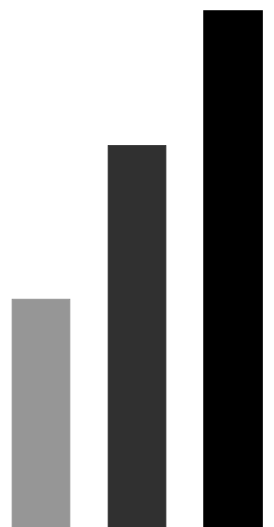


# Agenda 2016

# Policy & Resources Committee

For meeting on:

2	February	2016
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**A meeting of the Policy & Resources Committee will be held on Tuesday 2 February 2016 at 3pm within the Municipal Buildings, Greenock.**

GERARD MALONE  
Head of Legal & Property Services

**BUSINESS**

**\*\*Copy to follow**

1.	<b>Apologies, Substitutions and Declarations of Interest</b>	
<b>PERFORMANCE MANAGEMENT</b>		
2.	<b>Policy &amp; Resources Capital Programme 2015/18 – Progress Report</b> Report by Chief Financial Officer and Corporate Director Environment, Regeneration & Resources	p
3.	<b>2015/18 Capital Programme</b> Report by Chief Financial Officer	p
4.	<b>Policy &amp; Resources Committee 2015/16 Revenue Budget – Period 8 to 30 November 2015</b> Report by Chief Executive, Corporate Director Environment, Regeneration & Resources, Corporate Director Education, Communities & Organisational Development and Chief Financial Officer	p
5.	<b>2015/16 General Fund Revenue Budget as at 30 November 2015</b> Report by Chief Financial Officer	p
6.	<b>Procurement Update</b> Report by Chief Financial Officer	p
7.	<b>ICT Services Performance and PSN Update</b> Report by Chief Financial Officer	p

8.	<b>Information Governance and Management Update</b> Report by Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership	p
9.	<b>Corporate Complaints</b> Report by Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership	p
10.	<b>Welfare Reforms Update</b> Report by Chief Financial Officer and Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership	p
11.	<b>Audit Scotland: Activity to Reduce Fraud and Error in Housing Benefit</b> Report by Chief Financial Officer	p
12.	<b>Update on Repopulation Outcome Delivery Group</b> Report by Corporate Director Environment, Regeneration & Resources	p
13.	<b>Corporate Performance Report</b> Report by Corporate Director Education, Communities & Organisational Development	p
14.	<b>Co-ordination and Monitoring of Corporate Projects</b> Report by Chief Executive	p
15.	<b>Corporate Directorate Improvement Planning 2016/19</b> Report by Corporate Director Education, Communities & Organisational Development	p
<b>NEW BUSINESS</b>		
16.	<b>Budget Consultation 2015/16</b> Report by Corporate Director Education, Communities & Organisational Development	p
17. **	<b>2016/18 Budget</b> Report by Chief Financial Officer	
18.	<b>Common Good Budget 2016/18</b> Report by Chief Financial Officer	p
19.	<b>Commission on Local Tax Reform</b> Report by Chief Financial Officer	p
20.	<b>Fixed Odds Betting Terminals</b> Report by Head of Legal & Property Services	p

<p>The documentation relative to the following items has 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.</p>		
<p><b>NEW BUSINESS</b></p>		
21.	<p><b>Residual Waste Contract Options</b> <span style="float: right;"><b>Paras 8, 9 &amp; 12</b></span>  Report by Corporate Director Environment, Regeneration &amp; Resources on possible procurement routes to put in place a new contract for residual waste treatment</p>	p
<p><b>REMITTS FROM COMMITTEES</b></p>		
22.	<p><b>Proposed Sale of Premises – Cathcart Street, Greenock – Remit from Environment &amp; Regeneration Committee</b> <span style="float: right;"><b>Paras 2, 6 &amp; 9</b></span>  Report by Corporate Director Environment, Regeneration &amp; Resources on a remit from the Environment &amp; Regeneration Committee of 14 January 2016 relative to the proposed sale of premises at Cathcart Street, Greenock</p>	p
23.	<p><b>Inverclyde Association for Mental Health (IAMH) Horticultural Training Centre and Community Centre, Broomhill – Remit from Education &amp; Communities Committee</b> <span style="float: right;"><b>Para 6</b></span>  Report by Corporate Director Environment, Regeneration &amp; Resources on a remit from the Education &amp; Communities Committee of 19 January 2016 relative to funding arrangements in respect of the above project</p>	p

Enquiries to – **Sharon Lang** - Tel 01475 712112

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer and Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>FIN/11/16/AP/MT</b>
<b>Contact Officer:</b>	<b>Matt Thomson</b>	<b>Contact No:</b>	<b>01475 712256</b>
<b>Subject:</b>	<b>Policy &amp; Resources Capital Programme 2015/18 - Progress Report</b>		

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## **1.0 PURPOSE**

- 1.1 The purpose of the report is to update the Committee in respect of the status of the projects within the Policy & Resources Capital Programme and to highlight the overall financial position.

## **2.0 SUMMARY**

- 2.1 This report advises Committee in respect of the progress and financial status of the projects within the Policy & Resources Capital Programme.
- 2.2 It can be seen from section 6 that the projected spend over the period to 2017/18 is £6.842m, which means that the total projected spend is on budget.
- 2.3 Expenditure at 30<sup>th</sup> November is 22.4% of 2015/16 projected spend, net advancement of £0.280m (49.73%) relating to the Scottish Wide Area Network is being reported, offset by slippage in the Modernisation Fund.

## **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note current position of the 2015/18 Capital Programme and the progress on the specific projects detailed in Appendix 1.
- 3.2 That the Committee approve the reallocation of £60,000 from the Desktop Replacement Programme to meet costs associated with achieving PSN accreditation.

## 4.0 BACKGROUND

4.1 On February 19<sup>th</sup> 2015 the Council approved a new 3 year Capital Programme covering the period 2015/18, effectively extending the previously approved 2013/16 Capital Programme to 2017/18. As part of this process the recurring annual allocations, reduced due to revenue savings, were added. In addition the Modernisation Fund budget was reduced by £0.1m as part of the Earmarked Reserve write back exercise.

## 5.0 PROGRESS

5.1 The annual PC refresh programme has now begun (93 Desktops and 142 laptops were replaced in Schools and nurseries and 136 desktops and 57 laptops were replaced in other Services). All PCs have now been updated with Windows 7 and Office 2010. A further tranche of PC replacements will begin in February 2016.

5.2 Infrastructure Refresh Programme - ICT are continuing their programme of upgrading core Network Infrastructure Equipment in support of the migration to the Scottish Wide Area Network (SWAN). Additional Network Storage has been implemented in support of the Virtualised Infrastructure Environment and in anticipation of additional capacity requirements.

5.3 Funding for replacement Whiteboards for St John's Primary refurbishment is now completed.

5.4 During the 2015/16 PSN Accreditation process a number of systems were identified as at or near "End of Life" and in need of replacement. £60,000 will be re-allocated from the Desktop Replacement programme. Committee approval for this reallocation is required.

## 6.0 FINANCIAL IMPLICATIONS

### Finance

6.1 The figures below detail the position at 30<sup>th</sup> November 2015. Expenditure to date is £0.189m (21.3% of the 2015/16 projected spend).

6.2 The current budget for the period to 31<sup>st</sup> March 2018 is £6.842m. The current projection is £6.842m which means the total projected spend is on budget.

6.3 The approved budget for 2015/16 is £0.563m. The Committee is projecting to spend £0.886m with advancement from future years of £0.323m (57.37%) relating to the Scottish Wide Area Network.

### 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					

## **7.0 CONSULTATION**

### **7.1 Legal**

There are no legal issues arising from the content of this report and as such the Head of Legal and Property Services has not been consulted.

### **7.2 Human Resources**

There are no direct staffing implications in respect of the report and as such the Head of Organisational Development, HR and Communications has not been consulted.

### **7.3 Equalities**

There are no equalities implications in this report.

### **7.4 Repopulation**

There are no repopulation implications in this report.

## **8.0 LIST OF BACKGROUND PAPERS**

8.1 None





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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/14/16/AP/MT</b>
<b>Contact Officer:</b>	<b>Matt Thomson</b>	<b>Contact No:</b>	<b>01475 712256</b>
<b>Subject:</b>	<b>2015/18 Capital Programme</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of the report is to provide the Committee with the latest position of the 2015/18 Capital Programme.

## 2.0 SUMMARY

- 2.1 On February 19<sup>th</sup> 2015 the Council approved a new 3 year Capital Programme covering the period 2015/18, effectively extending the previously approved 2013/16 Capital Programme to 2017/18.
- 2.2 As part of the approved Capital Programme, it was agreed to return the existing surplus in Capital Resources to Revenue Reserves, returning the Capital Programme to a break-even position with adjustments made during the year end accounts process bringing the programme to a small deficit. In December 2015 the Scottish Government settlement for 2016/17 included re-profiling of part of the capital grant to future years; this has resulted in a deficit of £0.866m now being reported as can be seen from Appendix 1. This represents 0.9% of projected spend over the 3 year period and is within the recommended level.
- 2.3 It should be noted that the Government have indicated that the Council will receive £1.4m Capital grant at some point over 2017/20 in lieu of the re-profiled grant from 2016/17. This is not reflected in the above figures.
- 2.4 It can be seen from Appendix 2 that as at 30<sup>th</sup> November 2015, expenditure in 2015/16 was 48.65% of projected spend. Phasing and project spend has been reviewed by the budget holders and the relevant Corporate Director.
- 2.5 The position in respect of each individual Committee is reported in Appendix 2 and Section 5 of the report. Overall, committees are projecting to outturn on budget. In the current year, slippage of 2.01% is being reported, this is an increase in slippage of 8.14% from the previous Committee when a net advancement was being reported. This compares with a slippage outturn of 15.3% in 2014/15. In view of high slippage levels in previous years, officers have actively sought to advance projects where possible to offset slippage and continue to do so.

## 3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the current position of the 2015/18 Capital Programme.

Alan Puckrin  
Chief Financial Officer

## 4.0 BACKGROUND

- 4.1 On February 19<sup>th</sup> 2015, the Council approved a new 3 year Capital Programme covering the period 2015/18, effectively extending the previously approved 2013/16 Capital Programme to 2017/18. As part of this process, the previously reported surplus, along with minor underspends in 2 projects, returned £1.261m to Revenue Reserves. Subsequent adjustments arising as part of the year end accounts process resulted in a small deficit.
- 4.2 In December 2015 the Scottish Government announced the settlement for 2016/17. While the settlement itself was £7.992m, £0.692m higher than had been estimated, £1.443m of this has been re-profiled to future years which means it will not be received in 16/17 but rather will be added to our Capital Grant over the 2017/20 period. It is considered prudent not to reflect this additional grant over the current 2015/18 period at this stage and as a result the deficit on the capital programme has increased to £0.866m.

## 5.0 CURRENT POSITION

- 5.1 Appendix 1 shows that over the 2015/18 period the Capital Programme is in a break-even position.
- 5.2 The position in respect of individual Committees is as follows:

### Social Care

Project slippage of £0.515m (76.75%) with spend being 27.6% of projected spend for the year. This relates to the replacement for Neil St Children's Home and is a reduction in projected spend of £0.200m since last Committee.

### Environment & Regeneration

Net slippage of £0.794m (4.09%) is being reported with spend being 46.0% of projected spend for the year. This is a movement of £2.099m (10.2%) from the net advancement reported to the last Committee mainly due to further slippage in the AMP Depots – Vehicle Maintenance Shed (£0.779m) as well as slippage within the Parking Strategy (£0.283m), Greenock Municipal Buildings – District Court Offices (£0.172m) and the proposed RCGF projects in Port Glasgow (£0.427m).

### Education & Communities

Net advancement of £0.436m (4.89%) is being reported with spend being 56.6% of projected spend for the year. Slippage within Inverkip Community Facility and the Watt Complex Refurbishment is being more than offset by advancements including Rankin Park Cycle Track (£0.205m), Ravenscraig Sports Barn (£0.200m) and Ardgowan Primary Refurbishment (£0.427m).

### Policy & Resources

Net advancement of £0.280m (49.73%) relating to the Scottish Wide Area Network partly offset by slippage in the Modernisation Fund is being reported with spend being 22.4% of projected spend for the year.

- 5.3 Overall in 2015/16 it can be seen that expenditure is 48.65% of the projected spend for the year and that project slippage from the programme agreed in February 2015 is currently £0.593 million (2.01%).

## 6.0 CONCLUSIONS

- 6.1 As can be seen in paragraph 5.3, projected project slippage is currently 2.01%; this compares with slippage of 15.3% in 2014/15. It should be noted that officers have actively sought to advance projects in anticipation of potential slippage and continue to do so.

6.2 Following re-profiling of Scottish Government Capital Grant into future years, the Council's Capital Programme for 2015/18 is showing a shortfall in resources of £0.866m. This represents 0.9% of projected spend over the 3 year period and is within the recommended level.

6.3 Overall, Service Committees have spent 48.65% of the 2015/16 projected spend as at 30<sup>th</sup> November 2015.

## 7.0 CONSULTATION

7.1 This report has been approved by the Corporate Management Team and reflects the detail reported to Service Committee.

## 8.0 IMPLICATIONS

### Finance

#### 8.1 Financial Implications

All financial implications are shown in detail within the report and in Appendices 1 & 2.

#### 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

8.2 There are no legal implications.

### Human Resources

8.3 There are no direct staffing implications in respect of this report and as such the Head of Organisational Development, HR & Communications has not been consulted.

### Equalities

8.4 The report has no impact on the Council's Equalities policy.

### Repopulation

8.5 The Council's continuing significant capital investment levels will have a positive impact on regeneration, job creation and hence repopulation.

## **9.0 BACKGROUND PAPERS**

9.1 None.

Appendix 1

Capital Programme - 2015/16 - 2017/18

Available Resources

	A	B	C	D	E
	2015/16	2016/17	2017/18	Future	Total
	£000	£000	£000	£000	£000
Government Capital Support	11,180	6,549	7,300	-	25,029
Less: Allocation to School Estate	(5,317)	(4,300)	(4,300)	-	(13,917)
Capital Receipts (Note 1)	1,006	133	385	-	1,524
Capital Grants (Note 2)	466	198	-	-	664
Prudential Funded Projects (Note 3)	8,051	27,962	11,992	450	48,455
Balance B/F From 14/15 (Exc School Estate)	2,890	-	-	-	2,890
Capital Funded from Current Revenue (Note 4)	4,327	4,922	333	-	9,582
	<u>22,603</u>	<u>35,464</u>	<u>15,710</u>	<u>450</u>	<u>74,227</u>

Overall Position 2014/18

	<u>£000</u>
Available Resources (Appendix 1, Column E)	74,227
Projection (Appendix 2, Column B-E)	<u>75,093</u>
(Shortfall)/Under Utilisation of Resources	<u>(866)</u>

Notes to Appendix 1

All notes exclude School Estates

Note 1 (Capital Receipts)

	2015/16	2016/17	2017/18	Future	Total
	£000	£000	£000	£000	£000
Sales	974	83	385	-	1,442
Contributions/Recoveries	32	50	-	-	82
	<u>1,006</u>	<u>133</u>	<u>385</u>	<u>-</u>	<u>1,524</u>

Note 2 (Capital Grants)

	2015/16	2016/17	2017/18	Future	Total
	£000	£000	£000	£000	£000
Cycling, Walking & Safer Streets	121	88	-	-	209
SPT	74	-	-	-	74
Sustrans	36	-	-	-	36
Sports Scotland/SFA	18	100	-	-	118
Electric Vehicle Charging Points	39	-	-	-	39
Big Lottery Fund	178	10	-	-	188
	<u>466</u>	<u>198</u>	<u>-</u>	<u>-</u>	<u>664</u>

## Notes to Appendix 1

<u>Note 3 (Prudentially Funded Projects)</u>	<u>2015/16</u>	<u>2016/17</u>	<u>2017/18</u>	<u>Future</u>	<u>Total</u>
	£000	£000	£000	£000	£000
Additional ICT - Education Whiteboard & PC Refresh	78	92	66	-	236
Vehicle Replacement Programme	1,250	900	1,481	-	3,631
Greenock Parking Strategy	-	273	-	-	273
Asset Management Plan - Offices	1,186	3,924	133	-	5,243
Asset Management Plan - Depots	1,317	6,004	531	-	7,852
Capital Works on Former Tied Houses	20	160	60	360	600
Waterfront Leisure Complex Combined Heat and Power Plant	181	50	-	-	231
Leisure & Pitches Strategy	113	194	-	-	307
Broomhill Community Facility	-	500	-	-	500
Kylemore Childrens Home (return of borrowing in lieu of receipt)	(200)	-	-	-	(200)
Neil Street Childrens Home Replacement	146	1,569	29	-	1,744
Crosshill Childrens Home Replacement	-	157	1,435	90	1,682
Modernisation Fund	49	27	126	-	202
Watt Complex Refurbishment	-	700	2,221	-	2,921
Gourock One Way System	2,000	500	-	-	2,500
Roads Asset Management Plan	1,001	7,102	4,600	-	12,703
Surplus Prudential Borrowing due to project savings	60	60	60	-	180
Reduction in Prudential Borrowing, ICT Annual allocation	(150)	(150)	(150)	-	(450)
Additional Prudential Borrowing to Support annual allocations	1,000	1,400	1,400	-	3,800
Additional Prudential Borrowing to allow return of Reserves	-	4,500	-	-	4,500
	<u>8,051</u>	<u>27,962</u>	<u>11,992</u>	<u>450</u>	<u>48,455</u>

<u>Note 4 (Capital Funded from Current Revenue)</u>	<u>2015/16</u>	<u>2016/17</u>	<u>2017/18</u>	<u>Future</u>	<u>Total</u>
	£000	£000	£000	£000	£000
Regeneration of Port Glasgow Town Centre	423	319	-	-	742
Play Areas	352	308	-	-	660
Coronation Park, Port Glasgow	185	-	-	-	185
Contribution to Birkmyre Park Pitch Improvements	-	200	-	-	200
Gourock Walled Garden, Toilet Provision	27	-	-	-	27
Hillend Respite Unit	3	-	-	-	3
Scheme of Assistance	433	333	333	-	1,099
Flooding Strategy	(609)	2,472	-	-	1,863
Greenock Parking Strategy	58	10	-	-	68
Roads Asset Management Plan	2,190	-	-	-	2,190
Broomhill Community Facility (Community Facility Fund)	50	303	-	-	353
Inverkip Community Facility	686	930	-	-	1,616
Primary School MUGA's - various	768	543	-	-	1,311
Various MUGAs - transfer to SEMP	(283)	(220)	-	-	(503)
Watt Complex Refurbishment	80	872	-	-	952
Community Facilities Investment	30	370	-	-	400
Blaes Football Parks	29	37	-	-	66
Ravenscraig Sports Barn	600	-	-	-	600
Broomhill Regeneration	-	750	-	-	750
Central Gourock	-	150	-	-	150
Scottish Wide Area Network	323	-	-	-	323
Rankin Park Cycle Track	105	45	-	-	150
Asset Management Plan - Depots	137	-	-	-	137
Bakers Brae Re-alignment	-	1,000	-	-	1,000
RCGF Port Glasgow/Broomhill	-	500	-	-	500
King George VI Refurbishment	-	500	-	-	500
Contribution to General Fund Reserves	(1,260)	(4,500)	-	-	(5,760)
	<u>4,327</u>	<u>4,922</u>	<u>333</u>	<u>-</u>	<u>9,582</u>

Capital Programme - 2015/16 - 2017/18Agreed Projects

Committee	A Prior Years £000	B 2015/16 £000	C 2016/17 £000	D 2017/18 £000	E Future £000	F Total £000	G Approved Budget £000	H (Under)/ Over £000	I 2014/15 Spend To 30/09/15 £000
Policy & Resources	5,044	843	466	489	-	6,842	6,842	-	189
Environment & Regeneration	25,690	18,600	26,802	11,307	360	82,759	82,759	-	8,562
Education & Communities (Exc School Estate)	1,021	2,972	6,764	3,054	-	13,811	13,811	-	1,141
CHCP	191	156	1,726	1,464	90	3,627	3,627	-	43
Sub -Total	31,946	22,571	35,758	16,314	450	107,039	107,039	-	9,935
School Estate (Note 1)	8,145	6,377	12,377	3,308	2,696	32,903	32,903	-	4,148
Total	40,091	28,948	48,135	19,622	3,146	139,942	139,942	-	14,083

Note 1Summarised SEMP Capital Position - 2014/18

	2015/16	2016/17	2017/18
Capital Allocation	5,317	4,300	4,300
Scottish Government School Grant (estimate)	1,120	1,953	100
Surplus b/fwd	3,762	5,085	(354)
Prudential Borrowing	500	465	-
Prudential Borrowing - In Lieu of Receipts			
Prudential Borrowing - Accelerated Investment			
Contractor Contribution	60		
CFCR	703	220	-
Available Funding	11,462	12,023	4,046
<u>Projects</u>			
Ex-Prudential Borrowing	5,594	11,692	3,308
Prudential Borrowing	500	465	-
CFCR	283	220	-
Total	6,377	12,377	3,308
Surplus c/fwd	5,085	(354)	738

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>02 February 2016</b>
<b>Report By:</b>	<b>Chief Executive, Corporate Director Environment, Regeneration &amp; Resources, Corporate Director Education, Communities &amp; Organisational Development and Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/15/16/AP/AE</b>
<b>Contact Officer:</b>	<b>Angela Edmiston</b>	<b>Contact No:</b>	<b>01475712143</b>
<b>Subject:</b>	<b>Policy &amp; Resources Committee 2015/16 Revenue Budget – Period 8 to 30th November 2015</b>		

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## 1.0 PURPOSE

- 1.1 To advise Committee of the 2015/16 projected out-turn for the Policy & Resources Committee as at period 8, 30th November 2015.

## 2.0 SUMMARY

- 2.1 The total revised Committee budget for 2015/16 is £16,197,000. This excludes Earmarked Reserves of £1,581,000.
- 2.2 The latest projection, excluding Earmarked Reserves, is an underspend of £2,475,000 which is an increase in underspend of £38,000 since the period 6 report to Committee.
- 2.3 The main reasons for this underspend are:
- £1,900,000 projected underspend due to a projected significant reduction in call on Pay and Non Pay Inflation Contingency which has been factored into the Budget Strategy.
  - One-off £200,000 underspend projected due to no significant calls being anticipated on the Pressures Contingency until 2016/17.
  - £100,000 over-recovery of Benefit subsidy in line with mid-year estimate.
  - £120,000 over-recovery of prior year Council Tax income collection which is in line with 2014/15 out-turn.
  - An £88,000 projected underspend within Finance Services employee costs mainly due to additional turnover savings and a delay in filling vacancies within the Customer Service Centre.
  - An £100,000 projected over-recovery of Internal Resource Interest income based on previous year out-turn.
- 2.4 The Earmarked Reserves for 2015/16 totals £1,581,000 of which £523,000 is projected to be spent in the current financial year. To date expenditure of £275,000 (52.58%) has been incurred which is £12,000 over the phased budgeted spend to date. It is to be noted that Earmarked Reserves reported in appendix 4 excludes Earmarked Reserves for Asset Plans and Strategic Funds.
- 2.5 The Common Good Fund is projecting a surplus fund balance at 31 March 2016 of £41,990. This is below the minimum level of reserves of £100,000 recommended. Rates costs are being examined to ensure all appropriate relief has been obtained. It is important that the Common Good budget operates on a sustainable basis and a full review is taking place as part of the



2016/18 budget.

### **3.0 RECOMMENDATIONS**

- 3.1 The Committee note the projected underspend of £2,475,000 for the Policy and Resources Committee as at Period 8, 30th November 2015.
- 3.2 The Committee note the projected fund balance of £41,990 for the Common Good Fund and that a full review of the Common Good budget is being undertaken as part of the 2016/18 budget.

John Mundell  
Chief Executive

Alan Puckrin  
Chief Financial Officer

Wilma Bain  
Corporate Director  
Education, Communities  
& Organisational Development

Aubrey Fawcett  
Corporate Director  
Environment, Regeneration &  
Resources

## 4.0 BACKGROUND

- 4.1 The purpose of this report is to advise Committee of the current position of the 2015/16 budget and to highlight the main issues contributing to the projected underspend of £2,475,000

## 5.0 2015/16 CURRENT POSITION

- 5.1 The current projection is an underspend of £2,475,000. The following are the material variances:
- 5.2 The following material variances relate to the Environment, Regeneration & Resources Directorate:

### **Finance - £347,000 underspend**

Employee Costs: £88,000 projected underspend which is an increase in spend of £3,000 since period 6 report to Committee mainly due to an agreed upgrade of salary costs for two employees which is being contained within the overall budget.

Supplies & Services: £19,000 projected underspend, an increase in spend of £3,000 since last reported to Committee mainly due to unallocated savings earlier projected to be achieved in 2015/16 now being delayed to 2016/17.

Other Expenditure: Current projection is an underspend of £83,000, an increase in spend of £20,000 since the period 6 report to Committee mainly due to an increase in Bad debt provision offset by an increase in income.

Income: £158,000 projected over-recovery of income which is an additional £49,000 increase in income mainly due to an increase in projected debts raised during the year offset by an increase in bad debt provision.

### **Legal & Democratic - £66,000 overspend**

Employee Costs: An overspend of £54,000 is being projected due to turnover target not being met. This is a increase in spend of £6,000 since last reported to Committee mainly due to additional hours costs.

Administration Costs: A £15,000 underspend is being projected, an increase in underspend of £4,000 since last reported to the Period 6 Committee mainly due to Service estimating a reduction in spend within Printing and Stationery.

Income: An under-recovery of £25,000 is being projected which is a £5,000 increase in under-recovery since last reported to Committee, due to a reduction income rechargeable to Capital.

- 5.3 The following material variances relate to the Education, Communities & Organisational Development Directorate:

### **Organisational Development, H.R. & Communications - £7,000 underspend**

Employee Costs: £26,000 overspend is being projected mainly due to turnover target not being met. This is an increase in spend of £3,000 since last reported to Committee.

Administration Costs: An overall underspend of £10,000 is being projected which is over various budget lines such as Printing and Stationery, Postages, Legal Expenses etc. This is an increase in underspend of £3,000 since period 6 report to Committee.

Other Expenditure: £18,000 underspend projected which is an increase in underspend of £3,000 since last reported to Committee due to Service projecting a decrease in spend for Workforce Development.

5.4 The following material variances relate to the Miscellaneous budget.

**Miscellaneous – 2,200,000 underspend**

Inflation Contingency: £1,900,000 underspend is being projected due to projected reduction in calls on non-pay inflation contingency. This was reported to Committee in period 6.

Pressures Contingency: As no significant calls are expected, a one off £200,000 underspend is being projected for the pressures contingency until 2016/17. This was reported to Committee in period 6.

Internal Resource Interest: In period 6 an over-recovery of £80,000 was projected. Current projection is an over-recovery of £100,000 an increase of £20,000 due to improved cash-flow management.

**6.0 VIREMENT**

6.1 There are no virements to report in period 8.

**7.0 EARMARKED RESERVES**

7.1 Appendix 4 gives a detailed breakdown of the current earmarked reserves position. Total funding is £1,581,000 of which £523,000 is projected to be spent in 2015/16 and the remaining balance of £1,058,000 to be carried forward to 2016/17 and beyond. It can be seen that expenditure of £275,000 has been achieved which is £12,000 over the phased budgeted spend to date and represents 52.58% of the annual projected spend.

**8.0 COMMON GOOD FUND**

8.1 Appendix 5 shows a projected overspend of £39,820 in the Common Good Fund as at 30th November 2015. This results in a projected available fund balance at 31st March 2016 of £41,990. This is below the minimum level of reserves of £100,000 recommended. Rates costs are being examined to ensure all appropriate relief has been obtained.

8.2 It is important that the Common Good budget operates on a sustainable basis and a full review is taking place as part of the 2016/18 budget.

**9.0 IMPLICATIONS**

9.1 **Finance**

Financial Implications:

One off Costs

<b>Cost Centre</b>	<b>Budget Heading</b>	<b>Budget Years</b>	<b>Proposed Spend this Report £000</b>	<b>Virement From</b>	<b>Other Comments</b>
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					

### 9.2 Legal

There are no specific legal implications arising from this report.

### 9.3 Human Resources

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

### 9.4 Equalities

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.

### 9.5 Repopulation

There are no repopulation issues arising from this report.

## 10.0 CONSULTATIONS

10.1 The Chief Executive, Corporate Director Environment, Regeneration & Resources, Corporate Director Education, Communities & Organisational Development and the Chief Financial officer have been consulted in the preparation of this report.

## 11.0 CONCLUSIONS

11.1 That the Committee note the 2015/16 projected underspend of £2,475,000 for the Policy and Resources Committee as at Period 8, 30th November 2015.

## 12.0 BACKGROUND PAPERS

12.1 There are no background papers for this report.

**Policy & Resources Budget Movement - 2015/16****Period 8: 1st April - 30th November 2015**

Service	Approved Budget		Movements			Revised Budget
	2015/16 £000	Inflation £000	Virement £000	Supplementary Budgets £000	Transferred to EMR £000	2015/16 £000
Finance	7,585	98	(307)			7,376
Legal & Property	1,507		17			1,524
Organisational Development, HR & Communications	1,669	21	(4)			1,686
Corporate Policy	180	2				182
Chief Exec	398	6				404
Miscellaneous	7,496	(2,465)	(6)			5,025
<b>Totals</b>	<b>18,835</b>	<b>(2,338)</b>	<b>(300)</b>	<b>0</b>	<b>0</b>	<b>16,197</b>

**Supplementary Budget Detail**

£000

External ResourcesInternal ResourcesFinance

Employee pay award	80
NDR Discretionary Relief	13
ICT Maintenance	5
ICT Savings allocations - vire from Loan charges	30
Starter pack to Social Work	(7)
Council Tax reduction Scheme	(330)
<u>Legal</u>	
Employee pay award	17
<u>Organisational Development, HR &amp; Communications</u>	
Employee pay award	21
Employee re-evaluation budget transferred to Contingency	(4)
<u>Corporate Policy</u>	
Employee pay award	2
<u>Chief Exec</u>	
Employee pay award	6
<u>Misc</u>	
Employee pay award	(1,538)
Teachers Pension	(399)
Inflation Contingency allocations / refunds	(528)
Klargester System - vired from Capital Programme	(6)

Savings/Reductions

(2,638)

**REVENUE BUDGET MONITORING REPORT**

**CURRENT POSITION**

**PERIOD 8: 1st April 2015- 30th November 2015**

Service	Approved Budget 2015/16 £000	Revised Budget 2015/16 £000	Projected Out-turn 2015/16 £000	Projected Over/(Under) Spend £000
Finance	7,585	7,376	7,029	(347)
Legal & Property Services	1,507	1,524	1,590	66
<b>Total Net Expenditure Environment, Regeneration &amp; Resources</b>	<b>9,092</b>	<b>8,900</b>	<b>8,619</b>	<b>(281)</b>
Organisational Development, Human Resources & Communications	1,669	1,686	1679	(7)
Corporate Policy	180	182	186	4
<b>Total Net Expenditure Education, Communities &amp; Organisational Development</b>	<b>1,849</b>	<b>1,868</b>	<b>1,865</b>	<b>(3)</b>
Chief Executive	398	404	413	9
Miscellaneous	7,496	5,025	2,825	(2,200)
<b>TOTAL NET EXPENDITURE</b>	<b>18,835</b>	<b>16,197</b>	<b>13,722</b>	<b>(2,475)</b>
Earmarked reserves				
<b>Total Net Expenditure excluding Earmarked Reserves</b>	<b>18,835</b>	<b>16,197</b>	<b>13,722</b>	<b>(2,475)</b>

**POLICY & RESOURCES****REVENUE BUDGET MONITORING REPORT****MATERIAL VARIANCES (EXCLUDING EARMARKED RESERVES)****PERIOD 8: 1st April 2015 - 30th November 2015**

Outturn 2014/15 £000	Budget Heading	Budget 2015/16 £000	Proportion of Budget £000	Actual to 30/11/15 £000	Projection 2015/2016 £000	Over/(Under) Budget £000
	<b><u>Finance</u></b>					
5,391	Employee Costs	5,325	3,385	2,506	5,237	(88)
35,720	Benefit Subsidy	36,486	12,162	11,169	36,386	(100)
3	Legal Expenses	3	2	1	13	10
(299)	Statutory additions	(260)	(173)	(131)	(280)	(20)
132	Computer Software Upgrade	140	93	126	128	(12)
(304)	Council tax income Prior Year	(187)	(125)	0	(307)	(120)
(99)	ICT - Income	(60)	(40)	(28)	(45)	15
202	Other Expenditure - Bad debt Provision	100	67	61	120	20
(397)	Income - Recoveries	(220)	(147)	(123)	(260)	(40)
	<b><u>Organisational Development, HR &amp; Communications &amp; Events</u></b>					
1,525	Employee Costs	1,380	875	886	1,406	26
91	Consultants costs	100	33	28	90	(10)
	<b><u>Miscellaneous</u></b>					
553	Inflation Contingency	4,678	3,119	2,465	2,778	(1,900)
0	Pressures Contingency	232	155	0	32	(200)
(334)	Internal Resource Interest	(226)	(151)	0	(326)	(100)
	<b><u>Legal &amp; Property Services</u></b>					
1,850	Employee Costs	1,071	681	766	1,125	54
31	Postages	40	27	18	30	(10)
(17)	Income recharges	(28)	(19)	(7)	(13)	15
(4)	Income	(24)	(16)	0	(14)	10
<b>44,044</b>	<b>TOTAL MATERIAL VARIANCES</b>	<b>48,550</b>	<b>19,928</b>	<b>17,737</b>	<b>46,100</b>	<b>(2,450)</b>

## EARMARKED RESERVES POSITION STATEMENT

Appendix 4

COMMITTEE: Policy &amp; Resources

<u>Project</u>	<u>Lead Officer/ Responsible Manager</u>	<u>Total Funding 2015/16</u>	<u>Phased Budget To Period 8 2015/16</u>	<u>Actual To Period 8 2015/16</u>	<u>Projected Spend 2015/16</u>	<u>Amount to be Earmarked for 2016/17 &amp; Beyond</u>	<u>Lead Officer Update</u>
		<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	
Modernisation Fund	Alan Puckrin	308	100	100	161	147	4 employees fully/part funded from Fund at present. Business case developed for HR EDRMS project and e - Building Standards.
Procurement Development Fund	Alan Puckrin	4	0	0	0	4	£18k vired to fund Procurement Apprentice. Use of balance being considered or written back.
Welfare Reforms - Operational	Alan Puckrin	344	25	24	39	305	Extra funding of £27k but £30k vired to fund 2 Modern Apprentices in the CSC. Further temporary CSC resource funded from EMR to meet increased demand for services and funding extra Benefits post.
Budget Development	Alan Puckrin	260	30	44	129	131	£50k written back to reserves. Total funding now available for 2015/16 is £260k of which revised commitments for spend is £199k. This includes additional £20k of commitment for Social Transport. Of these commitments £129k is projected to be spent in 2015/16 with the balance of £70k and £61k of un-committed funds being carried forward for spend in future years.
Protection of Vulnerable Groups	S McNab	48	48	37	48	0	Full spend expected to be incurred by year end.
2013/16 Revenue Contingency	Alan Puckrin	212	60	70	122	90	Nepal earthquake, Waverly Enterprise and Kelburn Park fully spent. £16k spend incurred for Corlic Farm legal representation and full spend expected by March 2016. Full spend of £9k incurred for Inverclyde Leisure playschemes with £3k balance to be returned to uncommitted reserves. £28k for Newark Castle lighting expected to be incurred by February 2016. The Event fee for Powerboat Grand Prix is expected to be in Jan 2016. Future spend will consist of £5k for Toll Boys, £65k for Powerboat Grand Prix and £20k uncommitted reserves.



<u>Project</u>	<u>Lead Officer/ Responsible Manager</u>	<u>Total Funding 2015/16</u>  <b>£000</b>	<u>Phased Budget To Period 8 2015/16</u>  <b>£000</b>	<u>Actual To Period 8 2015/16</u>  <b>£000</b>	<u>Projected Spend 2015/16</u>  <b>£000</b>	<u>Amount to be Earmarked for 2016/17 &amp; Beyond</u>  <b>£000</b>	<u>Lead Officer Update</u>
Discretionary Housing Payments / Welfare Reform - Policy	Alan Puckrin	405	0	0	24	381	£24k allocation for Discretionary Housing Payments. Report elsewhere on the Agenda has proposals to allocate much of the balance.
<b>Total Category C to E</b>		<b>1,581</b>	<b>263</b>	<b>275</b>	<b>523</b>	<b>1,058</b>	

REVENUE BUDGET MONITORING REPORT 2015/16PERIOD 8 : 1st April 2015 to 30th November 2015

		<b>Final Outturn 2014/15</b>	<b>Approved Budget 2015/16</b>	<b>Budget to Date 2015/16</b>	<b>Actual to Date 2015/16</b>	<b>Projected Outturn 2015/16</b>
<b><u>PROPERTY COSTS</u></b>		<b>28,400</b>	<b>10,000</b>	<b>6,700</b>	<b>20,600</b>	<b>28,060</b>
Repairs & Maintenance	1	19,650	9,000	6,000	4,250	9,000
Rates	2	11,140		0	18,060	18,060
Property Insurance		(2,390)	1,000	700	(1,710)	1,000
Marketing Costs						
<b><u>ADMINISTRATION COSTS</u></b>		<b>21,670</b>	<b>8,700</b>	<b>2,500</b>	<b>4,700</b>	<b>9,700</b>
Sundries	3	14,470	1,500	1,000	2,500	2,500
Commercial Rent Management Recharge		2,200	2,200	1,500	2,200	2,200
Recharge for Accountancy		5,000	5,000	0		5,000
<b><u>OTHER EXPENDITURE</u></b>		<b>145,650</b>	<b>98,800</b>	<b>65,700</b>	<b>29,190</b>	<b>100,700</b>
Christmas Lights Switch On		10,500	10,500	0		10,500
Christmas Dinners/Parcels		18,000	21,600	0	19,220	21,600
Christmas Decorations		35,400	0	0		0
Gourock Highland Games		29,400	29,400	29,400		29,400
Armistice Service		6,930	8,300	8,300	6,220	8,300
Comet Festival		13,300	13,300	13,300		13,300
Fireworks		12,600	12,600	12,600		12,600
Society of the Innocents Rent Rebate		7,620	3,100	2,100	3,750	5,000
World War 1 Centenary	4	600				0
Bad Debt Provision		11,300				0
<b><u>INCOME</u></b>		<b>(145,880)</b>	<b>(149,300)</b>	<b>(99,500)</b>	<b>(77,270)</b>	<b>(130,440)</b>
Property Rental		(164,150)	(181,100)	(120,700)	(77,230)	(183,000)
Void Rents	5	19,340	33,800	22,500		54,560
Internal Resources Interest		(1,070)	(2,000)	(1,300)	(40)	(2,000)
Disposal of Land	6	0				0
<b><u>NET ANNUAL EXPENDITURE</u></b>		<b>49,840</b>	<b>(31,800)</b>	<b>(24,600)</b>	<b>(22,780)</b>	<b>8,020</b>
<b><u>EARMARKED FUNDS</u></b>	7	<b>76,580</b>	<b>49,170</b>	<b>0</b>	<b>22,850</b>	<b>49,170</b>
John Wood St/Bay St Shop Improvemnts		76,576	18,420		18,420	18,420
World War 1 Centenary	4		3,750		3,570	3,750
Port Glasgow Road - Demolition			15,000		860	15,000
Repairs & Renewals Fund			12,000			12,000
<b><u>TOTAL NET EXPENDITURE</u></b>		<b>126,420</b>	<b>17,370</b>	<b>(24,600)</b>	<b>70</b>	<b>57,190</b>

Fund Balance as at 31st March 2015

99,180

Projected Fund Balance as at 31st March 2016

41,990

## Notes:

**1 Repairs & Maintenance**

Additional Repairs costs are due to be incurred in respect of 12 Bay St to bring this property to an adequate condition to allow the property to be let out. These costs are estimated to be £16,000 and will be funded from a combination of the ongoing repairs & Maintenance budget and the Repairs & Renewals Fund.

**2 Rates (Empty Properties)**

Rates are currently being paid on empty properties, projection reflects current Rates levels however all historic Rates costs are being examined to ensure all appropriate empty property relief has been obtained. Any subsequent credit will be included in future reports.

**3 Sundries**

Additional Legal Fees of £12,400 were incurred in 2014/15 in respect of a dispute over unpaid rent. The dispute is ongoing and may result in further additional costs and/or a write-off of bad debt. A provision has previously been made for bad debt which will partly offset any write-off. Should the dispute be resolved in the Common Good's favour these costs may be recoverable.

**4 World War 1 Centenary**

World War 1 Centenary includes purchase of commemorative benches and attendance at Drumhead Service. The benches were not delivered until 2015/16 and as a result the budget was set aside for carry forward and is included in the Earmarked Funds section.

**5 Current Empty Properties are:**

12 Bay St  
4 John Wood Street  
15 John Wood Street  
17 John Wood Street  
74 Port Glasgow Road

Vacant since:

April 2015  
May 2010  
December 2012 (currently under offer)  
March 2014  
September 2012

**6 Land at Port Glasgow Road**

Following a marketing exercise of the site at Port Glasgow Road, Greenock, no satisfactory offers were received. The site will now be re-marketed and the remaining buildings demolished to make the site more marketable.

**7 Approved Projects**

In addition to the annual budget highlighted above committee have previously approved funding for Improvements to Shops in Bay St/John Wood St, Port Glasgow. As noted an allowance for the World War 1 commemorative benches has also now been included here.

In addition allowance has been made for the clearance of the site at 74 Port Glasgow Road and a Repairs & Renewals Fund was set up as part of the 2015/16 budget process.

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b> 2 February 2016
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b> FIN/17/16/AP/AE
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b> 01475 712223
<b>Subject:</b>	<b>2015/16 General Fund Revenue Budget as at 30 November 2015</b>	

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to advise the Committee of the position of the General Fund Revenue Budget as at 30<sup>th</sup> November 2015 and to update Committee in respect of the position of the General Fund Reserves and Earmarked Reserves.

## 2.0 SUMMARY

- 2.1 The Council approved a two year budget in February 2015. 2015/16 is the first year of this budget and incorporated a planned contribution to the General Fund Reserve of £2.588 million.
- 2.2 It can be seen from Appendix 1 that as at 30<sup>th</sup> November 2015, the General Fund is projecting a £3.935 million underspend which represents 2.0% of the net Revenue Budget and is a movement of £572,000 since the last report. This is mainly due to:
- Projected significant under utilisation of pay and non-pay inflation allowance in line with the approved 2016/18 Budget Strategy.
  - A one off underspend within pressures contingency.
  - Projected over recovery of housing benefit subsidy in line with the mid-year estimate.
  - Projected saving in utility costs in line with prior years outturn.
  - One off saving in Council contribution to council tax reduction scheme.
  - Projected underspend with the Education Early Years' Service which has been addressed as part of the 2016/18 budget.
  - Partially offset by increased client package costs in homecare.
  - Grant Redeterminations from the Scottish Government.
- 2.3 From Appendix 1 it can be seen that 3 Service Committees are currently projecting underspends. The Health and Social Care Committee is projecting a small overspend primarily due to increased client package costs within external homecare and an under occupancy of the temporary furnished flats within the homelessness service.
- 2.4 Appendix 2 shows the latest position in respect of Earmarked Reserves, excluding those relating to Asset Plans and Strategic Funds, it can be seen that as at 30<sup>th</sup> November 2015 expenditure totalled £1.683 million which equates to 20.36% of the projected spend in 2015/16. It can also be seen from Appendix 2 that at 30<sup>th</sup> November 2015 actual expenditure is 46.91% behind phased budget. This was due to the delay in a major payment which was made in Period 9.
- 2.5 Appendix 3 shows the latest position in respect of the General Fund Reserves and shows that the projected balance at 31<sup>st</sup> March 2016 is £5.968 million which is £1.968 million greater than the minimum recommended balance of £4 million. Appendix 3 reflects the decisions on the use of free reserves taken at the Policy & Resources Committee on 22<sup>nd</sup> September 2015 and 17<sup>th</sup> November 2015.

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2.6 The Scottish Government announced its funding plans for 2016/17 in December 2015. The announcement resulted in a significant funding reduction from that anticipated. There is a report elsewhere on the Agenda updating Committee on the 2016/18 Budget.

### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Committee note the latest position of the 2015/16 Revenue Budget and General Fund Reserves.

**Alan Puckrin**  
**Chief Financial Officer**

## 4.0 BACKGROUND

4.1 The Council set a two year General Fund Revenue Budget in February 2015. 2015/16 is the first year of this budget and in the process the Council agreed a contribution to the General Fund Reserve of £2.588 million.

## 5.0 POSITION AS AT 30 NOVEMBER 2015

5.1 It can be seen from Appendix 1 that as at 30<sup>th</sup> November 2015, the General Fund is projecting an underspend of £3.935 million which equates to 2.0% of the net General Revenue Fund Budget and is an increase of £572,000 since the last report.

5.2 It is projected that approximately £1.9 million of pay and non-pay inflation will not be required in 2015/16. This has largely come about due to lower than anticipated inflationary pressures around utilities, fuel, PPP contract indexation, SPT and Waste Contracts. The amount required in 2015/16 has continued to follow the same level as 2014/15. It is anticipated that contracts and costs are likely to increase in future years due to global inflationary pressures and the impact of the increase in the living wage.

5.3 A one off underspend of £200,000 is projected in relation to pressures contingency. An underspend of £330,000 within the Council Tax Reduction Scheme is projected due to a reduction in caseload figures within Inverclyde. This is in line with the rest of Scotland and was reported to the May Policy & Resources Committee.

5.4 It can be seen from Appendix 1 that 3 Service Committees are currently projecting underspends, the Health and Social Care Committee is currently projecting a small overspend.

5.5 In summary the main issues relating to the four Service Committees are as follows:-

Policy & Resources Committee – Projected underspend of £2,475,000 (15.28%) mainly due to the significant projected under utilisation of the pay and non-pay inflation contingency, one off saving projected within the pressures contingency, a projected over recovery of benefit subsidy, prior year Council Tax income, over recovery of IRI income and statutory additions income. All these issues are factored into the 2016/18 draft budget.

Environment & Regeneration – Projected underspend of £154,000 (0.75%) mainly due to excess turnover savings projected due to early achievement of planned savings, an underspend in roads client electrical power, an underspend within residual waste contract due to a reduction in waste tonnage treated offset by a shortfall in property physical assets rental income and Roads Client sales, fees and charges.

Education & Communities - £626,000 (0.74%) projected underspend mainly due to an underspend in Education Early Years due to vacancies, additional turnover savings and a projected over recovery of school meal income and income from Other Local Authorities. This has been partially offset by a projected overspend for Teachers due to increased roll and placing requests.

Health & Social Care – Projected overspend of £137,000 (0.28%) mainly due to increased client package costs within external homecare and an overspend within the homelessness service due to under occupancy of temporary furnished accommodation. Costs have been partially offset by vacancies within internal homecare and an underspend within residential and nursing due to a change in client profiles.

5.6 Appendix 2 shows the latest position in respect of the Earmarked Reserves and provides information on performance against phased budget. The Committee is asked to note that the phasing will not be amended during the year and should provide a useful benchmark for Officers and Members to monitor performance against originally envisaged targets. The Earmarked Reserve statement excludes those funds that relate to Assets Plans or Strategic Funds.

- 5.7 It can be seen that as at 30<sup>th</sup> November 2015 the Council has spent £1.683 million against a phased budget target of £3.170 million. This represents slippage of 46.91% and spend equates to 20.36% of the projected spend for 2015/16. The slippage is a result of a delay in a single payment which has now been made and this brings spend back on target. Performance in respect of Earmarked Reserves is reviewed by the Corporate Management Team and reported in detail to each Service Committee.
- 5.8 Appendix 3 shows the projected General Fund Reserves position as at 31<sup>st</sup> March 2016. The projected balance at this date is shown as £5.968 million which is £1.968 million greater than the minimum reserve balance of £4 million recommended and approved via the Reserves Strategy.
- 5.9 Appendix 3 reflects decisions taken at Policy & Resources Committee on 22<sup>nd</sup> September 2015 and 17<sup>th</sup> November 2015 on use of free reserves.

## 6.0 OTHER FINANCIAL MATTERS

- 6.1 It was approved at the full Council Meeting on 19<sup>th</sup> February 2015 that the Members Budget Working Group will continue to meet throughout 2015/16 to develop proposals to balance the 2016/18 budget with the aim of eliminating the use of reserves in 2016/17. A report elsewhere on the agenda provides an update on progress.
- 6.2 The Scottish Government announced its funding plans for 2016/17 in December 2015. The announced resulted in a significant funding reduction which was considerably worse than anticipated. The Council is scheduled to meet to approve the 2016/17 budget on 18<sup>th</sup> February 2016.

## 7.0 CONSULTATION

- 7.1 This report reflects the detailed budget reports to each Committee.

## 8.0 IMPLICATIONS

### 8.1 Finance

#### One off Costs

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

#### Annually Recurring Costs

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

### 8.2 Legal

None

### 8.3 **Human Resources**

None

### 8.4 **Equalities**

None

### 8.5 **Repopulation**

None

## 9.0 **BACKGROUND PAPERS**

9.1 None



## Policy &amp; Resources Committee

## Revenue Budget Monitoring Report

Position as at 30th November 2015

Committee	Approved Budget 2015/2016	Revised Budget 2015/2016	Projected Out-turn 2015/2016	Projected Over/(Under) Spend	Percentage Variance
	£,000's	£,000's	£,000's	£,000's	
Policy & Resources	18,835	16,197	13,722	(2,475)	(15.28%)
Environment & Regeneration	22,196	20,638	20,484	(154)	(0.75%)
Education & Communities ( <b>Note 1</b> )	89,665	84,885	84,259	(626)	(0.74%)
Health & Social Care	48,767	49,642	49,779	137	0.28%
<b>Committee Sub-Total</b>	<b>179,463</b>	<b>171,362</b>	<b>168,244</b>	<b>(3,118)</b>	<b>(1.82%)</b>
Loan Charges (Including SEMP)	13,935	17,825	17,825	0	0.00%
Unallocated Savings	0	0	0	0	0.00%
Contribution to General Fund Reserve	2,588	2,588	2,588	0	0.00%
One off contribution to Reserves ( <b>Note 2</b> )	0	298	0	(298)	(100.00%)
Contribution to / (from) Statutory Funds	(240)	(285)	(285)	0	0.00%
Post Budget Adjustments ( <b>Note 3</b> )	109	109	109	0	0.00%
Earmarked Reserves	0	4,856	4,856	0	0.00%
<b>Total Expenditure</b>	<b>195,855</b>	<b>196,753</b>	<b>193,337</b>	<b>(3,416)</b>	<b>(1.74%)</b>
<b>Financed By:</b>					
General Revenue Grant/Non Domestic Rates	(169,201)	(170,019)	(170,345)	(326)	0.19%
Council Tax	(33,347)	(33,427)	(33,427)	0	0.00%
Council Tax Reduction Scheme	6,693	6,693	6,500	(193)	(2.88%)
<b>Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>(3,935)</b>	<b>(3,935)</b>	

Note 1 - Reduction reflects loans charges and earmarked reserves.

Note 2 - Council contribution to Council Tax Reduction Scheme offset by Former Tied Houses.

Note 3 - Increase in band d equivalent factored into free reserves 2015/16.

Earmarked Reserves Position Statement

Appendix 2

Summary

<u>Committee</u>	<u>Total Funding 2015/16</u>	<u>Phased Budget to 30 November 15</u>	<u>Actual Spend To 30 November 15</u>	<u>Variance Actual to Phased Budget</u>	<u>Projected Spend 2015/16</u>	<u>Earmarked 2016/17 &amp; Beyond</u>	<u>2015/16 %age Spend Against Projected</u>	<u>2015/16 %age Over/(Under) Spend Against Phased Budget</u>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>		
Education & Communities	6,113	1,723	290	(1,433)	4,146	1,967	6.99%	(83.17%)
Health & Social Care	2,600	852	808	(44)	2,305	295	35.05%	(5.16%)
Regeneration & Environment	2,643	332	310	(22)	1,293	1,350	23.98%	(6.63%)
Policy & Resources	1,581	263	275	12	523	1,058	52.58%	4.56%
	12,937	3,170	1,683	(1,487)	8,267	4,670	20.36%	(46.91%)

**Actual Spend v Phased Budget      Underspend = (£1,487k)      (46.91%)**

**Appendix 3**

**GENERAL FUND RESERVE POSITION**  
**Position as at 30/11/15**

	<u>£000</u>	<u>£000</u>
Balance 31/03/15		12148
Projected Surplus/(Deficit) 2015/16	3935	
Contribution to General Fund Reserve 2015/16	2588	
CFCR Transfer from Capital Programme 2015/16	1260	
Use of Reserves approved February 2014 (See Undernote)	(5703)	
Use of Reserves approved February 2015 (See Undernote)	<u>(5305)</u>	(3225)
<i>Use of Reserves Approved P&amp;R September 2015:</i>		
Developing Young Persons Workforce	(87)	
Removal Contaminated Waste former Greenock Academy Site	(420)	
Increased Funding Inverkip Community Facility	(100)	
Bakers Brae Realignment (subject to successful RCGF bid)	(1000)	
Port Glasgow/Broomhill (subject to successful RCGF bid)	(1000)	
Birkmyre Park Drainage (subject to contribution from St Columbas)	<u>(100)</u>	(2707)
<i>Use of Reserves Approved P&amp;R November 2015:</i>		
Former Tied Houses		(248)
Projected Unallocated Balance 31/03/16		<u><u>5968</u></u>

**Minimum Reserve required is £4million**

**Excludes approved temporary use of Reserves in 2016/17 of £3.298m.**

Approved Usage February 2014:

Increased expenditure on Roads Defects and Drainage over 14/16	(500)	
Increased Funding for Regeneration Projects:		
Lower Port Glasgow	(500)	
East Central Greenock	(500)	
Central Gourrock	(150)	
Employability	(400)	
Commonwealth Flotilla Event	(250)	
Play Area Investment	(150)	
Birkmyre Park, Kilmacollm, Rugby Pitch / Drainage improvements	(100)	
Broomberry Drive Walled Gardens - provision of modular toilet	(40)	
Further investment in I Zone (Port Glasgow & Gourrock)	(213)	
Ravenscraig Sports Barn	(600)	
SEMP - increase investment in MUGAs within Primary School Estate	(1100)	
Create Loan Charge EMR to meet spike in Loan Charges from 16/17	<u>(1200)</u>	(5703)

Approved Usage February 2015:

Increase to Voluntary Severance/ Early Retiral Reserve	(1250)	
Increased allocation to Birkmyre Park Drainage Project	(150)	
Funding for Equipment - Adults with Learning Difficulties	(40)	
2 Year Extension to 2 x Specialist Posts	(167)	
Scottish Wide Area Network - One off Costs	(323)	
Part Year Costs - Ravenscraig Sports Barn	(40)	
Flooding - Next Phase	(950)	
Rankin Park Cycle Track	(150)	
Substitute Funding - Riverside Inverclyde	(250)	
Substitute Funding - Common Good	(35)	
Beacon Contract and Core Funding	<u>(1950)</u>	(5305)

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<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/13/16/AP/LA</b>
<b>Contact Officer:</b>	<b>Brendan Hurrell</b>	<b>Contact No:</b>	<b>01475 712654</b>
<b>Subject:</b>	<b>Procurement Update</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of the report is to update Committee on developments within Procurement including developments regarding the new Procurement Strategy.

## 2.0 SUMMARY

- 2.1 Committee approved the new Procurement Strategy and resultant Action Plan for the period 2015/18 in September 2015. This Strategy will assist the Council in managing changes in public sector procurement and with tendering and contract requirements.
- 2.2 The Action Plan is attached in Appendix 1 with updates against each of the actions that have been agreed.
- 2.3 The outstanding Procurement Work stream savings of £19,000 against a total target of £313,000 for 2013/16 have now been achieved. The summary of all savings is contained in Appendix 2. It should be noted that the draft 2016/18 budget contains a further £28,000 saving.
- 2.4 The Procurement & Commercial Improvement Programme (PCIP) will replace the previous Procurement Capability Assessment (PCA) during 2016. The PCIP focuses on the policies and procedures driving procurement performance and more importantly, the results they deliver. This new assessment involves a new question set and new scoring and performance bandings. More details on PCIP are given in Appendix 3.
- 2.5 The new Procurement Regulations in Scotland will take effect from the 18th of April 2016. A summary of the new Regulations is contained within section 6 of this report.

## 3.0 RECOMMENDATIONS

- 3.1 That the Committee note progress on the Procurement Strategy.
- 3.2 That the Committee note the progress made in savings delivery.
- 3.3 That the Committee note the changes highlighted in the new Procurement Regulations.

**Alan Puckrin**  
**Chief Financial Officer**

## **4.0 BACKGROUND**

- 4.1 A key requirement in the development of Procurement is that the Council requires to develop an ongoing Procurement Strategy. Previous versions of the Procurement Strategy have been approved by Committee and the actions monitored and reported to Committee.
- 4.2 Procurement has improved each year since 2010 as evidenced by increasing Procurement Capability Assessment scores each year. The Procurement Capability Assessment (PCA) has now been replaced by a new test. The PCIP focuses on the policies and procedures driving procurement performance and more importantly, the results they deliver. This new assessment involves a new question set and new scoring and performance bandings.
- 4.3 The new rules that govern public procurement in Scotland will change in April. The new regulations result from the Procurement Reform Act. The Procurement Strategy has been put in place with these new procurement regulations and the new (PCIP) assessment in mind.

## **5.0 RECENT PROGRESS**

- 5.1 The new Strategy is attached as Appendix 1 and is split into discrete sections and where appropriate, actions against each of the sections have been identified
- 5.2 A number of actions within the Procurement Strategy are related to the publication of the new procurement regulations and the subsequent statutory guidance. The delay in publication of the regulations and the guidance has delayed reviews of the Council Contract Standing Orders and other policy matters such as Community Benefits. It is expected that the Scottish Government will be publishing guidance on these matters imminently and as such, the Council can proceed with reviews in the early spring with reports coming back to Committee with recommendations in May. New target dates for implementation have been added to the Action plan in Appendix 1.
- 5.3 The focus on Contract and Supplier Management has in the past delivered softer benefits and awareness of supply issues. With the likelihood of achieving savings via tender activity becoming less likely, the focus has now been put on obtaining savings from existing contracts. The Procurement Board will review a report in March that segments the Councils suppliers by risk and the likelihood of achieving in contract savings and efficiencies.
- 5.4 Separate Committee reports give detailed updates on the Governance of External Organisations with an annual summary report to the Policy and Resources Committee. The Governance process was put in place to monitor the governance of key External Organisations with whom the Council has a significant financial relationship but it also assesses the performance of these organisations who provide services directly to the residents of Inverclyde. This forms part of the supplier management process for these organisations and works in tandem with the Council's over-arching supplier management framework.
- 5.5 The Corporate Procurement Manager has been representing the Council at City Deal meetings with partner Local Authorities. Various Meet the Buyer events at each Local Authority are being planned with Inverclyde scheduled to hold an event in June. This event will give local suppliers a chance to engage with the Councils on City Deal and hear about contract and sub contract opportunities that they will be encouraged to bid for.

## **6.0 PROCUREMENT REGULATIONS**

- 6.1 Regulations transposing the public procurement directive have been laid in the Scottish Parliament and will take effect on 18 April 2016. These regulations flow from the new EU directives on procurement and the Procurement Reform Act (Scotland) 2014. The Act also provides for Scottish Ministers to publish statutory guidance on the selection of tenderers and award of contracts; the sustainable procurement duty; the carrying out of regulated procurements relating to contracts for health or social care services; the preparation and publication of procurement strategies and annual procurement reports; and the use of community benefit requirements. This further guidance will become available in the early spring and officers anticipate advising members of any changes that are required to be implemented via planned

reports on changes to the Contract Standing Orders and other policies in May.

- 6.2 Some of the changes brought about by the new public procurement directive are mandatory for all member States, and we have no choice about how to implement them in Scotland. These include –
- a) The minimum time limits for procurement exercises have been reduced, meaning that contracts can be put in place more quickly.
  - b) The minimum level of annual turnover which a contracting authority can require a business to have in order to bid will now be limited to no more than two times the value of the contract, apart from in exceptional circumstances. This should have the effect of making it easier for smaller businesses to bid for public work. The Council is already compliant with this requirement.
- 6.3 The public procurement directive provides some options about how best to transpose other changes. The Scottish Government has now published its response to the outcome of that consultation. There was strong support expressed for the proposals the Scottish Government put forward as part of that consultation, and so the regulations reflect those proposals, including:
- a) The Scottish Government believes that blacklisting of workers is an unacceptable practice, and so has decided to use the flexibility offered by the public procurement directive to make it mandatory for contracting authorities to exclude businesses from procurement exercises which have been found to have committed an act prohibited under the Employment Relations Act 1999 (Blacklists) Regulations 2010, or which have admitted doing so. Inverclyde Council are compliant with previously issued Scottish Government Guidance on Blacklisting. This previous guidance was that contractors engaged or have engaged in blacklisting should be excluded from bidding for a public contract unless the contractor can demonstrate it has taken appropriate remedial steps. The Council also introduced a standard clause allowing contracts to be terminated where contractors had been found to be participating in blacklisting during the contract term.
  - b) The public procurement directive introduces a new requirement that all communication as part of a procurement procedure should be by electronic means, except in some specific cases where this would not be practicable. This requirement will commence on 18 April 2017 for central purchasing bodies, and 18 October 2018 for all other contracting authorities, thereby giving all concerned sufficient time to prepare (these are the dates by which the public procurement directive requires electronic communication). The Council continues to progress electronic tendering and would currently comply with this requirement though further enhancements are being explored via work on the Procurement Strategy.
  - c) A contracting authority must now consider dividing its requirements into smaller lots, which might encourage smaller businesses to bid. Where an authority decides not to do this, it must explain why it has not done so. Contracting authorities will be able to award more than one lot to the same tenderer, and may award contracts combining several or all lots when they have indicated in the contract notice that they might do this. The Council already do this but more attention should be paid to ensure this is an area of focus in each and every tender.

## **7.0 PROCUREMENT SAVINGS**

### **Finance**

- 7.1 Appendix 2 shows the position in respect of savings planned during 2014/16. From this it can be seen that the savings target has been over achieved. More recent savings are as a result of the new national Water and Waste Water supply contract that has been tendered by the Scottish Government and awarded to Anglian Water.
- 7.2 A further savings target for 2016/2018 of £28,000 has been agreed and the over-recovery will be scored against this target.

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**

7.3 There are no matters of a legal nature arising from this report.

**Human Resources**

7.4 There are no matters of a HR nature arising from this report.

**Equalities**

7.5 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.

**Repopulation**

7.6 A Procurement Strategy which supports local opportunities will have a positive impact on the Council's Repopulation agenda

**8.0 CONSULTATIONS**

8.1 None.

**9.0 LIST OF BACKGROUND PAPERS**

9.1 None

		<p><b>Procurement Action Plan</b></p> <p>A range of activities have been identified which will allow the Council to achieve the objectives and outcomes set out in the previous section. These are divided into the following three areas, more detail on which can be found in the following tables:</p> <p>a) Strategy, Policy and Advice  b) People and Organisation  c) Processes &amp; Systems</p> <p><b>a) Strategy, Policy and Advice</b></p> <p>In light of the significant changes being driven by the reduction in the Councils budget, the Procurement Team will be working with Council Services during the year to undertake a strategic review of procurement within the Council and identify how it can add most value to support delivery of the Council's strategic priorities.</p> <p>We will continue to act as the procurement centre of expertise for the Council and develop clear procurement policies, providing guidelines to employees on how to purchase goods, services and works. We will also continue to ensure compliance with relevant legislation and integration with Council policies and processes.</p>				
	<b>Issue</b>	<b>Action</b>	<b>Original Target Date</b>	<b>New Target Date</b>	<b>Who By</b>	<b>Update 17/11/15</b>
1.	<b>Procurement Strategy 2015/18</b>	The Procurement Team will work with the Council Services to build a deep understanding of the strategic challenges and opportunities and to identify how procurement can best support the delivery of Council strategic priorities. The conclusions and agreed changes in the Council's approach to procurement resulting from this review process will form the basis of a new Procurement Strategy for 2015/18.	New Strategy approved by September 2015	Complete	Procurement Board/ CMT and Committee	Complete
2.	Individual contract strategies being prepared for spend above £50k.	All spend above will have a contract strategy agreed prior to advertising.	Ongoing	Ongoing	Services/ Procurement Team	Ongoing.



3.	<p><b>Community Benefits</b> With a view to increasing community benefits achieved through contracts tendered by the Procurement Team Committee approved the recommendations to, where possible, implement a total of 5% evaluation weighting for community benefits within construction and infrastructure procurements over £1m.</p>	Procurement Team will review further areas and spend levels and report back to the Committee with proposals.	Update/Review report to Committee due by January 2016	May 2016	Procurement Manager/ Head of Service Regeneration and Planning	Report delayed until new statutory guidance is issued by the Scottish Government.
4.	<p><b>Local employment</b> <b>The Living wage</b> The Council are committed to encouraging payment of the Living Wage to all employees working for or servicing the Council. This is promoted through all tender exercises conducted by the Procurement Team</p>	Procurement Team will review the use of the procurement approach to the Living Wage with partners and other Local Authorities and adopt further changes if necessary	Report due to Committee before end of 2015 on new Procurement Regulations	May 2016	Procurement Manager and HOS Legal and Property Services	Report delayed until new statutory guidance is issued by the Scottish Government
5.	<p><b>Standing Orders – Contract</b> Standing Orders are revised</p>	Revise in line with new EU legislation and Directives when fully implemented.	New CSOs to be in place by end of 2015.	May 2016	Head of Service Legal and Property Services	Report delayed until new statutory guidance is issued by the Scottish Government

6.	<b>Document Standardisation</b>	Documentation to be kept up to date according to legislation and lessons learned.	Ongoing and review to 2018	Ongoing	Procurement Manager and Services at DPO meeting every 6 weeks	Ongoing
7.	<b>Supplier Management</b> Refresh Supplier management/ Governance for the top high value and/or high risk suppliers in each service.	A review of the supply base is underway in 2015 to consider the contracts currently being managed from a high value, high complexity and/or high risk perspective. The aim is to establish if Procurement Team is managing the correct contracts and how this process interacts with Governance of external organisations.	December 2015	March 2016	Procurement Manager/ Procurement Board	Suppliers require to be segmented by risk and as such report will come to next Procurement board in March.
8.	<b>Sustainability</b> Refresh and consolidate Sustainability policy and action plan.  The Council has a Corporate Sustainability Policy (CSR), with recommendations to incorporate CSR in all strategies; where relevant. This has not been fully rolled out and is not consistent.  Policy requires to be refreshed and consolidated	Sustainability policy and action plan to be embedded. Sustainability is built into the procurement process. Implementation of the Sustainability Policy will ensure consideration at contract strategy stage.  CSR and Sustainability rolled out and included as a consideration at a contract strategy stage; where relevant. Introduction and implementation initiatives such as: <ul style="list-style-type: none"> <li>• Ongoing Supplier events for SME's to cover areas of concern and help educate on how to become a supplier to the Council.</li> <li>• 50% of suppliers selected in the quick quote process will be local (where possible).</li> <li>• Policy for dealing with Supported</li> </ul>	June 2016	June 2016	Procurement Manager/ Procurement Board/ Committee	Discuss at Procurement Board in March with further review in June

		Business				
		Encourage main contractors to engage with local suppliers and SME's.				

### b) People and Organisation

Effective implementation of the strategy is dependent on having staff with the right skills and experience in place and on a close working relationships with the Procurement Team

	Issue	Action	Target Date	New Target Date	Who By	Update 17/11/15
<b>1.</b>	<u>Training</u> The Procurement Team have secured a training budget year over the last 3 years to ensure staff are professionally trained and staff are encouraged to achieve certification with the Chartered Institute of Purchasing and Supply (CIPS).	During the period 2015/18 it is intended to continue providing professional training for Procurement Team staff. Procurement Team focuses on training staff within Services and providing training and information to suppliers and third sector partners. <ul style="list-style-type: none"> <li>Roll out e-learning course and ensure all officers involved in procurement have passed.</li> <li>Ensure All Procurement staff have undertaken training in the latest updates to the Procurement reform bill and EU legislation.</li> </ul>	March 2017	March 2017	Procurement Team and Designated Procurement Officers	Ongoing- online e-learning tool now available. Specific training to be completed for officers involved in procurement on the new regulations.

2.	<u>Engagement with Services</u> The Procurement Team has developed effective working relationships with Services. However, this could be further developed with more formal communication and regular meetings.	Strengthen the ongoing operational engagement between the Procurement Team and Service management teams to ensure Procurement Team fully understands service priorities and challenges and is best able to highlight areas where procurement innovation can help support the delivery of Service objectives in the short to medium term	Review at Procurement Board June 2016 And ongoing review to end of 2018	Review at Procurement Board June 2016 And ongoing review to end of 2018	Procurement Team and Designated Procurement Officers/ Procurement Board	Review at Procurement Board June 2016
3.	<u>Compliance</u> New EU Procurement Directive came into force in April 2014 The New Regulations are expected to be in place by the end of 2015.	Ensure all updates are implemented where not already in place by the completion date e.g. <ul style="list-style-type: none"> <li>• Agree revisions required to the procurement strategy on an annual basis.</li> <li>• Continue to promote e-tendering for all tenders.</li> <li>• Continue to consider lot structure within tenders to ensure quality and opportunity for SMEs.</li> <li>• Implement new rules for Part B services.</li> <li>• Increase market research at strategy stage.</li> <li>• Consider how to incorporate new rules within tendering and evaluation.</li> </ul>	Dec 2015	March 2016	Procurement Team and Designated Procurement Officers/ Procurement Board	National release of new procurement regs has slipped so report due to Q1 Procurement Board

4.	<p><u>Collaboration</u> The Council makes use of many of the contracts put in place by the centres of expertise. These are mainly Scotland Excel, Scottish Government and the Crown Commercial Service (CCS).</p> <p>The Council is now actively working with Scottish Future Trust (SFT) Hub initiative and should ensure all communication and joint work leads to a successful conclusion.</p> <p>The Council is part of the City Deal project</p>	<ul style="list-style-type: none"> <li>• Ensure the best possible pricing is being obtained from frameworks</li> <li>• Communication, collaboration and sharing of best practice with other Local Authorities.</li> <li>• Continue to work with the (SFT) Hub West Scotland to ensure successful conclusion of two Primary schools.</li> <li>• Regular meetings are held with City Deal partners and Local Authorities</li> </ul>	Review at quarterly Procurement Board and report to Committee	Review at quarterly Procurement Board and report to Committee	Procurement Manager/ Procurement Board	Tender workplan reviewed at Procurement Board 24/11/2015
5.	<p><u>Serious organised crime accessing public funds through public procurement</u></p>	<p>Work with Police Scotland, Scottish Government and partner public bodies to ensure that measures are in place to avoid serious organised crime getting access to public funds.</p> <p>Share tender workplan with Police Scotland</p>	Review tender Workplan every 6 months	Review tender Workplan every 6 months	Head of Service Legal and Property Services	Date of first review to be agreed at Procurement Board 24/11/2015

**c) Process & Systems, P2P, Benefits Tracking, E-Procurement**

This element of the strategy is essential if the Council is to achieve the efficiencies identified. If we do not have detailed processes and systems, which

are adhered to, savings achieved through the tender process will not materialise.

	<b>Issue</b>	<b>Action</b>	<b>Target Date</b>		<b>Who By</b>	
<b>1.</b>	<b><u>Purchase Cards</u></b>	<ul style="list-style-type: none"> <li>• Increase the rebate on purchase cards by increasing the volume of spend</li> <li>• more use of Pcards instead of non-matched payments</li> </ul>	December 2016	December 2016	Procurement Team/ Services/ Creditors	Procurement and Finance have met Procurement Scotland with a view to a P2P review. Business Case to be prepared.
<b>2.</b>	<b><u>Electronic Invoicing</u></b> Legal requirement to have electronic invoicing in place by 2019	Ensure e-invoicing is in place by 2019 by working with Scottish Government and Finance System supplier.	December 2018	December 2018	Procurement Team/ Services/ Creditors	Procurement and Finance have met Procurement Scotland with a view to a P2P review. Business Case to be prepared.
<b>3.</b>	<b><u>E-Procurement eTendering</u></b>	Ensure Public Contracts Scotland – tender system known as pcs-t, is fully rolled out to all services	August 2017	August 2017	Procurement Team/ Legal/ Designated Procurement Officers	Ongoing. Property Officers now receiving training.

## Appendix 2

Commodity	New Supplier	Start Date	Annual Spend/ (Income)	Achieved or Planned	New Projected 2014/16 Savings	Full Year Savings
Software	Northgate	01/04/14	£85,000	A	£3,000	£3,000
Mobile Phones	Vodafone	01/04/14	£70,000	A	£4,000	£4,000
School Transport	SPT	01/08/14	£160,000	A	£3,000	£3,000
PPE	Parker Merchant	01/04/14	£46,000	A	£16,000	£16,000
Waste Recycling	Greenlight	01/07/14	£154,000	A	£18,000	£18,000
Water	Anglian Water	01/03/16	£400,000	A	£3,000	£28,000
High Volume Print	Critiqom	01/09/2016	£60,000	A	£2,000	£2,000
Multi Function Devices	Konica	01/06/14	£400,000	A	£16,000	£75,000

Savings Summary (2014/16)

Savings Achieved	£ 149,000
Savings Target	<u>138,000</u>
Savings to be Achieved	-11,000

## Appendix 3

# The Procurement & Commercial Improvement Programme (PCIP)

## Overview

The Procurement & Commercial Improvement Programme (PCIP) replaces the previous Procurement Capability Assessment (PCA). This PCIP focuses on the policies and procedures driving procurement performance and more importantly, the results they deliver.

## Key Points to Note

- Organisations will be assessed every two years
- New question set
- New scoring and Performance Bandings
- Introduction of a Level 4 – High Performing Assessment to the Full Assessment
- The assessment results will not be comparable in any way to the previous Procurement Capability Assessment (2009-2014).
- New Assessment methodology, including information being submitted and assessed in advance of the assessment day.
- All organisations have had an opportunity to provide feedback and input to the new assessment via two separate rounds of consultation.

The Assessment Day will consist of 4 steps, listed below:

1. The organisation will be assessed against the questions and levels found below;
2. Any clarifications required of the pre-assessment and advance information will be discussed;
3. Any clarifications required of the Dashboard will be discussed;
4. Closing summary and Completion of assessment scoring and agree the next steps.

## Full Assessment Performance Bandings

Performance Band	% Score
Non-Conformance	<19%
Basic Performance	20-25%
E	26-30%
E+	31-35%
D	36-40%
D+	41-45%
C	46-50%
C+	51-55%
B	56-60%
B+	61-65%
A	66-69%
A+	>70%



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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/16/16/AP/AMCD</b>
<b>Contact Officer:</b>	<b>Allan McDonald</b>	<b>Contact No:</b>	<b>01475 712098</b>
<b>Subject:</b>	<b>ICT Services Performance &amp; PSN Update</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of the report is to update Committee on the performance of ICT Services, provide updates on a number of projects including the Scottish Wide Area Network and report on the Public Services Network (PSN) Compliance Process.

## 2.0 SUMMARY

- 2.1 ICT continues to provide a high level of service despite increasing demand from users and the reduction in resources. It has a range of ongoing projects that will improve reliability and delivery of services and is working with a number of services to identify opportunities to implement new ways of working and drive efficiencies.
- 2.2 The Servicedesk continues to deliver a high quality service that has rated highly in Customer Satisfaction exercises. There is a challenge to ensure that this is maintained in light of ongoing and increasing resource pressures. The majority of the day to day work that the servicedesk undertakes is in the Schools. With an increasing emphasis on the use technology in the classroom, ICT works closely with QIO colleagues in Education Services to ensure that the service delivers in line with educational priorities.
- 2.3 The Scottish Wide Area Network (SWAN) is a single public services network for the use of all public service organisations within Scotland. It is being delivered through a framework contract with Capita IT Enterprise Services. More than 4,600 sites will be connected to the initial network including schools, council offices, hospitals, GP surgeries, and pharmacies. The Council is now transitioning its Wide Area Network onto SWAN.
- 2.4 The Council has successfully concluded its 2015/16 PSN Connection Compliance process and has been awarded its accreditation certificate until November 2016.

## 3.0 RECOMMENDATIONS

- 3.1 That the Committee note the performance detailed in the report and supporting appendices.

**Alan Puckrin**  
**Chief Financial Officer**

## 4.0 BACKGROUND

- 4.1 As part of the ongoing restructure of the Council's Services. ICT Service became part of Finance Services on 1<sup>st</sup> April 2015.
- 4.2 ICT Services provides 5 main functions as part of its overall service:
- Servicedesk – Incident Response and Service request
  - Server and System Support
  - Network and Telecommunications
  - Application Support and Development
  - Project Management
- 4.3 The service provides support from 08:40 – 17:00 (16:30 Friday) and delivers a highly efficient and very cost effective service as evidenced by SOCITM Benchmarking where the service is consistently benchmarked as one of the lowest spending services per customer/device of all 32 local authorities.
- 4.4 The Scottish Wide Area Network (SWAN) is a single public services network for the use of all public service organisations within Scotland. The transition process is now underway and is scheduled to be completed by late February 2016 when all Council sites will be connected to SWAN.
- 4.5 The Public Services Network (PSN) provides connectivity to other public sector bodies including UK Government Departments and agencies and other public Sector bodies. As SWAN develops it is envisaged that most Scottish Public Bodies will become members and that this network will become the main route for interconnected services within Scotland. As SWAN will be connected to PSN, compliance certification remains a key requirement for the Council.

## 5.0 Performance

- 5.1 ICT Services provides a range of functions critical to the ongoing delivery of services to staff, pupils and customers of the council. Despite ongoing budgetary pressures, ICT Service has continued to meet and exceed Service level targets. Appendices 1 and 2 show the high level performance across a range of targets:
- Servicedesk Incidents
  - Servicedesk Service Requests
  - Internet and Web Access
  - Email
  - PC Refresh
  - Projects Update
- 5.2 Servicedesk Incidents. These tables shows a steady number of Incidents being received by the servicedesk on a month by month basis. The number of calls that fail to be resolved within the agreed Service Levels remain low and the overall Service Levels remain well above the current 80% target. An incident is defined as an issue that impacts directly on the ability of a member of staff, a team or service to continue to perform their job. Common examples are PC failures, Application errors, Interactive Whiteboard bulb replacements.
- 5.3 Servicedesk Service Requests. These tables also shows a steady number of Service Requests being received by the servicedesk on a month by month basis. The number of requests that fail to be resolved within the agreed Service Levels remain low and the overall remains well above the current 80% target. A Service request is defined as an additional requirement. Common examples are additional network points or equipment, office moves or the provision of a bespoke application.
- 5.4 Internet and Web Access. This report shows the number of visitors to the main council website [www.inverclyde.gov.uk](http://www.inverclyde.gov.uk). It shows an improvement in the number of pages being visited since

the website was refreshed in May 2015. These enhanced statistics detail the way the site is being used and by which type of device.

- 5.5 Email. The Council receives an average of just under 500,000 incoming emails each month. The figures in these tables show the breakdown of legitimate mail against spam messages and mail that contains viruses and malware.
- 5.6 PC Refresh Programme. The Council currently has a five year PC refresh programme. This table shows the number of devices refreshed in each of the last five years. From 2016/17 a six year refresh programme is being introduced. The 2016 Refresh programme is scheduled to begin following the conclusion of the SWAN Transition Programme.

## 6.0 IMPLICATIONS

### 6.1 Finance

#### Financial Implications:

There are no direct costs arising from this report.

#### 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					

### 6.2 Legal

There are no legal implications arising from this report.

### 6.3 Human Resources

As per the 2016/17 budget, a restructure has been approved which will deliver a £23,000 saving while improving management and delivery capacity.

### 6.4 Equalities

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.

## **Repopulation**

6.5 There are no repopulation issues arising from this report.

## **7.0 CONSULTATIONS**

7.1 None

## **8.0 BACKGROUND PAPERS**

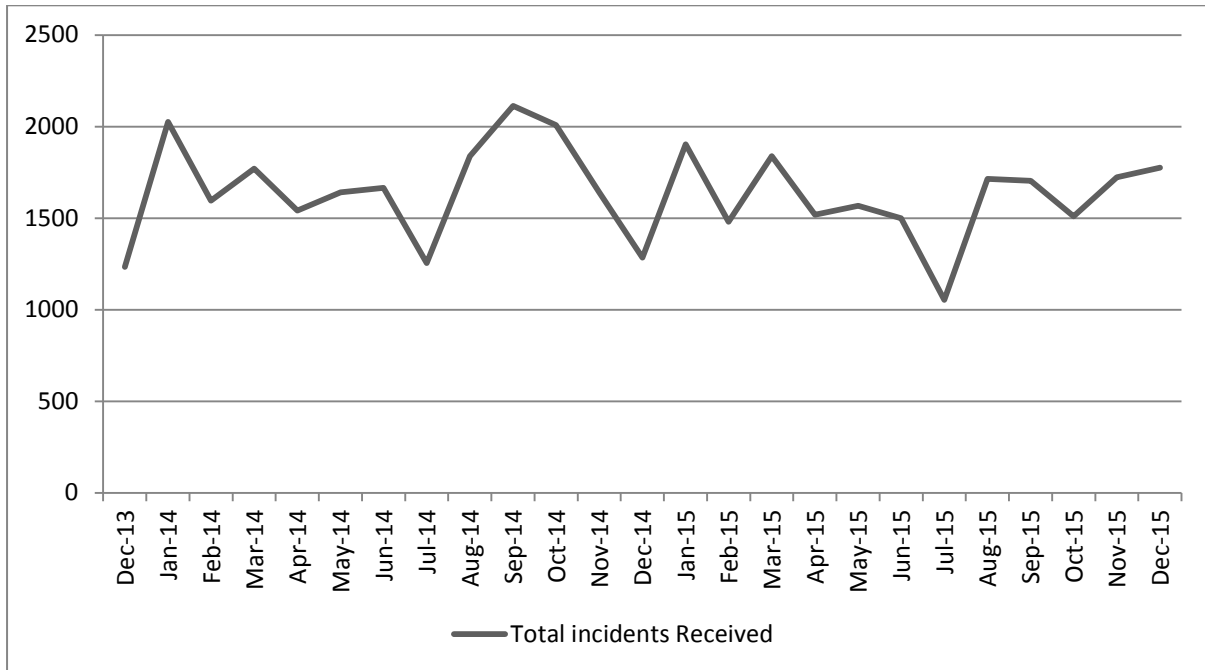
8.1 None

## Appendix 1 – Performance Statistics – 2 February 2016

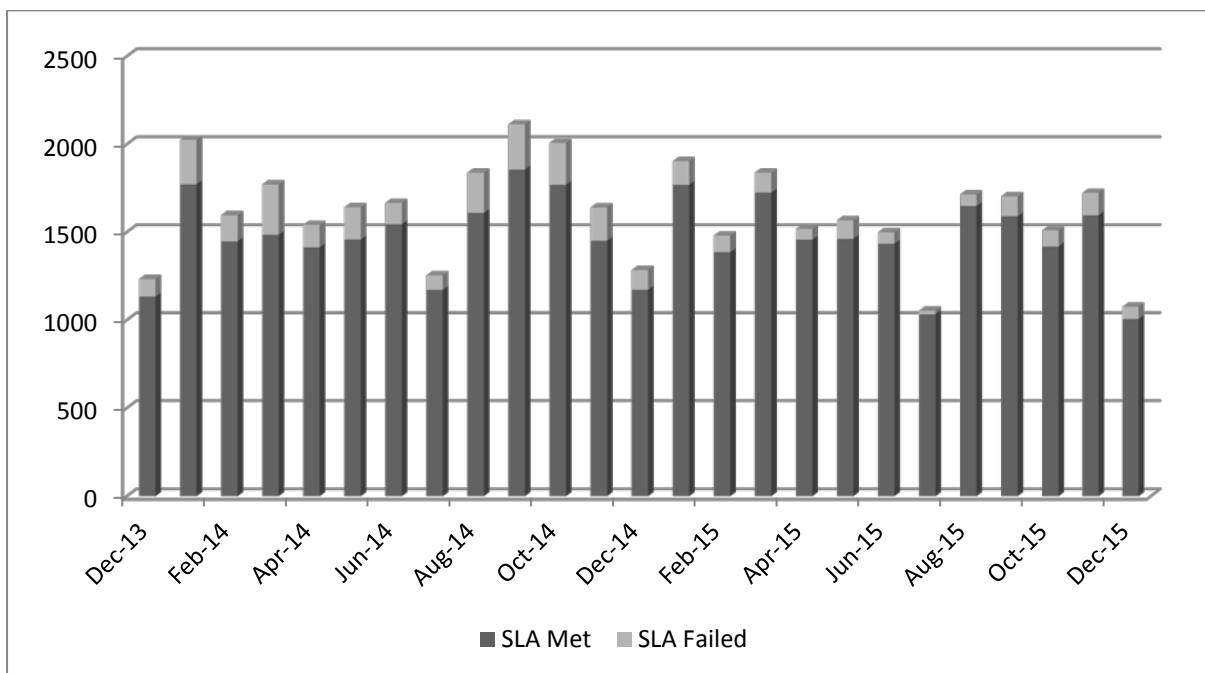
### Section 1 - Servicedesk

#### 1.1 Incidents

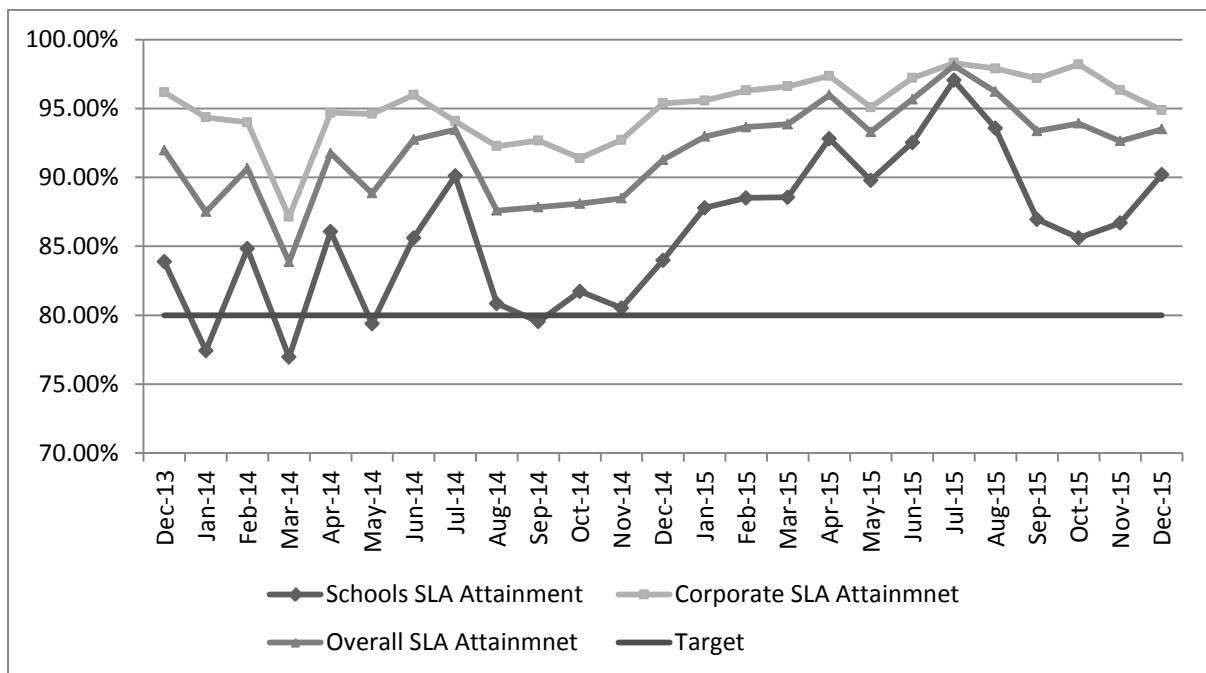
##### Incidents Received



#### 1.1.1 - Incidents Met/Failed within SLA



### 1.1.2 - Monthly Service Level Attainment - Incidents



#### SLA Details

##### VIP Users

Priority	Target Resolution Time
Critical	3 hours
High	4 hours
Normal	7 hours
Low	21 hours
Long Term	No target

##### Standard Users

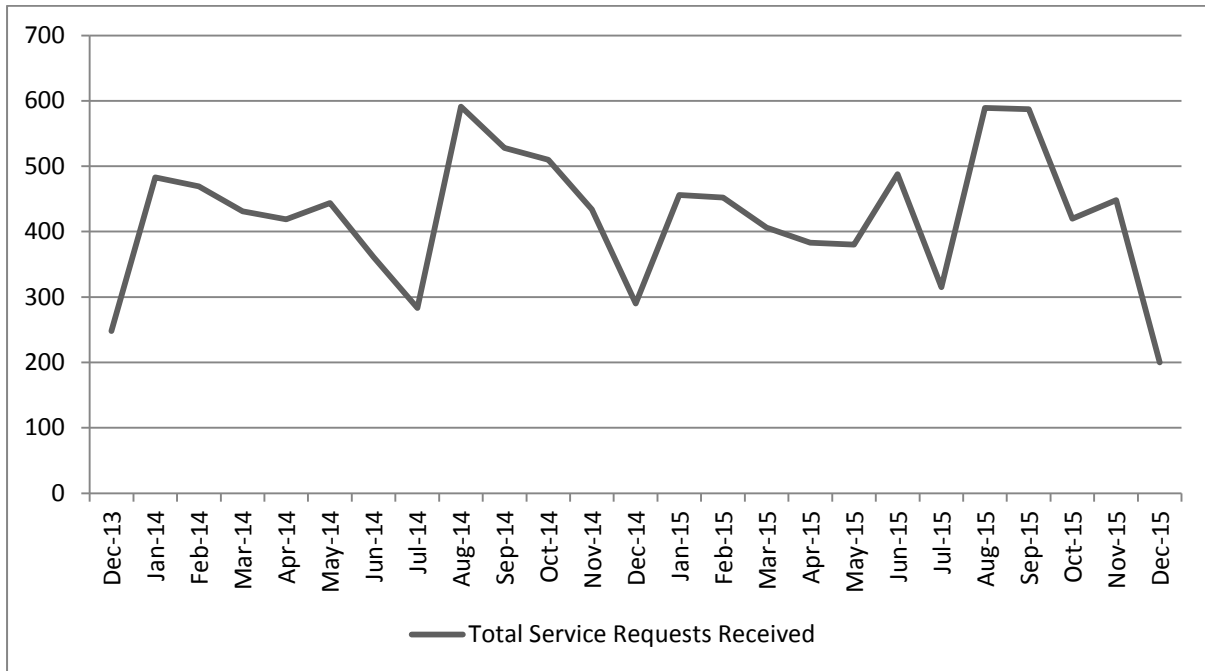
Priority	Target Resolution Time
Critical	4 hours
High	7 hours
Normal	21 hours
Low	35 hours
Long Term	No target

SLA Attainment is 80% of incidents resolved within Target Resolution Time.

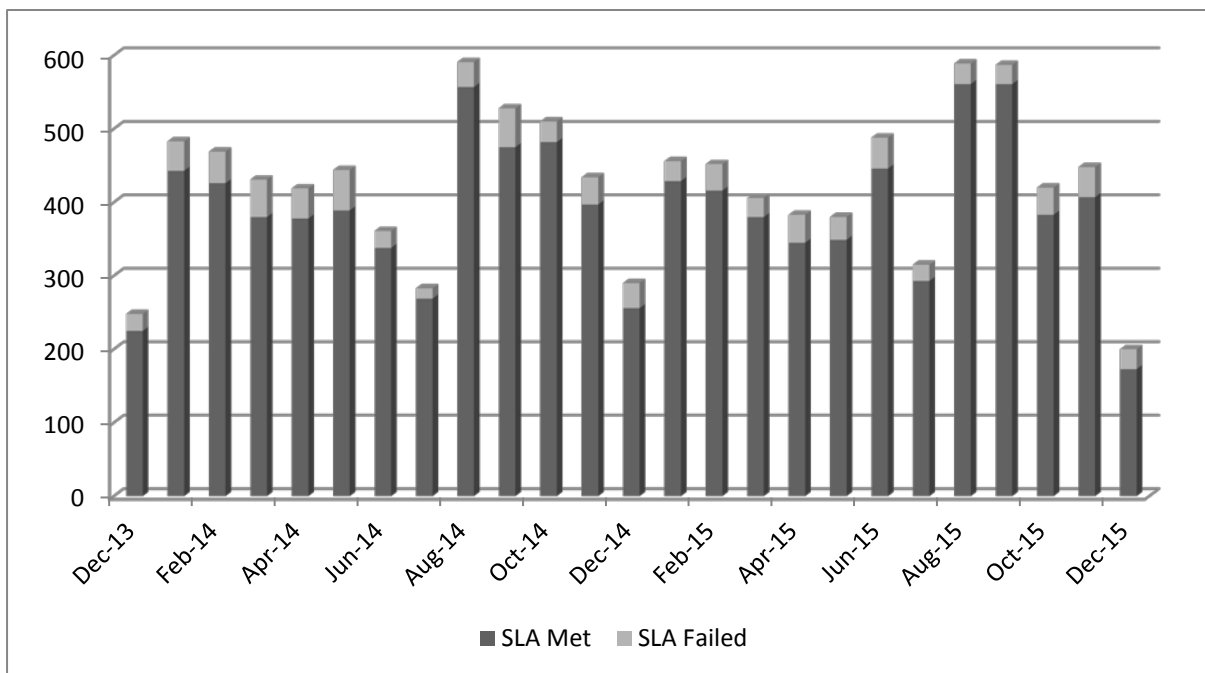
A typical Service request is unlocking a user account or password, software errors, PC faults, PDA, whiteboard and projector issues.

## 1.2 - Service Requests

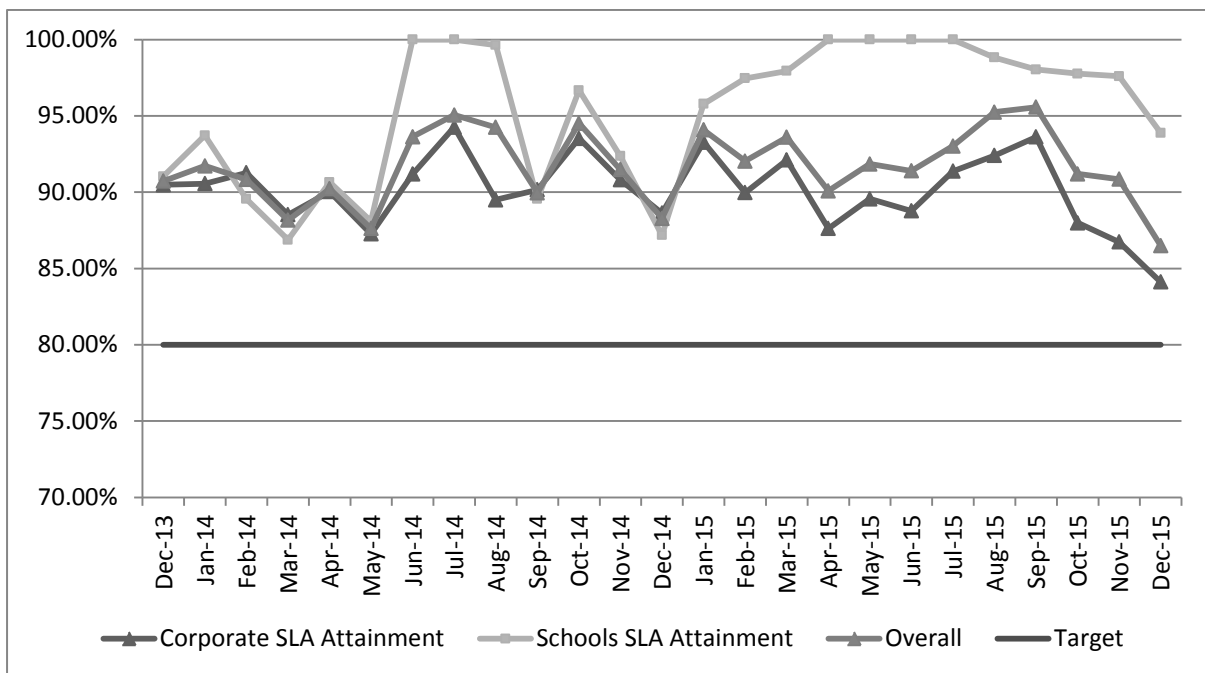
### 1.2.1 - Service Requests Received



### 1.2.2 - Service Requests Met/Failed within SLA



### 1.2.3 - Service Level Attainment – Service Requests



SLA Attainment is 80% of incidents resolved within Target Resolution Time.

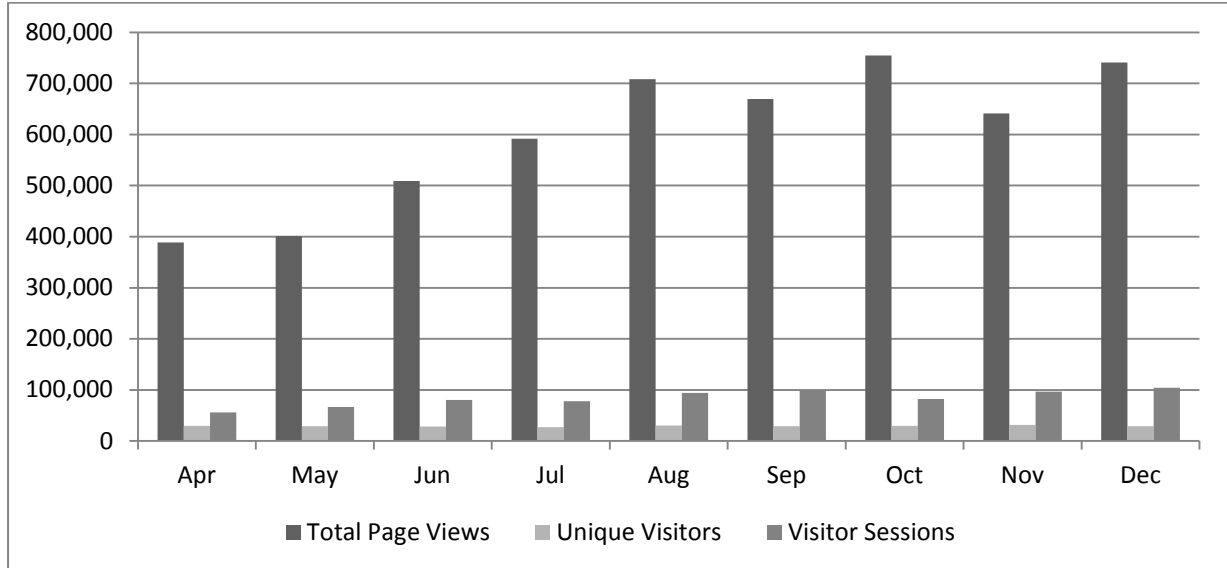
A typical Service request is provision of a new user account, a new PC or Laptop, relocation of existing services.



## Section 2 - Internet and Web Access

### 2.1 - [www.inverclyde.gov.uk](http://www.inverclyde.gov.uk) – Site Statistics

Refreshed website launched May 15 – Figures for April 15 are Pre-Launch



	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Page Views	388377	401122	508999	591627	708289	669637	754667	641444	741066
Unique Visitors	29781	29101	28248	26948	30336	28852	29493	31555	29172
Visitor Sessions	55928	66811	80088	77765	94170	98802	82340	96648	104338

**Page View:** A single view of a single web page from an individual visitor to our site.

**Unique Visitor:** Unique IP (web) address to identify our viewers.

**Visitor Sessions:** The number of times a unique visitor returns to view the site after leaving for more than 20mins.

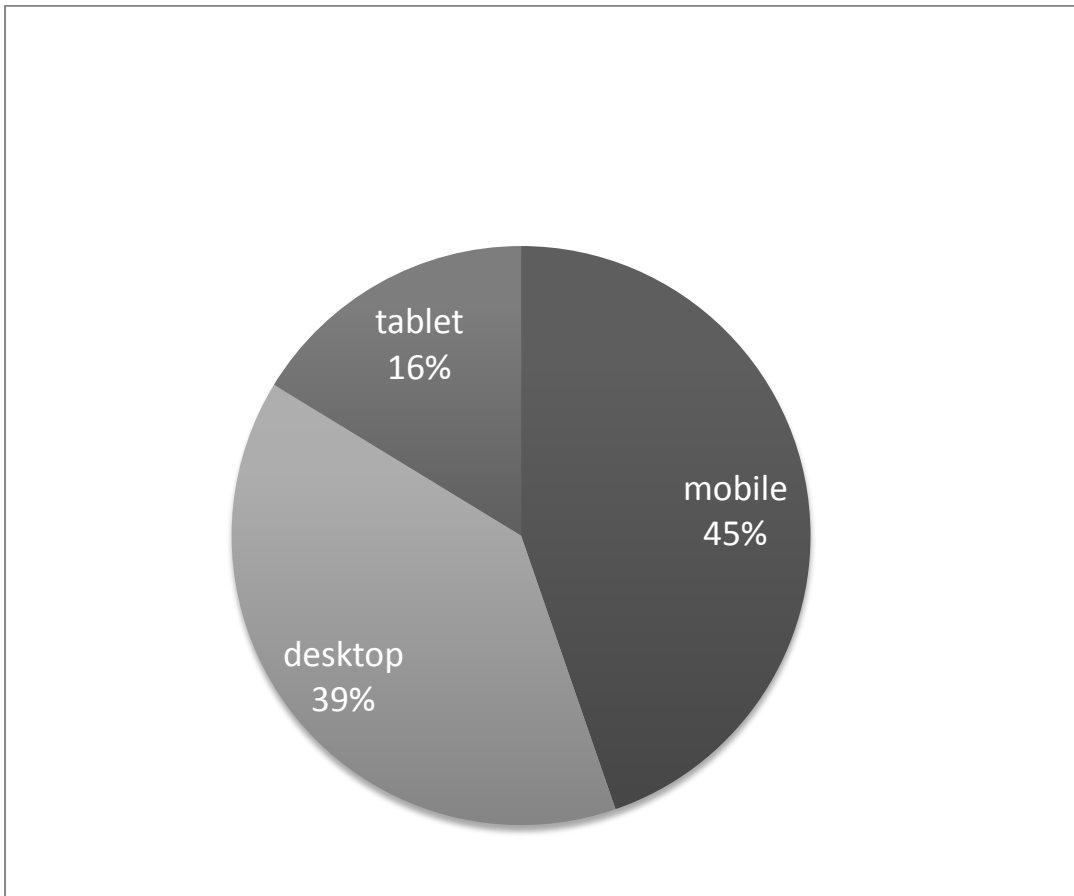
## 2.2 - Most Popular Pages Visited

Page	Pageviews
/tourism-and-visitor-attractions/victoria-tower-webcam	12992
/education-and-learning/schools/schools-holidays	4910
/environment/recycling-and-waste-services/recycling-centres	2474
/council-and-government/contact-us	2090
/environment/recycling-and-waste-services/when-are-my-bins-collected	2083
/environment/recycling-and-waste-services	2005
/education-and-learning/schools	1298
/forms	1259
/advice-and-benefits/winter	1157
/environment/recycling-and-waste-services/winter-information-2015	914
/jobs-and-careers	858
/jobs-and-careers/apply-for-a-job/essential-recruitment-information	816
/community-life-and-leisure/libraries	736
/health-and-social-care	694
/events	669
/council-and-government/council-tax	636
/council-and-government/pay-it-online	540
/committee-meetings	485
/council-and-government/pay-it-online/paying-your-council-tax	474
/environment/roads-lighting/road-works	466
/planning-and-the-environment/planning-applications/how-to-view-planning-applications	440
/jobs-and-careers/apply-for-a-job	421
/planning-and-the-environment	411
/environment/recycling-and-waste-services/general-information-about-bin-collection-and-recycling-services	400
/planning-and-the-environment/planning-applications	375
/advice-and-benefits/housing-benefit-and-council-tax-reduction	365
/council-and-government/council-tax/council-tax-bands	353
/education-and-learning	336
/environment/roads-lighting/parking-inverclyde/penalty-charge-notice-pcn	334
/community-life-and-leisure/libraries/catalogue-and-my-account	307
Certain pages such as A-Z lists, the search page etc. have been removed so that only primary content pages are shown.	

**2.3 - Top Search Terms** – these are the most common terms entered into the Search Bar on the home page:

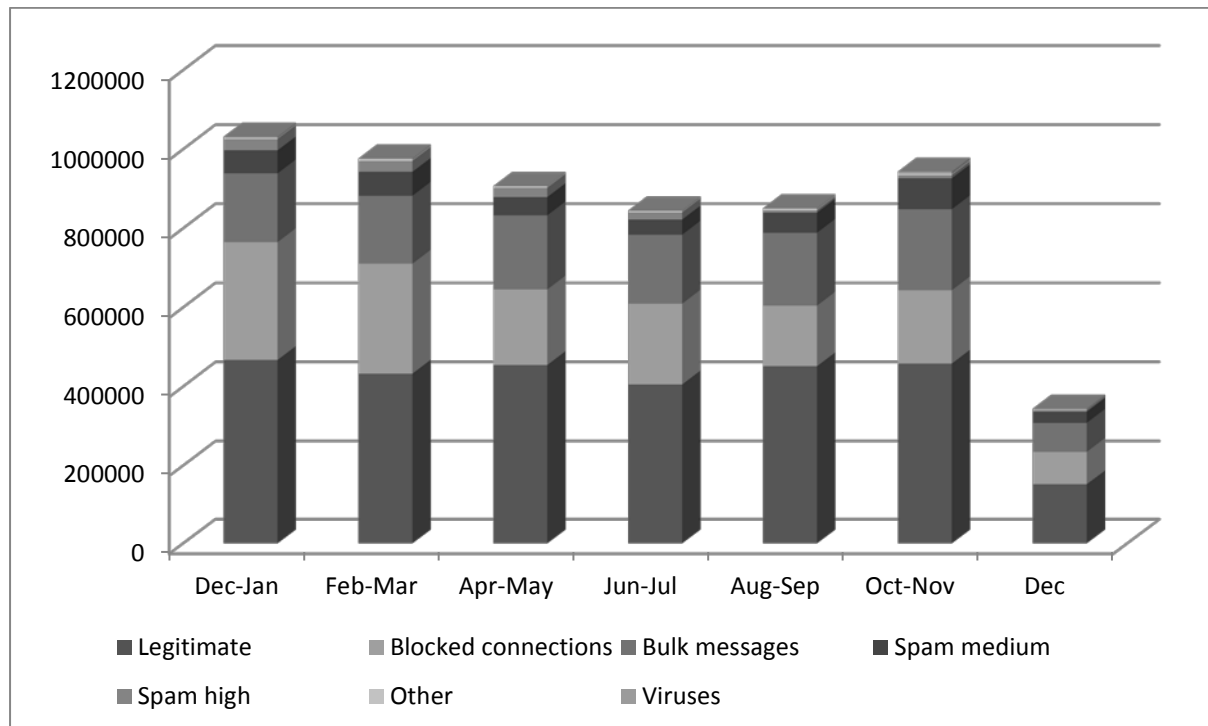
School holidays
Council tax
Bin collection
Christmas bin collection
Planning
Refuse collection
Parking
Jobs
Recycling
Vacancies
Chief executive
Christmas

**2.4 – Web Browsing by Device Categories**



## Section 3 - Email

### 3.1 - Inbound Email Volumes – Yearly Trend



	Dec-Jan	Feb-Mar	Apr-May	Jun-Jul	Aug-Sep	Oct-Nov	Dec
Legitimate	467162	432543	454348	405179	451245	458053	151765
Blocked connections	297711	277855	190897	204157	153105	185383	82711
Bulk messages	173919	171801	187484	174417	184279	204797	73417
Spam medium	58351	60657	46193	38485	51106	78427	28190
Spam high	28290	27312	23309	17859	5359	7460	3885
Other	3233	4489	3690	3202	4245	4123	973
Viruses	2803	1842	678	1618	1357	5092	3018
Totals	1031469	976499	906599	844917	850696	943335	343959

Blocked connections – sources identified as being nodes where spam originates.

Bulk messages – messages with multiple recipients, usually marketing type emails

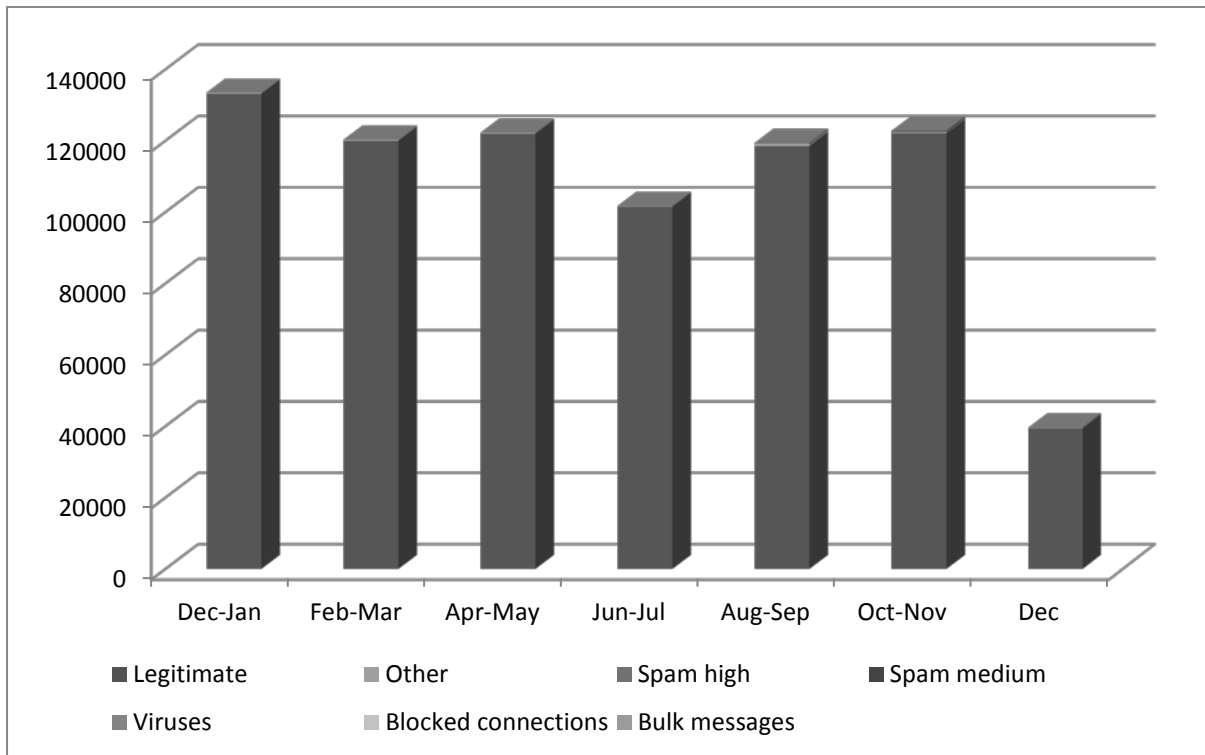
Spam medium – messages with a medium probability rating of being Spam – a message is forwarded to recipient asking if the email is to be released.

Spam high – messages identified as being with a high probability rating of being Spam – automatically quarantined.

Other – offensive or racist language, inappropriate content.

Virus – messages containing malicious software designed to disrupt system use or create a data breach.

### 3.2 - Outbound Email Volumes



	Dec-Jan	Feb-Mar	Apr-May	Jun-Jul	Aug-Sep	Oct-Nov	Dec
Legitimate	133126	119932	121932	101478	118450	122040	39338
Other	339	330	310	201	777	336	126
Spam high	1	0	0	34	81	286	187
Spam medium	11	21	21	18	78	118	21
Viruses	0	0	0	2	0	0	0
Blocked connections	0	0	0	0	0	0	0
Bulk messages	0	0	0	0	0	0	0
Totals	133477	120283	122263	101733	119386	122780	39672

Spam medium – messages with a medium probability rating of being Spam – a message is forwarded to recipient asking if the email is to be released.

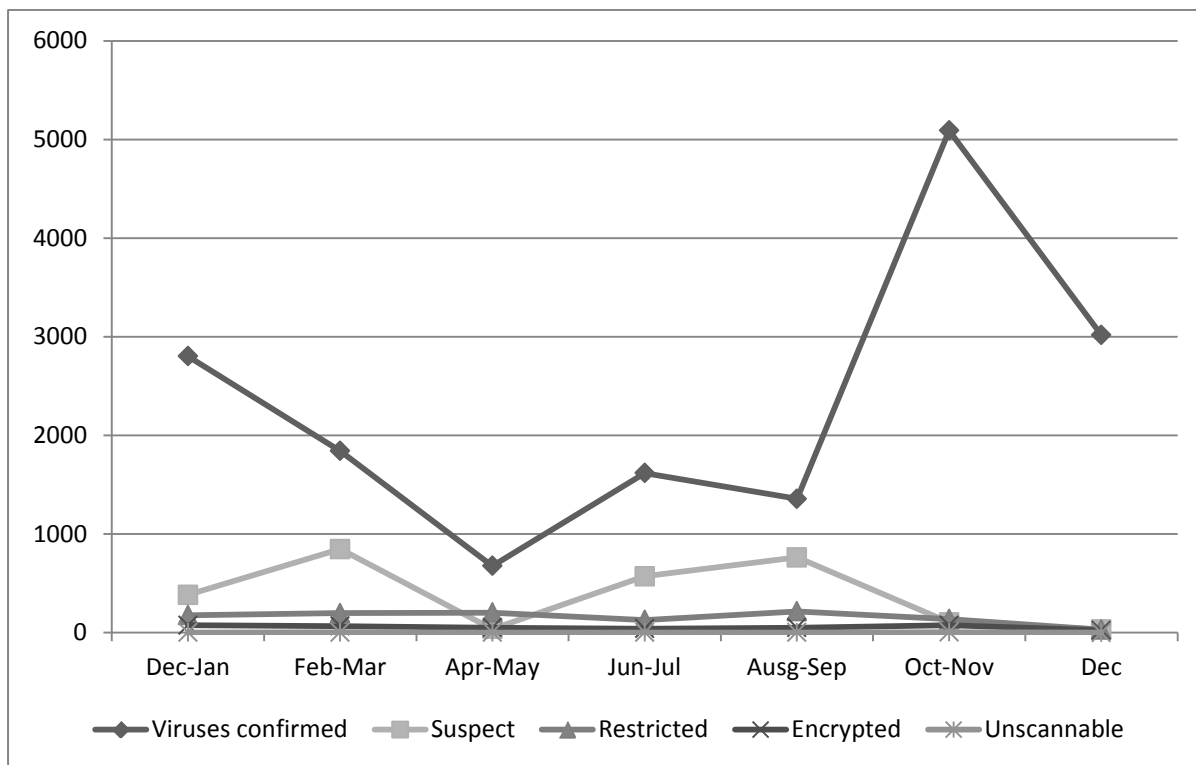
Spam high – messages identified as being with a high probability rating of being Spam – automatically quarantined.

Other – offensive or racist language, inappropriate content.

Virus – messages containing malicious software designed to disrupt system use or create a data breach.

Note. The majority of irregular messages detected are false positives. Legitimate reports containing potentially offensive language, titles or contents of messages that have similar phrasing to typical bulk or spam emails.

### 3.3 - Inbound Virus Trend – Last 52 weeks



	Dec-Jan	Feb-Mar	Apr-May	Jun-Jul	Aug-Sep	Oct-Nov	Dec
Viruses confirmed	2803	1842	678	1618	1357	5092	3018
Suspect	384	847	38	572	763	105	33
Restricted	178	198	204	128	216	138	31
Encrypted	76	67	51	41	51	76	23
Unscannable	3	4	2	2	3	6	1

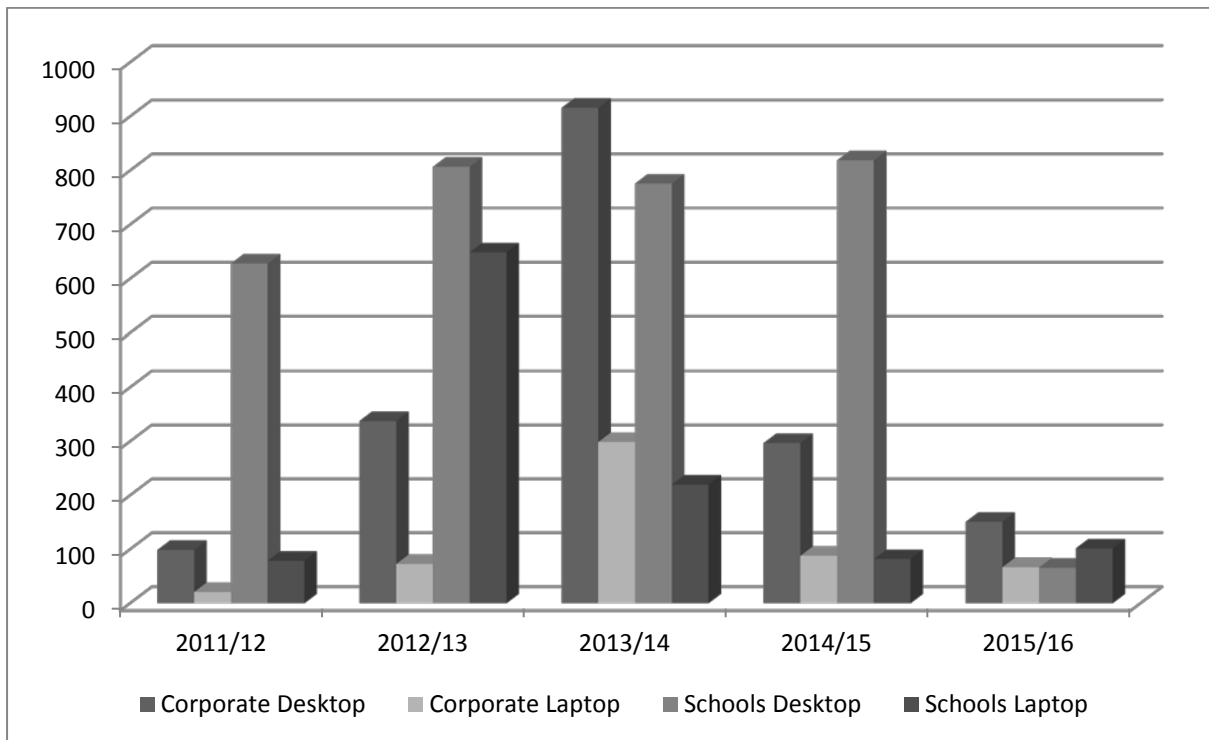
2 Significant attack vectors have been identified during Quarter 3 of 2015 that have resulted in a significant increase in emails infected with malware being detected and blocked by Anti-Virus Software:

Dridex is a strain of malware designed to eavesdrop on victim's computers in order to steal personal information such as usernames and passwords, with the ultimate aim of breaking into bank accounts and siphoning off cash.

CryptoRansomWare – A series of virus and malware which try to infect and then encrypt the data on PCs and across networks. Files are encrypted and are only unencrypted when a bitcoin ransom is provided a code is provided in return to allow files to be accessed again.

Reports that arrests have been made in Cyprus regarding the Dridex attack, which may have a positive impact on the number of infected emails being sent.

## Section 4 - PC Refresh programme



Year	2011/12	2012/13	2013/14	2014/15	2015/16
Corporate Desktop	99	338	916	297	151
Corporate Laptop	21	73	299	88	67
Schools Desktop	628	807	776	819	66
Schools Laptop	79	649	220	82	102

## **Appendix 2 – Projects Update**

### **1 - Scottish Wide Area Network (SWAN)**

Transition of the Council Wide Area Network to SWAN has now begun. The first transition occurred on the 7<sup>th</sup> January, with Circuits in the ICT GMB Data Centre being connected to the new network.

The ICT Service Delivery Manager has been coordinating the project with SWAN, Capita IT Services and representatives from each site.

The current projected completion date for the transition to SWAN is the 23<sup>rd</sup> February 2016.

### **2 - Public Service Network (PSN)**

The PSN Code of Connection Compliance accreditation process has now been completed for 2015/16.

A full audit of ICT Security, the IT Health Check & Network Penetration Test, completed by a third party Security Consultant in September 2015. A number of recommendations were produced and implemented by ICT.

The reaccreditation documentation was submitted to the UK Cabinet Office in October 2015. Following review the Council was awarded its PSN connection compliance certificate for 2015/2016 in November 2015.

During the process it was noted that some of the Council ICT Security Policies were due for refresh, including the Acceptable Use of Information Security (the AUP) and this has been referred to the Information Governance Security Steering Group.

### **3 - Digital Access Strategy**

#### **3.1 - Council Website**

As previously reported the refreshed website was launched in May 2015.

Following a request from Committee, ICT Services met with a number of elected members to provide an overview of the design and functionality of the new site.

Site numbers continue to rise, following a modest increase immediately after the refreshed site was launched we are now seeing month on month usage continue to grow, with almost double the number of page views and visitor sessions now being recorded. The number of unique visitors remains relatively stable however, which would seem to indicate that those who use the website are using it more, and that the council may need to assess how to promote the use more widely within the community.

Information from search requests and page visits show that by far the most popular information being looked at by visitors to the sites are regarding information on Schools (holidays in particular) and Refuse Collection and Recycling.



Mobile devices including tablets now account for over 60% of all visits. Mobile phone visits increased almost 111% in December. Visits from tablet users rose over 243% in the same period. Desktop visits decreased by around 4% further highlighting the overall trend towards mobile devices.

Further developments such as Schools Online Payments and Customer Self Service and additional online payments should drive more traffic to the site.

### **3.2 - Customer Services – Kana Upgrade**

The upgrade Kana Customer Services systems went live on 31<sup>st</sup> August 2015 .

Initial work to implement the Self Service Portal (SSP) has been instigated and is progressing well. A number of services offered by Roads, Transport and Waste Collection have been identified as suitable pilots and will be accessible from the main council website.

Employee Mobile is an app for mobile devices which enables council officers to be notified, take ownership and expedite cases logged in the KANA system. There have been initial discussions with a number of services to implement pilot projects. ICT Services are also looking at implementing an element of this system for its technicians.

Citizen Mobile is also an app for mobile devices which offers similar functionality to the Self Service Portal. This will provide another route to services for citizens. The app takes advantage of the GPS positioning and camera technology inherent in the devices to capture rich and accurate data to attach to the case created in KANA system.

### **3.3 - EDRMS**

The Corporate Electronic Document Management System is now well established in Revenues and Benefits and the HSCP. Further opportunities are being explored in OD, HR & Communications. This project continues to drive efficiency opportunities for service and, dependent on appropriate value for money tests being achieved, could be further deployed across other Council Services.

As part of this process a review of network storage is being undertaken.

### **3.4 - Schools Online Payments**

ICT Services are working with Education Services and the Improvement Service to develop a business case to implement a Schools Online Payment System. A Parental Survey is being undertaken to provide feedback on whether such a service would be welcomed by parents.

### **3.5 - Secure GCSX Mail**

A contract for the provision of a new Secure Email facility has been agreed with Vodafone UK. All staff with a requirement for Secure Email facilities have now been migrated to the new service and the old service was decommissioned in December 2015

### **3.6 - Email and Email Archiving Upgrade**

The Email Archive system upgrade has now been completed. The project to upgrade to the latest version has been implemented. External partners are working with ICT Services and have designed a

replacement solution. A revised policy for the archiving and deletion of emails will be submitted to Committee following the full implementation of the new system.

### **3.7 - Council Chambers Facilities**

ICT have implemented Corporate Wi-Fi within the chambers to allow members and staff to connect laptops and other council supplied mobile devices to the Council Network.

Mobile videoconferencing facilities have been piloted to allow remote attendance at Committee and full Council. A live session is scheduled in early 2016.

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<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Brian Moore Corporate Director (Chief Officer), Inverclyde Health and Social Care Partnership</b>	<b>Report No:</b>	<b>SW/09/2016/DR</b>
<b>Contact Officer:</b>	<b>Dean Robinson Information Governance Officer</b>	<b>Contact No:</b>	<b>01475 712136</b>
<b>Subject:</b>	<b>INFORMATION GOVERNANCE AND MANAGEMENT UPDATE</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to update the Committee on the Records Management Plan and the Council's new governance arrangements.

## **2.0 SUMMARY**

- 2.1 Since we last reported to the Committee, the Council has made significant progress in delivering the information governance and management framework and has developed a Records Management Plan (RMP) as required under the Public Records (Scotland) Act 2011. (the Act).
- 2.2 Inverclyde Council and Licensing Board successfully had its Records Management Plan approved by The Keeper of the Records Scotland (the Keeper) on 12 November 2015, subject to an 'improvement plan'.
- 2.3 In order to implement an improvement plan recommended by the Keeper and maintain elements of the RMP that were agreed, the Council will put in place a new governance structure.
- 2.4 The implementation of the Records Management Plan and the embedding of the improvement plan within the Council are expected to be undertaken in stages over the next 5 years until the Keeper determines a review date. The Council will be required to update the Keeper on the progress of the improvement plan when appropriate.

## **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note the approval of the Inverclyde Council and Licensing Board Records Management Plan, subject to an improvement plan recommended by the Keeper of the Records Scotland.
- 3.2 That the Committee note a new governance structure will be in place to implement the Records Management Plan and a progress report will be submitted to the Policy & Resources Committee annually.

## 4.0 BACKGROUND

- 4.1 The Public Records (Scotland) Act 2011 requires named authorities to submit a Records Management Plan (hereafter referred to as “the RMP”) for the approval of the Keeper of the Records of Scotland (The Keeper). The Council submitted its RMP on 30<sup>th</sup> June 2015.
- 4.2 An assessment was considered whether the RMP of Inverclyde Council and Inverclyde Licensing Board was developed with proper regard to the 14 elements of the Keeper’s statutory Model Records Management Plan (the Model Plan) under section 8(3) of the Public Records (Scotland) Act.
- 4.3 The RMP was assessed by the Public Records (Scotland) Act Assessment Team on behalf of the Keeper, and was agreed on 12<sup>th</sup> November 2015. The Keeper’s findings and recommendations are included in his assessment report published on the National Records of Scotland website. These findings are summarised below.
- 4.4 Of the 14 elements, the following were agreed as compliant with the Act and considered to have supporting evidence of such compliance:

<b>Agreed element</b>	<b>Keeper’s Assessment</b>
<b>Senior Officer Responsibility</b>	The Council and Licensing Board identified appropriate individuals with overall responsibility for records management.
<b>Records Manager Responsibility</b>	The Council and Licensing Board identified an appropriate individual with day-to-day responsibility for implementing the Records Management Plan.
<b>Records Management Policy</b>	The Council has a Records Management Policy which is published internally and externally.
<b>Retention Schedule</b>	The Council has a full retention schedule which is published internally and externally.
<b>Information Security</b>	The Council has arrangements in place to ensure that records are held securely as required by the Act.
<b>Data Protection</b>	Inverclyde Council and Inverclyde Licensing Board have properly considered their responsibilities under the Data Protection Act.
<b>Business Continuity and Vital Records</b>	Inverclyde Council has approved and operational business continuity arrangements in place and that these include the recovery of records.
<b>Competency Framework for Records Management Staff</b>	The Council has appropriate records management training in place for relevant staff.
<b>Assessment and Review</b>	Inverclyde Council have procedures in place to review their records management plan as required by the Act.

- 4.5 However the following elements ‘amber’ were agreed as part of an ‘improvement plan’ and will require considerable development. This means the Authority must commit to closing a gap in these provision areas. The Council has already made some progress towards closing the gap in

these areas but the Keeper has recommended some action. The Keeper will request an update for progress on the 'amber' improvement plan when appropriate:

<b>'Amber' Improvement Area</b>	<b>Keeper's Recommendation</b>
<b>Business Classification</b>	Implementation of a corporate business classification scheme (BCS) that will link in with the Retention Schedule.
<b>Destruction Arrangements</b>	A corporate process to be in place for the deletion of electronic documents from network drives.
<b>Archiving and Transfer</b>	The Council must make provisions to ensure its records of long term historical value are deposited with an appropriate repository and arrangements are in place to transfer and archive material of enduring value.
<b>Audit Trail</b>	The Council must have procedures in place in relation to audit trails covering all transactions undertaken.
<b>Shared Information</b>	Procedures for the efficient sharing of information both within an organisation and with external partners

- 4.6 The Council's Information Governance Steering Group (IGSG) produced the RMP and is responsible for its review and improvement plan. In order to implement the improvement plan and continued momentum on the approved elements, the IGSG have proposed a restructure to assist the Council in delivering the RMP.

The IGSG will concentrate on governance projects to enable the Council to focus on the 'amber' improvement plan areas that still require considerable development.

There will be a sub-working group to focus on the shared information element as well as continuing the progress the Council has already made with information sharing reviews.

- 4.7 Additionally, ongoing work streams in the Council will continue maintaining momentum on the elements that the Keeper agreed in the RMP. This includes:

- The implementation of records management policy and practice.
- Delivery of information governance training and education to ensure there is a competency for records management staff and communication and awareness raising across the Council.
- Enhanced information security measures including the classification of emails and documents.
- Dedicated training for managers who have Data Protection responsibilities.

- 4.8 The IGSG have committed to deliver the RMP improvement plan and will continue to meet on pre-determined dates throughout the year.

## 5.0 IMPLICATIONS

### Finance

- 5.1 Implementation of the Records Management Plan does not present any immediate cost implications. This may change upon specific responses to implementation of the RMP and will be identified separately.

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

- 5.2 The recommendations made in this progress report will ensure the Council's processes are in line with legislative requirements, including the Public Records (Scotland) Act 2011, the Data Protection Act 1998, and the Freedom of Information (Scotland) Act 2012

### Human Resources

- 5.3 The Records Management Plan will place responsibilities on staff in conjunction with the Employee Code of Conduct in compliance with information governance, data protection and IT security responsibilities.

### Equalities

- 5.4 None at this time, although recognition will be given to the wider and associate equalities agenda.

	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.

### Repopulation

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

## 6.0 CONSULTATIONS

- 6.1 Consultation took place with the Information Governance Steering Group.

## 7.0 BACKGROUND PAPERS

- 7.1 Information Governance and Management Update Report to Policy and Resources Committee, 24 March 2015.

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Brian Moore Corporate Director (Chief Officer), Inverclyde Health and Social Care Partnership</b>	<b>Report No:</b>	<b>PR/04/16/BM/LL</b>
<b>Contact Officer:</b>	<b>Lynsey Logsdon Business Support Executive</b>	<b>Contact No:</b>	<b>2744</b>
<b>Subject:</b>	<b>Corporate Complaints</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to inform Committee of the progress that has been made with regard to the implementation of a Complaints Framework for the Council.

## **2.0 SUMMARY**

- 2.1 This is the first of regular six monthly reports that will be produced for the Policy and Resources Committee on the implementation of a Complaints Framework for the Council.
- 2.2 A short life Complaints Steering Group, chaired by the Corporate Director (Chief Officer) of the Inverclyde HSCP, has been established to ensure that the Council has a robust framework in place for the recording, monitoring and reporting of complaints. This group is overseeing the implementation of a Complaints Framework for the Council and the purpose of this report is to provide details of the progress that has been made to date.
- 2.3 Governance arrangements have been put in place with the creation of two sub-groups to assist the Complaints Steering Group. The People Sub-Group focuses on policies and procedures, training and communication. The Technical and Resources Sub-Group is looking at the amendments that require to be made to the Lagan system, pilots and feedback and management information development.
- 2.4 The Council's Complaint Handling Procedures have been reviewed and updated and now fully reflect the recommendations identified in the Internal Audit Report as well as best practice.
- 2.5 A training plan and a communication plan are currently being developed to support the implementation of the Council's Complaints Framework.
- 2.6 Robust monitoring and reporting arrangements are being implemented and it is recommended by the CMT that a temporary resource be employed to embed the new processes and reporting requirements. The CMT and Policy and Resources Committee will receive regular six monthly updates on progress. In addition, an annual report on the Council's performance with regard to complaint handling will be produced.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that Committee:
- a) Note the progress that has been made with regards to implementing a Complaints Framework for the Council;
  - b) Agree the Council's revised Complaint Handling Procedures; and

- c) Approve the allocation of £80,000 from the General Fund Reserves to create a temporary 2 year resource to help embed the improvements outlined in the framework.

**Brian Moore**  
**Corporate Director (Chief Officer),**  
**Inverclyde Health and Social Care Partnership (HSCP)**



## **4.0 BACKGROUND**

- 4.1 An audit of corporate complaints was conducted between November 2014 and February 2015. The objective of the audit was to assess the adequacy and effectiveness of the governance, risk management and controls surrounding a number of key risks faced by both the Council and HSCP regarding complaints. The audit report made a number of recommendations regarding how the Council could improve its approach to the recording, monitoring and reporting of complaints.
- 4.2 It was remitted to the Chief Officer of the HSCP to set up a short life Complaints Steering Group to implement a complaints framework to ensure that the Council has a consistent approach to the recording, monitoring and reporting of complaints.
- 4.3 The purpose of this report is to provide Committee with a position statement regarding the progress that has been made by the Complaints Steering Group to date.

## **5.0 GOVERNANCE ARRANGEMENTS**

- 5.1 The Complaints Steering Group has responsibility for three key areas. This includes the development and implementation of a Complaints Framework for the Council, the monitoring and reporting of complaints and the role of Elected Members in the Council's complaints handling process.
- 5.2 Two sub-groups have been established to assist the Complaints Steering Group. The People Sub-Group focuses on policies and procedures, training and communication. It is chaired by Head of HR, Organisational Development and Communications and contains representation from all services.
- 5.3 The Technical and Resources Sub-Group is chaired by the Council's Chief Financial Officer and its remit is amendments to the Lagan system, pilots and feedback and management information development. This Sub-Group also contains representation from all services.
- 5.4 Both Sub-Groups provide an update on the progress that they have made to each meeting of the Complaints Steering Group.

## **6.0 POLICIES AND PROCEDURES**

- 6.1 The Council's Complaint Handling Procedures have been reviewed and updated and now fully reflect the recommendations identified in the Internal Audit Report as well as best practice. The Council's Unacceptable Actions Policy has also been reflected. The revised policies and procedures are contained within Appendix 1 of this report.
- 6.2 The key changes made to the Council's Complaint Handling Procedures include:
  - The provision of further guidance on how to provide support to customers who have specific needs, for example, customers who do not have English as their first language.
  - Guidance for employees on how to manage unacceptable behaviour.
  - A time limit for submitting a complaint. Issues which occurred over six months ago from the date of the complaint will not be considered.
- 6.3 Once the new policies and procedures are embedded, the next stage is to ensure they reflect feedback from service users. As we move forward we want to develop mechanisms to gain feedback from service users on their satisfaction with the complaints procedures.

## 7.0 TRAINING AND COMMUNICATION

- 7.1 The People Sub-Group has developed a training plan which will support the delivery of the Council's Complaints Framework. This will ensure that the training needs of all employees with responsibility for complaint handling are fully met.
- 7.2 The People Sub-Group has also developed a Communication Plan which will ensure that all employees are fully aware of the Council's Complaints Handling Procedures.

## 8.0 LAGAN SYSTEM

- 8.1 Lagan is the Council's electronic system for recording complaints. However, it is not currently used by all services. The Technical and Resources Sub-Group is responsible for identifying the changes that require to be made to the Lagan system to ensure that it can be used by all services for the recording and monitoring of complaints. Input from North Ayrshire Council is currently being sought regarding adapting their Lagan system for our local use.

## 9.0 ELECTED MEMBERS

- 9.1 The Complaints Steering Group will shortly commence work to establish a clearly defined role for Elected Members within the Council's complaints handling process and to ensure that they are fully aware of the Council's Complaint Handling Procedures. This will involve establishing a process to record complaints referred by Elected Members and to inform Elected Members of the outcome of such complaints. The completion date for this work stream is January 2017.

## 10.0 MONITORING AND REPORTING

- 10.1 In order to ensure that Elected Members receive regular performance reports regarding complaints, this is the first of regular six monthly reports that will be produced for both Policy and Resources Committee and the CMT.
- 10.2 In addition to six monthly progress reports, an annual report on the Council's performance with regard to complaint handling will also be produced. This will ensure that the Council is able to provide the SPSO with the information and statistics they require.

## 11.0 IMPLICATIONS

### 11.1 Finance

#### Financial Implications:

#### One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Corporate Communications	Employee Costs	2016/18	80		2 year post to help embed improvements to be funded from Reserves

#### Annually Recurring Costs/ (Savings)

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

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A dedicated post is required to ensure that complaints are effectively co-ordinated across the Council. This post would have responsibility for following up on complaints that services fail to respond to and also for co-ordinating responses to complaints that involve a number of services. It is evident that Councils that have this type of post, such as North Ayrshire, have a more robust system in place for dealing with complaints and this is reflected in their performance. It is initially proposed to create a 2 year temporary post to help embed the improvements required.

11.2 **Legal** - There are legal implications if the Council is failing to abide by its policies and procedures.

11.3 **Human Resources** – N/A

11.4 **Equalities** – N/A

11.5 **Repopulation** – N/A

## 12.0 **CONSULTATIONS**

12.1 The CMT has been consulted on the contents of this report.

## 13.0 **LIST OF BACKGROUND PAPERS**

13.1 N/A

## **Appendix 1: Inverclyde's Corporate Complaints procedure**

### **Foreword**

We are committed to making sure that as a modern and efficient organisation, we are responsive to our resident's needs.

As part of this commitment we have put in place a quick and effective method of resolving customer complaints.

We have nothing to fear from complaints, they are an opportunity to improve our service by identifying problems and potential problems and finding clear resolutions or they give us an opportunity to clear up a misunderstanding.

A clear and simple complaints handling procedure helps each of us to learn and improve the level and quality of services we provide.

The key changes are that we...

...have streamlined our complaints process shifting from a three to a two stage process

...will continue to seek to resolve more customer complaints as close as possible to the point of service delivery and

...will conduct thorough, impartial and fair investigations of customer complaints within the agreed timescales.

...use complaints as a performance indicator and strive to learn and improve our services.

This document explains in detail our revised procedure for complaints handling in Inverclyde Council.

John W Mundell  
Chief Executive

## What is a complaint?

Inverclyde Council's definition of a complaint is:

*'An expression of dissatisfaction by one or more members of the public about the council's action or lack of action, or about the standard of service provided by or on behalf of the council.'*

A complaint may relate to:

- failure to provide a service
- inadequate standard of service
- dissatisfaction with council policy
- treatment by or attitude of a member of staff
- disagreement with a decision where the customer cannot use another procedure (for example an appeal) to resolve the matter
- the council's failure to follow the appropriate administrative process.

This list does not cover everything.

A complaint is **not**:

- a routine first-time request for a service
- a request for compensation only
- issues that are in court or have already been heard by a court or a tribunal
- disagreement with a decision where a statutory right of appeal exists, for example in relation to council tax or planning
- an attempt to reopen a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision.
- An issue which occurred over six months ago from the date of the complaint.

You must not treat these issues as complaints, and should instead direct customers to use the appropriate procedures.

## Handling anonymous complaints

We value all complaints. This means we treat all complaints including anonymous complaints seriously and will take action to consider them further, wherever this is appropriate. Generally, we will consider anonymous complaints if there is enough information in the complaint to enable us to make further enquiries. If, however, an anonymous complaint does not provide enough information to enable us to take further action, we may decide not to pursue it further. Any decision not to pursue an anonymous complaint must be authorised by a senior manager.

If an anonymous complaint makes serious allegations, we will refer it to an appropriate senior officer immediately.

If we pursue an anonymous complaint further, we will record the issues as an anonymous complaint on the complaints system. This will help to ensure the completeness of the complaints data we record and allow us to take corrective action where appropriate.

## Who can make a complaint?

Anyone who receives, requests or is affected by our services can make a complaint. Sometimes a customer may be unable or reluctant to make a complaint on their own. We will accept complaints brought by third parties as long as the customer has given their personal consent.

### Local Advocacy

Circles Network  
Advocacy Service Inverclyde  
21 Grey Place  
Greenock  
PA15 1YF  
Tel: 01475 730797  
Fax: 01475 727407  
[Info.inverclyde@circlesnetwork.org.uk](mailto:Info.inverclyde@circlesnetwork.org.uk)

### Complaints involving more than one service or organisation

If a complaint relates to the actions of two or more local authority services, you must agree which service takes the lead and communicate clearly with the customer to let them know who will take the lead in dealing with the complaint, and explain that they will get only one response covering all issues raised.

It is important that services co-operate and communicate to ensure target dates are met by the lead service.

If a customer complains to the council about the service of another agency or public service provider, but the local authority has no involvement in the issue, the customer should be advised to contact the appropriate organisation directly. However, where, a complaint relates to a local authority service and the service of another agency or public service provider, (for example a housing association or a government department), and the local authority has a direct interest in the issue, you must handle the complaint about the local authority through the CHP. If you need to make enquiries to an outside agency in relation to the complaint always take account of data protection legislation and our guidance on handling our customer's personal information. The Information Commissioner has detailed guidance on data sharing and has issued a data sharing code of practice.

Such complaints may include:

- a complaint made to us about a claim for housing benefit where the customer's dissatisfaction relates to the service we have provided and the service the DWP has provided
- a complaint made to us about antisocial behaviour where the customer's dissatisfaction relates to the service we have provided and the service the housing association has provided.

## Social Care complaints

The procedure for social Care complaints is slightly different from our general complaints procedure, as it currently follows specific legislation and guidance. Customers should contact Inverclyde Health and Social Care Partnership (HSCP) on the contact details below.

Complaint Officer  
Quality & Development Service  
Hector McNeill House  
7-8 Clyde Square  
Greenock  
Inverclyde PA15 1NB

Tel: 01475 715365

Email: [pccsp.swork@inverclyde.gov.uk](mailto:pccsp.swork@inverclyde.gov.uk)

## Registered Care Service

Anyone receiving a registered care services from us has the right to complain either direct to the Care Inspectorate or to Inverclyde Health and Social Care Partnership (HSCP).

Customers may also receive care or support from other agencies under a contract with Inverclyde Council. They may direct complaints about these services either to us (just like complaints about any council service) or directly to the Care Inspectorate.

The Care Inspectorate's contact details can be found on their website:

<http://www.scswis.com/>

Or:

telephone 0845 600 9527

fax 01382 207 289

complete an online complaints form at <http://www.scswis.com>, or

email [enquiries@careinspectorate.com](mailto:enquiries@careinspectorate.com)

## Supporting the customer

All members of the community have the right to equal access to our complaints handling procedure. Customers who do not have English as a first language may need help with interpretation and translation services, and other customers may have specific needs that we will seek to address to ensure easy access to the complaints handling procedure.

We must always take into account our commitment and responsibilities to equality. This includes making reasonable adjustments to our service to help the customer where appropriate.

Several support and advocacy groups are available to support customers in pursuing a complaint and customers should be signposted to these as appropriate.

## Managing unacceptable behaviour

People may act out of character in times of trouble or distress. The circumstances leading to a complaint may result in the customer acting in an unacceptable way. Customers who have a history of challenging or inappropriate behaviour, or have difficulty expressing themselves, may still have a legitimate grievance.

A customer's reasons for complaining may contribute to the way in which they present their complaint. Regardless of this, we must treat all complaints seriously and properly assess them.

However, we also recognise that the actions of customers who are angry, demanding or persistent may result in unreasonable demands on time and resources or unacceptable behaviour towards our staff. We will, therefore, apply our policies and procedures to protect staff from unacceptable behaviour such as unreasonable persistence, threats or offensive behaviour from customers.

Where we decide to restrict access to a customer under the terms of an unacceptable actions policy, we have a procedure in place to communicate that decision, notify the customer of a right of appeal, and review any decision to restrict contact with us. This will allow the customer to demonstrate a more reasonable approach later.

## Time limit for making complaints

This complaints handling procedure sets a time limit of six months from when the customer first knew of the problem, within which time they may ask us to consider the complaint, unless there are special circumstances for considering complaints beyond this time.

We will apply this time limit with discretion.

In decision making we will take account of the Scottish Public Services Ombudsman Act 2002 (Section 10(1)), which sets out the time limit within which a member of the public can normally ask the SPSO to consider complaints.

The limit is one year from when the person first knew of the problem they are complaining about, unless there are special circumstances for considering complaints beyond this time.

If it is clear that a decision not to investigate a customer's complaint will lead to a request for external review of the matter, we may decide that this satisfies the special circumstances criteria. This will enable us to consider the complaint and try to resolve it.



## The complaints handling process

Our complaints handling procedure aims to provide a quick, simple and streamlined process for resolving complaints early and locally by skilled, knowledgeable and well-trained staff.

Our complaints process provides two opportunities to resolve complaints internally:

- **frontline resolution**, and
- **investigation**.

## Stage one: frontline resolution

The main principle is to seek early resolution, resolving complaints at the earliest opportunity and as close to the event which led to the complaint as possible. This may mean a face-to-face discussion with the customer, or asking an appropriate member of staff to deal directly with the complaint.

In practice, frontline resolution means resolving the complaint at the first point of contact with the customer, either by the member of staff receiving the complaint or other identified staff.

In either case, you may settle the complaint by providing an on-the-spot apology where appropriate, or explaining why the issue occurred and, where possible, what will be done to stop this happening again. You may also explain that, as an organisation that values complaints, we may use the information given when we review service standards in the future.

A customer can make a complaint in writing, in person, by telephone, by email or online including through social media channels, or by having someone complain on their behalf. You must always consider frontline resolution, regardless of how you have received the customer's complaint.

## What to do when you receive a complaint

- 1 On receiving a complaint, you must first decide whether the issue can be defined as a complaint. The customer may express dissatisfaction about more than one issue. This may mean you treat one element as a complaint, while directing the customer to pursue another element through an alternative route.
- 2 If you have received and identified a complaint, record the details on our complaints system.
- 3 Next, decide whether or not the complaint is suitable for frontline resolution. Some complaints will need to be fully investigated before you can give the customer a suitable response. You must escalate these complaints immediately to the investigation stage and to your Head of Service.
- 4 Where you think frontline resolution is appropriate, you must consider four key questions:
  - What exactly is the customer's complaint (or complaints)?
  - What does the customer want to achieve by complaining?
  - Can I achieve this, or explain why not?
  - If I cannot resolve this, who can help with frontline resolution?

### **What exactly is the customer's complaint (or complaints)?**

It is important to be clear about exactly what the customer is complaining about. You may need to ask the customer for more information and probe further to get a full picture.

### **What does the customer want to achieve by complaining?**

At the outset, clarify the outcome the customer wants. Of course, the customer may not be clear about this, and you may need to probe further to find out what they expect, and whether they can be satisfied.

### **Can I achieve this, or explain why not?**

If you can achieve the expected outcome by providing an on-the-spot apology or explain why you cannot achieve it, you should do so. If you consider an apology is appropriate, you may wish to follow the SPSO's guidance on the subject:

#### **SPSO guidance on apology**

The customer may expect more than we can provide. If so, you must tell them as

soon as possible.

You are likely to have to convey the decision face to face or on the telephone. If you do so face to face, by telephone or by email, you are not required to write to the customer as well, although you may choose to do so. It is important, however, to keep a full and accurate record of the decision reached and passed to the customer.

#### **If I can't resolve this, who can help with frontline resolution?**

If you cannot deal with the complaint because, for example, you are unfamiliar with the issues or area of service involved, pass details of the complaint to someone who can attempt to resolve it and clearly record the action.

## **Timelines**

Frontline resolution must be completed within **five working days**, although in practice we would often expect to resolve the complaint much sooner and ideally right away for most complaints.

You may need to get more information from other services to resolve the complaint at this stage. However, it is important to respond to the customer within five working days, either resolving the matter or explaining that their complaint is to be investigated.

### **Extension to the timeline**

In exceptional circumstances, where there are clear and justifiable reasons for doing so, you may agree an extension of no more than five working days with the customer and approved by a senior manager. This must only happen when an extension will make it more likely that the complaint will be resolved at the frontline resolution stage.

When you ask for an extension, you must get authorisation from the appropriate senior manager, who will decide whether you need an extension to effectively resolve the complaint. Examples of when this may be appropriate include staff or contractors being temporarily unavailable. If, however, the issues are so complex that they cannot be resolved in five days, it may be more appropriate to escalate the complaint straight to the investigation stage. You must tell the customer about the reasons for the delay, and when they can expect your response.

If the customer does not agree to an extension but it is unavoidable and reasonable, a senior manager must decide on the extension. You must then tell the customer about the delay and explain the reason for the decision to grant the extension.

It is important that such extensions DO NOT become the norm. The timeline at the frontline resolution stage should be extended only rarely. All attempts to resolve the complaint at this stage must take no longer than **ten working days** from the date you receive the complaint.

The proportion of complaints that exceed the five-day limit will be evident from reported statistics. These statistics must go to our corporate management team (CMT) quarterly.

### **Closing the complaint at the frontline resolution stage**

When you have informed the customer of the outcome, you are not obliged to write to the customer, although you may choose to do so. You must ensure that our response to the complaint addresses all areas that we are responsible for and explains the reasons for our decision. It is also important to keep a full and accurate record of the decision reached and given to the customer. The complaint must then be closed and the complaints system on LAGAN updated accordingly.

## **When to escalate to the investigation stage**

A complaint must be escalated to the investigation stage when:

- frontline resolution was tried but the customer remains dissatisfied and requests an investigation into the complaint. This may be immediately on communicating the decision at the frontline stage
- the customer refuses to take part in the frontline resolution process
- the issues raised are complex and require detailed investigation
- the complaint relates to serious, high-risk or high-profile issues.

When a previously closed complaint is escalated from the frontline resolution stage, the complaint should be reopened on the complaints system. Take particular care to identify complaints that might be considered serious, high risk or high profile, as these may require particular action or raise critical issues that need senior management's direct input.

Potential high-risk or high-profile complaints could include:

- involve a death or terminal illness
- involve serious service failure, for example major delays in providing, or repeated failures to provide, a service
- generate significant and on-going press interest
- pose a serious risk to local authority operations
- present issues of a highly sensitive nature

## **Stage two: investigation**

Not all complaints are suitable for frontline resolution and not all complaints will be satisfactorily resolved at that stage.

Complaints handled at the investigation stage of the complaints handling procedure are typically complex or require a detailed examination before we can state our position. These complaints may already have been considered at the frontline resolution stage, or they may have been identified from the start as needing immediate investigation or it may have been requested by the customer.

An investigation aims to establish all the facts relevant to the points made in the complaint and to give the customer a full, objective and proportionate response that represents our final position.

## **What to do when you receive a complaint for investigation**

It is important to be clear from the start of the investigation stage exactly what you are investigating, and to ensure that both the customer and the service understand the investigation's scope.

It may be helpful to discuss and confirm these points with the customer at the outset, to establish why they are dissatisfied and whether the outcome they are looking for sounds realistic. In discussing the complaint with the customer, consider three key questions:

1. What specifically is the customer's complaint or complaints?
2. What does the customer want to achieve by complaining?
3. Are the customer's expectations realistic and achievable?

It may be that the customer expects more than we can provide. If so, you must make this clear to the customer as soon as possible.

Where possible you should also clarify what additional information you will need to investigate the complaint. The customer may need to provide more evidence to help us reach a decision.

Details of the complaint must be recorded on the LAGAN system for recording complaints. The details must be updated when the investigation ends.

## Timelines

Complaints at the investigation stage should be dealt with within these timescales:

- complaints must be acknowledged within **three working days**
- you should provide a full response to the complaint as soon as possible but not later than **20 working days** from the time you received the complaint for investigation.

## Extension to the timeline

Not all investigations will be able to meet this deadline. For example, some complaints are so complex that they require careful consideration and detailed investigation beyond the 20-day limit. However, these would be the exception and you must always try to deliver a final response to a complaint within 20 working days.

If there are clear and justifiable reasons for extending the timescale, senior management will set time limits on any extended investigation, as long as the customer agrees. You must keep the customer updated on the reason for the delay and give them a revised timescale for completion. If the customer does not agree to an extension but it is unavoidable and reasonable, then senior management must consider and confirm the extension. The reasons for an extension might include the following:

- Essential accounts or statements, crucial to establishing the circumstances of the case, are needed from staff, customers or others but they cannot help because of long-term sickness or leave.
- You cannot obtain further essential information within set timescales.
- Operations are disrupted by unforeseen or unavoidable operational circumstances, for example industrial action or severe weather conditions.
- The customer has agreed to mediation as a potential route for resolution.

These are only a few examples, and you must judge the matter in relation to each complaint. However, an extension would be the exception and you must always try to deliver a final response to the complaint within 20 working days.

All of this information must be recorded on LAGAN.

As with complaints considered at the frontline stage, the proportion of complaints that exceed the 20-day limit will be evident from reported statistics. These statistics must go to our corporate management team (CMT) on a quarterly basis.

## Mediation

Some complex complaints, or complaints where customers and other interested parties have become entrenched in their position, may require a different approach to resolving the complaint. Where appropriate, you may consider using services such as mediation or conciliation using suitably trained and qualified mediators to try to resolve the matter and to reduce the risk of the complaint escalating further.

Mediation may help both parties to understand what has caused the complaint, and so is more likely to lead to mutually satisfactory solutions. If you and the customer agree to mediation, revised timescales will need to be agreed.

## Closing the complaint at the investigation stage

You must let the customer know the outcome of the investigation, in writing or by their preferred method of contact.

This response must include the decision on whether the complaint was 'upheld', 'not upheld' or 'partially upheld'.

Our response to the complaint must address all areas that we are responsible for and explain the reasons for our decision. You must record the decision, and details of how it was communicated to the customer, on the Council's LAGAN/KANA system for recording complaints. You must also make clear to the customer:

- their right to ask SPSO to consider the complaint
- the time limit for doing so, and
- how to contact the SPSO.

## Independent external review

Once the investigation stage has been completed, the customer has the right to approach the SPSO if they remain dissatisfied.

The SPSO considers complaints from people who remain dissatisfied at the conclusion of our complaints procedure. They look at issues such as service failures and maladministration (administrative fault), as well as the way we have handled the complaint.

The text below should be used on your communication with customers when informing them of the outcome of the investigation stage.

The SPSO also provides a leaflet, [The Ombudsman and your organisation](#), which you may find helpful in deciding how and when to refer someone to the SPSO.

### Information about the SPSO

The Scottish Public Services Ombudsman (SPSO) is the final stage for complaints about public services in Scotland. This includes complaints about Scottish councils. If you remain dissatisfied with a council after its complaints process, you can ask the SPSO to look at your complaint. The SPSO cannot normally look at complaints:

- where you have not gone all the way through the council's complaints handling procedure
- more than 12 months after you became aware of the matter you want to complain about, or
- that have been or are being considered in court.

The SPSO's contact details are:

SPSO  
4 Melville Street  
Edinburgh  
EH3 7NS

SPSO  
Freepost EH641  
Edinburgh  
EH3 0BR

Freephone: **0800 377 7330**

Online contact [www.spsso.org.uk/contact-us](http://www.spsso.org.uk/contact-us)

Website: [www.spsso.org.uk](http://www.spsso.org.uk)

Mobile site: <http://m.spsso.org.uk>

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2<sup>nd</sup> February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer and Corporate Director (Chief Officer) Inverclyde Health and Social Care Partnership</b>	<b>Report No:</b>	<b>FIN/08/16/AP/LA</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>Welfare Reforms Update</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to provide Committee with an update on the various aspects of Welfare Reform and to seek approval for the allocation of extra one off and recurring funding to Welfare Reform Projects/Cost Pressures.

## 2.0 SUMMARY

- 2.1 Appendix 1 shows the latest position in respect of the Scottish Welfare Fund payments. From this it can be seen that spend represents 85% of the annual budget 75% of the way through the year. It is projected that the Scottish Welfare Fund will overspend by between 12 and 15% and this will be contained within the carry forward from 2014/15. The recent Budget Settlement has shown a 7% cut in Scottish Government Funding from 2016/17 for Inverclyde increasing to 14% from 2017/18 and this does raise a funding pressure for 2016/17. There are proposals elsewhere in the report regarding this issue.
- 2.2 DHP applications to offset SSSC (also known as the bedroom tax) have progressed very well with only 4.8% of potential recipients not yet having submitted an application. Expenditure in this area is fully underwritten by the Scottish Government.
- 2.3 Universal Credit became operational in Inverclyde on 12<sup>th</sup> October and in line with other Local Authorities, a number of operational difficulties have been encountered in terms of errors by the DWP in the calculation of benefit entitlement and the responsiveness of the DWP service centre. These matters are having an impact on the Council's resources and the assistance of the local DWP office in trying to resolve these matters is appreciated.
- 2.4 The Council is projected to have £748,000 within its Welfare Reform Earmarked Reserve as at the 31<sup>st</sup> March 2016. Appendix 2 contains proposals to utilise £558,000 of this and further detail is supplied in the appendix. In addition, Appendix 3 shows the latest position in respect of the recurring Welfare Reform Budget and Committee is asked to note that the amount available for future recurring spend is projected to be significantly reduced by 2017/18 given recently announced grant reductions and the impact of further Welfare Reform changes. In addition, it is expected that as Universal Credit rolls out then this is likely to form a budget pressure beyond 2018.
- 2.5 By the time the Committee consider this report, the Council will no longer have responsibility for Housing Benefit Fraud investigations as these would have transferred to the Single Fraud Investigation Service operated by the DWP. The DWP have reduced Council funding in this regard and 2 employees have been redeployed. Officers will continue to monitor the effectiveness of the DWP operation of the local Housing Benefit Fraud Service.



### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Committee note the contents of the report and:

- a) Note the expenditure pressure on the Scottish Welfare Fund Budget and agree to allocate £100,000 per year to the SWF from 2016/17 funded from the recurring Welfare Reforms monies, increasing to £150,000 from 2017/18.
- b) Approve the request for the utilisation of one off funding from the Welfare Reform Earmarked Reserve detailed in Appendix 2.
- c) Note the initial experiences arising from the roll out of Universal Credit within Inverclyde.
- d) Note the transfer of Housing Benefit Fraud investigations to the Single Fraud Investigation Service operated by the DWP as of 1<sup>st</sup> February 2016.

Alan Puckrin  
Chief Financial Officer

Brian Moore  
Corporate Director (Chief Officer), Inverclyde HSCP

## **4.0 BACKGROUND**

- 4.1 The Committee receives a report each cycle providing updates on the Council's response to the major Welfare Reform changes being rolled out across the UK. The Council set aside £1.3 million on a recurring basis from 2016/17 to meet the significant financial challenges generated by the changes.
- 4.2 Further significant changes were announced by the Chancellor of the Exchequer as part of the autumn statement in November 2015 and the estimated impact of these has been factored into the utilisation of the Welfare Reform recurring budget from 2016/17.
- 4.3 Members received a briefing on 14<sup>th</sup> January in respect of Universal Credit and the early findings from operations within Inverclyde.

## **5.0 SCOTTISH WELFARE FUND AND DISCRETIONARY HOUSING PAYMENTS**

- 5.1 Appendix 1 shows the latest position in respect of the Scottish Welfare Fund payments. From this it can be seen that spend represents 85% of the annual budget 75% of the way through the year. It is projected that the Scottish Welfare Fund will overspend by between 12 and 15% and this will be contained within the carry forward from 2014/15. Some of the extra demand is being driven by the implementation of Universal Credit but a large part is due to the fact that the Grant allocated is not enough to meet demand.
- 5.2 The recent Budget Settlement has shown a 7% cut in Scottish Government SWF Grant Funding for Inverclyde in 2016/17 due to a redistribution of the funding across Scotland. This is expected to increase by a further 7% in 2017/18. This makes the position in 5.1 significantly worse and causes a funding pressure from 2016/17. It is proposed therefore to allocate £100,000 from the recurring Welfare Reforms budget in 2016/17 and to increase by a further £50,000 in 2017/18 due to the phasing in of the grant reduction. Officers will endeavour to stay within the approved budgets and bring regular updates to Committee.
- 5.3 Since the last update report and following a DHP take up exercise for those affected by SSSC (bedroom tax), of the 1360 tenants affected as at the date of the report, 1294 have applied and been awarded DHP (95.15%). The RSLs are working hard to chase up applications from the balance. £905,000 DHP is projected to be awarded for SSSC by the end of the financial year. The Scottish Government is committed to meeting the shortfall in DHP funding to mitigate the SSSC, up to their projection of £964,000. This will be sufficient, based on current trends, to meet committed expenditure as well as applications from those still to apply.

## **6.0 UNIVERSAL CREDIT**

- 6.1 Claimant numbers remain low although an increase is anticipated as seasonal employment terminates. There has been no take up to date of the services put in place by the Council to assist with the online claim process or the provision of help with personal budgeting. Given the limited qualifying circumstances in which jobseekers are eligible to claim Universal Credit and in particular the fact the majority are generally IT literate young adults, recently out of work, this is not surprising. Steps are being taken however to raise awareness of the availability of personal budgeting support, particularly with those with housing costs. DWP is aware that the current lack of demand is not reflective of the future when vulnerable customers will claim UC.
- 6.2 A feature of Universal Credit is that the claimant must wait for a period of 5 to 6 weeks to receive their initial payment. While financial assistance is offered by way of an advance from the DWP, claimants must pass an affordability test. Claimants who do not meet these criteria have recourse to the Scottish Welfare Fund (SWF). The extended period until initial UC payments are made and subsequently higher than average Crisis Grant awards place a new pressure on the SWF budget. Since the launch of Universal Credit in Inverclyde, 26 SWF Crisis Grant applicants have been approved with awards averaging £137, ranging from £50 to £200. The level of applications, the qualifying criteria and awards, combined with the impact on the SWF budget will

be closely monitored.

- 6.3 The restricted UC qualifying criteria will continue until at least the end of 2016 and until such times as Inverclyde is included in the national expansion of the fully automated Universal Credit Full Service when 50 Jobcentre Plus offices will go live each month during 2017. DWP are open to discussion with the Scottish Government in relation to timetabling to allow for UC flexibilities arising from the Smith Commission and the option to delay UC Full Service in Scotland to avoid system/ process rework. Until then and beyond, intensive work will continue locally for Universal Credit claimants with the termination of Housing Benefit claims and the reassessment of Council Tax Reduction applications. Not one of the Housing Benefit claims terminated by the end of December 2015 followed the DWP's planned manual processes. Process failures are however reported to DWP who are working to resolve these matters.
- 6.4 Assuming the successful migration to the UC Full Service, from June 2018 all 6 welfare benefits within the scope of Universal Credit will be closed to new claimants and instead customers will be directed to UC.
- 6.5 The DWP have confirmed that TUPE does not apply to local authority employees currently employed in the delivery of Housing Benefit services because UC systems are designed to be highly automated. There does however remain with the Council the requirement to administer Housing Benefit for pension age customers, Council Tax Reduction and potentially, pending the outcome of consideration by the Scottish Government, devolved Social Security for carers and for those with disabilities. Committee will be kept informed of developments in this area within future update reports.
- 6.6 The UK Government's ambition to reduce estate and increase co-location with local authorities was announced in the Autumn 2015 statement. DWP are open to proposals and will be discussed locally.

## **7.0 REQUEST FOR UTILISATION OF THE WELFARE REFORM EARMARKED RESERVE**

- 7.1 As requested by Committee, officers have developed a list of potential uses for the Welfare Reforms earmarked reserves. Officers are aware of the need to balance the stringent financial pressures the Council faces with the undoubted need in the community. It is intended that the proposals are time limited and many of them can increase Financial Capability/Capacity.
- 7.2 Appendix 2 provides more details of the proposals and it can be seen that this utilises £558,000 of the balance, leaving £190,000 for future use.
- 7.3 Previous reports to Committee have highlighted the potential funding from ESF/Lottery for Inverclyde for financial capability and reducing debt. It was initially proposed the application process would commence in July 2015 however timescales have slipped due to internal Scottish Government/ESF and Lottery issues. No further information has been received regarding this funding programme however we anticipate this will be released in early 2016. The Inverclyde Financial Inclusion Partnership has continued to discuss a consortium approach and it was agreed at the last meeting that the Council would be best placed to be the lead partner for any application.
- 7.4 Migration of existing DLA claimants to PIP commenced in Inverclyde in October and the Advice team are seeing a marked increase in clients requiring support. Approximately 4000 working age DLA claimants in Inverclyde are to be migrated to PIP with Government statistics indicating that nationally approximately one third stand to lose entitlement. The impact on local clients will be closely monitored to ascertain the impact versus DWP projections and individual impacts.

## **8.0 SINGLE FRAUD INVESTIGATION SERVICE**

- 8.1 By the time Committee considers this report , responsibility for Housing Benefit Fraud investigation will have transferred to the DWP.

8.2 Officers have had regular contact with the DWP over this period to clarify roles and responsibilities with the Council making it clear that due to the withdrawal of funding and the transfer of the employees to other roles, this task requires to be taken up by the DWP. It is clearly important that the Council's excellent performance in this area is sustained by the DWP.

## 9.0 IMPLICATIONS

### 9.1 Finance

Pressures continue to mount on Council budgets as the various aspects of Welfare reform are rolled out and it is envisaged that by 2018 all the £1.3million recurring budget will be fully allocated. This creates a further pressure on the Council's budget for 2018/19.

#### Financial Implications:

##### One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Earmarked Reserves	Welfare Reform	2016/18	558		As per Appendix 2

##### Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments
Scottish Welfare Fund	Grants	2016/17	100		Sum increasing due to phased implementation of a grant redistribution across Scotland.
		2017/18	150		

### 9.2 Legal

There are no legal implications.

### 9.3 Human Resources

The impact of the transfer of duties to SFIS has been managed in full consultation with the Trade Union and employees.

### 9.4 Equalities

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.

### 9.5 Repopulation

There are no repopulation implications.

## **10.0 CONSULTATIONS**

10.1 The CMT have been consulted on the proposals in this report

## **10.0 LIST OF BACKGROUND PAPERS**

11.1 None

**Scottish Welfare Fund**  
**31 December 2015**

Calls Answered	7718		
Applications	3097		
Applications Granted	2254	72.78%	
Applications Refused	419	13.53%	Note 3
Applications Withdrawn	392	12.66%	
In Progress	32	1.03%	
Referrals to DWP	227		Note 2
	<u>Spend</u>	<u>Budget</u>	<u>Spend</u>
	<u>£000</u>	<u>£000</u>	<u>%</u>
Crisis Grant paid (1554)	£139.7	198.6	70.34%
Community Care Grants paid (821) (includes 121 applications paying both CCG & CG)	£479.0	664.8	72.05%
	<u>618.7</u>	<u>863.4</u>	71.66%

- Note 1** 1<sup>st</sup> Tier Reviews = 34 (1.27%)  
1<sup>st</sup> Tier Reviews Upheld in Customer Favour = 19 (55.88%)  
2nd Tier Reviews = 5 (includes 2 against decisions from 2014/15) - (15.15%) out of 33 1<sup>st</sup> tier decisions  
2nd Tier Reviews Upheld in Customers Favour = 1 (20%) with 1 withdrawn
- Note 2** Referrals to DWP relates to customers who are awaiting payment of a new claim for JSA / ESA from DWP. In these circumstances a Short Term Benefit Advance (STBA) can be paid by DWP.
- Note 3** The most common reasons for refusal of claims are, applicants not meeting the eligibility criteria, not being in receipt of a qualifying benefit or incomplete evidence provided.
- Note 4** Core Budget is £732,000 to which is added a residual underspend from 2013/14, the first year of operation.

**Discretionary Housing Payments**  
**31 December 2015**

Renewals

Awards considered for renewal	1389		
Renewals - approved	1349	(97.12%)	
Renewals - refused	2	(0.14%)	Applicants no longer meet priority group criteria
Renewals – not eligible	38	(2.74%)	No entitlement to DHP because Housing Benefit has stopped

New Applications

New Applications Received to date	506		
Applications Approved	319	(63.05%)	
Applications Refused	87	(17.19%)	
Applications - No Action	67	(13.24%)	DHP paid as 'Renewal'
Awaiting Supporting Evidence	0	(0%)	
New Applications still to be assessed	33	(6.52%)	27 from RSL tenants

£000

DHP Paid to date	690		Paid to Landlords a month in arrears
DHP Commitments	242		Assumes existing claims run their course
Includes Non-SSSC (£27k)			
New Applications to be assessed	21		Estimate based on current average weekly award of £13.72 (as at 31.12.15) if paid for full financial year.
Existing LHA under 35 cases to be increased to 75%	7		Estimate based on existing awards
Total Projected Spend	<u>960</u>		Assumes no further new applications (Scottish Government SSSC Projection: £964k)
Reviews requested:	3 (0.14%)		

## Appendix 2

### WR Non recurring funding proposals

#### 1.Welfare benefits and advice

To support Inverclyde residents to mitigate the effect of on-going welfare reform changes by increasing capacity within the welfare benefits and advice services sector.

- **Generic**

To continue to fund Financial Fitness for a further 2 years to deliver a generic welfare benefits advice.

Outcome :600 additional interventions with clients per year

- **Vulnerable clients**

1. To fund Inverclyde HSCP Advice team for 2 years to continue to deliver a targeted welfare benefits and advice service for very vulnerable clients who present as homeless and /or have addiction issues.

Outcome :500 additional interventions with vulnerable clients per year

2. To fund ICOD for 2 years to continue to deliver provision of welfare benefit advice and support to attend medicals for disabled clients

Outcome :270 interventions with disabled clients per year

- **In work support**

To fund Inverclyde Advice and Employment Rights for 2 years to provide specialist employment support advice and representation to clients who are in work and covered under the Equalities Act, who are or are likely to be affected by the changes to the requirements of Universal Credits conditionality, including in-work conditionality, and thus have a direct impact on their current or future employment prospects.

Outcome :75-150 additional client interventions per year

#### 2 .Financial Capability

To provide clients with the necessary skills and knowledge to enable them to be better prepared and cope with financial pressures and decisions in the future.

- **Supporting Inverclyde Future Skills**

To part fund (along with IHAF partners who will contribute £37k) the Future Skills service to deliver financial inclusion skills via increased digital knowledge and basic budgeting advice and support.

- **Family Fuel Poverty Programme**

The number of households living in fuel poverty in Inverclyde in 2013 is at 38%. However, it should also be stressed that this figure does not include households



affected by fuel fear; those households who selectively ration their energy consumption to reduce household costs and who could potentially fall through the cracks of support. Vulnerable groups at risk of fuel poverty and fuel fear are families, particularly where there are preschool children. To provide funding to IHeat for 2 years to provide a comprehensive fuel poverty mitigation programme to the pre 5 centres and nurseries within the more deprived communities.. Contact will be made initially with parents at the centres and nurseries through general awareness sessions with all families offered a home visit to resolve any immediate energy-related concerns. This will then be augmented with information to arm the household to fight fuel poverty and become knowledgeable and confident to take control of their energy usage.

Outcome :400 households with pre 5s supported with energy advice and support.

- **Starter packs**

To continue to fund Starter Packs for 2 years to provide packs of basic household items to vulnerable clients setting up new tenancies.

Outcome: 140 vulnerable clients each year provided with starter packs at £145/pack

- **Credit Unions in schools**

To pilot for 2 years the introduction of a schools credit union for all 1<sup>st</sup> year pupils in conjunction with Tail O' The Bank credit Union. Each S1 pupil will have a credit union account established, £10 will be deposited and children will be supported to increase their awareness of savings and financial management skills.

Outcome: 800 pupils per year

Organisation	2016-17 £000	2017-18 £000
Financial Fitness	30	30
HSCP Advice Team	31	31
ICOD	60	60
IAER	30	15
I Heat (Families)	20	20
IHAF	75	78
Starterpacks	20	20
School Credit Union	19	19
<b>TOTAL</b>	<b>285</b>	<b>273</b>

Total requested: £558k

Unallocated: £190k

**Welfare Reform - Use of Recurring Budget**

	<u>2015/16</u> £000	<u>2016/17</u> £000	<u>Future Years</u> £000	
Available	(1,300)	(1,216)	(1,216)	Note 1
SWF - Administration Shortfall	74	48	48	Note 1
Council Tax Reduction Shortfall	-	130	130	
Square 40% Eligible Overpayments shortfall	83	83	83	
Benefit Administration Grant Cut	86	146	206	Note 2
DHP - Benefit Cap reduction April 2016		75	75	Note 5
Scottish Welfare Fund	-	100	150	Note 5
Corporate Fraud Resource	-	43	43	Note 3
Financial Advice - Initial Allocation	200	200	200	
- Triage Service	-	30	62	Note 4
P&R Approval Projects -				
Clothing Grants	45	45	45	
Food Bank	12	12	12	
Starter Packs	7	7	7	
Transfer to General Fund Reserve	330	-	-	
Balance Available	<u>(463)</u>	<u>(297)</u>	<u>(155)</u>	

**Notes:**

1/ After £24k DPT saving and £60k saving (agreed Nov 15 P&R)

2/ Estimate only for Future Years.

3/ Approved November 2015 P&R.

4/ Approved November 2014.

5/ New Pressures from Autumn Statement/Grant Settlement.

6/ Future Pressures include:

Subsidy Reduction - Temp Accommodation

Further SWF Pressure

Funding for time limited projects

**Earmarked Reserve**

	<u>£000</u>
Balance as at 31/03/15	617
: Financial Fitness (3/2/15)	-30
: Starter Packs (3/2/15)	-20
: Clothing Grants (19/2/15)	-100
: Grand Central Savings Rent to 30/09/15	-11
: I Heat £75 for 75 for 2016/19	-120
: Inverclyde Connections (19/05/15)	-51
: Transfer from 2015/16 (estimate)	463
Estimated balance Unallocated as at March 2016	<u>748</u>

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b> 2 <sup>nd</sup> February 2016
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b> FIN/07/16/AP/TB
<b>Contact Officer:</b>	<b>Tracy Bunton</b>	<b>Contact No:</b> 01475 712262
<b>Subject:</b>	<b>Audit Scotland: Activity to Reduce Fraud and Error in Housing Benefit</b>	

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to provide an update to Committee on the findings of Audit Scotland's review of activity to reduce fraud and error in Housing Benefit.

## 2.0 SUMMARY

- 2.1 The monetary value of housing benefit (HB) fraud and error is steadily rising across the UK, with 2014/15 showing a loss of £1.38 billion. Claimant error is the largest contributor to this figure with a total loss of £770 million. It should be noted that the Council's Benefit Administration Grant has been cut significantly in recent years as part of the UK Government's Welfare Reform Agenda. In cash terms, the 2016/17 Grant is estimated to be just over £500,000 compared to £818,000 in 2013/14. This is putting significant financial pressure on Councils whilst DWP expectations and Council workload are increasing.
- 2.2 Audit Scotland has reviewed activity undertaken by a number of Scottish councils identifying areas of good practice and where improvements can be made.
- 2.3 It is good practice for the Council to assess processes and activities and benchmark performance against the results. The report was published in September 2015 and the full report is contained as Appendix 1. Inverclyde's comparable performance and activities are summarised within Appendix 2.
- 2.4 The Council was advised in January that it has been selected to undergo a Housing Benefit Risk Assessment during 2016. The last risk assessment was carried out in 2011/12. Officers will keep Committee informed of the key findings.

## 3.0 RECOMMENDATIONS

- 3.1 That the Committee notes the Council's assessment of HB Fraud and Error reduction activities and how the Council's performance compares to Audit Scotland's findings as shown in Appendix 2.
- 3.2 That the Committee notes where Audit Scotland evidenced good practice and areas where officers believe improvements can be made as outlined in Appendix 3.
- 3.3 That the Committee notes that the Council will undergo a Housing Benefit Risk Assessment in 2016.

**Alan Puckrin**  
**Chief Financial Officer**

## **4.0 BACKGROUND**

- 4.1 The Accounts Commission is responsible for auditing housing benefit (HB) and in Scotland this work is carried out by Audit Scotland and is known as the Benefits Performance Audit.
- 4.2 The main objective of the Benefits Performance Audit is to help councils improve their benefit services but it also holds councils to account for any failing services
- 4.3 The Department for Work and Pensions (DWP) recognise a steady rise in the monetary value of housing benefit (HB) fraud and error across the UK, with 2014/15 showing a loss of £1.38billion (5.7% of total UK HB expenditure). DWP have responded by focusing councils' attention and efforts to address this by introducing financial incentives. Performance is measured against the level identified HB overpayment. Incentive payments are made when councils exceed past performance by more than 10%.
- 4.4 The DWP made funding available for councils to introduce projects to improve performance under the FERIS Scheme. Inverclyde Council submitted a project plan in January 2015 and applied for and received £21,506 between start-up funding and project maintenance funding based on the baseline target being achieved.
- 4.5 Audit Scotland reviewed activity undertaken by a number of Scottish councils identifying areas of good practice and where improvements can be made. Their findings are based on their HB risk assessment activity undertaken within 19 councils in the last few years, reported to committee in September 2014 and September 2015.
- 4.6 Audit Scotland's "Review of activity to reduce fraud and error in housing benefit" reports best practice as well as areas for improvement identified across the 19 Councils.
- 4.7 The report recognises that as a result of welfare reforms, councils have over recent years been required to undertake additional and different types of work resulting in the slippage in the level of pro-active interventions carried out in a number of councils.
- 4.8 Pro-active interventions have continued in Inverclyde throughout this period so while councils which previously targeted limited resources to interventions are able to achieve targets and incentive payments, those councils including Inverclyde find this considerably challenging. Despite this challenge, Inverclyde has achieved its baseline performance although to date the earned incentive payments have not been achieved.
- 4.9 It should be noted that the Council's Benefit Administration Grant has been cut significantly in recent years as part of the UK Government's Welfare Reform Agenda. In cash terms, the 2016/17 Grant is estimated to be just over £500,000 compared to £818,000 in 2013/14. This is putting significant financial pressure on Councils whilst DWP expectations and Council workload are increasing.

## **5.0 THE REPORT AND INVERCLYDE'S PERFORMANCE**

- 5.1 The report (Appendix 1), identified key messages across the audit period.
- 5.2 Proactive Activity – the necessity for councils to encourage customers to report changes in their circumstances on time and have a robust intervention programme to identify unreported changes to ensure the correct level of HB is paid, and that error and other financial losses are minimised.
- 5.3 Automated Transfers to Local Authority Systems (ATLAS) from the Department for Work and Pensions – enhancements to data system integration has increased the level of changes in circumstances notified by DWP directly to councils meaning fewer proactive manual checks with customers are required allowing resources to be utilised elsewhere.

- 5.4 Targeted Approach – Councils with a strategic proactive approach following a period of limited activity has resulted in an increase in the identification of unreported changes in claimants’ circumstances. While some councils have introduced innovative approaches improvements are required by others.
- 5.5 Inverclyde’s comparable performance and activities is summarised within Appendix 2 and areas of good practice for consideration are outlined within Appendix 3.
- 5.6 The Council was advised in January that it has been selected to undergo a Housing Benefit Risk Assessment during 2016. The last risk assessment was carried out in 2011/12. Officers will keep Committee informed of the key findings.

## 6.0 FINANCIAL IMPLICATIONS

### 6.1 One off Costs

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

### 6.2 Annually Recurring Costs/ (Savings)

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

There are no financial implications arising from this report and all activity will be prioritised within existing resources.

## 7.0 Legal

- 7.1 There are no specific legal issues arising from this report

## 8.0 Human Resources

- 8.1 There are no specific HR issues arising from this report

## 9.0 Equalities

- 9.1 There are no new strategies or policies contained in this report therefore no Equalities Impact Assessment is required.

## 10.0 Repopulation

- 10.1 Efficient and effective Benefit administration will have a positive impact on those who rely on Benefits and therefore will help retain people in the area supporting the Council’s Repopulation strategy.

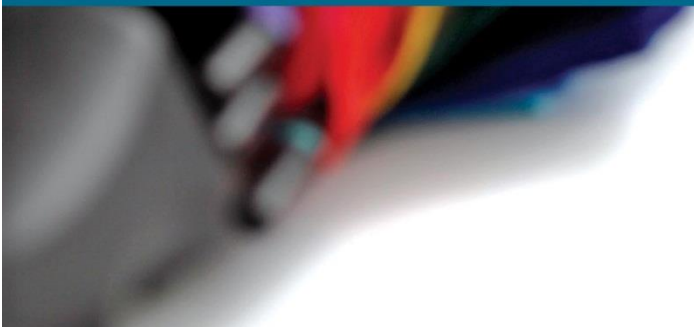
## **11.0 LIST OF BACKGROUND PAPERS**

- 11.1 Review of activity to reduce fraud and error in housing benefit – Audit Scotland  
September 2015

# Review of activity to reduce fraud and error in housing benefit



Prepared for Audit Strategy  
September 2015



Audit Scotland is a statutory body set up in April 2000 under the Public Finance and Accountability (Scotland) Act 2000. We help the Auditor General for Scotland and the Accounts Commission check that organisations spending public money use it properly, efficiently and effectively.



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# Introduction

1. The monetary value of housing benefit (HB) fraud and error is steadily rising across the UK, with 2014/15 showing a loss of £1.38 billion. Claimant error is the largest contributor to this figure with a total loss of £770 million.
2. This report looks at the activity undertaken by councils in order to reduce fraud and error in HB caseloads. We have reviewed intervention activity across a number of Scottish councils identifying areas of good practice and where improvement can be made. We have focused on those councils where we have carried out a HB risk assessment activity within the last few years. In our opinion, the sample of 19 councils included in this report is representative of the situation across Scotland.
3. We hope councils find this report useful in identifying initiatives which may be helpful in striving to deliver continuous improvement and reduce fraud and error in the HB caseload.
4. The councils included in this review are:

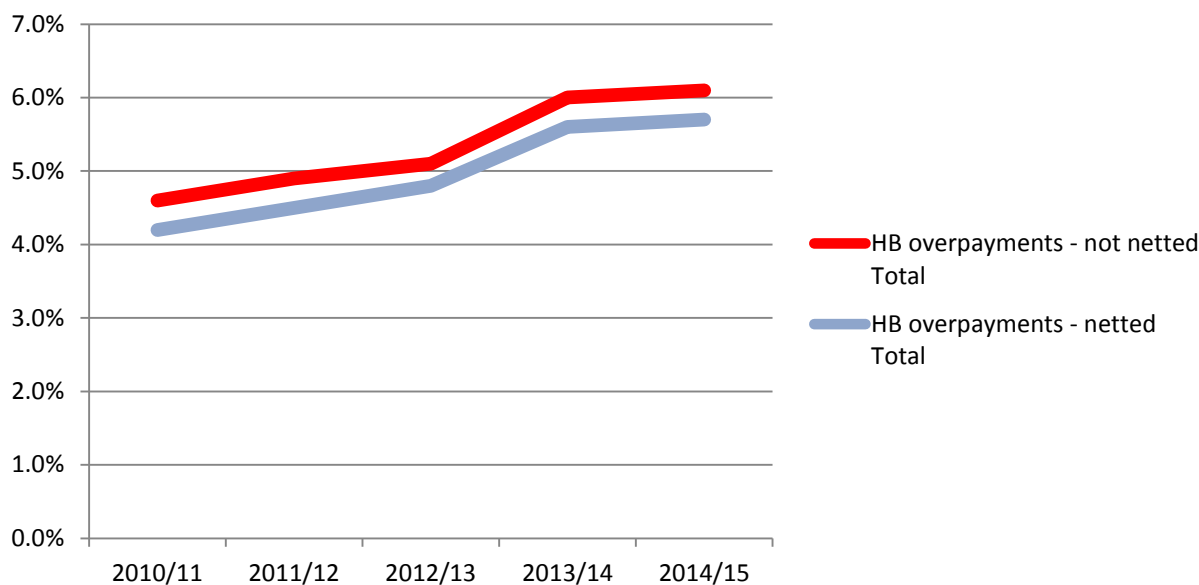
Aberdeenshire Council	Angus Council	Argyll & Bute Council	City of Edinburgh Council
Comhairle Nan Eilean Siar	Dundee City Council	East Ayrshire Council	East Dunbartonshire Council
East Renfrewshire Council	Falkirk Council	Glasgow City Council	Midlothian Council
Perth & Kinross Council	Scottish Borders Council	South Ayrshire Council	Stirling Council
The Highland Council	West Dunbartonshire	West Lothian Council	

# Key messages

5. To minimise fraud and error in the HB caseload, councils must encourage customers to report changes of circumstance on time and have a robust intervention programme to identify unreported changes. Without effective intervention activity, councils cannot have assurance that the right benefit is given to the right person at the right time, and that errors and other financial losses are minimised.
6. In 2013/14, there was a reduction in intervention activity in many councils as resources were committed to managing the impact of the UK government's welfare reform agenda. In addition the Department for Work and Pensions' (DWP) Automated Transfers to Local Authority Systems version 2 (ATLAS 2) reduced the number of HB cases that councils needed to include in their intervention programmes.
7. However, during 2014/15, there was a significant increase in the number of interventions carried out and improvements in the methods for identifying suitable cases. The high percentage of claims subject to proactive intervention activity resulting in a change to the customer's benefit in Angus, City of Edinburgh, Falkirk and South Ayrshire Councils is testament to the targeted approach that these councils have been undertaking.
8. Although some councils have introduced innovative ways of carrying out interventions which have produced good results, further improvement is required in others.

## Background

9. Councils administer HB on behalf of the DWP. The effectiveness of councils' local arrangements in respect of the accuracy of HB claims, as well as how quickly and efficiently claims are processed, affects the amount of subsidy received from the DWP.
10. The monetary value in respect of HB fraud and error has been steadily rising across the UK, with the latest National Statistics for 2014/15 estimating that it costs the UK economy £1.38 billion (5.7% of total UK HB expenditure). Although this is a reduction from the published 2013/14 loss of £1.45 billion (6% of total HB expenditure), this is due to a change in the methodology used by the Office of National Statistics (ONS) to calculate the statistics. From 2014/15, ONS have netted off underpayments from overpayments instead of counting both gross as they did in previous years. Using the previous methodology, HB fraud and error in 2014/15 would have been £1.48 billion (6.1% of total HB expenditure). Exhibit 1 below shows the trend in HB fraud and error since 2010/11.

**Exhibit 1 HB fraud and error as a % of total benefit expenditure 2010/11 to 2014/15**

Source: DWP Fraud and error in the benefit system 2014/15

11. To minimise fraud and error in the HB caseload, councils must encourage customers to report a change of circumstances on time, have a robust intervention programme in place to identify unreported changes, and take appropriate corrective action.
12. In recent years, welfare reforms have resulted in council benefit services undertaking additional and different types of work. This includes the removal of the spare room subsidy, the introduction of the Scottish Welfare Fund and the Scottish Council Tax Reduction Scheme and a greatly increased Discretionary Housing Payment budget with sporadic funding. The UK Government planned to replace HB with a DWP administered Universal Credit (UC) in 2013, which would be the biggest change to the welfare system for over 60 years and have a significant impact on local authorities and the services they provide. In order to manage this impending change, many councils had difficulty in planning the resources required in HB services. However, due to significant slippage in the DWP UC project, UC is only now starting to roll out on a very small scale across Scotland.
13. As a consequence, HB services have delivered the welfare reforms while continuing to administer their existing HB caseload in a period of great uncertainty. This and the DWP's focus on the speed of processing new claims and changes of circumstances has resulted in the need for councils to prioritise their workload and in some councils, this led to the reduction or temporary cessation in intervention activity.
14. The volume of interventions fell by 43% between 2011/12 and 2013/14 due to councils concentrating on welfare reforms at the same time as the introduction by DWP in 2012/13 of ATLAS 2. ATLAS 2 is a system to share data on changes to social security benefits and tax credits with councils in order to help the identification of potential

incorrect HB and therefore reduces the number of cases that councils need to include in proactive intervention programmes.

15. However, due to many councils securing resources in HB services as a result of the on-going uncertainty with the migration to UC and responding to recent DWP fraud and error initiatives, most councils have increased intervention activity during 2014/15. Some councils now need to ensure that intervention activities are efficient and effective by focusing on the areas and methods that provide optimum returns.

## DWP initiatives to reduce fraud and error in the HB caseload

16. Over the last year, the DWP has increased its focus on reducing HB fraud and error and has developed a range of initiatives to help councils. These include real time data matching using Her Majesty's Revenue and Customs (HMRC) data and the Fraud and Error Reduction Incentive Scheme (FERIS).

### RTI

17. RTI is HMRC's system for collecting Pay as You Earn (PAYE) information from employers and pension providers. Since October 2014 the DWP has been matching RTI against HB data in councils to identify cases where claimants have either failed to declare or have under-declared earnings or a non-state pension. Councils are responsible for actioning RTI referrals from DWP in order to identify incorrect HB.
18. The RTI initiative targets high value overpayments, therefore not all unreported changes will be identified and therefore the volume of referrals each council receives varies each month.
19. Overall Scottish councils have found RTI referrals useful in identifying overpayments. Many councils have identified overpayments where a second job or an occupational pension was undeclared. However, the lack of detail about hours worked means councils need to review RTI referrals to ensure that the correct action is taken. Exhibit 2 below highlights practices which have proved effective.

#### Exhibit 2 RTI

Council	Good practice
Angus, Stirling and East Renfrewshire Councils	Review of RTI referrals has identified overpayments where a second job or an occupational pension was undeclared.
City of Edinburgh	HB claims are suspended to prevent overpayments occurring

Council	Good practice
Council	where RTI evidence does not match council information and a further review is required.

## FERIS

20. The DWP's FERIS was launched in November 2014 and will run until March 2016. FERIS offers financial reward to councils that identify reductions to HB entitlement above a pre-set threshold. The level of the reward is dependent on the degree to which individual councils exceed their threshold.
21. The first reporting period, covering December 2014 to March 2015 saw two Scottish councils receive payments for exceeding their thresholds. Renfrewshire Council received £19,456 and Clackmannanshire Council received £8,369. The final results for the second reporting period covering April to June 2015 are still being verified by DWP but indications show that four Scottish councils may receive payments.
22. Linked to FERIS, the DWP launched a Performance Improvement Fund (PIF) to provide funding to support councils that develop initiatives to help reduce fraud and error in HB. The PIF comprises two elements:
  - a start-up fund
  - a bid fund.
23. The start-up fund (£6.25 million UK wide for 2014/15) provided councils with funding to get initiatives started. Additional funding of £9.4 million is available across the UK as a "maintenance fund" in 2015/16 to allow councils to maintain start-up activities, or to undertake new initiatives. The £3 million 2014/15 bid fund allowed councils across the UK to bid for funding for new and innovative ideas such as marketing campaigns and IT solutions to help reduce fraud and error.
24. All Scottish councils joined FERIS although not all have applied for either start up or bid funding. All three of the major HB software suppliers received FERIS funding for IT modules to identify higher risk claims for intervention, automatically issue notifications to claimants and upload changes identified to HB systems. These IT modules are available free of charge to councils.
25. Examples of the funding awarded to councils are detailed in Appendix 1. The majority of start-up funding was awarded to provide additional resources for intervention activity. Fewer councils received bid fund awards, however funding has been provided mainly for initiatives to help remind customers to report changes.
26. The DWP has recently announced its "campaign in a box" which allows councils to use DWP templates for publicity campaigns to encourage claimants to report changes of circumstances.

## ATLAS

27. The DWP shares data on changes to social security benefits and tax credits through ATLAS. Therefore council intervention activity should focus on changes not reported by ATLAS, such as changes to earned income.
28. ATLAS was developed on the presumption that it would allow changes to be updated to council HB systems automatically. However this did not materialise. From 2011/12, due to councils experiencing considerable difficulties with the large volume of data provided by ATLAS and issues with duplicate information being received, many councils have worked with software suppliers in order to purchase software to automate some of the lower risk data updates. This can save a significant amount of staff time but it is for each council to decide on how it manages ATLAS updates, specifically, the level of risk it wishes to take in automating updates. The percentage of updates which are automated can vary due to the varying volumes of the different types of ATLAS updates received. City of Edinburgh Council has worked with its software suppliers and has automated all ATLAS updates where possible whereas Comhairle Nan Eilean Siar has very little automated. Appendix 2 provides examples of the level of automation reported by a number of other Scottish councils.
29. Comhairle Nan Eilean Siar suspends claims where ATLAS notifications are most likely to cause an overpayment. These items are then prioritised for action. ATLAS files are also screened to identify any additional changes that may have occurred e.g. to earned income.
30. Falkirk Council has a target for processing ATLAS updates and performance is regularly monitored. As shown in exhibit 3 below, in 2014/15 93% of auto-processed changes were processed on time with 89% of changes requiring some checks to be carried out also processed on time. Targets were revised at the start of 2014/15 hence the apparent deterioration in performance from 2013/14.

### Exhibit 3 Falkirk Council ATLAS performance information.

	2013/14	2014/15
Total no. of ATLAS transactions received	58,113	59,774
No. of ATLAS transactions auto processed	15,115	17,026
No. of ATLAS transactions processed centrally	11,651	13,698
% of batch ATLAS transactions processed on time (target was 3 days in 2013/14 and 2 days in 2014/15)	96%	93%
% of ATLAS transactions processed centrally on time	95%	89%

Source: Falkirk Council

31. Good practices we have identified are summarised in exhibit 4.

**Exhibit 4 ATLAS Good practice**

Council	Good practice
Most councils	A significant amount of work has been undertaken to automate some ATLAS change of details. This allows councils to focus resources on higher risk areas.
Comhairle Nan Eilean Siar	Claims are suspended where ATLAS notifications are most likely to cause an overpayment. These items are then prioritised for action. ATLAS files are also screened to identify any additional changes that may have occurred e.g. to earned income.
Falkirk Council	Targets are set for processing ATLAS updates and performance is regularly monitored.

# How councils encourage claimants and landlords to report change of circumstances

32. It is important that claimants and landlords are aware of their responsibility to report changes of circumstance and encouraged to report them on time.
33. With more councils using risk based verification where claimants assessed as being low risk may not be required to provide evidence to support income, capital details and the number of hours worked, it is especially important to ensure these claimants are aware that they are required to notify the council of any future changes in these areas.
34. Scottish councils have various initiatives in place to encourage claimants to report changes. Many of these have been introduced since the introduction of FERIS funding and as a result activity in this area has increased over the last nine months.
35. As standard, councils include reminders in letters to customers and in many cases, also include a change of circumstances form with decision notices, letters and council tax bills. Within the benefit sections on council websites information is provided in respect of overpayments and the need to report a change of circumstances along with details of how customers should report a change e.g. a downloadable form. In addition, many HB application forms have a section to remind claimants to notify the council of changes in circumstances. Other initiatives of particular note are included in the exhibit below.



**Exhibit 5 Good practice in encouraging claimants to report change of circumstances**

Council	Good practice
Angus, City of Edinburgh, East and West Dunbartonshire Councils	A text reminder service asking claimants to report changes is being implemented.
City of Edinburgh Council	Risk based verification is in place for new claims and change of circumstances. The council is finding that risk based verification is delivering efficiencies by reducing the requirement to verify earnings and other changes to source documentation for low risk claims.
City of Edinburgh Council	A media campaign launched revised online HB claim forms along with a reminder for claimants to report changes.
Comhairle Nan Eilean Siar	In order to encourage landlords to notify changes to the authority at the earliest opportunity, overpayments are automatically recovered from a landlords' next payment where the landlord could reasonably be expected to know that they are being overpaid e.g. where a tenancy has ended or the tenant has died.
Dundee City Council	Postcards are dispatched and posters are displayed to encourage claimants to report changes.
East, North and South Ayrshire Councils, Glasgow City & the Scottish Borders Councils	Radio, poster, magazine and leaflet media campaigns are being used to encourage claimants to report changes.
East Dunbartonshire Council	Tenancy changes are received automatically from the largest housing associations and the council housing department.
East Renfrewshire Council	A leaflet ' How we work out your benefit' has been published which includes information about the types of changes of circumstances that should be reported. An appointment system for claimants to provide information has been introduced to reduce time spent following up evidence claimants fail to provide. A text reminder is also sent to the claimant one day before the appointment.
Falkirk Council	HB officers attend tenancy sign-ups and the council uses information customers provide for one function e.g. a change of address, across others services such as council tax, and housing rents.

Council	Good practice
Glasgow City Council	Two dedicated officers liaise with landlords on an ongoing basis and as a result, a significant number of landlords provide their rent files electronically which automatically upload changes to the HB system.
Scottish Borders Council	An interface is in place with the three largest registered social landlords, the council homeless service and the local registrar to ensure changes are notified promptly.
Stirling Council	To help ensure claimants are aware of changes they need to report, a facility is in place for claimants to view their HB claim online. This includes details such as the award notice and the income used in the HB calculation.
The Highland Council	Claimants are encouraged to report change in circumstances through various channels including a Freephone number, email, and by working closely with partners such as housing associations, the Citizen's Advice Bureau and the council's housing department. The council also regularly advise private landlords of their responsibilities and the need to notify the council of any change in circumstances which they are aware of.
The Highland Council	Translation services including braille, audio transcript, Polish, Gaelic and other languages as necessary are offered to ensure all customers understand paperwork sent to them. As per the council's FERIS bid, a significant customer engagement programme and media campaign is being progressed.

# Intervention strategies and plans

36. It is vital that intervention activity is effectively planned, risk based and proportionate and that outcomes are analysed to help inform future intervention plans and to ensure that activity is achieving value for money.
37. Intervention strategies and/or plans should be in place which typically include details of the approach for at least the year ahead including; the methods used to identify claims at most risk of change, the manner in which interventions will be carried out (e.g. by letter), a time line of planned activity, and details of the analytical, monitoring and

reporting mechanisms that will be used to measure outcomes. The strategy/plan should be reviewed regularly.

38. There is a varied picture across Scotland. Detailed plans were in place in many councils up to 2012 before the implementation of changes arising from the welfare reform agenda took priority. However, over the last nine months, councils have been developing new, or revising existing plans, following the launch of FERIS and the receipt of RTI referrals. Details of some of these plans are shown in exhibit 6 below along with some areas we have identified which require improvement in exhibit 7.

#### Exhibit 6 Intervention strategies and plans & improvement areas

Council	Details of plan and strategies
Aberdeenshire, East Renfrewshire and Midlothian Councils	Intervention programmes are in place which include details of the types of claims to be targeted and the methods used to identify high risk claims.
Argyll & Bute Council	An Accuracy Programme is in place which consists of five work streams which includes the interventions methods to be used and the evaluation of outcomes.
City of Edinburgh Council	"Intervention procedures" are in place to ensure a consistent approach.
East Ayrshire Council	A strategy is in place detailing planned intervention activity and the types of cases to be targeted.
Glasgow City Council	An interventions campaign strategy is in place setting out the type and number of interventions to be carried out each month, and takes into consideration the information that is already provided e.g. from RTI and council tax single persons discount reviews.
Stirling Council	Procedures for intervention activity are in place which include the council's annual intervention programme on a month by month basis.
The Scottish Borders Council	The intervention strategy was revised but, it was not fully implemented in 2014 as planned due to competing welfare reform priorities. The strategy has been revised again recently to reflect RTI referrals and was implemented during 2014/15.

39. Some improvements were identified during our review of strategies and plans. These improvement areas may be applicable to a number of councils. Details are shown below in exhibit 7.

### Exhibit 7 Intervention strategies and plans: improvement areas

#### Improvement area

A Quality Performance Strategy is in place in one council however in 2013, due to the implementation of the changes arising from the welfare reform agenda, proactive intervention activity was reduced and information was not collated in order to review the effectiveness of activity undertaken. The service has plans in place to revise the strategy in 2015.

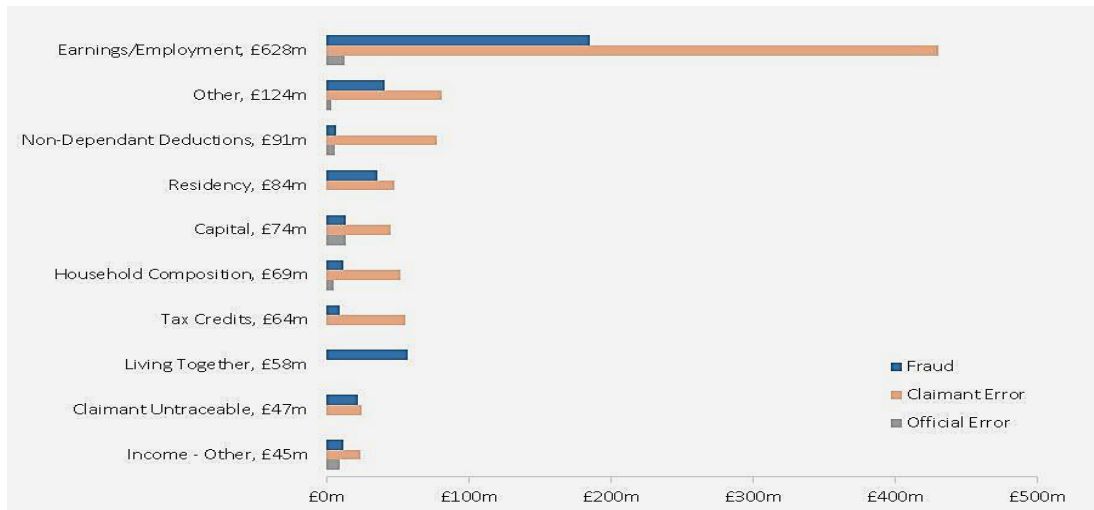
Another council has not had a programme of proactive intervention activity since 2012 although the council has continued to action ATLAS updates and pre-noted diary events. In common with other councils, proactive intervention activity has recommenced at the end of 2014.

A third council does not have a proactive intervention programme in place. Intervention activity is undertaken only using RTI referrals and the HBMS risk file.

## How councils target intervention activity

40. It is important that intervention activity is targeted on the HB claims most likely to have an unreported change of circumstances. Scottish councils use information they receive from other sources e.g ATLAS changes, RTI referrals and the DWP's Housing Benefit Matching Service (HBMS) high risk data file to help identify claims with unreported changes. However proactive intervention activity is also required as these methods cannot provide assurance that all claim types are being paid correctly and that overpayments are being minimised.
41. The DWP issued their Housing Benefit Fraud, Error and Debt Reduction Strategic Approach in March 2015 showing a breakdown of the 2013/14 HB fraud and error UK statistics by loss type. Exhibit 8 shows claimant error, and specifically earnings error is by far the greatest area of loss. Other causes of fraud and error such as not declaring non-dependants in the household, non-residency, and capital have also resulted in large losses.

**Exhibit 8 Breakdown of Overpayments in HB 2013/14.**



Source: DWP-Fraud and Error in the Benefit System 2013/14

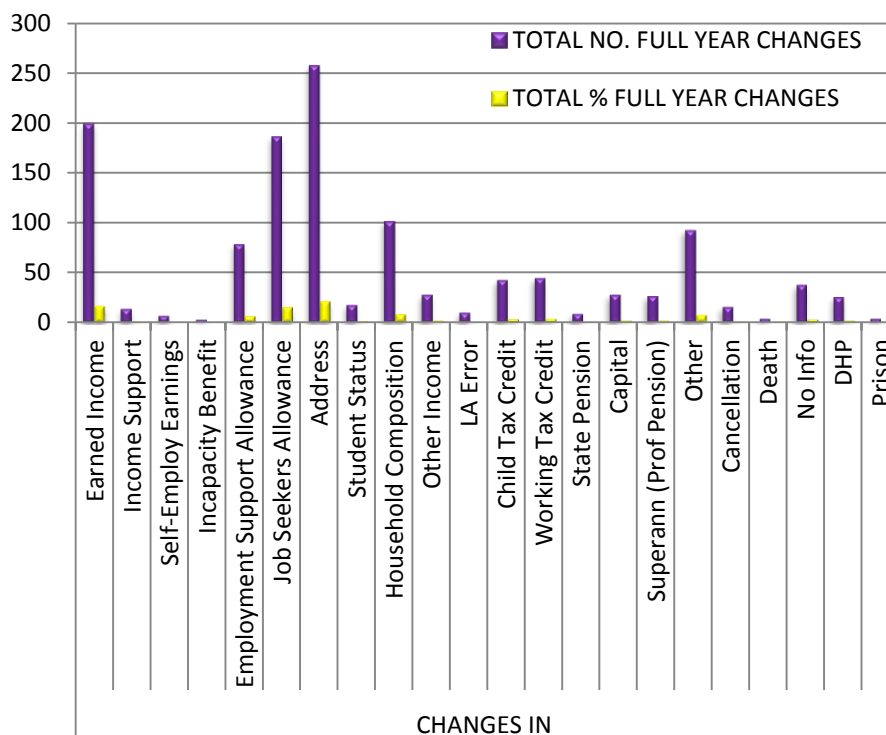
42. As shown in Exhibit 9 below, Scottish councils use a variety of methods to identify cases for proactive intervention. All councils use benefit system weekly reports that list significant age changes and those cases where a future change had been previously noted. As discussed previously, software suppliers received FERIS funding to develop software which may help target high risk claims.

**Exhibit 9 Sources used to target intervention activity**



- 43. Proactive intervention activity in Scottish councils is targeted at a number of different claim types. Appendix 3 shows the claimant groups being specifically targeted by councils.
- 44. Argyll & Bute Council run system reports identifying claims with the greatest risk of change, review overpayment reasons as detailed in Exhibit 10, and review the outcomes from previous intervention activities to establish any trends and patterns.

**Exhibit 10 Overpayments created by unreported change in circumstances 2013/14**



Source: Argyll & Bute Council

- 45. As shown above, "address" is the highest category of overpayment. Councils can access the National Fraud Initiative's (NFI) *application checker* module which is normally used at the initial point of a claim to compare information across a number of data bases and help identify any discrepancies. The application checker could also be used for existing claims. This may be an efficient way to quickly verify details for certain groups of claimants.
- 46. Details of other good practice activities being undertaken by councils are shown in the exhibit 11 below.

**Exhibit 11 good practice in the targeting intervention activity**

Council	Initiative
Angus Council	The service adopted a risk based approach by trying to predict when changes are likely to occur for a claim. The service has examined it's caseload by income type and undertook an exercise to input against each claim a diary event of when there was most

Council	Initiative
	likely to be a change of circumstances in the claim. Following this exercise procedures were adopted to ensure that after inputting a new claim or change of circumstances officers also review the claim and input a diary event of when there was likely to be a further change of circumstances. These diary events are reported on weekly.
East Ayrshire Council	Plans are in place to review certain groups of claimants such as those claimants over 55 years of age who may have taken pension withdrawals following the UK government's recent change to accessing pensions.
East Renfrewshire Council	The council has identified a number unreported changes relating to its own employees and a campaign is being developed to remind employees of the need to report changes.
Glasgow City Council	A review of passported claims has identified a number of ATLAS changes which the council had not received. Relevant claims have been identified and are being updated. The council also has council tax staff working alongside HB staff and found this arrangement to be effective in identifying where a change in council tax may indicate an unreported change affecting HB.
Midlothian Council & The Highland Council	Intervention activity is targeted based on analysis of overpayments to identify trends in the cause of overpayments.
South Ayrshire Council	Overpayment reports have been developed which review levels of claimant error overpayments and help the council to better target intervention activity.
Scottish Borders Council	<p>Information is checked across systems such as social work financial assessments, educational benefit applications, DHP, council tax and the Scottish Welfare Fund to identify and investigate any discrepancies.</p> <p>Examples of how this has highlighted inconsistencies include tax credit information provided for educational benefit claims which has differed from the information provided in respect of HB claims, additional occupants have been identified on Scottish Welfare Fund applications and changes to rent liability and capital have come to light from homecare applications.</p>

# Who carries out intervention activities?

47. In most cases, intervention activity is undertaken by the benefit service, with some services having specific intervention teams. However, in order to improve efficiency, other council departments or external organisations are involved in the process. Examples of current practices are included in the exhibit 12 below.

**Exhibit 12 who carries out intervention activity**

Council	Practice
Angus Council	The benefit service carries out the majority of interventions by telephone. However the revenues and benefits service's visiting officers carry out intervention visits on high-risk claims.
Argyll & Bute Council	A dedicated FERIS team of benefit assessors is in place to concentrate on change of circumstances work.
City of Edinburgh Council	An interventions team is in place which concentrates on risk based interventions. In addition, some ad-hoc visits are carried out jointly with the Pension Service.
Comhairle Nan Eilean Siar	The officer responsible for new claims sends out interventions. Once all relevant documentation is received, it is passed to the change of circumstance processing team.
Dundee City Council	A RTI team consisting of six members from the benefit service has been set up to action all RTI referrals. This has reduced the need to train all staff in RTI processes.
East Renfrewshire Council	The service makes good use of the council's Arrears Control Liaison Officer to carry out visits on behalf of the benefit service.
Falkirk Council	All DWP reported changes are dealt with by a centralised team who carry out further interventions and checks where appropriate.
Glasgow City Council	An intervention team consisting of a team leader, four interventions officers, and supported by a dedicated visiting officer is in place. The team is located alongside the overpayments team who report to the same senior manager to ensure synergy between the causes for overpayments and targeted intervention.
Midlothian Council	The revenues service has a dedicated visiting officer to carry out notified intervention visits.
Stirling Council	The Revenues and Benefit Support Unit carries out interventions



Council	Practice
	and reviews.
Scottish Borders Council	Intervention activity is dealt with by HB assessors. However going forward the council plans to take a two tier approach in order to make best use of assessor's specialised skills. Front line staff will deal with issuing interventions and collecting the relevant evidence. Following receipt of all information it will be passed to assessors who will reassess HB awards.
The Highland Council	The operations team carries out intervention activity. A dedicated benefit visiting team undertake intervention visits which include visits to new private tenants to ensure residency. The council's income management team carries out similar visits in respect of new council tenants. In addition, the council's investigation team pursues a failure to report changes where there is an indication of fraudulent intent.

## Outcomes of intervention activity

48. It is important that outcomes are recorded and analysis undertaken to ensure resources are used efficiently and effectively in order to deliver planned outcomes. Varying success rates have been reported for intervention activity carried out as shown in exhibit 13. However it is evident from the exhibit that intervention activity volumes dropped overall by 43% between 2011/12 and 2013/14 to concentrate on welfare reforms although volumes have improved in most councils from 2014/15.

**Exhibit 13 outcomes of intervention activity**

Council	2011/12		2012/13		2013/14		2014/15	
	No.	% changes	No.	% changes	No.	% changes	No.	% changes
Angus Council	2940	89	2698	92	2874	88	1276	90
Falkirk Council	5233	23	4983	8	355	84	758	84
South Ayrshire Council	570	72	460	60	226	75	311	77
City of Edinburgh Council	6082	50	3669	54	2124	65	3190	75
Comhairle Nan Eilean Siar	n/k		n/k		359	70	220	72
Midlothian Council	133	n/k	489	n/k	867	55	892	71
Argyll & Bute Council	4742	63	3026	65	1679	66	2077	70
Stirling	1314	62	1372	69	1409	60	1289	70
Perth & Kinross Council	631	n/k	741	n/k	374	66	1129	66
East Dunbartonshire Council	1748	65	2260	55	1089	74	1849	63
Dundee City Council	1950	n/k	232	n/k	0	0	393	63
West Dunbartonshire Council	1448	23	1679	16	1312	31	1528	48
Aberdeenshire Council	4107	40	3165	40	2788	52	2956	47
Scottish Borders Council	1427	16	684	17	1819	61	767 *	47
The Highland Council	4681	15	7450	11	3259	28	3442	43
Glasgow City Council	26647	4	20533	5	13978	14	23119	21
Clackmannanshire Council	1142	n/k	836	n/k	584	n/k	403	n/k
East Renfrewshire Council	867	n/k	n/k	n/k	2443	n/k	1301	n/k
<b>Total</b>	<b>65662</b>		<b>54277</b>		<b>37539</b>		<b>46900</b>	

N/k- not known

\* The Scottish Borders Council had software issues regarding the recording of DWP Real Time Information (RTI) referrals. Total interventions are estimated by the council to be around 1,000 for 2014/15.

West Lothian Council had limited information making any meaning comparison difficult

49. The high percentage of cases resulting in a change to the customer's benefit in Angus, City of Edinburgh, Falkirk and South Ayrshire Councils is testament to the targeted approach that these councils have been undertaking.
50. In addition, we found that some councils are analysing the outcomes from interventions to help refine their approach and target resources on areas which have proved successful in identifying unreported changes of circumstances. Examples of analysis being undertaken along with details of where improvements could be made are shown in Exhibits 14 and 15 below.

#### Exhibit 14 Analysis of intervention outcomes

Council	Analysis
Argyll & Bute, East Renfrewshire, Falkirk and Stirling Councils	Outcomes from intervention activities are analysed and the value of overpayments and underpayments that have been identified are linked to each intervention type. East Renfrewshire Council recently started its analysis in 2015/16.
City of Edinburgh Council	The service records the number of interventions issued and completed, the value of over/underpayments identified, the number of changes identified using the various intervention activities and methods, the root cause of error reasons as well as a breakdown of staff errors, if any.
Glasgow City Council	The interventions approach has been revised to include interventions targeted at higher risk claims. Previous blanket intervention campaigns did not result in a large percentage of identified changes. The council has also set up a team to monitor overpayments looking at the level of overpayments raised, any claimant specific groups e.g. those claimants with the same landlord, and also analyses the root cause e.g. failure to declare an increased income.
Midlothian Council	In respect of visits, the service records how many interventions it has carried out, the dates of initial and follow up visits, whether the visits were effective and the monetary value of changes in entitlement.
Scottish Borders Council	The service records and reports on the effectiveness of its activity however, the council does not record the financial value of under and over payments.
The Highland Council	The service carried out a full review of the council's caseload in 2011/12 and 2012/13 to ensure the council had a recently completed application form in all cases. However, this provided the council with little assurance that it was effectively targeting resources on minimising error in its caseload. Intervention outcomes have improved significantly from

Council	Analysis
	2013/14 due to more effective targeting of the caseload.
West Dunbartonshire Council	Records are maintained detailing whether there was an increase, decrease or no change to HB awards and the intervention method e.g. postal. Additional analysis of the root cause of the change may help to focus future activity.

51. As shown in exhibit 15 below, it is of concern that some councils have either not been carrying out proactive interventions or not recording the outcomes from interventions in sufficient detail to establish the effectiveness of their activity.

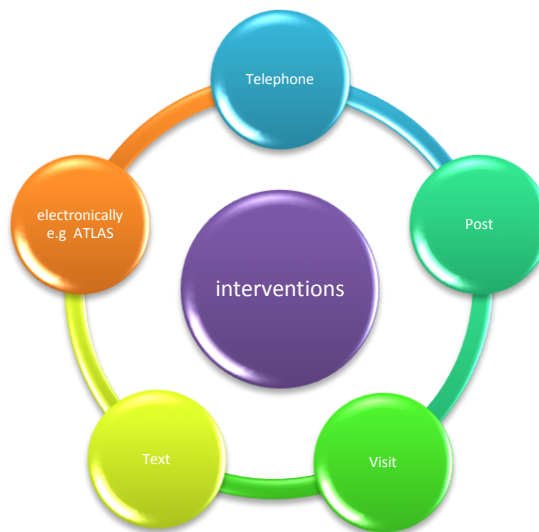
**Exhibit 15 Improvement areas regarding analysis of outcomes**

Activity
One council has not carried out any proactive interventions since 2010. This was a conscious decision by the council to concentrate its resources on improving processing performance at the expense of intervention. Intervention activity was limited to reviewing those cases where a potential change in circumstances had been previously noted on the benefits IT system diary. A new intervention plan was put in place at the end of 2014/15 to re-commence proactive intervention activity.
One council previously had a target to review 600 cases each year. This was reduced to 300 from 2013/14 due to the impact of welfare reform although no analysis of the caseload was undertaken to determine if this target was appropriate. The council is introducing a quarterly performance indicator relating to the percentage of changes due to reviews against the number issued to help monitor the effectiveness of its activity.
Intervention performance is currently evaluated by another council by comparing the number of changes identified to the number of interventions issued. Comparison instead with the number of interventions actually completed would provide a more accurate picture.
The results of current intervention work are unknown in three councils. In one of these councils, the recording of the outcome of intervention activity has been limited since the migration to a new IT system in 2012. However, the council has introduced an improved monitoring system from 2015/16.

# Review of intervention methods used in Scotland

52. Intervention methods need to provide councils with optimum returns. Over the last few years, many councils have moved away from visiting claimants and adopted quicker and potentially more efficient means of carrying out interventions. This includes the use of telephone and postal interventions, as well as the changes provided electronically e.g. through ATLAS. The methods currently used are shown below in Exhibit 16.

**Exhibit 16 Intervention methods used in Scotland**



53. Many intervention methods have been adopted as a result of local arrangements and relationships and/or local circumstances. As shown in Appendix 4, the most councils use postal and telephone interventions with visits undertaken, if appropriate. Other initiatives of particular note are shown in exhibit 17 below.

**Exhibit 17 Intervention methods**

Council	Good practice
Aberdeenshire Council	A review of their intervention activity found the previous method of using visits was not providing planned outcomes. The review identified that in terms of the number and percentage of changes identified telephone and postal reviews were more effective.
Angus, City of Edinburgh, East Dunbartonshire and West Dunbartonshire	A text reminder service asking claimants to report changes is being implemented. The text sent to claimants includes a link to the council's online change of circumstances form.

Council	Good practice
Councils	
Midlothian Council	Analysis of 825 visits undertaken by during 2013/14 identified that 469 (57%) were either partly effective or unsuccessful. The council has since reviewed its processes and now undertakes more postal interventions and provides claimants with more information prior to visits to help improve outcomes.
Perth & Kinross Council	The analysis of intervention outcomes has identified that effective targeting of evening visits has identified a number of unreported 'living together' changes.

## Fraud prevention

54. Despite the on-going transfer of council HB fraud officers to the DWP's Single Fraud Investigation Service (SFIS), councils retain a responsibility to minimise fraud in the HB caseload. This includes sifting 2015 NFI HB matches for potential fraudulent activity.
55. It is considered good practice to attempt to deter fraud from occurring in the first place e.g. by advertising successful prosecutions and any pro-active fraud initiatives. In order to act as a deterrent to others considering fraud, many councils including Argyll & Bute, Dundee City, East Renfrewshire, Falkirk, Stirling, and West Dunbartonshire Councils prioritise the recovery of fraudulent overpayments and administrative penalties. Where appropriate a higher rate of recovery for fraudulent overpayments is applied to on-going benefit. Where the customer is no longer in receipt of benefit, an invoice is issued.
56. Falkirk Council recovered all administrative penalties issued for 2013/14 and East Renfrewshire Council recovered 71.54% of all administrative penalties issued in 2014/15. This demonstrates a commitment by these councils to proactively pursue those found to be fraudulently claiming HB. However nearly £22,500 of administrative penalties were outstanding in 2014 in West Lothian Council, with the council only recovering £45 per month. This debt has since been reviewed and is being recovered by the corporate debt team.
57. Various other counter fraud initiatives are in place in Scottish councils, some of which are shown in exhibit 18 below.

**Exhibit 18 Counter fraud practices**

Council	Practice
Falkirk Council	<p>Fraudulent overpayments are annotated on the benefit IT system to allow increased monitoring and prioritised for recovery.</p> <p>Participation in the previous NFI exercise resulted in 31 interventions resulting in £134,352 of HB and council tax reduction overpayments being identified. As a result, experienced staff have been redeployed to the current NFI exercise.</p>
Glasgow City Council	<p>The recovery of HB overpayments is included in the contract with the council's debt management partners.</p>
West Dunbartonshire Council	<p>Fraud awareness sessions are delivered to benefit and other staff highlighting the importance of the benefit service being notified of change of circumstances.</p>

# Appendix 1- FERIS funding

Council	£ and type	Funding
Aberdeenshire Council	<b>Start up funding</b> - £15,179	<b>Start up funding</b> -for an additional staff resource to concentrate on change of circumstances and for publicity around reporting changes. Maintenance funding was received to retain this additional resource in 2015/16.
Angus Council	<b>Start up funding</b> - £6,000 <b>Bid fund</b> -£37,960	<b>Start up funding</b> -for an interventions IT module to identify high risk claims. <b>Bid fund</b> -for promotional material, an additional temporary post and an intervention text messaging IT module.
Argyll & Bute Council	<b>Start up funding</b> -£8,400	<b>Start up funding</b> -to undertake a significant review of intervention activity assisted by a consultant. Maintenance funding was received to develop the project through 2015/16.
City of Edinburgh Council	<b>Start up funding</b> - £46,686	<b>Start up funding</b> -to increase staff resources in the intervention team. Maintenance funding was received to retain this additional resources in 2015/16.
Dundee City Council	<b>Start up funding</b> - £21,125	<b>Start up funding</b> - for staff resources to undertake telephone interventions in the evenings and weekends, to undertake interventions on claims with working tax credit changes, training housing and registered social landlords how to encourage customers to report changes, and a postcard and leaflet media campaign.
East Dunbartonshire Council	<b>Start up funding</b> - £6,600	<b>Start up funding</b> - to use overtime to target intervention activity at claimants with occupational pensions, non dependants and earned income. Maintenance funding was received in 2015/16.
East Renfrewshire Council	<b>Start up funding</b> -£4,285	<b>Start up funding</b> - for a temporary member of staff to deal with intervention activity. Maintenance funding was received to retain this additional resource in 2015/16.
Falkirk Council		Maintenance funding was received for an electronic change of circumstances form.
Glasgow City Council	<b>Start up funding</b> -	<b>Start up funding</b> - to set up a project team and a separate operations team to focus on change of circumstances.



Council	£ and type	Funding
	£101,000 <b>Bid fund-</b> £95,956	<b>Bid fund-</b> for a poster campaign on buses and in the underground and a newspaper campaign. In addition a radio campaign was undertaken, in conjunction with neighbouring councils across a number of radio stations. Maintenance funding was received in 2015/16.
Midlothian Council	<b>Start up funding -</b> £7,800	<b>Start up funding -</b> to employ an extra employee. Maintenance funding was received to retain this additional resource in 2015/16.
Perth & Kinross Council	<b>Start up funding -</b> £4,000	<b>Start up funding -</b> for staff resources for intervention activity. Maintenance funding was received for a fixed term post.
Scottish Borders Council	<b>Start up funding-</b> £5,440	<b>Start up funding-</b> for staff resources and to carry out a radio and magazine advertising campaign. Maintenance funding was received to retain this additional resource in 2015/16.
South Ayrshire Council	<b>Start up funding-</b> £9,200	<b>Start up funding-</b> to undertake a joint media campaign with the other two Ayrshire council using radio advertising, leaflets and posters on buses, in restaurants and bars. Maintenance funding was received to undertake remote processing of change of circumstances.
Stirling Council	<b>Start up funding-</b> £12,000	<b>Start up funding-</b> to recruit an additional member of staff to concentrate on interventions. Maintenance funding was received to retain this additional resource in 2015/16.
The Highland Council	<b>Start up funding -</b> £19,184 <b>Bid fund-</b> £32,150	<b>Start up funding -</b> for new intervention software and a system to help identify claims suitable for a review. <b>Bid fund-</b> to undertake a customer engagement project in order to identify the reasons why claimants do not report changes and then to review the findings with a view to amending current practices in order to make the reporting of changes easier for claimants. In addition the council is introducing a "Claimant Commitment" promising claimants a short turn around timescale when they submit wage slips. A facility is available to allow claimants to submit wage slips electronically. The council are also undertaking internal data matching mainly to verify household composition. This is focusing on claims with students, council employees, pensioners, single adults and claimants with capital close to benefit assessment limits. Maintenance funding was received for media advertising of the "Claimant Commitment" as well as in-house data matching and staff resource.

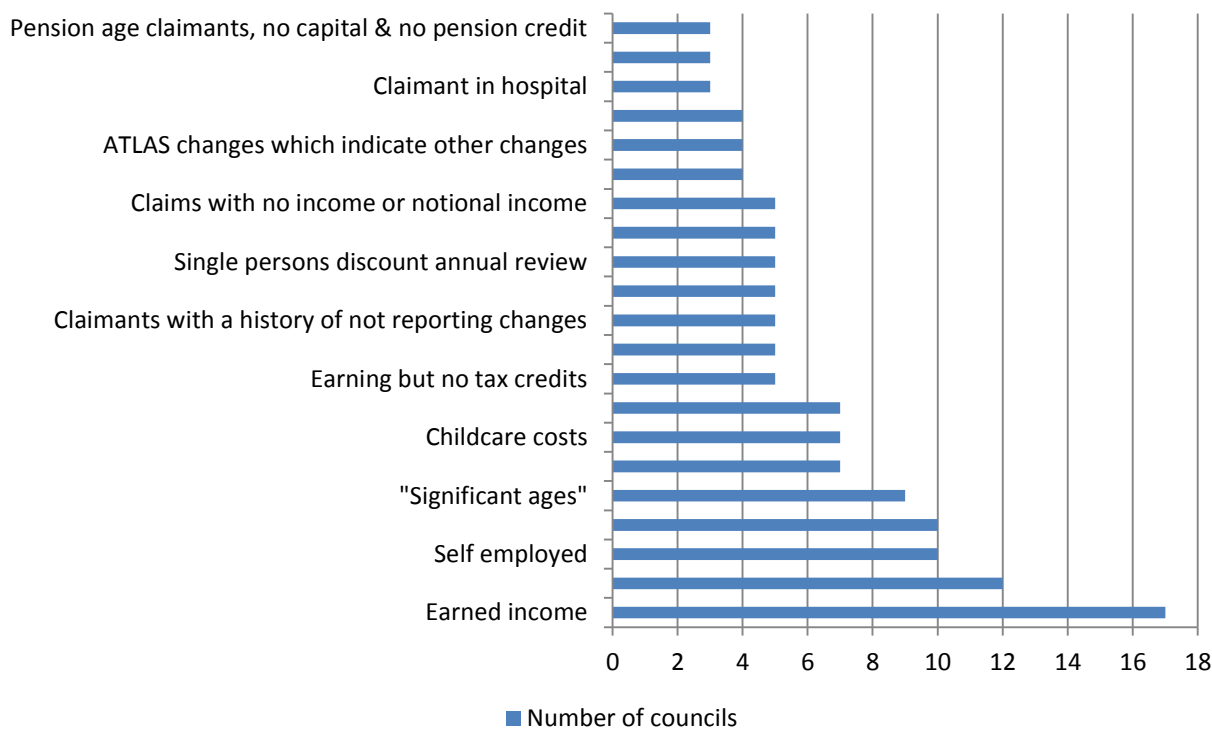
Council	£ and type	Funding
West Dunbartonshire Council	<b>Start up funding-</b> £13,993	<b>Start up funding-</b> for staff resources, an online texting facility for change of circumstances and for increased correspondence costs. Maintenance funding was received in 2015/16.
West Lothian Council	<b>Start up funding-</b> £17,415	<b>Start up funding-</b> for additional staff resources, overtime, a poster campaign, staff training and development costs for a web based change of circumstance form. Maintenance funding was received in 2015/16.

# Appendix 2-ATLAS

Council	approximate % of ATLAS updates automated
City of Edinburgh Council	All where possible
East Dunbartonshire Council	90-94%
Dundee City Council	80-85%
Angus Council	70%
Glasgow City Council	70%
The Highland Council	60-70%
The Scottish Borders Council	60-70%
Aberdeenshire Council	60%
Perth & Kinross Council	60%
South Ayrshire Council	60%
Midlothian Council	50%
Stirling Council	33%
West Lothian Council	20%
Comhairle nan Eilean Siar	Very little

# Appendix 3- Claimant groups targeted for intervention activity

## Claimant groups targeted for intervention activity



# Appendix 4-Intervention methods used by Scottish councils

Council	Visits	Postal	Phone	Text messaging	Comments
Angus Council	✓		✓	✓	Visits are only carried out where necessary
Argyll & Bute Council	✓	✓	✓		The method used varies across campaigns and to ensure the cost is proportionate to expected outcomes.
City of Edinburgh Council	✓	✓		✓	Some ad hoc visits are conducted jointly with the Pension Service
Comhairle Nan Eilean Siar	✓	✓	✓		Visits carried out for vulnerable claimants. Only a small number of telephone interventions are carried out.
Dundee City Council		✓	✓		Telephone interventions have only been undertaken from 2015/16.
East Dunbartonshire Council		✓	✓	✓	Implementing text reminder service
East Renfrewshire Council	✓	✓			Visits are only carried out where appropriate e.g. to confirm residency.
Falkirk Council	✓	✓			Visits are only carried out where appropriate e.g. to confirm residency.
Perth & Kinross Council	✓		✓		Visits only conducted where there are concerns about a claim.
South Ayrshire Council	✓	✓			Visits are only carried out on one day per calendar month.

Council	Visits	Postal	Phone	Text messaging	Comments
Stirling Council	✓	✓	✓		Visits carried out for vulnerable claimants. Only a small number of telephone interventions are carried out.
The Highland Council	✓	✓			Where forms are not returned these are followed up by a home visit. Visiting Officers undertake new claim home visits.
West Dunbartonshire Council	✓	✓		✓	Only a few visits undertaken.
West Lothian Council		✓			Interventions all by post

## Audit Scotland - Review of activity to reduce fraud and error in housing benefit

The following is an account of the activity and performance of Inverclyde Council against the findings contained within Audit Scotland's report.

### 1. RTI (Real Time Information) (page 7)

Exhibit 2 (page 7)

- The majority of RTI referrals has identified overpayments where a second job or occupational pension was not declared;
- Other circumstances are claimant's failure to report a change to their employer and increased hours worked
- HB claims are suspended to prevent overpayments occurring where RTI evidence does not match council information and a further review is required

### 2. FERIS (Fraud and Error Reduction Incentive Scheme) (page 8)

- Participated in a joint DWP funding bid for a processing system upgrade, now in place and provides additional functionality to identify high risk claims for review and improved administration features.
- Bid funding received for a campaign to raise awareness with customers to report changes of circumstances and to support additional intervention casework. Campaign activities included Housing Association newsletter articles, leaflets, and Customer Service Centre plasma screen messages, all supported by training delivered to customer service staff based at Inverclyde Council and at Housing Associations.

### 3. ATLAS (Automated Transfer to Local Authority Systems) (page 9)

Exhibit 3: ATLAS Transactions

	2013/14	2014/15
Total no. of ATLAS transactions received	46,865	43,373

Exhibit 4: ATLAS Good Practice

- ATLAS notifications are on the whole actioned on the day they are received which ensures that any potential overpayments are minimised.
- Investment has been made in system upgrades to automate approximately 55% - 60% of ATLAS change reports.
- Claims are suspended and ATLAS files are screened to identify other changes of circumstances with customers being contacted to capture additional information about their household circumstances to enable HB entitlement to be assessed correctly and for payments to resume.

**4. Encouraging Claimants to report change of circumstances** (page 10)

Exhibit 5 (page 11)

- HB assessment officers have access to Council Tax address change information
- Information taken from Scottish Welfare Fund and Discretionary Housing Payment applications is shared with HB assessors.
- Tenancy change files are received from River Clyde Homes which automatically upload changes to the HB system
- HB training raising awareness of reporting changes of circumstances has been delivered on a rolling programme to staff based at the Customer Service Centre, Housing Associations and the Homelessness Service.
- An online change of circumstances reporting form is completed by customer service, Housing Association, Homelessness and Money Advice staff with their customers and is submitted directly to the HB service.
- Recoveries of overpayments are made from landlords' next payments in an attempt to encourage them to report changes of circumstances.
- Change of Circumstances leaflets are available in customer services at Inverclyde Council and Housing Association offices and messages are displayed on customer service plasma screens and published in Housing Association newsletters
- Death notifications are received from Registrars through the government "Tell Us Once" gateway.

**5. Intervention strategies and plans** (page 12)

Exhibit 6 (page 13)

- An Intervention plan is agreed at the start of each year and is approved by the Revenues and Customer Services Manager
- An intervention programme include the details of the types of claims to be targeted each month (campaigns); the methods to be used to target high risk claims; and the methods to be used to obtain information
- The programme takes into consideration other planned activity within the service and relevant times of the year eg students are reviewed June/ July
- The programme is reviewed and may be adjusted in year if there is scope to add additional groups of claims or to accommodate unexpected demands on the services
- Intervention procedures are in place to ensure a consistent approach
- Bespoke refresher training is delivered to staff immediately before each campaign is launched

**6. How councils target intervention activity** (page 14)

Exhibit 9 Sources used to target intervention activity (page 15)

Inverclyde Council uses all of the sources contained within the report



Exhibit 11 (page 16)

- It is standard practice to consider predictable changes in circumstances and record an appropriate alert (diary event) against claim records each time claims are assessed or updated. These diary events are reported monthly.
- Council Tax staff work alongside benefits staff which is found to be effective identifying where a change in council tax may indicate an unreported change affecting HB.

## 7. Who carries out intervention activities? (page 18)

Exhibit 12 (page 18)

- Interventions are carried out by phone, letter, review form dependant on the campaign
- A dedicated team of benefit assessors concentrate on FERIS campaigns, diary events and RTI. ATLAS records are distributed to be processed across the wider benefit assessment team
- Visits are carried out based on level of risk to verify residency

## 8. Outcomes of intervention activity

Exhibit 13 (page 20)

2011/12		2012/13		2013/14		2014/15	
No.	% changes	No.	% changes	No.	% changes	No.	% changes
1742	86%	852	28%	1177	50%	1346	58%

Exhibit 14 (page 21)

- The number of interventions issued and completed and the percentage of interventions where a change is identified is recorded.
- The Intervention plan has been adjusted over a number of years based on analysis of results. Overpayment sampling analysis is carried out to better understand the reason for overpayments. Focus is placed on specific groups e.g. those claimants with the same landlord, and also analysis of the root cause, e.g. failure to report address changes. Local knowledge is used e.g. the date large employers' pay-rises are due to be processed.

Exhibit 17 (page 23)

- A review of intervention activity found that visits were not achieving outcomes. The review identified telephone and postal reviews were more effective in terms of the number and percentage of changes identified. A limited number of risk based visit reviews are conducted.

## 9. Fraud Prevention

- The local press is notified of upcoming Housing Benefit fraud court cases. These are given prominent coverage.

- Fraudulent overpayments are recovered from those who remain entitled to Housing Benefit at the highest permitted rate of recovery.
- Fraud awareness sessions are delivered periodically to benefit and other staff drawing their attention to circumstances and the importance of reporting information to the benefit service to investigate.
- Participation in the previous National Fraud Initiative (2012/13) exercise resulted in 1392 interventions which lead to £116,816.48 of HB and Council tax reduction overpayments being identified.
- All administrative penalties issued for 2013/14 and in 2014/15 have been recovered in full by the corporate debt team.

Start-up funding: £ 6,444

Funding was received for employee costs to:

- Develop and launch a marketing campaign with supporting materials to promote the need to report changes of circumstances. This included the delivery of staff briefing sessions with Customer Services and Housing Associations, messages on plasma screens, leaflets and articles in Housing Association newsletters.
- The development of additional review categories and the development and production of a suite of reports to support these

Maintenance funding was received to contribute to employee costs for the:

- Preparation of the additional cases selected for review.
- Processing of additional reported changes of circumstances and to handle enquiries generated by the notification of changes to HB entitlement.

### **Appendix 2 – ATLAS**

Approximately 55% - 60% of ATLAS updates are automated

### **Appendix 3 – Claimant groups targeted for intervention activity**

- Pension age claimants, those with former works pensions
- Claimant in hospital
- ATLAS changes which indicate other changes
- Single persons discount annual review (carried out by the Revenues team)
- Claimants with a history of not reporting changes
- Earning but no tax credits
- Childcare costs
- “Significant ages”
- Self employed
- Earned income
- Capital/ savings
- Income below the “needs allowance”
- Employed with limited entitlement – potentially unreported increase in earnings

### **Appendix 4 – Intervention methods used**

Visits, postal and phone – The method used varies across campaigns to ensure the cost is proportionate to expected outcomes. Text interventions are under consideration.

**Audit Scotland: Review of activity to reduce fraud and error in housing benefit  
Good Practice**

	<b>Area of Good Practice</b>	<b>Proposal - Inverclyde</b>
1	Check information across systems to identify and investigate discrepancies	Introduce checks with Social Work financial assessments and Educational benefit applications
2	Introduce text reminder asking claimants to report changes	Text messaging options are currently under consideration

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Aubrey Fawcett Corporate Director, Environment Regeneration and Resources</b>	<b>Report No:</b>	<b>PR/01/16/AF</b>
<b>Contact Officer:</b>	<b>Miriam McKenna / Karen McCready</b>	<b>Contact No:</b>	<b>712042/712146</b>
<b>Subject:</b>	<b>Update on Repopulation Outcome Delivery Group</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to update Committee in respect of the work of the Repopulation Outcome Delivery Group (ODG) which supports the delivery of the Repopulation Outcome of the Single Outcome Agreement.

## 2.0 SUMMARY

- 2.1 In February 2013 the Policy & Resources Committee allocated £1m towards initiatives to help arrest the depopulation of the area and to attract individuals to move into the area.
- 2.2 Quarterly progress reports from the Repopulation Outcome Delivery Group (ODG) have been considered by the Alliance Board. Progress reports have also been considered at previous meetings of this Committee.
- 2.3 Lead Officer responsibility for the Repopulation Outcome Delivery Group transferred from Aubrey Fawcett, Corporate Director, Environment, Regeneration and Resources to Kevin Scarlett, Chief Executive, River Clyde Homes in June 2015.
- 2.4 Funding for the nine workstreams set out in the outcome delivery plan is now spent and a final progress report is attached as Appendix 1. Details of the final budget spend are provided in Appendix 2.
- 2.5 A review of the Repopulation Outcome Delivery Plan has been carried out and a new Outcome Delivery Plan is attached in Appendix 3. The new Plan was approved by the Inverclyde Alliance Board on 14 December 2015.
- 2.6 The main areas of progress to highlight to Committee from the original Plan include:
- Council Tax Discount Scheme launched during March 2014;
  - Self Build Plots Mid Term Reported Mid-March and were presented for as part of the New Homes Exhibition in May 2014;
  - Relocation Officer recruited to build links with local services / groups;
  - Additional express train services from Gourock to Glasgow implemented from Summer of 2014;
  - Mid market rental study completed and work progressed in respect of a Housing Options Guide;
  - A graduate entry scheme has been implemented
  - Marketing grants and informal training grants for local businesses were issued;
  - Promotional campaign endorsed by the Corporate Management Team with a large banner being displayed on the M8 at Tradeston from 14<sup>th</sup> February 2014 for a period of three months. A new "Inverclyde Living" website was launched.

### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Committee:

- a) Note the progress that has been achieved in relation to the original Repopulation Outcome Delivery Plan.
- b) Endorse the new Repopulation Outcome Delivery Plan.

**Aubrey Fawcett**  
**Corporate Director,**  
**Environment, Regeneration and Resources**

## 4.0 BACKGROUND

- 4.1 Repopulation has been identified as a key priority for the Council and as such was afforded a specific Outcome within the Single Outcome Agreement.
- 4.2 Lead Officer responsibility for the Repopulation ODG transferred from the Corporate Director Environment, Regeneration & Resources to Kevin Scarlett, Chief Executive, River Clyde Homes in June 2015. Group membership includes officers from Inverclyde Council in addition to Police Scotland, West College Scotland, CVS, Chamber of Commerce and Inverclyde Housing Association Forum.
- 4.3 A budget of £1m was allocated by the Policy & Resources Committee to this initiative and the funding was spread over nine designated workstreams. Quarterly progress reports have been presented to the Alliance Board and progress reports have also been submitted to meetings of this Committee.

## 5.0 PROGRESS TO DATE

- 5.1 The final progress report in respect of the original outcome delivery plan and each of the nine Workstreams is detailed in Appendix 1.
- 5.2 Good progress is being made in most areas and specifically the Committee is asked to note the following –
  - a) Relocation Support Grants – The Council Tax Discount Scheme for owner/occupiers moving into Inverclyde was fully spent. Policies and processes have been agreed and the Relocation Officer was responsible for promoting the scheme and signposting potential beneficiaries to the Revenues Team within Finance Services.
  - b) Sites for Self Build – a site at Leperstone Avenue in Kilmacolm was identified and the site was marketed at the May 2014 Scottish Homebuilding Show in Glasgow. Planning Application was granted on 8<sup>th</sup> October 2015 with a number of conditions which the Design Team is currently addressing. The contract is expected to be awarded in the New Year. Works are due to start by end of March 2016 whilst it is anticipated that the infrastructure will be complete by Autumn 2016. Plot development will commence thereafter assuming planning approvals.
  - c) Relocation Service – the Relocation Officer was appointed. The initial task for this Officer was to establish links with local services/providers and to quickly build up a presence within the area to enable prospective incoming individuals/families to be directed to this service.
  - d) Additional Express Train Services –, ScotRail has established an additional express train services from Gourock to Glasgow and also Wemyss Bay to Glasgow. This was achieved with no financial contribution from the Council, although the Council promoted this service as part of its wider promotional campaign.
  - e) Mid Market Housing and Other Housing Related Opportunities – the mid market rent study was completed in February and fed into the Repopulation Outcome Delivery Plan as well as key Council priorities such as the Broomhill Regeneration Masterplan.
  - f) Graduate Entry Programme – the Employer Engagement Team promoted a Graduate Programme with a small number of applicants. Successful placements were made with Texas Instruments. Further promotional work was undertaken via a press release and via the Chamber of Commerce to identify other companies who could benefit from the Scheme. Economic Development engaged with local employers directing them to link with Scottish Universities in order to source graduates through their individual hubs.

- g) Grant Assistance for Local Businesses (Starts Ups and Growth) – 46 businesses have been supported by the new Marketing Grant, 21 businesses supported by the Informal Training Grant, 11 businesses supported by the New Start Growth Fund and 16 businesses supported to date by the Young Company Development Fund.
- h) Promotional Campaign – A visible manifestation of the level of ambition was the large M8 banner which was launched at Tradeston on 14 February 2014. The Council rented a three month use of the site which was viewed by tens of thousands of people every day. An Inverclyde Living website has been developed which connects all key partners in the Repopulation agenda within Inverclyde to a single website. In addition, a series of high profile advertising campaigns have taken place e.g. STV Glasgow launch; Baton relay visit; Evening Times supplement and Evening Times / Herald; Commonwealth Games promotion through daily guides and opening.

## **6.0 NEW OUTCOME DELIVERY PLAN**

- 6.1 Funding for the various projects set out in the Outcome Delivery Plan is now spent. It was therefore considered timely to carry out a review of the Outcome Delivery Plan. The review focused on building on what has been achieved and the next steps.
- 6.2 As part of the review, the group heard the results of a follow up study into mid-market rental housing in Broomhill as well as several presentations highlighting how other areas in the UK have been successful in reinvigorating their image and increasing their populations.
- 6.3 Over the course of these discussions it became clear that the new outcome delivery plan should shift slightly in focus from that to date. The key messages that have emerged from the workshop are similar to those discussed over the lifetime of the Single Outcome Agreement (SOA), namely:
- having a clear, long term, ambitious, positive vision and identity
  - encouraging jobs/businesses into the area
  - highlighting the public transport links to the city region
  - international migration is essential
  - improving neighbourhoods will make Inverclyde more attractive
  - private rented housing will attract younger (under 35) residents
  - tapping into the FE market and attracting students to live in the area
  - developing creative industries can have a positive ripple effect
  - arts and culture have a central role in the regeneration of an area
  - staying away from short term funding, focusing on the future
  - always sell the positive and move away from highlighting or reinforcing the negative
- 6.4 Many of these issues cut across a number of SOA Outcome Delivery Groups and will require a truly co-ordinated and joined up approach if the Alliance is to successfully deliver on them.
- 6.5 There are clear opportunities for all partners to have a common, shared 'brand' for Inverclyde, which can be used across all marketing and in promoting the Inverclyde area. This could build on the Inverclyde Living website and brand. There are opportunities to involve local communities and schools to highlight what is good about living in Inverclyde and use these as part of the marketing for the area. Having local ambassadors and testimonials will support the efforts of organisations to speak positively about the Inverclyde area.
- 6.6 The new Repopulation Outcome Delivery Plan is attached in Appendix 3. The Plan includes actions which are ongoing from the previous plan as well as new areas for development. To support the work set out in the plan, partners will need to identify resources, in terms of both officer time and funding.
- 6.7 A more detailed report in regard to funding will be set out in a future report to committee.



## 7.0 IMPLICATIONS

### Finance

7.1 The overall detail of the phasing and spend of the Workstreams from the previous outcome delivery plan are shown in Appendix 3.

#### Financial Implications:

##### One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Earmarked Reserves	Repopulation	2013/16	£1m	-	

##### Annually Recurring Costs/ (Savings)

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

### Legal Implications

7.2 There are no legal implications arising from this report.

### Human Resources

7.3 There are no HR implications arising from this report.

### Equalities

7.4 There are no equalities implications arising from this report.

### Repopulation

7.5 The allocation of £1m and the delivery of the nine agreed Workstreams were intended to support the reversal of the population decline and begin to grow Inverclyde's population. The impact of the initiatives outlined in the report is being measured and reported back to Committee as appropriate.

## 8.0 CONSULTATIONS

8.1 None.

## 9.0 LIST OF BACKGROUND PAPERS

9.1 None.



**1. Relocation Support Grants**

**Name:** Liz Brown      **Contact Email:** [liz.brown@inverclyde.gov.uk](mailto:liz.brown@inverclyde.gov.uk)

**Description of Proposed Action:** Council Tax Reduction (over 2 years) for Owner-Occupiers moving into Inverclyde

**Progress:**  
 30 Council Tax discounts have been awarded. The other half of the funding has been allocated for next year. £500 per household for each year.

Indicator	Target	Current Performance	Status (BRAG)	Commentary
Launch of Council Tax Reduction for New Owner Occupiers	April 2014	Launched	Complete	Policy agreed
No. of new residents applying for reduction from budget of £30,000	Up to 30 reductions of £1,000 awarded	45 processed to date	Complete	Target for year was increased as additional funding allocated to this workstream. 45 processed to date with funding fully committed.

2. Identify Sites for Self Build				
Name: Fiona Maguire		Contact Email: <a href="mailto:Fiona.maguire@riversideinverclyde.com">Fiona.maguire@riversideinverclyde.com</a> (for Kilmacolm)		
<p><b>Description of Proposed Action:</b>  Support the development of self-build sites as part of the housing development strategy of the Local Development Plan. Possibility of three sites with around 12 to 15 homes created. Funding will cover detailed site assessment, site particulars, appointment of planning consultants, architectural services and promotion of self-build sites. Funding would not include site infrastructure work at this stage.</p> <ul style="list-style-type: none"> <li>• Can be subsumed into Local Development Plan (2014 for fully adopted plan)</li> <li>• Could create a Developer Forum, to sell the message that 'Inverclyde is Open for Business' to housebuilders</li> <li>• Can 'market' to people the identified sites in the LDP on the 'Self Build Scotland' forum/site</li> <li>• Could also develop Homesteading approach, where people are given opportunities to bring sub-standard housing up to scratch with either grant aid or low cost/no cost for property (link to Empty Homes Initiative)</li> <li>• Potential to support self-builders to establish a self-build housing co-operative</li> <li>• Possible focus on self-build green homes.</li> <li>• Riverside Inverclyde is acting as the delivery agent for Kilmacolm self-build project</li> </ul>				
Indicator	Target	Current Performance	Status (BRAG)	Commentary
Identify Sites for Self Build	Identify sites	Complete	Complete	The Council undertook a masterplanning exercise for 5 sites identified across Inverclyde. Leperstone in Kilmacolm is the initial focus.
<b>Leperstone Drive in Kilmacolm</b>				
Appoint Consultant	November 2013	Complete	Complete	Consultant appointed
Mid term report with budget costs	February 2014	Complete	Complete	Study completed
Submit Report	April 2014	Complete	Complete	Study submitted
Project Presentation	May 14 Exhibition	Complete	Complete	
Sell Plots	Late 2016	Not commenced	Not yet started	Plots likely to be available for sale after installation of infrastructure and planning approvals granted.
Install infrastructure	Start works March 2016	Not Commenced	Not yet started	The Planning Application was granted on 8 <sup>th</sup> October 2015 with a number of conditions which the Design Team is currently addressing. The infrastructure works will be tendered during December,

**Appendix 1**

				with the contract awarded in the New Year. Works due to start by end of March 2016.
Plot Development Commencement	Late 2016 *	Not Commenced	Not yet started	Infrastructure anticipated to be complete by Autumn 2016. Plot development commencement thereafter assuming planning approvals
<b>Second Development</b>				
Progress further Schemes	Dependant on success of Leperstone Drive Project	Not started	Not yet started	Will be dependent on the success of Leperstone Drive Project and will require to be agreed by Inverclyde Council.

**3. Relocation Service/Inverclyde Migration Service**

<b>Name:</b>	<b>Contact Email:</b>
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**Description of Proposed Action:**

Development of a Relocation Service which provides a personalised support package for people moving into the area / investigating the area as a place to live. This service could provide substantial follow-up to web portal requests, where people note their interest in moving to Inverclyde.

Support to “clients”, based on self-indicated areas of interest:

- Discussion of options
- Personalised Information gathering for / on behalf of clients
- Supporting / organising “Reconnaissance Visits” to the area
- Linking in with local provisions / services / groups / individuals as relative to client needs – start to build picture of the client’s community
- Legwork on behalf of the client – facilitating practical aspects of investigation / move
- Distribution of free legal fees
- Engagement with local ‘champions’ who can help to sell the area to prospective migrants.

Bearing in mind the demographic groups we are trying to target into Inverclyde, this service may be attractive in appealing to young professionals as an aspirational / lifestyle service, and to young families as a consolidative / timesaving service.

Clear link with Housing Options Guide development by Strategic Housing Team. Will require to link with this to reduce duplication.  
Link with Corporate Communications on developing the website to promote Inverclyde.

Indicator	Target	Current Performance	Delivery Dates	Status (RAG)	Commentary
Appoint Relocation Officer for second time	Interviews – July/August	Complete	Appointment made July 2014	Complete	
No. of Clients Relocating to area	Up to 10 families per annum	47 applicants (families or individuals)		Complete	Budget now spent. Target achieved.

<b>4. Lobby for and Promote Additional Express Train Services</b>	
<b>Name:</b> George Barbour	<b>Contact Email:</b> <a href="mailto:george.barbour@inverclyde.gov.uk">george.barbour@inverclyde.gov.uk</a>
<b>Description of Proposed Action:</b>  Lobby for Additional Express Train Services.	
<b>Progress:</b>  Complete. Enhanced service now running.	

<b>5. Analysis of potential for Mid-Market Rent Housing and other housing related opportunities</b>				
<b>Name:</b> Drew Hall		<b>Contact Email:</b> <a href="mailto:Drew.Hall@inverclyde.gov.uk">Drew.Hall@inverclyde.gov.uk</a>		
<b>Description of Proposed Action:</b> Analysis of the potential uptake of mid-market rent (MMR) housing in the Inverclyde Council undertaken to inform future investment decisions by the council and by key partners in RSLs. The research also considered the potential for converting existing RSL stock for use as MMR housing following recent Scottish Government approval of a pilot project by an RSL.				
Indicator	Target	Current Performance	Status (RAG)	Commentary
<i>Undertake analysis of potential for Mid-Market Rent Housing in Inverclyde from budget of £25,000.</i>	Delivery of Final Report	Complete - Final Report received January 2014	Complete	Final Report completed on target Cost £8,000
<i>Future use of Mid-Market Rent Research</i>	HNDA2 to be produced by autumn 2014	Complete	Complete	Moving on from the mid market rent report, additional activity is being pursued with Broomhill focus in one aspect. Now with River Clyde homes for further development.
<i>Develop Housing Options Guide (HOG) for the Inverclyde Council area from budget of £25,000.</i>	Develop HOG by late 2015/ 2016	On target	Ongoing	Engagement taking place with software developers to take this forward.

Indicator	Target	Current Performance	Status (RAG)	Commentary
<i>Establish Landlord Accreditation Scheme (LAS) in Inverclyde Council area from budget of £25,000.</i>	Commence LAS within IC area	Complete	Complete	
<i>LAS training for Private Landlords</i>	June 2014 – March 2015	Complete	Complete	40 landlords attended the launch event (which included training) and 24 more signed up for the training events. Private landlords have been encouraged to sign up to the scheme.



## 6. Graduate Entry Programme

**Name:** Will Nisbet

**Contact Email:** will.nisbet@inverclyde.gov.uk

### Description of Proposed Action:

The National Data hub has been developed by Scottish Government and Skills Development Scotland to support post 16 transitions in Scotland. This is a means of tracking young people after they leave school, in order to keep routes open for continued support if / when needed.

The data hub will essentially provide a means of communication with all Inverclyde young people, post 16. For the purposes of this proposed development, we would be particularly interested in those who have accessed Further and Higher education.

It will be possible to identify those young people who are approaching the end of their studies (and which courses they have studied) in order to resume actual contact to support them in making positive transitions post-university. At this point, analysis could be done to consider promotion of available careers options locally, and to promote the return to Inverclyde with local(ish) job prospects to start their careers. It will be possible to build up contact lists of graduates to market local jobs to them which match their areas of study.

This proposal is entirely in line with the Scottish Government publications relating to Post 16 Transitions “Data Practice Framework” and “Revised Policy & Practice Framework” which outline the relationships that Universities and Community Planning Partnership will have / could have in supporting young people as much as possible as they leave tertiary education. *Refer to pg 11 of the Data Practice Framework and to pg 29 of the Policy & Practice Framework for examples of this.*

The Council’s Employability Pipeline Graduate Programme has recently been extended allowing suitable candidates to be placed in private sector business for a period of 12 months. It is proposed to extend this programme to allow a further seven places to be created for a period of two years per graduate at 50% intervention, in line with state aid guidelines. The candidates will be required to demonstrate that they have moved into Inverclyde for the period of employment.

Indicator	Target	Current Performance	Delivery Dates	Status (RAG)	Commentary
£150,000 to Graduate Programme:  No. of businesses engaged in Graduate Programme	Up to 8 – revised to 4	1	31 March 2015	<b>Complete</b>	Engagement ongoing with Scottish Enterprise Supported Businesses. The majority of these are looking at graduates but focussing on marketing, business development, digital development and sales.
No. of Graduate places offered	Up to 8 – revised to 4	2	31 March 2015	<b>Complete</b>	One Graduate was placed with REL and

**Appendix 1**

					One Graduate placed with PG Paper. These are both at an end.
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**7. Grant Assistance for Local Business Start Ups and Growth**

**Name:** Will Nisbet **Contact Email:** will.nisbet@inverclyde.gov.uk

**Description of Proposed Action:**  
Provide grant assistance for local businesses.

**Progress:** Progress has been made in supporting a number of business support activity.

Indicator	Target	Current Performance	Delivery Dates	Rag Status	Commentary
<p><i>No. of businesses accessing grants or loans from budget of £100,000 of which:</i></p> <ul style="list-style-type: none"> <li>£50,000 match funding to ERDF Project</li> </ul>	<p>- Up to 10 Start Up Grants of up to £1,000</p> <p>- Up to 14 grants from Young Company Development Fund averaging £6,000 @ 50% intervention rate</p>	<p><b><u>2013/14 Spend</u></b> £2811.64. 3 businesses supported</p>	31 March 2015	Complete	The spend to date is £27,000 however this will be offset by grant income and therefore will have nil impact on the original budget
		<p><b><u>2014/15 Spend</u></b> £7,689.98. 8 businesses supported. Budget spent.</p>		Complete	
		<p><b><u>2013/14</u></b> £23,175.44 businesses. 3 businesses supported to date</p>		Complete	
		<p><b><u>2014/15 Spend</u></b> £34,245.03 (9 Businesses supported to date)</p>	31 March 2015	Complete	
		<p><b><u>2015/16 Spend</u></b> £26,836.28 (6 months) 4 businesses</p>		Complete	



<b>8. Tourism Business Liaison</b>	
<b>Name:</b> Neil Lochiel	<b>Contact Email:</b> <a href="mailto:neil.lochiel@riversideinverclyde.com">neil.lochiel@riversideinverclyde.com</a>
<b>Description of Proposed Action:</b>	
<p>Riverside Inverclyde is undertaking an SLA from Inverclyde Council to deliver tourism business support activities and sector development. The key focus is to co-ordinate and support Inverclyde’s businesses and tourism organisations in order to contribute to the wider economic growth agenda for the area.</p>	
<b>Progress:</b>	
<p>The SLA budget has now been fully allocated, and the activities delivered and being delivered to close this out are as follows:</p> <ol style="list-style-type: none"> <li>1. P1 Powerboat Scottish Grand Prix of the Seas (which will be delivered in June 2016 in a co-hosting with Inverclyde Council), and associated Inverclyde Showcase initiatives for tourism related businesses in Inverclyde in the subsectors of accommodation, food &amp; drink, visitor attractions, active leisure onshore, and active leisure offshore;</li> <li>2. A workshop, “Making Your Business Grow With Cruise Liner Trade, held in April 2015;</li> <li>3. Inverclyde’s Scottish Folk &amp; Roots Festival 2015, delivered by Beacon Arts Centre in October 2015; and</li> <li>4. Inverclyde’s Folk &amp; Roots Film Festival, delivered by the Waterfront Cinema in September 2015</li> </ol>	
<b>Complete</b>	

9. Promotional Campaign				
Name: George Barbour		Contact Email: <a href="mailto:george.barbour@inverclyde.gov.uk">george.barbour@inverclyde.gov.uk</a>		
<b>Description of Proposed Action:</b> <ol style="list-style-type: none"> <li>1. Create an overall campaign to promote Inverclyde which incorporates developing an annual activity which would bring people in to visit the area e.g. a river festival and build on existing activity, especially events we're not currently engaged with.</li> <li>2. Change/update the signage for the area, especially on entry to Inverclyde.</li> </ol>				
Indicator	Target	Current Performance	Status (RAG)	Commentary
Attendance at national events	Attend two national events – Ideal Home Show and Scottish Homebuilding Show	Ideal Home Show and Scottish Homebuilding and Renovating Show attended.	Complete	
Create social media and e-newsletter presence to promote Inverclyde	Create and maintain social media and e-newsletter presence	Currently 3,885 Facebook followers.	Complete	Numbers of Facebook followers has steadily increased.
Increase profile of Inverclyde through advertising and promotion	Identify 'opportunities to see' for each advertising and promotional mechanism	A series of high profile advertising campaigns have taken place, including: <ul style="list-style-type: none"> <li>• M8 banner in Glasgow</li> <li>• STV Glasgow launch</li> <li>• Baton relay visit Evening Times supplement and Evening Times/Herald website takeover.</li> <li>• Commonwealth Games promotion through daily guides and opening ceremony programme</li> </ul>	Complete	Budget spent in full
Increase traffic to the new Inverclyde Living website.	Increase monthly visitors to the Inverclyde Living website	Website launched in May. The monthly page views (unique visitors) are: <ul style="list-style-type: none"> <li>• October 1083 (313)</li> <li>• November 743 (274)</li> <li>• December 579 (231)</li> </ul>	Ongoing	

## Repopulation Spend from April 2013 to November 2015

## Appendix 2

### Repopulation & Promoting Inverclyde - Spend to date and Projected Out-turn

<u>Project</u>	<u>2013/14 Actual Spend £000</u>	<u>2014/15 Actual Spend £000</u>	<u>2015/16 Spend to Date (18/11/15) £000</u>	<u>2015/16 Projected Spend</u>	<u>Projected Spend 2016/17 £000</u>	<u>Total Spend (Actual &amp; Projected) £000</u>	<u>Budget</u>	<u>(Over)/ Underspend</u>	<u>Finance Comments</u>
Assistance with Council Tax	0	11	24	24	7	42	42	0	No issues, budget expected to be spent in full
Mid-Market Housing Initiatives	8	3	8	8	12	31	31	0	There may be some underspend here, service to confirm this. This project will be underspent. I will need to use £6k of this underspend to offset and overspend of £6k in Ongoing Business Support, see below.
Graduate Entry Programme	3	10	0	0	0	13	50	37	Projecting an overspend of £6k which will need to be offset by the underspend in Graduate Entry Programme. There is spend to date of £27k, however the Service state that this will be offset by grant income and therefore have nil impact on original budget.
Ongoing Business Support	41	65	27	0	0	106	100	(6)	No issues, budget expected to be spent in full
Development of Tourism	0	0	0	76	74	150	150	0	Based on recent developments involving the secondment of the Relocation Officer to River Clyde Homes on a part time basis (3 days a week) from 1st December 2015 (assumed starting date) to 31st October 2016 and the recharge relating to the secondment, there will be an underspend for this project.
Relocation Service	3	87	66	78	9	177	217	40	No issues, budget expected to be spent in full
Self-Build Housing	0	23	0	30	197	250	250	0	No issues, budget expected to be spent in full
Promotional Campaign	59	61	17	20	0	140	140	0	No issues, budget expected to be spent in full

## Repopulation Spend from April 2013 to November 2015

Appendix 2

### Repopulation & Promoting Inverclyde - Spend to date and Projected Out-turn

<u>Project</u>	<u>2013/14 Actual Spend £000</u>	<u>2014/15 Actual Spend £000</u>	<u>2015/16 Spend to Date (18/11/15) £000</u>	<u>2015/16 Projected Spend</u>	<u>Projected Spend 2016/17 £000</u>	<u>Total Spend (Actual &amp; Projected) £000</u>	<u>Budget</u>	<u>(Over)/ Underspend</u>	<u>Finance Comments</u>
TOTAL	114	260	142	236	299	909	980	71	

<u>Note:</u>	<u>£000</u>
Original Budget	1000
2014/15 Budget Saving	(20)
Revised Budget	980



# **Repopulation Outcome Delivery Plan**

**December 2015**

Area of activity	Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	Link to Wellbeing Outcome
<b>1. Vision</b>	The current SOA sets out a vision until 2017, although the current outcomes are longer term in nature. A new SOA will take effect from 2017.	A long term vision (10-20 years) for the area is agreed which aims to make Inverclyde a thriving, sustainable place in which to live, work and play.	<p>Develop a vision that has an ambition for a growing Inverclyde at its core.</p> <p>Develop a Repopulation action plan that sits behind the vision.</p> <p>Focus on long term funding arrangements but also be in a position to take advantage of any funding opportunities as these become available.</p> <p>Work with communities to ascertain their aspirations for the area.</p> <p>Strengthen the re-population focus across 4 key themes:</p> <ul style="list-style-type: none"> <li>• Our economic offer;</li> <li>• Our housing offer;</li> <li>• Our lifestyle offer;</li> <li>• Marketing, promotion and branding.</li> </ul>	All partners have bought into and are helping to deliver the Vision and Repopulation Plan for Inverclyde.	Re-population Group	Achieving
<b>2. Positive Image &amp; Communications</b>	Inverclyde Living website promotes the area positively and Inverclyde Life promotes all the activities that happen in	Partners are signed up to a shared 'brand' that will be used to market and promote the area to maximum effect.  A positive image of	<ul style="list-style-type: none"> <li>• Partners commit to a new Inverclyde 'family of brands' and protocol that ensures consistency in communicating key messages and a common Inverclyde identity;</li> <li>• A branding proposal is</li> </ul>	All reports, literature and press releases focus on delivering a positive message. All partners promote the shared 'brand' and promote Inverclyde	Re-population Group	Achieving

Repopulation Outcome Delivery Plan (December 2015)

Area of activity	Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	Link to Wellbeing Outcome
	<p>Inverclyde as well as the third and public sectors; however partner plans &amp; reports tend to re-iterate negative messages around deprivation, crime, ill health etc.</p>	<p>Inverclyde is consistently promoted by all partners.</p> <p>Communities within Inverclyde are involved in promoting a positive image of the area.</p>	<p>developed and implemented around positive themes and campaigns e.g. 'I Love Inverclyde';</p> <ul style="list-style-type: none"> <li>• A communications protocol confirms a commitment from all partners to promote a consistent, positive message at all times;</li> <li>• Key 'gateway' signage is reviewed and a plan implemented to support the new branding;</li> <li>• Sponsorship is pursued to support the 'gateway' signage plan and costs;</li> <li>• A review of how we promote Inverclyde is undertaken as part of the branding and communications review;</li> <li>• Utilise local assets so that our communities promote the benefits of living in Inverclyde e.g. by establishing a pool of 'Inverclyde Ambassadors'.</li> </ul> <p>All of above to be achieved by end of 2016.</p>	<p>positively.</p> <p>Recognisable 'gateway' signage and branding across Inverclyde.</p> <p>Local people and communities commit to role of 'Inverclyde Ambassador', endorsing Inverclyde as a place to live, work and play.</p> <p>Improved satisfaction with Inverclyde as a place to live as a result of more positive stories and stronger Inverclyde identity.</p>		

Area of activity	Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	Link to Wellbeing Outcome
<p><b>3. Promote and Develop our Housing Offer</b></p>	<p>We have a growing choice and diversification of homes, types, sizes and tenures, many older homes have been improved; this needs to continue and much work still needs to be done.</p> <p>We need to continue promoting our housing offer, encourage a range of developers and provide incentives to encourage households to relocate into the area.</p>	<p>Inverclyde's housing offer is seen within and outside of our boundaries as positive, improving, varied, of good quality, with a range of affordable and expensive homes for rent and sale.</p> <p>This offer both retains our existing population and attracts new households to live in the area.</p>	<ul style="list-style-type: none"> <li>• Our Housing Strategy and Plans underpin an improving housing offer for Inverclyde;</li> <li>• We continue to offer (and develop new) incentives for those considering relocating to Inverclyde. Areas that will be explored include; subsidised leisure and social housing; support with housing costs e.g. stamp duty, relocation, council tax costs.</li> <li>• Active targeting of identified housing demand groups and potential relocators (identified through Ekosgen research and elsewhere);</li> <li>• Promote development opportunities and awareness raising of site and funding opportunities amongst potential housing developers;</li> <li>• Continue to engage with private landlords and estate agents to promote good quality private rentals which can be jointly marketed.</li> </ul> <p>Above to be completed by end of 2016.</p>	<p>Re-population group is making a significant contribution to the development and delivery of the Housing Strategy.</p> <p>Increased awareness of housing development opportunities.</p> <p>Stabilising population and increase in new residents relocating to Inverclyde.</p> <p>Increase in satisfaction with Inverclyde as a place to live.</p>	<p>Repopulation Group</p>	<p>Achieving</p>

**Repopulation Outcome Delivery Plan (December 2015)**

Area of activity	Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	Link to Wellbeing Outcome
<p><b>4. Promote and Develop our Lifestyle Offer</b></p>	<p>A number of high profile events have taken place and attracted large number of visitors to the area; this is helping to change perceptions of Inverclyde but work needs to continue over the longer term.</p>	<p>Arts, culture and creativity is a key strand in the growth and development of Inverclyde.</p> <p>Creative industries and the arts help to create a balanced economy in Inverclyde.</p> <p>Leisure opportunities are a major strength of Inverclyde and need to be a key feature of our lifestyle offer.</p>	<ul style="list-style-type: none"> <li>• Develop proposals for the launch of a new Inverclyde Arts and Fun Festival from either 2016 or 2017 involving the whole community and our schools;</li> <li>• Scope and develop proposals for a major annual sporting event in Inverclyde;</li> <li>• Develop a public arts plan that has the potential to attract significant inward investment and leaves a major legacy that attracts people to the area;</li> <li>• Promote the lifestyle offer of each of our towns</li> <li>• Ongoing development of Inverclyde Life.</li> </ul> <p>Above to be completed by end of 2016.</p>	<p>Repopulation Group is making a significant contribution to the development of the Arts and Creativity Strategy.</p> <p>Partners and our communities support local events and Inverclyde is seen as an events and activity destination from outside the area.</p> <p>Improved satisfaction with Inverclyde as a place to live, work and play.</p>	<p>Repopulation Group</p>	<p>Nurtured</p>
<p><b>5.Promote and Develop our Economic Offer</b></p>	<p>Inverclyde has not been as successful in attracting economic migrants as other parts of Scotland.</p>	<p>Inverclyde is seen as a destination for economic migrants either working in the area or commuting to other areas in the city region.</p>	<ul style="list-style-type: none"> <li>• Positive promotion and advertising of business and retail opportunities within Inverclyde;</li> <li>• Raise awareness of our current diversified business and retail offer;</li> <li>• Provide support for new SME's to promote and market their businesses.</li> </ul>	<p>There are more new migrants coming into Inverclyde from a wide range of countries.</p> <p>Increase in new businesses and reduced business</p>	<p>Repopulation Group</p>	<p>Achieving</p>

**Repopulation Outcome Delivery Plan (December 2015)**

Area of activity	Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	Link to Wellbeing Outcome
			<ul style="list-style-type: none"> <li>Work with WCS to develop and promote a strong educational and training offer for existing and potential new residents as part of our branding and positive marketing of the area.</li> </ul> <p>Above to be completed by end of 2016</p>	failure.		
<p><b>6. Linkages to other Outcome Delivery Groups and Changing Membership</b></p>	<p>Much of the work that is required to ensure the sustainability of the area is being supported by the other SOA groups and partners not currently members.</p>	<p>The repopulation group links in with other SOA groups (and new partners) to ensure that there is a strong repopulation focus supporting the themes above.</p>	<ul style="list-style-type: none"> <li>Representation from the Repopulation group on the other SOA outcome delivery groups;</li> <li>Refresh the membership of the Repopulation group to ensure that the right partners are represented.</li> </ul> <p>On-going throughout 2016.</p>	<p>Repopulation is key partnership theme that all Outcome Delivery Groups are contributing to.</p>	<p>Miriam McKenna / Karen McCreedy and Kevin Scarlett</p>	<p>Achieving</p>

**Report To:** Policy and Resources Committee      **Date:** 2 February 2016

**Report By:** Wilma Bain, Corporate Director, Education, Communities and Organisational Development      **Report No:** PR/02/16/WB/AE

**Contact Officer:** Angela Edwards, Head of Inclusive Education, Culture and Corporate Policy      **Contact No:** 01475 712065

**Subject:** Corporate Performance Report

**1.0 PURPOSE**

1.1 The purpose of this report is to update the Committee on the achievement of key objectives by the Council’s Corporate Services, as detailed in the Education, Communities and Organisational Development Corporate Directorate Improvement Plan 2013/16 and the Environment, Regeneration and Resources Corporate Directorate Improvement Plan 2013/16.

**2.0 SUMMARY**

2.1 This Corporate Performance Report is based on the implementation of the two refreshed Corporate Directorate Improvement Plans (CDIPs). Details are provided in the Appendices.

Appendix 1  
Appendix 2

2.2 The current status of the 108 CDIPs’ improvement actions from the refreshed improvement plans is:

Status	blue - complete	red - significant slippage	amber - slight slippage	green - on track
	14	0	9	79

There are 6 actions which currently have no status recorded against them. A number of these are new actions which have yet to start implementation.

**3.0 RECOMMENDATIONS**

It is recommended that the Committee:

- a. notes the performance information outlined in this report; and
- b. agrees to consider the next corporate performance report at the meeting of the Committee in May.

**Wilma Bain**  
Corporate Director, Education, Communities and Organisational Development

## 4.0 BACKGROUND

- 4.1 Improving corporate and service performance is a key priority for Inverclyde Council. Information is given to key stakeholders to allow them to evaluate and make informed judgements about performance and the achievement of key objectives.
- 4.2 Progress regarding delivery of the Council's two Corporate Directorate Improvement Plans (CDIPs) is reported to every second meeting of the relevant Service Committee. This report provides Members with a summary of progress with the CDIPs' implementation and aims to give Committee and officers the opportunity to make appropriate judgements on where performance across the Council is improving, good or starting to decline, in line with the well-being outcomes adopted in the Council's Corporate Statement 2013/17.
- 4.3 This report comprises information extracted from CDIP progress reports on the refreshed CDIPs, which were presented to the Education and Communities Committee, the Policy and Resources Committee and the Environment and Regeneration Committee. The improvement actions are grouped under the well-being outcomes which are Safe, Healthy, Achieving, Nurtured, Active, Respected, Responsible and Included (SHANARRI).
- 4.4 As detailed in Appendix 1, improvement actions have been allocated a 'BRAG' status:  
blue - complete; red - significant slippage; amber - slight slippage; green - on track.
- 4.5 The report also contains key performance indicators, comprising statutory performance indicators and local performance indicators. These indicators provide an important measure of how Directorates contribute to the Council's strategic aims. Full year figures for 2014/15 are shown in Appendix 2, together with 2013/14 comparator information and Quarter 1, 2 and 3 details for 2015/16 (where available).
- 4.6 Performance information for the HSCP is reported separately to Members, via the Inverclyde Integrated Joint Board or Health and Social Care Committee.

## 5.0 PROGRESS

- 5.1 This progress report rolls up the CDIPs' improvement actions. The last Corporate Performance Report was approved by the Policy and Resources Committee in September 2015. The current status of the refreshed CDIPs' 108 improvement actions is:

Status	blue - complete	red - significant slippage	amber - slight slippage	green - on track	No status
	14	0	9	79	14

- 5.2 The status of the improvement actions, grouped under the well-being outcomes, is:

Well-being outcome	blue - complete	red - significant slippage	amber - slight slippage	green - on track	No status
Safe	4	0	1	5	0
Healthy	1	0	0	0	0
Achieving	5	0	6	47	4
Nurtured	1	0	0	12	2



Active	0	0	0	2	0
Respected and Responsible	2	0	2	4	0
Included	1	0	0	9	0

5.3 Examples of progress with improvement actions that contribute to the delivery of the well-being outcomes are outlined in sections 5.3.1-5.3.7 of this report.

#### 5.3.1 Safe:

- All secondary school staff have been trained in Mentors in Violence Prevention (MVP). MVP mentors have been identified in all schools and delivery of the programme to S1/S2 pupils began in November 2015. A Council-wide MVP Training Team has been established to ensure sustainability.
- The draft 2015/18 Community Safety Partnership Strategic Assessment year one action plan identified five specific actions around violence reduction, including the introduction of a *No Knives Better Lives* Sub-Group, made up of officers from Inverclyde Council, Police Scotland, Youth Link Scotland and the Violence Reduction Unit, as well as representatives of a local community group. The Sub-Group identified the need for terms of reference and an action plan which will be developed in Quarters 3 and 4.

#### 5.3.2 Healthy:

- The research around the School Health and Alcohol Reduction Project (SHAHRP) has been concluded. The write-up is due to be completed by Spring 2016.
- The iYOUTHZone in Port Glasgow opened in March 2015. The Gourrock iYOUTHZone opened its doors to young people in August 2015 and a formal opening was planned for November 2015.

#### 5.3.3 Achieving:

- Improve public performance information on Council's website – An Audit Scotland report has placed Inverclyde Council in the top quartile of all Scottish Councils in terms of compliance with public performance reporting requirements.
- Community Justice transition to Community Planning – A criminal justice coordinator has been appointed to take forward this work.
- Website – the Council's new website was launched in May and positive feedback has been received. There has been a steady rise in the number of unique visitors and a greater rise in the number of times these visitors are using the site.

#### 5.3.4 Nurtured:

- Seventy-six volunteers are working across the CLD service to support the delivery of services.
- Sixteen literacies volunteers completed Scottish Qualifications Authority training at the Scottish Credit and Qualifications Framework Level 6.
- The 3 year plan for CLD was approved by the Policy and Resources Committee on 11 August 2015 and subsequently by the Alliance Board on 5 October 2015.
- Single Agency Well-Being Assessment Training is being developed by the educational psychology service (EPS). The EPS and the quality improvement team plan to deliver it to clusters in January 2016.
- An action plan for the local Early Years Collaborative has been developed around a driver diagram with several theories for change to improve outcomes for children by March 2016.
- Support was provided to encourage participation in the community council elections in October 2015. The first formal meeting of the Forum of Community Councils and Community Associations took place in November 2015.

#### 5.3.5 Active:

- A strategic meeting was held with Education Scotland, sportscotland and Inverclyde Council in July 2015 to discuss the possible extension of the national project. sportscotland has confirmed its part of funding.
- The PE Primary Framework was launched in September 2015. We are recruiting a Primary PE Specialist to support primary class teachers with the implementation of the Framework. A significant career-long professional learning programme is in place to support teachers with PE delivery with good representation from all primaries.

#### 5.3.6 Respected and Responsible:

- The Pension and Retirement Policy, Dignity and Respect at Work Policy and the Inverclyde Council/Trades Union Partnership Pledge have all been ratified at Committee.
- In terms of the % of the highest paid 5% of our employees who are women (excluding teachers), our figure has increased from 47% to 50%.
- The Home Energy Efficiency Programme Scotland projects for 2013/14/15 are now complete; this includes collaborative programmes with River Clyde Homes (RCH) in Roxburgh/Wellington Street and John Street in Greenock; a programme with Link Housing Association in Balfour Street, Port Glasgow, and a pilot programme with Oak Tree Housing Association (OTHA) in Bow Road, Greenock, involving a total of 478 properties. A further 40 properties were insulated in a back-up programme in Bardrainey.

#### 5.3.7 Included:

- The new Employee Survey was approved by the CMT on 1 October 2015 and issued to all employees.
- Financial learning - 447 adults participated in programmes combining digital skills with financial support; 42 adult literacies learners participated in personalised programmes to develop financial literacy skills.
- The CLD Team worked in partnership with West College Scotland to produce a short film showcasing literacies and ESOL in Inverclyde. The film has been shown at local community events, conferences, ESOL awareness-raising sessions with partners and given to local Elected Members; it is also now available on Inverclyde TV with live broadcasts on Inverclyde Radio

5.4 The 9 amber actions sit across safe, achieving and respected and responsible. They include:

**Service Review Guidance:** Develop service review guidance, working with services to ensure it meets the needs of service areas.

Commentary: Service review guidance has been drafted and was taken to the meeting of the Corporate Quality Improvement Group on 11 November 2015 for comments and approval.

**Public Performance Reporting – assessment of demand:** work with libraries to assess demand and to facilitate access via the web to members of the public.

Commentary: All performance information is available on the Council's website. Audit Scotland assessed the Council as being compliant in 23 of 26 PPR categories. However, the additional piece of work with libraries has still to be carried out. A meeting will therefore take place with libraries staff by the end of the year to make them aware of the location of performance information on the Council's website. This will enable staff in the Council's libraries to respond to

performance enquiries from members of the public and signpost them to the relevant pages on our website.

**Public Performance Reporting – Inview:** Utilise Inview as a means of providing performance information to all households.

Commentary: the Statutory and Key Performance Indicators Annual Report 2014/15 was approved by the Policy and Resources Committee on 17 November 2015. Extracts from this will be submitted to Corporate Communications for inclusion the next edition of InView. Additionally, performance information in the style of infographics is currently being compiled for inclusion in InView and for posting thereafter on the performance pages of the Council's website.

**Learning Communities:** Pilot learning community in one identified area. Set process in line with Education Scotland advice and guidance.

Commentary: The development of a learning community is now linked to the development of locality planning and is being progressed via the Alliance Board.

**Corporate Communications Strategy:** Development of a Communications Strategy working with services and CMT.

Commentary: A Communications Strategy has been drafted and is currently being benchmarked with other local authorities.

**Finance Related Systems:** Pilot implemented by March 2013, full roll out of programme during 2013/14. Upgrade systems and implement new procedures.

Commentary: the dedicated resource allocated to this has been moved due to competing priorities, it is intended to resume this in late 2016 with a view to completion by December 2016.

**Teenage Pregnancy:** Health and Wellbeing Programme available universally. Produce a Teenage Pregnancy Strategy.

Commentary: Local work has taken a back seat as the national Teenage Pregnancy Strategy is under consultation. Inverclyde Council, via the Health Improvement Team in the Health and Social Care Partnership, submitted a comprehensive contribution to this national exercise. Once the consultation period has ended and been reported on, work will continue to dovetail local developments with the national strategic direction.

**Planning Policy:** Reduction in Carbon Dioxide emissions.

Commentary: 2013/14 emissions had increased on 2012/13 levels.

**Data protection:** An overall review of all the Council's installations and deployments of cameras will be carried out in 2013/14 and a set of common standards agreed and implemented.

Commentary: Report going to CMT regarding options for public space CCTV. The review will cover much wider use of CCTV and budget decisions.

5.5 Appendix 1 details the present status of the improvement actions, together with a commentary from the appropriate Service.

5.6 Appendix 2 provides performance indicator information.

## 6.0 IMPLICATIONS

### 6.1 Financial Implications - one-off costs:

Cost centre	Budget heading	Budget year	Proposed spend this report	Virement from	Other comments
n/a	n/a	n/a	n/a	n/a	n/a

### Financial implications - annually recurring costs/(savings):

Cost centre	Budget heading	With effect from	Annual net impact	Virement from	Other comments
n/a	n/a	n/a	n/a	n/a	n/a

6.2 Human Resources: There are no direct human resources implications arising from this report.

6.3 Legal: There are no direct legal implications arising from this report.

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

6.5 Repopulation: Provision of Council Services which are subject to close scrutiny with the aim of delivering continuous improvement for current and potential citizens of Inverclyde support the Council's aim of retaining and enhancing the area's population.

6.6 Inequalities: There are no direct inequalities implications arising from this report.

## 7.0 CONSULTATION

7.1 Updates on progress with the CDIPs' implementation have been provided by the lead officers of each improvement action.





## 8.0 CONCLUSION

8.1 The fifth progress report on the delivery of the Council's agreed outcomes is presented for Members' approval with the recommendation that the sixth report is submitted to the meeting of the Committee to be held in May 2016.

## 9.0 LIST OF BACKGROUND PAPERS


9.1 Education, Communities and Organisational Development CDIP 2013/16. Environment, Regeneration and Resources CDIP 2013/16.

## Appendix One








Safe				
Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Data Protection	An overall review of all the Council's installations and deployments of cameras will be carried out in 2013/14 and a set of common standards agreed and implemented	May 2015 Slight Slippage		Report going to CMT regarding options for public space CCTV. The review will cover much wider use of CCTV and budget decisions.
ECOD_CDIP Knife Violence a) MVP	Roll-out of the MVP Programme to other secondary schools	November 2015 On Track		All secondary school staff have been trained. MVP mentors have been identified in all schools and delivery of the programme to S1/S2 pupils will begin in November 2015. A Council-wide MVP Training Team has been established to ensure sustainability.
ECOD_CDIP Knife Violence b) Violence Prevention Programmes	Violence prevention programmes including No Knives Better Lives are developed and sustained	November 2015 On Track		The 2015/18 (Draft) Community Safety Partnership Strategic Assessment year 1 action plan has identified five specific actions around violence reduction one including the introduction of a No Knives Better Lives Sub Group made up of Inverclyde Council, Police Scotland, Youth Link Scotland the Violence Reduction Unit as well as representatives of a local community group. Currently the sub group has identified the need for a Terms of Reference and action plan which will be developed in Quarter 3 & 4. The Community Safety Unit, Community Learning and Development and Education with the support of CrimeStoppers are looking to roll out a 3rd party crime reporting procedure for Secondary Schools students called "Fearless" allowing young people to report crimes via a secure website.
ECOD_CDIP Knife Violence c) Anti-bullying policy	The anti-bullying policy is fully implemented	November 2015 On Track		The anti-bullying policy is under review within the Positive Relations Positive Behaviour Authority Group.

Safe				
Improvement Area	Improvement Action	Status	BRAG	Comment
ERR_CDIP Data Protection	Develop training, policies and procedures	March 2016 Complete	●	
ERR_CDIP RIPSA	Carry out actions required to meet recommendations and report to Council on progress.	November 2015 On Track	●	Actions required largely concluded: (i) Policy and Guidance Documents amended (ii) Training for Authorising Officers and annual report to CMT presented in July 2015 (iii) Training for applicants presented 30 April 2015 – Further training to be provided before the year end.
ERR_CDIP Risk Management a) Action Plan	Develop a Risk Management Action Plan by 31 August 2013	March 2016 Complete	●	
ERR_CDIP b) Risk Management Implementation of Action Plan	Action Plan fully implemented by 31 March 2015	March 2016 Complete	●	
ERR_CDIP Roads Network	Proposed programme of Projects to be undertaken in 2014/16 using RAMP/Capital Funding reported to Committee – Outline RAMP programme for 2014 has been detailed covering specific and cost of Carriageways, footways, lighting structures fees and staffing costs along with Core funding for traffic measures and details on Cycling walking and safer streets.	On Track	●	The RAMP investment is being delivered substantially to programme. Lighting progress is taking account of the outline business case/final business case for lanterns and column replacement to achieve energy, carbon and maintenance savings; a detailed report on the Street Lighting Investment Strategy was considered by the Environment and Regeneration Committee on 5 March 2015.
ERR_CDIP Software Asset Management	Be confident that all software deployed on the network is fully licensed and all asset records are accurate.	March 2016 Complete	●	

## Healthy






Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Housing Investment : Project Meetings	SLP completed by 31 March 2015 to be achieved in partnership with registered social landlords (RSLs). Regular project team meetings and monitoring by the HSD will ensure the March 2015 timescale is met	May 2015 Complete		Regular Programme Meetings being held with HSD and RSLs RSL continue , however there is significant slippage in the 2012/15 programme. However any underspend has been largely used to acquire affordable housing land banks in 4 areas; liaison with RSLs and HSD on forthcoming SHIP 2015-2020 ongoing as part of regular monitoring and forward planning process. The SHIP 2015/20 has been approved by the Council

## Achieving






Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Young Scot Cards a) Kidzcards	Negotiate with Young Scot to introduce Kidzcards in Inverclyde	November 2015 On Track		The Directorate is looking into how it will progress Kidzcards in primary schools.
ECOD_CDIP Young Scot Cards b) Quality Assurance	Establish systems and quality assurance procedures	March 2016 Complete		Following a further successful audit from Young Scot, quality assurance systems are now confirmed
ECOD_CDIP Young Scot Cards c) Cashless Catering	Develop Young Scot to be part of the cashless catering system	March 2016 Complete		The Directorate is looking into how it will progress the cashless catering system in schools.
ECOD_CDIP Service Review	Develop service review guidance, working with Services to ensure it meets the needs of service areas	November 2015 Slight Slippage		Service review guidance has been drafted and will be taken to the meeting of the Corporate Quality Improvement Group on 11 November 2015 for comments and approval.
ECOD_CDIP Corporate Directorate Improvement Plans	Develop guidance for Directorates  Carry out a series of event to roll out the new guidance and support Services to develop new Plans	November 2015 On Track		New guidance is being drafted. A planning meeting took place on 14 October 2015.
ECOD_CDIP Community Empowerment Act	Bring the improving data analysis group together to gather information around the agreed localities. Publish locality profiles for access by Council Services and communities. Develop Locality Plans for Port Glasgow, Greenock East and Central and Greenock South and South West.	November 2015 On Track		Work on locality planning has begun, using Broomhill as an initial pilot area.
ECOD_CDIP Single Outcome Agreement	Carry out a strategic assessment to inform the new SOA, including engagement with communities. Use locality profiles to inform development of the SOA	November 2015 On Track		The current SOA 2013/16 runs until next year. Work to progress this improvement action will therefore begin in 2016.



## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Community Justice Transition	Follow any regulations and guidance to come from Scottish Parliament regarding the Community Justice Bill when it is enacted. Corporate Policy and partnership will work closely with Criminal Justice Social Work and other relevant partners to develop a local approach to community justice	November 2015 On Track		The guidance is expected in 2016. A Criminal Justice Co-ordinator has been appointed to take forward this work.
ECOD_CDIP LGBF	By participating in the Family Groups, as resources allow	November 2015 On Track		Two officers from the Corporate Policy team are attending or supporting other officers to attend the family group meetings. They also attend the events run by the Improvement Service.
ECOD_CDIP Scottish Attainment Challenge	Improvement plans are developed by the primary schools By coaching, mentoring and increased parental involvement in their children's education By implementing new techniques in teaching numeracy and literacy such as reciprocal reading	November 2015 On Track		A project leader has been appointed and the team to take forward the Attainment Challenge has been established. We have begun to analyse our baseline data and visits are taking place to schools. Professional development work has started and the implementation group has met four times. We are working closely with Education Scotland to take this forward.
ECOD_CDIP Professional Update	Ensure teachers are maintaining their GTC status using professional update	November 2015 On Track		We have ensured that all teachers have maintained General Teaching Council for Scotland registration through the professional update process.
ECOD_CDIP Self Evaluation for Safer Comms	By conducting a Public Service Improvement Framework (PSIF) assessment for the Service and devising an action plan	November 2015 On Track		Not yet started






## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Competitiveness	Enhancement of self-evaluation guidance and processes regarding competitiveness and challenge	November 2015 On Track		Participation in the family group process continues. Inverclyde will remain as host of the Looked After Children Family Group 4. An overview meeting was arranged for 14 October 2015 with Inverclyde's representatives on the family groups covering street cleaning, HR, Council Tax, museums and equalities; topics discussed include experience of the process so far as well as next steps.
ECOD_CDIP Public Performance Reporting a) Web information	Improve information on the Council's website from all Services	November 2015 On Track		The Statutory and Key Performance Indicators Annual Report 2014/15 was considered by the CMT on 15 October 2015 and was submitted to the Policy and Resources Committee on 17 November 2015. The information in the Appendix will be posted on the performance pages of the Council's website.
ECOD_CDIP Public Performance Reporting b) PPR format	Provide information in different formats	November 2015 On Track		No requests for alternative formats have been received. Financial implications mean that alternative formats will only be provided on request.
ECOD_CDIP Public Performance Reporting c) Assessment of demand	Work with libraries to assess demand and facilitate access via the website to members of the public	November 2015 Slight Slippage		All performance information is available on the Council's website. Audit Scotland assessed the Council as being compliant in 23 of 26 PPR categories. However, the additional piece of work with libraries has still to be carried out. A meeting will therefore take place with libraries staff by the end of the year to make them aware of the location of performance information on the Council's website. This will enable staff in the Council's libraries to respond to performance enquiries from members of the public and signpost them to the relevant pages on our website.
ECOD_CDIP Public Performance Reporting d) Inview	Utilise InView as means of providing performance information to all households	November 2015 Slight Slippage		Extracts from the Statutory and Key Performance Indicators Annual Report 2014/15 will be submitted to Corporate Communications for possible inclusion in the next edition of InView. Additionally, performance information in the style of infographics is currently being compiled for inclusion in InView and for posting thereafter on the performance pages of the Council's website.








## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Public Performance Reporting e) Employee information	Provide information in different ways to ensure it is meaningful to employees at all levels of the organisation	November 2015 On Track	●	The Audit Scotland PPR report was considered by the CMT and the Policy and Resources Committee in September 2015. Work has started with Services where we are currently non-compliant.
ECOD_CDIP Inverclyde Performs a) User Training	Further training for Inverclyde Performs users	November 2015 On Track	●	Visits/demonstrations to all Directorate Management Teams are complete. We have also provided demonstrations to Senior Management Teams, where requested. Training for officers is ongoing on a needs basis, as and when a training issue is highlighted.
ECOD_CDIP Inverclyde Performs b) Training Plan	Work with DMTs and EMTs to establish training needs and develop a training plan	November 2015 On Track	●	Visits/demonstrations to all Directorate Management Teams are complete. We have also provided demonstrations to Senior Management Teams, where requested. Training for officers is ongoing on a needs basis, as and when a training issue is highlighted.
ECOD_CDIP Inverclyde Performs c) System Development	Work with Services to identify which plans, strategies and projects should be developed on Inverclyde Performs	November 2015 On Track	●	This work is ongoing. Most recently the new libraries service plan has been uploaded to the system. Work also ongoing to develop the functionality of the system e.g. performance dashboards and briefing books to make the presentation of performance information more visually appealing.








## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP CD4 Literacy	Use of evidence-based approaches which lead to key improvements in literacy skills for all (Links to Scottish Attainment Challenge/Raising Attainment for All)	November 2015 On Track		The Reciprocal Teaching Initiative is being rolled out in each primary school. This methodology is proven to have an impact on children's reading skills. CLD update - CLD – update: 563 adults received literacies support, This includes 203 in partnership with the Trust and 42 ESOL learners. 281 learners achieved SQA accreditation – 345 units in total. SQA accredited Literacies awareness raising was delivered to 156 partner agency staff. Continued to work in partnership local agencies such as JCP and NHS to develop and deliver customised literacies programmes.
ECOD_CDIP Learning Communities	Pilot learning community in one identified area  Set a process in place in line with HMle advice and guidance	November 2015 Slight Slippage		The development of a learning community is now linked to the development of locality planning and is being progressed via the Alliance Board.
ECOD_CDIP Employability Inverclyde Youth Employment Action Plan Development	Implementation and robust evaluation of the Inverclyde Youth Employment Activity Plan	November 2015 On Track		Currently updating on a quarterly basis as per national guidance.
ECOD_CDIP Employability Working for Growth	Implementation and robust evaluation of the employability component of the Adult Learning and Literacy Action Plan, integrated within the Working for Growth: A Refreshed Employability Framework for Scotland 2012	November 2015 On Track		CLD have provided literacies support to 203 learners within the Trust Employability Regeneration – against a target of 180. In addition, 68 of the 203 achieved SQA accreditation as part of the literacies support. 476 adult learners participated in employability programmes and community based work clubs.
ECOD_CDIP Continuous Improvement Team: Partnership Working	Better partnership working regarding self-evaluation	November 2015 On Track		A number of schools and other educational establishments have been identified to have a review during 2015/16.

## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Curriculum for Excellence a) Partnership working with Education Scotland	Work in partnership with Education Scotland to support and develop the confidence of staff to effectively deliver the CfE across all sectors and establishments	November 2015 On Track		Our partnership working with Education Scotland is ongoing. Our Education Scotland Link Officer continues to meet regularly with senior Education staff.
ECOD_CDIP Curriculum for Excellence b) Partnership working with SQA	Work in partnership with the Scottish Qualifications Authority (SQA) to support secondary teachers with continued delivery of the National Qualifications and input on the Higher and new Advanced Higher	November 2015 On Track		To monitor the new qualifications, partnership working with the SQA continues.
ECOD_CDIP Curriculum for Excellence c) Building the Curriculum	Fully embed the principles from Education Scotland's national Building the Curriculum documents to deliver better outcomes for all children and young people	November 2015 On Track		Education Scotland's Increased Expectations paper continues to be a focus of discussion at self-evaluation visits during 2015/16.
ECOD_CDIP Curriculum for Excellence d) Senior Phase Model	Implement the new Senior Phase Model	November 2015 On Track		The Senior Phase Model is being used and modified as necessary across all schools.
ECOD_CDIP Curriculum for Excellence e) P7 & S3 profiles	Continue to monitor the quality and the use of P7 and S3 profiles in schools	November 2015 On Track		Education Services' Continuous Improvement Team continues to have professional dialogue with head teachers and pupils about the quality and use of P7 and S3 profiles.
ECOD_CDIP Welfare Reform Act 2012: Financial Inclusion Strategy	Continued implementation of the financial learning component of the Financial Inclusion Strategy	November 2015 On Track		CLD update – 447 adults participated in programmes combining digital skills with financial support and budgeting for healthy eating as part of Let's Get Cooking programmes, 42 adult literacies learners participated in personalised programmes to develop financial literacy skills.
ECOD_CDIP Developing Leadership in Teachers a) Leadership Capacity	Take steps to improve leadership capacity across all establishments	November 2015 On Track		Education Services are providing leadership training for all interested teachers.









## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Developing Leadership in Teachers b) University partnership	Develop a new partnership with a University where there is shared responsibility for key areas of teacher education	November 2015 On Track		Partnerships are established and ongoing in a number of schools.
ECOD_CDIP Pupil Support	Complete a reconfiguration of support staff infrastructure, making a more efficient use of resources and teaching so that pupils needs are more effectively met	November 2015 On Track		Support service review is progressing and initial report will be completed by end of October 2015
ECOD_CDIP Virtual School a) Out of authority placements	identification of pupils in out of authority placements	November 2015 On Track		Continuing to develop a database, utilising the datahub and other MIS systems.
ECOD_CDIP Virtual School b) Tracking and transition planning	Improved tracking and transition planning	November 2015 On Track		This is ongoing utilising SEEMIS and the Virtual school.
ECOD_CDIP Virtual School c) Pupil Support	Better support provided for pupils identified	November 2015 On Track		We are continuing to utilise SEEMiS and the 'virtual school' to provide support for the relevant pupils.
ECOD_CDIP Inverkip Community Centre	Inclusion of library space within new community centre planned for Inverkip	November 2015 On Track		The community centre should be available from November 2016, the final extent of library provision requires further discussion.
ECOD_CDIP Adult Learning Service a) Adult Learning delivery	Innovative adult learning delivery and extension of partnerships with organisations such as Job Centre Plus (JCP) and Skills Development Scotland (SDS)	November 2015 On Track		Library's own classes – Android drop-in at Central, iPad classes at Central, Kilmacolm and Gourrock. ECDL drop-in at Central. CLD classes – Basic Computing drop in at Central, Jobs Clubs, with CV drop-in/work support added to Central's timetable on a Tuesday afternoon. College classes – four classes, ranging from basic computing to Intermediate 1, 2 & Digital Photography, are running across 4 branches (Central, Port Glasgow, Gourrock and South West) from August to November; more to run December – May, and May - June. We continue our long-standing partnership with ICOD, and the ABC project.

## Achieving





Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP Adult Learning Service b) Outreach techniques	Development of outreach techniques	November 2015 On Track	●	Worked with RNIB on their lottery-funded Get Online! tablet taster sessions for visually impaired people - these one-off taster sessions have been delivered twice, with more sessions to run in October, January and March. Working in partnership with CLD to deliver Reading Ahead (formerly the Six Book Challenge) to adult literacies learners - the Reading Agency published a case study on Inverclyde Libraries and literacies learners who took part in the Challenge on their website in August. Still working in partnership with the Future Skills project to provide a venue/PCs for basic computing learners.
ECOD_CDIP Library Services for Young People, learners and readers	<p>Build on and extend the success of Bookbug in Inverclyde. More and better school/group visits focussing on information literacy and the CfE. Build links with partners to improve the range of classes available</p> <p>Further development and promotion of eLibrary and training of staff</p>	November 2015 On Track	●	Bookbug Borrowers Club to be rolled out to further sites. Bookbug partnership developed and pack distribution consolidated. Increase in Nursery and P1 gifting sessions. Focus on regular school visit process and developing links with RAFA objectives. IL representation on EYC Implementation Team and Libraries Early Years Strategy Group. Every Child a Library Member pilot completed and under review. Partnership with Action for Children to deliver parenting classes. IL contributing to FAST programme in schools. Elearning linked to school visits and new marketing material issued.
ECOD_CDIP Adult Learning	Map all adult learning provision, process developed and agreed with providers receiving public funding to support continued engagement	November 2015 On Track	●	1,503 learners participated in community based adult learning provision: 434 in health and well-being programmes, 476 in employability programmes and community based work clubs, 146 in digital skills programmes, 447 in programmes combining digital skills with financial support and 100 families participated in parenting and family learning programmes.

## Achieving




Improvement Area	Improvement Action	Status	BRAG	Comments
ECOD_CDIP HR21 a) Software installation and process review	Software installation, process review to ensure compliance, liaison with the Pensions Regulator, the Strathclyde Pension Fund Office and the Scottish Public Pensions Agency	November 2015 On Track		Software has been installed. There will be ongoing monitoring to ensure it is functioning as required.
ECOD_CDIP HR21 b) Equalities	Roll out HR21 version 3 upgrade to allow equalities information to be updated	March 2016 Complete		
COD_CDIP Workforce Development Plan	By carrying out the work identified in the 4 themes	November 2015 On Track		Plan in full progress.
ECOD_CDIP Corporate Communications Strategy	Development of a CCS, working with Council Services and the CMT	November 2015 Slight Slippage		A Communications Strategy has been drafted and is currently being benchmarked with other local authorities.
ECOD_CDIP Website a) Website Content	Review the content of the website via a cross-Directorate content review team	November 2015 On Track		A cross-departmental team has been established and meetings take place on a regular basis.
ECOD_CDIP Website b) New Design	Draft a new design and agree with CMT	March 2016 Complete		The Council's new website was launched on schedule. Positive feedback has been received. 50% of website visits are from mobile devices. There has also been a steady rise in the number of unique visitors and a greater rise in the number of times these visitors are using the site.
ECOD_CDIP Events	Cross-Service events group to be set up and to report to the CMT	November 2015 On Track		Council-wide events are being delivered by Corporate Communications. An Events Group has been set up under the auspices of the Local Area Tourism Partnership with representation from Council Services including Corporate Communications, the McLean Museum and Economic Development.
ERR_CDIP Finance Related Systems	Pilot implemented by March 2013, full roll out of programme during 2013/14. Upgrade systems and implement new procedures	November 2015 Slight Slippage		The dedicated resource allocated to this has been moved due to competing priorities, it is intended to resume this in late 2016 with a view to completion by December 2016.








## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ERR_CDIP Digital Access Strategy	Working with ICT and Corporate Communications to ensure that effective systems and processes are in place to facilitate channel shift.	November 2015 On Track		An upgrade to the CSC Kana system took place in late October. Staff training has been developed and is expected to be delivered by February. Top tasks in selected service areas have been identified to help facilitate customer contact away from face-to-face to web transactions. Plans are also in place to increase the types of payments that can be made on line.
ERR_CDIP CSC Development	Migration of appropriate services into the Customer Service Centre for front facing and telephony contact with customers. Progress will be tracked through the Customer Service Action Plan	November 2015 On Track		New Structure now populated and changes to telephony system on going.
ERR_CDIP Welfare Reform Agenda ( Environment, Regeneration & Resources))	Introduce and deliver the council tax reduction scheme, the Scottish Welfare Fund and the changes to Housing Benefit legislation from April 2013 and manage the impact of the move to universal credit	November 2015 On Track		Delivery of the Scottish Welfare Fund and changes to Housing Benefit legislation have all been implemented successfully. Universal Credit (UC) went live on 12 October 2015 with minimal impact. From April 2016, both further roll-out of UC and new Welfare Reform cuts, it is anticipated that demand on Services will increase. Process maps and publicity material in respect of UC have been produced and circulated and an extensive training programme has been delivered to relevant Council staff and external partners.
ERR_CDIP Property Assets Management	Asset Management Plan agreed, implemented and ongoing with funding in place. Projected completion by October 2014 except GMB District Court Offices Asset Management Plan agreed, implemented and ongoing with funding in place. Projected completion by October 2014 except GMB District Court Offices			

## Achieving

Improvement Area	Improvement Action	Status	BRAG	Comments
ERR_CDIP PAFM School Estate Management Plan	Complete current projects and complete primary school refurbishment programme	On Track		Ardgowan Primary School opened August 2015. Work on new St Patrick's Primary School underway.
ERR_CDIP Open Spaces a) Play Areas	Continue phased play area development	March 2016		
ERR_CDIP Open Spaces b) Cemeteries	Identify cemeteries, implement next phase of investment in 2013/14	March 2016		
ERR_CDIP Open Spaces c) Site Condition Assessment	Ongoing site by site condition assessment to inform budget setting priorities	March 2016		
ERR_CDIP Economic Development (Tourism)	All available tourism opportunities are maximised	April 2015 On Track		
ERR_CDIP Riverside Inverclyde (Environment, Regeneration & Resources))	Deliver Operating Plan. Ongoing monitoring and review against RI milestones	March 2016		
ERR_CDIP Repopulation (Environment, Regeneration & Resources))	Develop and implement an action plan	March 2016 Complete		

## Nurtured

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP SOA Resource Development & Measurement	Sub-groups set up to deal with resource development and measurement	November 2015 On Track		A report will be prepared for submission to the SOA Programme Board.
ECOD_CDIP Volunteering	<p>Co-ordinate planning for volunteering across establishments, CLD, the Youth Employment Activity Plan and the voluntary sector</p> <p>Identify opportunities for accreditation</p>	November 2015 On Track		Meeting to take place late October with a view to expanding young people's participation in volunteering as peer mentors. There are 76 volunteers working across CLD to support the delivery of services. This includes 25 in the literacies provision, 5 providing support in English for Speakers of Other Languages (ESOL) groups, 14 in adult learning and 32 across co-producing community groups who are delivering services for older people. 16 literacies volunteers completed the SQA training at SCQF6. Adult services achieved Volunteer Friendly Status.
ECOD_CDIP Strategic Guidance for CLD	<p>Develop an implementation plan using the process agreed at the Education and Communities Committee, with an emphasis on involvement with SOA Outcome Delivery Groups</p> <p>Establish priorities and a baseline for measuring progress towards achievement</p>	March 2016 Complete		The 3 year plan for CLD was approved by Policy & Resources Committee in August 2015 and subsequently by the Alliance Board in October 2015.
ECOD_CDIP Children and Young People's Act a) GIRFEC	Implementation of GIRFEC	November 2015 On Track		The GIRFEC Champions approach is well embedded in all schools. The new GIRFEC Pathway is being established. Named Person service training is being implemented over time.
ECOD_CDIP Children and Young People's Act b) Training Strategy	Training strategy delivered, both single and multi-agency	January 2015 On Track		Single Agency Well-Being Assessment Training is being developed by the educational psychology service (EPS). The EPS and the quality improvement team plan to deliver it to clusters in January 2016.

## Nurtured

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Children and Young People's Act c) Tutoring & Awareness Raising	Multi-agency implementation, tutoring and awareness-raising	March 2016		
ECOD_CDIP Children and Young People's Act d) SEEMIS Training	SEEMIS training in relation to the Child's Plan for all primary and secondary staff, as appropriate	March 2016		
ECOD_CDIP Early Years/ Nurturing Collaborative b) EYC Learning Sessions	Engagement in the EYC learning sessions run by the SG	November 2015 On Track	●	The last Scottish Government learning session took place on 10/11 November 2015 with a mix of delegates attending from+E6Inverclyde to discuss the Early Years Collaborative and Raising Attainment for All initiatives.
ECOD_CDIP Early Years/ Nurturing Collaborative c) Action Plan	Development of an action plan focussed on early intervention and prevention in relation to the EYC 'stretch aims'	November 2015 On Track	●	An action plan has been developed around a driver diagram with several theories for change to improve outcomes for children by March 2016.
ECOD_CDIP Cultural Hub	Outcome of Round 1 bid due in May 2014  If the bid is unsuccessful, an alternative plan, to be devised by the end of 2014	November 2015 On Track	●	Projected timescale for next potential submission is end of November 2015.




## Nurtured

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Archives	<p>Further cataloguing of further records</p> <p>Increasing finding aids available online</p> <p>Conducting at least 3 class visits in the Watt Library;</p> <p>Creation of disaster plan and other management policies</p> <p>Take part in the McLean Museum's World War 1 commemorations</p> <p>Involvement in the Greenock Philosophical Society's bid to the Heritage Lottery Fund to digitise archives</p>	November 2015 On Track	●	Post under review - options being considered.
ECOD_CDIP School Libraries	Set up steering group to look at the issues and make recommendations by December 2014	November 2015 On Track	●	Key Committee outcomes still required.
ECOD_CDIP Community Councils	Providing an enhanced programme of training and support for community representatives, including embedding of training in ongoing activities and meetings	November 2015 On Track	●	Support was provided to encourage participation in the Community Council elections in October 2015. The first formal meeting of the Forum of Community Councils and Community Associations took place in November 2015.
ECOD_CDIP Absence Management a) Automation of processes	Continuation of automation of processes	November 2015 On Track	●	Quarter 4 2014/15 Actual 3.01, Quarter 1 2015/16 2.1, this is a reduction from the same quarter in the previous year. The trend is downwards.
ECOD_CDIP Absence Management b) HR interventions/pilots	New HR interventions/ pilots to assist management and reduce absence level	November 2015 On Track	●	The rankings are not yet known, however, there has been an overall improvement in the absence rate.





## Active

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP PE Plan	PE Plan implemented	November 2015 On Track	●	Strategic meeting held with Education Scotland, sportscotland and IC in July to discuss the possible project extension nationally. sportscotland have confirmed their part of funding, Education Scotland will not be in a position until Nov 2015 to confirm whether they will have the funds to continue past June 2016. PE primary Framework launched in Sep 2015. Currently recruiting Primary PE specialist to support primary class teachers with the implementation of the framework. Significant CLPL programme in place to support teachers with PE delivery, good representation from all primaries.
ECOD_CDIP School PE provision	Number of schools providing minimum 2 hours PE to be increased	November 2015 On Track	●	<p>Progress made moving from 4 to 2 primaries not achieving the target. Gourrock &amp; St Andrew's have now implemented changes and have achieved the target by April 2015.</p> <p>Hoping to achieve target in early 2016. All secondaries achieving the target of 2 periods S1 - 4, although several have dropped from offering 3 periods per week to 2 periods.</p>

## Respected & Responsible


Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Teenage Pregnancy	<p>The Health and Wellbeing programme is universally available</p> <p>A teenage pregnancy strategy is produced</p>	November 2015 Slight Slippage		Local work has taken a back seat as the national Teenage Pregnancy Strategy is under consultation. Inverclyde Council, via the Health Improvement Team in the Health and Social Care Partnership, submitted a comprehensive contribution to this national exercise. Once the consultation period has ended and been reported on, work will continue to dovetail local developments with the national strategic direction.
ECOD_CDIP Housing Repairs Enforcement b) Information	Provide a range of information and signposting via various formats to householders to inform, advise and guide them in attending to matters of disrepair to their property	November 2015 On Track		The national online advice and information resource is now known as "Under One Roof Scotland". A steering group has been appointed and is hosted and chaired by RIAS (the Royal Incorporation of Architects in Scotland). The total cost of the online resource over five years is £120,000; £96,000 has been paid towards this cost so far from a range of funding partners including SFHA ( Scottish Federation of Housing Associations) Historic Scotland ,a property management company and a number of Local Authorities, including £1500 from Inverclyde Council. The website is programmed to launch in Spring 2016.
ECOD_CDIP Home Energy Efficiency (private) a) Grants	Promote grant availability and improved energy efficiency to owners	November 2015 On Track		Measures continue, programmes are ongoing to improve energy efficiency in our homes.







## Respected & Responsible

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Home Energy Efficiency (private) b) Difficult to Treat Houses	Continue to target 'difficult to treat' houses for investment	November 2015 On Track		The HEEPS Programmes for 2013/14/15 are now complete; this includes collaborative programmes with RCH in Roxburgh/Wellington Street and John Street Greenock, a programme with Link HA in Balfour Street Port Glasgow and a pilot programme with OTHA in Bow Road Greenock for a total of 478 properties. A further 40 properties were insulated in a 'back up programme' in Bardrainey. Funding from 2014/15 and 2015/16 has been allocated to the Broomhill Regeneration Project which is being managed by RCH. Programmes funded from 2015/16 include the continuation of the Bardrainey back up programme now including RCH properties and the continuation of Bow Road in collaboration with OTHA. A collaborative programme with RCH in the Wellpark area and loft insulation programmes with OTHA and RCH are due to commence. Future collaborative programmes are being considered in Aberfoyle Road and Larkfield and a 'Hybrid' Programme in Port Glasgow Town Centre.
ECOD_CDIP Policy Development	Identify priority policies based on legislative need, risk to the Council and information gaps i.e. health and safety policies, Legionella, HR policies, discipline, family friendly	November 2015 On Track		The Pension and Retirement Policy, Dignity and Respect at Work Policy and the IC/TU Partnership pledge have all been ratified at Committee.
ERR_CDIP FOI Publication Scheme	Develop and populate new Scheme liaising with services as required	March 2016 Complete		
ERR_CDIP Community Council Liaison	Develop a suite of guidance materials for use by the service and Community Councils	March 2016 Complete		



## Respected & Responsible

Improvement Area	Improvement Action	Status	BRAG	Comment
ERR_CDIP Planning Policy (Carbon Management)	Reductions in carbon dioxide emissions	Slight Slippage		2013/14 emissions had increased on 2012/13 levels.

Included				
Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Corporate Equalities a) Guidance and support	Through the work of the Equalities Officer, continue to provide appropriate advice, guidance and support to Council Services	November 2015 On Track		Organisational competence is increasing.
ECOD_CDIP Corporate Equalities b) Equalities Officer	Appoint a new Equalities Officer to replace previous post holder	March 2016 Complete		Equalities Officer now In post
ECOD_CDIP Corporate Equalities c) CEG representation	Through the work of the Equalities Officer, continue to provide appropriate advice, guidance and support to Council Services	November 2015 On Track		A report was presented to Programme Board. Further information has been requested.
ECOD_CDIP Community Engagement	Build on findings and proposals emanating from a series of workshops/events held March 2014  Create a cross-Directorate planning group with links to the Community Engagement/Community Capacity Building Network	November 2015 On Track		Further cluster meetings and community council elections took place in October 2015.
ECOD_CDIP Engagement with Young People	In partnership with Inverclyde's young people and community planning partners, progress the action points arising from the Health and Well Being Survey conducted in secondary schools in 2014 and at the #Clyde Conversations follow-up event in March 2015	November 2015 On Track		Work to enhance young people's participation is progressing on target and it is hoped to bring the Youth Participation Strategy to the 19 January 2016 Education and Communities Committee.
ECOD_CDIP LAAC	Reduce the number of exclusions/Improved attainment for LAAC	November 2015 On Track		Proportionate visits continuing with a particular focus upon looked after young people. Exclusions have decreased.

**Included**

Improvement Area	Improvement Action	Status	BRAG	Comment
ECOD_CDIP Outreach activities for ethnic minorities	Enhanced programme of outreach and engagement developed and in place	November 2015 On Track	●	CLD has worked in partnership with WCS to produce a short film showcasing literacies & ESOL in Inverclyde. This film has been shown at local community events, conferences, ESOL awareness raising sessions with partners and given to local Elected Members. Now available on Inverclyde TV. Live broadcasts on Inverclyde Radio. An ESOL information event was held during this period, with 50 attending. The event was promoted in the local media, through partner agencies and word of mouth to the families and friends of current learners. In addition over 1,000 homes were targeted in a leaflet drop. Partnership work with local employers continued. There are 7 community based groups running with 42 learners regularly participating.
ECOD_CDIP Gender Equality a) Equal Opportunities Policy	Monitor application of Council's equal opportunities policies by Services	November 2015 On Track	●	Top 5% has improved from 47% to 50%.
ECOD_CDIP Gender Equality b) Equality Strategy	Link with the Corporate Equalities Officer to include as part of overall Equality Strategy for the Council	November 2015 On Track	●	Collaborative working is ongoing. Equality and Diversity policy under review/development.
ECOD_CDIP Employee Survey	Launching the 2015 Survey Report on the results devised for DMT, CMT and the Policy and Resources Committee Newsletter on the 2015 headline results issued to staff Devising an improvement plan in response to feedback provided by employees	November 2015 On Track	●	The new Employee Survey was approved by the CMT on 1 October 2015 was issued in December.

## Appendix Two

### Corporate Performance Report – February 2016

The Council's key performance indicators help demonstrate performance in terms of strategic and operational objectives. These indicators include statutory performance indicators and local performance indicators.

Figures for quarters 1, 2 and 3 (where available) of 2015/16 are shown below, together with full year figures for 2014/15 and 2013/14:

Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
Community Wardens: <ul style="list-style-type: none"> <li>high priority calls - % responded to within 30 minutes</li> </ul>	Demonstrates the response times of the Community Warden service	95%	Quarter 1: 95.1% Quarter 2: 95.3% Quarter 3: 95.2%	95.9%	96.45%	Performance is consistently high
<ul style="list-style-type: none"> <li>medium priority calls - % responded to within 60 minutes</li> </ul>		95%	Quarter 1: 96.2% Quarter 2: 97.6% Quarter 3: 100%	98.5%	100%	Performance is consistently high
Library visits: number of actual and virtual visits per 1,000 population	Demonstrates the use of Inverclyde's libraries	5,008	details are compiled annually	5,003	4,873	There were 130 more library visits per 1,000 population
Library issues: number per 1,000 population	Demonstrates the number of items issued from Inverclyde's libraries	2,597	details are compiled annually	2,474	2,759	There was a decrease in the number of library issues per 1,000 population; this reflects the national picture. However, we have seen an increase of 245% in the number of elssues.
Computer facilities in libraries: number of	Demonstrates the use of computer facilities in	166	details are compiled	158	119	The number of people using computer facilities in libraries

Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
users per 1,000 population	libraries		annually			per 1,000 population increased by almost a third
Adult learners in libraries	Demonstrates the number of adult learners attending classes in libraries	2,960	details are compiled annually	2,819	2,442	Adult learners in libraries increased by more than 15%
McLean Museum: <ul style="list-style-type: none"> <li>number of visits in person per 1,000 population</li> <li>number of visits to/use of Council-funded or part-funded museums per 1,000 population</li> </ul>		tbc  911	details are compiled annually  details are compiled annually	tbc  908	501  808	The number of visits increased by just over 12%
School Leaver Destination Results: <ul style="list-style-type: none"> <li>positive destinations (includes non-mainstream young people)</li> </ul>	Measures the proportion of school leavers (from publicly-funded schools in Inverclyde) into positive and sustained destinations (further education, higher education, employment or training)	A new national performance indicator regarding school leaver destination results is currently being developed which is due to start in December 2015		94.3% (academic year figure)	94% (academic year figure)	There was an increase of 0.3% in the number of Inverclyde school leavers who went on to positive and sustained destinations. This is 1.4% above the national average of 92.9%.
Creditor payments: number of invoices paid within 30 calendar days of receipt as a % of all invoices paid	Demonstrates the efficiency and effectiveness of the arrangements for paying creditors	96.8%	Quarter 1: 96.89%  Quarter 2: 96.15%	96.59%	96.3%	Performance improved by 0.29%

Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
			Quarter 3: not yet available			
Council Tax in-year collection <sup>1</sup>	Measures the efficiency and effectiveness of Council Tax billing and collection processes	Annual target: 94.5%  Quarter 1 target: 27.7%  Quarter 2 target: 54.4%  Quarter 3 target: 81.7%  Quarter 4 target: 94.5%	Quarter 1: 27.7%  Quarter 2: 54.5%  Quarter 3: 81.8%	94.8%	94.51%	Despite another challenging year due to the continuing difficult economic climate, the Council Tax in-year collection level increased by 0.29% which is a significant achievement.
Speed of Benefits processing - average number of days per case to process:  <ul style="list-style-type: none"> <li>new Housing Benefit/ Council Tax reduction claims</li> </ul>	Demonstrates the effectiveness of the quality assurance measure in place within the Benefits service	23 days	Quarter 1: 33 days  Quarter 2: 24 days  Quarter 3: 23 days	27.7days	22 days	Performance declined because of specific factors relating to the assessment of claims in the Private Rented Sector and measures introduced to improve good tenancy management practices. The improvement in performance during Q2 2015/16 will be maintained.
<ul style="list-style-type: none"> <li>Housing Benefit/ Council Tax Benefit reduction claim changes of</li> </ul>		6 days	Quarter 1: 5 days  Quarter 2:	4.2days	5 days	Performance has improved for the second consecutive year and is ahead of target.

<sup>1</sup> A higher % of Council Tax is expected to be paid in the first 3 quarters of the year than in the final quarter. Most Council Tax customers pay by 10 monthly instalments from April to January each year, therefore dividing the annual target by 4 quarters would not give a true reflection of the expected income in each quarter.

Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
circumstances			5 days Quarter 3: 5 days			
Incident resolution times	Demonstrates the responsiveness of the ICT Service Desk to reported incidents, against service level agreements	80%	Quarter 1: 93.48% Quarter 2: 94.98% Quarter 3:	89.34%	95.37%	Performance is well ahead of target despite reduction in Service Desk Team
Service request resolution times	% of reported ICT service requests resolved within targets defined in service level agreements	80%	Quarter 1: 93.24% Quarter 2: 91.10% Quarter 3:	91.31%	94.96%	Performance is well ahead of target despite reduction in Service Desk Team
Network availability	Demonstrates the availability of the network and access to ICT services required by departments in their day-to-day activities	99.5%	Quarter 1: 100% Quarter 2: 100% Quarter 3:	99.98%	99.97%	Service levels remain consistently high due to continued investment in core infrastructure.
Key applications availability	Demonstrates the availability of key applications required by Services	99.5%	Quarter 1: 100% Quarter 2: 100% Quarter 3:	100%	100%	Service levels remain consistently high due to continued investment in core infrastructure.
Corporate absence rate:	High levels of attendance					

Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
the average number of working days per full-time equivalent employee lost through sickness absence for: <ul style="list-style-type: none"> <li>teachers</li> </ul>	lead to higher levels of service provision, heightened morale and, for the purposes of Best Value, the provision of competitive and effective services	Annual target: 9 days  Quarterly target: 2.25 days	Quarter 1: 1.2 days  Quarter 2: 0.6days  Quarter 3: not yet available	6.4 days	7.6 days	The number of days lost for teachers reduced by 1.2 days
<ul style="list-style-type: none"> <li>all other local government employees</li> </ul>		Annual target: 9 days  Quarterly target: 2.25 days	Quarter 1: 2.3 days  Quarter 2: 2.3 days  Quarter 3: not yet available	11.1 days	11.9 days	The number of days lost for all other local government employees reduced by 0.8 days
<ul style="list-style-type: none"> <li>all employees</li> </ul>		Annual target: 9 days  Quarterly target: 2.25 days	Quarter 1: 2.09 days  Quarter 2: 1.9 days  Quarter 3: not yet available	10days	10.9days	The overall number of days lost to the Council reduced by 0.9 days
Waste management: refuse recycling	% of household waste composted and recycled	60%	Quarter 1: 58.97%  Quarter 2: 56.85%  Quarter 3: Not yet available	59%	55.5%	Continued improvement. Highest recycling rate in Scotland in 2014/15.
Traffic lights repairs	% completed within 48 hours	90%	Quarter 1:	92.8%	89.3%	



Key performance measure	Relevance	Target 2015/16	2015/16 performance	2014/15 performance	2013/14 performance	Commentary on change between 2013/14 and 2014/15
			Quarter 2:			
			Quarter 3:			
Street lighting repairs	% completed within 7 days	95%	Quarter 1:	88.01%	78.56%	
			Quarter 2:			
			Quarter 3:			
Pothole repairs :	Response to make safe / repair within target category timescales 1 (urgent) to 3 (medium)		Quarter 1:	77.3%	34%	
			Quarter 2:			
			Quarter 3:			
Planning applications:	Processing times for planning applications		Quarter 1: 88%	88.7%	87%	
<ul style="list-style-type: none"> <li>% of all applications decided in under 2 months</li> </ul>		80%	Quarter 2: 93.7%			
			Quarter 3: 88.3%			
<ul style="list-style-type: none"> <li>% of householder applications decided in under 2 months</li> </ul>		90%	Quarter 1: 100%	97%	97%	
			Quarter 2: 97.6%			
			Quarter 3: 97.5%			

**Report To: Policy and Resources Committee**

**Date: 2 February 2016**

**Report By: Chief Executive**

**Report No: CE/001/16/JWM**

**Contact Officer: Lynsey Logsdon, Business  
Support Executive**

**Contact No: 2744**

**Subject: Co-ordination and Monitoring of Corporate Projects**

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## **1.0 PURPOSE**

- 1.1 The purpose of this report is to inform the Policy and Resources Committee of the findings of a review that has been carried out of how the Council co-ordinates and monitors corporate projects and work streams. In addition, this report proposes recommendations regarding a new structure to improve the Council's approach to the co-ordination and monitoring of corporate projects and work streams.

## **2.0 SUMMARY**

- 2.1 The Council established a series of Corporate Improvements Groups (CIGS) in 2010 as the means through which the Council co-ordinates and monitors corporate projects and work streams.
- 2.2 The current CIG structure has now been in place for six years and the CMT agreed that it would be valuable to carry out a review to assess whether it still meets the needs of the Council and provides adequate oversight of the progress that is being made in the implementation of corporate projects and work streams.
- 2.3 A review was subsequently undertaken and it concluded that:
- A significant number of new working groups have been established since 2010 that are not part of the current CIG structure.
  - There is no standardised approach across all corporate working groups.
  - The performance management and monitoring arrangements vary across all groups.
  - Corporate governance was identified as an area that could be improved on.
- 2.4 Based on the findings of the review, consideration has been given as to how the Council could improve and streamline its approach to the co-ordination and monitoring of corporate projects. It is proposed that the Council disbands CIGs and instead uses Corporate Directorate Improvement Plans (CDIPS) as the mechanism through which corporate projects and work streams are co-ordinated and monitored. A new structure has been developed to facilitate this new proposed approach and it is contained within Appendix 3 of this report.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Policy and Resources Committee:
- a) Notes the findings of the review that has been undertaken of the Council's CIG structure; and
  - b) Agrees that the Council disbands CIGS and instead uses CDIPS as the as the mechanism through which corporate projects and work streams are co-ordinated and monitored.

## 4.0 BACKGROUND

- 4.1 The Council established a series of Corporate Improvements Groups (CIGS) in 2010 as the means through which the Council co-ordinates and monitors corporate projects and work streams. This followed a review of the Operating Model. Three Corporate Improvement Groups were established – Asset Management, Modernisation and Performance. Each group was chaired by a Corporate Director and a series of sub-groups were also established that report into each CIG. The structure introduced in 2010 is contained within Appendix 1.
- 4.2 The current CIG structure has now been in place for six years and the CMT agreed that it would be valuable to carry out a review to assess whether it still meets the needs of the Council and provides adequate oversight of the progress that is being made in the implementation of corporate projects and work streams.
- 4.3 A review was subsequently undertaken of the Council's CIGS, sub groups and other corporate working groups. The aim of the review was to carry out a mapping exercise of these groups in order to establish the following:
- Could the number of working groups be streamlined?
  - Are there any corporate work streams not covered by a working group?
  - Are there any areas where improvement is required?
  - Is the current corporate improvement structure still fit for purpose?
- 4.4 All corporate working groups that currently meet have been identified and are contained within Appendix 2. In addition, information on the remit, membership, frequency of meetings and reporting / monitoring mechanisms of each working group was gathered and analysed.

## 5.0 KEY FINDINGS OF REVIEW

- 5.1 The key findings to emerge from the review include:
- There has been a substantial increase in the number of corporate working groups that have been established since the existing structure was implemented in 2010. In addition, some of these new groups are not part of the CIG structure. For example, the Procurement Board and the Designated Procurement Officers Group and the Energy Group and the Carbon Management Group.
  - There is no consistent / standardised approach that is being applied across all CIGs. For example, there are no standardised terms of reference, the frequency of meetings is different for each group and each group has their own monitoring and reporting arrangements.
  - The performance management and reporting arrangements vary greatly between the groups. This makes it difficult for the CMT and Elected Members to have oversight of the progress that is being made in the implementation of corporate projects and to carry out their scrutiny role effectively.
  - Corporate governance was the only area identified in the review that is not currently covered by a CIG.
- 5.2 The findings of the review indicate that there are a number of improvements that could be made to how the Council co-ordinates and monitors corporate projects and work streams. For example:
- **New stream lined structure** – there has been an increase in the number of corporate working groups and a significant amount of officer time is taken up attending these groups. Consideration should therefore be given as to how the structure could be streamlined and the number of working groups reduced. It may

be possible for some working groups to be merged. In addition, the development of a new structure will ensure that all corporate working groups are included in the structure.

- **Standardised terms of reference** - it is vital that standardised terms of reference are developed for every corporate working group. A standardised template used by all groups would enable the following information to be captured - the purpose of the group, membership, frequency of meetings, monitoring and reporting arrangements, review arrangements and links to legislation.
- **Corporate governance** – as corporate governance was identified in the review as an area that could be improved, consideration needs to be given as to how this could be given greater importance in any revised structure that is implemented.
- **Robust performance management and reporting arrangements** – the development of a performance management framework would ensure that the CMT and Elected Members have an overview of the progress being made in the implementation of corporate projects and work streams. In addition, it would ensure that all corporate working groups followed the framework and that the Council applies a consistent approach to performance management across all groups.

## 6.0 PROPOSED NEW STRUCTURE

- 6.1 Based on the findings of the review, consideration has been given as to how the Council could improve and streamline its approach to the co-ordination and monitoring of corporate projects.
- 6.2 It is proposed that the Council disbands CIGs and instead uses Corporate Directorate Improvement Plans (CDIPS) as the mechanism through which corporate projects and work streams are co-ordinated and monitored.
- 6.3 The majority of corporate projects and work streams could be managed through CDIPS. The only exceptions are information governance and corporate complaints. Both work streams require more detailed work and it is not appropriate at this time that they are currently included in a Directorate Plan. However, both work streams will eventually transfer into a Directorate Plan. The Complaints Steering Group and the Information Governance Steering Group are overseeing these short term pieces of work and it is envisaged that they will continue to operate for at least another year.
- 6.4 This report presents a new streamlined structure that would enable the Council to use CDIPS as the primary method for co-ordinating and monitoring corporate projects. The new structure is contained within Appendix 3.
- 6.5 There are a number of benefits of implementing this new structure. For example:
  - The main benefit is that disbanding the current CIGS will reduce the number of corporate working groups and therefore lead to a more streamlined structure. In addition, it will reduce the amount of officer time taken up attending meetings.
  - Using CDIPS utilises an existing process that is well established to monitor and scrutinise projects.
  - It will avoid duplication that currently exists between CIGs and CDIPS.
  - To improve the Council's approach to corporate governance, actions will be included in all three CDIPS relating to this area.
  - Areas that are not included in the current structure, such as procurement, energy

and carbon management will be clearly allocated to a specific CDIP.

- One of the main advantages is that CDIPS have a well-developed and robust performance management and reporting arrangements.

## 7.0 NEXT STEPS

7.1 If the revised structure is approved by the Policy and Resources Committee, then the next steps will be to:

- Amend Directorate Planning Guidance to take into account the new arrangements.
- Issue the revised Directorate Planning Guidance so that each Directorate can begin developing their plan and incorporating all the corporate projects and work streams that were previously the responsibility of a CIG.
- New three year Directorate Plans will be produced for 2016-19 and these will be submitted to the appropriate committee for approval during the April/May committee cycle.

## 8.0 IMPLICATIONS

### 8.1 Finance

One off Costs:

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Virement From	Other Comments
n/a	n/a	n/a	n/a	n/a	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	n/a	n/a	n/a	n/A	n/a

There is no direct financial implication in respect of the proposals.

### 8.2 Legal

None

### 8.3 Equalities

None

### 8.4 Repopulation

N/A

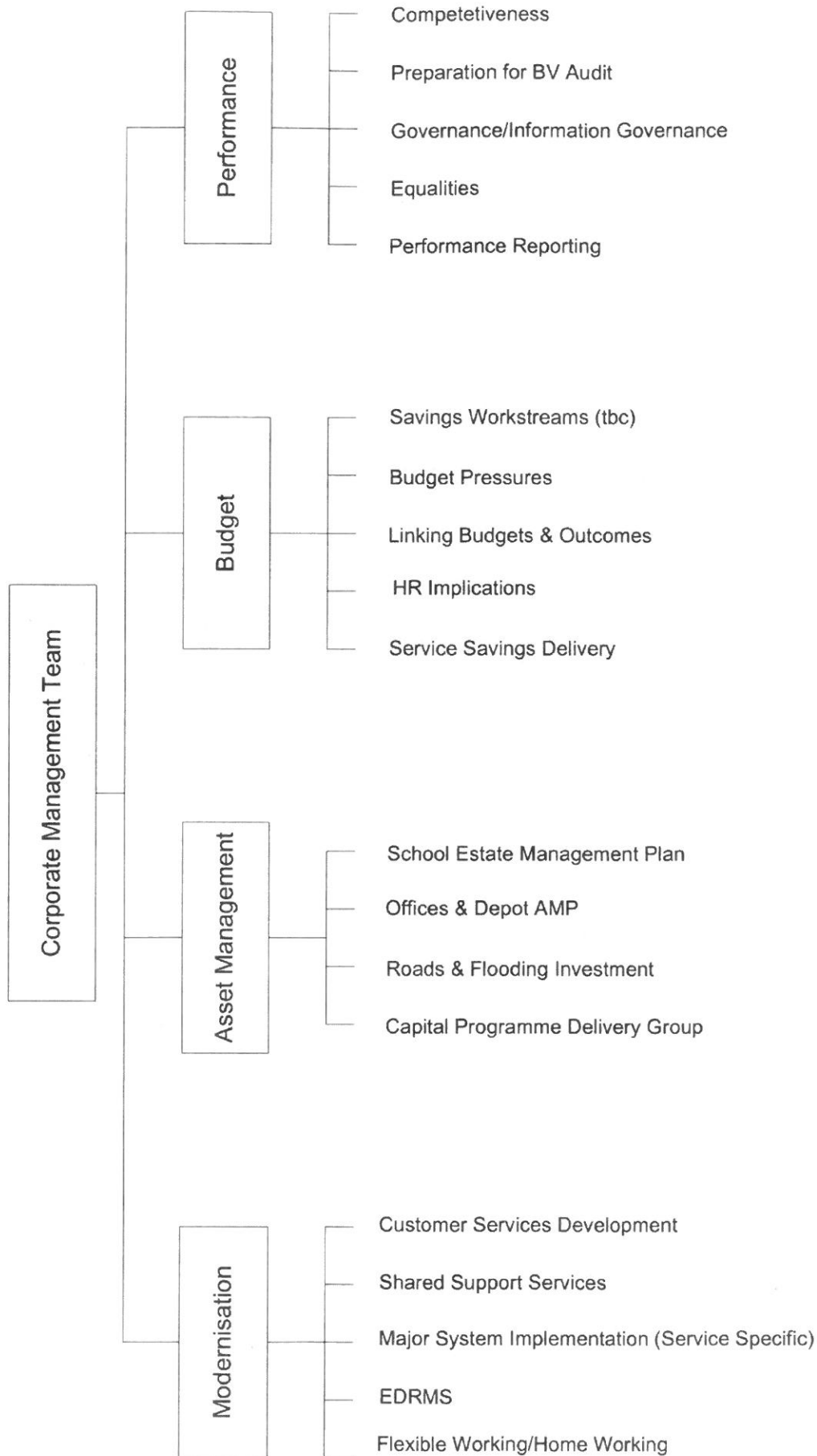
## 9.0 CONSULTATION

9.1 The CMT have been consulted on the contents of this report.

## **10.0 BACKGROUND PAPERS**

10.1 N/A

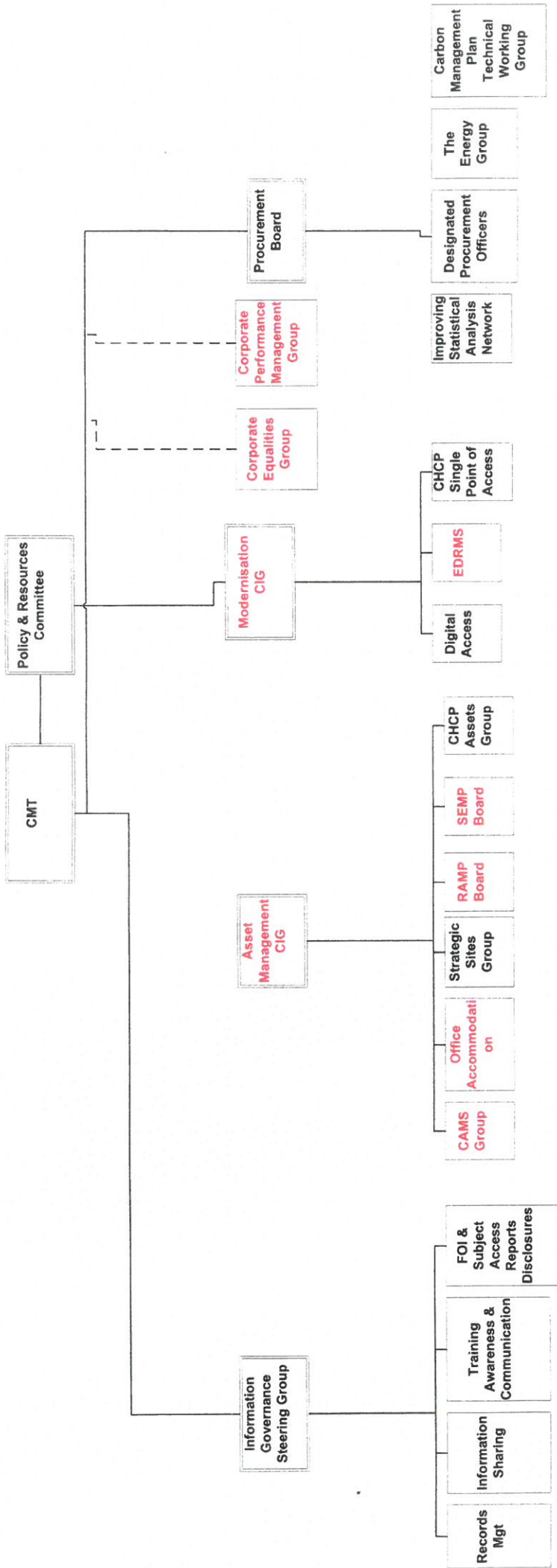
**APPENDIX 1: 2010 STRUCTURE**



Strategic  
Programme

Workstream/  
Project

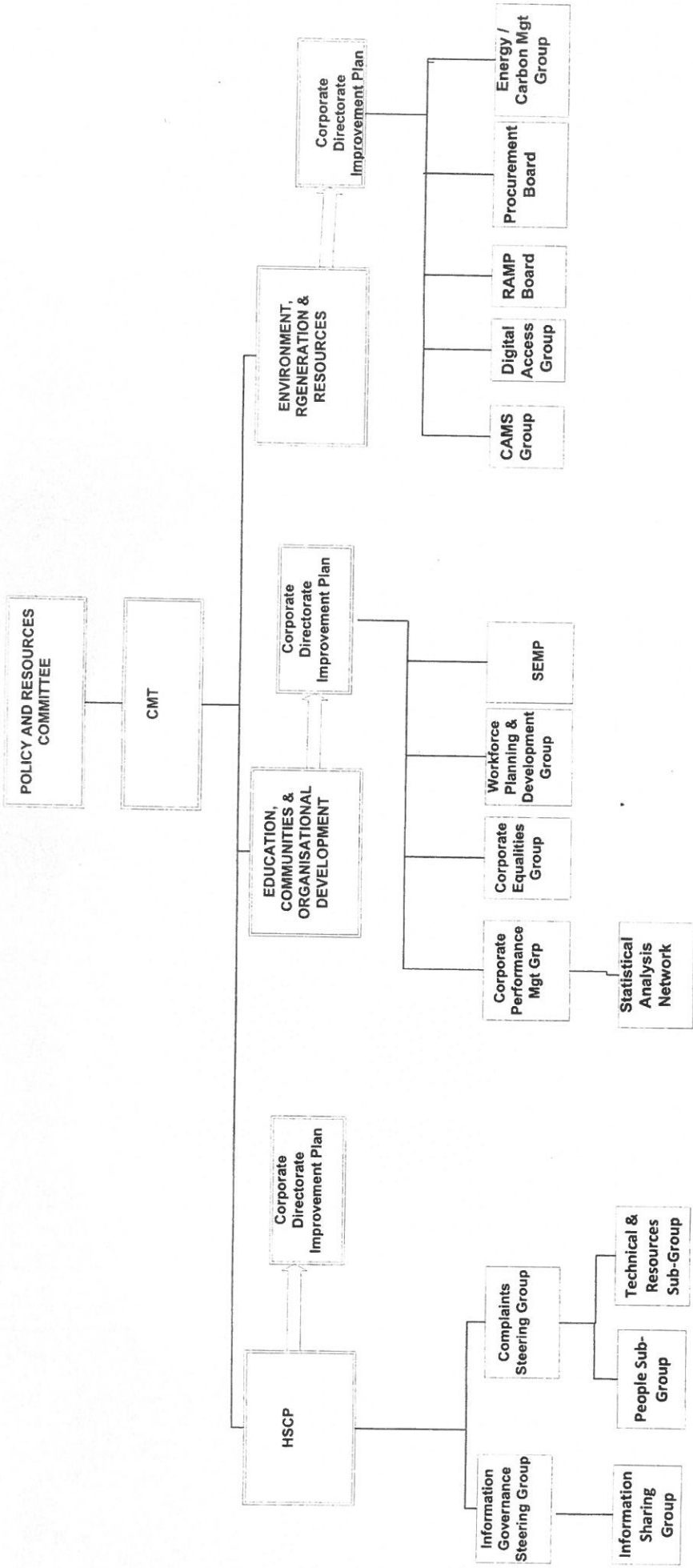
Appendix 2: Current Structure



\* Please note that the groups highlighted in red were in existence in 2010.



Appendix 3: Proposed New Structure



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<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Wilma Bain Corporate Director, Education, Communities and Organisational Development</b>	<b>Report No:</b>	<b>PR/03/16/WB/AE</b>
<b>Contact Officer:</b>	<b>Angela Edwards Head of Inclusive Education, Culture and Corporate Policy</b>	<b>Contact No:</b>	<b>712828</b>
<b>Subject:</b>	<b>Corporate Directorate Improvement Planning 2016 – 19</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is advise the Policy and Resources Committee regarding the development and submission of the 2016 – 19 Corporate Directorate Improvement Plans.

## 2.0 SUMMARY

- 2.1 The Corporate Directorate Improvement Plan is a Directorate's key improvement planning document which sets out the projects and improvement actions that will be implemented to help the Council deliver the strategic wellbeing outcomes identified within the Single Outcome Agreement and Corporate Statement. These wellbeing outcomes are Safe, Healthy, Achieving, Nurtured, Active, Respected & Responsible and Included (SHANARRI).
- 2.2 As part of the Strategic Planning and Performance Management framework it was agreed that Corporate Directorate Improvement Plans (CDIPs) be drafted for each Directorate. These plans reflect the Corporate improvement actions which each Directorate has a lead role in implementing, and Directorate specific improvement actions.
- 2.3 The CDIPs for 2013 – 16 are coming to an end and new CDIPs are being developed for the 2016 – 19 period. These plans will be presented to the first cycle of committees in the new financial year, as the budget process and discussions will not be completed prior to the cycle of committees in March. This also allows the Health and Social Care Partnership to finalise the Strategic Plan, have this agreed and map this across to the wellbeing outcomes.
- 2.4 There are no significant changes to the format of the CDIPs for the next planning cycle, merely some minor amendments. A three year overview has been introduced where Directorates will set out their direction of travel for improvement, mapped to the wellbeing outcomes. The Improvement Actions are now for a one year timescale, with annual review and refreshment of these taking place. The Plans will be on a three year rolling basis, with the detailed action plans being updated annually. This will facilitate any revisions required after the Local Government Elections in May 2017.
- 2.5 The existing CDIPs were refreshed in July, and there are improvement actions currently being delivered by services. There will be no hiatus in the delivery of improvement actions by slightly delaying the submission of the CDIPs.

## 3.0 RECOMMENDATIONS

It is recommended that the Policy and Resources Committee

- a. Agrees that the 2016 -19 CDIPs will be submitted to the first relevant service committees in the new financial year for approval.

**Wilma Bain**  
**Corporate Director**  
**Education, Communities and Organisational Development**

## **4.0 BACKGROUND**

- 4.1 The review of the Council's strategic planning and performance management framework in 2012 recommended that Directorate Plans be refocused around improvement and based on robust self evaluation.
- 4.2 The Corporate Directorate Improvement Plans (CDIPs) have been developed from the former Directorate Plans, and now focus much more on improvement action, based on a self evaluation process which has been developed for the Council. The CDIPs cover corporate cross cutting improvement actions which are led by the relevant Corporate Director or Heads of Service, as well as the improvement actions for the Directorate, all of which have been developed through a process of self-evaluation. Each action is referenced to the Single Outcome Agreement (SOA) outcome which it contributes to the delivery of, as well as the Getting it Right for Every Child, Citizen and Community (GIRFEC) wellbeing outcome it refers to.
- 4.3 With a strong focus on improvement, the CDIPs do not set out the day to day delivery of services, but set out those actions which will improve service delivery and the outcomes for our children, citizens and communities. Services identify these improvements having assessed themselves against the key questions of:
- Where are we now?
  - Where do we want to be?
  - How will we get there?
  - How will we know we are getting there?

The assessment is informed by the gathering and analysis of data, including performance indicators, customer engagement, benchmarking, peer review and officer knowledge and experience.

- 4.4 Improvement is focused on the wellbeing outcomes, working to ensure that all our children, citizens and communities are safe, healthy, achieving, nurtured, active, respected, responsible and included. The Directorate also contributes to the delivery of the eight SOA outcomes which have been adopted by the Council.
- 4.5 The CDIPs for 2016 – 19 are in the process of being developed and will be presented to the first relevant service committee in the new financial year. This is being facilitated via a series of workshops with officers and a workshop will also be held with Elected Members.

## **5.0 IMPLICATIONS**

- 5.1 Legal: none anticipated

Finance: all financial implications should be detailed in the CDIP

Personnel: none anticipated

Equality and Diversity: this is reflected in the CDIP template and guidance setting out a commitment to Equality and Diversity. Improvement actions in regard to supporting the Council in meeting its legislative equality requirements should be included in the plans.

Repopulation: The improvement actions set out in the CDIPs are intended to improve the lives of those who live in Inverclyde and successful delivery will contribute to the good reputation of Inverclyde Council. These should in turn contribute to making Inverclyde an attractive place to live, work and visit.

Inequalities: Improvement actions should be concerned with improving the wellbeing of Inverclyde's residents, particularly dealing with inequality of outcome experienced by many. If services use and analyse data and customer and community feedback in their self-evaluation, it should be possible to target improvement action towards tackling inequality.

## **6.0 CONSULTATIONS**

- 6.1 The template and guidance for the creation of the new CDIPs have been developed in consultation with the Corporate Quality Improvement Group.

## **7.0 LIST OF BACKGROUND PAPERS**

- 7.1 Corporate Directorate Improvement Planning Update (PR070/12/AH/MMcK) 18/09/12

Revised Strategic Planning and Performance Management Framework  
(PR064/12/AH/MMcK) 14/08/12

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Wilma Bain, Corporate Director, Education, Communities and Organisational Development</b>	<b>Report No:</b>	<b>PR/05/16/WB/SMcN</b>
<b>Contact Officer:</b>	<b>Steven McNab, Head of Organisational Development, Human Resources and Communications</b>	<b>Contact No:</b>	<b>01475 712016</b>
<b>Subject:</b>	<b>Budget Consultation 2015/16</b>		

**1.0 PURPOSE**

1.1 The purpose of this report is to summarise the key themes to emerge from the budget consultation which has taken place between November 2015 and January 2016.

**2.0 SUMMARY**

2.1 A range of communication and consultation mechanisms were used to engage with the communities of Inverclyde, on proposed budget savings to be made over the financial years 2016/18. £1.9 million of savings were suggested for members of the public to decide upon.

**2.2 On-line budget simulator**

Feedback on last year’s budget consultation process indicated that 43% of respondents expressed their views via the budget simulator and more than 70% of people found it very easy or fairly easy to use. It was therefore decided to utilise the budget simulator again this year.

Accessible via the Council’s website, the simulator was publicised through a range of media including the Winter 2015 edition of InView (which was delivered to every household in Inverclyde in early December 2015), our website and social media. 282 people engaged with the simulator.

The responses from the budget simulator ranked in order of the most popular is detailed in the following table:

<b>Budget proposal</b>	<b>% from budget simulator</b>
Reduction in school transport	78.72% agree, 21.28% disagree
Reduction in Corporate Communications advertising	76.95% agree, 23.05% disagree
Reduction in free swimming	70.22% agree, 29.78% disagree
Reduction in contribution to Valuation Board	68.78% agree, 31.21% disagree
Closure of Kirn Drive	65.96% agree, 34.04% disagree
Reduction in Sports Pitch Waivers	65.25% agree, 34.75% disagree
Reduction in unallocated regeneration funding	62.77% agree, 37.23% disagree
Introduction of a weekly charge for Community Alarms	58.51% agree, 41.49% disagree
Increase in Council Tax	57.79% agree, 42.20% disagree
Increase in daily parking charges	56.74% agree, 43.26% disagree
Reduction in discretionary non-domestic	55.97% agree, 44.33% disagree

rates	
Withdrawal of the small repairs service	49.65% agree, 50.35% disagree
Increase Crematorium and Burial Charges	36.52% agree, 63.48% disagree

A more detailed summary of the budget simulator responses is set out in paragraph 5. Bar charts setting out the responses to the individual budget proposals are set out at Appendix 1.

### 2.3 Public meetings

Five public meetings and one business breakfast took place in November/December 2015. A total of 34 people attended and a summary of their responses is set out at paragraphs 4.5 and 4.6. However, it should be noted that, because of the relatively small number of attendees, the responses should not be viewed in isolation as they could not be regarded as being representative of Inverclyde as a whole.

### 2.4 Dedicated 'Your say' website and emails

During last year's consultation process, feedback indicated that just over a fifth of respondents (20.2%) sent an e-mail to [yoursay@inverclyde.gov.uk](mailto:yoursay@inverclyde.gov.uk). During this year's consultation exercise, a total of 12 contributions were received via this medium. A summary of these emails is set out at paragraph 6.

### 2.5 Response Rate

The overall response rates are listed in paragraph four. A total of 328 contributions were received during the consultation process. This is approximately 0.4% of the population of Inverclyde. During last year's consultation process 1460 contributions were received. This included around 600 responses from the Citizens' Panel which was not used as part of the budget consultation this year.

### 2.6 Overall Summary

The most popular budget proposals were a reduction in school transport and a reduction in the Corporate Communications advertising budget. Formal consultation will be undertaken in regard to the school transport option.

The key themes from the collected responses from all the methods used includes:

- **Income**

Similar to last year's engagement, a significant number of respondents, from across all forms of engagement, suggested that Council Tax could be raised, and that they would be willing to pay this as long as it would be spent on protecting services.

Many of those who engaged are in favour of reducing the Sports Pitch Waiver, however some concern was expressed regarding children from less well-off families perhaps being excluded from taking part in sports clubs, if they were not able to contribute to any pitch fees asked for by the clubs. There was strong consensus that any support should be across all sports, not mostly targeted towards football.

Overall, the majority of people supported an increase in parking charges, with ideas suggested that those who work in the town centres be given a pass or discount for parking. There was concern that further increases in parking charges could damage business in the town centre during week days, as people might travel further afield so that they might get free parking.

There was general agreement that respondents did not want to see a rise in crematorium and burial charges, particularly from the budget simulator (63.48% disagreed). There were no specific objections raised at the public meetings, where there was a request at one of the

meetings for more information as to what actual costs might be.

On the whole a reduction in free swimming was supported, with a number of people supporting the introduction of a £1 flat fee.

There was support for the introduction of a weekly charge for community alarms. There were concerns expressed for those who may not be able to afford this, but those people would be managed on a case by case basis. Suggestions regarding the charge ranged from £1.50 to £3 a week.

## 2.7 • **Service Reduction**

The majority of respondents were in favour of closing the Kirn Drive site, however there were concerns expressed that this might lead to an increase in fly tipping.

In regards to a reduction in school transport the majority of respondents were in favour, with a number adding the proviso of good, safe, walking routes to school being required. There was some concern about added congestion around schools should more parents start dropping their children off.

A small majority were in favour of a reduction in discretionary non domestic rates although concerns were expressed in regard to the impact on local charities and voluntary organisations.

Overall, there was support for the reduction of the Council's contribution to the valuation board.

There were slightly more people in favour of protecting the small repairs service than wished to see it reduced. Suggestions included better advertising for this service, means testing it and the introduction of a (small) fee.

The majority of respondents were in favour of a reduction to the Corporate Communications Advertising budget, suggesting the use of more electronic media including social media. Some respondents did however see the need to promote the Inverclyde area.

2.8 Further details of the responses are set out below and in the appendices.

## 3.0 **RECOMMENDATIONS**

3.1 It is recommended that the Committee

- a) note the outcomes of the consultation processes
- b) review the budget proposals in light of the views expressed.

**Wilma Bain**  
**Corporate Director**  
**Education, Communities & Organisational Development**



## 4.0 Consultation response

Type of consultation	Number of Participants
Consultation events	34
Online Budget simulator	282
Responses by email to – ( <a href="mailto:yoursay@inverclyde.gov.uk">yoursay@inverclyde.gov.uk</a> )	12
Website page ( <a href="https://www.inverclyde.gov.uk/council-and-government/yoursay">https://www.inverclyde.gov.uk/council-and-government/yoursay</a> )	
Website hits (visitor sessions):	
November -	367
December -	516
January -	<u>201 (first two weeks in January)</u>
<b>Total Hits -</b>	<b>1084</b>

### 4.1 Community Consultation Events

Five community consultation events and one Business Breakfast were held between 25 November and 8 December 2015. In total 34 people attended the consultation events. The poorer turn out may be due to the fact that there were fewer, less contentious savings suggested in this round of engagement, so may not have generated as much interest.

4.2 The events were hosted by the Chief Executive and included a presentation by the Chief Financial Officer providing an overview of the current financial situation and the challenges facing Inverclyde Council. Participants were provided with an overview of the budget simulator and then had an opportunity to participate in discussion groups.

<u>Date</u>	<u>Location</u>
25/11/15	Clydeview Academy, Gourock
30/11/15	Notre Dame High School, Greenock
01/12/15	Cargill Centre, Kilmacolm
02/12/15	Port Glasgow Town Hall
08/12/15	Inverkip Primary School
04/12/15	Business Breakfast, Beacon Arts Centre

4.4 A summary of the comments from the community engagement and business events are set out below. However, it should be noted that, because of the relatively small number of attendees, the responses should not be viewed in isolation as they could not be regarded as being representative of Inverclyde as a whole.

### 4.5 Income

- Council Tax Increase
  - A number of people were in favour of an increase in Council Tax of between 3% - 5%.
  - There was some apprehension around what penalties the Council would incur if it increases Council Tax.
  - One group were keen that other savings and ideas still be explored even if a Council Tax increase were to cover the savings required.
  - There is also a concern about those who are 'working poor' being adversely affected should Council Tax increase, as these individuals and families may not qualify for financial assistance to meet the cost.
- Sports Pitch Waivers
  - There was general consensus from each event that this should be spread across all sports, not just football.
  - Some attendees agreed increasing charges would help with the maintenance of facilities.
  - Some concern was expressed about families who are unable to afford fees,

- so some children/families could be excluded from activities.
  - There was an idea suggested of clubs getting together to better co-ordinate their usage of locations – it was agreed to discuss this with the sports hub development officer.
  - There was also a suggestion to better manage the process, particularly for those who may be abusing the system and not paying.
- Increase Daily Parking Charges
  - There was a mixed response to this proposal with some people having no objection, to others saying that this will stop people from shopping locally.
  - There was a suggestion that the most convenient car parks be made more expensive and less convenient ones be free.
  - There was concern that increasing charges would have the biggest impact on local employees, some of whom will be on minimum wages.
- Increase Crematorium and Burial Charges
  - Generally there were no objections to this proposal with some clarification asked for, and given, on what the actual costs might be.
- Reduction in Free Swimming
  - There was a mixed response in regard to this proposal with some people fully supporting it, and others thinking free swimming should be protected.
  - There were suggestions to increase the upper age limit to 65 years and over and for the lower age limit to be 12 years and under.
  - There was some support for introducing £1 swims.
  - There was some concern about those who are most disadvantaged losing out, but it was confirmed that those in receipt of free school meals would still be able to swim for free.
- Weekly Charge implemented for Community Alarms
  - There were concerns expressed about vulnerable people being unable to afford community alarms, but it was confirmed that individuals will be assessed as to affordability of the alarms, and no-one who required an alarm would be without one.
  - General feeling that the charges would be affordable otherwise, with one suggestion of phasing in charges.

#### 4.6 Service Reduction

- Closure of Kirn Drive
  - General consensus to close Kirn Drive, but with concern expressed of an increase in fly tipping.
  - There were concerns also expressed about possible loss of jobs.
  - There was a suggestion to sell the site to generate income.
- Reduction in School Transport
 

Option 1: Change limits so that secondary children who live 2.5 miles from their school and those who live 1.5 miles from their primary school will receive free school transport. There would be a 'poverty element' included for those who receive free school meals to access transport at closer distances.

Option 2: Change limits so that secondary children who live 3 miles from their school and those who live 2 miles from their primary school will receive school transport. There would be a 'poverty element' included for those who receive free school meals to access transport at closer distances.

  - There was a mixed response to this proposal with some in favour of Option 1, some in favour of Option 2, and some resistant to any change.
  - Concern was expressed about increased congestion around schools as

- potentially more people would drop their children off at school.
  - Suggestion to better communicate and highlight how generous Inverclyde is in comparison to other areas and to underline that savings will have to be taken from elsewhere should this one not be taken.
  - Another concern was that children from low income households could feel stigmatised if they were to receive free school transport when their better off peers would not (within the set radius).
- Reduction in Discretionary Non Domestic Rates
  - Fewer people commented on this, but there was general support as long as smaller charities would not be affected.
- Reduce Contribution to Valuation Board by 5%
  - There was either no comment or general agreement to this proposal.
- Reduce unallocated Regeneration Funding
  - There was no real support for this proposal with concern expressed, particularly from the business representatives, that ongoing regeneration is required.
- Withdrawal of Small Repair Service
  - There was broadly a consensus not to withdraw this service with suggestions that it be targeted to those over 65 or 70.
  - Other suggestions were that better advertising of the service would increase uptake making it more sustainable and that people would be willing to pay more for the service (with means testing for the most vulnerable and who are unable to pay more). Many attendees had never heard of the service, but those who had used it rated it highly.
- Reduction to Corporate Communications Advertising
  - There was a mixed response, but most people felt that there was a need to continue to advertise Inverclyde, particularly events.
  - Suggestions were to use social media more, but take into account that older people are less likely to use this and rely more on advertising in traditional press etc.

## 5.0 Budget Simulator

### 5.1 Usage of the Budget simulator

The response rate from the budget simulator was as follows:

- 282 Responses Received
- 253 Responses with Demographic detail
- 114 Respondee's made Comments

### 5.2 Summary of Key Headlines from simulator 'sliders'

#### Income

- **57.79%** support an increase in Council Tax, 42.20% do not support it. 14.89% support a 0.5% rise, 16.67% support a 1% rise, 7.09% a 1.5% rise, 4.96% a 2% rise, 1.77% a 2.5% rise and 12.41% a 3% rise.
- **65.25%** support a reduction in Sports Pitch Waivers (32.98% support a £111k reduction, 32.27% support a £50k reduction) and 34.75% were against any reduction of Sports Pitch Waivers

- **56.74%** support an increase of daily parking charges, with 43.26% against an increase
- **36.52%** support an increase of crematorium and burial charges, **63.48%** do not support the increase
- **70.22%** support a reduction in free swimming (21.99% supported removal of free swimming altogether, 19.15% supported the targeting of under 16s and over 65s and 29.08% supported the introduction of a £1 fee). 29.78% do not support a reduction in free swimming
- **58.51%** support the introduction of a Weekly Charge for Community Alarms, with 41.49% disagreeing with this proposal.

### **Service Reduction**

- **65.96%** support closure at Kirn Drive depot (25.18% supported the closure of the Kirn Drive depot and refurbishment of the civic amenity, 40.78% support the closure of the depot and the civic amenity) and 34.04% do not support the closure of Kirn Drive depot or civic amenity
- **78.72%** support a reduction in school transport (43.26% support an increase to 1.5/2.5 miles for eligibility for school transport, 35.46% support an increase to 2/3 miles) and only 21.28% do not support any change
- **55.97%** support a reduction in discretionary non domestic rates and 44.33% do not support this option
- **68.78%** support a reduction in the contribution to the valuation board by 5% and 31.21% do not support a reduction
- **62.77%** support a reduction in unallocated regeneration funding with 37.23% disagreeing with any reduction
- **49.65%** support the withdrawal of the small repair service, with 50.35% who do not support its withdrawal
- **76.95%** support a reduction in Corporate Communications advertising and 23.05% do not support this suggestion.

## **5.3 Summary of Comments from Budget simulator**

### Income

- Council Tax Increase

Of the 58 comments left about this 44 people were in favour of a rise, with comments suggesting anywhere between 0.5% to 5%, though the majority chose between 1% and 3%. Concern was expressed about already struggling families being able to afford any increase. There was a suggestion to means test any increase, or focus the increases on larger properties. 14 respondents clearly set out that they were against any increase, with the remaining comments making other suggestions such as changing the tax system, or additional ways of saving money.

- Sports Pitch Waivers

Of the 37 comments left in regard to a change in the waivers policy, 32 were largely in favour of the changes, with 12 respondents wishing to protect the waivers policy as it is at present. A number of the comments were general and did not express agreement or disagreement. Many people commented that support should be given to a wider variety of

sports clubs, using parks for a wider variety of sports, protecting youth sports clubs, reducing costs at Inverclyde Leisure and support for those from disadvantaged areas.

- Increase daily parking charges

70 people left comments about parking charges, with some comments suggesting that it might further confuse people given the number of changes that have been implemented in a short time. There were a number of comments suggesting that those who work in the area should have some sort of pass or discount for parking. There were also some comments about the impact on residential areas of people spreading out to find free parking. There was concern expressed that further charging for parking in town centres will reduce the numbers of people shopping there and 'kill' the town centre. 38 respondents agreed to an increase to parking charges with most of these suggesting between £1.50 and £2.50. 22 people said that they disagreed with the changes. The remaining comments were varied.

- Increase Crematorium and Burial Charges

The majority (29) of the 39 comments left disagreed with an increase to these charges, with only 8 agreeing to an increase. One respondent suggested that a 5% increase would be fairer, and another stated that charges should reflect the true cost of the service. The remaining two comments were general.

- Reduction in Free Swimming

Of the 51 comments left in regard to reducing free swimming there were a few suggesting a flat charge of £1 or £2, some suggestions to keep free swimming for over 65s and keep free swimming for children who are entitled to free school meals. There was also a suggestion to increase the upper threshold to 70 years of age. 36 respondents agreed with the removal of free swimming and 14 disagreed.

- Weekly Charge implemented for Community Alarms

There were 49 respondents to this proposal with 30 agreeing and 17 disagreeing with charging for alarms. A number of people suggested means testing for this service to ensure those most vulnerable who could not afford the charge would be protected. There were concerns expressed that many older people would decline a device when they would benefit from having it. Suggestions regarding the cost ranged from £1.50 a week to £3 a week

## Service Reduction

- Closure of Kirn Drive

Of the 47 people who commented on the budget simulator on this proposal, 34 agreed and 12 disagreed. Some concerns were expressed that fly tipping would increase and recycling decrease. There was a suggestion to keep a neighbourhood recycling point at Kirn Drive.

- Reduction in School Transport

Of those who commented the majority supported increasing the distance, provided there were safe walking routes to schools and support for those on low incomes. 53 people commented on this proposal and of those 38 supported a reduction in school transport, 10 did not support a reduction and 5 submitted general comments. A number of people commented that they supported the move to equality across all the schools in terms of provision.

- Reduction in Discretionary Non Domestic Rates

29 people left comments about this proposal, 11 of whom supported it and 16 who didn't. 2 people left general comments. Concerns were expressed regarding negative impacts on charities and voluntary organisations, with a suggestion introduce a sliding scale based on what organisations would be able to pay.

- Reduce Contribution to Valuation Board by 5%

Of the 28 people who commented on this 22 agreed with a reduction and 2 did not. 4 left

general comments. A number of people did not understand what the Valuation Board does and were unsure what the impact of this reduction would mean.

- **Reduce unallocated Regeneration Funding**

27 people commented on this proposal with 19 agreeing to reduce the funding and 7 disagreeing. 1 person left a general comment. There were concerns that a reduction to regeneration funding would impact on attracting people to Inverclyde, one suggestion was to take a smaller amount and there was some support for the need for regeneration.

- **Withdrawal of Small Repair Service**

This proposal is the closest tied of all of the proposals with 19 of the 46 who responded agreeing to a withdrawal of the service and 22 disagreeing. 5 people left general comments. There were suggestions to charge a fee e.g. a minimal fee of £1 or £2, advertise the service more widely and bring the service in house.

- **Reduction to Corporate Communications Advertising**

31 of the 37 people who left comments on this proposal agreed to a reduction in the advertising budget. 4 disagreed and 2 left general comments. Many people felt that social media and other electronic forms of communication/advertising could be used, with a few recognising the need to promote Inverclyde to encourage attendance at events and people wanting to invest in the area.

5.4 Bar charts summarising the budget simulator results and the comments left are set out at Appendix 1.

## 5.5 **Key statistics of participants**

Of the 253 people who left comments on the budget simulator relating to the budget proposals there was a 39%/40% female to male split with 20% not answering this question and 1% identifying as transgender.

5.6 The majority of the 253 were in the age bands 35-44 (22%), 45-54 (22%) and 55-64 (19%). Only 2% were aged 16-24, 9% were 25-34, 6% were 65-75 and 3% were 75 and over. 17% did not answer this question.

5.7 32% stated that they were a parent or guardian, with 47% answering no to this question and 21% not answering.

5.8 59% were in full or part time employment, 3% were self-employed, 4% identified as unemployed, 2% had a long term illness and 17% declined to identify whether they were employed or not. 11% were retired. 34% of respondents who left comments were employed by the Council.

5.9 14% of those who left comments have a long term illness or disability. 20% did not answer this question.

5.10 76% of the respondents who completed the demographics section were white English/Welsh/Scottish/Northern Irish/British, 19% did not answer, 2% were any other white background, 1% were Irish, 1% were any other mixed or multiple ethnic group and 1% were another ethnic group.

5.11 Further detail in regard to demographics is set out at Appendix 2.

## 6.0 **Your Say Email address correspondence**

6.1 12 people submitted comments on the budget proposals via the [yoursay@inverclyde.gov.uk](mailto:yoursay@inverclyde.gov.uk) email address. A number of the comments submitted are not in relation to the proposals set out for this round of the budget, but suggest other potential options. Comments made relating to the budget proposals included:

- A plea from three respondents to protect the Small Repairs service as they value it highly
- Three respondents were against any potential closure of Kirn Drive Depot and Civic amenities site.
- 1 email supported cutting free swimming and introducing low cost rates
- 1 email supported raising Council Tax by 1%
- 1 contributor was against the reduction in sports pitch waivers.

## 7.0 Conclusion

7.1 The consultation process included three different methodologies; participative discussions at the consultation events, the use of the online budget simulator and the opportunity to email the Council directly via the 'your say' email address. In total 327 people participated in the consultation process. Key themes emerged consistently across each consultation process about protecting front line services, particularly for the most vulnerable.

## 8.0 Implications

8.1 Financial Implications - One off Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Virement From	Other Comments
n/a					

Financial Implications - Annually Recurring Costs/ (Savings)

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

8.2 Human Resources: n/a

8.3 Legal: n/a

8.4 Equalities: Equality Impact Assessment have been or will be undertaken of all the budget savings. A wide range of organisations were made aware of the budget engagement processes, including those representing people with disabilities, and support was offered at events of British Sign Language interpreters.

8.5 Repopulation: there were a number of suggestions from respondents to protect services which make Inverclyde a more attractive place to live.

8.6 Inequalities: A number of the comments made expressed concern in regard to negative impacts of changes on vulnerable people. Services have committed to ensuring that those who are disadvantaged or vulnerable will be supported.

## 9.0 Consultations

9.1 The report summarises the response to the budget consultation process as outlined in section 4.

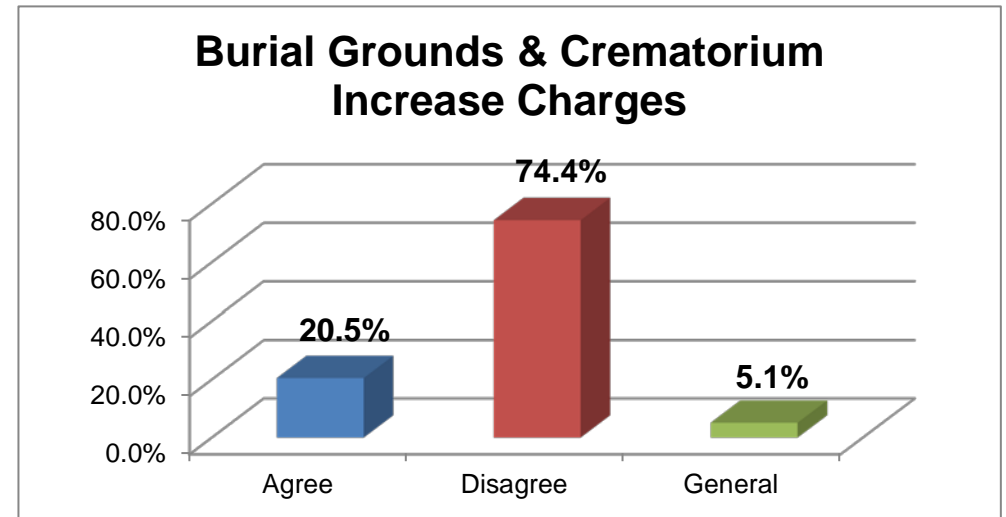
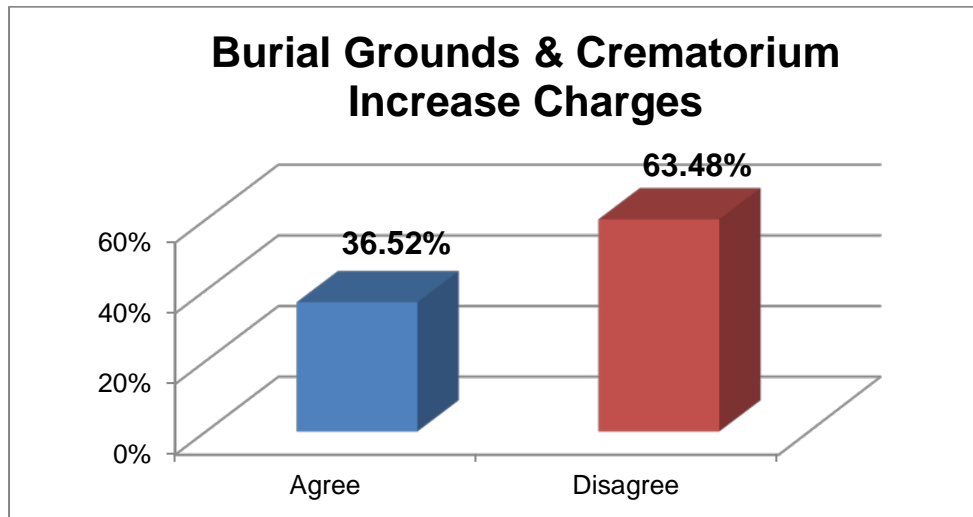
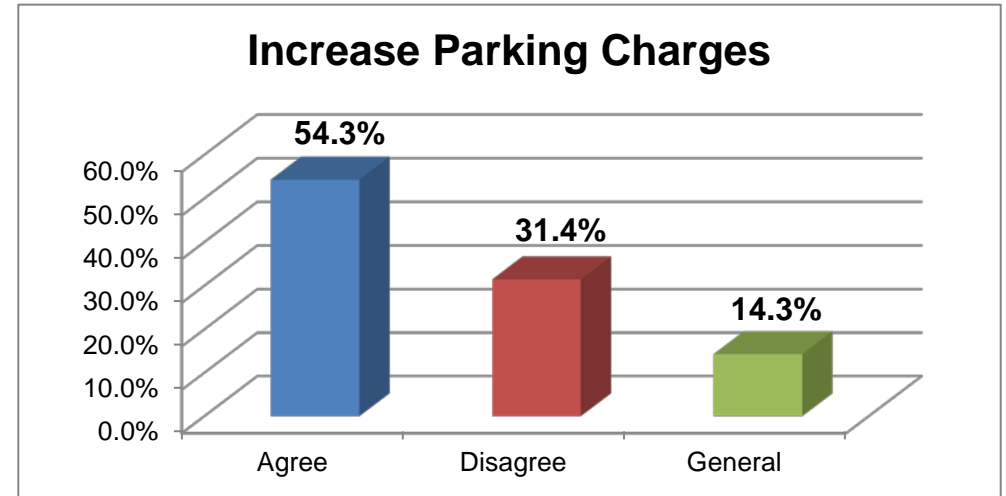
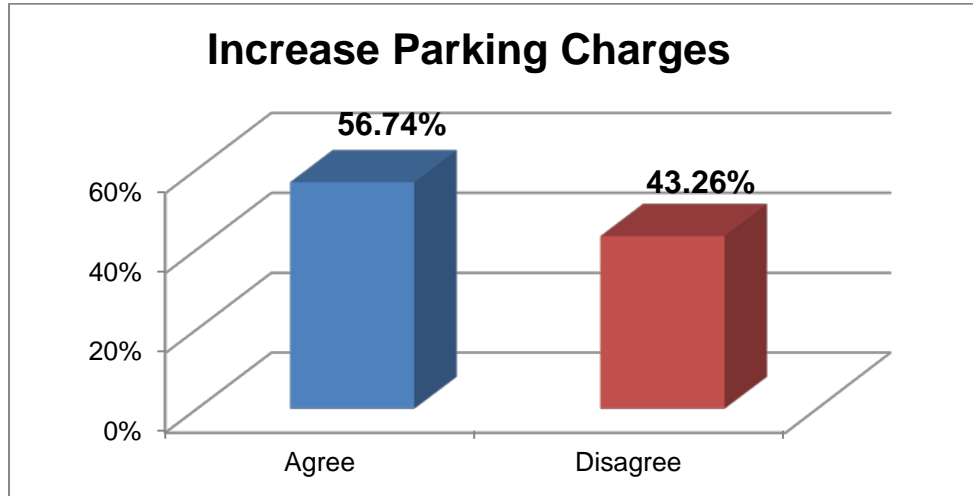
## 10.0 List of Background Papers

10.1 n/a

## INCOME

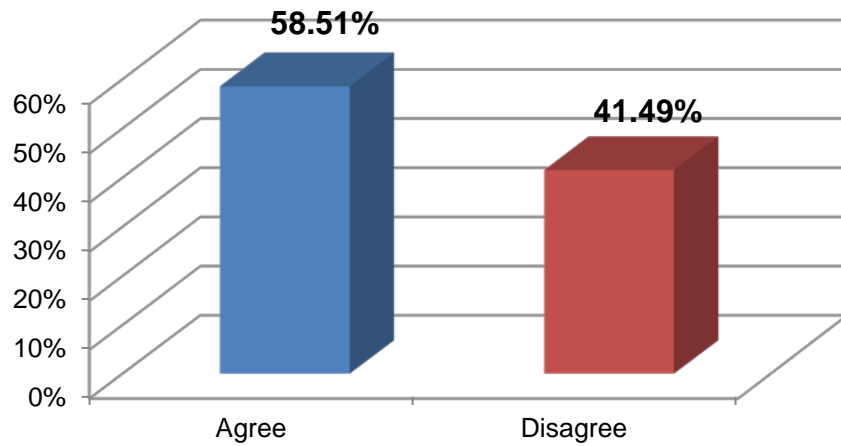
Result of all submitted budgets to the online budget tool

Result of all submitted comments to the online budget tool

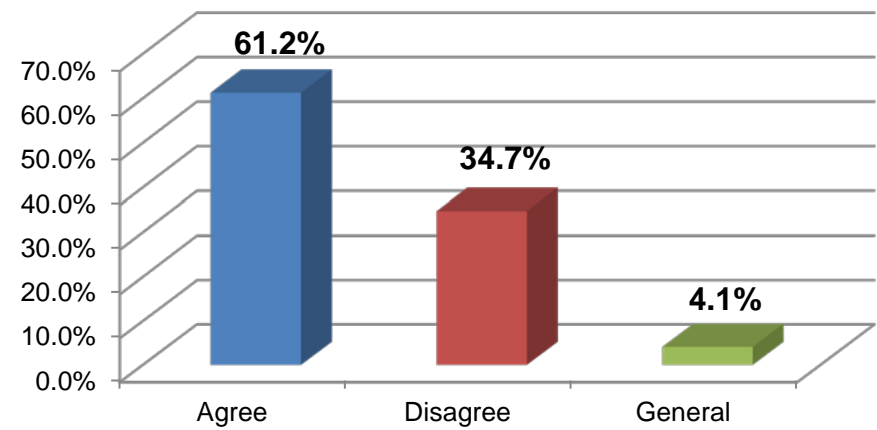




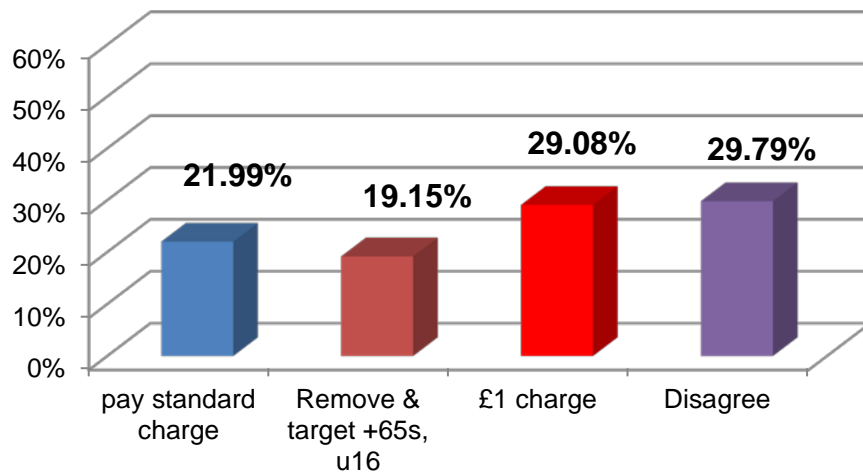
### Implement charging for community alarms



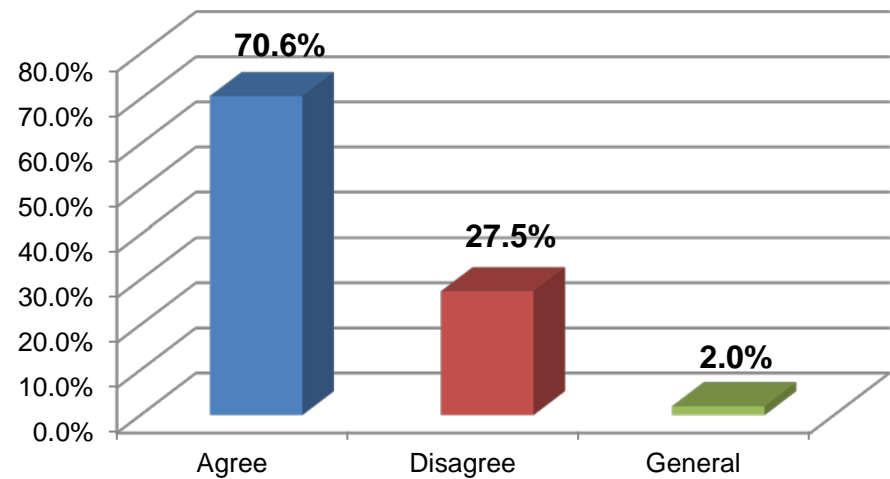
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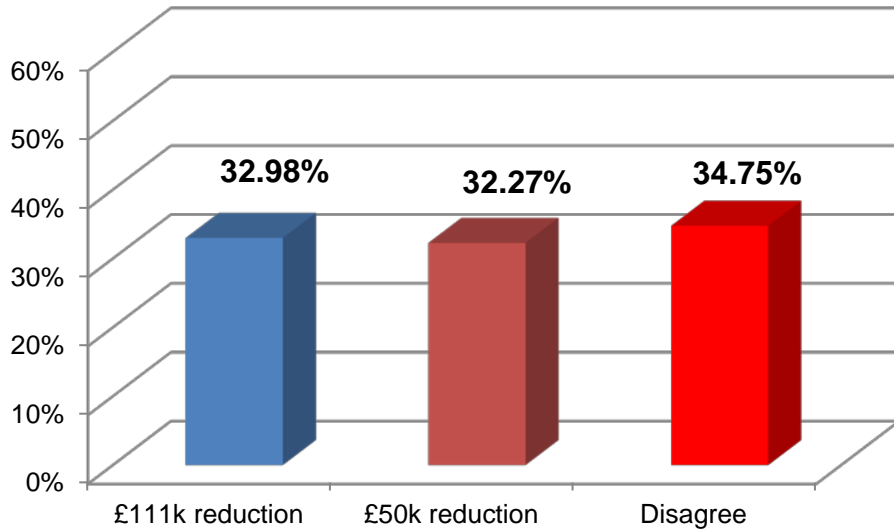
### Removal of free swimming for under 16s and over 60s



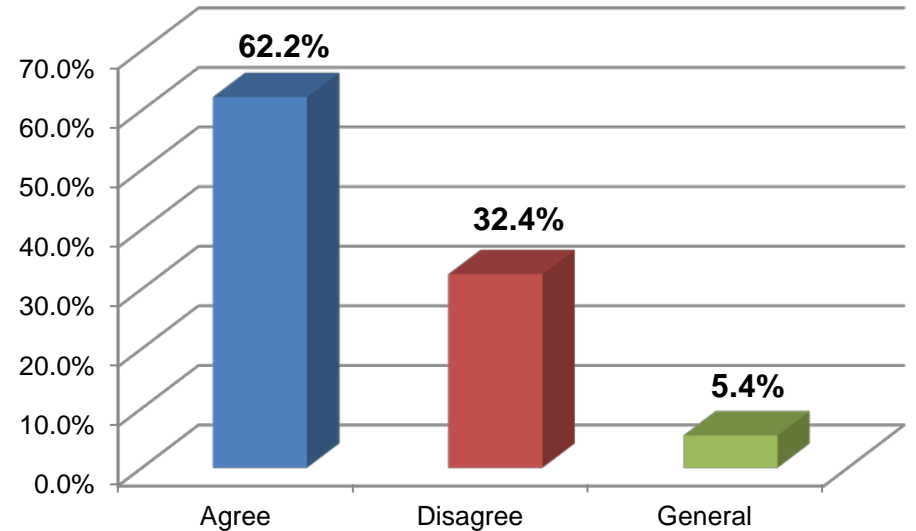
### Removal of free swimming for under 16s and over 60s



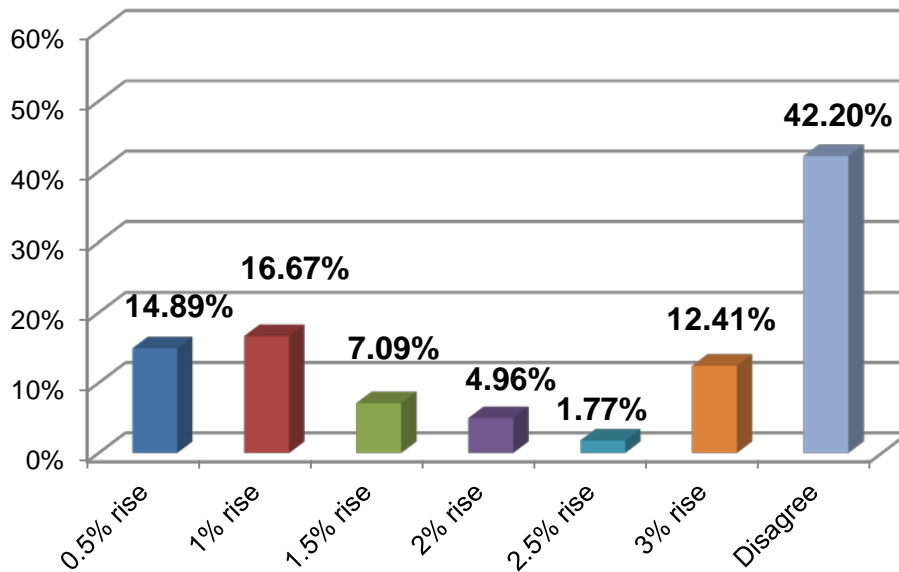
### Sports Pitch Waivers (Team Sports)



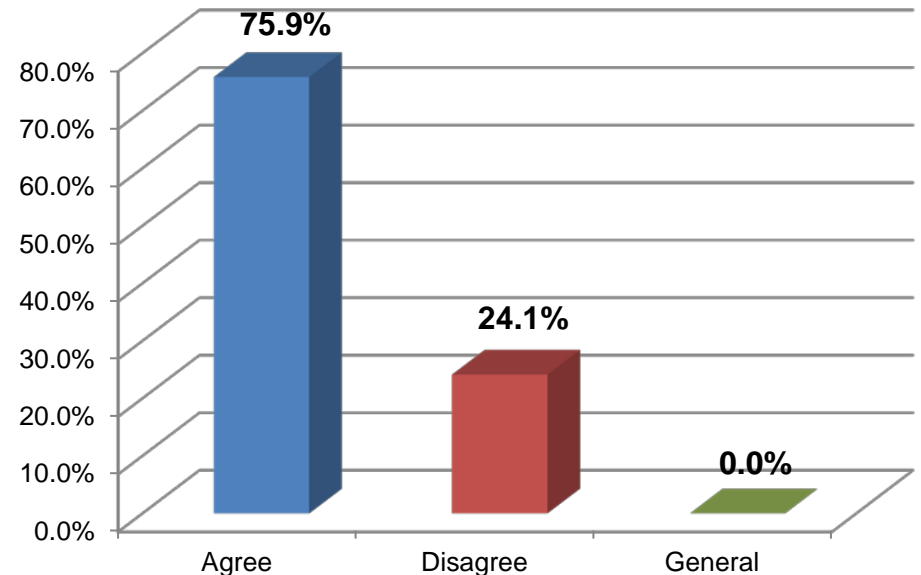
### Sports Pitch Waivers (Team Sports)



### 1% Increase in Council Tax

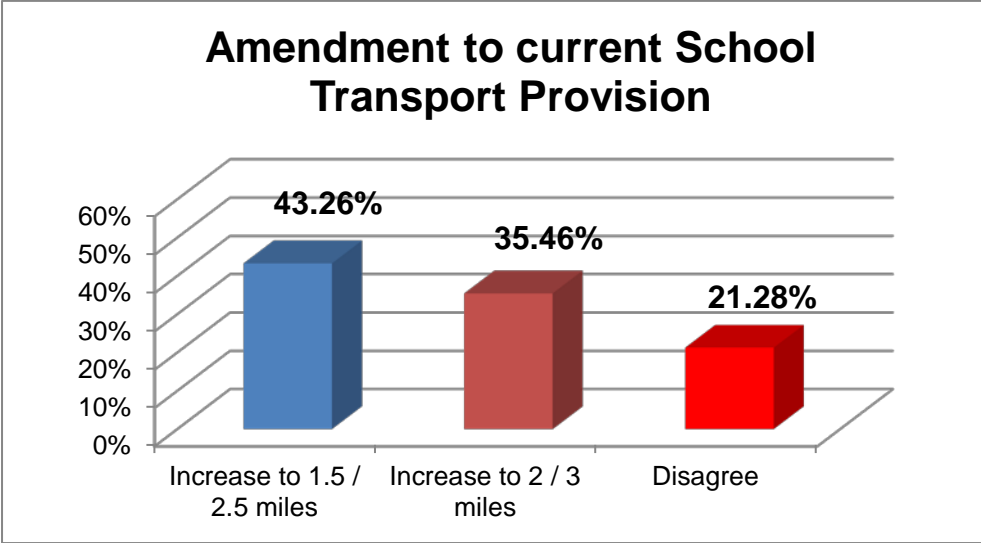


### 1% Increase in Council Tax

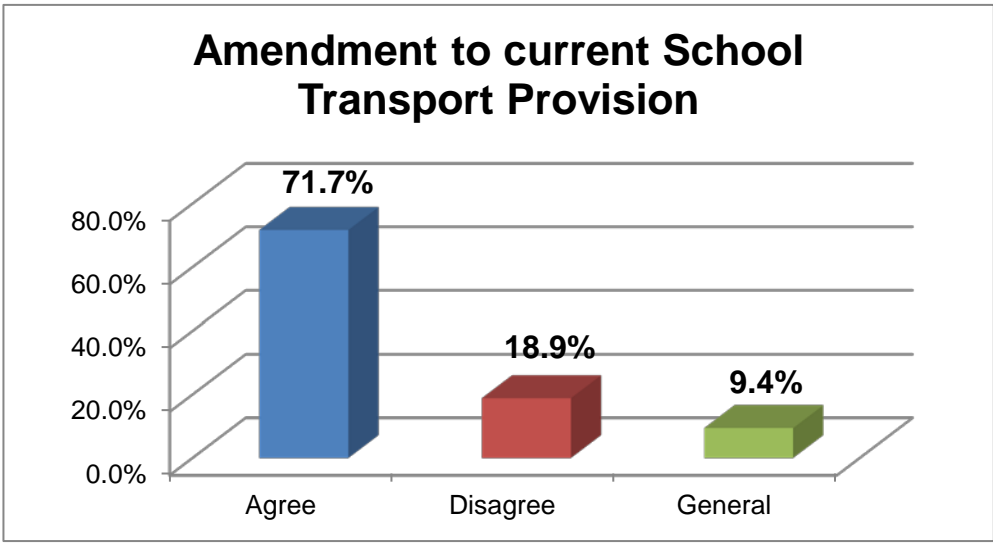


# SERVICE REDUCTION

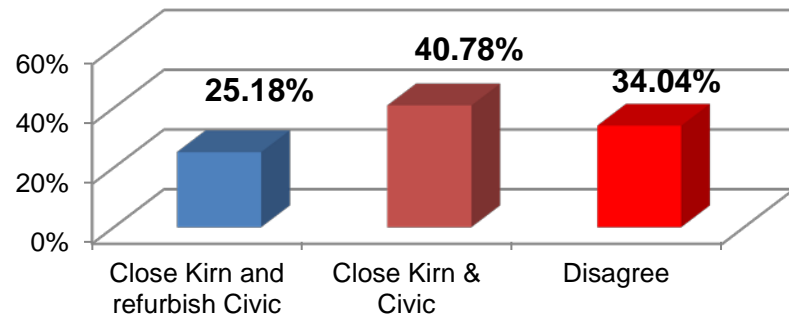
Result of all submitted budgets to the online budget tool



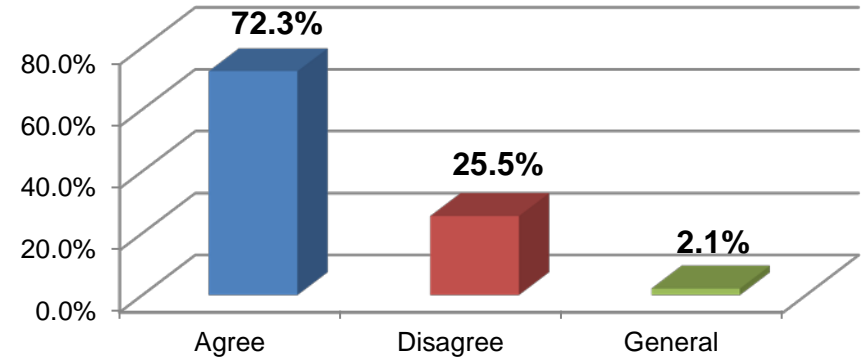
Result of all submitted comments to the online budget tool



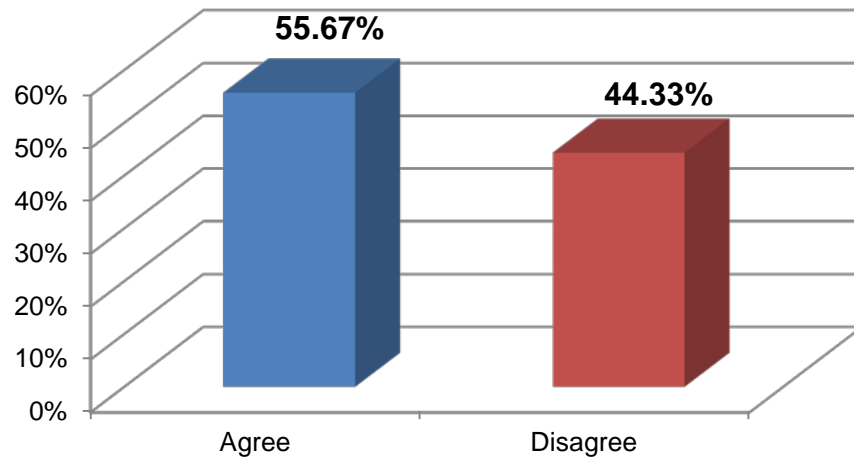
**Proposal to either close both the Depot and Civic Amenities site or close the depot and refurbish the Civic Amenities site**



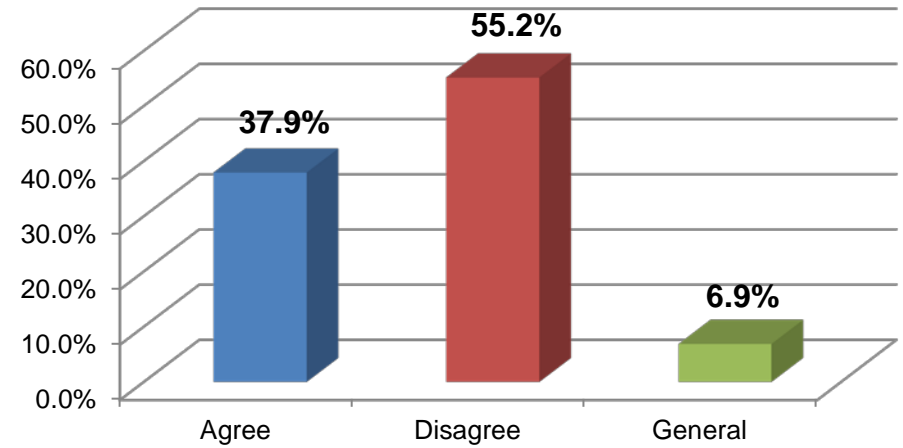
**Proposal to either close both the Depot and Civic Amenities site or close the depot and refurbish the Civic Amenities site**



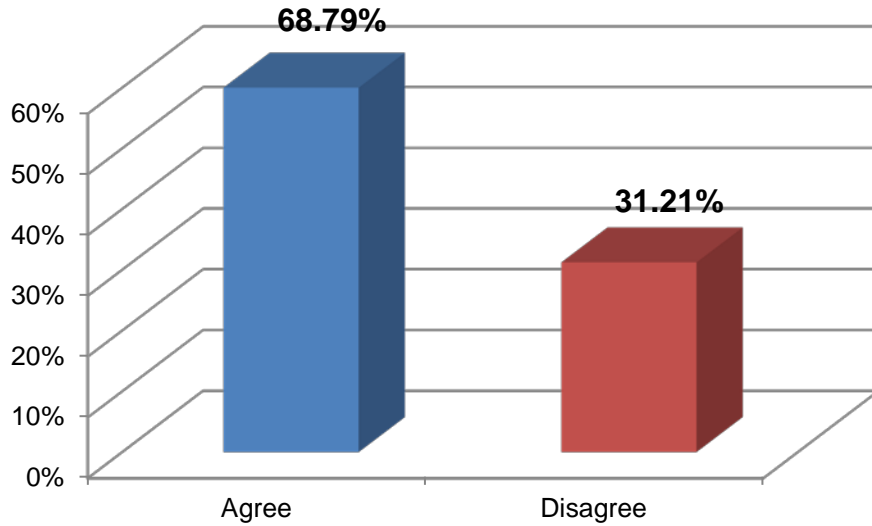
**Reduction in Discretionary Non Domestic Rates (NDR)**



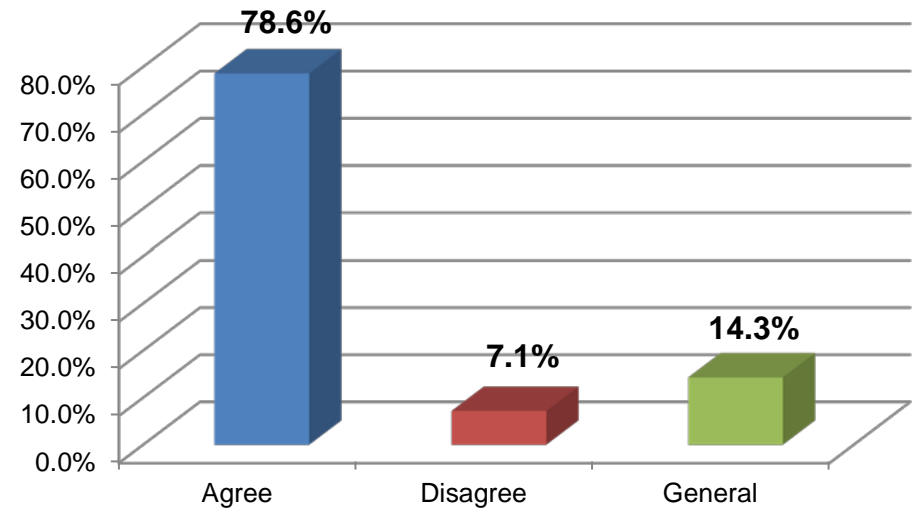
**Reduction in Discretionary Non Domestic Rates (NDR)**



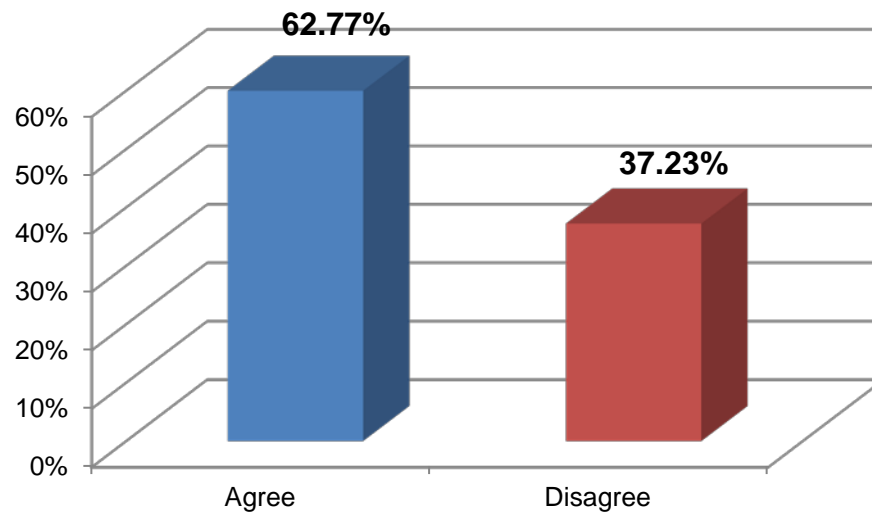
### Reduced requisition from the Renfrewshire Valuation Joint Board (RVJB)



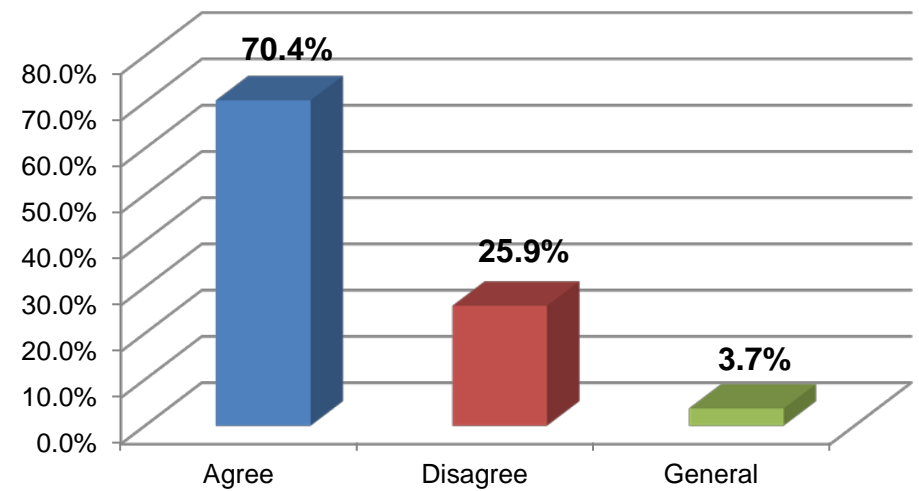
### Reduced requisition from the Renfrewshire Valuation Joint Board (RVJB)



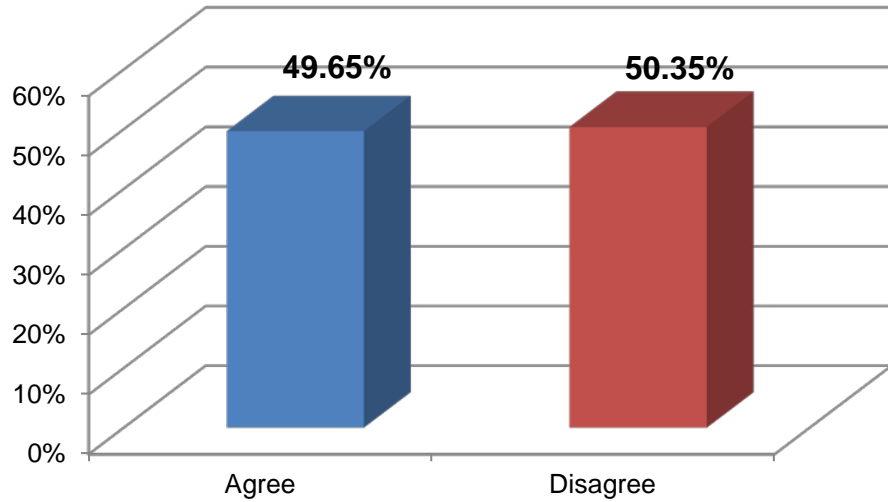
### Reduce unallocated Regeneration funding



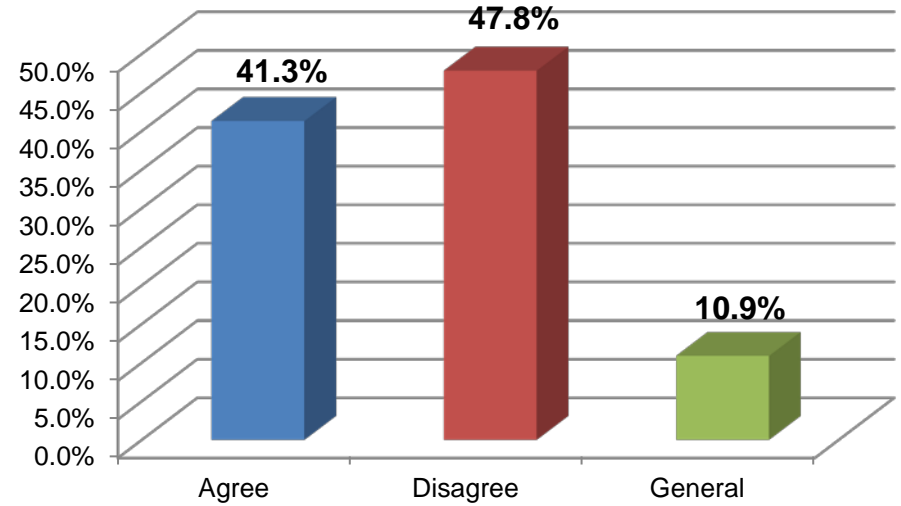
### Reduce unallocated Regeneration funding



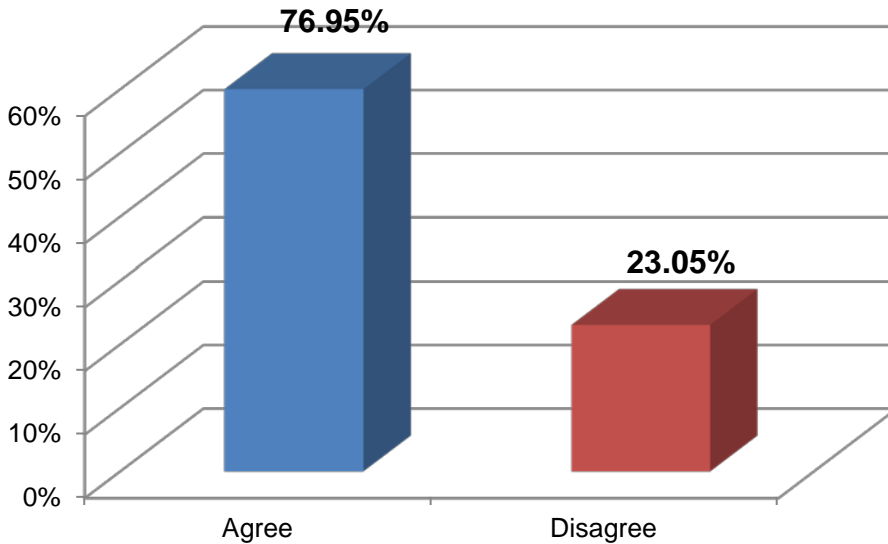
### Withdraw Small Repair Service



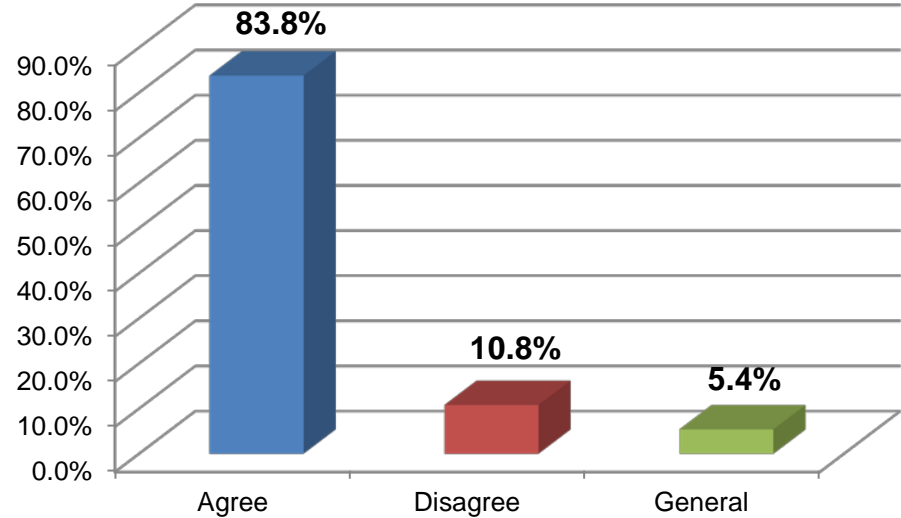
### Withdraw Small Repair Service



### Reduction to Corporate Communications Functions



### Reduction to Corporate Communications Functions

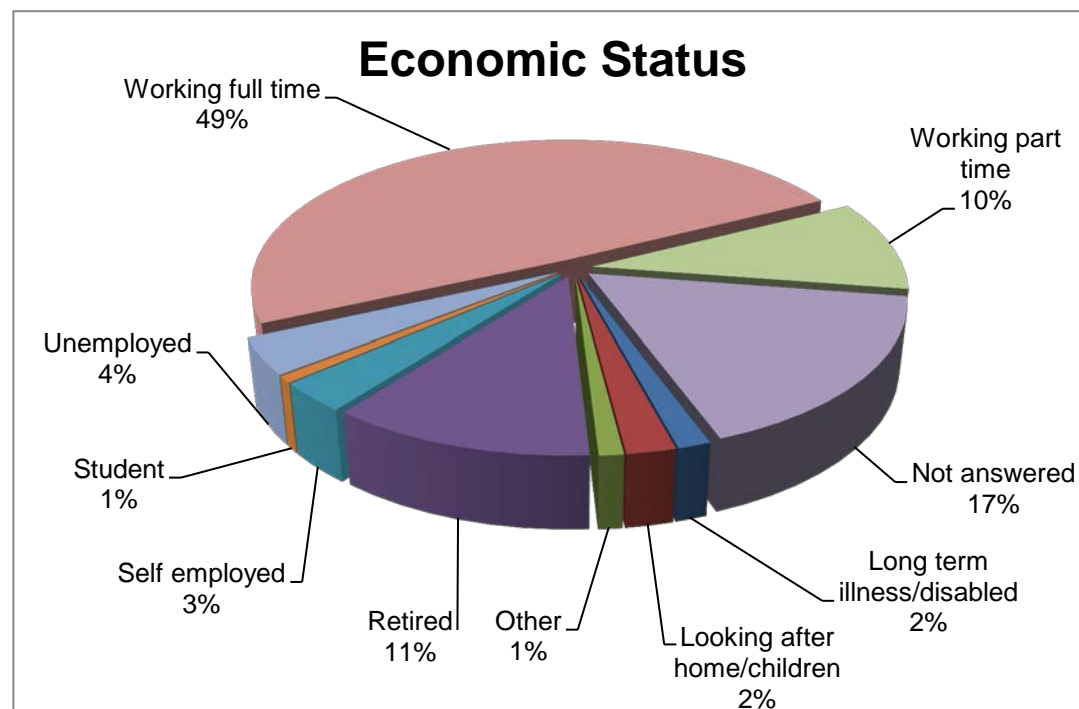
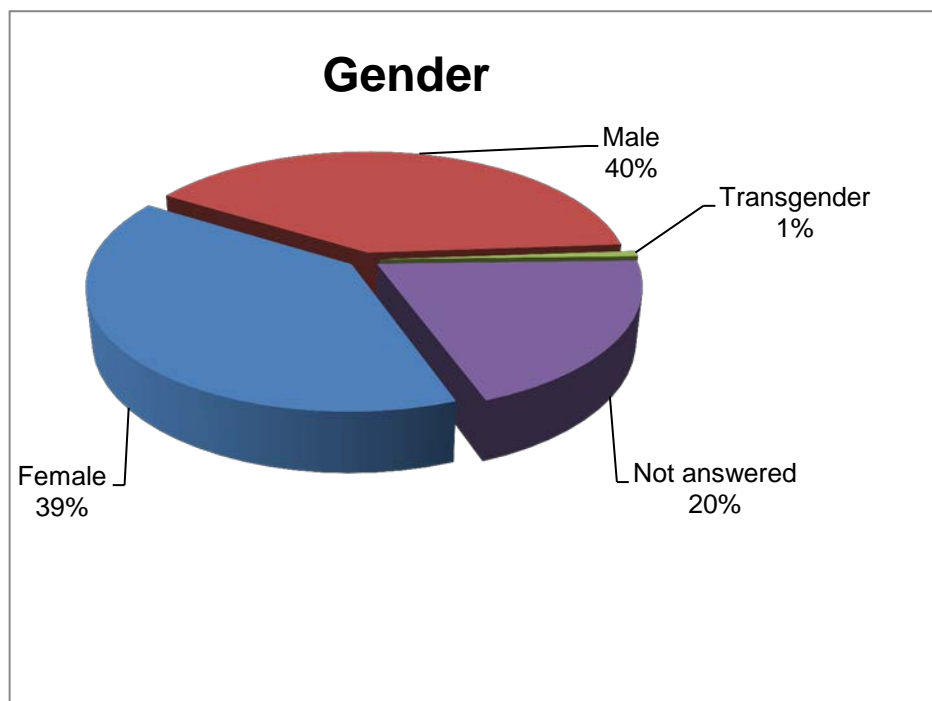


## Appendix Two – Demographics of Budget Simulator users

### Budget simulator tool - demographics.

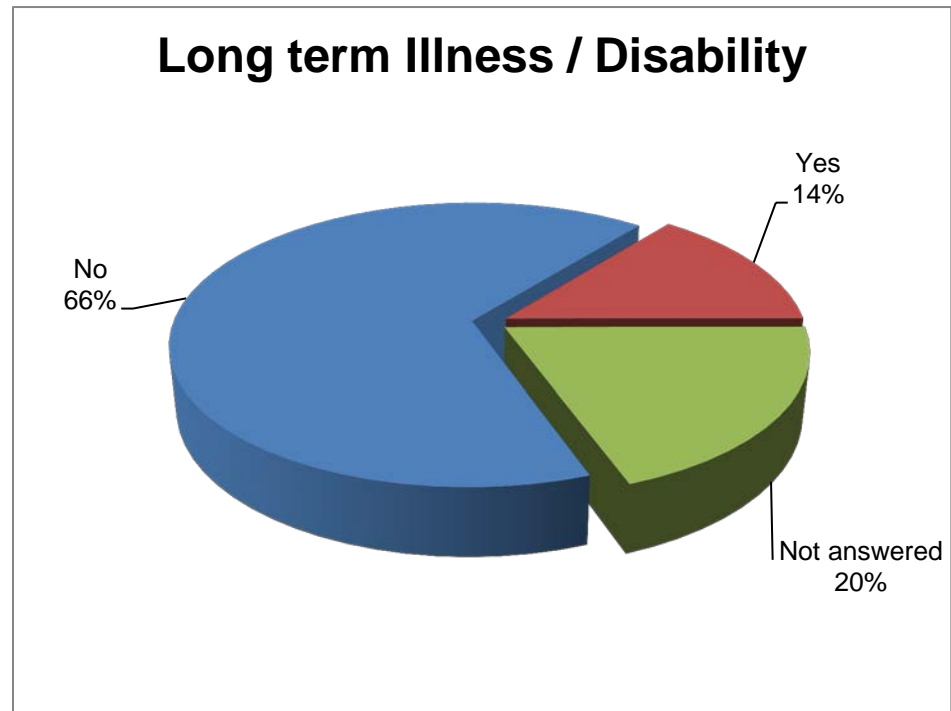
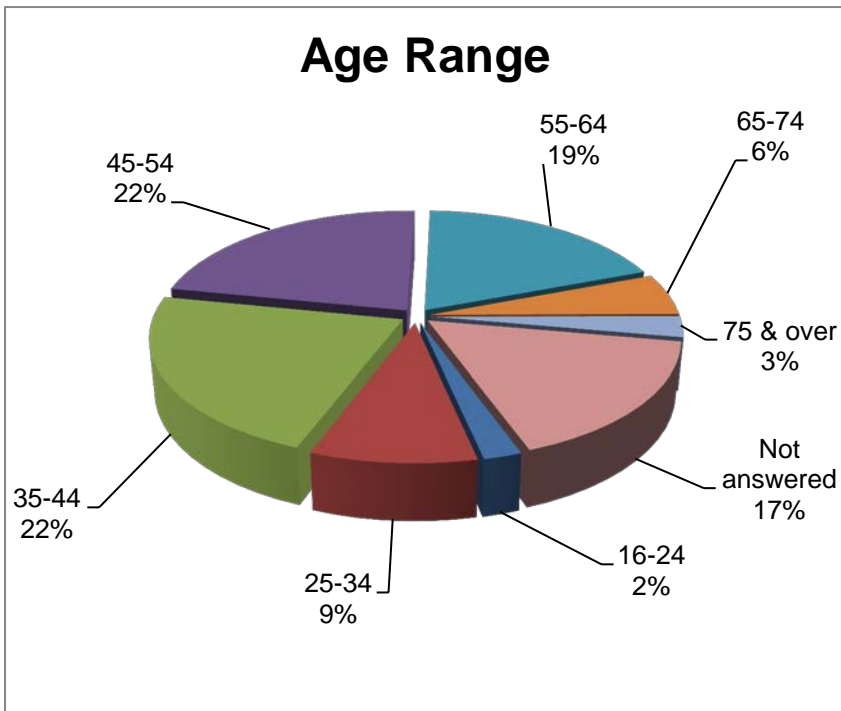
Gender	Number
Female	111
Male	113
Transgender	2
Not answered	56
<b>Grand Total</b>	<b>282</b>

Economic Status	Number
Long term illness/disabled	4
Looking after home/children	6
Other	3
Retired	32
Self employed	9
Student	2
Unemployed	11
Working full time	139
Working part time	28
Not answered	48
<b>Grand Total</b>	<b>282</b>



Age Range	Number
16-24	6
25-34	26
35-44	63
45-54	63
55-64	53
65-74	16
75 & over	8
Not answered	47
<b>Grand Total</b>	<b>282</b>

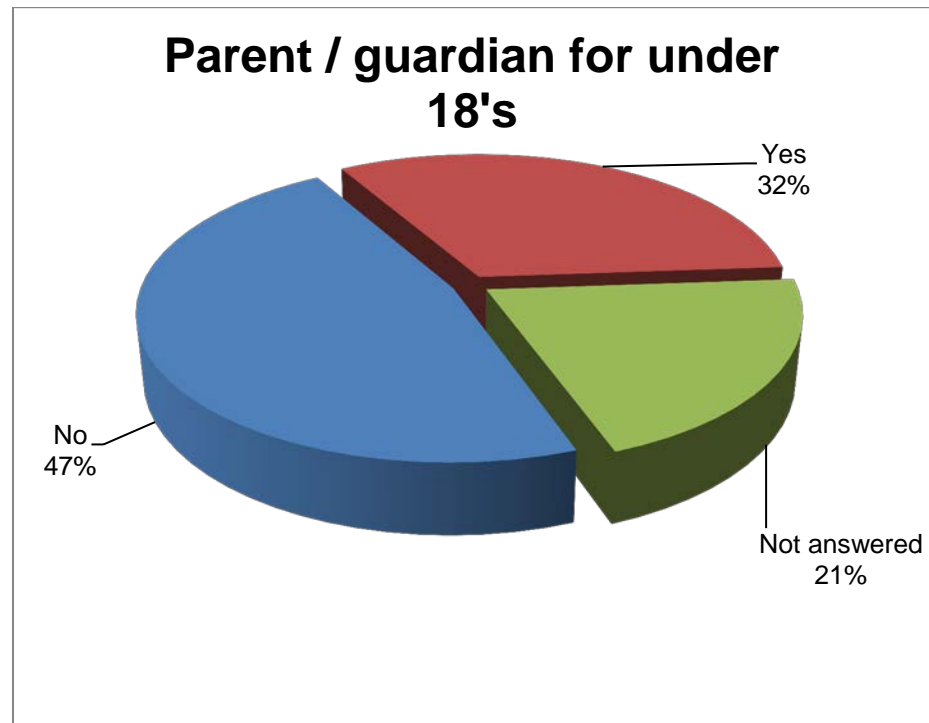
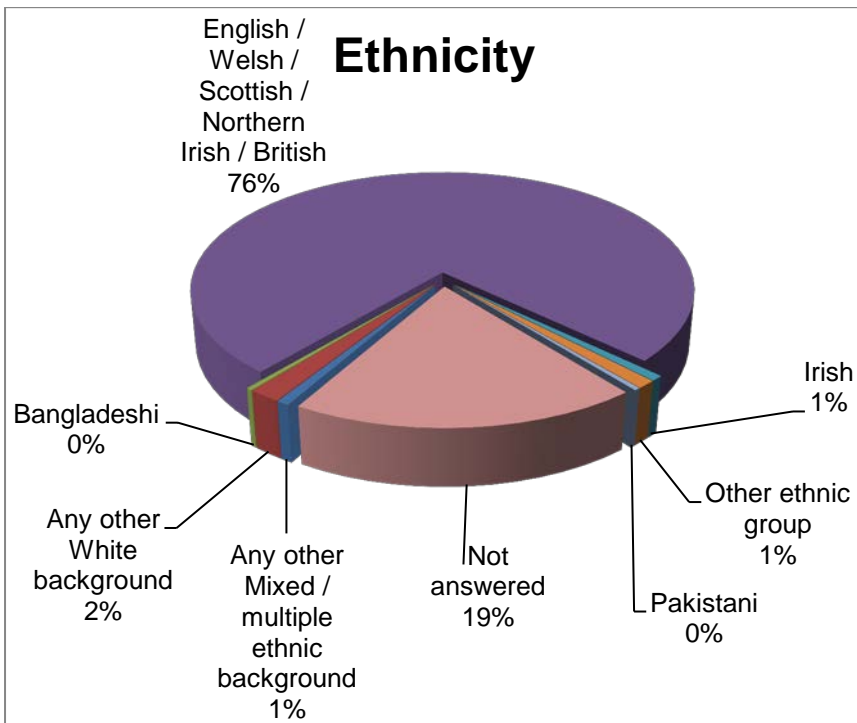
Long term illness / Disability	Number
No	187
Yes	40
Not answered	55
<b>Grand Total</b>	<b>282</b>





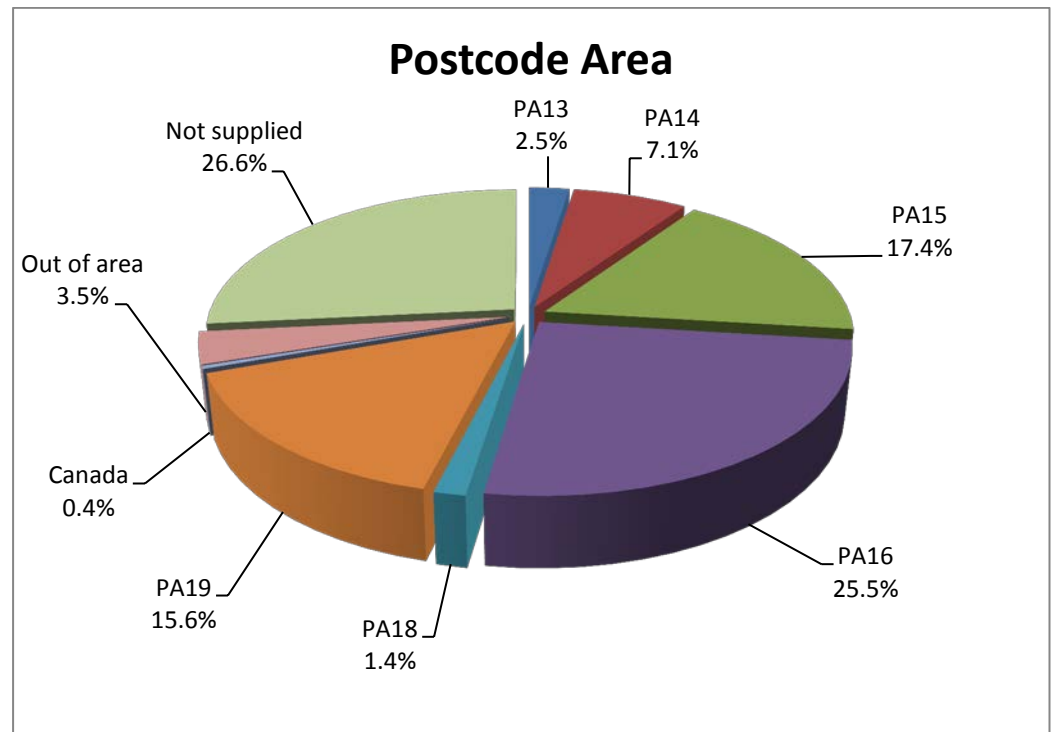
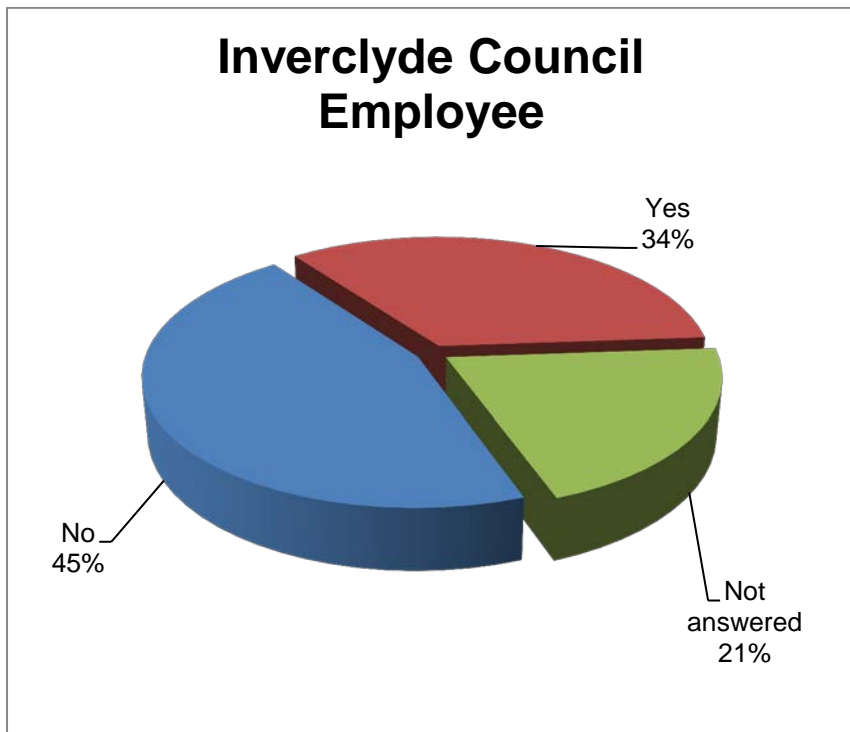
Ethnicity	Number
Any other Mixed / multiple ethnic background	2
Any other White background	5
Bangladeshi	1
English / Welsh / Scottish / Northern Irish /	
British	214
Irish	2
Other ethnic group	3
Pakistani	1
Not answered	54
<b>Grand Total</b>	<b>282</b>

Parent / Guardian for under 18	Number
No	133
Yes	91
Not answered	58
<b>Grand Total</b>	<b>282</b>



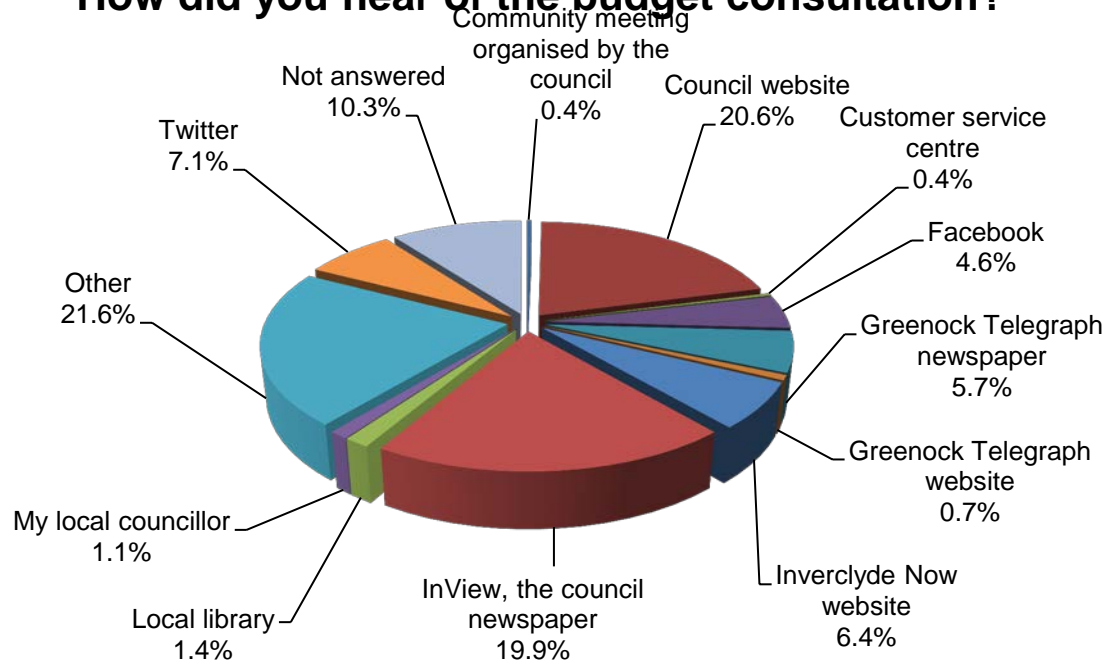
Inverclyde Council employee	Number
No	128
Yes	96
Not answered	58
<b>Grand Total</b>	<b>282</b>

Geographic Area of home postcode	Number
PA13 – Kilmacolm & Quarriers	7
PA14 – Port Glasgow	20
PA15 – Greenock Central & East	49
PA16 – Greenock West & Inverkip	72
PA18 – Wemyss Bay	4
PA19 – Gourock	44
Canada	1
Out of area	10
Not supplied	75
<b>Grand Total</b>	<b>282</b>

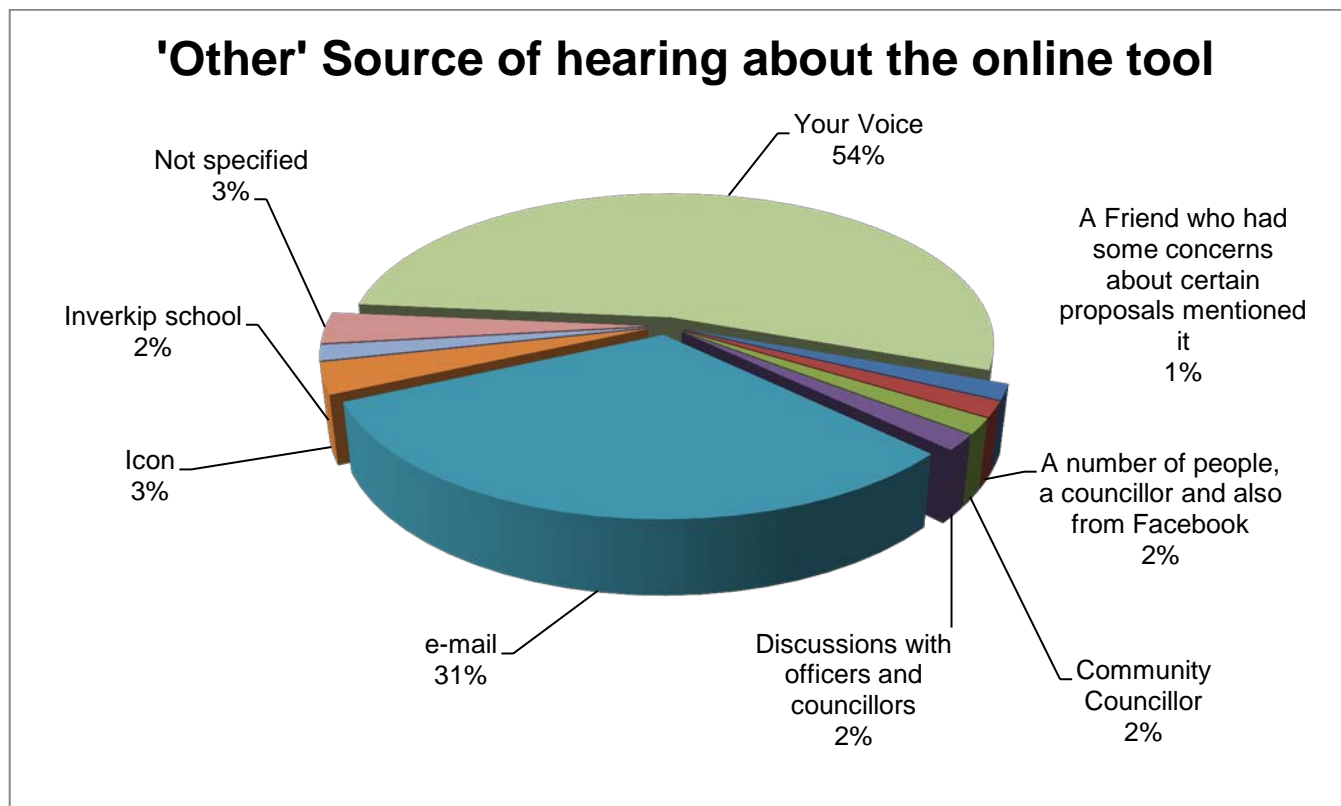


Finding out about the online budget simulator	Number
Community meeting organised by the council	1
Council website	58
Customer service centre	1
Facebook	13
Greenock Telegraph newspaper	16
Greenock Telegraph website	2
Inverclyde Now website	18
InView, the council newspaper	56
Local library	4
My local councillor	3
Other	61
Twitter	20
Not answered	29
<b>Grand Total</b>	<b>282</b>

### How did you hear of the budget consultation?



The 'other' source for hearing of the online simulator	Number
A Friend who had some concerns about certain proposals mentioned it	1
A number of people, a councillor and also from Facebook	1
Community Councillor	1
Discussions with officers and councillors	1
e-mail	19
Icon	2
Inverkip school	1
Not specified	2
Your Voice	33
<b>Grand Total</b>	<b>61</b>



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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2<sup>nd</sup> February 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/09/16/AP/MT</b>
<b>Contact Officer:</b>	<b>Matt Thomson</b>	<b>Contact No:</b>	<b>01475 712256</b>
<b>Subject:</b>	<b>Common Good Budget 2016/18</b>		

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## **1.0 PURPOSE**

- 1.1 The purpose of the report is to provide information to Committee to enable it to recommend action to allow the Council to set a 2016/18 Common Good Budget.

## **2.0 SUMMARY**

- 2.1 The Common Good Budget was set in February 2015. The approved budget was a surplus in 2015/16 returning to break even in 2016/17 in order to address a shortfall in reserves below the recommended minimum of £100,000.
- 2.2 Ongoing issues with vacant properties resulting in both loss of income as well as increased rates costs and increased repairs costs however have resulted in the Common Good continuing to run at a deficit. As a result the Reserves Balance is projected to fall to £43,000 by 31<sup>st</sup> March 2016.
- 2.3 Should the ongoing deficit not be addressed the Reserves Balance is projected to fall to £12,000 by 31<sup>st</sup> March 2018. In order to address this, action must be taken to bring the Reserves position to the recommended minimum level of £100,000.
- 2.4 It is proposed therefore to “mainline” the Christmas Decorations spend of £35,400 from 2016/17 and thus allow the balance to return to its minimum recommended level by 2018/19. This will require to be approved as part of the imminent Budget.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee note the position of the Common Good budget and agree to the proposals to mainline £35,400 expenditure from 2016/17.
- 3.2 It is recommended that the Committee remit this matter to the 2016/18 Budget process.

**Alan Puckrin**  
**Chief Financial Officer**

## **4.0 BACKGROUND**

- 4.1 In February 2015, the Council approved a 2 year Common Good budget covering the period 2015/16 to 2016/17.
- 4.2 As the Reserves position had been projected to fall below the recommended minimum level of £100,000, the 2015/16 budget was set at a surplus position for that year only with the budget returning to a break even position in 2016/17.
- 4.3 A number of properties have not been lettable due to various property condition issues and whilst steps have been taken to address these issues within the limited available funding, the high level of empty properties has contributed to the reduction in the Reserves position. As well as the resulting decreased income levels, the Common Good also incurs Non Domestic Rates charges on the empty property.
- 4.4 During 2014/15, action was taken to remove a tenant who had not been paying rent, a provision for unpaid rent was made and this, along with Legal Expenses incurred as a result of the dispute, has further impacted on the Reserves balance. Further expense is being incurred in bringing the affected high profile premises into a marketable condition.
- 4.5 As a result, action will require to be taken in order to bring the Common Good Reserves position back to the recommended level.

## **5.0 BUDGET POSITION**

- 5.1 The main funding source for the Common Good remains the commercial property units in Bay Street and John Wood Street, Port Glasgow. Several of these properties remain vacant at present and as a result, the projected rental income for 2015/16 is approximately £128,500, significantly below the budgeted rental income of £147,000. Officers predict that this situation should improve during 2016/17 as properties are returned to an adequate standard and subsequently let. One property remains in an unlettable condition however.
- 5.2 In addition to the shop units, the former filling station site at 74 Port Glasgow Road remains vacant. This has been marketed on several occasions however a suitable tenant has not been identified to date. The proposed Common Good budget assumes no income from this site.
- 5.3 In addition to the reduced income levels the Common Good also incurs Non Domestic Rates charges for vacant properties. At present no budget has been allocated to Rates however over the past several years Rates costs have varied from approximately £6,000 to £12,000. Due to the current levels of vacant properties the costs for 2015/16 are projected to be £18,000.
- 5.4 As a result it would be prudent to introduce a recurring Rates budget. Based on current projections of when vacant properties are likely to be let Officers anticipate a budget of £11,000 will be required in 2016/17. The majority of properties will be let by the end of 2016/17 and the Rates liability will then decrease, in order to allow for ongoing turnover/vacancies a budget of £6,000 will be retained.
- 5.5 The letting of the vacant properties should see income levels increasing to £137,000 in 2016/17 and then to £155,000 in 2017/18. On introduction of the Rates budget the Income required for the Common Good to break even is £159,000 and a £4,000 ongoing deficit is therefore being projected. In the longer term, inflation/rent reviews should gradually increase income levels. Officers will continue to monitor the situation though and the Common Good budget will continue to be reviewed as part of the annual budget process.
- 5.6 There is also a need to restore the Common Good balance to at least £100,000 on the assumption that in the medium term the recurring budget will be in balance as a minimum.
- 5.7 It is proposed therefore to "mainline" the Christmas Decorations spend of £35,400 from 2016/17 and this will allow the balance to return to the minimum recommended level with a 3 year period.

5.8 The current Common Good budget position is included in Appendix 1.

## 6.0 FINANCIAL IMPLICATIONS

### Finance

#### 6.1 Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Common Good	Events	From 2016/17	(35)		
Grounds Services	Income	From 2016/17	35		

#### One off Costs

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

## 7.0 CONSULTATION

### 7.1 Legal

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

### 7.2 Human Resources

There are no direct staffing implications in respect of the report and as such the Head of Organisational Development, HR and Communications has not been consulted.

### 7.3 Equalities

There are no equalities implications in this report.

### 7.4 Repopulation

There are no repopulation implications in this report.

## 8.0 LIST OF BACKGROUND PAPERS

### 8.1 None

**COMMON GOOD FUND  
REVENUE BUDGET 2016/18**

	Projected 2015/16	Budget 2016/17	Adjustment 2016/17	Budget 2016/17	Adjustment 2017/18	Budget 2017/18
<b>PROPERTY COSTS</b>	<b>28,040</b>	<b>10,000</b>	<b>A 11,000</b>	<b>21,000</b>	<b>A (5,000)</b>	<b>16,000</b>
Repairs & Maintenance	9,000	9,000		9,000		9,000
Rates	18,040	0	11,000	11,000	(5,000)	6,000
Property Insurance	1,000	1,000		1,000		1,000
<b>ADMINISTRATION COSTS</b>	<b>8,700</b>	<b>8,700</b>	<b>0</b>	<b>8,700</b>	<b>0</b>	<b>8,700</b>
Sundries	1,500	1,500		1,500		1,500
Commercial Rent Management Charge	2,200	2,200		2,200		2,200
Recharge for Accountancy	5,000	5,000		5,000		5,000
<b>OTHER EXPENDITURE</b>	<b>100,700</b>	<b>134,200</b>	<b>B (33,500)</b>	<b>100,700</b>	<b>0</b>	<b>100,700</b>
Christmas Lights Switch On	10,500	10,500		10,500		10,500
Christmas Dinners/Vouchers	21,600	21,600		21,600		21,600
Christmas Decorations	0	35,400	(35,400)	0		0
Gourock Highland Games	29,400	29,400		29,400		29,400
Armistice Service	8,300	8,300		8,300		8,300
Comet Festival	13,300	13,300		13,300		13,300
Fireworks	12,600	12,600		12,600		12,600
Rent Relief (Society of the Innocents)	5,000	3,100	1,900	5,000		5,000
<b>INCOME</b>	<b>(130,440)</b>	<b>(153,000)</b>	<b>C 13,990</b>	<b>(139,010)</b>	<b>C (17,700)</b>	<b>(156,710)</b>
Gross Rent	(183,000)	(185,600)	(1,870)	(187,470)	(4,700)	(192,170)
Void Rents	54,560	34,600	15,860	50,460	(13,000)	37,460
Internal Resources Interest	(2,000)	(2,000)		(2,000)		(2,000)
<b>NET EXPENDITURE</b>	<b>7,000</b>	<b>(100)</b>	<b>(8,510)</b>	<b>(8,610)</b>	<b>(22,700)</b>	<b>(31,310)</b>
<b>EARMARKED FUNDS</b>	<b>49,170</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
John Wood St/Bay St Shop Improvements	18,420			0		0
World War 1 Centenary	3,750			0		0
Port Glasgow Road - Demolition	15,000			0		0
Repairs & Renewals Fund	12,000			0		0
<b>TOTAL NET EXPENDITURE</b>	<b>56,170</b>	<b>(100)</b>	<b>(8,510)</b>	<b>(8,610)</b>	<b>(22,700)</b>	<b>(31,310)</b>

Projected Fund Balance as at 31st March 2016 **£43,010**

Projected Fund Balance as at 31st March 2017 **£51,620**

Projected Fund Balance as at 31st March 2018 **£82,930**

**Notes:**

**A Property Costs**

Creation of Rates budget based on current level of voids	11,000	(5,000)
	<b>11,000</b>	<b>(5,000)</b>

It is proposed any underspends in the annual Repairs & Maintenance budget would be added to the Repairs & Renewals fund.

**B Other Expenditure**

Increase to Society of the Innocents rent relief in line with current rent levels.	1,900	
Transfer Christmas Decoration spend.	(35,400)	
	<b>(33,500)</b>	<b>0</b>

**C Income**

Adjust Income to bring in line with latest projections	13,990	(14,300)
Inflation		(3,400)
	<b>13,990</b>	<b>(17,700)</b>

**Total Adjustments**

	<b>(8,510)</b>	<b>(22,700)</b>
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**D Occupancy assumptions:**

Projected Income (& Rates) assumes full occupancy with the exception of:

- 10 Bay St (assumed 50% occupancy on short term charity leases)
- 4 John Wood St (vacant, no interest)
- 17 John Wood St (vacant & unfit for occupation)
- 74 Port Glasgow Road (vacant, marketing unsuccessful to date)

2 other properties (12 Bay St & 15 John Wood Street) currently vacant but anticipated these will be occupied sometime during 2015/16.

**E Recommended Fund Level**

The recommended minimum overall fund level is £100,000.



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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February, 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/10/16/AP/FB</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>Commission on Local Tax Reform</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to update Committee following the publication on 14<sup>th</sup> December of the report from the Commission on Local Tax Reform.

## 2.0 SUMMARY

- 2.1 The Commission on Local Tax Reform was jointly chaired by the Scottish Government and Cosla with the remit to “identify and examine alternatives that would deliver a fairer system of local taxation to support the funding of services delivered by Local Government”. The Commission’s report was issued on 14<sup>th</sup> December 2015 and is available as a Background Paper.
- 2.2 The Council submitted a response to the Commission in June 2015 following approval of the response by the Policy & Resources Executive Sub-Committee.
- 2.3 Section 13 of the report lists the main conclusions and recommendations which are:
- The present Council Tax must end.
  - Local rate setting where ever possible should be an explicit feature of the reform.
  - There is not a single tax system that can deliver greater equity for taxpayers, autonomy for Local Government and be readily implementable and efficient.
  - A system which draws revenue from multiple sources would provide more options for delivering greater autonomy for Local Government.
  - As there will be “winners & losers” a transitional scheme is vital to allow taxpayers to adjust.
  - A new system will require a redistribution of Government Funds to protect those areas with a lower tax base.
- 2.4 As the Council’s submission was very much aligned to Cosla’s there is no surprise that the report comments on and tries to address the points made in the Council’s submission.

The report recognises the need to make the replacement Tax more progressive and that a review of reliefs and discounts is needed. It comments on the high collection rates currently achieved with Council Tax and recognises that Government Grant will need to be redistributed to ensure there are no unintended consequences of the change to a new tax system.

- 2.5 The report is now expected to be taken into account by the various political parties when developing future local taxation proposals as part of their 2016 Scottish Parliament election manifestos.

### **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee note the contents of the recently published report from the Commission on Local Tax Reform and that the points raised by the Council in its submission have been taken into account.

**Alan Puckrin**  
**Chief Financial Officer**

## 4.0 BACKGROUND

- 4.1 The Commission on Local Tax Reform was jointly chaired by the Scottish Government and Cosla with the remit to “identify and examine alternatives that would deliver a fairer system of local taxation to support the funding of services delivered by Local Government”.
- 4.2 The 96 page report is available on the Scottish Government website along with 2 very large appendices.

## 5.0 Reports Main Conclusions

- 5.1 The report focused on 3 main options for raising local tax, namely Property Tax, Land Value Tax and Local Income Tax. In addition other local taxes are discussed which supplement the main local tax could such as a “Tourist Tax” but the Report recognises that in themselves these other taxes will not raise enough money and the ability of individual Councils to generate income could vary considerably.
- 5.2 The report lists the main conclusions and recommendations which include:
  - The present Council Tax must end.
  - Local rate setting wherever possible should be an explicit feature of the reform.
  - There is not a single tax system that can deliver greater equity for taxpayers, autonomy for Local Government and be readily implementable and efficient.
  - A system which draws revenue from multiple sources would provide more options for delivering greater autonomy for Local Government.
  - As there will be “winners & losers” a transitional scheme is vital to allow taxpayers to adjust.
  - A new system will require a redistribution of Government Funds to protect those areas with a lower tax base.
  - The Council Tax freeze “cannot go on forever” and that “Broadening the tax base, deepening local democracy and improving local fiscal autonomy are, we hope, therefore inevitable outcomes”.

### 5.3 Property Tax

The Report recognises that the Property Tax option would be less disruptive to implement and the current version (Council Tax) currently has a high collection rate. However the Report is clear that if implemented, the new Property Tax needs to be much more progressive ie those in higher bands need to pay much more than those in lower bands. The example used is Band H charges going up 250% whilst Band A goes down 50%. Even on this basis, the report states that those in Band A houses are paying a higher proportion of their “wealth” than those in Band H.

The report rehearses the arguments of whether property values are a proxy for wealth and the issue of Pensioners in high banded properties is raised.

In addition, the report recommends that the relief system needs simplified and reviewed to increase reliefs for those on low incomes and that there is a need to increase CTR take up which it refers to as having a “low take up rate”.

## 5.4 Land Value Tax

From reading the report, it is clear this is the tax favoured by “academics and professionals” but one which there is little practical evidence of how it would work and the impact. It recommends that “more work is done over the next parliamentary term to assess general and targeted land value taxes” but agrees they could be introduced further down the line and any system designed around a reformed Property Tax should take the potential for Land Value Tax to be added at a later date into account.

## 5.5 Local Income Tax (LIT)

Not surprisingly much of the focus is on LIT as to many this is the “fairest” in terms of ability to pay. This is referred to as the “predominant view of the Commission”.

Thereafter the report goes into detail of all the difficulties implementation of LIT would present in terms of ensuring that non-earned income such as dividends/investment income is captured, how 32 Councils would administer different tax rates, the time required for legislative changes potentially in both the UK and Scottish Parliaments and the potential requirement for Local Income Tax returns which historically are expensive to administer and have lower collection rates..

One option floated is a “System of assigning a share of receipts from the Scottish Rate of Income Tax to each local authority” based on the addresses of those paying tax. This clearly does not allow Councils to set their own rate of tax and will effectively be Government Grant funding.

## 5.6 Other Issues

The report also rules out the ability of Councils to increase direct charging to raise the necessary levels of funding on the basis that this would involve charging considerable sums to many of those who are the most vulnerable

The report also recognises that the joint billing of Council Tax and Water Charges is confusing and needs reviewed along with the level of water reliefs for those less able to pay. This is an issue officers have been raising with the Scottish Government and Scottish Water for many years.

## 6.0 IMPLICATIONS

### 6.1 Finance

None at this point in time

#### 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					

## 6.2 Legal

None

## 6.3 Human Resources

The report recognises that there is a potentially significant impact on Council Tax staffing levels dependent on the option chosen.

## 6.4 Equalities

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.

## 6.5 Repopulation

No direct implications but any proposal needs to recognise the impact on Councils whose population is decreasing or growing more slowly than the rest of Scotland.

## 7.0 CONSULTATIONS

7.1 None

## 8.0 LIST OF BACKGROUND PAPERS

8.1 "Just Change : A new Approach to Local Taxation" by The Commission on Local Tax Reform

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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>2 February 2016</b>
<b>Report By:</b>	<b>Head of Legal &amp; Property Services</b>	<b>Report No:</b>	<b>GM/LP/009/16</b>
<b>Contact Officer:</b>	<b>Gerard Malone</b>	<b>Contact No:</b>	<b>01475 712710</b>
<b>Subject:</b>	<b>Fixed Odds Betting Terminals</b>		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to consider the issues affecting Fixed Odds Betting Terminals within Inverclyde and to determine whether representations to relevant parties are to be made on behalf of the Council.

## 2.0 SUMMARY

- 2.1 A Notice of Motion by Councillor Campbell-Sturgess, countersigned by Councillor Brooks, was considered by the Council at its meeting on 3 December 2015. The Council decided to support in principle the intent of the motion but decided that a report be considered by this Committee on the issues affecting Fixed Odd Betting Terminals within Inverclyde prior to any representations being made to relevant parties.
- 2.2 Clause 45 of the Scotland Bill 2015-16 seeks to devolve legislative competence in relation to gaming machines authorised by a betting premises licence where the maximum charge for a single play is more than £10. The Gambling Act 2005 would be amended so that Scottish Ministers would be able to make an Order, subject to procedures, to vary the number of these machines allowed on betting premises and this power would only apply to applications for new premises licences. It has also been suggested that retail betting shops should be placed in a distinct planning class so that planning permission must be sought when a betting company takes on new premises in order to open a retail betting shop, regardless of what those shop premises were used for previously.
- 2.3 The Local Government & Regeneration Committee of the Scottish Parliament has recently undertaken an inquiry into Fixed Odds Betting Terminals and its findings have been published on 21 December 2015.
- 2.4 This report reviews the present position on the outcome of the inquiry and notes the current legislative arrangements as affecting relevant premises within Inverclyde.

## 3.0 RECOMMENDATION

- 3.1 That the Committee consider the current position and, in terms of the Council's in principle support, remits it to the Chief Executive to write to UK and Scottish Ministers to make representations for greater local control of Fixed Odds Betting Terminals.

**Gerard Malone**  
**Head of Legal & Property Services**

## 4.0 BACKGROUND

- 4.1 All betting, gaming and lotteries legislative regulation are matters which are reserved to the UK Parliament. However, clause 45 of the Scotland Bill proposes devolving legislative competence in relation to gaming machines authorised by a betting premises licence where the maximum charge for a single play is more than £10. The Gambling Act 2005 would be amended so that Scottish Ministers would be able to vary the number of machines allowed on betting premises. The power would only apply to applications for new premises.
- 4.2 Fixed Odds Betting Terminals are electronic machines sited in betting shops which contain a variety of games, including roulette. These machines allow players to bet on the outcome of various games and events with fixed odds returns. The most commonly played game is roulette, but other games include bingo, simulated horse and greyhound racing and a range of slot machine games. Each machine accepts bets for amounts up to a pre-set maximum and pays out according to fixed odds on the simulated outcomes of such games. The Gambling Act 2005 classified Fixed Odds Betting Terminals as B2 gaming machines. Up to four machines of this type can be sited on any betting premises. The maximum stake on a single bet is £100, the maximum prize is £500.
- 4.3 It is fair to say that B2 machines have involved controversy since their introduction as critics have pointed out that it is possible to lose large amounts of money in a short space of time and that the machines have an effect in problem gambling. This contention is contested by the gambling industry which says there is no evidence of a link between such B2 machines and problem gambling.
- 4.4 In terms of the current debate, the effect of any change of the Gambling Act 2005 in the above terms would mean that Scottish Ministers would have the authority to vary the number of machines allowed on betting premises. Since 2005, the number of machines permitted on each premises with a betting licence has been limited to four. The power to vary that limit in terms of the current debate would only apply for applications for new premises. The Scottish Government's proposed alternative clause replaces references to betting premises with a more general reference to gambling premises so as to have effect on casinos as well as betting shops. The proposed alternative would also extend to existing premises.
- 4.5 In 2015, the Scottish Parliament Local Government & Regeneration Committee invited responses on the level of control of Fixed Odds Betting Terminals as proposed in the Scotland Bill. The questions asked by the Local Government & Regeneration Committee were as follows:
- What would be the benefits and disadvantages for you as a consequence of the UK Government's proposed provision in the Scotland Bill 2015?
  - What would be the benefits and disadvantages for you as a consequence of the proposed alternative provision suggested by the Scottish Government?
  - Which of these approaches do you prefer, and why?
  - Are there any changes in this area of law you would like to see which are not covered by either proposal, and why?
  - Please make any further comment you feel is relevant to Committee's inquiry into FOBTs.
- 4.6 The closing date for the Local Government & Regeneration Committee enquiry was 28 August 2015 and 13 local authorities submitted representations by that date. There were substantial numbers of other representations made by other parties, including CoSLA, the Care Society of Scotland and the Association of British Bookmakers and a number of high street bookmakers.
- 4.7 The Local Government & Regeneration Committee's inquiry was published on 21 December 2015 and is referred to further in section 7 below.

## 5.0 INVERCLYDE

- 5.1 The only premises where Fixed Odds Betting Terminals can be sited are Large Casinos, Small Casinos, Betting Shops and Tracks occupied by pool betting and each of these types of premises are restricted in the number of machines permitted. The Gaming Machine (Circumstances of Use) Regulations provides how the machines are managed and operated. In certain circumstances the limit is reduced to £50 where the machines are made available on premises (except Casino premises).
- 5.2 Betting Shops are permitted up to four machines. There are 18 Betting shops currently within the Inverclyde area:
- Greenock – 13 premises
  - Port Glasgow – 4 premises
  - Gourock – 1 premises

There are no Casinos or Track Premises Licences in Inverclyde.

- 5.3 Betting premises do not require to advise the Licensing Board of the actual number of these machines located at each premises which may be up to the limit of four machines.
- 5.4 Premises operating Category B2 machines must comply with the Gambling Commission Gaming Machine Technical Standards which includes requirements with respect to game features, display notices and general machine operation including metering.

For information, other gambling premises licences in Inverclyde are as follows:

### Bingo

1 premises – Greenock – no Fixed Odds Betting Terminals permitted.

### Adult Gaming Centre

15 premises of which 12 are located in vessels and 3 are premises in Greenock – no Fixed Odds Betting Terminals permitted.

### Family Entertainment Centre

1 premises – Wemyss Bay – no Fixed Odds Betting Terminals permitted.

In addition, Gaming Machine Permits are held by:-

Club Premises (Alcohol Licensed Premises) – 8 – no Fixed Odds Betting Terminals permitted.

Licensed Premises (Alcohol) – 5 – no Fixed Odds Betting Terminals permitted.

### Licensed Premises Automatic Entitlement (Alcohol)

25 Licensed Premises (Alcohol) have automatic entitlement to up to two gaming machines – no Fixed Odds Betting Terminals permitted.

### Unlicensed Family Entertainment Centre Permit

1 premises – Wemyss Bay – no Fixed Odds Betting Terminals permitted.



## **6.0 RELEVANT ISSUES**

- 6.1 In terms of general impact on the Inverclyde community and beyond, the issues for Fixed Odds Betting Terminals involve the effects on public health including the level of stakes, prizes and the duration and speed of play in terms of gambling behaviour and any gambling problems, any addictions or any health or other harm. There is clearly an issue in general in relation to an understanding of the impact of any problem gambling and how it may itself relate to a range of other issues involving poverty and both mental and physical health. These are wider issues affecting the awareness and promotion of public health, prevention from harm, and the support and assistance that can be obtained from effective and proportionate regulation and constraint.
- 6.2 It may be argued that the attempt to prevent the proliferation of Fixed Odds Betting Terminals is both an overdue step and a welcome step and that if it is devolved to communities along with the necessary planning and licensing authority provisions, then decisions may be made on a local level in relation to the number and location of new premises.
- 6.3 There are wider issues in respect of public health and the proposals as drafted within the Bill may be considered as being limited in scope and progress has to be made in understanding how problem gambling affects communities, families and individuals together with its impact on a wider range of policy issues including health, justice and poverty.

## **7.0 FINDINGS OF THE SCOTTISH PARLIAMENT INQUIRY**

- 7.1 The Local Government & Regeneration Committee published its report on 21 December 2015. The report is available on the Scottish Parliament website and has also been made available (2 copies) with Members' Services. In summary, the report finds that there should be devolution of further powers to the Scottish Parliament, that there should be power to limit the number of Fixed Odds Betting Terminal machines in new premises, that there should be power to limit the number of all machines authorised under all betting premises licences, there should be powers to limit the number of all gaming machines under all betting and gambling licences and that any existing powers be used to the full in relation also to inspecting licensed betting premises and the reviewing of licences.
- 7.2 The inquiry considered that the speed of play and the maximum stake are highly relevant factors and is of the opinion that Fixed Odds Betting Terminals are a particularly addictive gambling product and that there is sufficient evidence and concern to suggest a need for more definitive research to inform the debate for purposes of any future policy making. The Local Government & Regeneration Committee was not satisfied that the provisions contained in the Scotland Bill represented meaningful devolution of effective powers as they would create only an unequal market place and regulatory confusion between new and existing betting premises licence holders. For that reason, that Committee supported the principle that the Scotland Bill provisions should apply to existing betting premises licences and that the Scotland Bill should be amended to ensure that the provisions also apply to those existing licences.
- 7.3 The findings of the inquiry are specified in full in the published report and these points are, of course, only a summary. It is the Scottish Government's position that all gaming and betting powers should be devolved to the Scottish Parliament and that devolution of this policy area would enable the Scottish Parliament to develop a strategic approach to betting and gambling. It is that Committee's strong view that planning law should be amended to empower local authorities to control the number of licensed betting premises and, therefore, Fixed Odds Betting Terminals within communities and it has urged the Scottish Government to make the necessary changes to the Use Classes Order in early course: to that effect, it has been recommended that the Scottish Government re-consider the issue of Use Classes as soon as the Scotland Bill is passed.

- 7.4 The Scotland Bill started in the House of Commons with its first reading on 28 May 2015 and it is currently at its Committee stage in the House of Lords which commences on 19 January 2016. After this, the Bill has its Reporting Stage and then its final, third reading. After this, the Bill will return to the House of Commons for the House of Lords amendments to be considered before it can become an Act when both Houses have agreed on the exact wording of the Bill.
- 7.5 In view of the above and in respect of the timescales, it is suggested that it is appropriate, if the Committee approves, to write to both the UK and Scottish Ministers to advise of the Council's broad support of the findings and to make representations for greater local control of Fixed Odds Betting Terminals. Draft letters to the respective Ministers of the UK and Scottish Parliaments are attached as Appendix 1.

## 8.0 IMPLICATIONS

### Finance

- 8.1 There are no financial implications.

#### Financial Implications:

##### One Off Costs

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

##### Annually Recurring Costs/ (Savings)

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

### Legal

- 8.2 This report summarises the current legal position and outlines the findings of the Scottish Parliament Local Government & Regeneration Committee report.

### Human Resources

- 8.3 There are no HR implications.

### Equalities

- 8.4 There are no Equalities implications.

### Repopulation

- 8.5 There is no direct effect on repopulation issues.

## 9.0 CONSULTATIONS

- 9.1 This report has been the subject of consultation with the Head of Safer & Inclusive Communities.

## **10.0 BACKGROUND PAPERS**

10.1 Local Government & Regeneration Committee inquiry into Fixed Odds Betting Terminals.

# APPENDIX 1

Our Ref: GM/AI

Your Ref:

Date: 20 January 2016

**Environment, Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

Municipal Buildings  
Clyde Square  
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PA15 1LY

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[aubrey.fawcett@inverclyde.gov.uk](mailto:aubrey.fawcett@inverclyde.gov.uk)

Ms Tracey Crouch MP  
Parliamentary Under Secretary of State for Sport,  
Tourism and Heritage  
House of Commons, London, SW1A 0AA

Dear Ms Crouch

## **Inverclyde Council Fixed Odds Betting Terminals**

I have been requested to write to you on behalf of the Council to express its concern in relation to Fixed Odds Betting Terminals.

In particular, the Council is concerned relative to the general impact on the Inverclyde community and beyond in relation to the effects on public health involved with Fixed Odds Betting Terminals. These concerns include the level of stakes, the prizes and the duration and speed of play in terms of gambling behaviours and any impact these may have on gambling problems or any addictions or health

The Council welcomes steps to further regulate Fixed Odds Betting Terminals and is aware of the current issues in respect of the progress of the Scotland Bill and also the findings of the Scottish Parliament's Local Government and Regeneration Committee which has recently published its report following upon its Inquiry. The Council wishes you to note its general support of the Local Government and Regeneration Committee's findings. It is the Council's specific request that there be greater local control of Fixed Odds Betting Terminals. For that purpose, the Council agrees that there should be devolving of such further powers to the Scottish Parliament as to provide for the restriction in numbers of Fixed Odds Betting Terminals in both new and existing premises. The speed of play and the maximum stake are highly relevant factors in any addictive behaviour and there is a need for definitive research to inform the debate for purposes of any future policy making. The Council requests that the Scotland Bill's devolution of effective powers must ensure that there is no unequal market place or any regulatory confusion between new and existing betting premises licence holders. For this reason, the Council supports the view that the Scotland Bill's provisions apply to existing betting premises licences and that the provisions should also apply to existing licences.

It is noted that the Scottish Government's position is that all gaming and betting powers should be devolved to the Scottish Parliament and that devolution of this policy area would enable the Scottish Parliament to develop a strategic approach to betting and gambling. It is the Council's view that local government is placed at the most appropriate level to take decisions about the right number of licensed betting premises within a community and local authorities should be given effective power to take these decisions. Additionally, the Council would seek to ensure that effective powers for entering and inspection should exist through the Gambling Act 2005 to provide for inspect of licences.

The Council will write to the Scottish Government to request that necessary changes be made to the terms of planning legislation in respect of the Use Classes Order in early course for the purposes of separate categorisation of such premises in order to empower local authorities in respect of their planning functions.

I should be pleased if you would consider the terms of the Council's representations. Please contact me if I can assist or clarify any point of the Council's concerns.

Yours sincerely

Gerard Malone  
Head of Legal & Property Services

DRAFT

Enquiries to Gerard Malone  
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E-mail: [gerard.malone@inverclyde.gov.uk](mailto:gerard.malone@inverclyde.gov.uk)



Our Ref: GM/AI

Your Ref:

Date: 20 January 2016

**Environment, Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

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Mr Michael Matheson MSP  
Cabinet Secretary for Justice  
St. Andrew's House  
Regent Road  
Edinburgh  
EH1 3DG

Dear Mr Matheson

**Inverclyde Council**  
**Fixed Odds Betting Terminals**

I have been requested by the Council to write to you in relation to its concerns relative to Fixed Odds Betting Terminals.

The Council has considered the recently published report by the Scottish Parliament's Local Government and Regeneration Committee and is supportive of its findings.

In particular, the Council is concerned relative to the general impact on the Inverclyde community and beyond in relation to the effects on public health involved with Fixed Odds Betting Terminals. These concerns include the level of stakes, the prizes and the duration and speed of play in terms of gambling behaviours and any impact these may have on gambling problems or any addictions or health. The Council is of the view that there could be wider issues in respect of public health in relation to these machines and there is sufficient evidence and concern to suggest a need for more definitive research to assist and inform the debate for purposes of any future policy making. The Council welcomes the intention to empower local authorities in this policy area.

The Council supports the Local Government and Regeneration Committee's findings that there should be devolving of further powers to the Scottish Parliament with power to limit the number of Fixed Odds Betting Terminals in betting premises licences. The Council is very supportive of the principle that the Scotland Bill provisions should apply to both existing betting premises licences and to existing licences in order to avoid any unequal market place effect or regulatory confusion between new and existing premises.

The Council notes that it is the Scottish Government's position that all gaming and betting powers should be devolved to the Scottish Parliament and the Council agrees that devolution of this policy area conforms with the Council's approach for local decision making and regulation of this area of concern. The Council also is of the strong view that the planning legislation should be amended to empower local authorities to control the number of betting premises licences with any necessary changes for the Use Classes Order in early course.

I have been requested to write in similar terms to the U.K Parliamentary Under Secretary of State for Sport, Tourism and Heritage, Ms Tracy Crouch M.P.

I should be pleased if you would note the Council's representations. Please contact me if I can clarify or expand upon any point of the Council's representations.

Yours sincerely

Gerard Malone  
Head of Legal & Property Services

DRAFT

Enquiries to **Gerard Malone**  
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**INVERCLYDE COUNCIL  
POLICY AND RESOURCES COMMITTEE**

**AGENDA AND ALL PAPERS TO:**

Councillor MacLeod	1
Councillor McCabe	1
Councillor Wilson	1
Councillor McCormick	1
Councillor Ahlfeld	1
Councillor Clocherty	1
Councillor McEleny	1
Councillor McIlwee	1
Councillor Loughran	1
Councillor Nelson	1
Councillor Rebecchi	1

All other Members (for information only) 9

**Officers:**

Chief Executive	1
Corporate Communications & Public Affairs	1
Corporate Director (Chief Officer), Health & Social Care Partnership	1
Head of Children & Families & Criminal Justice	1
Head of Community Care & Health	1
Head of Planning, Health Improvement & Commissioning	1
Head of Mental Health & Addictions	1
Corporate Director Education, Communities & Organisational Development	1
Head of Education	1
Head of Inclusive Education, Culture & Corporate Policy	1
Head of Safer & Inclusive Communities	1
Head of Organisational Development, HR & Communications	1
Corporate Director Environment, Regeneration & Resources	1
Property Services Manager	1
Head of Legal & Property Services	1
Chief Financial Officer	1
J Buchanan, Finance Services	1
S Lang, Legal & Property Services	1
R McGhee, Legal & Property Services	1
Chief Internal Auditor	1
File Copy	1

**TOTAL 41**

**AGENDA AND ALL NON-CONFIDENTIAL PAPERS TO:**

Community Councils 10

**TOTAL 51**