 07384241477.

### **Appendices Attached to this Report**

<b>Appendix No.</b>	<b>Name of Appendix</b>
1	LGR Programme Dashboard
2	Day One Board Report

### **Background Documents Available**

None

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## Programme Dashboard

Accountable Owner: John Metcalfe

Responsible Owner: Kathryn Griffiths

Board Date:

21-Feb-23

### Executive Summary - Progress this Period

1. 64.4% (862) of the programmes 1,339 milestones have now been completed, with 56 of the 212 Day 1 Requirements fulfilled and a further 57 nearing completion.
2. Appointment to Chief Officer structures (including Section 151 and Monitoring Officers) have been finalised for Cumberland, Westmorland & Furness is currently recruiting externally for a Director of Public Health and is putting in place interim arrangements for Day 1 for this role and that of Director of Children's Services. Direct appointments for Assistant Directors have been confirmed and internal recruitment for the remaining vacant posts is underway through to mid March.
3. The staff allocation process is complete and the issue of TUPE letters commenced on 17th February.
4. The ICT Theme has been closely monitored throughout the programme and this continues. There is a focus on the development of the Microsoft Tenancy Agreement for each Council; the contract for the Asset Management system has been finalised; the existing County Council contract for the Highways Information Management System has been modified for implementation with a view to awarding two new contracts before Vesting Day. There is concern about the ability to complete all necessary work to split both Adult and Children's Social Care systems by 1st April. The systems are now subject to Plan B contingency planning in parallel with detailed updates being progressed. A plan is in place to manage capacity and delivery across the go-live timetable for all category 1 ICT systems.
5. Consultations on the 2023/24 budget for Cumberland and for 2023/24 Council Tax for Westmorland Furness have been completed; with full Council approval of the budgets planned for 1st and 7th March 2023 respectively.
6. Constitutions have now been approved for both Council's and the Inter Authority Agreement and supporting Service Schedules will be finalised for approval in March.
7. Planning for Services activity is underway for all services at Assistant Director level in both Council's and will continue to year end; both Cumberland and Westmorland & Furness Programme Boards remain focused on strategic priorities upto and post vesting day.
8. The Senior Responsible Officers (Chief Executive Designates and Cumbria County Council Chief Executive) are continuing to closely monitor and manager the LGR implementation reserve, challenging and prioritising the additional resource asks and it is expected that either through further challenge of the use of the reserve or additional financial support from sovereign authorities that the required resources to deliver day 1 safe and legal will be available.
8. New websites are in place for each new unitary council, and development of content is underway alongside legacy websites to ensure a consistent customer journey. Telephony solutions are in place and implementation activity is underway with "golden numbers" for each Council confirmed.
10. The programmes strategic risks have seen further reduction; with the approach of vesting day the likelihood of a number of risks occurring has reduced. Half of the strategic risks are now at the target risk level.

### 4-Week Look Ahead

1. The internal appointments process for Assistant Directors is to be finalised by mid March, and external recruitment commenced where necessary.
2. All staff TUPE letters will have been issued by 24/02/23.
3. Continued focus on ICT Theme, the roll out of the ICT Go-Live plan for category 1 systems including an alternate post day 1 go live plans for Adults and Children's Social Care systems.
4. Approval of 2023/23 budgets and the issue of Council Tax bills.
5. Planning for Services process to progress for all council services (at Assistant Director level).
6. Inter Authority agreements and supporting service schedules to be finalised and presented to Unitary Councils for approval.

**Key Milestones**

No.	Description	Planned Date	Forecast Date	Commentary
1	<b>Customer &amp; Digital:</b> Rebranding of legacy websites to allow for consistent customer journey from new to legacy sites and vice versa.	31-Mar-23	31-Mar-23	Development of content for new sites ongoing.
2	<b>Customer &amp; Digital:</b> Telephony Solution (Liberty Converse 'Netcall') in place to provide telephony for Customer Services on Day 1	31-Mar-23	31-Mar-23	Contractuals finalised. Implementation ongoing.
3	<b>Strategic Commissioning:</b> Grant activity complete	28-Feb-23	28-Feb-23	Complete. All contracts either re-procured or ready for novation to new authorities
4	<b>Strategic Commissioning:</b> Contract activity complete	28-Feb-23	28-Feb-23	Complete. All grants confirmed for 2023/24
5	<b>Human Resources / Organisational Development:</b> TUPE Staff Allocation confirmed	30-Nov-22	31-Jan-23	The staff allocation exercise has now been completed. Letters are being issued with the first batch delivered via email on 17/02/2023. It is anticipated that all letters will be issued by 24/02/2023.
6	<b>Human Resources / Organisational Development:</b> Appointments confirmed for externally appointed Chief Officer & Statutory Roles.	08-Feb-23	08-Feb-23	<p>The following statutory roles have been successfully recruited to in the last period:</p> <p><b>Cumberland Council</b></p> <ul style="list-style-type: none"> <li>• Director of Adult Social Care and Housing.</li> <li>• Director of Children and Family Wellbeing.</li> </ul> <p><b>Westmorland and Furness Council</b></p> <ul style="list-style-type: none"> <li>• Director of Adult Social Care.</li> </ul> <p>An open recruitment process is ongoing for the Director of Public Health in Westmorland and Furness and an interim solution may be required for the Director of Children's Services following an unsuccessful recruitment campaign.</p>
7	<b>Human Resources / Organisational Development:</b> Tiers 1 - 3 appointed	20-Mar-23	20-Mar-23	Tier 3 (Assistant Director) roles have been advertised internally and interviews commenced on 17/02/23. If the internal recruitment exercise is not successful for all posts there may be a requirement to undertake some external recruitment.
8	<b>Human Resources / Organisational Development:</b> Trade Union Facilities Time Agreement agreed for Post-Vesting Day	28-Feb-23	28-Feb-23	Discussions ongoing with Trade Unions.
9	<b>ICT:</b> Concerto Asset Management System: Contractuals Finalised	30-Oct-22	30-Oct-22	Complete. Contractuals finalised 21/02/2023 and implementation ongoing.
10	<b>ICT:</b> Concerto Asset Management System: System implemented	16-Mar-23	16-Mar-23	Technical implementation ongoing. Go live planned 16/03/2023.
11	<b>ICT:</b> Highways Information Asset Management System: Contractuals finalised	14-Nov-22	14-Nov-22	Existing County Council contract has been modified for implementation services. Two new contracts to be awarded via G-Cloud Framework 13 ahead of 1 April 2023.
12	<b>ICT:</b> Learning Management Systems live	31-Mar-23	31-Mar-23	Implementation ongoing.
13	<b>ICT:</b> HR and Payroll System(s) operational	31-Mar-23	31-Mar-23	Sovereign systems will be utilised for Day 1. Additional super-users will be in place.
14	<b>ICT:</b> Adults & Childrens Social Care Case Management System in place	31-Mar-23	31-Mar-23	Systems now subject to Plan B contingency planning in parallel with detailed updates being progressed.

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**Key Milestones (Continued)**

No.	Description	Planned Date	Forecast Date	Commentary
15	ICT: Reablement and Care Rostering System in place	31-Mar-23	31-Mar-23	Technical implementation ongoing.
16	Finance: Budget Consultation	31-Jan-23	31-Jan-23	Complete. The consultation for the 2023/24 budget for Cumberland council closed on 31/01/2023 and the consultation regarding council tax for Westmorland & Furness council closed on 13/02/2023.
17	Finance: Budget 2023/24 agreed by Shadows and Council Tax set	27-Feb-23	10-Mar-23	Full Council approval of the council budgets for 2023/24 and the Medium Term Financial Plan(s). Cumberland full council meeting 01/03/2023. Westmorland and Furness full council meeting 07/03/2023.
18	Legal and Democratic: Westmorland and Furness Shadow Authority approval of Constitution	31-Jan-23	23-Jan-23	Complete - constitution approved by W&F Shadow Authority on 23/01/2023.
19	Legal and Democratic: Cumberland Shadow Authority approval of Constitution	10-Mar-23	26-Jan-23	Complete - constitution approved by Cumberland Shadow Authority on 26/01/2023.
20	Legal and Democratic: Complete Section 16 Agreement	20-Mar-23	27-Mar-23	The Section 16 Agreement will be considered by the Westmorland and Furness Cabinet on 20/03/23 and the Cumberland Shadow Executive on 27/03/23.
21	Policy and Performance: Cumberland Business Continuity Management plan approved	30-Mar-23	30-Mar-23	Each unitary authority is working towards establishing a Business Continuity Board (BCB) in advance of Day 1.
22	Policy and Performance: Westmorland and Furness Business Continuity Management plan approved	30-Mar-23	30-Mar-23	Each unitary authority is working towards establishing a Business Continuity Board (BCB) in advance of Day 1.

**Key Decisions / Issues for Escalation**

No items for escalation.

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**Finance - Implementation Reserve to 31/01/2023 (as at 17/02/2023 report)**

Budget Line	Initial Allocation (£)	Virements approved by Programme Board (£)	Updated Allocation (£)	Approved / Committed Spend to 19/01/2023 (£)	Actual Spend to 31/01/2023 (£)
Programme Management	4,400,000	455,610	4,855,610	4,503,563	3,555,703
People	1,100,000	492,500	1,592,500	1,592,500	802,094
Place	600,000	-300,777	299,223	299,223	220,173
Corporate/Enabling Services	1,100,000	1,599,195	2,699,195	2,599,195	1,336,130
Finance & Commercial	750,000	-192,315	557,685	557,685	358,499
Customer & Digital	350,000	365,000	715,000	715,000	204,690
ICT	4,350,000	0	4,350,000	4,350,000	1,906,996
Branding	750,000	0	750,000	750,000	16,200
Shadow Chief Exec/Member	850,000	1,063,461	1,913,461	1,913,461	1,119,827
Election Costs	1,200,000	-110,000	1,090,000	1,090,000	1,042,050
Contingency	3,470,000	-3,372,674	97,326	0	0
<b>Total</b>	<b>18,920,000</b>	<b>0</b>	<b>18,920,000</b>	<b>18,370,627</b>	<b>10,562,362</b>
<b>Total Funding Available</b>	<b>(18,920,000)</b>		<b>(18,920,000)</b>	<b>(18,920,000)</b>	<b>(18,920,000)</b>
<b>Total Funding Remaining</b>	<b>0</b>		<b>0</b>	<b>(549,373)</b>	<b>(8,357,638)</b>

## Programme Dashboard

Accountable Owner: John Metcalfe

Board Date:

Responsible Owner: Kathryn Griffiths

21-Feb-23

### Key Strategic Changes (Extract from Programme Change Register)

Change ID	Theme	Work Package/ Work Stream	Day 1 Requirement ID	Change Description	Impacted Areas / Comments	Change Type	Impact (1-5)	Change Status
CH-CECE-05	Corporate & Enabling	Communications	COMMS-REQ-04-L2-M01	<p>Day 1 Requirement: Comms systems and operating processes in place for each council</p> <p>2 additional Level 3 Milestones added to track progress to Day 1:</p> <p>1. Systems for each council to be operational End date: 28/2/23</p> <p>2. Legacy data and contents to be transferred and ready for systems to go live End date: 31/3/23</p>	The systems referred to are media management, e-newsletter delivery system, social media management platform etc, no interaction with ICT	Scope	3	Change approved
CH - CEHROD-06	Corporate & Enabling	HR/OD	HR-REQ-03	<p>Day 1 Requirement: Complete TUPE Transfer to New Authorities</p> <p>End date change From: 06/2/23 To: 24/02/23 Rationale is due to a delay in the finalisation of the staff allocation process and finalisation of Version 4 Data/TUPE Letter Preparations.</p>	No direct impact on other areas across the programme but delays the completion of the final confirmation of TUPE Arrangements to Staff to 4 weeks before vesting day. The majority of staff will have already received allocation confirmation letters and will have had discussions with their existing line managers - the TUPE letter is the formal/legal mechanism that confirms these arrangements.	Time	4	Change approved
CH-CD-05	Customer and Digital	Customer Experience & Service Improvement	C&D-REQ-05-L2-M02	<p>Level 2 Milestone: Testing of telephony solutions</p> <p>Change to milestone end date from: 01/02/23 to: 28/02/23 Request date change due to original spreadsheet input error.</p>	None identified	Time	2	Change approved
CH-CELD-34	Corporate & Enabling	Legal and Democratic	LEGAL-REQ-58-L1-M01	<p>Level 1 milestone end date change Inter Authority Agreement (IAA) sign off at Shadow Authority Cabinet Change start date from:16/02/2023 To: 20/03/2023 Change end date from: 24/02/2023 To:27/03/2023 Reason IAA will go to March Shadow Cabinet/Executive meeting as agreed by SROs.</p>	All Hosted Services	Time	5	Change approved
CH-CELD-35	Corporate & Enabling	Legal and Democratic	LEGAL-REQ-56-L1-M01	<p>Day 1 Requirement and Level 1 Milestone end date change: Completion of Section 16 Agreement Change end date from 20/03/2023 to 27/03/2023 to align with date for Cumberland Executive approval (W&amp;F Cabinet is on 20/03/2023).</p>	All Themes	Time	5	Change approved






Key Strategic Risks

Risk ID	Risk Category	Description	Target Likelihood (1-5)	Target Impact (1-5)	Target Risk Score	Current Likelihood (1-5)	Current Impact (1-5)	Current Risk Score	Direction of Travel	Key Mitigations (Controls and Actions)
RSK - PROG - 01	Strategic	There is a risk that the programme fails to create three financially sustainable organisations (two unitary councils and PCC governed FRS) with effect from 1 April 2023	2	5	10	3	5	15	↔	Every organisation will have a Medium Term Financial Plan covering estimated revenue income and expenditure over at least the next three years. This will be informed by a clear articulation of budget disaggregation outputs and input to the development of the MTFP for all organisations. They will also have a similar plan for likely capital income and expenditure. The budget for the forthcoming year (year one of the MTFP post vesting day) will be considered in more detail, leading to the setting and approval of detailed income and expenditure budgets on a service-by-service basis. It is essential that the budget is set in accordance with the service plans and objectives for the forthcoming year and within the available financial envelope. This will be informed by the planning for services process which will take place over by the end of February providing a clear view on pressures and potential savings that will need to be made to ensure a balanced budget. There is also an ongoing dialogue with DLUHC about the potential for financial support with transitional and transformation costs in the short term <u>No change in February review</u>
RSK - PROG - 02	Strategic	There is a risk that the financial challenges (in year and future pressures) impact on the financial assumptions on which the three organisations are developing their medium term financial plans	2	5	10	3	5	15	↑	All sovereign councils are committed to delivering a balanced budget at the end of FY22/23. This is being supported by tight financial management in current councils to remain within budget and minimise potential use of reserves to offset spending. No new spending will be initiated by existing councils without consultation with the new organisations. However, growth in demand for some services may add additional pressures on base budgets for future years and financial options will need to be developed to accommodate such growth without additional government support. <u>Likelihood reduced 4 to 3 in February review</u>
RSK - PROG - 03	Strategic	There is a risk that there are insufficient resources to deliver all of the required activities for a safe and legal Day 1 transfer and to prepare new organisations for transitional activities from Day 1.	3	4	12	3	4	12	↑	The Senior Responsible Officers (Chief Executive Designates and the Cumbria County Council Chief Executive) are reviewing current commitments for the LGR implementation reserve and it is expected that the required resources to deliver day 1 safe and legal will be available, either through further challenge of the use of the reserve or additional financial support from sovereign authorities,  The above will be supported through a rigorous governance process to control spend as the programme continues to progress. This will include the completion of an Officer Decision Record requiring S151 sign-off, as well as review and approval by the 3 programme SROs. <u>Likelihood reduced from 4 to 3 in February review</u>
RSK - PROG - 04	Strategic	There is a risk that the programme fails to deliver all of the necessary activities for the safe and legal establishment of three organisations from April 1 2023 (Day 1).	2	5	10	3	5	15	↔	Day 1 activities are all mapped and set out in individual delivery plans, which are monitored weekly by the Day 1 board with support from individual theme groups. Any potential risks and issues to delivery are flagged at Day 1 board, where they are discussed and actions are agreed to remedy them. Further escalations are made to the Programme Board, where the intervention, support or steer from Sovereign Chief Execs is required. In addition there are change control mechanisms in place that allow for interdependences of activities to be considered before any planned activity is amended. <u>No change in February review</u>
RSK - PROG - 05	Strategic	There is a risk that key service provider failures divert attention from the ability of the LGR programme to achieve delivery plans and maintain delivery of key services.	3	4	12	3	4	12	↑	Resources within the LGR team would need to be prioritised to those activities essential to reach safe and legal transition on Day 1 and away from those activities that are more about setting the organisations up to transform over the longer term. Where there is an urgent need to redirect resources, options for doing this will need to be discussed and agreed at Programme Board by sovereign chief execs. <u>Likelihood reduced 4 to 3 in February review</u>
RSK - PROG - 06	Strategic	There is a risk that current organisations need to respond to 'shocks' in their operating environment (emergency situations or industrial action) which divert attention from the ability of the LGR programme to achieve delivery plans and maintain delivery of key services.	2	5	10	3	5	15	↔	Resources within the LGR team would need to be prioritised to those activities essential to reach safe and legal transition on Day 1. Where there are emergency situations that require urgent focus, options on how to resource these (in line with current business continuity plans) and consider minimising impact to the delivery of the programme, will need to be drafted and agreed with sovereign chief execs and/or the Programme Board. <u>No change in February review</u>

Key Strategic Risks (Continued)

Risk ID	Risk Category	Description	Target Likelihood (1-5)	Target Impact (1-5)	Target Risk Score	Current Likelihood (1-5)	Current Impact (1-5)	Current Risk Score	Direction of Travel	Key Mitigations (Controls and Actions)
RSK - PROG - 07	Strategic	There is a risk of the loss of key personnel central to the delivery of the programme prior to its completion	3	4	12	3	4	12	↔	Theme Leads will need to make sure that there are no single points of failure in the programme. The programme is working to ensure staff are given certainty around their continued employment options post vesting day as soon as possible by reviewing fixed term arrangements and finalising the staff allocations process as soon as possible. <u>At Target - no change in February review</u>
RSK - PROG - 08	Strategic	There is a risk that the programme fails to recruit staff to senior (Chief Officer) posts in sufficient time to influence service and budget planning	2	4	8	3	4	12	↑	Undertake recruitment process drawing from internal resources first and then external advertisement as soon as vacant positions are clear. There are national challenges to recruiting to some key statutory posts and that there is perceived to be a challenge recruiting people to Cumbria which might require other incentives to attract the right candidates. <u>Likelihood reduced from 4 to 3 in February review</u>
RSK - PROG - 09	Strategic	There is a risk that suppliers (particularly ICT) fail to agree appropriate and timely terms and conditions for the provision of goods and services necessary to affect the establishment of the three organisations from Day 1	2	5	10	4	5	20	↔	Extensive legal advice has been taken on the route to market for all essential goods and services. This is informing contract negotiations however they are still being challenged by suppliers seeking to use LGR as a commercial opportunity. These will need to be considered on a case by case basis, with consideration being given to the perceived risk and merit. <u>No change in February review</u>
RSK - PROG - 10	Strategic	There is a risk that the scale of ambition for transformation in the three organisations exceeds the capacity of the programme to provide support or build into the transitional planning that should follow Day 1	2	4	8	2	4	8	↑	SROs to keep under review the balance between activities necessary for safe and legal arrangements to be delivered on Day 1 alongside the need to plan for the transformation of all organisations post vesting day and to set in place plans to deliver that transformation in readiness for when they become operational. <u>Likelihood reduced from 3 to 2 in February review</u>
RSK - PROG - 11	Strategic	There is a risk that the programme fails to allocate staff to each organisation in a fair and proportionate manner to support their ongoing success and to properly identify how specialist roles are to be shared between the organisations	2	3	6	2	3	6	↔	The staff allocation process allows for adequate time for consultation with staff and allocations take into consideration the needs of each organisation (including identifying where specialist roles will need to be shared between organisations). Undertake recruitment process drawing from internal resources first and then external advertisement as soon as vacant positions are clear. There are national challenges to recruiting to some key statutory posts and that there is perceived to be a challenge recruiting people to Cumbria which might require other incentives to attract the right candidates. <u>No change as at target score</u>
RSK - PROG - 12	Strategic	There is a risk that the programme fails to establish an Inter Authority Agreement between all organisations to support the basis on which many programme deliverables have been developed.	2	4	8	2	4	8	↑	Regular engagement with all stakeholders in the development of the overarching legal agreement and the associated schedules that govern each hosted service arrangement. Governance of the development of the agreements will be through the Members Implementation Board prior to final sign off by both unitary authorities. To support the development of the agreement and service schedules, additional legal resource has been procured to advise on the approach and support the drafting of the agreement and schedules, with an officer working group in place to drive the activity and support services accordingly <u>Likelihood reduced from 3 to 2 in February review</u>

Key: Direction of travel arrows  
 = Risk score declining  
 = No change  
 = Risk score increasing

# Day 1 Board report 21 February 2023

Data Date: 16/02/2023

## Report Summary:

In the last 7 days, the number of Day 1 requirements marked complete has increased from 48 - 56 and the number nearing completion (<70% complete) has increased from 46 - 57.

The 8 Day 1 requirements completed this week cut across a number of themes including Corporate and Enabling, People, Place and the Fire Service.

The number of milestones completed has increased by 85 in the last week from 777 to 862. This represents 64.4% of the 1,337 programme milestones.

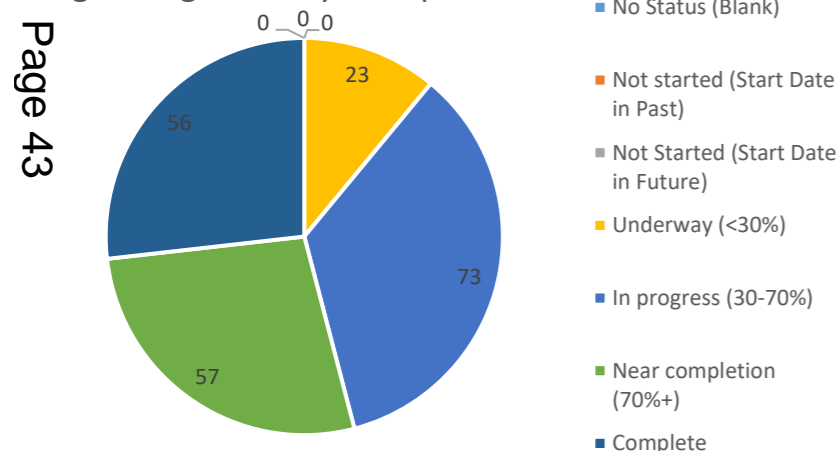
The number of milestones 'passed, but not complete' has decreased slightly from 69 to 63, almost 50% of the missed milestones are in the Fire theme area. These (along with all other milestones) were reviewed by Day 1 Board to ensure appropriate resource is in place to complete the activities in advance of Vesting Day.

The number of milestones 'flagged' as an area of concern has decreased very slightly from 10 to 9 in the last week, 4 of the 9 items flagged are in the People Theme where there are specific risks to highlight regarding the social care case management systems and recruitment to key posts required before Vesting Day.

The number of milestones due to be completed in the next two weeks has increased significantly from 11 last week to 196 this week, as previously noted, this was forecast to increase as we approach March 2023.

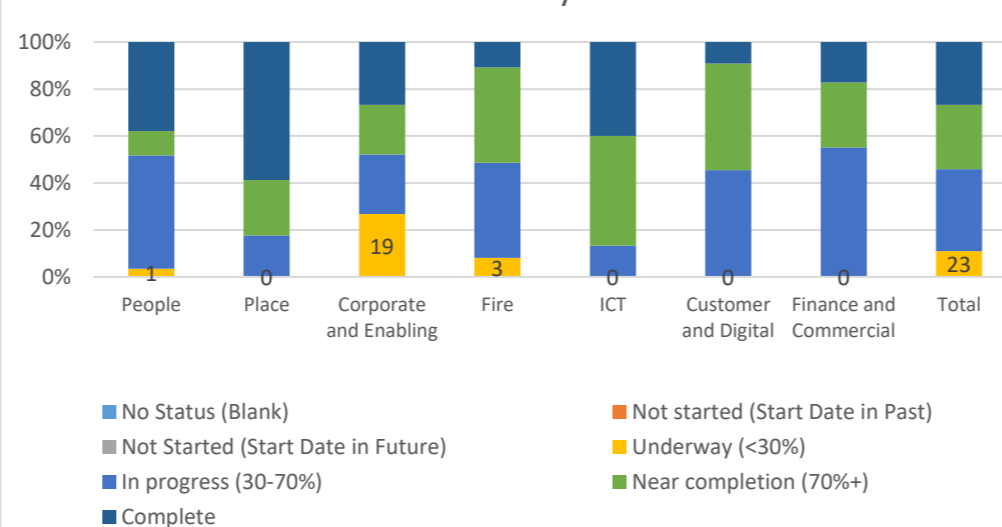
Finally, a number of Day 1 requirements (3) and milestones (28) have been identified as requiring completion after Vesting Day. The activities identified will be considered by the Westmorland and Furness Board and the Cumberland Senior Leadership Team to ensure officers are in agreement that completion can take place after Vesting Day and to ensure an appropriate resources are in place to complete the necessary work.

Progress Against Day 1 Requirements

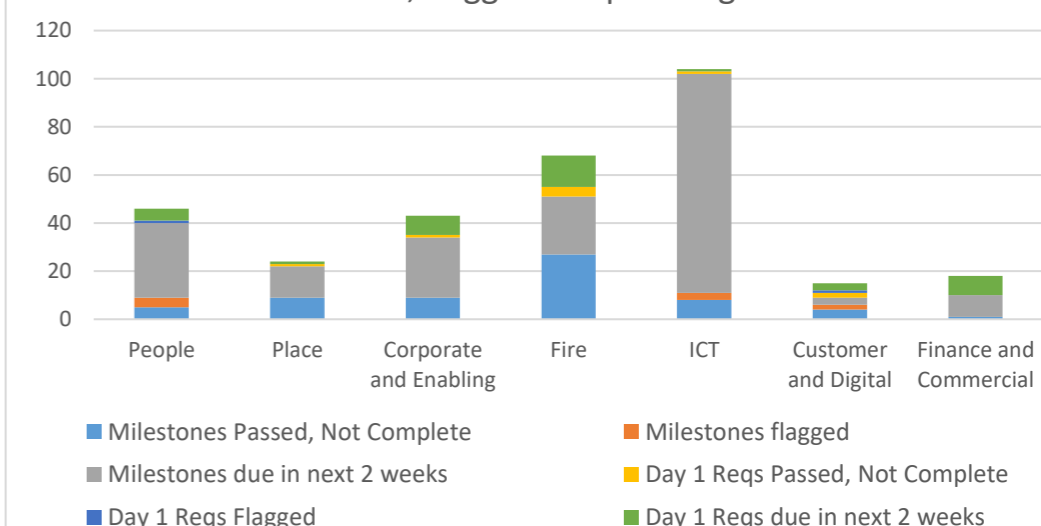


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Breakdown by Theme



Requirements and Milestones that are incomplete and due, flagged or upcoming



## Day 1 requirements and milestone count

	People	Place	Corporate and Enabling	Fire	ICT	Customer and Digital	Finance and Commercial	Total
<b>Day 1 requirements</b>	29	18	72	37	16	11	29	<b>212</b>
<b>L1 milestones</b>	-	-	51	-	18	4	4	<b>77</b>
<sup>L</sup> Or Fire Board	-	-	-	51	-	-	-	<b>51</b>
<b>L2 milestones</b>	14	7	61	24	125	10	3	<b>244</b>
<b>L3 milestones</b>	83	69	230	31	449	33	72	<b>967</b>
	<b>97</b>	<b>76</b>	<b>342</b>	<b>106</b>	<b>592</b>	<b>47</b>	<b>79</b>	<b>1339</b>

Day 1 requirements status updates

	People	Place	Corporate and Enabling	Fire	ICT	Customer and Digital	Finance and Commercial	Total
No Status (Blank)	0	0	0	0	0	0	0	0
Not started (Start Date in Past)	0	0	0	0	0	0	0	0
Not Started (Start Date in Future)	0	0	0	0	0	0	0	0
Underway (<30%)	1	0	19	3	0	0	0	23
In progress (30-70%)	14	3	18	15	2	5	16	73
Near completion (70%+)	3	4	15	15	7	5	8	57
Complete	11	10	19	4	6	1	5	56
Post-Day 1 Requirements	0	1	1	0	1	0	0	3
	<b>29</b>	<b>17</b>	<b>71</b>	<b>37</b>	<b>15</b>	<b>11</b>	<b>29</b>	<b>209</b>

Milestone & Day 1 Requirements Summary

	People	Place	Corporate and Enabling	Fire	ICT	Customer and Digital	Finance and Commercial	Total
Milestones Complete	49	37	242	38	418	34	44	862
Milestones Complete (%)	50.5%	48.7%	70.8%	35.8%	70.6%	72.3%	55.7%	64.4%
Milestones Passed, Not Complete	5	9	9	27	8	4	1	63
Milestones flagged	4	0	0	0	3	2	0	9
Milestones due in next 2 weeks	31	13	25	24	91	3	9	196
Post-Day 1 Milestones	4	8	7	6	8	0	2	35
Day 1 Reqs Passed, Not Complete	0	1	1	4	1	2	0	9
Day 1 Reqs Flagged	1	0	0	0	0	1	0	2
Day 1 Reqs due in next 2 weeks	5	1	8	13	1	3	8	39

Actions snapshot

<p>The Delivery plans include 4872 lines of data, of which:</p> <ul style="list-style-type: none"> <li>91.2% have an owner</li> <li>90.7% have a start date</li> <li>91.0% have an end date</li> <li>95.9% have a status recorded</li> </ul>	<p>Of data marked as a Day 1 Requirement or a Milestone:</p> <ul style="list-style-type: none"> <li>100.0% have an owner</li> <li>100.0% have a start date</li> <li>100.0% have an end date</li> <li>100.0% have a status recorded</li> </ul>
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