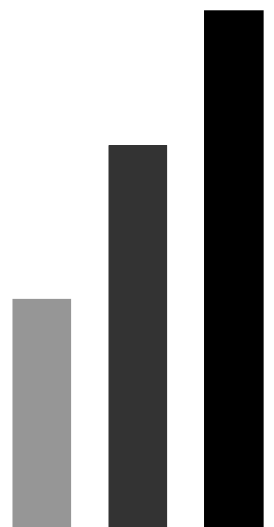


Agenda 2015

Policy & Resources Committee

For meeting on:

11	August	2015
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A meeting of the Policy & Resources Committee will be held on Tuesday 11 August 2015 at 3pm within the Municipal Buildings, Greenock.

GERARD MALONE
Head of Legal & Property Services

BUSINESS

****Copy to follow**

1. Apologies, Substitutions and Declarations of Interest	Page
PERFORMANCE MANAGEMENT	
2. 2014/15 Capital Programme Performance Report by Chief Financial Officer	p
3. Revenue Budget Outturn 2014/15 - Unaudited Report by Chief Financial Officer	p
4. 2014/15 Efficiency Performance Report by Chief Financial Officer	p
5. Treasury Management - Annual Report 2014/15 Report by Chief Financial Officer	p
NEW BUSINESS	
6. Budget Strategy – 2016/18 Report by Chief Financial Officer	p
7. Customer Service Centre – Performance Update Report by Chief Financial Officer	p
8. Scottish Welfare Funds - Consultation Report by Chief Financial Officer	p

9.	A Three Year Plan for Co-ordinating Community Learning and Development in Inverclyde 2015 - 2018 Report by Corporate Director Education, Communities & Organisational Development	p
10.	2015 Inverclyde Community Council Elections Report by Head of Legal & Property Services	p
11.	Petitions Committee Report by Head of Legal & Property Services	p
12.	Email Archiving and Deletion Report by Chief Officer Designate, Inverclyde Health & Social Care Partnership	p
13.	Equality Mainstreaming – Workforce Equality Action Plan Report by Head of Organisational Development, Human Resources & Communications	p
14.	Discretions Policy Statement, Local Government Pension Scheme 2015 Report by Head of Organisational Development, Human Resources & Communications	p
REMITTS FROM COMMITTEES		
15.	Powerboat P1 Event 2016 – Remit from Environment & Regeneration Committee Report by Corporate Director Environment, Regeneration & Resources	p
CONTINUED BUSINESS		
16.	Former Tied Housing Employees ** Report by Head of Organisational Development, Human Resources & Communications	
The documentation relative to the following items have been treated as exempt information in terms of the Local Government (Scotland) Act 1973 as amended, the nature of the exempt information being that set out in the paragraphs of Part I of Schedule 7(A) of the Act whose numbers are set out opposite the heading to each item.		
NEW BUSINESS		
17.	Equal Pay Strategy Report by Head of Organisational Development, Human Resources & Communications on the current position in relation to equal pay claims and making recommendations in this regard and in relation to Stage 3 Grievance Appeals	Paras 11 & 12 p
18.	Change to Home Care Working Pattern Report by Head of Organisational Development, Human Resources & Communications making recommendations in relation to a change to working patterns for Home Care employees	Paras 1, 11 & 12 p

REMITS FROM COMMITTEES

19. **Land at Trafalgar Street**

Report by Corporate Director Environment, Regeneration & Resources on a remit from the Environment & Regeneration Committee relative to land at Trafalgar Street

Paras 6 & 9

p

Enquiries to – **Rona McGhee** - Tel 01475 712113

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Chief Financial Officer	Report No:	FIN/53/15/MT/AP
Contact Officer:	Matt Thomson	Contact No:	712256
Subject:	2014/15 Capital Programme Performance		

1.0 PURPOSE

- 1.1 The purpose of this report is to advise Committee of the performance in respect of the delivery of 2014/15 Capital Programme.

2.0 SUMMARY

- 2.1 Capital slippage has been an issue which has arisen over a number of years within the Council. This issue, however, is not confined to Inverclyde Council and the Accounts Commission Annual Overview Report and surveys carried out by Directors of Finance would indicate that many Councils continue to experience difficulties in this area.
- 2.2 Robust action was taken in 2011/12 led by the Corporate Director Environment, Regeneration & Resources to significantly improve matters and a major improvement was achieved in 2012/13. However, in 2013/14 slippage increased and actions were identified in August 2014 to address this. While there has been improvement in terms of identifying slippage earlier in the year slippage and accelerating projects, 2014/15 outturned at 15.3%. As can be seen from Appendix 1 this is well under the average of the last 6 years.
- 2.3 Appendix 2 provides a summary of the main areas of slippage with reasons for the slippage provided by Lead Officers. This Appendix has been reviewed by the Asset Management CIG. As has previously been the case, it is clear that slippage is not attributable to either a single project or a single reason. It should be noted however that 7.3% of the slippage related to either delays due to policy decisions or to project cost reductions. Further projects were advanced where possible resulting in net slippage, excluding policy decisions and cost reductions, of 8.1%.
- 2.4 Areas for improvement previously proposed by the Corporate Management Team centre around earlier identification of slippage and greater support and challenge during the consultation on Capital Reports to Committee. These actions have had a positive impact and the full benefit will be expected in 2015/16.
- 2.5 Audit Scotland recently met with Senior Officers of the Council as part of a national follow up report on managing major capital projects. Discussions were positive and the national report will be issued early in 2016.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the 2014/15 Capital Out-turn Position.
- 3.2 It is recommended that the Committee note the impact of the previously agreed actions and that the full year impact will occur in 2015/16.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 The issue of Capital Slippage has been one which has been regularly identified and reported on by the Council's External Auditors for many years. This situation is not unique to Inverclyde Council and is regularly reported in the Accounts Commission Annual Overview Report plus the results of surveys carried out by Directors of Finance.
- 4.2 The Corporate Director Environment, Regeneration & Resources undertook action as part of the budget setting process in 2012 to significantly reduce slippage and this was highly successful in 2012/13 when slippage reduced to less than 10%. However, in 2013/14 slippage increased and actions were identified in August 2014 to address this.

5.0 2014/15 CAPITAL DELIVERY PERFORMANCE

- 5.1 Subject to the audit of the Final Accounts, the Capital Slippage for 2014/15 has increased from 14.5% in 2013/14 to 15.3% in 2014/15. Whilst this is an increase in slippage from 2013/14 Committee is asked to note from Appendix 1 that the overall slippage level of 15.3% is well under the average of the last 6 years, actions agreed in August 2014 had a positive benefit as outlined below.
- 5.2 Appendix 2 provides an analysis approved by the Asset Management CIG of the main areas of slippage. This analysis contains a commentary by the Lead Officer and a categorisation of the type of slippage. This latter issue is not an exact science, but does give an indication of what the main reason for the slippage.
- 5.3 It can be seen that there is no single reason or single project which caused the increase in slippage in 2014/15. It should be noted though that 7.3 % of this relates either to delays due to Policy decisions (4.2%) mainly in relation to the budget savings exercise or to project cost reductions (3.1%). Excluding these items and after taking into account that projects were advanced to replace slipped projects this resulted in net slippage of 8.1%. There were a relatively small number of major projects which contributed to the majority of the slippage.
- 5.4 Committee agreed improvements to address slippage levels in August 2014, these improvements were as follows:
 - a) Early notification of slippage – the main area of concern regarding the 2013/14 slippage was the late notification reporting of slippage to Committee. The CMT agreed that Corporate Directors needed to robustly review the phasings with relevant Officers before signing off Committee Capital reports. It can be seen from Appendix 3 that the majority of Capital slippage was reported to Committee in the September Committee cycle with a small increase in the November Committee cycle, the remainder of the slippage was then reported in March. It can be seen that this was a major improvement from 2013/14. The action taken to identify slippage early can be seen to be effective in that Officers were able to accelerate projects to mitigate further slippage.
 - b) Performance Targets - the Chief Executive set an upper limit of 10% slippage for each Corporate Director for 2014/15 as part of the Performance Appraisal process and performance against this was closely monitored. The clear expectation was that actual slippage would be under 10%. Appendix 2a summarises slippage by Committee and by Directorate, from this it can be seen that the Directorate performance was as follows:

Corporate Director, Environment, Regeneration & Resources – overall slippage 17.8% however of this 11.3% was due to Policy decisions or project cost reductions, excluding these slippage was 6.5%.

Corporate Director, Education, Communities & Organisational Development – overall slippage of 12.1% of which 0.5% was due to Policy decisions or project cost reductions, excluding these slippage was 11.6%. It should be noted however that the majority of this (10.3%) was due to slippage on the Inverkip Community Facility which has experienced slippage due to specific, significant issues.

Corporate Director, Health & Social Care – overall projects amounting to 41% were advanced, it should be recognised however that this is high in percentage terms due to the small budget in this Directorate, the actual value advanced was £80,000.

- c) Identify possible acceleration – allied to the early identification of slippage is the potential to identify alternative projects which could be accelerated. Roads investment in particular lends itself to this approach where projects can be developed and delivered in a far shorter timescale than many other capital projects. During 2014/15 a total of £3.2m (10.6%) was advanced to mitigate slippage. Officers have already identified projects for advancement in 2015/16 and this will be reported as part of the routine Capital monitoring reports during the year.
- d) Anticipate delays due to external factors – the increasing number of projects requiring working with other Partners, the Third Sector or the Community was identified as an issue, often linked to the potential to apply for external funding which will lead to delays, some of which can be substantial. It was recognised that a more realistic view of the timescales for the delivery of projects should be taken at the time of agreeing phasing as aspects of the project will be outwith the Council's direct control. At the time of this recommendation 2014/15 budget levels had already been set and therefore no such action could be taken to influence 2014/15 slippage levels, 7.8% of slippage in 2014/15 was in this area. This has been taken into consideration when agreeing the 2015/16 budget and should be applied in future years also, it is expected that slippage should reduce as a result.

5.5 The Asset Management CIG continues to meet bi monthly to review delivery performance and receives detailed RAG reports. This assists in identifying areas to focus upon and ensures a corporate response to addressing potential delays.

5.6 Audit Scotland recently met with Senior Officers of the Council as part of a national follow up report on managing major capital projects. Discussions were positive and the national report will be issued early in 2016.

6.0 IMPLICATIONS

Finance

6.1 Whilst there are no direct financial implications which can be quantified arising from general slippage, there can be an opportunity cost to the Council from the late delivery of projects.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (If Applicable)	Other Comments
N/A					

Legal

6.2 There are no legal implications arising from this report.

Human Resources

6.3 The Corporate Director, Environment Regeneration & Resources and his Heads of Service regularly review resourcing levels to ensure sufficient resources are in place to deliver the capital programme supported by the use of framework agreements where appropriate to access resources timeously.

Equalities

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

Repopulation

6.5 Delivery of projects on time and within budget helps increase public confidence in the Council, will improve the perception of Inverclyde and as such reducing Capital Slippage and improving delivery performance will make the area more attractive to residents and potential incomers.

7.0 CONSULTATIONS

7.1 This report has been produced in consultation with the Corporate Management Team.

8.0 LIST OF BACKGROUND PAPERS

8.1 None.

Annual Slippage Summary

Appendix 1

<u>Year</u>	<u>Budget</u> <u>£000's</u>	<u>Slippage</u> <u>£000's</u>	<u>%age</u>
2009/10	24,878	9,342	37.6%
2010/11	33,626	14,633	43.5%
2011/12	45,730	14,130	30.9%
2012/13	54,302	5,072	9.3%
2013/14	38,975	5,632	14.5%
2014/15	29,722	4,556	15.3%
6 year average	37,872	8,894	23.5%

Summary of Reported Slippage by Category

Appendix 2a

Committee	Policy Decision		Project Cost Reduced		Internal Slippage		Delay involving 3rd Party		Minor Slippage		Accelerated Projects		Total	
	£000	%age	£000	%age	£000	%age	£000	%age	£000	%age	£000	%age	£000	%age
Policy & Resources	-	0.0%	(95)	(12.0)%	-	0.0%	-	0.0%	(80)	(10.1)%	159	20.2%	(16)	(2.0)%
Environment, Regeneration & Resources	(1,257)	(7.0)%	(753)	(4.2)%	(1,324)	(7.4)%	(637)	(3.6)%	(235)	(1.3)%	895	5.0%	(3,311)	(18.5)%
Education & Lifelong Learning	-	0.0%	-	0.0%	(326)	(9.3)%	(1,484)	(42.6)%	-	0.0%	96	2.8%	(1,714)	(49.2)%
School Estate	-	0.0%	(59)	(0.8)%	(1,217)	(16.6)%	(181)	(2.5)%	(36)	(0.5)%	1,898	25.8%	405	5.5%
Health & Social Care	-	0.0%	-	0.0%	-	0.0%	-	0.0%	(34)	(17.4)%	114	58.5%	80	41.0%
Total	(1,257)	(4.2)%	(907)	(3.1)%	(2,867)	(9.6)%	(2,302)	(7.7)%	(385)	(1.3)%	3,162	10.6%	(4,556)	(15.3)%
Directorate														
Environment, Regeneration & Resources	(1,257)	(6.7)%	(848)	(4.5)%	(1,324)	(7.1)%	(637)	(3.4)%	(315)	(1.7)%	1,054	5.6%	(3,327)	(17.8)%
Education, Communities & Organisational Development	-	0.0%	(59)	(0.5)%	(1,543)	(14.2)%	(1,665)	(15.4)%	(36)	(0.3)%	1,994	18.4%	(1,309)	(12.1)%
Health & Social Care	-	0.0%	-	0.0%	-	0.0%	-	0.0%	(34)	(17.4)%	114	58.5%	80	41.0%
Total	(1,257)	(4.2)%	(907)	(3.1)%	(2,867)	(9.6)%	(2,302)	(7.7)%	(385)	(1.3)%	3,162	10.6%	(4,556)	(15.3)%

	Approved Budget 2014/15 £000's	Draft 2014/15 Final Outturn £000's	Slippage from Approved Budget £000's	Slippage from Approved Budget %age	1 Policy Decision £000's	2 Project Cost Reduced £000's	3 Internal Slippage £000's	4 Delay involving 3rd Party £000's	5 Minor Slippage £000's	6 Accelerated Projects	Comments
Policy & Resources											
	565	470	(95)	(16.81)%		(95)					The original estimate is based on indicative figures. The actual spend varies with annual price changes as well as differences highlighted in site audits. ICT were also able to access a Microsoft funded Technology Access Programme to achieve significant discounts in PCs and Laptops for schools.
Rolling Replacement of PC's										79	
Server & Switch Replacement Programme	3	82	79	2,633.33%						80	
Modernisation Fund	23	103	80	347.83%							
Various Projects	198	118	(80)	(40.40)%					(80)		Various projects came in under budget, although areas such as Interactive Whiteboard refresh and Switch upgrades did take place. Vendor delays resulted in key milestone payments being deferred.
TOTAL Policy & Resources	789	773	(16)	(2.03)%	0	(95)	0	0	(80)	159	
Environment & Regeneration											
Environmental Services - Roads											
Traffic Measures	124	71	(53)	(42.74)%		(53)					Lower than anticipated tender prices received
Parking Strategy	206	97	(109)	(52.91)%				(109)			Car park purchase negotiations ongoing
SPT	207	128	(79)	(38.16)%				(79)			One project abandoned because land owner untraceable
Flooding Strategy - Greenock Central	423	336	(87)	(20.57)%		(87)					Lower than anticipated tender prices received
Langhouse Road Development	0	77	77	#DIV/0!						77	
Various Projects	253	180	(73)	(28.85)%					(73)		
Roads Asset Management Plan											
Carriageways	3,323	3,755	432	13.00%						432	
Footways	350	295	(55)	(15.71)%		(55)					Schemes brought forward from 15/16 but some schemes came in under estimated cost.
Structures	697	515	(182)	(26.11)%				(182)			SEPA instructed delays due to environmental concerns
Lighting	557	266	(291)	(52.24)%			(291)				Lantern & lantern/column replacement schemes slipped due to column survey & business case development during 14/15
Staff Costs	480	326	(154)	(32.08)%			(154)				Resignation of temporary staff & difficulties in recruitment
Environmental Services											
Fox Street - Play Area	90	10	(80)	(88.89)%			(80)				Consultant slow in delivery of production information.
Skatepark - Play Area	165	58	(107)	(64.85)%			(107)				Project was late starting on site. Complicated due to single tender return and design and build nature of works. Delay in final delivery due to inclement weather and specialised nature of concrete.
Coronation Park Port Glasgow - Seawall Repairs	190	65	(125)	(65.79)%			(125)				Project was on site over the winter period and heavily reliant on weather and tidal conditions.
Coronation Park Port Glasgow - To be identified	60	0	(60)	(100.00)%	(60)						Policy decision to delay spend pending further report.
Various Projects	2,032	1,946	(86)	(4.23)%					(86)		
Regeneration and Planning											
Gourock Pier & Railhead Development Area	1,378	1,481	103	7.47%						103	
Broomhill Regeneration	145	0	(145)	(100.00)%			(145)				Managed by RI however don't think we can class as 3rd party.
Port Glasgow Town Centre Regeneration	106	14	(92)	(86.79)%			(92)				Managed by RI however don't think we can class as 3rd party.
SV Comet	141	0	(141)	(100.00)%	(141)						Scope of project revised, costs reduced.
Rankin Park Grass Pitch and Pavilion	243	116	(127)	(52.26)%				(127)			Final account will also be agreed under budget.
Leisure & Pitches Complete on site	106	50	(56)	(52.83)%			(56)				Final accounts not processed.
Various Projects	92	34	(58)	(63.04)%					(58)		
Property Assets and Facilities Management											
	68	8	(60)	(88.24)%			(60)				This budget covers multiple projects. Main slippage was on 3 projects - removal of redundant access equipment in GMB was delayed due to Planning/Historic Scotland. Sacred Heart PS kitchen canopy missed earlier school holiday slots and had to be Easter. Greenock cemetery Garage has taken a long time to get to tender with scope now agreed with client service.
Minor Works											
Greenock Municipal Buildings Window Replacement	150	10	(140)	(93.33)%				(140)			Delays in connection with Historic Scotland approvals for scope of works.
Gourock Pool Ramp and Ventilation Works	0	97	97	#DIV/0!						97	
Port Glasgow Town Hall Refresh	94	216	122	129.79%						122	
Greenock Municipal Buildings - District Court Offices	304	167	(137)	(45.07)%			(137)				Design phase behind programme.
Business Store	181	44	(137)	(75.69)%		(137)					Scope reduced to reinstatement of shop unit only.
Central Library Conversion	1,860	1,439	(421)	(22.63)%		(421)					Final project cost under budget.
AMP Offices Complete on site	79	2	(77)	(97.47)%			(77)				Final accounts not processed.
Phase 2 - Civic Amenity	1,238	1,302	64	5.17%						64	
Phase 3 - Vehicle Maintenance Shed and Road Infrastructure	900	308	(592)	(65.78)%	(592)						Scope of Depot Rationalisation revisited to produce savings. Project delayed as a result.
Kim Drive Civic Amenity Site	464	0	(464)	(100.00)%	(464)						Project delayed pending budget decision. Final decision still required on scope of works (if any).
Various Projects	1,194	1,176	(18)	(1.51)%					(18)		
TOTAL Environment & Regeneration	17,900	14,589	(3,311)	(18.50)%	(1,257)	(753)	(1,324)	(637)	(235)	895	

	Approved Budget 2014/15 £000's	Draft 2014/15 Final Outturn £000's	Slippage from Approved Budget £000's	Slippage from Approved Budget %age	1 Policy Decision £000's	2 Project Cost Reduced £000's	3 Internal Slippage £000's	4 Delay involving 3rd Party £000's	5 Minor Slippage £000's	6 Accelerated Projects	Comments
Education & Lifelong Learning											
Non-SEMP											
Education (Non-SEMP)											
Whinhill/Kilmacolm/St Ninian's PS - Pitch Upgrading	799	473	(326)	(40.80)%			(326)				Project phasing now aligns with major refurbishment in later years.
Various Projects	0	49	49	#DIV/0!						49	
Safer Communities											
Scheme of Assistance	1308	1093	(215)	(16.44)%				(215)			Delay in RCH programme/ owner occupier grant uptake.
Watt Complex Refurbishment	153	1	(152)	(99.35)%				(152)			CMT have agreed appointment of consultant to progress fresh HLF bid.
Inverkip Community Facility & Library Fit Out	1200	83	(1,117)	(93.08)%				(1,117)			Complications with Purchase of Land / SEPA approval of drainage / ongoing consultant dialogue. Tender report produced 25th May - over budget by @£360k - report to P&R August
Various Projects	27	74	47	174.07%						47	
TOTAL Education & Lifelong Learning (excl School)	3,487	1,773	(1,714)	(49.15)%	0	0	(326)	(1,484)	0	96	
SEMP											
Demolish Greenock Academy	0	150	150	#DIV/0!						150	
Ardgowan PS Refurbishment & Extension	3,134	4882	1,748	55.78%						1,748	
St Patricks PS New Build	215	123	(92)	(42.79)%				(92)			Hub project cash flow differs from traditional fee profiling with less paid at various stages.
St John's PS - Refurbishment & Extension	1,059	831	(228)	(21.53)%			(228)				Project started on site later than original projection due to delay in design stage. Contractor progress also slow over the early part of the contract (winter - started December 2014).
Kilmacolm PS - Refurbishment	145	56	(89)	(61.38)%				(89)			Hub project cash flow differs from traditional fee profiling with less paid at various stages.
Early Years (C&YPB - 600 Hrs + 2 yr olds)	413	124	(289)	(69.98)%			(289)				Delay linked to St John's project above - £375K funding from this budget.
Balance of Lifecycle Fund	487	378	(109)	(22.38)%			(109)				Multiple projects through this budget. Various reasons including weather related issues.
Balance of Contingency	59	0	(59)	(100.00)%		(59)					Capital programme contingency not fully allocated.
Complete on site	1,699	1108	(591)	(34.79)%			(591)				Final accounts not processed.
Various Projects	140	104	(36)	(25.71)%					(36)		
TOTAL SEMP	7,351	7,756	405	5.51%	0	(59)	(1,217)	(181)	(36)	1,898	
Health & Social Care Committee											
Neil Street Childrens Home Replacement	0	114	114	#DIV/0!						114	
Various Projects	195	161	(34)	(17.44)%					(34)		
Total Health & Social Care	195	275	80	41.03%	0	0	0	0	(34)	114	
Council Total	29,722	25,166	(4,556)	(15.33)%	(1,257)	(907)	(2,867)	(2,302)	(385)	3,162	
%age Variation					(4.23)%	(3.05)%	(9.65)%	(7.75)%	(1.30)%	10.64%	

Summary of Reported Slippage by Period

Appendix 3

	<u>Sept'14 - Period 4</u>		<u>Nov'14 - Period 6</u>		<u>Feb'15 - Period 8</u>		<u>March'15 - Period 9</u>		<u>May'15 - Period 11</u>		<u>Outturn</u>	
	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>
Policy & Resources	(39)	(4.9)%	(39)	(4.9)%	(39)	(4.9)%	(39)	(4.9)%	(68)	(8.6)%	16	2.0%
Environment, Regeneration & Resources	1,728	9.6%	1,700	9.4%	1,918	10.7%	2,550	14.3%	2,942	16.4%	3,311	18.5%
Education & Lifelong Learning	1,435	41.2%	1,485	42.6%	1,251	35.9%	1,363	39.1%	1,718	49.3%	1,714	49.2%
School Estate	-	0.0%	715	9.1%	625	7.9%	625	8.5% *	167	2.3%	(405)	(5.5)%
Health & Social Care	-	0.0%	0	0.0%	0	0.0%	25	12.8%	10	5.1%	(80)	(41.0)%
Total	3,124	10.3%	3,861	12.7%	3,755	12.4%	4,524	15.2%	4,769	16.1%	4,556	15.3%

	<u>Movement Nov'14</u> <u>(Period 6) v Outturn</u>		<u>2013/14 Comparator</u> <u>Movement Nov'13</u> <u>(Period 6) v Outturn</u>		<u>Movement 2013/14 to</u> <u>2014/15</u>	
	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>	<u>£000's</u>	<u>%</u>
Policy & Resources	55	7.0%	116	9.6%	(61)	(2.6)%
Environment, Regeneration & Resources	1,611	9.1%	4,098	28.9%	(2,487)	(19.9)%
Education & Lifelong Learning	229	6.6%	872	37.6%	(643)	(31.0)%
School Estate	(1,120)	(14.6)%	(379)	(1.8)%	(741)	(12.8)%
Health & Social Care	(80)	(41.0)%	158	86.3%	(238)	(127.4)%
Total	695	2.6%	4,865	12.5%	(4,170)	(9.9)%

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Chief Financial Officer	Report No:	FIN/57/15/AE/AP
Contact Officer:	Angela Edmiston	Contact No:	01475 712143
Subject:	Revenue Budget Outturn 2014/15 - Unaudited		

1.0 PURPOSE

- 1.1 The purpose of the report is to advise Committee of the unaudited outturn of Service Committee Budgets for the year ending 31 March 2015 and to highlight any significant variances between revised budgets and outturn plus Period 11 projections and outturn.

2.0 SUMMARY

- 2.1 Committees receive regular budget monitoring reports throughout the year and are required to remain within budget, the same applies to Budget Holders. Throughout the year the Policy & Resources Committee manage the overall Revenue Budget and take decisions to increase or decrease budgets and centralise any windfall cost reductions with a view to either spending these on one off items or retaining for future years savings.

- 2.2 Appendix 1 details the outturn (excluding earmarked reserves) per the unaudited accounts for 2014/15 and the variance between the outturn and the projection presented to the Policy & Resources Committee at Period 11 (May 2015) for all Service Committees.

- 2.3 The outturn per the unaudited accounts shows a positive variance for 2014/15 of £4,395,000 (Appendix 1) for all Service Committees, this represents a variance of 2.61% against 2014/15 revised budget of £168,689,000. The main areas relate to:

- Early achievement of planned savings £380,000.
- Additional turnover savings achieved across the Council of £1,480,000.
- Release of contingencies not required throughout 2014/15 £1,579,000.
- Additional Internal Resources Income earned of £222,000.
- Net over recovery of Benefit Subsidy of £115,000.
- One off saving of £407,000 relating to the Children & Young People Act (six hundred hours free nursery provision).
- Net underspend within Mental Health Services due to a reduction in care package costs of £135,000.
- Non-utilisation of utility budgets of £139,000.
- Over recovery of prior years' Council Tax collection income of £204,000.

Further positive variances below £50,000 were incurred across all Services. These were partly offset by increased costs for Older People Services, Homelessness costs and a shortfall in planning income received.

- 2.4 Appendix 1 shows an increase in the underspend reported to the last Policy & Resources Committee (Period 11) of £727,000. Appendix 2 provides the material variances for individual Committees and further explanations for the variances during the year and movement from Period 11 Policy & Resources Committee Report.

-
- 2.5 Both the level of ultimate underspend (£4.395m v £1.329m) and the movement from Period 11 (£0.727m v £0.409m) are higher than experienced in 2013/14. Whilst this is a matter which requires to be improved upon in 2015/16, many of the areas of underspend were addressed when preparing the 2015/17 budget. It should also be noted that the movement between Period 11 and Outturn represented just 0.43% of the overall budget.
- 2.6 Overall, the unaudited accounts position reflects a free reserves position of £5.008m which is £1.0 million more than the recommended level. Committee has already agreed that Officers will develop proposals via the Members Budget Working Group and report back to September Committee seeking decisions.

3.0 RECOMMENDATIONS

- 3.1 The Committee note the out turn per the unaudited accounts for 2014/15 of £4,395,000 and the reasons for the material variances from budget and Period 11 projection.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 The purpose of this report is to advise Committee of the outturn position per the unaudited accounts for 2014/15 and to highlight the main issues contributing to the positive variance of £4,395,000. The report also informs the Committee of the movement since the last report to Committee and the main issues contributing to the movement.
- 4.2 Committees receive regular budget monitoring reports throughout the year and are required to remain within budget, the same applies to Budget Holders. Throughout the year the Policy & Resources Committee manage the overall Revenue Budget and take decisions to increase or decrease budgets and centralise any windfall cost reductions with a view to either spending these on one off items or retaining for future years savings.

5.0 2014/15 UNAUDITED OUTTURN

- 5.1 It can be seen from Appendix 1 that the outturn per the unaudited accounts for 2014/15 is a positive variance of £4,395,000 for all Service Committees. The outturn comprises an underspend of £2,710,000 within Policy & Resources Committee, £109,000 within Environment & Regeneration Committee, £1,294,000 within Education & Communities and £282,000 within Health & Social Care. Within the 3 main Service Committees this represented a variance of 1.1% against budget.
- 5.2 The Council approved the 2014/16 budget in February 2014, and at this time approved savings of £2,660,000 across all Directorates for 2014/15. Due to the early achievement of future savings, the Council achieved savings of £3,040,000 for the year, over achieving by £380,000. Other areas contributing to the out-turn relate to additional turnover savings achieved, the release of inflation contingencies not required, additional Internal Resources Income earned and a one-off saving due to a delay on the implementation of Children & Young Peoples Act. Appendix 2 provides more detailed material variances and reasons behind these on a Committee by Committee basis.
- 5.3 It can be seen in Appendix 1, that the underspend (per the unaudited accounts) of £4,395,000 is a movement of £727,000 since the last report to the Policy & Resources Committee in May 2015. Appendix 1 details the movement per Service Committee. Appendix 2 provides more details regarding the material variances since Period 11 Policy & Resources Committee report and the reasons for these movements.
- 5.4 Further details on the 2014/15 outturn will be submitted to individual Committees with the first Revenue Monitoring Report for 2015/16 in the next Committee cycle.
- 5.5 The unaudited accounts position reflects free reserves of £5,008,000 at 31st March 2015. This is £1.0 million greater than the minimum level of reserves recommended. Committee has already agreed that Officers will develop proposals via the Members Budget Working Group and report back to September Committee seeking decisions.

6.0 OTHER INFORMATION

- 6.1 The accuracy of budgeting and projections is an important measure of the Council's Financial Management performance. The percentage variance for 2014/15 has increased which is mainly due to the reduced requirement for inflationary uplifts, an increase in turnover and the one off underspend for the implementation of 600 hour free nursery placements. Excluding these areas, the percentage variance in year equates to 0.55%. The following shows the variance for the last 3 years and the percentage against revised revenue budget for the relevant year.

Year	Variance	Percentage Variance
2012/13	(£2.835m)	1.60%
2013/14	(£1.329m)	0.81%
2014/15	(£4.395m)	2.61%

6.2 It is important given the Council's financial position that the Council sets accurate budgets and, as part of the 2015/17 budget, many of the areas of variance were largely addressed.

7.0 IMPLICATIONS

7.1 FINANCE

All financial implications are discussed in detail within the report and presented in attached appendices.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs / (Savings)

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

7.2 LEGAL

There are no specific legal implications arising from this report.

7.3 HUMAN RESOURCES

There are no specific human resources implications arising from this report.

7.4 EQUALITIES

There are no equality issues arising from this report.

7.5 REPOPULATION

There are no repopulation issues arising from this report.

8.0 CONSULTATIONS

8.1 The Corporate Management Team has been consulted in the preparation of this report.

9.0 BACKGROUND PAPERS

9.1 There are no background papers for this report.

POLICY & RESOURCES

Appendix 1

REVENUE BUDGET PROJECTED POSITION AT PERIOD 11 TO PROVISIONAL OUTTURN

2013/14 Actual £000	OBJECTIVE ANALYSIS	Approved Budget 2014/15 £000	P11 Revised Budget 2014/15 £000	P 11 Projected Out-turn 2014/15 £000	P11 Projected Over/(Under) Spend 2014/15 £000	Final Over/(Under) Spend 2014/15 £000	Movement from P11 Outturn £000	Movement as % of Period 11 Projection	Variance as % of Revised Budget
13,120	Policy & Resources	18,045	17,302	15,030	(2,272)	(2,710)	(438)	19.28%	-15.66%
78,212	Education & Communities	87,698	81,555	80,474	(1,081)	(1,294)	(213)	19.70%	-1.59%
18,670	Environment & Regeneration	23,022	20,751	20,600	(151)	(109)	42	-27.81%	-0.53%
47,932	Health & Social Care	49,064	49,081	48,917	(164)	(282)	(118)	71.95%	-0.57%
157,934	COMMITTEE NET EXPENDITURE EXCLUDING EARMARKED RESERVES	177,829	168,689	165,021	(3,668)	(4,395)	(727)	19.82%	-2.61%

Reasons: Final Outturn

POLICY & RESOURCES

Additional Turnover Savings Achieved	(260)
Inflation Contingencies not used	(1,579)
Over Recovery of prior year council tax	(200)
IRI over recovery	(222)
Revenues Water SLA Income	(82)
Over recovery of benefit subsidy	(115)
Various underspends all under £50k.	(252)
	(2,710)

EDUCATION & COMMUNITIES

Additional Turnover Savings Achieved	(214)
Early Achievement of Planned Savings	(160)
C&YPB delay on 600 hours	(407)
Education - Utility budgets not used	(83)
Education - Over recovery of school meal income	(78)
Various underspends all under £50k.	(352)
	(1,294)

HEALTH & SOCIAL CARE

Additional Turnover Savings Achieved	(932)
Strategy - Additional Income	(73)
Older People - overspend on homecare, residential & nursing care	724
Learning Disability - overspend on transport costs	67
Learning Disability - shortfall in income	60
Mental Health - Reduction in care package costs	(135)
Physical & Sensory - overspend on equipment costs	130
Physical & Sensory - additional income achieved	(167)
Homelessness - underspend due to reduced usage	(123)
Homelessness - shortfall in income due to reduced usage	289
Various underspends all under £50k.	(122)
	(282)

ENVIRONMENT & REGENERATION

Additional Turnover Savings Achieved	(74)
Early Achievement of Planned Savings	(220)
Under recovery of Planning Income	101
Overspend on agency worker costs	99
Reduction in refuse transfer residual waste costs	(54)
Various under/overspends all under £50k.	39
	(109)

Reasons: Movement P11 to Outturn

POLICY & RESOURCES

Inflation Contingencies returned to Reserves	(79)
Further increase in IRI income	(222)
Various minor variances all under £50k.	(137)
	(438)

EDUCATION & COMMUNITIES

Education - Over recovery of school meal income	(78)
Education - Various utility variances	96
Various minor variances all under £50k.	(231)
	(213)

HEALTH & SOCIAL CARE

Older People - Changes in care packages	(61)
Older People - additional income for care costs/ charging orders	(90)
Various minor variances all under £50k.	33
	(118)

ENVIRONMENT & REGENERATION

Futher overspend on agency worker costs	34
Various minor variances all under £50k.	8
	42

MATERIAL VARIANCES FROM BUDGET (OVER £50,000)

POLICY & RESOURCES COMMITTEE

1. **Contingencies – Outturn Underspend £1,579,000 (49.90%), Movement Underspend £79,000**

Due to a lower than anticipated requirement for inflationary pressures around utilities, fuel, Social Care, PPP and waste contracts, the Council projected to underspend contingencies by £1,500,000. A further saving of £79,000 has been generated since the Period 11 report for non-pay Inflation contingencies.

2. **Internal Resources Income – Outturn Over Recovery £222,000 (98.23%), Movement Over Recovery £222,000**

Due to increased positive cashflow, Internal Resources Interest received was £222,000 more than budgeted in 2014/15.

3. **Housing Benefit Subsidy – Outturn Underspend £115,000 (0.32%), Movement Underspend £13,000**

The final Benefit Subsidy Claim produced in April 2015 reflected an actual underspend of £115,000 for 2014/15 mainly due to a lower than anticipated uptake within homelessness units. £102,000 of this was reported as part of the Period 11 report.

4. **Council Tax Prior Years Income – Outturn Over Recovery £204,000 (204%), Movement Over Recovery £4,000**

Due to improved collection rates, the Council over recovered prior years Council Tax Income by £204,000. This is an increase in income of £4,000 since the Period 11 report.

ENVIRONMENT & REGENERATION COMMITTEE

1. **Turnover Savings – Outturn Over Recovery £74,000 (0.41%), Movement Increase £5,000**

The Services within the Environment & Regeneration Committee achieved additional Turnover Savings of £74,000 in 2014/15. This is an increase of £5,000 in the position reported to the last Committee.

2. Achievement of Planned Savings – Outturn Over Recovery £220,000 (1.21%), Movement £3,000

Through early implementation of planned savings, the Directorate over achieved their savings target by £220,000.

3. Planning Income – Outturn Under Recovery £101,000 (17.2%), Movement Under Recovery £11,000

The Committee under recovered in planning income as a result of fewer than anticipated planning applications being received. This is an increase in the under recovery reported to the last Committee of £11,000.

4. Agency Worker Costs – Outturn Overspend £99,000 (215%), Movement Overspend £34,000

The Committee overspent on agency worker costs of £99,000 due to employing agency workers within Property Services, Vehicle Maintenance, Refuse Collection and Building Services Unit. This was mainly due to vacancies, recruitment difficulties and increased fee income. The increased costs are mainly offset by additional turnover savings achieved and increased income.

EDUCATION & COMMUNITIES

1. Turnover Savings – Outturn Over Recovery £214,000 (0.25%), Movement Increase £43,000

The Committee achieved additional Turnover Savings of £214,000 which is a movement of £43,000 since the last report to Committee.

2. Achievement of Savings – Outturn Over Recovery £160,000 (8.95%), Movement £0

Through early implementation of planned savings, the Directorate over achieved their savings target by £160,000 for 2014/15.

3. Various Utility Budget Lines – Outturn Underspend £83,000 (4.60%), Movement Overspend £81,000.

The Committee saved against budget in gas, electricity, heating oil and biomass costs during 2014/15 of £197,000. This has been partially offset by an increase in water charges of £114,000 mainly due to increased consumption costs, drainage costs and a water leak at St Ninians Primary School. This is an increase in the level of spend reported to the last Committee of £81,000 primarily due to water drainage costs.

**4. Children & Young People Bill 600 hours Free Nursery Provision –
Outturn Under Spend £407,000 (38.80%), Movement Underspend £7,000**

Due to delays in implementing aspects of the new Children & Young People Bill, the Council underspent on a one off basis by £407,000. It is not anticipated that this will be repeated in future years.

HEALTH & SOCIAL CARE COMMITTEE

**1. Turnover Savings – Outturn Over Recovery £932,000 (3.56%), Movement
Reduction £110,000**

The Committee produced additional turnover savings for 2014/15 of £932,000 this is a reduction of £110,000 since the last report. A high level of vacancies within homecare resulted in an increase of purchased external homecare included in Older People Services (see below).

**2. Client Commitments Older People Services – Outturn Overspend
£724,000 (4.52%), Movement Underspend £61,000.**

Client Commitments overspent by £724,000 during 2014/15, which is a movement of £61,000 since last report to Committee. Increased costs resulted from an increase in homecare and residential & nursing care costs linked to the increase in turnover (above).

**3. Client Commitments Mental Health Services – Outturn Underspend
£135,000 (6.20%), Movement £0**

Due to a reduction of care package costs the Directorate underspent by £135,000. This reflects the cost of purchase care packages per the client profile in 2014/15. This was reported in full to the last Committee.

**4. Homelessness Accommodation – Outturn Overspend £166,000 (42.92%),
Movement Overspend £8,000**

Due to reduced usage of both Inverclyde Centre and Temporary Furnished Accommodation, there was a net overspend of £166,000 for 2014/15. The Shortfall in income recovery exceeded the underspend achieved in property costs.

Report To:	Policy and Resources Committee	Date: 11 August 2015
Report By:	Chief Financial Officer	Report No: FIN/58/15/AP/LA
Contact Officer:	Alan Puckrin	Contact No: 01475 712223
Subject:	2014/15 Efficiency Performance	

1.0 PURPOSE

- 1.1 The purpose of this report is to advise Committee of the level of efficiencies achieved by the Council in 2014/15 and to approve the Annual Return which is to be returned to Cosla by 21 August 2015.

2.0 SUMMARY

- 2.1 All Councils are required to make an Annual Return in respect of efficiencies achieved which Cosla co-ordinates and submits to the Scottish Government. The Government has agreed to treat the Council's Efficiency Statement with a light touch and the information is at a high level.
- 2.2 The return has to be signed by the Chief Executive and the draft return is attached as Appendix 1. It can be seen that in 2014/15 the Council achieved recurring efficiency savings of £1.763 million an increase of £344,000 from 2013/14.
- 2.3 The Council has delivered £13.8 million of recurring efficiency savings over the period 2008/15 and is on target to deliver a further £1.71 million by 31 March 2016 (Appendix 2). This is clearly helping the Council protect front line services at a time of ongoing reductions in funding. In addition to this the Council has reinvested the £4.6million saved to date generated by the School Estates Management Plan. This is excluded as it has been fully reinvested in new/upgraded schools.
- 2.4 The Council continues to identify efficiencies (cash releasing and non-cash releasing) through three main Corporate exercises which are closely monitored via Committee and the CMT.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the achievement of £1.763 million recurring efficiency savings in 2014/15 and approve the submission of the annual return to Cosla by 21 August 2015.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 It is requirement of all Councils to make an Annual Return in respect of efficiencies achieved and submit this to Cosla who co-ordinate it on behalf of the Scottish Government. In return for this the Government has agreed to treat the Council's Efficiency Statement with a light touch.
- 4.2 The return has to be signed by the Chief Executive and the draft return is attached as Appendix 1. It can be seen that in 2014/15 the Council achieved recurring efficiency savings of £1.763 million.
- 4.3 Based on these figures the Council has achieved £13.8 million of recurring efficiency savings over the seven year period 2008/15 and is on target to achieve a further £1.71 million by 31 March 2016 (Appendix 2). This is clearly helping the Council protect front line services at a time of ongoing reductions in funding. In addition to this the Council has reinvested the £4.6million saved to date generated by the School Estates Management Plan. This is excluded as it has been fully reinvested in new/upgraded schools.
- 4.4 The Council operates three main drivers for the identification and delivery of efficiencies and business transformation. These are:
1. The Budget Process
 2. The work of the Corporate Improvement Groups
 3. Corporate Directorate Improvement Plans

Once projects are approved, progress against delivery is closely monitored by the CMT and via updates to Committee.

5.0 IMPLICATIONS

Finance

- 5.1 The financial information is detailed at Appendix 2 of the report.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments
N/A	Various	14/15	(1,763)		
		15/16	(1,711)		

Legal

- 5.2 Any legal implications arising from these efficiencies were addressed as part of the savings exercise.

Human Resources

- 5.3 Any HR implications arising from these efficiencies were addressed as part of the savings exercise.

Equalities

- 5.4 Any equalities issues arising from these efficiencies were addressed as part of the savings exercise

Repopulation

- 5.5 Achieving efficiencies helps protect front line service delivery which will assist in retaining people within the area.

6.0 CONSULTATION

- 6.1 The CMT have approved the proposed return to Cosla.

7.0 BACKGROUND PAPERS

- 7.1 None.

CONFIRMATION OF EFFICIENCIES DELIVERED IN 2014-15

1	Local Authority Name	Inverclyde
2	Total cash efficiency achieved for 2014-15 £'000	£1.763 million
3	<p>Summary of efficiency activity e.g.</p> <p>The main initiatives the local authority has taken over the year to ensure a strategic approach to increased efficiency and productivity and the improvements achieved in these areas.</p> <p>The main information that the local authority uses to assess productivity, service quality and performance and how the scope, usefulness or reliability has been improved during the year.</p> <p>Specific steps the local authority has taken during the year to improve collaboration and joint working to deliver efficient and user-focussed services and the improvements achieved.</p>	<p>Continuation of the main Workstream savings programme which delivered about 50% of the efficiencies in arrears such as Asset Management, Service Delivery models and Procurement. Other savings were identified as part of the Council's 3 year budget and monitored via the Corporate Management Team.</p> <p>Efficiencies are identified via the budget process and supported by impact sheets. The Council takes a robust view of savings which count towards efficiency targets.</p> <p>The Council CHCP continues to generate opportunities for sharing and joint working which helps offset the considerable pressures in this area.</p> <p>Joint working with the Hub and neighbouring Councils in capital procurement and close working with the Council's two ALEOs to attract external funding and generate increased investment.</p> <p>The Council is also utilising the benchmarking information generated from the Solace benchmarking information to further analyse costs and identify possible efficiencies.</p>
4	<p>Breakdown of efficiency saving by Procurement, Shared Services or Asset Management £'000</p> <p>(only where relevant – not all efficiencies will fall into these categories, so the figures here do not have to match the overall total).</p>	<p>Procurement = £71k</p> <p>Shared Services = -</p> <p>Asset Management = £511k</p>

5	Evidence: What performance measures and/or quality indicators are used to ensure that efficiencies were achieved without any detriment to services?	Via the Council's Performance Management Framework performance is regularly measured and reported. As stated above the Council takes a conservative view when classifying savings as efficiencies.
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Signed (Chief Executive or equivalent)

Signed (if applicable)..... (Council Leader or equivalent)

Date

Efficiencies - 2008/9 to 2015/16

<u>Year</u>	<u>£million</u>	<u>Comment</u>
2008/9	1.966	Per Efficiency Statement
2009/10	1.922	Per Efficiency Statement
2010/11	2.864	Per Efficiency Statement
2011/12	1.754	Per Efficiency Statement
2012/13	2.096	Per Efficiency Statement
2013/14	1.430	Per Efficiency Statement
2014/15	1.763	Per Efficiency Statement
2015/16	1.711	Per Approved Savings
<u>Total</u>	<u>15.506</u>	

Note: Excludes £4.6 million efficiencies generated by the School Estate Management Plan which have accumulated since 2006. These savings have helped fund new replacement schools.

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Chief Financial Officer	Report No:	FIN/59/15/AP/KJ
Contact Officer:	Alan Puckrin	Contact No:	01475 712223
Subject:	TREASURY MANAGEMENT – ANNUAL REPORT 2014/15		

1.0 PURPOSE

- 1.1 The purpose of this report is to advise Members of the operation of the treasury function and its activities for 2014/15 as required under the terms of Treasury Management Practice 6 ("TMP6") on "Reporting Requirements and Management Information Arrangements".

2.0 SUMMARY

- 2.1 As at 31 March 2015 the Council had gross external debt (including PPP) of £284,125,698 and investments of £44,787,396. This compares to gross external debt (including PPP) of £291,875,474 and investments of £48,108,524 at 31 March 2014.
- 2.2 The Council's Capital Financing Requirement at 31 March 2015 was £303,381,000. The gross external debt was £19,255,302 (6.3%) less than the Capital Financing Requirement and so the Council was in an underborrowed position and remains so, having undertaken no borrowing so far in 2015/16.
- 2.3 The average rate of return achieved on investments during 2014/15 was 0.76% which exceeds the benchmark return rate for the year of 0.43% by 0.33% and resulted in £177,000 of additional interest on investments for the Council.
- 2.4 During 2014/15 and in 2015/16 to date the Council did not undertake any debt restructuring and operated within the required treasury limits and Prudential Indicators for the year set out in the Council's Treasury Policy Statement, annual Treasury Strategy Statement, and the Treasury Management Practices.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the contents of the annual report on Treasury Management for 2014/15, the issues in section 5.2 and 5.3 of the report, and the ongoing work to ensure the delivery of financial benefits for the Council.
- 3.2 It is also recommended that the Annual Report be remitted to the Full Council for approval.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 The Council is required by regulations issued under the Local Government in Scotland Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for 2014/15.
- 4.2 Treasury Management in this context is defined as: "The management of the local authority's cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."
- 4.3 This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).
- 4.4 The format and content of the report has been revised following the Audit Scotland report issued in March 2015 on "Borrowing and treasury management in councils" to seek to make the report clearer and more accessible. The Audit Scotland report and supplement for Councillors was submitted to the Policy & Resources Committee on 19 May 2015. A glossary of treasury management terms is attached as Appendix 1.

5.0 ANNUAL REVIEW

- 5.1 The treasury management issues arising during the year were:
 - a. The Council's debt (including PPP) has reduced during the year by £7.751m due to repaying maturing debt without undertaking new borrowing. As a result, there has also been a reduction in the Council's investments.
 - b. As at 31 March 2015 the Council had under borrowed against its capital financing requirement by £19.255m. No borrowing has been undertaken during 2015/16 to date.
 - c. The Council did not undertake any debt restructuring during 2014/15 and remained within its Prudential Indicator and Treasury Management limits during the year.
 - d. The Bank Rate remained unchanged during 2014/15 at 0.50% (unchanged since March 2009). The first increase is forecast by the Council's treasury advisers for Quarter 4 of 2015 and this has recently been confirmed by the Governor of the Bank of England.
 - e. PWLB rates for new borrowing were expected to increase by between 0.60% and 0.70% during the year. Due to economic uncertainty during the year, rates actually fell over the year by just under 1.20% for new borrowing for periods of 10 years up to 50 years.
 - f. Investment returns were expected to remain relatively low and this was indeed the position during the year, primarily due to the effects of the Funding for Lending Scheme.
 - g. The Council's investments earned a rate of return of 0.76% during the year and outperformed the benchmark return of 0.43% resulting in additional income to the Council of £177,000.
 - h. All investments were in accordance with the Council's investment policy and no institutions with which investments were made had any difficulty in repaying those investments and interest in full during the year.
 - i. The Council's investment performance is due to undertaking fixed term investments at interest rates that were above the benchmark with a counterparty which has high creditworthiness (the Bank of Scotland) and in accordance with the Council's investment strategy.

- 5.2 The UK Government are currently undertaking a trading plan to sell their shares in the Lloyds Banking Group which includes the Bank of Scotland who are the Council's bankers and with whom the Council has regularly undertaken fixed term deposits. The removal of government ownership does not affect the strength or stability of the Bank but may cause the Council to reduce the maximum period for investments with the Bank under the Investment Strategy.
- 5.3 In November 2014 the Committee gave approval for the negotiation of a new contract with the treasury advisers due to the previous contract ending on 30 June 2015. The new contract started on 1 July 2015 for 3 years with an option for a further 1 year extension.
- 5.4 The Council's Year End debt position was as follows:

	At 31 March 2014	At 31 March 2015
	£	£
Total Excluding PPP	220,111,474	214,314,698
PPP Debt	71,764,000	69,811,000
Total Including PPP	291,875,474	284,125,698

Further detail is given in the following table:

	At 31 March 2014		At 31 March 2015		Movement 2014/15
	Principal	Rate	Principal	Rate	Principal
	£000		£000		£000
Fixed Rate Funding:					
- PWLB	117,168		111,373		(5,795)
- Market *	55,000		36,000		See * Below
	172,168	3.99%	147,373	3.95%	(5,795)
Variable Rate Funding:					
- PWLB	0		0		0
- Market *	47,900		66,900		See * Below
- Temporary	43		42		(1)
	47,943	4.97%	66,942	4.81%	(1)
Total Debt (Excl PPP)	220,111	4.21%	214,315	4.22%	(5,796)
PPP Debt	71,764		69,811		(1,953)
Total Debt (Incl PPP)	291,875		284,126		(7,751)

* - Market Loans are shown as variable when they have less than 1 year to go until their next call date. The total value of Market Loans has not changed between financial years, just the split between fixed and variable.

5.5 The Council's investment position was as follows:

	At 31 March 2014		At 31 March 2015		Movement 2014/15
	Principal £000	Return	Principal £000	Return	Principal £000
Investments:					
- Fixed Term Deposits	32,500	1.02%	32,500	0.85%	0
- Deposit Accounts	15,609	0.50%	12,287	0.50%	(3,322)
Totals	48,109	0.85%	44,787	0.76%	(3,322)

Maximum level of investments in 14/15: £61,596,145 on 17 September 2014

Minimum level of investments in 14/15: £44,787,396 on 31 March 2015

Daily average for the year 14/15: £53,653,663.

5.6 2014/15 Outturn Compared to Estimates in 2014/15 Strategy

The 2014/15 outturn compared to the estimates in the 2014/15 strategy:

	2014/15 Estimate	2014/15 Outturn
<u>Borrowing Requirement</u>	£000	£000
New borrowing	1,200	0
Alternative financing requirements	0	0
Replacement borrowing	5,800	0
TOTAL	7,000	0
<u>Prudential/Treasury Management Indicators</u>		
	£000	£000
Gross external debt including PPP (As at 31 March 2015)	290,983	284,126
Capital financing requirement (As at 31 March 2015)	307,429	303,381
(Under)/over borrowing against CFR	(16,446)	(19,255)
	£000	£000
Net external borrowing and capital financing requirement (As at 31 March)	(56,638)	(64,042)
	£000	£000
Capital expenditure		
• Capital Programme	27,872	24,200
• PPP Schools/Finance Leases (incl. accounting adjustments)	(2,109)	(1,953)
Total	25,763	22,247
Ratio of financing costs (including PPP/ Finance Leases) to net revenue stream	12.27%	12.50%
Incremental impact of capital investment decisions - incremental increase in council tax (band D) per annum (use of capital receipts and prudential borrowing for capital expenditure)	£1.12	£1.25

5.7 2014/15 Outturn Compared to Limits in 2014/15 Strategy

The 2014/15 outturn compared to limits in the 2014/15 strategy:

	2014/15 Limits	2014/15 Outturn
<u>Prudential/Treasury Management Indicators</u>		
Authorised limit for external debt	£000	£000
• Borrowing	262,000	214,315
• Other long term liabilities	74,000	69,811
	336,000	284,126
Operational boundary for external debt		
	£000	£000
• Borrowing	255,000	214,315
• Other long term liabilities	72,000	69,811
	327,000	284,126
Upper limit for fixed interest rate exposure (Actual is as at 31 March 2015)	140%	87%
Upper limit for variable rate exposure (Actual is as at 31 March 2015)	40%	13%
Upper limit on sums invested for periods longer than 364 days (Actual is maximum in period)	£000 10,000	£000 0
Limits on fixed rate borrowing maturing in each period (LOBOs included based on call dates and not maturity dates) at 31 March 2015		
• Under 12 months	40%	0.0%
• 12 months and within 24 months	40%	0.5%
• 24 months and within 5 years	40%	35.6%
• 5 years and within 10 years	40%	30.8%
• 10 years and within 30 years	40%	6.0%
• 30 years and within 50 years	40%	27.1%
• 50 years and within 70 years	40%	0.0%
<u>Council Policy Limits</u>		
Maximum Percentage of Debt Repayable In Year (Actual is as at 31 March 2015)	25%	18.7%
Maximum Proportion of Debt At Variable Rates (Actual is as at 31 March 2015)	40%	31.2%
Maximum Percentage of Debt Restructured In Year (Actual is as at 31 March 2015)	30%	0.0%

The forecast Investment Balances for 2014/15 required under Investment Regulation 31 and the actual position at 31 March 2015 is shown in Appendix 2.

5.8 The forecast from the Treasury Advisors in the Strategy for the Bank Rate as at 31 March and the latest forecast are:

	Forecast Per 2014/15 Strategy	Actual/Latest Forecast	
2014/15	0.50%	0.50%	(Actual)
2015/16	0.75%	0.50%	(Forecast)
2016/17	1.75%	1.00%	(Forecast)

5.9 The Council's Loans Fund Pool Rate for Interest is used to allocate interest charges to the General Fund and reflects the actual cost of the Council's Treasury activities. The rates for the last 5 years are as follows:

Year	Loans Fund Pool Rate
2010/11	4.300%
2011/12	4.208%
2012/13	3.811%
2013/14	3.831%
2014/15	3.934%

As interest rates begin to increase gradually it is expected the Pool Rate will continue a small increase in the medium term.

5.10 The Council's investment policy for the year is governed by Scottish Government Investment Regulations, which was implemented in the annual investment strategy approved by the Council on 10 April 2014. This policy sets out the approach for choosing investment categories and counterparties, and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data such as rating outlooks, credit default swaps, bank share prices etc.

5.11 All investments were in accordance with the policy and no institutions with which investments were made had any difficulty in repaying investments and interest in full during the year.

The result of the investment strategy undertaken by the Council in 2014/15 is as follows:

Average Investment	Rate of Return (gross of fees)	Benchmark Return (3 month LIBID un compounded)
£53,653,700	0.76%	0.43%

The Council have outperformed the benchmark by 0.33% resulting in additional income to the Council of £177,000. Opportunities for the Council to out-perform the benchmark rate are becoming fewer due to more standardisation of rates and periods offered.

6.0 IMPLICATIONS

Legal

6.1 None. Any borrowing or lending is done under the Council's legal powers.

Finance: Through the achievement of exceeding the investment benchmark return rate, the Council has benefited from additional returns of £177,000. The Council utilises Treasury Management as part of the overall Financial Strategy. Officers will continue to investigate borrowing and investment opportunities to bring financial benefits to the Council, all within the Treasury Management Policy.

Human Resources

6.2 None

Equalities

6.3 None

Repopulation

6.4 None

7.0 CONSULTATIONS

7.1 This report has been produced based on advice from the Council's treasury advisers (Capita Treasury Solutions Limited).

8.0 LIST OF BACKGROUND PAPERS

8.1 CIPFA - Treasury Management in the Public Services – Code of Practice and Cross-Sectoral Guidance Notes – 2011 Edition
Inverclyde Council – Treasury Management Strategy 2014/15.

Appendix 1

TREASURY MANAGEMENT GLOSSARY OF TERMS

Authorised Limit for External Debt

This is a limit for total Council external debt as set by the Council based on debt levels and plans.

Bank of England

The central bank for the UK with ultimate responsibility for setting interest rates (which it does through the Monetary Policy Committee or “MPC”).

Bank Rate

The interest rate for the UK as set each month by the Monetary Policy Committee (“MPC”) of the Bank of England. This was previously referred to as the “Base Rate”.

Call Date

A date on which a lender for a LOBO loan can seek to apply an amended interest rate to the loan. The term “call date” is also used in relation to some types of investments with a maturity date where the investments can be redeemed on call dates prior to the maturity date.

Capital Expenditure

Expenditure on or for the creation of fixed assets that meets the definition of Capital Expenditure under the accounting rules as set-out in the Code of Practice on Local Authority Accounting in the United Kingdom and for which the Council are able to borrow.

Capital Financing Requirement

The Capital Financing Requirement (sometimes referred to as the “CFR”) is a Prudential Indicator that can be derived from the information in the Council’s Balance Sheet. It generally represents the underlying need to borrow for capital expenditure (including PPP schemes).

CIPFA

CIPFA is the Chartered Institute of Public Finance and Accountancy who produce guidance, codes of practice, and policy documents for Councils.

Counterparty

Another organisation involved in a deal i.e. if the Council enters a deal with a bank then the bank would be referred to as the “Counterparty”.

Credit Ratings

Credit ratings are indicators produced by a ratings provider (such as Fitch, Moody's or Standard & Poor's) that aim to give an opinion on the relative ability of a financial institution to meet its financial commitments. Credit ratings are not guarantees – they are opinions based on investigations and assessments by the ratings providers and they are regularly reviewed and updated. The Council makes use of credit ratings to determine which counterparties are appropriate or suitable for the Council to make deposits with.

The highest credit rating is AAA.

European Central Bank

Sometimes referred to as “the ECB”, the European Central Bank is the central bank for the Eurozone and is the equivalent of the Bank of England. The European Central Bank sets interest rates for the Eurozone.

Eurozone

This is the name given to the countries in Europe that have the Euro as their currency. Interest rates in the Eurozone are set by the European Central Bank. The Eurozone is comprised of the following 19 countries: Austria, Belgium, Cyprus, Estonia, Finland, France, Germany, Greece, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Portugal, Slovakia, Slovenia, and Spain.

Federal Reserve

Sometimes referred to as “the Fed”, the Federal Reserve is the central bank for the US and is the equivalent of the Bank of England. The Federal Reserve sets interest rates for the US.

Fixed Term Deposit

A Fixed Term Deposit or Fixed Term Investment is an investment with a named bank or financial institution which matures on a set date and which is repaid with interest on the maturity date. Fixed Term Deposits cannot be traded and cannot be terminated before the maturity date without the payment of a penalty (if at all).

Gilt Yields

A gilt yield is the effective rate of return that someone buying a gilt at the current market price will receive on that gilt. Since the market price of a gilt can vary at any time, the yield will also vary.

Gilts

Gilts are bonds (i.e. debt certificates) that are issued (i.e. sold) by the UK Government. When they issue gilts the Government sets the interest rate that applies to the gilt, sets when they will repay the value of the gilt, and it agrees to make interest payments at regular intervals until the gilt is repaid or redeemed. Gilts are traded in the financial markets with the price varying depending on the interest rate applicable to the gilt, when the gilt will be repaid (i.e. when it will mature), on Bank Rate expectations, and on market conditions.

Gross Domestic Product

Gross Domestic Product (“GDP”) is a measure of the output of goods and services from an economy.

Growth

Positive growth in an economy is an increase in the amount of goods and services produced by that economy over time. Negative growth in an economy is a reduction in the amount of goods and services produced by that economy over time.

IMF

The International Monetary Fund oversees the world financial system and seeks to stabilise international exchange rates, facilitate development, and provide resources to countries in balance of payments difficulties or to assist with poverty reduction.

Incremental Impact of Capital Investment Decisions

These are Prudential Indicators that reflect the impact on Council Tax of movements in projected and estimated capital expenditure within and between financial years.

Inflation

Inflation is the term used for an increase in prices over time. It can be measured in various ways including using the Consumer Prices Index (“CPI”) or the Retail Prices Index (“RPI”).

Investment Regulations

The Local Government in Scotland Act 2003 allows the Scottish Ministers to introduce Regulations to extend and govern the rules under which Scottish Councils may invest funds. The Local Government Investments (Scotland) Regulations 2010 came into effect on 1st April 2010.

LIBID

This is the London Interbank Bid Rate – an interest rate that is used between banks when they wish to attract deposits from each other.

LIBOR

This is the London Interbank Offering Rate – an interest rate that is used as a base for setting interest rates for deals between banks.

LOBO

This is a form of market loan that the Council has with some lenders. The term is short for the phrase “Lender Option/Borrower Option”.

MPC

The MPC or Monetary Policy Committee is a committee of the Bank of England that meets each month (in a meeting over 2 days) to set the Bank Rate for the UK.

Operational Boundary

This is a level of debt set by the Council at lower than the Authorised Limit and which Council debt levels should not normally exceed during normal operations.

Prudential Code

Councils are required to comply with the CIPFA Prudential Code for Capital Finance in Local Authorities. These requirements include the production of Prudential Indicators. The Prudential Code was last revised in November 2011.

Prudential Indicators

Indicators set-out in the Prudential Code that will help Councils to meet requirements in relation to borrowing limits or which will help Councils demonstrate affordability and prudence with regard to their prudential capital expenditure.

PWLB

The Public Works Loan Board is a government agency and part of the Debt Management Office. The PWLB provides loans to local authorities and other specified bodies.

PWLB Certainty Rates

In the Budget in March 2012, the Chancellor of the Exchequer announced that local authorities that provide information on their long-term borrowing and capital spending plans would be eligible for a 0.20% discount rate for new PWLB borrowing. The PWLB Certainty Rates came into effect on 1st November 2012.

PWLB Rates

These are the interest rates chargeable by the Public Works Loan Board for loans. The rates for fixed rate loans are determined by the day on which the loan is agreed. The rates to be charged by the PWLB for loans are set each day based on gilt yields at the start of business each day and then updated at least once during the day.

Quantitative Easing

This is the creation of money by a central bank (such as the Bank of England) in order to purchase assets from banks and companies and boost the supply of money in an economy.

Treasury Management Code

This is the "Treasury Management in the Public Services: Code of Practice" and is a code of practice for Council treasury management activities. It is produced by CIPFA and was last revised in November 2011.

Treasury Management Indicators

These are Prudential Indicators specifically relating to Treasury Management issues.

Treasury Management Practices (TMPs)

This is a Council document that sets out Council policies and procedures for treasury management as required by the Treasury Management Code. The Council also agrees an annual treasury management strategy that is submitted to Committee in accordance with the Treasury Management Practices.

Yield

The yield is the effective rate of return on an investment.

**FORECAST OF INVESTMENT BALANCES
ESTIMATE FOR 2014/15 AND ACTUAL AT 31 MARCH 2015**

Investment Regulation 31 requires the Council to provide forecasts for the level of investments. The estimate for 2014/15 and the actual as at 31 March 2015 are:

	2014/15 Estimate	2014/15 Actual At 31 March 2015
Cash balances managed in-house		
- At 1 April 2014	58,899	48,109
- At 31 March 2015	40,192	44,787
- Change in year	(18,707)	(3,322)
- Average daily cash balances	49,546	53,654
Holdings of shares, bonds, units (includes local authority owned company)		
- At 1 April 2014	2	2
- Purchases	0	0
- Sales	0	0
- At 31 March 2015	2	2
Loans made to third parties		
- At 1 April 2014	2,321	2,259
- Advances	14	19
- Repayments	53	38
- At 31 March 2015	2,282	2,240
Total of all investments		
- At 1 April 2014	61,222	50,370
- At 31 March 2015	42,476	47,029
- Change in year	(18,746)	(3,341)

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Chief Financial Officer	Report No:	FIN/52/15/AP/LA
Contact Officer:	Alan Puckrin	Contact No:	01475 712223
Subject:	Budget Strategy – 2016/18		

1.0 PURPOSE

- 1.1 The purpose of this report is to seek Policy & Resources approval for the 2016/18 Budget Strategy.

2.0 SUMMARY

- 2.1 In February 2015 the Council agreed a 2015/17 Revenue Budget which required the temporary use of £3.3 million from reserves to balance 2016/17 in light of the high level of uncertainty around a number of critical items. In addition the Council agreed a 2015/18 Capital Programme.
- 2.2 The Members Budget Working Group (MBWG) has commenced consideration of the next stage of the budget which includes the delivery of approximately 30 reviews which form the Budget Workplan.
- 2.3 There still remain a number of key issues in 2015/16 and 2016/17 which require to be clarified which could materially impact on the funding gap and thereafter there is even greater uncertainty in respect of 2017/18. It is not expected that the Scottish Government will announce figures in any detail for Local Government for 2017/18 prior to the Holyrood elections in May 2016. There are however strong service delivery and pragmatic arguments for the Council to set a 2016/18 Revenue Budget even if this continues the use of an element of reserves on a temporary basis pending clarification on issues such as the Government Grant Settlement and pay awards.
- 2.4 The Capital Programme for 2015/18 is however far more certain and it is recommended that no decision is taken regarding the 2018/19 Capital Programme in February 2016 but rather that officers concentrate on delivery of the existing extensive Capital Programme.
- 2.5 In line with prior years it would be appropriate that an exercise to identify unavoidable pressures arising from either legislative requirements or contractual issues should be undertaken. This however has to be tightly controlled in order to manage expectations and to effectively utilise the Council's limited resources at a senior level. At present there is no specific pressures allowance in the 2016/17 budget however an allowance of £1 million has been built into 2017/18 within the Financial Strategy.
- 2.6 Unsurprisingly savings will be the most contentious area within the budget and based on the figures in the Financial Strategy the initial high level estimate of the funding gap in 2017/18 is £12.6 million. The expectation would be however that the ultimate saving gap will be lower than this due to pay awards and other inflation being less than budgeted, the pressures allowances not being fully required and the reductions in grant being lower than currently shown. Appendix 1 shows a more realistic savings target of £6.4 million and in order to provide Members with an element of flexibility and choice the Corporate Management Team propose to develop options for £8 million savings, some 25% above the estimated target.

- 2.7 The distribution of savings is a matter which requires to be agreed. Last year the savings target was pro rata to net budget plus variable income and made no allowance for national or local policy priorities. In light of the Scottish Government's policy on teacher numbers the Corporate Management Team recommend that the savings target takes this factor into account. Understandably this will have the impact in increasing the savings target in all other areas of the Council. Appendix 2 shows the distribution of savings targets if this method were used.
- 2.8 Having reviewed the distribution of the savings target using the methodology in Appendix 2, the Corporate Management Team propose that a more targeted savings approach is required albeit in the knowledge that this will potentially lead to significant reductions in certain "unprotected" areas.
- 2.9 Under this proposal the MBWG will be asked to indicate any "no go" areas from the services delivered by the Council. Thereafter those remaining areas will require to generate the savings options. Clearly, depending on the value of the "no go" areas, the percentage savings required from those remaining areas could be quite large.
- 2.10 Members will be aware that there are a significant number of reviews being progressed by officers which arose during the consideration of savings last budget round. The value of the savings proposed by officers at that time and a list of the associated reviews is shown in Appendix 3.
- 2.11 The CMT would recommend that the original savings totalling £2.642 million (by year 2) should form part of the £8.0 million savings for consideration by Members. These savings can then be reconsidered in the context of the reports back and the further savings which officers will require to develop.
- 2.12 Officers within Finance have examined whether a saving could be generated by smoothing future Loan Charges. If this was agreed then it would reduce the initial £6.4 million savings gap identified in Appendix 1. A proposal has been developed and will be reported to Committee in September.
- 2.13 The Policy & Resources Committee has agreed that proposals for the use of any free reserves should be channelled through the Members Budget Working Group and reported to the September Policy & Resources Committee. This consideration will be heavily influenced by the ultimate decision in respect of the Janitors tied houses plus whether a sizeable proportion of the reserve should be set aside as a contingency to temporarily fund the 2017/18 budget pending clarification of the issues identified in 2.3. The £6.4 million savings gap assumes £2.0 million of reserves are used in this way.
- 2.14 All the above figures have assumed the continuation of the Council Tax Freeze in 2016/18 as per the Government stated policy. Given the scale and impact of the savings outlined the MBWG have asked for a report back on the impact of an increase in Council Tax as part of this budget.
- 2.15 It can be seen from the above that there are a number of specific tasks which require to commence sooner rather than later to allow sufficient time for appropriate budget consultation and development of proposals via the Members Budget Working Group. A high level time line is shown in Appendix 4.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee consider the contents of this report and agree the following:
- a) That the Council approve a 2016/18 revenue budget in February 2016.
 - b) That a 2016/18 Capital Programme be confirmed in February 2016.
 - c) That the approach outlined for the identification of potential budget pressures be as outlined in Section 7.

- d) That the proposed 2016/18 Revenue Savings Target be set at £6.4 million plus a 25% excess to provide Members with an element of choice.
- e) That the proposed savings process outlined in 2.9 be agreed.
- f) That the savings reviews included in the Budget Work Plan which are summarised in Appendix 3 form the first £2.64 million of the £8 million savings options.

3.2 That it be noted that a report on the potential use of reserves to generate a loans charge saving be considered by the September meeting of the Committee.

3.3 That the timetable shown in Appendix 4 be approved.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 The Council agreed a 2015/17 Revenue Budget in February 2015 which required the use of £3.3 million of reserves on a temporary basis in 2016/17 pending clarification of a number of critical issues such as the 2016/17 Grant Settlement and the 2015/17 Pay Award.
- 4.2 At the same meeting the Council agreed a 2015/18 Capital Programme based on assumed level of Capital Grant from the Scottish Government for the period 2016/18.
- 4.3 Based on the decisions at the February 2015 Council meeting and subsequent developments the Corporate Management Team have developed a Budget Workplan which contains approximately 30 actions nearly all of which require delivery by December 2015. This Plan will form the bedrock of reporting back to the Members Budget Working Group and thereafter to Committee.
- 4.4 At the May Policy & Resources Committee it was agreed that any decision on the use of surplus reserves would be taken at the September Policy & Resources Committee following consideration by the Members Budget Working Group. However one critical issue within this consideration is the need to clarify and finalise the situation in respect of the Janitors and the payment of rent/Council Tax.

5.0 CURRENT POSITION

- 5.1 The Members Budget Working Group met on 27 May and endorsed the Budget Workplan. Directors are progressing the appointment of temporary resources/consultants to progress the reviews and this matter will be tracked via regular updates to the Members Budget Working Group as well as the Joint Budget Group.
- 5.2 The Financial Strategy was endorsed at the Full Council on 4 June 2015 and within this it identified an estimated funding gap of £9.3 million in 2017/18 to which the balance of savings required on the current 2016/17 budget of £3.3 million should be added giving a total estimated funding gap of £12.6 million for the period 2016/18.
- 5.3 Pay negotiations of the period 2015/17 are at an advanced stage and indications are that the full allowance set aside by the Council for this period will not be required. Given historically low non pay inflation levels it is also anticipated that a further saving will be made on non pay inflation during the period 2015/17. Both the pay and non pay inflation issues will result in a reduction in the £12.6 million savings target identified above.
- 5.4 There is no unallocated pressures funding in the budget for 2016/17 however an allowance of £1 million has been factored in to the initial 2017/18 high level budget. At this point in time the only material pressures identified outwith inflation are the likely requirement for the Council to increase its contribution to the Greenock Arts Guild for the Beacon Arts Centre and continuing pressure in terms of Elderly Care budgets.
- 5.5 A paper to Cosla Leaders in May 2015 estimated ongoing 1.6% reductions in cash funding within the Scottish block. The impact on Local Government can only be estimated at this point in time and thereafter the impact on Inverclyde Council has to be extrapolated and needs to take into account the continuing population reduction. Therefore, there will be a reduction in cash funding for the Council over 2016/18.
- 5.6 The UK Government announced £3bn of cuts in 2015/16 in late May. It is estimated that the negative "consequentials" for Scotland will be £107 million (£60 million Capital and £47 million Revenue). How this will be dealt with and the impact on the Council's 2015/16 budget is not clear.
- 5.7 The 8th July UK budget announced some issues which may impact over the 2016/18 period such as the increase in the minimum wage, potential easing of the squeeze on Public Sector Finances and significant reduction in Welfare Budgets, however any implications on the Council's finances will only become clear by the end of 2015 at the earliest.

6.0 PROPOSALS

- 6.1 It is proposed the Committee agree that the Council should set a 2016/18 Revenue Budget in February 2016. The rationale for this is the same as in prior years in terms of the operational and service delivery certainty it can provide plus it provides officers with more time to deliver any service delivery changes and manage any employee impacts.
- 6.2 In saying this it must be borne in mind that the expectation is that the Scottish Government will not provide a detailed settlement to Local Government beyond 2016/17 this side of the Holyrood elections and therefore any 2017/18 budget requires to be seen in the context of estimated settlement figures. In light of this it is highly likely that Members will wish to continue the temporary use of reserves in 2017/18 to delay the worst of any budget cuts until there is far greater clarity as to the Council's overall financial position in 2017/18.
- 6.3 As highlighted above the Council has already agreed a 2015/18 Capital Programme and at this point in time it is not recommended that a further year be added on to this Capital Programme. If this is agreed it would be anticipated that the Council could agree a 2017/20 Capital Programme in February 2017.

7.0 PRESSURES

- 7.1 As part of the budget process the identification of unavoidable legislative and contractual budget pressures requires to take place. In prior years there has been a diminimus threshold of £50,000 for each individual item. The CMT recommend that this threshold be retained.
- 7.2 It is important that the identification of any budget pressures be tightly controlled in order to save officer time and to manage expectations. This exercise does not include any policy development budget pressures as these should emanate from the Members Budget Working Group as part of the budget development.
- 7.3 In order to allow early consideration of these pressures it is intended that any budget pressures are identified and reported to the Corporate Management Team no later than the middle of August.

8.0 SAVINGS

- 8.1 Last year Members agreed a straight pro rata of savings target across the Directorate net budgets with a small adjustment for controllable income.
- 8.2 In terms of sizing the pot for savings it has been indicated above that the overall savings target for the period 2016/18 could be as high as £12.6 million. However as is already indicated it is unlikely that the full pay and non pay inflation allowances will be required and it would be anticipated that the pressures allowance for the National Insurance Contracting out cost may not be fully required. Once the potential use of reserves to smooth out the continuing uncertainty in 2017/18 is taken into account then it is proposed that a more realistic savings target is £6.4 million as shown on Appendix 1. Thereafter to provide Members with an element of choice it is recommended that the savings target be set at £8 million.
- 8.3 The Corporate Management Team recommend that account should be taken of the national policy priority relating to teacher numbers as reductions cannot take place without incurring a significant financial penalty from the Scottish Government. In light of this there is a strong argument that the teaching salary budget should be removed before the calculation of any savings targets. It is acknowledged that this will put extra pressure on the remaining Council Budgets but this is arguably a more realistic approach to allocating savings. Appendix 2 illustrates the impact.

- 8.4 Having reviewed the distribution of the £8 million savings target using the methodology in Appendix 2, the Corporate Management Team propose that a more targeted savings approach is required albeit in the knowledge that this will potentially lead to significant reductions in certain “unprotected” areas.
- 8.5 Under this proposal the MBWG will be asked to indicate any “no go” areas from the services delivered by the Council. Thereafter those remaining areas will require to deliver the £8 million savings options. Clearly, depending on the value of the “no go” areas, the percentage saving required for those areas remaining could be quite large.
- 8.6 It is acknowledged that this is an extremely challenging target given that officers are still in the process of delivering almost £10 million worth of savings over the period 2015/17. Committee need to be aware that the proposed Policy led approach will lead to significant service reduction in “unprotected” areas.
- 8.7 Committee will be aware that there are a significant number of reviews being progressed by officers which arose during the consideration of savings last budget round. The value of the savings proposed by officers at that time and a list of the associated reviews is shown in Appendix 3.
- 8.8 The CMT would recommend that the original savings totalling £2.642 million (by year 2) should form part of the £8.0 million savings for consideration by the MBWG. These savings can then be reconsidered in the context of the reports back and the further savings which officers will require to develop.
- 8.9 Officers within Finance have been examining whether a saving could be generated by smoothing future Loan Charges. If approved by Members then it would reduce the initial £6.4 million savings gap identified in Appendix 1. A proposal has been developed and is due to be reported to the Committee in September.
- 8.10 All the above figures have assumed the continuation of the Council Tax Freeze in 2016/18 as per the Government stated policy. Given the scale and impact of the savings outlined the MBWG have requested a report back on the impact of an increase in Council Tax.

9.0 NEXT STEPS

- 9.1 An initial summary timetable has been attached as Appendix 4 and from this it can be seen that much of the budget will need to be completed by the end of August to enable Members sufficient time to consider the proposals. The resourcing of this exercise at the same time as the delivery of the budget action plan, delivery of the current budgets and Capital Programme should not be underestimated.

10.0 IMPLICATIONS

Finance

- 10.1 The financial implications are clearly outlined in the report.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (If Applicable)	Other Comments
N/A					

Legal

10.2 There are no specific legal implications arising from this report.

Human Resources

10.3 Budget reductions of the level identified in this report will undoubtedly have impacts on the Council's workforce and it is becoming increasingly difficult for the Council to avoid compulsory redundancies especially in the context of the significant funding gap in 2017/18.

Equalities

10.4 As has been the case in prior years equality impact assessments will need to be carried out as part of the development of the budget.

Repopulation

10.5 There are no specific repopulation issues arising from this report.

11.0 CONSULTATIONS

11.1 The MBWG have endorsed the contents of this report.

12.0 LIST OF BACKGROUND PAPERS

12.1 There are no specific background papers associated with this report.

2016/18 Funding Gap
Updated Scenario

Issue	2016/17 £m	2017/18 £m	Note
Finance Strategy Funding Gap	3.3	9.3	
2015/17 Pay Inflation Saving	(2.0)		1
2015/17 Non-Pay Inflation Saving	(0.8)		2
2016/17 Lower Grant Reduction	(0.2)		3
2016/17 Contracting Out Cost Reduction	(0.2)		4
2017/18 Lower Grant Reduction		(1.0)	5
2017/18 Use of Reserves		(2.0)	6
	0.1	6.3	

1/ Based on 2.75% pay award over 2015/17 plus further Living Wage Uplift. Leaves 2.0% allowance in 2017/18

2/ Based on allocations known to date extrapolated forward.

3/ Assumes a 1% Cash cut for Local Government adjusted for NDR but £1 million loss due to depopulation.

4/ Based on current payroll.

5/ Assumes 1.5% GRG cut and £1 million depopulation cut.

6/ Use of Reserves on a temporary basis could be considered however the sum should reduce as a more optimistic view of the areas of uncertainty has been factored in. Proposal equals 1% of Budget.

Reduction in Savings Target £6.200 million ie: New Target £6.400 million

AP/LA
July 2015

Proposed Budget Savings - 2017/18

Appendix 2

Proposed Savings Share - 2016/17 Net Budget at February 2015

	Net Expenditure Budget (Adj for External Income) 2016/17	Detailed Savings Target 2017/18 £8m*	Net Expenditure Budget (Adj for External Income & Teachers) 2016/17	Detailed Savings Target 2017/18 £8m*
<i>Environmental, Regeneration & Resources Directorate</i>	33,924,940	1,548,000	33,924,940	1,942,000
Regeneration & Planning	5,111,470	233,000	5,111,470	293,000
Environmental & Commercial Services	16,038,030	732,000	16,038,030	918,000
Legal & Property Services	5,140,630	235,000	5,140,630	294,000
Finance & ICT	7,634,810	348,000	7,634,810	437,000
<i>Education, Communities & Organisational Development Directorate</i>	91,852,260	4,192,000	56,280,720	3,223,000
Education	69,940,870	3,192,000	38,485,200	2,204,000
Inclusive Education, Culture & Corporate Policy	11,484,870	524,000	7,369,000	422,000
Safer & Inclusive Communities	8,855,330	404,000	8,855,330	507,000
Organisational Development, HR & Communications	1,571,190	72,000	1,571,190	90,000
<i>Community Health & Care Partnership Directorate</i>	49,501,330	2,260,000	49,501,330	2,835,000
Children & Families/ Criminal Justice	10,090,510	461,000	10,090,510	578,000
Community Care & Health	32,380,680	1,478,000	32,380,680	1,854,000
Planning, Health Improvement & Commissioning	3,659,070	167,000	3,659,070	210,000
Mental Health & Addictions	3,371,070	154,000	3,371,070	193,000
Total	175,278,530	8,000,000	139,706,990	8,000,000

Note:

Figures exclude Corporate Director Budgets
2016/17 budget set at February 2015.

Figures are gross of external income and recharges to health boards and other local authorities

Budget Workplan - Potential Savings (Original Target)

	Year 1 £000	Year 2 £000	
ASN Service Review	-	-	Note 1
Universal Credit - Advice Services	-	60	
Community Facilities Provision	-	115	
HSCP - Commissioned Services	-	208	
Barnardo Service Provision	-	282	
Physical Disability Service	-	164	
Business Support in Schools	127	203	
Redesign Public/School Libraries	-	54	
Waivers Policy - Annual Review	-	150	
Future Delivery of Regeneration Services	-	125	
Env & CS Management Restructure	-	100	
Env & CS Parking & General Income	-	90	
Kirn Drive Depot	-	140	
Whinhill Golf Course - Reduced Subsidy	-	125	
SEMP - Review/Acceleration Options	-	200	
School Transport	365	584	
Eary Years Management	-	42	
	<u>492</u>	<u>2642</u>	

Notes:

1/ Indication from MBWG was this was about redistribution of budget rather than a saving. Savings originally proposed were £169k (Year 1), £734k (Year 2).

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Chief Financial Officer	Report No:	FIN/54/15/AP/FB
Contact Officer:	Alan Puckrin	Contact No:	01475 712223
Subject:	Customer Service Centre – Performance Update		

1.0 PURPOSE

- 1.1 The purpose of this report is to update Committee on the performance of the Customer Service Centre (CSC) and to ask Committee to note proposals for changes to the opening hours.

2.0 SUMMARY

- 2.1 The Customer Service Centre was opened in its new location at Clyde Square in the summer of 2012. The Council's first Customer Service Strategy was approved by Policy & Resources Committee in November 2012. A refreshed Customer Service Strategy will be presented to the September Policy and Resources Committee.
- 2.2 The Customer Service Centre has evolved since its opening at Clyde Square in 2012 and has taken on a number of new services as well as expanding on the depth of enquiry that is handled in certain areas. Due to the Welfare Reform changes Revenues and Benefits enquiries are taking up the vast amount of time in terms of volume, complexity and duration of enquiry and volumes are increasing.
- 2.3 Over the last 4 years since the CSC was established, the number of telephone calls and customers interviewed for services other than Revenues and Benefits have remained fairly static whilst, in comparison, Revenues and Benefits have seen an increase of 31% and 39% respectively for telephone calls and customers interviewed. This has had a detrimental effect on performance.
- 2.4 In order to improve customer service, officers have put in various steps such as utilising the Modern Apprentice Scheme, using temporary resources, purchasing a quality monitoring package and reviewing the way in which the teams are set up.
- 2.5 Whilst the above have assisted, without training and developing the CSC staff then improvements will be limited. It has proven very difficult to cross train existing staff as well as train any new staff while the CSC is open without causing unacceptable delays for customers. It is proposed that the best way to support the CSC with effective training and development and to allow team meetings as well as feedback on performance is to change the opening hours on a Wednesday morning from 8.45 am opening to 11.00 am. Although the front facing element will be closed until 11.00 am on a Wednesday morning, a general telephone service and the Corporate Desk and Registrars Service will still be provided as normal.
- 2.6 A Customer Charter which is attached as appendix 3 has been developed. The charter has been circulated to CSC staff for comment and has now been updated to reflect the commitment and values that the CSC should strive to achieve on a daily basis. It also lists the behaviours that in return we expect from customers who access the CSC. If approved this Charter will be displayed in the CSC for our customers to see.

3.0 RECOMMENDATIONS

- 3.1 That Committee note the significant increase in demand for Revenues and Benefits enquiries.
- 3.2 That Committee note the proposals to the change to opening hours on a Wednesday morning from 15th October 2015.
- 3.3 That Committee approve the Customer Charter shown in Appendix 3.
- 3.4 That Committee note that a refreshed Customer Service Strategy will be presented to the September meeting.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 The Customer Service Centre originally operated from what is now the Central Library from 2009 until the summer of 2012 when it moved into the new facility at the front of the Greenock Municipal Buildings. The current opening hours of the Customer Service Centre are 08.45 to 16.45 (Monday to Thursday), 08.45 to 15.45 (Friday) for face to face enquiries and 08.45 to 16.45 (Monday to Thursday) and 08.45 to 16.00 (Friday) for telephony. Corporate reception operates from 08.30 to 17.00 (Monday to Thursday) and 08.30 to 16.00 (Friday). Any Corporate meetings scheduled outwith these core hours are organised by the relevant service.
- 4.2 The Customer Service Centre has evolved since its opening at Clyde Square in 2012 and has taken on a number of new services as well as expanding on the depth of enquiry that is handled for some services. Following the Welfare Reform changes Revenues and Benefits enquiries are taking an increasing amount of time in terms of volume, complexity and duration of enquiry.
- 4.3 A customer service hub was opened in Port Glasgow in 2014. It is operated by a single Customer Service Advisor. The Services delivered from the Hub are as follows:-
- Revenue & Benefits Enquiries
 - Document evidence/copying
 - Housing Benefit and Council Tax Reduction enquiries
 - Council Tax enquires (no payments taken)
 - Environmental enquiries (with the exception of bulk uplifts)
 - Voter registration enquires
 - Education enquires – clothing grants and free school meals
 - Collection point for SWF crisis grant vouchers
 - General enquires
 - I-heat referrals

5.0 PERFORMANCE

- 5.1 Over the last 4 years since the CSC was established, the number of telephone calls presented and customers interviewed for services other than Revenues and Benefits has remained fairly static with an overall increase of about 1.5%. Over the last 4 years the average telephone calls answered from those presented has remained at about 90%. When comparing this statistic to many other call centre operations this is viewed as a successful outcome. Recent feedback from the last cycle of Service Level Agreement meetings with Services other than Revenues and Benefits have expressed satisfaction with the level of service provided. Appendix 1 provides more detail on these figures.
- 5.2 In comparison however, there has been an increase of 31% and 39% respectively for telephone calls and customers interviewed for Revenues and Benefits; email enquiries have also more than doubled. Management Information shows that 48% of Revenues and Benefits calls are unanswered. This can result in more visits to the CSC which in themselves are more time consuming, thus making the situation worse. Appendix 2 provides more detail.
- 5.3 In order to improve the situation officers have taken steps to improve matters including utilising the Modern Apprentice Scheme, utilising temporary resources and purchasing a quality monitoring system.
- 5.4 Whilst the above have assisted a significant omission from the improvements needed is the need to cross train staff. It has proven very difficult to cross train existing staff as well as any new staff due to the opening hours of the CSC. Removing Customer Service Representatives from their duties to be trained puts more pressure on the remaining telephone or face to face staff. Revenues and Benefits are complex areas and staff cannot be trained in short ad-hoc sessions and as such the required training cannot be delivered.

5.5 An internal review of the way the teams are set up has been carried out and has been approved by CMT. There needs now to be a period of consolidation and time given for staff to be cross trained and in particular in Revenues and Benefits in order to address the level of abandoned calls, this does however require a change to opening hours.

6.0 OPENING HOURS

6.1 In order to facilitate ongoing training and development of the CSC staff and to allow team meetings for discussion and feedback on performance, the CSC will in line with many high street customer facing agencies such as banks open at 11.00 am on Wednesday mornings. The lunch break envelope has also been expanded to allow pressures on the CSC over this busy period to be partially alleviated.

6.2 Although the front facing element of the CSC would be closed until 11.00 am on a Wednesday morning, a general telephone service will still be provided as normal. Staff will cover these telephone lines on a rota basis so that no one misses out on the opportunity for training and development.

6.3 Corporate Reception and Registrars Services will be unaffected with the main doors remaining open so that these Services can be accessed as normal. The CSC will provide a floor walking service to make sure that customers are met and the situation explained to them.

6.4 The hub in Port Glasgow will also be open should any customer have an urgent Revenues and Benefits enquiry.

6.5 The change to opening hours is planned to take effect from week commencing 15th October. These changes will have to be adequately publicised and be sensitively handled. The following mechanisms will be utilised:

- An article on the Council's web site as well as updating the appropriate web pages
- an article on ICON
- a notice on the door with complete listings of opening times
- promote on the Plasma screens
- design a small post card with the revised opening times to be handed out to regular customers
- update any literature such as invoices, leaflets and forms that are issued to customers
- use of appropriate signage within the CSC

6.6 Customers will be able to continue to interact with the Council on a 24/7 basis using the Council Website on the following issues:-

- Payment of Council Tax, Non-Domestic Rates and Sundry Debtors
- Submission of Enquiries/Complaints via a link on the Contact Us on the Council Website

6.7 Work is ongoing to develop other 24/7 services including:

- Expanding the services which can be paid for via the Website.
- Allow on line reporting direct to services for requests such as street lighting faults or potholes
- Allow customers (following an authentication process) to view any interaction they have had with the Council in the one place
- Implement a self-service portal that will allow customers to book and pay for a bulky uplift on line
- Implement the Citizens mobile application which is similar to the self-service portal but is suitable for use on a smart phone

7.0 CUSTOMER CHARTER

- 7.1 A Customer Charter which is attached as appendix 3 has been developed. The charter has been circulated to CSC staff for comment and has now been updated to reflect the commitment and values that the CSC should strive to achieve on a daily basis. It also lists the behaviours that in return we expect from customers who access the CSC. If approved this Charter will be displayed in the CSC for our customers to see.

8.0 IMPLICATIONS

- 8.1 Financial – Whilst there will be no direct financial implications arising from this report it should be noted that the Finance Service has allocated £80,000 to increase employee levels on a temporary basis from earmarked reserves, in addition to a further £20,000 recurring funded by virement from prior year Council Tax income.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments

Legal

- 8.2 There are no Legal implications arising from this report.

Human Resources

- 8.3 There are no HR implications arising from this report.

Equalities

- 8.4 There are no Equalities implications arising from this report.

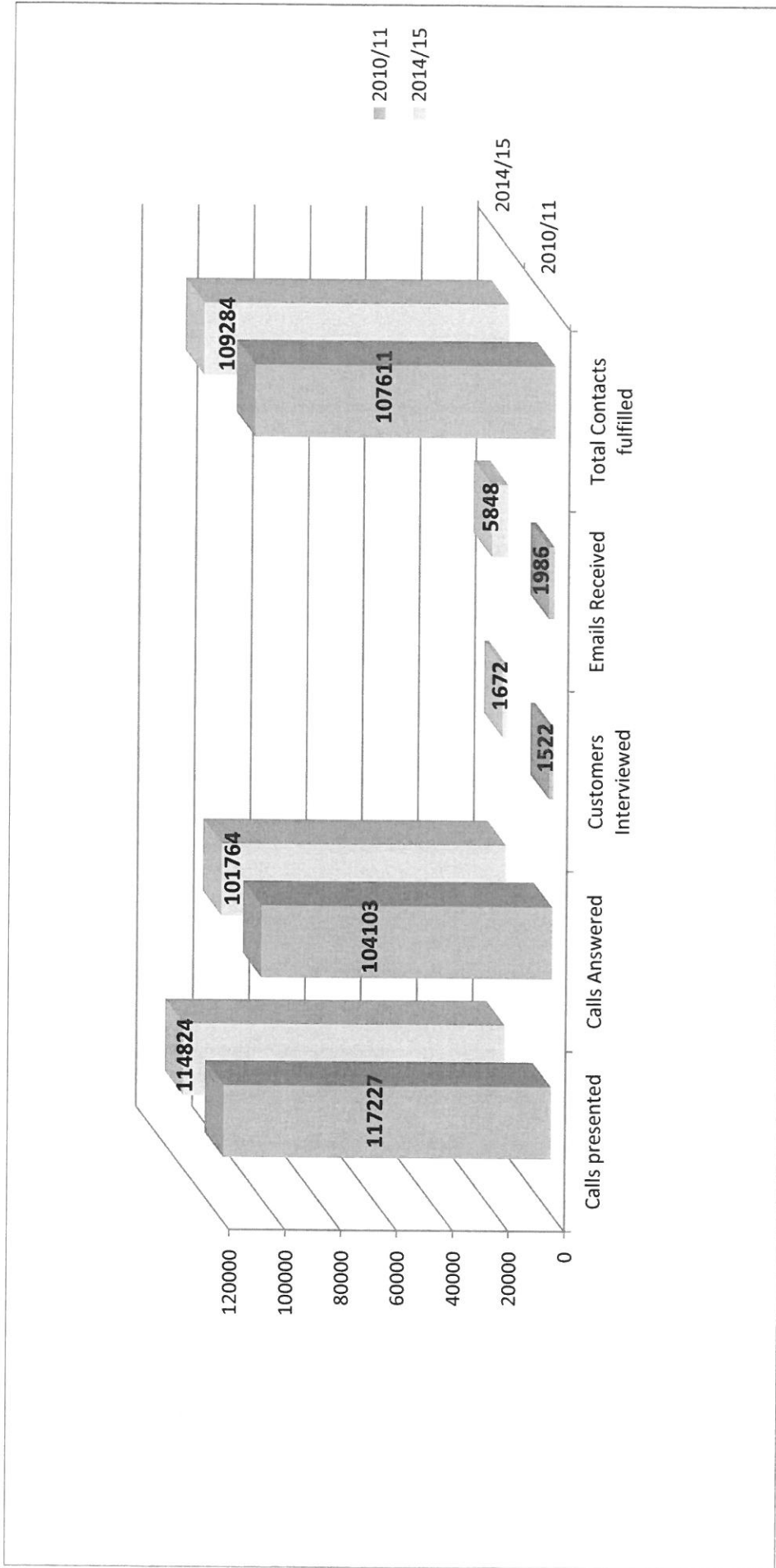
Repopulation

- 8.5 There are no Repopulation implications arising from this report.

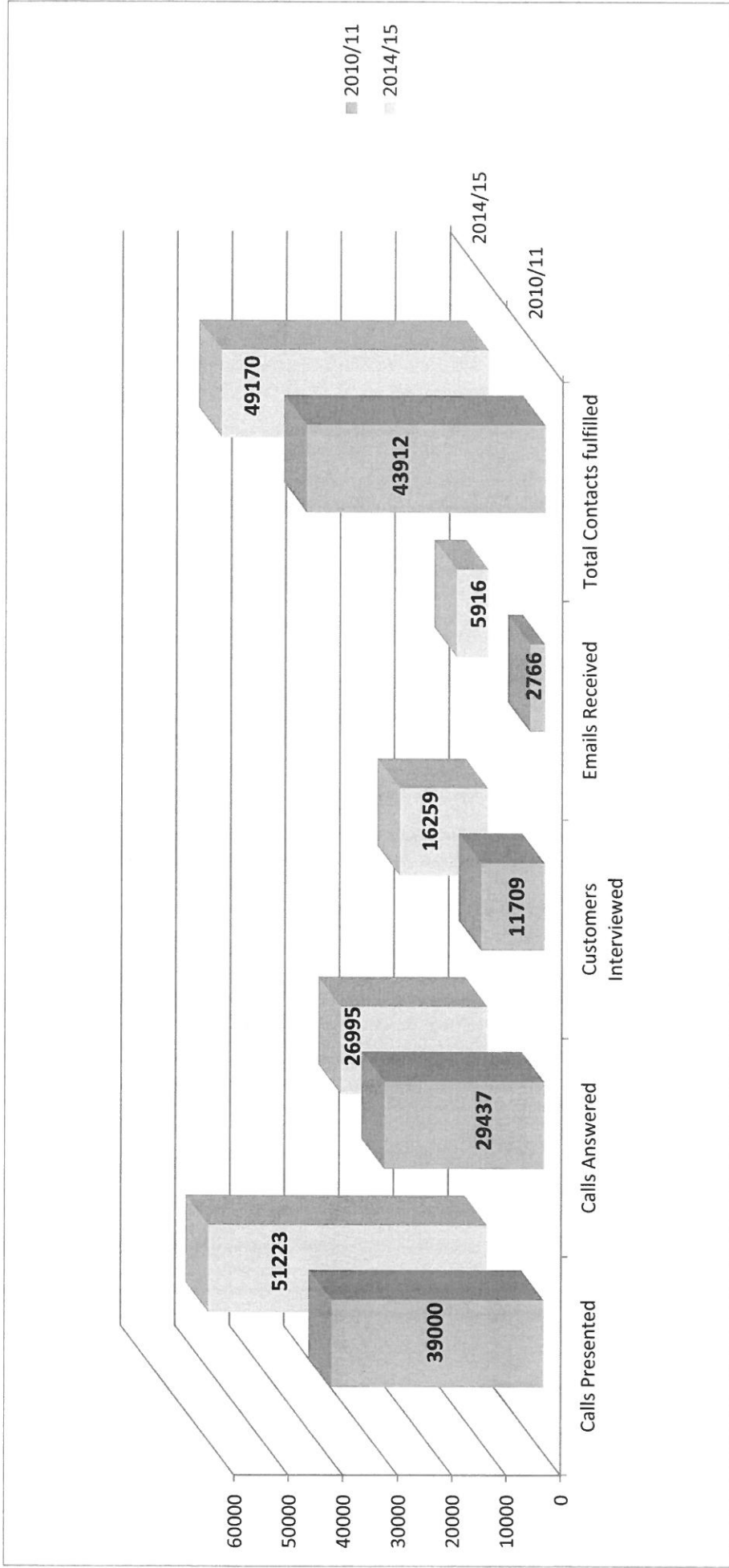
9.0 BACKGROUND PAPERS

- 9.1 None.

Other Services



Revenues & Benefits



Inverclyde Council - Customer Services Charter

Our commitment and values

At Inverclyde Council's customer services we are committed to putting our customers at the heart of everything we do.

We will do this by providing a consistent, modern and helpful service to our customers. You should expect the same level of service wherever and whenever you contact us.

You can expect us to...

- Provide an easily accessible, pleasant, clean and welcoming reception area;
- Ensure our staff are uniformed and wear a name badge;
- Be welcoming and helpful and listen to what you have to say;
- Respect your right to confidentiality;
- Give you a choice of the ways you can contact us;
- Aim to deal with the majority of enquiries at the first point of contact and where this not possible, direct you to the appropriate person or team;
- Learn from your comments, complaints and compliments;
- Keep waiting times to a minimum;
- Treat you as an individual;
- Continually strive to modernise and improve our services to you; and
- Work with other organisations in the community to provide a joined up service.

We expect you to...

- Not use inappropriate language or behaviour when you contact us;
- Provide us with all of the information we need to help us to help you;
- Let us know in advance of any meeting if you have any special needs;
- Treat us politely and with respect;
- Be on time for appointments and cancel if you are unable to attend; and
- Be patient if waiting times are longer than expected.

01 July 2015

Report To: Policy & Resources Committee **Date:** 11 August 2015
Report By: Chief Financial Officer **Report No:** FIN/61/15/AP/FB
Contact Officer: Alan Puckrin **Contact No:** 01475 712223
Subject: Scottish Welfare Funds - Consultation

1.0 PURPOSE

- 1.1 The purpose of this report is to seek Committee approval for the Council's response to the Welfare Funds (Scotland) Act 2015.

2.0 SUMMARY

- 2.1 The Scottish Government is progressing legislation to make Councils responsible for the administration of the Scottish Welfare Fund from 1st April, 2016. Councils have been carrying out this duty on a temporary basis since April, 2013.
- 2.2 The Consultation document is attached and contains standard questions with draft responses prepared by officers. The main areas covered are:
- Assessment of Claims
 - Limitations on Eligibility
 - Nature of Supports Available
 - Timescales for Dealing with Applications
- 2.3 One of the fundamental concerns shared by many Councils is the level of funding for both Grants paid to applicants but also the Administration of the Fund. At present the Council spends approximately £70,000 per year more administrating the scheme than is received from the Government. Cosla have raised this matter on a number of occasions with the Scottish Government and it is proposed that a supplementary response is sent on this matter as part of the Council's response to the Consultation. In addition, demand for Grants is out stripping the core level of Government Funding.

3.0 RECOMMENDATIONS

- 3.1 That the Committee consider the draft response to the Welfare Funds (Scotland) Act 2015 consultation and after making any changes agree to it being submitted by the deadline of 21 August.
- 3.2 That a separate response be sent to the Minister for Welfare & Housing highlighting concerns over the level of funding required to meet demand and administer the scheme to fully meet the aims of the legislation.

Alan Puckrin
Chief Financial Officer

4.0 BACKGROUND

- 4.1 Following the cessation of the Social Fund operated by DWP, funding was given to the Scottish Government who created the Scottish Welfare Fund (SWF) which Councils took temporary responsibility for administering from April 2013.
- 4.2 The Scottish Welfare Fund has two forms of support, Crisis Grants and Community Care Grants. The former is there for short term, emergency funding whilst the latter is there to support larger funding requests many of which relate to claimants moving into accommodation.
- 4.3 The Grants are administered within the Benefits Section by the Discretionary Payments Team (DPT) which consists of 7 posts which is due to reduce to 6 in April 2016 as the result of a budget saving. The team received over 3,800 applications in 2014/15 and received over 11,000 calls
- 4.4 The Government is progressing legislation to give Councils the responsibility to deliver the SWF on a permanent basis. The implementation date is April 2016. As part of the passage of the bill a consultation was issued with a return date of the 21st August, 2016.

5.0 CONSULTATION

- 5.1 The draft response to the Consultation is attached as Appendix 1. It should be noted that the questions are set by the consultation process and there is no scope to add other responses within the document. The main matters are indicated below:

- Assessment of Claims
- Limitations on eligibility
- Nature of supports available
- Timescales for dealing with Applications

- 5.2 The main issue that officers would want the Committee to be aware of is not covered in the Consultation and this relates to funding. Since the inception of the SWF it has been clear that based on the number of claims, the amount of Administration Grant has been insufficient. For the last 2 financial years the Council has subsidised the funding of the DPT by over £70,000 with this coming from the Welfare Reforms budget created by the Council in 2013. Given the expected increasing demand arising from the further Welfare Reforms cuts then this situation is not going to improve.

- 5.3 The other funding issue relates to the funding of grants. In 2013/14 there was an underspend in SWF grants due to the slow initial take up of the scheme. This underspend was carried forward and some of this was used to offset a £42,000 overspend last year. Indications are that in 2015/16 spend is ahead of last year and there will come a point when there is insufficient grant funding to meet demand. This will lead to the Council having to fund grants from its own resources or, within the parameters of the overall scheme, rationing payments.

6.0 FINANCIAL IMPLICATIONS

6.1 One-Off Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Other Comments

Recurring Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Other Comments
SWF	Administration	2015/16	£201,000	As indicated in Section 5 £70,000 of this cost is funded by the Council as grant is insufficient.
	Grants		£732,000	

Legal

6.2 None.

Human Resources

6.3 Once the Legislation is passed it would be proposed to make the posts and, where appropriate, the employees currently carrying out these duties permanent.

Equalities

6.4 None.

Repopulation

6.5 None.

7.0 BACKGROUND PAPERS

7.1 None.

Consultation on Regulations and Guidance under the Welfare Funds (Scotland) Act 2015.



RESPONDENT INFORMATION FORM

Please Note this form **must** be returned with your response to ensure that we handle your response appropriately

1. Name/Organisation

Organisation Name

Inverclyde Council

Title Mr Ms Mrs Miss Dr *Please tick as appropriate*

Surname

Forename

2. Postal Address

Municipal Buildings

Clyde Square

Greenock

Postcode PA15 1LZ

Phone

Email

3. Permissions - I am responding as...

Individual

/

Group/Organisation

Please tick as appropriate

(a) Do you agree to your response being made available to the public (in Scottish Government library and/or on the Scottish Government web site)?

Please tick as appropriate Yes No

(b) Where confidentiality is not requested, we will make your responses available to the public on the following basis

Please tick ONE of the following boxes

Yes, make my response, name and address all available

or

Yes, make my response available, but not my name and address

or

Yes, make my response and name available, but not my address

(c) The name and address of your organisation **will be** made available to the public (in the Scottish Government library and/or on the Scottish Government web site).

Are you content for your **response** to be made available?

Please tick as appropriate Yes No

(d) We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this consultation exercise?

Please tick as appropriate Yes No

CONSULTATION QUESTIONS

1) VIEWS ON POLICY ISSUES AND EQUALITY IMPACTS

1. Is it a problem that Local Authorities (LAs) use different ways to decide whether or not a Scottish Welfare Fund (SWF) applicant is on a low income to check that they are eligible for an award?

Yes No

Please explain your answer :

For awards to be fair for applicants across Scotland it is important for consistency across all Local Authorities. Firmer guidelines should be introduced however the opportunity for discretion should still be considered.

It is noted that the most recent SWF Guidance from April 2015 has provided further detail on 'low income' which has improved upon previous guidance and should result in increased consistency across LA's.

2. What is the best way for an LA to decide that a SWF applicant is on a low income? Please tick one.

Continue to use the same method as for the interim SWF – LA decision makers make a judgement on whether the applicant is on a low income based on the information given by the applicant and information they already have in their other benefit systems. This will mean that LAs use slightly different methods, as they do now.	
We could make a list of different "approved" ways that LA decision makers could use to decide whether the applicant is on a low income. For example, if you are entitled to certain welfare benefits or levels of tax credits, council tax reduction or housing benefit. The LA could use the best way for their systems. This would still mean some variation but less than under the current system.	✓
We could decide a set level of income and ask decision makers not to make grants to anyone whose income is higher. The level of income could be different according to what sort of household the applicant is in. This would reduce variation between LAs but would also mean that LAs cannot make their own judgements to make an award when someone is above the income level. This is not as flexible as the current arrangement where special circumstances can be taken in to account so that a grant can be made when income is higher.	
Other – please give details.	

Please tell us why you have chosen this option and explain the advantages and disadvantages.

A list of 'low income' criteria will provide some rigidity to eligibility resulting in increased consistency but still allows scope for discretion to be used when necessary. The introduction of a set income threshold removes any flexibility to take into account any extreme or unusual circumstances.

3. What do you think the consequences would be if we limited crisis grant (CG) awards to three per household per year?

Limiting the number of awards to 3 per household will align the maximum number of grants with that of single applicants and will reduce the risk of exploiting the scheme from multiple applications. If any change was well publicised then applicants and support services can prepare.

This may have a negative impact on families; especially those with vulnerabilities who may need to apply more regularly and in cases where one adult controls the finances and/or partners who may be unaware of applications.

A caveat should be considered to allow the consideration of further awards in certain circumstances such as where there has been a breakdown in relationships.

4. What do you think the consequences would be if we limited community care grant (CCG) awards to three per household per year?

The number of applicants who require 3 or more applications in a year are rare however do happen on occasion.

A limit should be considered but again recognising the need for additional awards in exceptional circumstances such as family breakdown resulting in the need for a family/ individual to move home. Rigid absolute limits could prevent an award that would support an applicant exacerbating their circumstances at a most vulnerable time.

5. Do you think that there should be a limit on the number of times that a CCG can be given for the same item in a set period?

Yes No

If so, what should the limits be?

In most cases the purchased goods would be brand new and should be expected to last a number of years, especially white goods such as

cookers/fridge freezers/etc.

White goods could be expected to last 3 years and a minimum of 1 year for any other item awarded.

Applicants should be informed of these expectations.

Again, exceptions could be considered for exceptional pressures/circumstances such as where a family may be awarded a grant for household items and then have to reapply for further items at a later date due to breakdown of relationships or domestic violence, etc.

6. Do you agree that families facing exceptional pressure should be given priority in decisions on CG applications as well as CCGs?

Yes No

Please explain your answer:

Each application should be judged on its own merits and prioritisation should be due to the circumstances of the application itself, the immediate need & urgency of the award and the resilience of the applicant/family. For example a family with support from a third sector service may have further assistance to cope longer than a single person without any support network and vice versa.

7. Which sorts of payment do you think are a cash equivalent that LAs should be able to use to pay SWF grants. You can choose as many as you like:

Paypoint or alternative electronic transfer	<input checked="" type="checkbox"/>
Allpay (without restrictions) or other loaded store card	<input checked="" type="checkbox"/>
Fuel Cards	<input checked="" type="checkbox"/>
High street vouchers accepted at a number of outlets e.g. for clothing.	<input type="checkbox"/>
Travel tickets, bought on behalf of the applicant.	<input type="checkbox"/>

If there are other forms of payments that you think would be suitable cash equivalents for LAs to use, please tell us what they are.

N/A

8. How can LAs make sure that the way they are making the award ie in cash or by paying a cash equivalent, is the best one for the applicant?

The range of available payment mechanisms could be discussed with the

applicant to agree the most suitable arrangement for them.

Awareness of the applicant's circumstances and application history helps ensure that payment is not issued by a method that could cause problems or misuse.

Information from support providers and external partners could be gathered to inform the most appropriate means of award or if supervised spend alongside the support network would be beneficial.

9. Do you agree with the draft statutory guidance on timescales for processing CGs. i.e. that:

- **LAs must consider a case and make a decision immediately they receive all the information they need to make the decision.**
- **A working day is between 9am and 4.45pm. If an application is received after 4.45pm it should be treated as being received on the next working day.**
- **Even if the LA is still waiting for a piece of information that they think is relevant to the decision, a decision must be made by close of business on the day after the application has been received. This means that a decision is made at the end of the day after the application is received, on the balance of probability, based on the information held at the time.**

Yes No

If not, please explain why:

Disagree with use of 'immediately' instead would recommend that LAs must make a decision 'as soon as reasonably possible' after all information to make a decision is received. Some LA Scottish Welfare Fund teams answer telephone calls and process the applications and may not be able to consider application 'immediately' due to other calls and applications being received.

10. Do you agree that substantial improvements to private property should be added to the list of excluded items at Annex A of the draft statutory guidance?

Yes No

If not, please explain why:

N/A

11. Do you agree that repatriation costs should be added to the list of excluded items at Annex A of the draft statutory guidance?

Yes No

If not, please explain why:

N/A

12. Do you think there should be any other items added to the list of excluded items in Annex A of the draft statutory guidance?

Yes No

If yes, please tell us which items and explain why:

N/A

13. Do you think there should be any other items taken off the list of excluded items in Annex A of the draft statutory guidance?

Yes No

If yes, please tell us which items and explain why:

N/A

14. Is there anything on the list of vulnerabilities at Annex C to the draft statutory guidance that you don't think should be there?

Yes No

If yes, please tell us what and explain why:

'Setting up an independent home for the first time' should be removed as this is not a vulnerability in itself. The circumstances behind why someone may be setting up home would be the important factor e.g. a young person leaving LA care setting up home for the first time would be vulnerable while a young person in secure full time employment from a settled family environment setting up home for the first time would not.

'A history of seasonal temporary or insecure work' should also be removed. Oil Rig workers, groundskeepers/gardeners and some teaching staff can be classed as seasonal or temporary workers however in most cases would not be deemed to be vulnerable. Again, the individual circumstances behind the application would deem if an applicant is vulnerable.

15. Is there anything that you think should be added to the list of vulnerabilities at Annex C to the draft statutory guidance?

Yes No

If yes, please tell us what situation, condition or circumstance should be added to the list of vulnerabilities and explain why:

N/A

16. What equalities impacts have you identified from the draft regulations and guidance attached at Annexes B and C to the consultation paper?

A number of the proposals positively discriminate towards families under exceptional pressures over the other qualifying groups and individuals with protected characteristics.

The current guidance discriminates against single applicants by limiting their Crisis Grant applications to 3 in any 12 month period while couples can receive a total of 6 at this time. The proposal to limit applications to 3 per household but to allow discretion in exceptional circumstances goes some way to remove this inequality.

2) VIEWS ON DRAFT REGULATIONS

17. Do you think that the draft regulations will have the effects that we have listed at section 2 of the consultation paper?

Yes No

18. If you do not think that they will have these effects, please tell us about any gaps in the draft regulations at Annex B to the consultation paper or unintended consequences you would expect from these regulations:

N/A

3) VIEWS ON DRAFT STATUTORY GUIDANCE

19. Please tell us about any concerns, comments or suggestions you have on the draft statutory guidance at Annex C to the consultation paper that are not already covered by the questions in Section 1 of the consultation paper:

N/A

3) VIEWS ON THE APPLICATION FORM

20. Should the application form for the permanent SWF be:

A combined CG and CCG application form	<input checked="" type="checkbox"/>
2 separate application forms	<input type="checkbox"/>

Please tick your chosen option.

Please explain your answer:

In a number of cases the applicant may require to apply for both a Crisis & Community Care Grant therefore a single form is the best option rather than two separate forms. A single form also allows the decision maker the ability to decide which grant is more suitable from the information provided. Separate application forms could confuse customers who are not clear about which grant meets their needs. Completion of the wrong form would result in avoidable administration, refused applications and delayed awards.

21. What information is collected on the application form for the interim SWF, at Annex D to the consultation paper, that you do not think is needed to assess an application?

n/a

22. How can the application form which is at Annex D to the consultation paper for the interim SWF be improved for the permanent SWF?

The application is considerably lengthy and intimidating to vulnerable customers.

The layout of form should be more consistent - Page 9 is in landscape where rest of application is portrait orientation.

Blank Page for additional information should be towards end of application after 'other information'

Page 6 'About your home' has space for a response for both claimant and partner. Partner response not required as would be expected to be the same as claimant.

Page 12 'What type of grant are you applying for and why' could be simplified to 'are you applying for a Crisis Grant' and 'Are you applying for a Community Care Grant' and the further question regarding disaster/emergency or which qualifying criteria for CCG could then be included at the relevant section.

Responses to 'what type of grant' details which section to fill in depending on their answer. These responses could be emphasised or in bold and also note which page to go to rather than just state section 3A or 3C etc.

Part 4 'other information that will help us make a decision' has separate questions for chronic/terminal illness, mental health issues, learning difficulties, addictions, etc. Applicants regularly repeat their responses in a number of sections. This could be simplified to one single text box rather than separate questions.

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Corporate Director Education, Communities and OD	Report No:	PR/136/15/AF/MP
Contact Officer:	Maggie Paterson	Contact No:	01475 715450
Subject:	A 3 year plan for co-ordinating community learning and development in Inverclyde 2015-2018		

1.0 PURPOSE

- 1.1 The purpose of this report is to seek Committee approval for the publication of a '3 year plan for co-ordinating community learning and development (CLD) in Inverclyde'.

2.0 SUMMARY

- 2.1 Regulation 4 of the Requirements for Community Learning and Development (Scotland) Regulations 2013, 'requires each local authority to consult on and publish plans every three years containing specified information on the provision of CLD by both the local authority and its partners. The first plan should be in place not later than 1 September 2015 with subsequent plans published at three yearly intervals from the initial date of publication'.
- 2.2 Guidance to local authorities further states that: 'It is for the local authority to decide whether it will meet this requirement as part of a wider process such as the Community Plan or as a free standing plan.' On 10 January 2014, the Education & Communities Committee agreed the 'Strategy and Implementation Plan for Community Learning and Development (CLD) in Inverclyde 2014-2018'. This confirmed the decision to integrate the CLD Strategy within the community planning infrastructure.
- 2.3 Guidance for local authorities issued in May 2014, advised that the 3 year plan should identify:
- how the local authority will co-ordinate its provision of CLD with other CLD providers within the area of the local authority;
 - what action the local authority will take to provide CLD over the period of the plan;
 - what action other partners intend to take to provide CLD within the area of the local authority over the period of the plan;
 - any needs of CLD that will not be met within the period of the plan.
- 2.4 The attached '3 year plan for co-ordinating CLD in Inverclyde 2015-2018' has been developed in partnership by the CLD Strategic Implementation Group and informed by a range of consultation with partner agencies and communities.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that Committee approve the '3 year plan for the co-ordination of community learning and development in Inverclyde'.

4.0 BACKGROUND

- 4.1 In May 2014, the Scottish Government issued 'The Requirements for Community Learning and Development (Scotland) Regulations 2013: Guidance for Local Authorities' and this 3 year plan for co-ordinating CLD in Inverclyde has been developed in line with this guidance. The approach used to develop the plan is consistent with Inverclyde Alliance's determination to take an asset-based approach to the design and delivery of services and was 'co-produced' with community and voluntary sector partners.
- 4.2 The plan takes forward the Alliance's decision that CLD should be integrated into community planning structures and this is reflected in the methods which will be used to co-ordinate the provision of CLD. For the purposes of co-ordination within the plan, CLD encompasses all learning and development that takes place in the community, other than vocational training and programmes delivered by teachers in school and by further education lecturers within colleges.

5.0 PROPOSALS

- 5.1 The purpose of the 3 year plan for co-ordinating CLD in Inverclyde 2015-2018 is to maximise the contribution of CLD to achieving the outcomes of the Inverclyde Alliance Single Outcome Agreement by:
- Co-ordinating provision of CLD in the broadest sense, essentially all learning and development that takes place in the community, other than vocational training and programmes delivered by teachers in school and by further education lecturers
 - Integrating planning for CLD within community planning, adding value to existing planning and evaluation.

It is proposed that the plan has two specific outcomes as outlined below.

5.2 Outcome 1 The needs of individuals and communities for CLD are met

This will be achieved by:

- improving the way we co-ordinate the assessment of needs and strengths in our communities and the identification of unmet need
- knowing and understanding our communities
- building on the strengths of our communities, working together to improve life chances and the quality of community life.

5.3 Outcome 2 The impact of CLD in Inverclyde is maximised through effective planning and co-ordination

This will be achieved by:

- ensuring that all CLD provision is mapped to Inverclyde Life and that everyone knows how to access the programmes and support they need
- creating learning and development pathways and supporting people along them
- clearly delineating how and where CLD is planned and co-ordinated within our community planning infrastructure.

6.0 A 3 YEAR PLAN FOR CO-ORDINATING CLD IN INVERCLYDE

6.1 The 3 year plans comprises the following sections:

- Background
- The 3 year plan
- Delivering the plan
- Monitoring and evaluation
- Workforce development.

6.2 The full plan is attached to this covering report.

7.0 IMPLICATIONS

7.1 Finance

None

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (If Applicable)	Other Comments
N/A					

7.2 Legal

The '3 year plan for co-ordinating CLD in Inverclyde 2015-2018' has been developed to ensure compliance with the 'Requirements for Community Learning and Development (Scotland) Regulations 2013'.

7.3 Human Resources

None

7.4 Equalities

An equalities impact assessment will be developed for the plan when approved.

7.5 Repopulation

None

8.0 CONSULTATIONS

8.1 A range of consultation was carried out which underpins the development of the plan. See Annexe 2 of the plan.

9.0 LIST OF BACKGROUND PAPERS

9.1 The '3 year plan for co-ordinating CLD in Inverclyde' is attached.

Co-ordinating community learning and development in Inverclyde

3 year plan

2015 – 2018



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INTRODUCTION

In December 2013, Inverclyde Alliance (the Community Planning Partnership) approved a 'Strategy and Implementation Plan for Community Learning and Development (CLD) in Inverclyde 2014-2018'. This updated the existing Strategy in line with the 'Strategic Guidance for Community planning Partnerships published by the Scottish Government in June 2012. Inverclyde's Strategy for CLD affirms that the priorities for CLD should mirror those of Inverclyde Alliance as expressed in the Single Outcome Agreement for Inverclyde and contributing strategies and plans. (See Section 1 below and Annexe1).

Inverclyde's Strategy identifies that the focus for CLD should be on:

- improved life chances for people of all ages, through learning, personal development and active citizenship
- stronger, more resilient, supportive, influential and inclusive communities.

The Strategy also recognises that CLD cuts across all the Alliance's priorities and that it takes a range of forms and is delivered by a range of Partners in a variety of contexts. It asserts that **partnership working** is key to delivering CLD outcomes through:

- community development (building the capacity of communities to meet their own needs, engaging with and influencing decision makers);
- youth work, family learning and other early intervention work with children, young people and families;
- community-based adult learning, including adult literacies and English for speakers of other languages (ESOL);
- volunteer development;
- learning for vulnerable and disadvantaged groups in the community, for example, people with disabilities, care leavers or offenders;
- learning support and guidance in the community.

Inverclyde's Strategy establishes the framework which underpins this '3 year plan for CLD' as required under the Requirements for CLD (Scotland) Regulation 2013, specifically to:

- Assess the need for community learning and development
- Involve and consult representatives of target groups and individuals
- Involve and consult providers of CLD in the area
- Publish a 3 year plan specifying how the authority will co-ordinate its provision of CLD and that of other providers in the area.

In May 2014, the Scottish Government issued Guidance for Local Authorities on the CLD Regulations' and this 3 year plan for CLD in Inverclyde has been developed in line with this guidance. The approach used to develop the plan is consistent with the Alliance's determination to take an asset-based approach to the design and delivery of services and was 'co-produced' using the methods outlined at Annexe 2. The plan takes forward the Alliance's decision that CLD should be integrated into community planning structures and this is reflected in the methods which will be used to co-ordinate the provision of CLD. For the purposes of co-ordination within the plan, CLD encompasses all learning and development that takes place in the community, other than vocational training and programmes delivered by teachers in school and by further education lecturers within colleges. Throughout the plan, unless otherwise indicated, the term community is used to encompass communities of geography and of interest, including the voluntary sector.

Inverclyde's Strategy and 3 year plan for CLD will provide a strong foundation from which the Alliance can respond to and comply with the requirements of the Community Empowerment Bill.

SECTION 1 BACKGROUND

1.1 Local context

Inverclyde is located in West Central Scotland and is one of the most attractive places in Scotland to live and work, with 61 square miles stretching along the south bank of the River Clyde. The area offers spectacular views and scenery, a wide range of sporting and leisure opportunities, a vibrant housing market and well developed transport links to Glasgow and the rest of Scotland.

The main towns of Greenock, Port Glasgow and Gourock sit on the Firth of the Clyde. The towns provide a marked contrast to the coastal settlements of Inverkip and Wemyss Bay which lie to the South West of the area and the picturesque villages of Kilmacolm and Quarrier's Village which are located further inland, and offer a further dimension to the areas diversity, particularly in social, economic and physical terms.

Inverclyde, like most former industrial areas, has its share of poverty and deprivation alongside affluence. There is a significant gap between our more affluent areas and those which experience high levels of poverty and deprivation which we are working to reduce, looking to the fundamental causes of inequality to guide how we make change. Inverclyde Alliance 'have identified tackling inequality as a key principle which will underpin everything that we do' in the Single Outcome Agreement 2013-2017.

Further detailed statistics feature in the full Single Outcome Agreement which can be found on the Council's website at <http://www.inverclyde.gov.uk/council-and-government/community-planning-partnership>

1.2 Strategic context

In June 2012, the Scottish Government published Community Learning and Development: Strategic Guidance for Community Planning Partnerships. Responding to this Guidance, Inverclyde Alliance Board agreed at their meeting in December 2013, a Strategy and Implementation Plan for CLD in Inverclyde 2014-2018. This established the strategic framework which underpins the 3 year plan for CLD as required under the Requirements for CLD (Scotland) Regulations 2013. The Strategy confirmed that the high level priorities for CLD in Inverclyde would reflect those of the Alliance and its constituent SOA Delivery Groups.

The specific focus of CLD in Inverclyde is:

- Improved life chances for people of all ages, including young people in particular, through learning, personal development and active citizenship
- Stronger, more resilient, supportive influential and inclusive communities.

This is at the heart of the Alliance's vision for a Nurturing Inverclyde.

'Inverclyde Alliance will work in partnership to create a confident, inclusive Inverclyde with safe and sustainable, healthy, nurtured communities, and a thriving, prosperous economy, with active citizens who are achieving, resilient, respected, responsible and included, and able to make a positive contribution to the area.'

The strategic infrastructure through which this will be achieved is summarised below:

The overarching priority is to maximise the contribution of CLD to achieving the outcomes of the Inverclyde Alliance Single Outcome Agreement		
Supporting the Alliance to make a 'decisive shift towards prevention.	Strengthening partnership working to deliver CLD outcomes	
The SOA Delivery Plans identify the high level priorities for CLD		
The CLD Implementation Plan identifies specific CLD improvement actions through which CLD will be co-ordinated and its contribution maximised.		
The CLD Strategic Implementation Group oversee the strategic integration of CLD into community planning and the impact of CLD on achieving outcomes.		
Adult Learning & Literacies Sub-Group	Community Engagement & Capacity Building Network	Youth Work Sub-Group

Within this document, the Implementation Plan is described as a working document and reference is made to ongoing consultation with CLD providers and target individuals and groups in line with the statutory requirements.

In May 2014, the Scottish Government issued Guidance for Local Authorities on the 'CLD Regulations' and this has been used to adapt the Implementation Plan format agreed by the Alliance Board to more fully comply with these requirements. From September 2015, the Implementation Plan will be known as 'A 3 year plan for co-ordinating CLD in Inverclyde 2015-2018'.

Inverclyde's Strategy and 3 year plan for CLD will provide a strong foundation from which the Alliance can respond to and comply with the requirements of the Community Empowerment Bill approved by the Scottish Parliament in June 2015.

1.3 Needs assessment and consultation

The type of secondary research and data collation and analysis undertaken in the development of the SOA has also informed the development of the 3 year plan for CLD. This is supplemented by primary research activity, such as Police Scotland's listening surveys and Riverclyde Homes tenants' surveys.

In line with the Alliance's desire to integrate CLD within community planning structures and processes, additional needs assessment and consultation activities were integrated into the ongoing activities of the partnership. For example, it was decided to build on Alliance activities to enhance community engagement which had been informed by a series of community events in March 2014. Another example of this integration, was the decision to link needs assessment and engagement in the 3 year plan for CLD, with community planning conference 'Clyde Conversations' which took place in March 2015 and focused on the health and well-being of young people in their community. See Annexe 2 – How the plan was developed.

1.4 Planning and co-ordination – the context

Locality Planning

Inverclyde Alliance is moving towards focusing on local neighbourhoods and communities in the way they plan for service delivery and improvement. This has been evolving alongside the development of the 3 year plan and discussions have taken place about grouping communities and neighbourhoods into localities, clusters and learning communities. It was agreed that for the purposes of developing the plan, particularly the needs assessment and consultation elements, 3 clusters would be used. Community profiles are emerging which allow Partners to better identify need and co-ordinate CLD activity in response to that need. The cluster geographies will be amended/adapted when discussions about locality planning are concluded and decisions have been made at Alliance Board level confirming an agreed approach to locality planning.

These discussions will take cognisance of the requirement within the Community Empowerment Bill for Community Planning Partnerships (CPPs) to “identify each geographic locality in their area where persons experience significantly poorer outcomes than are experienced by persons who reside in other localities in that area or significantly poorer outcomes than are experienced generally by persons who reside in Scotland” and to prepare and publish a locality plan for each such locality. CPPs may choose to do this for every locality in their area if they wish.

The clusters used for the 3 year plan are appended in Annexe 3.

Inverclyde Life

Launched by CVS Inverclyde in late 2014, Inverclyde Life (www.inverclydelife.com) is a directory of activities and services available to people in Inverclyde; third, public and private sector.

From the outset, it was agreed to use the Inverclyde Life website as the key tool for mapping CLD provision in Inverclyde. CVS Inverclyde is perhaps the only third sector interface in Scotland to have opened up the use of its website to the public sector and thus to the full community planning partnership. The majority of public and third sector CLD provision is already on the website and the 3 year plan has set a target of 100% within the first year.

The website not only brings information about CLD provision into one place but it also forms the basis for improved co-ordination and the development of pathways supporting participants to secure the maximum benefit from engaging in CLD activities. See Annexe 4.

SOA Delivery Plans

The Strategy for CLD in Inverclyde, describes the Implementation/3 year Plan as ‘a working document through which the contribution of CLD to the SOA will be co-ordinated and its contribution maximised through improvement actions.’ It notes that in some cases action will be led and co-ordinated by one of the CLD Strategy Sub-groups, while in other cases groups already exist to fulfil this function. In order to more clearly delineate where CLD is being planned and, thereby, more effectively co-ordinate CLD, it is proposed that the CLD Strategic Implementation Group (SIG) should have oversight of all planning for CLD, irrespective of where it takes place.

Logic Model

The 3 year plan mirrors the Inverclyde CLD Strategy and the Inverclyde SOA in using the same logic model to clarify what it is trying to achieve, how it will get there etc. It should be stressed that in the case of the 3 year plan, this is not about the impact of CLD, but about the extent to which the outcomes of the plan are achieved, specifically:

- The needs of individuals and communities for CLD are met
- The impact of CLD in Inverclyde is maximised through effective planning and co-ordination.

SECTION 2 THE 3 YEAR PLAN

2.1 The purpose of the Plan

The purpose of the 3 year plan for co-ordinating CLD in Inverclyde 2015-2018 is to maximise the contribution of CLD to achieving the outcomes of the Inverclyde Alliance Single Outcome Agreement by:

- Co-ordinating provision of CLD in the broadest sense, essentially all learning and development that takes place in the community, other than vocational training and programmes delivered by teachers in school and by further education lecturers
- Integrating planning for CLD within community planning, adding value to existing planning and evaluation

2.2 Underpinning principles

The following principles were used to develop the plan and will guide its implementation:

- Asset based approach to identification of needs and strengths
- Co-production approach to initial and ongoing development/implementation of plan
- Embedded within the community plan 'Getting it right for every child, citizen and community in Inverclyde' and SOA Improvement Planning

2.3 Outcomes of the plan

1 The needs of individuals and communities for CLD are met

We will achieve this by:

- improving the way we co-ordinate the assessment of needs and strengths in our communities and the identification of unmet need
- knowing and understanding our communities
- building on the strengths of our communities, working together to improve life chances and the quality of community life

2 The impact of CLD in Inverclyde is maximised through effective planning and co-ordination

We will achieve this by:

- ensuring that all CLD provision is mapped to Inverclyde Life and that everyone knows how to access the programmes and support they need
- creating learning and development pathways and supporting people along them
- clearly delineating how and where CLD is planned and co-ordinated within our community planning infrastructure

2.4 Delivering the plan

The same logic model used to identify need and to plan and evaluate progress for community planning and directorate planning will be adopted for the 3 year plan for CLD. See Section 3 below.

The measures identified in the 'how will we know we are getting there' section of the plan will be included on Inverclyde Performs and used by the CLD Strategic Implementation Group to monitor and evaluate progress in implementing the plan. See Section 4 below.

The plan proposes that each Partner with a role in supporting potential CLD learners and participants and/or is a provider of CLD, should align their activities to one or more pathway categories below and identify how they will guide and support learners along the pathway, putting in place specific handover arrangements. Annexe 5 illustrates how this might develop.

It is also proposed that CLD activity be more clearly delineated within the constituent plans and strategies of the Inverclyde Single Outcome Agreement. Annexe 6 outlines early thinking on this.

Sections 4.7 to 4.11 of the Strategic Guidance for community planning partnerships on community learning and development published in June 2012, identified expectations in respect of workforce development and effective leadership. This is addressed in SECTION 5 below

DRAFT

SECTION 3 DELIVERING THE PLAN

The 3 year plan for co-ordinating CLD in Inverclyde uses the logic model adopted by Inverclyde Alliance to formulate how the plan will be delivered. Further information on how the plan will be monitored and evaluated is outlined in Section 4 below. The glossary of terms in Annexe 7 explains some of the concepts used.

OUTCOME 1 The needs of individuals and communities for CLD are met

1.1 Improving the way we co-ordinate the assessment of needs and strengths in our communities

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
1.1	A range of Partners and community organisations identify the needs of communities of geography and of interest. However, this is not always planned and co-ordinated in partnership nor always undertaken using an asset-based approach where the strengths of communities are concurrently identified. The findings of these assessments is not always	The assessment of needs and strengths is planned and co-ordinated across the community planning partners and information is shared effectively to build up a complete picture of need and strengths in our communities	All Partners to review assessment activity and take steps to ensure the inclusion of assessment of strengths/skills whenever possible.	Increased no. of assessment activities combining needs and strengths Decrease no. needs only assessment activities	All Partners supported and monitored by CE/CBPN	
			All Partners to advise CE/CBPN and consult/plan jointly in advance where possible, using core assessment profile	Increased no. of jointly planned needs and strengths assessment activities	All Partners supported and monitored by CE/CBPN SOADG chairs to monitor	

			All Partners to share findings with relevant Alliance Groupings and community organisations	Increased no. sets of findings shared	All Partners Data sharing group to monitor	
			Communities of geography and interest supported to extend and enhance their own assessment activities and to share findings with each other and with relevant Alliance groupings.	No. of findings of assessment shared by community groups with each other and with Alliance Groupings	CVSI to lead support for communities of interest CLD Service to lead support for organisations in receipt of Council funding	

1.2 Knowing and understanding our communities

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
1.2	A range of information is held by Partners and community organisations, individually, collectively in different groupings and as a CPP. This information is not always shared appropriately, nor always used effectively to secure a robust	The information gathered by Partners and community organisations is combined to create commonly shared and understood profiles of our communities and neighbourhoods and this is used to inform locality planning (in line with	Agree common approach to the development of community and neighbourhood profiles. Develop mechanism for profiles to be	Common approach and profiling mechanism agreed (target date set by Programme Board) Number of profiles developed Increased evidence	Programme Board Datasharing Group All Partners supported and monitored	

	understanding of communities and neighbourhoods.	requirement of CE Act 2015) leading to action to improve outcomes and strengthen communities	shared and updated by all Partners. Increased evidence of profiles being used to inform action and in locality planning.	of profiles in use to inform action and locality planning.	by CE/CGBN	
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1.3 Building on the strengths of our communities, working together to improve life chances and the quality of community life

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
	A number of services and projects have already adopted or are progressing the development of asset based approaches based on systematic assessment of community needs and strengths and using robust information about our communities, however, this remains patchy and the benefits of this approach are not fully recognised nor achieved across the Partnership.	Asset based approaches, building on communities' strengths and our understanding of community need are widely used across the Alliance and having a demonstrable impact on improving life chances and the quality of community life, particularly of our more disadvantaged communities.	Build individual capacity of public sector officers and community members Build organisational and structural capacity across partner agencies and community organisations Assessments of needs and strengths and community profiles used to develop	See section 5 below. Increased no. of service improvement, development and delivery models using an asset based approach informed by assessment of needs and strengths and understanding of communities.	CLD SIG All Partners supported and monitored by CE/CGBN	

			asset based approaches to the design and delivery of services.			
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OUTCOME 2: The impact of CLD in Inverclyde is maximised through effective planning and co-ordination

2.1 Ensuring that all CLD provision is mapped to Inverclyde Life and that everyone knows how to access the programmes and support they need

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
2.1	While the majority of provision is available on the website, gaps remain. Activity to support use of the site has been extensive, however, take up of support has been patchy across Partners and community organisations and further support and development is needed.	Inverclyde Life is understood and recognised as the key source of information about CLD activity and is used widely by staff as a guide to the learning and support available.	All Partners to put CLD programmes on Inverclyde Life, provide training and support in use of website to all appropriate staff.	100% of public sector programmes on Inverclyde Life by end of year 1 50% appropriate staff trained and using site by end of year 1, 75% by year 2 and 100% by year 3.	All Partners CLD Sub-groups to monitor	

		Inverclyde Life and a range of media appropriate to specific groups (older people younger people, people with disabilities) ensures everyone knows how to access the programmes and support they need.	Promotion of Inverclyde Life and other media to communities of geography and interest	Increase no. of interest groups reporting they know where to access the information they need	All Partners CLD Sub-groups to support development of baseline and monitor	
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2.2 Creating learning and development pathways and supporting people along them - Lose no one

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
2.2	While participants benefit from engagement in a range of services and programmes, engagement is not always sustained and opportunities for further development and progression are not always maximised and transition from one programme/activity to another is not always effectively supported.	All those who would benefit from participating in CLD activity, are effectively engaged and supported to develop and progress to achieve maximum benefit. The goal of losing no one achieved for young people through MCMC is extended to adults and community members.	CLD Partners develop/agree core pathway stages All CLD Partners identify a pathway to and from their programmes and associated support for transition. Indicative pathways and transitional support developed for key strands agreed by CLD SIG eg family learning	Core pathway stages agreed. 50% Partners have pathways in place by end of year 1, 75% by end of year 2 and 100% by end of year 3. Indicative pathways for key strands in place by end of year 2	All Partners CLD Sub-groups to support and monitor	

2.3 Clearly delineating how and where CLD is planned and co-ordinated within our community planning infrastructure

	Where are we now? (Evidence of Need)	Where do we want to be?	How will we get there ?	How will we know we are getting there?	Who is responsible ?	Progress
2.3	The approach agreed by the Alliance Board December 2013 (i.e. to develop a working document 'through which the contribution of CLD to the SOA will be co-ordinated and its contribution maximised') has not yet been fully implemented.	The planning and co-ordination of CLD is clearly delineated within the community planning infrastructure of SOA Delivery Groups and constituent partnership strategies and plans, along with responsibility and accountability for actions.	Develop guidance and support for delineation of CLD within constituent strategies and plans. Review strategies and plans to identify and delineate CLD components.	Guidance developed and in use by October 2015 75% of plans have CLD actions identified and delineated by end of year 1, 100% by end of year 2	Chair of planning groups CLD Sub-groups to support and monitor	
		The impact of CLD within constituent partnership strategies and plans is identified and its contribution maximised.	CLD SIG to identify priorities for improved co-ordination CLD Sub-groups to collate/analyse data on impact of CLD, and advise CLD SIG re improvement	Year 1 priorities for co-ordination agreed by October 2015 Evidence of added value of improved co-ordination. Action to enhance the impact of CLD.	CLD SIG Chairs of CLD Sub-groups	

SECTION 4 MONITORING AND EVALUATION OF THE 3 YEAR PLAN

4.1 The role and responsibilities of the CLD Strategic Implementation Group and CLD Sub-groups

As agreed by the Alliance Board in December 2013, the CLD Strategic Implementation Group will be responsible for the monitoring and evaluation of the 3 year plan, in line with the following remit:

4.4.1 Remit of the CLD Strategy Implementation Group

- (a) To oversee the strategic integration of CLD into community planning on behalf of Inverclyde Alliance in line with the CLD: Strategic Guidance for Community Planning Partnerships (Scottish Government 2012).
- (b) To progress the integration of CLD into the work of the SOA Delivery Groups and related partnerships and monitor progress in the implementation of the CLD components of relevant action/delivery plans
- (c) To oversee compliance with the for CLD (Scotland) Regulations 2013 through the development of a 3 year plan for CLD
- (d) To ensure that leadership for CLD is effectively provided by Inverclyde Council's Directorate of Education, Communities and Organisational Development
- (e) To review the quality and effectiveness of CLD activity in line with the HMle self-evaluation framework 'How Good is Our Community Learning and Development?2'.and other quality frameworks as appropriate.

Membership of the CLD Strategy Implementation Group has been configured to ensure that all relevant Partners are represented and that there are strong links back to the SOA Delivery Groups.

4.1.2 Role of the CLD Sub-groups

The CLD Strategic Implementation Group currently has 3 Sub-groups – the Adult learning and Literacies Sub-group, the Community Engagement and Capacity Building Network and the Youth Work Sub-group. The membership and remit of the CLD Sub-groups will be amended to reflect their role in supporting the Strategic Implementation Group.

Membership

Where current membership does not ensure effective integration with SOA Delivery Groups and their component partnership/strategy groups, nominations onto the relevant CLD Sub-group will be secured.

Role of the CLD Sub-groups

The Sub-groups will have a key role in supporting the CLD Strategic Implementation Group in respect of two components of its remit.

(Note: During the development of the 3 year plan, the Sub-groups had an opportunity to reflect on their role and identified the value of meeting together across the 3 strands. This is reflected in the calendar for 2015 and will be reviewed for 2016 to ensure that the frequency and pattern of meetings maximises their contribution to implementation of the 3 year plan.)

- (b) To progress the integration of CLD into the work of the SOA Delivery Groups and related partnerships and monitor progress in the implementation of the CLD components of relevant action/delivery plans

In relation to the Delivery Plan at Section 3 below, the Sub-groups will:

- Collate information to facilitate the monitoring of progress in respect of the co-ordination of the assessment of needs and strengths, the development of asset based approaches and the development of community/neighbourhood profiles.
- Support and monitor the mapping of CLD provision to Inverclyde Life, the creation of learning and development pathways and the delineation of how and where CLD is planned and co-ordinated.

(e) To review the quality and effectiveness of CLD activity in line with the HMIE self-evaluation framework 'How Good is Our Community Learning and Development?2'.and other quality frameworks as appropriate.

The Sub-groups will:

- put in place mechanisms to review the quality and effectiveness of CLD using agreed self-evaluation frameworks
- put in place mechanisms to support practice development and continuous improvement
- collate and analyse information to support monitoring and evaluation
- support the inspection process.

4.2 Monitoring the delivery of the plan

It is proposed that a measurement plan along the lines outlined below will be uploaded to Inverclyde Performs and that this will be updated to on a regular basis to inform evaluation and reporting on progress in implementing the plan

To facilitate the effective monitoring of progress, a baseline will require to be established for most of the performance measures contained in the 'How will we know we are getting there?' column of the delivery plan. Definitions will also need to be agreed for some of the terms used eg appropriate staff. To facilitate coherence with other strategies and plans, monitoring will be aligned to the financial year and consequently year 1 of the plan will be up to March 2016.

4.3 Scrutiny and inspection

As required under paragraph 6.9 of the Requirements for CLD (Scotland) Regulations 2013: Guidance for Local Authorities, the local authority will 'share the completed elements of the plan with the Local Area Network (LAN)'. As indicated at 6.10 in the Guidance 'HM Inspectors from Education Scotland play a key role in the shared risk assessment process and are represented on each LAN by an Education Scotland Area Lead Officer'.

SECTION 5 WORKFORCE DEVELOPMENT

The Strategic Guidance for community planning partnerships on community learning and development published in June 2012, identified expectations in respect of workforce development and effective leadership.

In recognition of the changes in CLD policy and related legislation, the Strategic Guidance asks that 'workforce development keeps pace with these and supports their implementation and states that 'a core of highly skilled practitioners will remain essential to achieving the impact we expect from CLD'. The Guidance for Local Authorities on the CLD Regulations also makes reference to the 'competences, values and ethics for CLD practice as set out by the CLD Standards Council for Scotland'.

To meet this expectation and to support the implementation of the 3 year plan, the CLD Strategic Implementation Group will bring forward a workforce development plan which will include proposals for:

- broadening training and development opportunities for volunteers and community members
- better integration of the training and development opportunities currently available across the Partnership with more opportunities for joint training
- promoting the values and ethics for CLD practice as set out by the CLD Standards Council for Scotland
- increased use of the Idevelop resource and alignment of training and development opportunities to CLD competencies as defined by CLD Standards Council for Scotland.

Some areas of workforce development have already been identified as priorities. These include:

- using asset based approaches in the design and delivery of services
- using Inverclyde Life as a tool for identifying CLD opportunities for clients/participants
- developing pathways for learning and progression through Inverclyde Life.

ANNEXE 1 COMMUNITY LEARNING AND DEVELOPMENT IN INVERCLYDE

STRATEGY AND IMPLEMENTATION PLAN 2014-2018

Inverclyde Alliance recognises the contribution Community Learning and Development (CLD) makes to achieving the outcomes identified in the Single Outcome Agreement. The purpose of this new strategy for CLD is to ensure that this contribution is maximised to improve outcomes for the communities of Inverclyde.

1 Community Learning and Development: Strategic Guidance for Community Planning Partnerships (Scottish Government 2012)

This identifies the purpose of CLD as ‘to empower people, individually and collectively, to make positive changes in their lives and their communities, through learning.’

The guidance states that the specific focus of CLD should be:

- Improved life chances for people of all ages, including young people in particular, through learning, personal development and active citizenship
- Stronger, more resilient, supportive influential and inclusive communities.

This is at the heart of the Alliance’s vision for a Nurturing Inverclyde.

‘Inverclyde Alliance will work in partnership to create a confident, inclusive Inverclyde with safe and sustainable, healthy, nurtured communities, and a thriving, prosperous economy, with active citizens who are achieving, resilient, respected, responsible and included, and able to make a positive contribution to the area.’

The Strategic Guidance for CLD further states that: Community Planning Partnerships ‘should co-ordinate planning of CLD provision, setting out specific priorities’ and that they should ‘ensure CLD has a core role in delivering identified outcomes for communities ...maximising the contribution of partners.’

This Strategy outlines how these responsibilities will be fulfilled by Inverclyde Alliance.

2 SSI Requirements for CLD (Scotland) Regulations 2013

This Strategy also fulfils the responsibility of Inverclyde Council to comply with the SSI Requirements for CLD (Scotland) Regulations 2013, specifically to:

- Assess the need for community learning and development
- Involve and consult representatives of target groups and individuals
- Involve and consult providers of CLD in the area
- Publish a 3 year plan specifying how the authority will co-ordinate its provision of CLD and that of other providers in the area.

3 CLD Strategy and Implementation Plan 2013-2017

The Building Blocks

Inverclyde Alliance sees CLD as integral to all of its work and consequently has developed a Strategy and Implementation Plan for CLD which is embedded in the strategic planning and implementation processes already developed by the Alliance. These include the use of a ‘logic model’ to identify need, to plan how this need will be met and to evaluate progress. This logic model is organised around the well-being outcomes associated with ‘Getting it right for every child, citizen and community in Inverclyde’.

The Strategy and Implementation Plan for CLD contains a number of building blocks as outlined below:

The overarching priority is to maximise the contribution of CLD to achieving the outcomes of the Inverclyde Alliance Single Outcome Agreement		
Supporting the Alliance to make a 'decisive shift towards prevention'.	Strengthening 'partnership working' to deliver CLD outcomes	
The SOA Delivery Plans identify the high level priorities for CLD		
The CLD Implementation Plan identifies specific CLD improvement actions through which CLD will be co-ordinated and its contribution maximised.		
The CLD Strategic Implementation Group oversees the strategic integration of CLD into community planning and the impact of CLD on achieving outcomes.		
Adult Learning & Literacies Sub-Group	Community Engagement & Capacity Building Network	Youth Work Sub-Group

3.1 Overarching priority and contribution of CLD

The overarching priority is to maximise the contribution of CLD to achieving the outcomes of the Inverclyde Alliance Single Outcome Agreement	
Supporting the Alliance to make a 'decisive shift towards prevention'.	Strengthening 'partnership working' to deliver CLD outcomes

The **overarching priority for CLD** is to maximise its contribution to the achievement of the outcomes identified in the Single Outcome Agreement for Inverclyde, specifically:

- Inverclyde's population is stable with a good balance of socio-economic groups.
- Communities are stronger, responsible and more able to identify, articulate and take action on their needs and aspirations to bring about an improvement in the quality of community life.
- The area's economic regeneration is secured, economic activity in Inverclyde is increased, and skills development enables both those in work and those furthest from the labour market to realise their full potential.
- The health of local people is improved, combating health inequality and promoting healthy lifestyles.
- A positive culture change will have taken place in Inverclyde in attitudes to alcohol, resulting in fewer associated health problems, social problems and reduced crime rates.
- A nurturing Inverclyde gives all our children and young people the best possible start in life.
- Inverclyde is a place where people want to live now whilst at the same time safeguarding the environment for future generations.
- Our public services are high quality, continually improving, efficient and responsive to local people's needs.

Within this overarching priority, CLD is recognised as having particular strengths in supporting the Alliance making a '**decisive shift towards prevention**' through its ability to:

- build an in-depth understanding of people's needs, strengths and aspirations through sustained dialogue;
- identify issues and solutions at an early stage;
- identify barriers to participation and strategies for overcoming these;
- mobilise and support direct participation in planning and service design;
- enable community organisations to develop their infrastructure.

Within this overarching priority, **partnership working** is seen as key to delivering CLD outcomes through:

- community development (building the capacity of communities to meet their own needs, engaging with and influencing decision makers);
- youth work, family learning and other early intervention work with children, young people and families;
- community-based adult learning, including adult literacies and English for speakers of other languages (ESOL);
- volunteer development;
- learning for vulnerable and disadvantaged groups in the community, for example, people with disabilities, care leavers or offenders;
- learning support and guidance in the community.

3.2 **High level priorities for CLD**

The SOA Delivery Plans identify the high level priorities for CLD

The work of Inverclyde Alliance is guided by the Outcome Delivery Plans associated with each outcome. These Outcome Delivery Plans reflect the high level priorities identified by the Alliance and consequently the **high level priorities for CLD in Inverclyde**.

Many of the Outcome Delivery Plans include a subset of policies, strategies and action plans to which CLD contributes. Increasingly these are formulated using the logic model, starting with the question ‘where are we now?’ This links each action to identified need and areas for improvement.

3.3 **The CLD Implementation Plan**

The CLD Implementation Plan identifies specific CLD improvement actions through which CLD will be co-ordinated and its contribution maximised.

The CLD Implementation Plan is a working document through which the contribution of CLD to the SOA will be co-ordinated and its contribution maximised through improvement actions.

Inverclyde Alliance undertook significant consultation and needs assessment to inform the SOA. The Implementation Plan builds on this, continuing to explore the needs of target individuals and groups in greater depth and adapting the plan accordingly.

The CLD Implementation Plan identifies specific actions and how they will be co-ordinated. In some cases this action will be led and co-ordinated by one of the CLD Strategy Sub-groups, while in other cases groups already exist to fulfil this function. For example, the ‘Opportunities for All Group’ already exists to lead and co-ordinate action, including CLD activities, to support young people improve their employability. (An abstract from the draft Implementation Plan is appended at Annex1 for information.)

3.4 **The CLD Strategic Implementation Group and Sub-groups**

The CLD Strategic Implementation Group oversees the strategic integration of CLD into community planning and the impact of CLD on achieving outcomes.

Adult Learning & Literacies Sub-Group	Community Engagement & Capacity Building Network	Youth Work Sub-Group
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The remit and membership of the CLD Strategy Group has been amended to reflect the national developments outlined above and local developments in community planning. The Group will meet 3 times per annum and be chaired by the Corporate Director: Education, Communities and Organisational Development.

Remit of the CLD Strategy Implementation Group

- (a) To oversee the strategic integration of CLD into community planning on behalf of Inverclyde Alliance.
- (b) To progress the integration of CLD into the work of the SOA Delivery Groups and related partnerships and monitor progress in the implementation of the CLD components of relevant action/delivery plans
- (c) To ensure that leadership for CLD is effectively provided by Inverclyde Council's Directorate of Education, Communities and Organisational Development
- (d) To review the quality and effectiveness of CLD activity in line with the HMle self-evaluation framework 'How Good is Our Community Learning and Development?2'.and other quality frameworks as appropriate.

Membership of the CLD Strategy Implementation Group has been configured to ensure that all relevant Partners are represented and that there are strong links back to the SOA Delivery Groups. The following is indicative at this stage.

Delivery Group	Proposed Membership
1 Stable Population	Riverside Inverclyde, CVS Inverclyde
2 Successful Communities	Police Scotland, IC Safer Communities
3 Economic Regeneration/ Employability	IC Economic Development, West College Scotland
4 Health Inequalities	CHCP – Health Inequalities
5 Changing the culture of alcohol	CHCP – Alcohol & Drugs Forum
6 Best Start in Life	CHCP – Children's Services, IC Education Services , Skills Development Scotland
7 Safeguarding the environment	IC – Green Charter Unit
8 Public services continually improve	IC – Policy & Performance

The CLD Sub-groups

The Adult Learning and Literacy Sub-group, the Community Engagement and Capacity Building Network and the Youth Work Sub-group will be responsible for operationalising the CLD Implementation Plan, leading on specific activities or liaising with other groups to ensure implementation as appropriate. These groups will also be responsible for collating and analysing information and supporting self-evaluation across all CLD activities.

ANNEXE 2 HOW THE PLAN WAS DEVELOPED

A co-produced plan for CLD in Inverclyde

From the outset it was agreed by all Partners that the 3 year plan for co-ordinating CLD in Inverclyde should be co-produced. A Co-production Conference held in March 2013 and a series of community engagement events held in March 2014 identified actions which would strengthen preventative work and progress partnership working. In June 2014, following an audit of progress to date in securing compliance with the 'The Requirements for CLD (Scotland) Regulations 2013: Guidance for Local Authorities' a number of areas for focused attention were identified. The activities identified then became the subject of successful application to Education Scotland's Innovation and Development Fund.

A co-produced plan for CLD in Inverclyde was achieved using the following steps:

- (1) Collation of results from needs assessment activities to date and mapping of community strengths.
- (2) Sharing with communities on a locality basis of the collated information, updating and amending in response to their feedback
- (3) Sharing collated information (updated with further community input) with other relevant partnerships in the context of the SOA Delivery Groups aligned to each outcome in the Single Outcome Agreement for Inverclyde.
- (4) A second series of cluster events which focused on the role of 'Inverclyde Life' in promoting access to information about CLD activity, including activity led/delivered by community and voluntary organisations.
- (5) A workshop for 'delivery partners' which offered an opportunity for them to influence the development and structure of the plan.
- (6) An 'all stakeholder day' bringing together all Partners, including the community and the voluntary sector. This was linked to the 'Clyde Conversations' community planning conference which focused on the role played by all stakeholders, with an emphasis on young people themselves, in improving health and well-being in Inverclyde.

A report of this event has been compiled and broadly disseminated and progress is already underway in turning talk into action.

Ongoing engagement and assessment of needs/strengths

Partners undertake a range of activities to identify the needs and strengths of the communities they serve and to engage these communities in the design and delivery of these services. These activities include the Citizen's Panel, listening surveys and outreach and engagement activities. The Delivery Plan at Section 3 identifies how these activities will be more effectively co-ordinated.

ANNEXE 3 CLUSTER COMMUNITIES AND NEIGHBOURHOODS

For the purposes of the 3 year plan for co-ordinating CLD, it was agreed to use the following clusters of geographical communities and neighbourhoods to collate and analyse information about community needs and strengths. This approach is being incrementally used to develop profiles of our communities and neighbourhoods. The electoral ward areas, community council areas and learning community catchment as defined by Education Scotland are also linked to the clusters.

During the period of development, there have been discussions about how learning community and/or locality planning might be progressed most effectively. These discussions will continue and will factor in the requirements of the Community Empowerment Bill, June 2015. The 3 year plan for CLD will be adapted to reflect the decisions made and planning geographies agreed.

Port Glasgow Cluster

Electoral Wards: Ward 1 and Ward 2 (PG only)		
Community Councils: Port Glasgow East, Port Glasgow West and Kilmacolm		
HMIe Learning Community: Port Glasgow High(Joint Campus) catchment area		
Neighbourhoods and Profiles		
Kilmacolm	Woodhall	Town Centre
Quarrier's Village	Kelburn	Chapelton
	Clune Park	Devol
	Slaemuir	Bardrainney
	Park Farm	Mid Auckinleck
		Boglestone

Greenock Cluster

Electoral Wards: Ward 2 (Greenock), Ward 3 (Town Centre), Ward 4, Ward 6 (exc villages)				
Community Councils: Greenock East, Greenock Central, Holefarm & Cowdenknowes, Greenock South West, Larkfield, Braeside and Branchton				
HMIe Learning Community: Inverclyde Academy catchment area				
Neighbourhoods and Profiles				
Gibshill	Belville	Overton	Bow Farm	Branchton
Strone	Cartsdyke/Weir St	Dunlop St area	Grieve Rd	Westmorland Rd
Leven Road	Broomhill	Barr's Cottage	Fancy Farm	Larkfield
	Town Centre		Mallard Bowl	Braeside
	Wellpark		Pennyfern	
	West Station			

Clydeview Cluster

Electoral Wards: Ward 3 (West End), Ward 5, Ward 6, Villages		
Community Councils: Greenock West and Cardwell Bay, Gourock, Wemyss Bay and Inverkip		
HMIe Learning Community: Clydeview Academy catchment area		
Neighbourhoods and Profiles		
West End of Greenock including South St area	Cardwell Bay	Inverkip
	Gourock	Wemyss Bay

ANNEXE 4 INVERCLYDE LIFE

The Inverclyde Life website, hosted by CVS Inverclyde, is the key mechanism for mapping CLD provision across Inverclyde and includes both voluntary sector and public sector provision. The website will also be key to the development of pathways and progression through CLD provision to most effectively meet the needs identified.



[Sign In](#)

- [Get Involved](#)
- [Help Out](#)
- [Contact](#)



Community Directory

Inverclyde Life can help you find groups, organisations and services that might benefit you. Search below by the activities you are interested in, the type of person your search is for or by the name of an organisation. If finding something close-by is important you can include your post-code and we will only show the activities close to you.

- [Search by Activity](#)
- [Search by Who Benefits](#)
- [Search by Name / Keyword](#)

Activity

Advice / information services

Your Postcode Optional



ANNEXE 5 DEVELOPING PATHWAYS

Lose no one – pathways for community learning and development

Inverclyde has been very successful in delivering on the More Choices and More Chances principle of 'losing no one'. All young people in Inverclyde remain 'known' to partner agencies on leaving school and the overwhelming majority are in positive destinations. It is an aspiration of the 3 year plan to extend this principle to adults participating in CLD and to create pathways which will ensure that participants are supported from their first engagement in any form of CLD through the range of provision that best meets their needs.

Building on the stages used within the 'Employability Pipeline' already in place in Inverclyde, it is proposed that each Partner with a role in supporting potential CLD learners and participants and/or is a provider of CLD, should align their activities to one or more of the categories below and identify how they will guide and support learners along the pathway, putting in place specific handover arrangements. The following attempts to illustrate this.

Stage 1 – engagement in CLD (through joint working and integration of services)

Stage 2 – positive activity, first steps into learning and development

Stage 3 – sustaining learning and development

Stage 4 – progression and accreditation

Stage 5 – CLD supported goals achieved

The CLD Strategic Implementation Group will identify key strands for development (see example below) and may add criteria to be used for specific strands eg age of participants.

Example - Family learning and parenting

Stage 1		Stage 2		Stage 3		Stage 4
Need for support for parenting/family learning identified by CHCP/Early years establishment	s t u r p a p n o s r i t t e i d o n	Parenting Programme delivered by Barnardos Families and schools together (schools, Save the Children/CLD)	s t u r p a p n o s r i t t e i d o n	Family learning (CLD Service) chosen from range of CBAL opportunities, Maximising family finance programme (CLD/Riverclyde Homes)	s t u r p a p n o s r i t t e i d o n	Family literacies with embedded core skills (CLD) Core skills accreditation (CLD)

ANNEXE 6 PLANNING FOR CLD

The approach agreed by the Alliance Board December in 2013 to develop a working document 'through which the contribution of CLD to the SOA will be co-ordinated and its contribution maximised' has not yet been fully implemented.

As stated in the Delivery Plan above we want to get to a place where the impact of CLD within constituent partnership strategies and plans is identified and its contribution maximised.

Once the format for this has been agreed, guidance which coheres with the Nurturing Inverclyde planning framework will be issued to all Partners for inclusion in the development and updating of their plans.

At its simplest where the 'how will be get there?' column contains actions that fall within the broad definition of CLD these will be highlighted and reviewed to ensure effective co-ordination and best use of resources.

These review activities will be undertaken to:

- Support the development of pathways for strands of activity such as family learning and community capacity building
- Address priorities for co-ordination identified by the CLD Strategic Implementation Group eg youth diversionary activities.

ANNEXE 7 ABBREVIATIONS AND GLOSSARY OF TERMS

Asset based approaches

Asset based approaches recognise and build on a combination of the human, social and physical capital that exists within local communities. They acknowledge and build on what people value most and can help ensure that public services are provided where and how they are needed.

i-develop

i-develop is the national web-based CPD Framework supporting innovative learning and development for CLD practitioners, based on the values, principles, skills and competences shared by CLD practitioners and employers.

CE/CCBN	Community Engagement and Capacity Building Network
CPP	Community Planning Partnership
SOA	Single Outcome Agreement
SOADG	Single Outcome Agreement Delivery Group

Report To:	Policy and Resources Committee	Date:	11 August 2015
Report By:	The Head of Legal and Property Services	Report No:	LP/117/15
Contact Officer:	Peter MacDonald	Contact No:	2618
Subject:	2015 Inverclyde Community Council Elections		

1.0 PURPOSE

- 1.1 The purpose of this report is to seek the Committee's approval of a timetable for community council elections in the Inverclyde area (the 2015 Inverclyde Community Council Elections) and to appoint the Chief Executive as Returning Officer for those elections.

2.0 SUMMARY

- 2.1 The four year term of the community councils in Inverclyde is coming to an end, with the previous elections having been held in September to October 2011. In terms of the Scheme for the Establishment of Community Councils in Inverclyde, the Council therefore requires to hold elections during the course of this year in line with that four year term.
- 2.2 It is proposed that the elections be held in the period from September to November this year, in accordance with the Election Timetable included at Appendix 1 and that the Chief Executive be appointed as Returning Officer to administer these elections.

3.0 RECOMMENDATIONS

It is recommended that the Committee:

- 3.1 appoints the Chief Executive to act as Returning Officer for the 2015 Inverclyde Community Council Elections and delegates authority to him to administer these on the Council's behalf; and
- 3.2 notes and approves the Provisional Election Timetable as shown at Appendix 1 and delegates authority the Chief Executive (as Returning Officer) to make such changes to this timetable as are considered appropriate for the effective administration of the election.

Gerard Malone
Head of Legal and Property Services.

4.0 BACKGROUND

- 4.1 At its meeting of 14 April 2011, the Inverclyde Council adopted the current Scheme for the Establishment of Community Councils in Inverclyde (the Scheme). The first elections under the Scheme were held in the period from September to October of 2011.
- 4.2 In terms of Part 7 of the Scheme elections for the community councils are to be held on a four yearly cycle, on dates to be determined by the Council. The current community councils' term is therefore due to come to an end in the course of this year, and it is necessary for the Council to:
 - a) fix dates for the 2015 Inverclyde Community Council Elections; and
 - b) appoint a Returning Officer for the purposes of these elections.
- 4.3 Officers from Legal and Property Services and the Safer and Inclusive Communities Service are, in liaison with the current community councils, making the necessary practical arrangements for the holding of the elections. As part of this process, an Election Timetable has been prepared and is included in this report at Appendix 1 for the Committee's approval.
- 4.4 Forms for nomination as a member of a community council (Nomination Forms) will be made available on the Council website, from all Council libraries, from the Customer Service Centre and directly to the current community councils. Completed nomination forms (signed by a qualifying nominee and qualifying proposers and seconders) will require to be submitted to the Returning Officer by the Close of Nominations, as per the Proposed Election Timetable.
- 4.5 In terms of the Scheme, to be nominated as a member of a community council, or to act as a proposer or seconder on a Nomination Form, an individual must:
 - a) be resident in the community council area;
 - b) be named on the Electoral Register for the community council area;
 - c) be aged 16 or over; and
 - d) not currently be elected as a Member of this Council, or of the Scottish, UK or European parliaments.
- 4.6 In terms of the Scheme, there is maximum number of members for each community council. For each community council area, following the Close of Nominations:
 - a) if the number of validly nominated candidates is less than half the maximum number of members, no community council will be formed for that area;
 - b) if the number of validly nominated candidates is between the maximum and half the maximum numbers of members (inclusive) then the election for that area will be uncontested, and all the valid nominees will be elected as members of the community council, as from the date of close of nominations; and
 - c) if the number of validly nominated candidates is greater than the maximum number of members, then the election for that area will be contested and a ballot will be arranged in accordance with the Election Timetable.
- 4.7 Officers are liaising with each of the existing community councils to arrange availability of their usual meeting venues in line with their usual cycle of meetings, in order that:
 - a) for areas with a contested election, that venue may be used to host a poll; and
 - b) for areas with an uncontested election, that venue may be used for the first meeting of the newly formed community council.
- 4.8 In terms of the Scheme, to vote in a community council election, an individual must:
 - a) be resident in the community council area;
 - b) be named on the Electoral Register for the community council area; and
 - c) be aged 16 or over.
- 4.9 Any polls will proceed by way of secret ballot and voting in person. The elections will proceed

on a modified first past the post system, in that:

- a) voters will be allowed to make a number of votes (up to the maximum number of members for that community council) on one ballot paper; and
 - b) each vote will be of equal ranking.
- 4.10 Work is already underway in communities to promote participation in the upcoming elections. Community groups were briefed at cluster events facilitated by the CLD Service in June and this will be continued through further cluster events planned for August. Councillor Brennan will also support the engagement of communities in the elections in his capacity as Communities Champion. Potential candidates have been identified by CLD Service staff and are being encouraged to put themselves forward for election.
- 4.11 It is recognised, however, that there is a need to reach the wider community and plans are being developed to promote participation through the Council website, social and local media.
- 4.12 If for one or more of the community council areas a community council is not formed as part of this election process, the Council may issue a further call for nominations in respect of such areas within a period of 6 months from the date of the Close of Nominations in this first call. Should this circumstance arise, officers will submit a further report to the Committee.

5.0 IMPLICATIONS

Finance

- 5.1 Advertising costs will be incurred as part of the election process, but will be contained within existing budgets for community council funding. Similarly, staffing requirements for ballots held will be met from existing Council resources. It is not possible to accurately forecast the advertising costs or staffing requirements as the numbers of notices and ballots required will be dependent on the outcome of the nomination and election processes.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (if Applicable)	Other Comments
N/A					

Legal

- 5.2 The Council is required to administer community council elections in terms of the Scheme.

Human Resources

- 5.3 None.

Equalities

- 5.4 As it is open to any individual:
- residing in a community council area;
 - aged 16 or over; and
 - named on the Electoral Register for that area,
- to seek election as a member of that community council (subject to the comments at part d) of paragraph 4.5 above) **and** to vote in community council elections, these elections promote equality, diversity and inclusion in the communities.
- 5.5 Officers will take reasonable steps to make nomination forms are available in alternative formats on request. All venues for ballots will be reasonably accessible to members of the public.

Repopulation

- 5.6 None.

6.0 CONSULTATIONS

- 6.1 The Head of Safer and Inclusive Communities and the Chief Financial Officer have been consulted in the preparation of this report.

7.0 LIST OF BACKGROUND PAPERS

- 7.1 None.

Appendix 1

Election Timetable - 2015 Inverclyde Community Council Elections.

No	Task	Comment	Date
1	Appoint a Returning Officer and start the formal election process.		11/8/15
2	Make nomination forms available at libraries, online and directly to community councils.		not later than 2/9/15.
3	Notice of Election.	<p>Public notice online, in libraries, in the Customer Contact Centre and in the Greenock Telegraph inviting nominations.</p> <p>This will include:</p> <ul style="list-style-type: none"> • details on how to obtain nomination forms; • the date and time of close of nominations; and • the dates of any polls that may be held. 	2/9/15
4	CLOSE OF NOMINATIONS	Nominations received later than the date and time of close will not be accepted.	4pm on 30/9/15
5	Notice of Validly Nominated Candidates.	Public notice online, in libraries and in the Customer Contact Centre.	As soon as practicable following 4.
6	Declaration of Result for uncontested community councils.	For community council areas where the number of validly nominated candidates is between the maximum number and half the maximum number of members (inclusive), public notice online, in libraries, in the Customer Contact Centre and in the Greenock Telegraph will confirm the formation and membership of the community council. This will include details of the first meeting to be held and, if practicable, will be combined with the notice at item 5 above.	Per 5.
7	Notice of Poll for contested community councils.	For community council areas where the number of validly nominated candidates exceeds the maximum number of members, public notice online	Per 5.

		<p>in libraries and in the in the Customer Contact Centre will confirm the place date and time at which a poll will be held, and a time and place in each case for a count.</p> <p>If practicable, this notice will be incorporated in the notice at item 5 above.</p>	
8	For contested community councils, last date for withdrawal of a nomination.		4pm 7 October 2015.
9	First meeting of uncontested community councils/polling date for contested community councils.	Officers are liaising with the each existing community council to arrange for these to take place in the normal cycle and venues for the community council meetings.	Mid October to late November 2015.
10	Count for contested community councils.	These will be held as soon as practicable following any poll, however where polls are held in close succession, the counts for more than one community council may be held on the same day.	As soon as practicable following 9.
11	Declaration of Result for contested elections.	Public notice online, in libraries, in the Customer Contact Centre and in the Greenock Telegraph. If practicable, this will include details of the first meeting to be held.	As soon as practicable following 10.
12	First meeting of contested community councils.	Officers are liaising with the community council to accommodate this in the normal cycle and venues for meetings.	Mid November to late December 2015.

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Head of Legal & Property Services	Report No:	GM/LP/106/15
Contact Officer:	Gerard Malone	Contact No:	01475 712710
Subject:	Petitions Committee		

1.0 INTRODUCTION

- 1.1 This report requests the Committee to consider establishing within the Council's Scheme of Administration a new Petitions Committee.

2.0 SUMMARY

- 2.1 A Petitions Committee can support and enhance community involvement and awareness of local government issues within Inverclyde. Individuals, businesses or community groups can become involved and informed in debates and topics of interest within the local community.
- 2.2 To ensure accessibility, a Petitions Committee will require ongoing website support and maintenance and will require administration officer support and resources.
- 2.3 This report outlines key issues and tasks to establish a Petitions Committee. If approved, a further report would be submitted to the next meeting of the Council to establish the membership of the Committee and for formalising its remit with consequent alterations to the Scheme of Administration.

3.0 RECOMMENDATION

- 3.1 That the Committee considers the issues in establishing and supporting a Petitions Committee and determines a direction for any future implementation.

Gerard Malone
Head of Legal & Property Services

4.0 BACKGROUND

- 4.1 The promoting of or the taking part in a petition can support and enhance involvement in local decision-making. A petition procedure that is developed and supported through Council resources could stimulate informed local debate on issues of topicality and areas of interest and change. A successful petition procedure could stimulate the involvement of individuals, businesses and community groups and organisations in a range of local issues. A Petitions Committee could support local government engagement within the community and have the benefits of increased local awareness of and participation in the work of the Council.
- 4.2 From research with local authorities, 15 Councils have introduced procedures for petitions on their websites. The numbers of petitions submitted to these Councils vary considerably. For example, available statistics show:

Council	Period	Number
Edinburgh City	Oct 2012 – July 2015	24
Glasgow City	2014	3
	2015	14
Stirling	Jan – July 2015	2
East Lothian	2013/14	6
	2014/15	3

From research on the background to the introduction by these Councils of their procedures, it can be noted that there has been close review of arrangements even from the early days of introduction. In some instances substantial changes were made to respond to developing issues, such as, a clear focus for young people to be involved. The relevant issue from this, for purposes of the Council's consideration, is the need to monitor and review any introduction to take account of local response and actual levels of engagement.

- 4.3 For this Council, if a Petitions Committee were to be introduced, the Scheme of Administration would make it clear that the Council is unable to consider petitions in relation to subjects which are sub-judice or that relate to matters within the scope of current key decisions or current forward plans of the Council or which conflict with the remit of the Council's Audit Committee or which relate to any decision of the Council or Committee within the previous six month period. Within these requirements, it would be possible for the Council to consider delegating a function to the Petitions Committee to consider petitions addressed to the Council in accordance with the Council's petition procedure (to be agreed - **Appendices 1 to 3**) and it would be the role of the Petitions Committee to determine the appropriate action to be taken within the terms of that procedure.
- 4.4 The key issues for the Council include:
- The criteria for valid Petitions to be specified;
 - The setting out of clear guidelines for individuals, businesses and community groups and organisations to start a petition;
 - Guidance, promotion and support (especially at the launch stages) of a petitions procedure and close involvement in the accessibility of the petitions procedure through the Council's new website;
 - The identification and recognition of realistic, achievable outcomes within the procedures;
 - ICT and LPS administrative officer support in the development of the process and in its continuous delivery;
 - Decisions on the procedures for presentation of petitions (written submissions/hearings and Council decision-making and outcomes).
- 4.5 The above issues of detail will be developed and worked upon dependent upon the direction set by the Committee. The establishing of a Petitions Committee will require Council approval for its remit, delegated functions, membership and meeting schedule: if this report is approved, these details will be submitted to the next meeting of the Council for consideration.

5.0 DRAFT PETITIONS PROCEDURES

- 5.1 For purposes of Committee consideration, **Appendix 1** sets out draft petitions criteria which require that a petition must be from an individual or on behalf of a business (and for purposes of Committee discussion, it is suggested that 100 signatures are needed for an individual's petition, 50 for a community group, or 10 needed for a business petition).
- 5.2 **Appendix 2** sets out outline procedures for submitting a petition, describing the various types of petitions which could be considered, the eligibility relative to individual/business numbers and the submission procedures including the possibility of appearing before the Petitions Committee to make a statement in support. Importantly, there is a critical cross-referencing in this **Appendix 2** to the necessity of a petitions module being available on the Council's website for purposes of petition promotion and the gathering of signatures. This is an essential issue that underlines the importance of detailed ICT involvement in the public-facing elements of the procedure.
- 5.3 **Appendix 3** sets out a draft procedure for attendance at the Petitions Committee and on the arrangements.
- 5.4 The Council has recently engaged Web Labs for the purposes of refreshing its corporate web-site. Discussions have been undertaken with Web Labs as part of this refresh to utilise a modern, petitions module that would support the platform of community engagement and provide an accessible and modern means of engagement with the Council through the petitions procedure. These discussions have indicated that, subject to detail, the initial costs involved amount to £3,000 approx. with ongoing revenue costs on a yearly basis of £1,000. As this proposal would be carried out as an extension to the existing refresh of the corporate web-site, it has been confirmed by Web Labs that the launch of the Petitions Committee module can be implemented by October 2015, following upon the next Council meeting.
- 5.5 The Petitions Committee will require resources from existing staff for purposes of administration of meetings and for all matters associated with petition requests and all of the processes involved with customer contact, provision of advice, liaison with relevant services and petition decisions. It is difficult to estimate the extent of resources required and this will be reviewed dependent upon numbers of petitions received. An approximate budget estimate for recurring costs is included in this report.
- 5.6 It is suggested that any petitions procedures be reviewed after a period of one year's operation.

6.0 IMPLICATIONS

Finance

6.1 Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
Modernisation	Petition Committee	2015/16	£3,000		

Annually Recurring Costs/(Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (if Applicable)	Other Comments
ICT	Maintenance	2016/17	£1,000		To be contained by ER&R Directorate
Legal & Property	Committee Services	2015/16	£5,000		No budget – will need to be contained by the Environment, Regeneration & Resources Directorate

Legal

- 6.2 A Petitions Committee will require amendments to be made to the Council's Scheme of Administration and these will be reported to the full Council for consideration.

Human Resources

- 6.3 There are no direct HR implications arising from this report.

Equalities

- 6.4 The Petitions Committee promotes and assists community engagement throughout Inverclyde.

Repopulation

- 6.5 There are no direct repopulation implications arising from this report.

7.0 CONCLUSIONS

- 7.1 This report considers possible alterations to the Council's governance arrangements and its means of engagement within the community. Accordingly, the Committee requires to consider the issues and to set a future direction.
- 7.2 There is an available module for inclusion in the Council's new web-site and provision can be made for its ongoing maintenance. Corporate Communications will be involved in any, consequent social media issues and their support as will be necessary in the provision of an accessible and modern web-based process. This level of detailed ongoing attention will be required in order to ensure the petitions procedure is resourced and maintained as a high-profile, public-facing task.
- 7.3 As part of its approach to modernised local government, the Petitions Committee could provide the Council with a focused interface between it and the community with a significant platform for local community engagement. The procedure will have resource impacts but this will be driven by the awareness and uptake of the petitions procedure by the local community. Any introduction would have to be reviewed in terms of staff input and resourcing along with the assessment of overall benefit for the Council and the community in the course of a planned, review in 12 months.

8.0 CONSULTATIONS

- 8.1 The CMT has been consulted on this report.

APPENDIX 1

INVERCLYDE COUNCIL

DRAFT PETITIONS CRITERIA

Inverclyde Council welcomes the public's use of its petitions procedure for local issues. The Council can only deal with petitions that relate to the Council's powers and remit for its areas of functional responsibility.

This guidance sets out the basic requirements for you to submit a valid petition. If you have any doubt about the procedure or if you would like to ask any questions please contact ## at telephone 01475 ## extension ##.

Petitions

1. Petitions must be submitted (a) by an individual; (b) by an individual on behalf of a community group and as authorised by that group; or (c) by an individual on behalf of a business and as authorised by that business.

You must include:

- (1) Your name, your address, your telephone number and your email address. This is essential to ensure that you are identified as being the person promoting the petition and so that there is notice of a clear and understandable public process being undertaken at your initiative.
- (2) The issue you are concerned about and what you want the Council to do. Please state this as clearly as you can so that people can understand what you want to be done.
- (3) What you have already done to try to address your concern: have you contacted any other person or organisation in order to address your concerns?
- (4) The names of any other people who may already be involved with you in creating the petition. If you are submitting the petition as an established community group, 50 signatures from members of that group must be identified as such.

You can provide any extra details you wish in order to support your petition. You should think about stating your petition as clearly as you can so that people understand what you want.

For all petitions, the Council encourages petitioners to have dialogue with the appropriate Council services prior to any formal consideration of the petition.

When you submit your petition, all members of the public will be able to view it on the Council's website. When the Council is sure that your petition meets the Council's rules on proper procedures, your petition will be made available in public for people to sign. You should take care not to include any details or signatures that you do not wish to be made publicly available and this is wholly your responsibility. Remember, the petitions procedure is entirely public.

A petition needs 100 signatures from members of the public for it to be considered by the Council's Petitions Committee. If you are a community group you need 50 signatures. Your petition needs 10 businesses to support it if it is a business petition. Publication on the Council's website will allow the petition to be viewed by the public and persons, if they wish, may choose to support the petition so that you may achieve the numbers of support from individuals or businesses in order that the petition be considered by the Petitions Committee.

2. The Council will not accept a petition that relates to:
 - a) Any planning, licensing or other such matters where objections and appeals against decisions are dealt with by another, existing process;
 - b) Matters already being considered or scheduled to be considered by the Council or one of its Committees;
 - c) Decisions of the Council or one of its Committees during the previous six month period;
 - d) Matters that are commercially sensitive, confidential or which could cause personal distress or financial loss in any way;
 - e) Matters that are directed at a specific person or groups of persons with names or details that can be used to identify such persons;
 - f) The same or similar petitions considered within the past 24 months; and, not within the Council's power and remit or functional areas of responsibility.

3. The Council will not accept a petition that contains:
 - (a) Any false or potentially defamatory statement as may be considered by the Council;
 - (b) Any details that might damage a person's reputation or which may discriminate against them in any way;
 - (c) Offensive or inappropriate language;
 - (d) Information protected by a court order or relating to an ongoing court or tribunal or quasi-judicial tribunal process or which would otherwise be considered sub-judice (i.e. being considered as part of another, separate legal process).

Guidance on all of the above can be obtained from the Council by contacting ## at telephone 01475 ## extension ## or by email at ##@inverclyde.gov.uk.

APPENDIX 2

INVERCLYDE COUNCIL

PETITIONS – HOW TO SUBMIT A PETITION

Inverclyde Council welcomes the public's use of its petitions procedure for local issues. The Council can only deal with petitions that relate to the Council's powers and remit for its areas of functional responsibility.

This guidance sets out the basic requirements for you to submit a valid petition. If you have any doubt about the procedure or if you would like to ask any questions please contact ## at telephone 01475 ## extension ##.

Submitting a petition

1. Submitting a petition gives you the opportunity to tell the Council what matters to you. Your petition could help make a difference to your community within Inverclyde. The petition procedure allows residents and businesses within Inverclyde to raise issues of local public concern and gives Councillors the opportunity to hear your views and to consider any need for change.

You can submit a petition if you are over the age of 16 years and you are a resident in Inverclyde or if you own a business that operates and employs people within Inverclyde.

What kind of petitions can be considered?

2. The Council will consider a broad range of subjects and themes for any petitions. The petitions must meet the petitions criteria and these are clearly displayed on the website. The Council can only get involved in areas of local or community concern which are within the powers and remit of the Council or within its functional areas of responsibility.

How many people will need to sign my petition?

3. Before your petition can be considered by the Council's Petitions Committee, it must be supported by the signatures of a number of people who are resident and on the electoral register in Inverclyde or from a business which you own or operate within Inverclyde.

Type of Petitions	Number of Signatures Required
Individual petitions involving a local issue	100
Petition submitted by a community of interest (i.e. a group of people in the community who share a common interest)	50
On behalf of businesses operated within Inverclyde	10 businesses

APPENDIX 3

INVERCLYDE COUNCIL

ATTENDANCE AT PETITIONS COMMITTEE

Inverclyde Council welcomes the public's use of its petitions procedure for local issues. The Council can only deal with petitions that relate to the Council's powers and remit for its areas of functional responsibility.

This guidance sets out the basic requirements for you to submit a valid petition. If you have any doubt about the procedure or if you would like to ask any questions please contact ## at telephone 01475 ## extension ##.

This note is to assist you in preparation for any attendance at the Petitions Committee in support of your petition.

Attending the Petitions Committee

1. As you are the responsible person taking the initiative with your petition, you will be invited to appear before the Petitions Committee to speak in support of your petition. It is entirely within the discretion of the Convener (the Chairman or Chairwoman of the Petitions Committee) to decide if you be heard in person at the Petitions Committee but it will ordinarily be the case that you will be requested to make a brief statement to explain your petition or to support your petition, and, subject to the above, you may speak for up to 10 minutes on this subject. If you wish to appoint a person to speak on your behalf, if necessary, this may be done with the permission of the Convener. The Petitions Committee might ask you questions in order to clarify the purpose or background to your petition.

You should state on your petition form whether or not you would like the opportunity to make such a statement before the Petitions Committee.

The Council will give you 10 days' notice of the date of the meeting at which your petition is likely to be considered. The Council will write to you with the meeting date and time. Please note that other petitions may be heard at the same meeting and for that reason the time that you are called to the meeting can only be indicative.

What to do when you arrive

2. Please report to the reception at the Customer Service Centre on the ground floor of the Municipal Buildings, Greenock PA15 1LX. Reception staff at the Customer Service Centre will take your name and petition details and will direct you to the meeting room.
3. Members of the Petitions Committee and Council staff will be in the meeting room. You will be given an agenda for the meeting. Everyone at the meeting will have a nameplate so that you know who is who.

Ward Councillor representation

4. Your petition may refer to a specific area of Inverclyde. If so, Councillors for this ward will be told of the petition meeting. Ward Councillors will have the opportunity to speak following your own comments to the Petitions Committee.
5. It may be that in terms of normal Committee representation that your Ward Councillor is a member of the Petitions Committee, itself. If your Ward Councillor is already on the Petitions Committee, it is essential that you note that your Ward Councilor may not make a decision

on your petition if he or she has made it clear that he or she is either lending support for or is against any such petition that you have submitted. This is essential to ensure that your petition has a fair and proper hearing and will avoid any impression of bias in relation to the Council's decision-making processes.

6. Councillors are entirely entitled to discuss and debate matters affecting the subject of your petition but you must understand that they cannot participate in that process if they are identified as being for or against your petition and in those cases they may not speak as Ward Councillor if they are already a member of the Petitions Committee. These issues, if they arise, will be explained to you at the meeting.

Open public meetings

7. The Petitions Committee meetings are open to the public. If an item involves aspects of confidentiality or otherwise involves information that is exempt in terms of the Local Government Acts, you will be advised of this matter at the Petitions Committee meeting and members of the press and public may then be excluded. Again, this is a matter that will be explained to you if the occasion necessitates.

Outcomes

8. The Petitions Committee will decide what action may be taken. The Petitions Committee may decide that:
 - the issues raised merit further action and will refer the matter to the relevant decision-making body (which may be within the Council) and which may require further work, resolution or influence from the Council;
 - that issues raised do not merit any further action;
 - to take any other action as may be decided as appropriate.

You will be advised of the decision of the Petitions Committee in writing within 10 working days after the meeting.

Report To:	Policy and Resources Committee	Date:	11 August 2015
Report By:	Chief Officer Designate Inverclyde HSCP	Report No:	SW/09/2015/AMcD
Contact Officer:	Allan McDonald	Contact No:	01475 712098
Subject:	Email Archiving and Deletion		

1.0 PURPOSE

- 1.1 The purpose of this report is to recommend a corporate approach to the deletion of archived emails that reflects the Council's Records Retention and Information Classification Policy and the Records Management Policy.

2.0 SUMMARY

- 2.1 The Council uses Email Archiving to process, store and manage email messages and attachments, calendar entries and tasks. Currently all emails are retained and are not subject to any review or permanent deletion process.
- 2.2 A Corporate Policy for the Retention and Disposal of Documents and Records was agreed at Policy and Resources Committee meeting on 13th November 2012.
- 2.3 A Corporate Records Management Policy was agreed at Policy and Resources Committee on 24th March 2015.
- 2.4 It is recognised that there is currently no management of stored emails within the Email Archiving System and it is impractical to retrospectively carry out any meaningful review of the data stored in each of these files. Following approval of the Retention and Disposal of Documents and Records Policy and Records Management Policy, the Information Governance Steering Group proposes, subject to the qualifications below, to implement a policy that automatically deletes all emails after six months.
- 2.5 It is proposed to implement a "Retain Folder" for each user that will allow selected emails to be protected from any automatic deletion. Staff will be provided with suitable instruction and advice on how to use this facility to comply with the various Council Policies.
- 2.6 A programme of email deletion will be implemented beginning in January 2016 until all remaining emails stored in the archive have been processed in line with the appropriate Council Policies and legislative requirements.

3.0 RECOMMENDATIONS

That the Committee:-

- a) Note and approve a policy to delete all emails over 6 months old as part of the implementation of the Retention and Disposal of Documents and Records Policy.
- b) Note that the programme of email deletion will be implemented in January 2016 to align the current email archive to the new policy.
- c) Note that a full set of user instructions is to be developed and distributed to all staff and that staff are to be reminded of the most appropriate method and location of storing emails and other official documentation prior to implementation.
- d) Note that a "Retain Folder" will be created for each user to store emails that require to be permanently retained.
- e) Note that all remaining emails will be deleted six months after receipt.

Brian Moore
Corporate Director HSCP

4.0 BACKGROUND

- 4.1 A Corporate Policy for the Retention and Disposal of Documents and Records was agreed at Policy and Resources Committee meeting on 13th November 2012. It sets out the Council's approach to the storage, retention and disposal of official documents, detailing retention and destruction schedules for both paper and electronic documents and records.
- 4.2 A Corporate Records Management Policy was agreed at Policy and Resources Committee on 24th March 2015. It enables the Council to meet its statutory requirement to "make proper provision for the preservation and management" of its records; to be publicly accountable for and able to justify its decisions and actions; and to enable compliance with the requirements of the Public Records (Scotland) Act, 2011, the Data Protection Act 1998, the Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.
- 4.3 The CMT has recognised that there is currently no management of stored emails within the Email Archiving System and, following approval of the Retention and Disposal of Documents and Records Policy and Records Management Policy, has asked the Information Governance Working Group to address this issue by proposing an approach to managing emails within the email system.
- 4.4 **Archive Manager Retention and Deletion Policies.** Currently all emails, calendar entries and tasks are copied to the email archive system immediately upon receipt. 120 days after receipt the body of the email is removed and is only available via the archive.
- 4.5 **Management by Individual Users & Services – "Retain Folder".** It is proposed to implement a new network folder for all staff. This folder will be used to permanently retain the documents contained within the folder.
- 4.6 **Retention Policy Editor.** Where an email has not been moved to the network folder a default disposal date will be implemented. Using the email archiving system retention policy editor, a rule will be implemented that will automatically delete all remaining emails, calendar entries and tasks six months after they entered the email system.
- 4.7 **Investigative, Legislative and Compliance Issues.** Developing any policy will target all messages that are on the Council email system and it is important to note that, although an audit trail of the deletion process remains, once these messages are deleted, they are deleted permanently from the email system.

5.0 PROPOSALS

- 5.1 The Corporate Management Team recommends the following:
- ICT to implement a network folder for all staff to retain mail that they wish to permanently retain.
 - Staff to be given suitable instructions/guidelines/training in the operation of the Email Archiving System.
 - As part of the implementation of the Retention and Disposal of Documents and Records Policy, the proposed Information Classification Policy and the implementation of this Policy, staff are also be reminded of the most appropriate method and location of storing emails and other official documentation.
- 5.2 All Remaining emails (not categorised or retained) to be deleted six month after receipt.

6.0 IMPLICATIONS

Finance

- 6.1 Costs to upgrade Email Archiving infrastructure will be met within ICT Services on-going Switch & Server replacement plan.

Legal

- 6.2 It is a breach of the Data Protection Act 1998 to retain personal data for longer than is necessary therefore, an email deletion policy is required to bring the Council in line with the 1998 Act. Detailed guidance on retention and disposal of documents and records is contained within the Council's Policy for the Retention & Disposal of Documents & Records Paper & Electronic.

Human Resources

- 6.3 There are no know human resources implications.

Repopulation

- 6.4 There are no know repopulation implications

7.0 EQUALITIES

- 7.1 Has an Equality Impact Assessment been carried out? **NO**
- 7.2 No equalities impact.

8.0 CONSULTATIONS

- 8.1 The Information Governance Group has been consulted.

9.0 BACKGROUND PAPERS

- 9.1 None.

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Head of Organisational Development, Human Resources & Communications	Report No:	HR/13/15/AW
Contact Officer:	Allan Wilson, Service Manager Organisational Development	Contact No:	Ext 2015
Subject:	Equality Mainstreaming – Workforce Equality Action Plan		

1.0 PURPOSE

- 1.1 A report on mainstreaming equality was considered by the Policy and Resources Committee on 24 March 2015 which reported progress against a number of equality outcomes. The report also provided a detailed analysis of our workforce demographics against various equality measures and it was agreed that a further report be brought back to the Committee outlining the key actions being progressed to address the workforce profile issues highlighted.
- 1.2 The purpose of this report is to inform the Committee of the key proposals and actions being progressed. Appendix 1 of this report outlines our workforce profile against various equality measures and details key proposals and actions being progressed which aim to achieve a balanced workforce for the future.

2.0 SUMMARY

- 2.1 The Policy and Resources Committee at its meeting on 24 March 2015 considered a report on 'Equality Mainstreaming and Progress against Achieving Equality Outcomes'. The Committee endorsed the publication of a range of equality information contained in the report and requested that a further report and action plan be submitted to the Committee specific to the workforce issues highlighted in the report.
- 2.2 This report advises the Committee of the work currently being progressed and some further proposals and actions designed to address any potential equality issues across the workforce and ensure we achieve a balanced workforce for the future.
- 2.3 Appendix 1 of this report outlines our workforce profile against various equality measures which were highlighted in the previous report to Committee on 24 March 2015 and details the key proposals and actions being progressed.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Policy and Resources Committee:
- Note the content of the report and in particular the proposals and actions being progressed as outlined in Appendix 1.

Steven McNab
Head of Organisational Development,
Human Resources and Communications

4.0 BACKGROUND

4.1 A report was presented to the Policy and Resources Committee on the 24th of March 2015 titled 'Equality Mainstreaming Report and Progress Against Equality Outcomes'. The report included reference to the 19 Equality Outcomes established in 2013 and reported on their progress. The report also included certain workforce profile information in relation to:

- Recruitment and Selection
- Learning and Development activity
- Equal opportunities monitoring including, age, disability, ethnicity, gender etc.
- Grading and pay
- Employees with caring responsibilities

4.2 The Committee endorsed the publication of a range of equality information contained in the report and requested that a further report and action plan be submitted to the Committee specific to the workforce issues.

4.3 Appendix 1 of this report outlines our workforce profile against various equality measures which were highlighted in the previous report to Committee on 24 March 2015 and details the key proposals and actions being progressed with the aim of achieving a more balanced workforce for the future.

4.4 The Council has a duty to ensure that it meets its responsibilities and duties under the Equality Act 2010 and a key element in achieving this is ensuring our employees are equipped with the knowledge and capability to mainstream equality and diversity within their every day practices. To support our employees in this area a number of measures and activities have been put in place and will continue. These include:

- The delivery of equality and diversity training for staff with recognition that in-depth training is required for specific roles,
- Guidance and training provided on undertaking equality impact assessments and ensuring these are conducted in a timeous and appropriate manner,
- Effective monitoring and analysis of workforce information,
- Using the Council's employee appraisal system to ensure employees have the necessary skills and awareness in relation to equality responsibilities,
- The Council's Corporate Equality Group has a key role in driving the Council's commitment to Equalities consistently to ensure better equality outcomes,
- Review of HR Policies and Procedures to ensure they reflect good practice and comply with equality legislation.

A Workforce Information and Activity Report (commonly known as WIAR) is reported quarterly to the Corporate Management Team and Directorate Management Teams providing important workforce planning and equality information to management highlighting areas where action may be required.

4.5 The Council continues to monitor its workforce equality data against other Councils and is currently recording broadly similar statistics to national averages. The gender composition of our workforce for example reflects the position across all Scottish councils being on or around 70%/30% female/male respectively. Within this overall position there are large groups of jobs which are predominately female (e.g. home care, catering/cleaning) and other posts which historically male dominated (e.g. refuse collection, road worker). The Council's gender pay gap of 10.5% is also in line with the average for local authorities across Scotland which is currently reported as 10%.

5.0 PROPOSALS

5.1 It is proposed that the Committee note the content of the report and in particular the proposals and actions being progressed as outlined in Appendix 1.

6.0 IMPLICATIONS

Finance

6.1 Not applicable

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments
N/A					

Legal

6.2 Not applicable.

Human Resources

6.3 Human Resource issues are outlined in the report.

Equalities

6.4 Has an Equality Impact Assessment been carried out?

YES (see attached appendix)

NO - This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required as this change would apply to all employees.

Repopulation

6.5 Not applicable.

7.0 CONSULTATIONS

7.1 Feedback from OD, HR & Communication Service Managers informed this report.

8.0 LIST OF BACKGROUND PAPERS

8.1 Equality Mainstreaming Report and Progress Against Equality Outcomes, Policy and Resources Committee 24/03/15.

Appendix 1: Equality Mainstreaming – Workforce Equality Action Plan

Equality Measure (Key workforce data reported to Committee in March)	Background	Proposals / Actions
<p><u>Workforce Profile</u></p> <p>Inverclyde Council Position: Female employees = 73.88% Male employees = 26.12%.</p> <p>The Scottish Average Position: Female employees = 71.84% Male employees = 28.15%</p>	<p>This female dominant profile is common in a local authority environment. This is partly due to large employee groups which are predominantly female e.g. home care, cleaning and catering.</p>	<p>Managers and employees continue to be trained on equality and diversity and recruitment and selection.</p> <p>Continue to raise employee awareness of equality responsibilities through communications and campaigns.</p> <p>Collate and analyse our workforce composition data.</p> <p>Continue to promote via the Workforce Information and Activity Report, which includes an action checklist</p> <p>Continue positive recruitment advertising and promote jobs as gender neutral.</p> <p>Benchmark data and good practice by comparing diversity and equality approaches of other organisations</p>
<p><u>Recruitment</u></p> <p>We are attracting more applications from older people (>50 years).</p>	<p>Good example of reaching older applicants. Reflects local job market. However, will need to continue to aspire to achieving a balanced workforce demographic.</p>	<p>Recognise there are succession planning issues associated with an older workforce</p> <p>Continue to monitor and analyse job applicant information.</p> <p>Work with our community partners promoting relevant vacancies and how to apply etc.</p> <p>Continue to engage with Schools, Colleges and Universities to promote job opportunities e.g. Modern Apprenticeships, Graduate Placements</p> <p>Highlight in appropriate recruitment adverts that we welcome applications from under-represented groups</p> <p>Analysis exit interview data</p> <p>Ask applicants to give feedback on their experience of our recruitment and selection processes.</p>

Equality Measure (Key workforce data reported to Committee in March)	Background	Proposals / Actions
<p><u>Equal Opportunities Monitoring</u></p> <p>Equal Opportunities Monitoring Form: There are fewer 'Blank' or 'Prefer Not To Answer' responses for most protected characteristics.</p> <p>Approximately 40% of forms are returned prefer not to answer or left blank.</p>	<p>This follows a positive campaign to encourage our employees to provide the Council with equal opportunity information for monitoring purposes.</p> <p>Monitoring forms part of safe recruitment however, not all forms completed – not mandatory</p>	<p>Continue campaigns asking employees to provide the Council with their equal opportunity information.</p> <p>Managers continue to encourage all employees to complete the monitoring form.</p> <p>PC users can now complete on line via HR21 ; non pc users are provided with manual version. Both measures will continue to be promote to increase completion rates.</p> <p>Continue to introduce and review our policies and procedures in consultation with partners and trade unions.</p>
<p><u>Disability</u></p> <p>A slight increase in the proportion of disabled people appointed to jobs (+0.22%).</p>	<p>We undertake reasonable adjustments to provide specialist equipment to disabled employees.</p> <p>We are a Double Tick Employer, award from the Jobcentre Plus for demonstrating that the Council's practices are fair and positive. For example a (disabled) job applicant who meets the essential criteria for the vacancy – as expressed in the person specification – is guaranteed an interview.</p>	<p>Continue to link with Inverclyde Council on Disability to ensure their clients are aware how we advertise and provide training if required.</p> <p>The Council will continue to take workplace students from James Watt College who have various learning disabilities as part of the Step 1 & 2 programme to give disabled students practical work experience.</p> <p>Continue to undertake reasonable adjustments to provide specialist equipment to disabled employees.</p> <p>Continue to retain the Double tick award from the Jobcentre Plus.</p> <p>Continue to monitor and analyse applicant data and recruitment decisions</p>

Equality Measure (Key workforce data reported to Committee in March)	Background	Proposals / Actions
<p><u>Training & Development</u></p> <p>The average number of courses undertaken by male employees (11.35) is significantly greater than the average number undertaken by female employees (7.90).</p>	<p>Due to the increased use in e-learning modules there has been significantly more training reported.</p>	<p>Include diversity and equality issues in our induction programmes</p> <p>Ensure that all employees have the opportunity to maximise their potential and enhance their self-development.</p> <p>Continue to analyse training statistics to explore if fewer part time females are undertaking training. If so, explore what are any issues/barriers and put resolutions in place.</p> <p>Maximise the use of e-learning facilities at Port Glasgow hub allowing employees without PC access to complete e-learning courses.</p> <p>Continue to utilise portable devices to take training to employees.</p> <p>Provide training for those not familiar with e-learning and computers, those with literacy issues.</p>
<p><u>Ethnicity</u></p> <p>The Council is overwhelmingly White Scottish</p> <p>The percentage of staff who did not positively declare their ethnicity has dropped from 33.62% in 2012 to 25.62% in 2014 resulting in just under 75% of employees completed this section.</p> <p>The percentage of non-white applicants for positions within the Council has dropped from 2.17% in 2012 to 1.80% in 2014.</p>	<p>After White Scottish, the next largest ethnic group is White Irish</p> <p>Increasing numbers of employees providing their equal opportunities information have contributed to this reduction in percentage.</p> <p>As fewer minority applicants are applying for posts within the Council, the success rate for non-white applicants in being appointed to a job with the Council has fallen from 1.91% in 2012 to 0.93% in 2014.</p>	<p>Analyse of ethnicity statistics from last census return to compare demographics of local population.</p> <p>Continue to encourage employees to declare their equal opportunities data at the time of recruitment and via campaigns to update staff equalities data.</p> <p>Add statement in recruitment material that the Council particularly welcomes applications from under-represented protected characteristics e.g. Minority Ethnic Communities.</p> <p>Continue to benchmark data and good practice by comparing diversity and equality approaches of other organisations</p>

Equality Measure (Key workforce data reported to Committee in March)	Background	Proposals / Actions
<p><u>Caring Responsibilities</u></p> <p>28.34% of staff indicated they have caring responsibilities</p>	<p>33.86% of staff declared that they have no caring responsibilities, and 37.8% declined to tell us whether they have caring responsibilities or not.</p>	<p>Continue to monitor and review our Family Friendly Policies and Work Life Balance Policy to help employees balance home and work commitments.</p> <p>Continue to engage with trade unions and continue to support employees with caring responsibilities.</p>
<p><u>Grading & Pay</u></p> <p>The Mainstreaming Equality Report indicated a gender pay gap of 10.52%.</p> <p>The Scottish Average is 10.37%.</p>	<p>This is a reduction from 11.6%, 2 years ago. The figure being reported by the Council is similar to many other councils and mainly relates to the large number of female employees in part time lower paid job e.g. home care, cleaning and catering.</p> <p>The Council reports annually on the top 5% of earners broken down by gender. This year the Council reported a 50/50 split.</p>	<p>We will continue to ensure robust job evaluation processes and procedures are implemented to ensure that everyone who is carrying out work of equal value is paid equally.</p> <p>The Council's pay and grading structure was independently assessed in 2008 and 2013 as being non-discriminatory and addressing past inequalities. We will continue to undertake a programme of equal pay audits.</p>

Report To:	Policy and Resources Committee	Date:	11 August 2015
Report By:	Head of Organisational Development, Human Resources & Communications	Report No:	HR/10/15/SMcN
Contact Officer:	Steven McNab	Contact No:	Ext 2015
Subject:	Discretions Policy Statement, Local Government Pension Scheme 2015		

1.0 PURPOSE

- 1.1 The purpose of this report is to seek the approval of the Policy and Resources Committee for a revised discretions policy statement which has been updated taking account of the Local Government Pension Scheme (Scotland) Regulations 2014 and the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014.

2.0 SUMMARY

- 2.1 The Local Government Pension Scheme (LGPS) in Scotland was amended with effect from 1 April 2015 so that benefits accruing for service after 31 March 2015 would accrue on a Career Average Revalued Earnings (CARE) basis, rather than on a final salary basis.
- 2.2 The provisions of the CARE scheme, together with the protections for members' accrued pre 1 April 2015 final salary rights, are contained in the Local Government Pension Scheme (Scotland) Regulations 2014 and the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014.
- 2.3 As a result of the changes, Scheme employers participating in the LGPS in Scotland will have to formulate, publish and keep under review a Statement of Policy on certain discretions which they have the power to exercise in relation to members of the CARE Scheme. This Statement of Policy is also provided to Strathclyde Pension Fund.
- 2.4 These changes to pension regulations and the discretionary provisions available to employers do not impact on teaching staff. Accordingly the proposed policy statement attached as Appendix 1 excludes teachers and only relates to those employees whose pension provision is administered through Strathclyde Pension Fund Office.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Policy and Resources Committee:
- agree the policy statement outlined at Appendix 1 attached, and;
 - note that the policy statement will be kept under review and revised as and when necessary to reflect any changes in regulations or policy.

Steven McNab
Head of Organisational Development, Human Resources and Communications

4.0 BACKGROUND

- 4.1 The Policy and Resources Committee at its meeting on 15 December 2009 agreed a Pension and Retirement Policy which outlined the Council's position in relation to the various discretions applicable under the relevant regulations. This 2009 report reviewed a number of benefits which employers can offer employees and covered both teaching staff as well as other local government employees. Recent changes to the discretionary provisions available to employers do not impact on teaching staff therefore the proposals outlined in this report exclude teachers and only relate to those employees whose pension provisions are administered through Strathclyde Pension Fund Office.
- 4.2 The Local Government Pension Scheme (LGPS) in Scotland was amended with effect from 1 April 2015 so that benefits accruing for service after 31 March 2015 would accrue on a Career Average Revalued Earnings (CARE) basis, rather than on a final salary basis.
- 4.3 The provisions of the CARE scheme, together with the protections for members' accrued pre 1 April 2015 final salary rights, are contained in the Local Government Pension Scheme (Scotland) Regulations 2014 and the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014.
- 4.4 As a result of the changes, Scheme employers participating in the LGPS in Scotland have to formulate, publish and keep under review a Statement of Policy on certain discretions which they have the power to exercise in relation to members of the CARE Scheme.
- 4.5 Scheme employers are also required to (or where there is no requirement, are recommended to) formulate, publish and keep under review a Statement of Policy on certain other discretions they may exercise in relation to members of the LGPS.
- 4.6 Overall, Scheme employers participating in the LGPS in Scotland:
- i) are required to formulate, publish and keep under review a Statement of Policy on certain discretions in accordance with:
 - regulation 58 of the LGPS (Scotland) Regulations 2014
 - paragraph 2(2) of Schedule 2 to the LGPS (Transitional Provisions and Savings) (Scotland) Regulations 2014
 - regulation 61 of the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 (in respect of leavers between 1 April 2009 and 31 March 2015), and
 - regulation 105 of the Local Government Pension Scheme (Scotland) Regulations 1998 (in respect of leavers between 1 April 1998 and 31 March 2009);
 - ii) are recommended to formulate, publish and keep under review a Statement of Policy on one discretion under the Local Government Superannuation (Scotland) 1987 (in respect of leavers before 1 April 1998); and
 - iii) are (other than admission bodies) required to formulate, publish and keep under review a Statement of Policy on certain discretions in accordance with regulation 51A of the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998, operative from 4 March 1998.

5.0 KEY CHANGES

- 5.1 There are 5 tables in the attached appendix which detail our discretions and our proposed policy position as follows:
- Table 1 details our discretions from 01 04 15 in relation to post 31 03 15 active members and post 31 03 15 leavers.
 - Table 2 details our discretions in relation to scheme members who ceased active

membership on or after 01 04 09 and before 01 04 15.

- Table 3 details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) in relation to pre 01 04 09 scheme leavers.
- Table 4 details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1987 (as amended) in relation to pre 01 04 98 scheme leavers.
- Table 5 details our discretions under the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 (as amended).

5.2 Although references to the relevant regulations have changed the majority of discretions are the same as previously approved by the Policy and Resources Committee on 15 December 2009. Any new discretions have been highlighted in the Appendix. It should be noted that these discretions will be applied in a fair and transparent manner, give value for money to the Council and secure service delivery without putting unnecessary financial strain on the Council.

5.3 Subject to approval of the attached policy the Council's Pension and Retirement Policy and Procedures will be updated and communicated to the workforce. A copy of our policy statement on the relevant discretions will also be provided to Strathclyde Pension Fund Office for their records.

6.0 PROPOSALS

6.1 It is proposed that the Policy and Resources Committee agree the policy statement outlined in Appendix 1 in relation to the discretions available to the Council and note that the policy will be kept under review and revised as and when necessary to reflect any changes in regulations or policy.

7.0 IMPLICATIONS

Finance

7.1 Financial Implications:

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

It is not envisaged that the proposals in this paper will result in additional costs to the Council. It is proposed that the majority of the discretionary areas which could have financial implications for the Council will not be exercised by the Council.

If the Council chooses to consider a discretionary enhancement, any financial impact would be assessed at the time of application. Early release incurring a financial cost to the Council would require to be supported by a business case which clearly demonstrates Value for Money (VFM).

In general any decisions in relation to these discretions will take account of the statutory framework of employment law, the relevant regulations, financial implications and any impact on the workforce, industrial relations and ultimately on service delivery. The Council will also strive to maintain public confidence by ensuring the application of discretions is open, transparent and cost effective.

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments
N/A					

Legal

7.2 As outlined in the report

Human Resources

7.3 As outlined in the report.

Application of discretions supports the Council to adjust its workforce profile to changing circumstances.

Equalities

7.4 Has an Equality Impact Assessment been carried out?

YES

NO - This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

Discretions available under the LGPS are determined by pension regulations, with employers determining whether or not to exercise specific discretions. A number of discretions are age specific and apply to those employees aged 55 (50 protected members) or over. This is not imposed by the Council but is a requirement of the regulations; nevertheless discretions that are age specific will give rise to an adverse impact on account of age. To mitigate this impact, discretions will be applied in a fair, consistent and transparent manner; however, it should be noted that pension schemes do have an explicit exemption in respect of the Equality Act 2010.

Repopulation

7.5 N/A.

8.0 CONSULTATIONS

8.1 Trade Unions have been consulted on the proposals contained in this report and are supportive of the proposals.

9.0 LIST OF BACKGROUND PAPERS

9.1 Appendix 1 – Policy Statement.



APPENDIX 1

Inverclyde Council Policy Statement LGPS 2015

Employer:	Inverclyde Council
Lead officer (for any questions):	Steven McNab, Head of Organisational Development, Human Resources & Communications
Contact details of lead officer:	01475 712015
Date of policy statement:	19 th June 2015
Date for review:	This policy statement will be kept under review and will be revised as and when necessary to reflect any changes in regulations or policy. Any changes to this policy will be advised to the administering authority and scheme members in writing within one month of the change taking effect.

We are aware of our obligations under:

- regulation 58 of SSI 2014 No.164, the LGPS (Scotland) Regulations 2014
- paragraph 2(2) of Schedule 2 to the LGPS (Transitional Provisions and Savings) (Scotland) Regulations 2014
- regulation 61 of the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 (in respect of leavers between 1 April 2009 and 31 March 2015)
- regulation 105 of the Local Government Pension Scheme (Scotland) Regulations 1998 (in respect of leavers between 1 April 1998 and 31 March 2009)

In developing our policy statement, we are aware that the LGPC has produced a document called "Discretions Policies" that contains tips for employers, see:

<http://www.lgpsregs.org/index.php/scotland/admin-guides>

Note: * in the following tables beside a regulation denotes the discretions where we are required to have a policy statement under the regulations

Table 1 details our discretions from 01 04 15 in relation to post 31 03 15 active members and post 31 03 15 leavers.

Table 2 details our discretions in relation to scheme members who ceased active membership on or after 01 04 09 and before 01 04 15.

Table 3 details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) in relation to pre 01 04 09 scheme leavers.

Table 4 details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1987 (as amended) in relation to pre 01 04 98 scheme leavers.

Table 5 details our discretions under the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 (as amended).

TABLE 1

The following table details our discretions from 01 04 15 in relation to post 31 03 15 active members and post 31 03 15 leavers, being discretions under:

- the Local Government Pension Scheme (Scotland) Regulations 2014 [prefix **R**]
- the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014 [prefix **TP**]
- the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 [prefix **A**]
- the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008 (as amended) [prefix **B**]
- the Local Government Pension Scheme (Transitional Provisions) (Scotland) Regulations 2008 [prefix **T**]
- the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) [prefix **L**]

Regulation	Discretion	Employer's policy on the exercise of this discretion
R3(1)(b)	Decide which employees to nominate for membership (admission bodies)	Not applicable to Inverclyde Council as a Scheduled Body. The Council has nominated Inverclyde Leisure and Riverside Inverclyde for admitted body status of LGPS. There may be a need in future to consider other employee groups. This will be considered on a case by case basis by the Council. (No Change)
RSch 2, Part 2, para 12(c)	Whether, in respect of an admission body providing a service in respect of outsourced work, to set off against payments due to that body any sums due from that body to the Fund	Inverclyde Council will consider each case on an individual basis. (New)
R9(1) to R9(4)	Determine the rate of employee's contributions	The employee's rate of contributions will be determined in accordance with these regulations. (No Change)
R9(10)	Determine intervals at which employees' contributions are to be made	The frequency of employee contributions will be determined by the relevant pay cycle.

		(No Change)
R16(2)(e)* & R16(4)(d)*	Whether, how much, and in what circumstances to contribute to a shared cost APC scheme	Inverclyde Council has elected not to set up additional shared contribution scheme. Employees already have access to AVC's (currently Prudential) which accepts member only contributions. (No Change)
R16(16)	Whether to extend 30 day deadline for member to elect for a shared cost APC upon return from a period of absence from work with permission with no pensionable pay (otherwise than because of illness or injury, child-related leave or reserve force service leave)	Not applicable – member only contribution scheme. (No Change)
R17(1) & definition of SCAVC in RSch 1	Whether, and in what circumstances to contribute to a shared cost AVC scheme.	Scheme members have access to AVC arrangement on a member-only contribution basis. Therefore we will not exercise this discretion on the basis of cost. (No Change)
TP15(1)(b) & L65(8) & former L65(9)(b)	Allow late application to convert scheme AVCs into membership credit i.e. allow application more than 30 days after cessation of active membership (where AVC arrangement was entered into before 30/6/05)	Inverclyde Council will not exercise this discretion. (No Change)
R19(2)	No right to a return of contributions due to an offence of a fraudulent character or grave misconduct unless the employer directs a total or partial refund is to be made	Inverclyde Council will not normally direct a return of contributions in the event of an offence of a fraudulent character or grave misconduct. (No Change)
R20(1)(b)	Specify in an employee's contract what other payments or benefits, other than those specified in R20(1)(a) and not otherwise precluded by R20(2), are to be pensionable	Elements of pay received by an employee other than those specified in these regulations and not otherwise precluded will only be pensionable if specified as such in the employee's contract of employment. (No Change)

R21(5)	In determining Assumed Pensionable Pay, whether a lump sum payment made in the previous 12 months is a “regular lump sum”	Inverclyde Council will consider each individual case on its own merits, taking into consideration whether there is a reasonable expectation that such a payment would have been made on a regular basis, had absence or some other exceptional circumstances, not occurred. (New)
R29(5) & (13)	Whether to grant application for early payment of benefits on or after age 55 and before age 60	May be approved where there is no cost to the Council or foreseeable recruitment and/or retention issues with the remaining post. Individual cases will be considered by the Head of Organisational Development, Human Resources & Communications, Chief Financial Officer, and Corporate Director. Final approval from CMT and Policy and Resources Committee. (No Change)
R29(6)* & TP11(2)	Whether all or some benefits can be paid if an employee reduces their hours or grade prior to age 60 (flexible retirement)	Consideration will be given to any requests from employees aged at least 55 for flexible retirement, subject to cost, Council needs, etc. There must be a reduction to the grade and/or hours that the employee currently undertakes. The reduction in hours/salary should normally be at least 20% but no more than 50%. (No Change)
R29(8)* and TPSch 2, para 2(1)	Whether to waive, in whole or in part, any actuarial reduction on benefits paid on flexible retirement.	If flexible retirement is agreed, waiving of any reduction in benefits, in full or part will not normally be approved as it incurs a cost to the Council, unless there is a demonstration of value for money which would need to be considered and approved by CMT and P&R Committee. (No Change)
R29(8)*	Whether to waive, in whole or in part, actuarial reduction on	In extreme exceptional circumstances (i.e. on

	benefits which a member voluntarily draws before normal pension age, other than on the grounds of flexible retirement (where the member only has post 31/3/15 membership)	compassionate grounds) the Council may decide to approve early payment of an employee's pension and lump sum without it being actuarially reduced. There must be a demonstration of 'value for money' for the release to be approved. Head of Organisational Development, Human Resources & Communications, Chief Financial Officer, and Corporate Director. Final approval from CMT and Policy and Resources Committee. (No Change)
TPSch 2, paras 1(2) and 2(1)*	Whether to apply the 85 year rule for a member voluntarily drawing benefits, with employer consent, on or after age 55 and before age 60 (other than on the grounds of flexible retirement).	Inverclyde Council may exercise this discretion. This discretion would be subject to the Council's VFM criteria and approval by CMT and Policy & Resources Committee. (New)
TP3(1), TPSch 2, para 2(1) *	Whether to waive, in whole or in part, any actuarial reduction on pre and post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership and is subject to the 85 year rule)	Inverclyde Council may exercise this discretion. This discretion would be subject to the Council's VFM criteria and approval by CMT and Policy & Resources Committee. (New)
TP3(1), TPSch 2, para 2(1) and B30(5)*	Whether to waive on compassionate grounds any actuarial reduction on pre April 2015 benefits and to waive, in whole or in part, any actuarial reduction on post April 2015 benefits which a member voluntarily draws before normal pension age other than on the grounds of flexible retirement (where the member has both pre 1/4/15 and post 31/3/15 membership and is not subject to the 85 year rule)	In extreme exceptional circumstances (i.e. on compassionate grounds) Inverclyde Council may decide to approve early payment of an employee's pension and lump sum without it being actuarially reduced. There must be a demonstration of "value for money" for the release to be approved by CMT and P&R Committee. (No Change)
R30*	Whether to grant additional pension to an active member or within 6 months of ceasing to be	Inverclyde Council has chosen not to exercise this discretion.

	an active member by reason of redundancy or business efficiency (by up to £5,000 p.a.)	(No Change)
TP12(4)	Whether to use a certificate produced by an IRMP under the 2009 Scheme for the purposes of making an ill health determination under the 2015 Scheme.	Inverclyde Council will exercise this discretion. (No Change)
R89(1) & (8) R89(4)	Whether to apply to Scottish Ministers for a forfeiture certificate (where a member is convicted of a relevant offence) and subsequently whether to direct that benefits are to be forfeited (other than rights to GMP – but see R92 below)	Inverclyde Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No Change)
R90(2)	Whether to recover from the fund any monetary obligation or, if less, the value of the member's benefits (other than transferred in pension rights or AVCs / SCAVCs) where the obligation was as a result of a criminal, negligent or fraudulent act or omission in connection with the employment and as a result of which the person has left the employment.	The Council may recover from pension benefits any loss arising from criminal, negligent or fraudulent act by a former employee, provided that all other efforts to recover monetary obligations have been exhausted, in the interests of maintaining confidence in the public service. Approval required by Head of OD, HR & Communications. (No Change)
R92	Whether, if the member has committed treason or been imprisoned for at least 10 years for one or more offences under the Official Secrets Acts, forfeiture under R89 or recovery of a monetary obligation under R90 should deprive the member or the member's surviving spouse or civil partner of any GMP entitlement	Inverclyde Council will normally apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (No Change)
R96(1)(b)	Agree to bulk transfer payment	Inverclyde Council will consult with SPFO and the fund actuaries in this regard. (No Change)
R98(6)	Extend normal time limit for acceptance of a transfer value beyond the 12 month time limit from joining the LGPS	Inverclyde Council will not generally extend the normal time limit for acceptance of a transfer value beyond 12 months from joining the scheme but may do so where exceptional circumstances (i.e.

		<p>long term sickness) can be proved. An extension of no more than 3 months from the employee's return from sickness absence will be granted, subject to that period not exceeding 2 years from date of entry to scheme. Approval required by Head of Organisational Development, Human Resources & Communications.</p> <p>(No Change)</p>
<p>TP3(6), TP4(6)(c), TP8(4), TP10(2)(a), TP17(2)(b) & B11(2)</p>	<p>Whether to allow a member to select final pay period for fees to be any 3 consecutive years ending in the 10 years prior to leaving and ending on the anniversary of the date of leaving</p>	<p>Inverclyde Council will allow a member to select final pay for fees to be any three consecutive years ending 31st March in the 10 years prior to leaving. Inverclyde Council agree that this will automatically be done by SPFO.</p> <p>(No Change)</p>
<p>TP3(1)(a), A43(5)</p>	<p>Issue a certificate of protection of pension benefits where eligible non-councillor member fails to apply for one (pay cuts / restrictions occurring pre 01 04 15)</p>	<p>Inverclyde Council will issue a certificate of protection of pension benefits within twelve months of the date of reduction.</p> <p>(No Change)</p>

TABLE 2

The following table details our discretions in relation to scheme members who ceased active membership on or after 01 04 09 and before 01 04 15, being discretions under:

- the Local Government Pension Scheme (Administration) (Scotland) Regulations 2008 [prefix **A**]
- the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008 (as amended) [prefix **B**]
- the Local Government Pension Scheme (Transitional Provisions) (Scotland) Regulations 2008 [prefix **T**]
- the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014 [prefix **TP**]
- the Local Government Pension Scheme (Scotland) Regulations 2014 [prefix **R**]
- the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) [prefix **L**]

Regulation	Discretion	Employer's Policy on the exercise of this discretion
B12*	Whether, for a member leaving on the grounds of redundancy or business efficiency on or before 31 st March 2015, to augment membership (by up to 10 years). The resolution to do so would have to be made within 6 months of the date of leaving. Hence this discretion is spent entirely after 30 th September 2015	Inverclyde Council has chosen not to apply this discretion. (No Change)
A42(2)	No right to a return of contributions due to an offence of a fraudulent character or grave misconduct unless the employer directs a total or partial refund is to be made	Inverclyde Council will not normally direct a return of contributions in the event of an offence of a fraudulent character or grave misconduct. (No Change)
A43(5)	Employer may issue a certificate of protection where an employee fails to apply for one.	Inverclyde Council will issue a certificate of protection of pension benefits automatically and within twelve months of the date of reduction. (No Change)
A45 (1) & (2)	Whether Contribution Equivalent Premium (CEP) in excess of the Certified Amount (CA) recovered from a refund of contributions can be recovered from the Pension Fund	Inverclyde Council will consider each case on its own merits. (New)
A66 (2) & (6) A67 (1) & (2)	Whether to apply for a forfeiture certificate (where a member is convicted of a relevant offence)	Inverclyde Council will apply for a forfeiture certificate where a member is convicted of a

	and subsequently whether to direct that benefits are to be forfeited.	relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited. (New)
A68(2)	Whether to recover from the fund any monetary obligation or, if less, the value of the member's benefits (other than transferred in pension rights or AVCs / SCAVCs) where the obligation was as a result of a criminal, negligent or fraudulent act or omission in connection with the employment and as a result of which the person has left the employment.	The Council may recover from pension benefits any loss arising from criminal, negligent or fraudulent act by a former employee, provided that all other efforts to recover monetary obligations have been exhausted, in the interests of maintaining confidence in the public service. Approval required by Head of OD, HR & Communications. (No Change)
A70(2) & (3)	Whether to recover from the fund any financial loss caused by fraudulent offence or grave misconduct of an employee (who has left because of that) or amount of refund if less	Inverclyde Council will recover from Strathclyde Pension Fund the amount of loss caused by fraudulent offence or grave misconduct of employee (who has left because of that), or the amount of refund if less. Approval required by Head of OD, HR & Communications. (No Change)
B11(2)	Whether to allow a member to select a final pay period for fees to be any three consecutive years ending with 31 st March in the 10 years prior to leaving.	Inverclyde Council will allow a member to select final pay for fees to be any three consecutive years ending 31 st March in the 10 years prior to leaving. Inverclyde Council agree that this will automatically be done by SPFO. (No Change)
B30(2)*	Whether to grant application for early payment of benefits on or after age 50/55 and before age 60	Inverclyde Council will not have a general policy of granting early payment of benefits on or after age 50/55 and before age 60 but will consider requests on a case by case basis where there is no cost to the Council or there are foreseeable recruitment and/or retention issues with the remaining post. Final approval

		by the CMT and P&R Committee is required. (No Change)
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TABLE 3

The following table details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1998 (as amended) in relation to pre 01 04 09 scheme leavers.

Regulation	Discretion	Employer's policy on the exercise of this discretion
30(2)*	Grant application from a post 31 03 98 / pre 01 04 09 leaver for early payment of benefits on or after age 50 and before age 60	Inverclyde Council will not have a general policy of granting early payment of benefits on or after age 50/55 and before age 60 but will consider requests on a case by case basis where there is no cost to the Council or there are foreseeable recruitment and/or retention issues with the remaining post. Final approval by the CMT and P&R Committee is required. (No Change)
30 (5)*	Waive, on compassionate grounds, the actuarial reduction applied to benefits paid early for a post 31 03 98 / pre 01 04 09 leaver	In extreme exceptional circumstances (i.e. on compassionate grounds) the Council may decide to approve early payment of an employee's pension and lump sum without it being actuarially reduced. There must be a demonstration of 'value for money' for the release to be approved. (No Change)
30 (7A)*	Pre 01 04 09 optants out only to get benefits paid from NRD if employer agrees	Inverclyde Council will not have a general policy to exercise this discretion but may do so. The Chief Executive, in consultation with Head of OD, HR and Communications, may consider this discretion on a case by case basis. (No Change)
33 (1)(b)	Decide, in the absence from a	Inverclyde Council will not

	post 31 03 98 / pre 01 04 09 leaver of an election from the member within 3 months of being able to elect, which benefit is to be paid where the member would be entitled to a pension or retirement grant under 2 or more regulations in respect of the same period of Scheme membership	exercise this discretion. (No Change)
70(7)(a)	Consent to a member's former employer assigning to the new employer rights under any SCAVC life assurance policy	Inverclyde Council will not exercise this discretion. (New)
87 (2)	No right to return of contributions due to offence of a fraudulent character unless employer directs a total or partial refund is to be made (pre 01 04 09 leavers)	Inverclyde Council will not normally direct a return of contributions in the event of an offence of a fraudulent character or grave misconduct. (No Change)
91	Contribution Equivalent Premium (CEP) in excess of the Certified Amount (CA) recovered from a refund of contributions can be recovered from the Pension Fund (pre 01 04 09 leavers)	Inverclyde Council will consider each case on its own merits. (New)
111(2) &(5) 112(1)	Forfeiture of pension rights on issue of Secretary of State's certificate (pre 01 04 09 leavers) Where forfeiture certificate is issued, direct interim payments out of Pension Fund until decision is taken to either apply the certificate or to pay benefits (pre 01 04 09 leavers)	Inverclyde Council will apply for a forfeiture certificate where a member is convicted of a relevant offence and, following the issue of the certificate, direct that benefits are to be forfeited (No Change)
113(2)	Recovery from Fund of monetary obligation owed by former employee or, if less, the value of the member's benefits (other than transferred in pension rights) (pre 01 04 09 leavers)	Inverclyde Council will seek recovery from Strathclyde Pension Fund where other internal avenues have been exhausted. (New)
115(2) & (3)	Recovery from Fund of financial loss caused by employee, or amount of refund if less (pre 01 04 09 leavers)	Inverclyde Council will seek recovery from Strathclyde Pension Fund where other internal avenues have been exhausted. (New)

TABLE 4

The following table details our discretions under the Local Government Pension Scheme (Scotland) Regulations 1987 (as amended) in relation to pre 01 04 98 scheme leavers.

Regulation	Discretion	Employer's policy on the exercise of this discretion
E2(6)(b)	Grant application from a pre 01 04 98 leaver for early payment of benefits on or after age 50 and before age 60	Inverclyde Council will not have a general policy of granting early payment of benefits on or after age 50/55 and before age 60 but will consider requests on a case by case basis where there is no cost to the Council. (No Change)

TABLE 5

The following table details our discretions under the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 (as amended)

D 4 (1)	Power to increase statutory redundancy payments above statutory weekly pay limit	A week's redundancy pay will be calculated as being the actual pensionable weekly pay received by the employee at the time of the calculation. (No Change)
D 8(1)	Decision on whether to award compensatory added years to an individual on retirement on efficiency / redundancy Grounds	The Council will have the discretion to award up to 3 added years which will be dependent on circumstances and a demonstration of 'value for money'. Application will be applied in line with the Council's Severance Policy and Procedures. (No Change)
D 35	Decision to award up to 104 weeks compensation instead of compensatory added years	The Council will have the discretion to apply up to 66 weeks which will be dependent on circumstances and a demonstration of 'value for money'. Application will be applied in line with the Council's Severance Policy and Procedures. (No Change)

Re-employment of individuals who have left the Council through early retirement/voluntary severance.

Statement

The Council has a responsibility to exercise discretion in a fair, consistent, manner and act in the best interests of the organisation, the community and the pension fund. Where an individual leaves the employment of the Council through early retirement/voluntary severance the individual will be unable to seek re-employment with the Council at a future date.

Recommended outcome

The Accounts Commission report on “Managing Early Departures from the Scottish Public Sector” supported consideration of restrictions on re-employment of staff who have accepted enhanced packages at a cost to the Council. Current arrangements provide for a 6 month restriction preventing re-employment within the Council. In order to realign our practice with that of neighboring Councils and mindful of the aforementioned report, the recommendation is that re-employment of such former employees would be in exceptional circumstances only.

Report To:	Policy & Resources Committee	Date:	11 August 2015
Report By:	Corporate Director Environment, Regeneration & Resources	Report No:	RMcG/LP/097/15
Contact Officer:	Rona McGhee	Contact No:	01475 712113
Subject:	Powerboat P1 Event 2016 – Remit from Environment & Regeneration Committee		

1.0 PURPOSE

1.1 The purpose of this report is to request the Committee to consider a remit from the Environment & Regeneration Committee.

2.0 SUMMARY

2.1 The Environment & Regeneration Committee on 16 June 2015 considered the attached report by the Corporate Director Environment, Regeneration & Resources on a proposal for Inverclyde Council and Riverside Inverclyde to jointly host the first Powerboat P1 Scottish Grand Prix of the Seas on a free-to-view basis.

2.2 A copy of the report to the Environment & Regeneration Committee is attached as Appendix 1. This provides background information and details of the proposals together with information on the implication of the recommendations.

2.3 The Environment & Regeneration Committee decided:-

- (1) that, subject to Policy & Resources Committee approval, approval be given to the Council's involvement in the 50/50 partnership with Riverside Inverclyde to host the first Powerboat P1 Scottish Grand Prix of the Seas event in Inverclyde including approval of (a) a Council contribution of up to £80,000 excluding VAT and (b) the remaining £45,000 budget from Inverclyde Council's Service Level Agreement with Riverside Inverclyde to support tourism-related business development to be re-directed towards this event;
- (2) that the Committee note that a further report on the outcome of the 2016 event and seeking authority to participate in the 2017 and 2018 events will be submitted to the Committee in Autumn 2016;
- (3) that the Committee support the concept of the mile-long Inverclyde Showcase accompanying the event;
- (4) that authority be delegated to the Corporate Director, Environment, Regeneration and Resources to conclude, agree and deliver (a) event fee negotiations with Riverside Inverclyde, the Powerboat P1 organisation (including modification to the race route and design of the liveried boat) and, as appropriate, identify resources to support delivery of the event and (b) the implementation of the overall project in collaboration with Riverside Inverclyde and procure part or all services, where necessary; and
- (5) that, subject to scrutiny of final estimates and satisfactory conclusion of the above negotiations in consultation with the Chief Financial Officer and the Head of Legal and Property Services, the Corporate Director, Environment, Regeneration and Resources commit Inverclyde Council funds to co-host this event in June 2016.

3.0 RECOMMENDATION

- 3.1 That the Committee approve the funding of £80,000 from the contingency earmarked reserve and £45,000 from the repopulation earmarked reserve for the Powerboat P1 Event 2016.

Rona McGhee
Legal & Property Services

Report To:	Environment and Regeneration Committee	Date:	16th June 2015
Report By:	Corporate Director Environment, Regeneration & Resources	Report No:	R017/15/AF
Contact Officer:	Aubrey Fawcett	Contact No:	712762
Subject:	Powerboat P1 Event 2016		

1.0 PURPOSE

- 1.1 This report sets out a proposal for Inverclyde Council and Riverside Inverclyde to jointly host the first Powerboat P1 Scottish Grand Prix of the Seas on a free-to-view basis.

2.0 SUMMARY

- 2.1 The Powerboat P1 Grand Prix of the Seas is an international high profile event that has never been held in Scotland. The five locations UK Championships series to date have been held in England and Wales. The Inverclyde event would be named "Scottish Grand Prix of the Seas 2016". Powerboat P1 is the world's leading marine motorsport promoter, successfully staging more than 200 events in 17 countries on 3 continents since 2003.
- 2.2 The weekend event would promote Inverclyde worldwide (including a branded boat), boosting our profile for mobile investment and showcasing Inverclyde, thereby providing a unique platform for enhanced economic growth, consistent with the Single Operating Plan.
- 2.3 The initial work on the costs of hosting the entire event (onshore and offshore) produces a very approximate estimate in the region of £160,000, excluding VAT. Work is ongoing to determine a definitive cost for the event over the next couple of months. Should this figure exceed the amount identified, a full report will be brought back for consideration. An opportunity may exist for partnership funding from Visit Scotland and commercial sponsorships that could reduce the risk and Inverclyde Council commitment.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee:
- Approves, subject to Policy & Resources Committee approval, the Council's involvement in the 50/50 partnership with Riverside Inverclyde to host the first Powerboat P1 Scottish Grand Prix of the Seas event in Inverclyde including approval of:
 - a Council contribution of up to £80,000 excluding VAT; and,
 - the remaining £45,000 budget from Inverclyde Council's Service Level Agreement with Riverside Inverclyde to support tourism-related business development to be re-directed towards this event;
 - Notes that a further report on the outcome of the 2016 event and seeking authority to participate in the 2017 and 2018 events will be submitted to Committee in Autumn of 2016;
 - Supports the concept of the mile-long Inverclyde Showcase accompanying the event;

- Delegates authority to the Corporate Director, Environment, Regeneration and Resources to conclude, agree and deliver:
 - event fee negotiations with Riverside Inverclyde, the Powerboat P1 organisation (including modification to the race route and design of the liveried boat) and, as appropriate, identify resources to support delivery of the event; and,
 - the implementation of the overall project in collaboration with Riverside Inverclyde and procure part or all services, where necessary; and
- Authorises the Corporate Director, Environment, Regeneration and Resources, subject to scrutiny of final estimates and satisfactory conclusion of the above negotiations in consultation with the Chief Financial Officer and the Head of Legal and Property Services, to commit Inverclyde Council funds to co-host this event in June 2016.

Aubrey Fawcett
Corporate Director, Environment, Regeneration and Resources

4.0 BACKGROUND

- 4.1 Quoting the organisers: “Powerboat P1 is the world’s largest marine motorsport platform, with more than 150 racers participating in national powerboat and jet-ski championships in the USA and UK. The powerboat racing series, P1 SuperStock, is based on a one-design boat powered exclusively by BRP’s Evinrude engines which creates a level playing field and ensures costs are controlled and the sport remains accessible. The jet-ski classes are based on 200hp – 300hp production models, with the full support of Sea-doo, Kawasaki and Yamaha. The close-to-shore race course and fun of the race village means P1 events are designed to excite and entertain, ensuring spectator enjoyment and sponsor value with a significant economic impact for the host venue. The events are shown on Sky Sports in HD. It is also worth noting that P1 is committed to the environment and runs the P1 Marine Foundation, a UK-registered international charity that works to safeguard and restore the marine and coastal environment by raising awareness through education and effective partnerships. Its mission is to deliver effective and inspiring programmes at race events and elsewhere that will increase the understanding and value of marine life”.
- 4.2 The 2015 UK Championships take place Scarborough, Gosport, Hull, Cardiff and Bournemouth.
- 4.3 The Grand Prix of the Seas is very much a spectator sport with the action taking place as close to the shoreline as possible.



- 4.4 Powerboat P1’s Marine Foundation charity works with Powerboat P1 at the UK race events to help promote the race event and highlight the importance of the marine and coastal environment via a number of initiatives that involves the local community, seashore sessions and school

presentations prior to the events. The charity assists P1 in ensuring that race events are staged in line with the ISO14001 environmental management system including recycling, waste surveys, emergency training, and oil spill kits.

4.5 The benefits of hosting a Scottish Grand Prix of the Seas are identified by the organisers as being:

- Global and local media exposure – with television reach into more than 100 countries, Inverclyde’s regeneration projects will be showcased to millions. This will further be supported by an extensive local media and PR campaign with coverage in both mainstream and specialist press.
- Consumer spending – the crowds attending the event will generate additional spend in the local community, including food and beverage sales, retail sales, accommodation and associated travel costs.
- Tourism boost – economic benefits to the local economy come from inbound tourism for the event itself, and additional tourism visits for a period of a year or more afterwards prompted by the national and international exposure. Every P1 event delivers a direct economic impact of £3.2m, including around £1m in global media coverage.

4.6 The Cardiff 2014 report of the impact on the local economy, which is available through Riverside Inverclyde, illustrates the potential immediate benefits for Inverclyde (n.b. the Police Scotland estimate is for up to double the Cardiff crowd):

Tourism & Local Stimulus	
• 37,750 spectators @ £35 per head (subsistence)	£1,321,250
• 1,862 international attendees * @ £175 per head (for 3 days)	£977,812
• P1 racers, friends and family subsistence	£128,320
Total	£2,427,382
* Based on 5% of attendees (1,862). This is in addition to the 947 P1 direct international bed nights, totalling 2,809 international bed nights	

4.7 The key longer-term benefits would be stimulated by the televising of the event to over 100 countries and millions of viewers, and the focus of a mile-long Inverclyde Showcase on the Esplanade – an idea which has excited the Powerboat P1 organisers as a new example of how the Grand Prix of the Seas can be the catalyst for sustainable local business growth - demonstrating innovative best practice partnership between public sector and commercial organisations.

5.0 PROPOSAL

5.1 The proposal is for Greenock to host the event on a weekend during June 2016, the favoured option being 17-19 June to coincide with one of the larger cruise ships being berthed at Greenock Ocean Terminal to create the best impact for Inverclyde for the worldwide TV audiences.

5.2 The proposal would see the main events take place off the Esplanade on the afternoons of Saturday 18th and Sunday 19th June 2016. The Powerboat teams (12-14 anticipated) and the jet-ski teams (up to 40 anticipated) would arrive on the Thursday, with the Powerboat P1 set-up (including a race village area, hospitality, race control centre, race commentary public address system, technical scrutiny, media demonstration rides, etc) taking place on the Friday.

- 5.3 The main action for the public would be on the Saturday and Sunday afternoons, the showcase events being two x 30 minute powerboat championship races on each day. These races are part of a choreographed water spectacle lasting approximately 4 hours, also including a jet ski championship of up to 40 racers plus the world's jet ski freestyle world champion entertaining the crowds between races.
- 5.4 Crowd estimates range from up to 20,000 per day (organisers) to 40,000 per day (Police Scotland). As a preliminary to this report, initial work to determine the practical feasibility of this event for Inverclyde including meetings and discussions have taken place with Inverclyde Council, Scottish Police, Scottish Fire & Rescue Service, Peel Ports, HM Coastguard, Blue Sea Marinas, Greenock Ocean Terminal, and CalMac. To date there is unequivocal support, conceptually, that such an event can be successfully staged in Greenock.
- 5.5 The event fee for hosting this Powerboat P1 event in 2016 is £60,000, with the flexibility for an additional two years' option for Inverclyde (fees being £65,000 for 2017 and £70,000 for 2018).
- 5.6 The event fee covers the preparation, marketing and delivery of the event including:

Accommodation	Insurance	Crane & berthing	Toilets & facilities
Prize money	Timekeeping	Pre-event recess	Fencing / barriers
Transport	Marketing campaign	Emergency services	Volunteers
Race management team	Commentary	Security	Catering
Support vessels	TV Production	PA / sound system	Photography
Access system	TV Distribution (Sky)	Hospitality	PR Activity
Fuel	Event branding	Souvenir programme	Start boat
Radio communications	AA Signage	Environmental programme	Post-event reporting

- 5.7 As the event fee covers only those items associated with putting on the offshore event, it excludes costs associated with onshore activities such as police, stewarding, crowd control, toilet facilities, road traffic management, etc which could be estimated to be in the region of £100,000 (exclusive of VAT) as follows:
- Crowd and traffic control barriers £2,500;
 - Stewarding £15,000;
 - 4 x 114 mobile bleachers for those less able to stand £6,500;
 - Toilets £3,500;
 - Track at Battery Park for park & walk £10,000;
 - Police costs are subject to multiple variables at this early stage, but £25,000 is being used as a ballpark figure only;
 - Inchgreen Park % Ride £10,000;
 - The Inverclyde Showcase mile (see 5.9) £15,000; and
 - Contingency.
- 5.8 Event costs may be mitigated by funding support from Visit Scotland or from commercial (ideally local) sponsorship which would be actively pursued. Such sponsorship may potentially range from full event naming rights, to VIP packages, to media advertising, to the Inverclyde Showcase (see 5.9). Should approvals be given, discussions would also include an Inverclyde liveried competing boat.
- 5.9 Inverclyde Showcase opportunity. It is proposed to close off the Esplanade to traffic and transform this prime viewing area into an Inverclyde Showcase for tourism-related businesses. The vision is for a series of identical outdoor exhibition stands that would stretch along the full length of the

Esplanade, offering a free facility for Inverclyde tourism-related businesses - with priority given to those who have been actively participating in tourism business development with Discover Inverclyde or the Local Area Tourism Partnership, particularly in the subsectors of active leisure, visitor attractions, accommodation and food & drink - to showcase their offerings to the crowds, helping to lay the foundation for attracting sustainable economic growth. It is anticipated that the provision of such a facility could encourage return visits to Inverclyde. It is further envisioned that local unplugged Inverclyde entertainers be strategically placed between every third or fourth exhibit, creating a unique Inverclyde Showcase for our companies.

5.10 The race route will be focused off the Esplanade. Two possible routes have been identified and are under consideration, with dialogue underway between Riverside Inverclyde, Peel Ports and Powerboat P1. These routes are illustrated in Appendix 1.

5.11 Having identified the nature of the offshore event, the vision for the onshore focus, and the initial estimate of £160,000 to host accordingly, attention should now turn to budget profiles.

5.12 Powerboat P1 is proposing that its £60,000 event fee be broken down into two categories:

- An event funding instalment (EFI) of 50% in advance of event, subject to host's approval of Powerboat P1's business and marketing plans for the Inverclyde event; and
- An event performance instalment (EPI) in the aftermath of the event based on spectator attendance and media coverage targets being met (see detail in Appendix 2).

5.13 A budget spend profile for this event is proposed as follows, subject to the caveats throughout the preceding paragraphs of this report:

- 2015/16: EFI (see 5.12) 50% of event cost i.e. £30,000
 - * £15,000 from Riverside Inverclyde's Marketing & Inward Investment budget
 - * £15,000 proposed contribution from Inverclyde Council
- 2016/17: EPI (see 5.12) 50% of event cost i.e. £30,000
 - * £15,000 from Riverside Inverclyde's Marketing & Inward Investment budget
 - * £15,000 proposed contribution from Inverclyde Council
- 2016/17: Inverclyde Showcase
 - * £15,000 from Riverside Inverclyde's tourism business SLA with Inverclyde Council
- 2016/17: Stewarding
 - * £15,000 proposed contribution Inverclyde Council (using existing contracts)
- 2016/17: Crowd related (ie control barriers, bleachers, track for Battery Park parking, toilets, police, Inchgreen park & ride etc) £70,000
 - * £30,000 from Riverside Inverclyde's tourism business SLA with Inverclyde Council, subject to Inverclyde Council agreement; £5,000 from ri Marketing & Inward Investment budget;
 - * £35,000 proposed contribution from Inverclyde Council

5.14 The budget (re)allocations can therefore be summarised as follows :

- Inverclyde Council proposed contribution = £80,000;
- Riverside Inverclyde's Marketing and Inward Investment budget = £35,000; and
- Riverside Inverclyde's Tourism Businesses SLA with Inverclyde Council = £45,000, closing out this budget and SLA, subject to SLA modification and allocation approvals from Inverclyde Council.

5.15 The budgetary figures and estimated spend identified throughout this report are all exclusive of VAT. Further investigation may require Riverside Inverclyde or Inverclyde Council to procure different elements of the budget spend profile identified in 5.13 and 5.14 above. Such flexibility of either party procuring the appropriate elements within, or the full set of, the contracts should not compromise the proposed £80,000 contributions from each of Riverside Inverclyde and Inverclyde Council towards the total cost of the event weekend.

6.0 CONCLUSION

6.1 With potential benefits for Inverclyde business growth, Inverclyde re-population, and Inverclyde tourism, the Scottish Grand Prix of the Seas can significantly enhance Inverclyde's profile and position the area for realising key objectives within the Single Operating Plan.

7.0 IMPLICATIONS

7.1 Financial Implications

The financial implications for this report are generally identified in paragraphs 5.13, 5.14 and 5.15 and may be translated as follows:

One-off costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Virement From	Other Comments
Earmarked reserve	Contingency	2015/16 2016/17	£15,000 £65,000		Subject to P&R approval
Earmarked Reserve	Repopulation	2016/17	£45,000		

Annually recurring costs/savings

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (if applicable)	Other Comments

7.2 Legal

The Head of Legal and Property Services has been consulted on this report.

7.3 Human Resources

There are no human resource issues arising from this report.

7.4 Equalities

There no equalities issues arising from this report.

YES (see attached appendix)

NO This report does not introduce a new policy, function or strategy or change to an existing policy, function or strategy. No Equality Impact Assessment is required)

7.5 Repopulation

This high profile international project can contribute towards the repopulation programme.

8.0 CONSULTATIONS

- 8.1 The Head of Regeneration and Planning has been consulted on this report.
- 8.2 The Head of Environmental and Commercial Services has been consulted on this report.
- 8.3 The Chief Financial Officer has been consulted on this report.

9.0 BACKGROUND PAPERS

- 9.1 A copy of Powerboat P1's Economic Impact Report for the Cardiff Event can be accessed through Riverside Inverclyde.

APPENDIX 1

2016 P1 Scottish Grand Prix of the Sea



Race route alternative 1(Riverside Inverclyde preferred race route).



Race route alternative 2

APPENDIX 2

Powerboat P1 Event Fee Categorisation Proposal

It is proposed that funding is broken down into two components:

□ *An Event Funding Instalment (EFI)* based on a fixed contribution of 50% of the overall Hosting Fee paid towards event planning and delivery costs. This would be paid as a single instalment in advance of the event and upon approval of the following:

- A confirmed date for the event included on the P1 2016 Calendar.
- A comprehensive business plan for the event incorporating detailed financial information and budget forecasts is agreed between the parties.
- An agreed marketing plan covering print, radio, digital and boat branding for the event that is focused on meeting the goals and objectives of the funding party or parties.

□ *An Event Performance Instalment (EPI)* based on two key criteria following the event:

○ 30% of the fee based on Spectator Attendance Numbers – verified by the local council or a mutually agreeable independent agency as follows:

- 15,000+ spectators
- 17,500+ spectators
- 20,000+ spectators

Note: Further analysis will be done on spectator numbers in due course.

○ 20% of the fee based on Media Coverage – paid immediately following the broadcast of the event in the UK and internationally (typically Sky Sports and Fox Sports).

General P1 Obligations

- (a) To deliver the event set out in the hosting agreement and event race instructions.
- (b) To present a post-event report within 60 days of the staging of the event providing a full summary of activities and results in support of the EPI.
- (c) To safeguard the funding against fraud.
- (d) To comply with all applicable laws or regulations.
- (e) To put in place and maintain adequate insurances to cover against the risks which may arise in connection with any activity undertaken in delivery of the event.