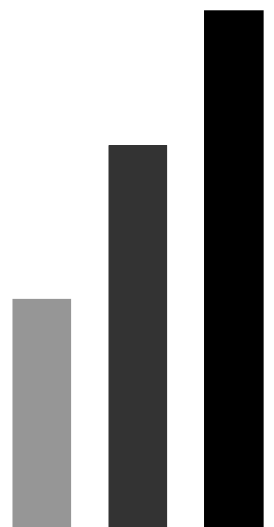


# Agenda 2016

# Policy & Resources Committee

For meeting on:

15	November	2016
----	----------	------



**A meeting of the Policy & Resources Committee will be held on Tuesday 15 November 2016 at 3pm within the Municipal Buildings, Greenock.**

GERARD MALONE  
Head of Legal & Property Services

**BUSINESS**

1. <b>Apologies, Substitutions and Declarations of Interest</b>	<b>Page</b>
<b>PERFORMANCE MANAGEMENT</b>	
2. <b>Policy &amp; Resources Capital Programme 2016/18 – Progress Report</b> Report by Chief Financial Officer and Corporate Director Environment, Regeneration & Resources	<b>p</b>
3. <b>Capital Programme 2016/18</b> Report by Chief Financial Officer	<b>p</b>
4. <b>Policy &amp; Resources Committee Revenue Budget 2016/17 – Period 6 to 30 September 2016</b> Report by Chief Executive, Corporate Director Education, Communities & Organisational Development and Chief Financial Officer	<b>p</b>
5. <b>General Fund Revenue Budget 2016/17 as at 30 September 2016</b> Report by Chief Financial Officer	<b>p</b>
6. <b>Welfare Reforms Update</b> Report by Chief Financial Officer and Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership	<b>p</b>
7. <b>Treasury Management – Mid-Year Report 2016/17</b> Report by Chief Financial Officer	<b>p</b>
8. <b>Insurance Fund Position as at 30 September 2016</b> Report by Chief Financial Officer	<b>p</b>

9.	<b>Annual Update in respect of Governance of External Organisations</b> Report by Chief Financial Officer	p
10.	<b>SPSO Statistics 2015/16</b> Report by Head of Organisational Development, Human Resources & Communications	p
11.	<b>Statutory &amp; Key Performance Indicators Annual Report 2015/16</b> Report by Head of Inclusive Education, Culture & Corporate Policy	p
<b>NEW BUSINESS</b>		
12.	<b>Council Tax Reforms Post April 2017</b> Report by Chief Financial Officer	p
13.	<b>Budget Consultation and Communications Plan</b> Report by Head of Organisational Development, Human Resources & Communications	p
14.	<b>Implications of Brexit</b> Report by Chief Executive	p
15.	<b>Information Governance and Management Update</b> Report by Corporate Director (Chief Officer), Inverclyde Health & Social Care Partnership	p
16.	<b>Corporate Health and Safety Plan</b> Report by Head of Organisational Development, Human Resources & Communications	p
17.	<b>Moving and Handling Policy</b> Report by Head of Organisational Development, Human Resources & Communications	p
18.	<b>First Aid at Work Policy</b> Report by Head of Organisational Development, Human Resources & Communications	p
19.	<b>Contract Awards – 1 April 2016 to 30 September 2016</b> Report by Corporate Director Environment, Regeneration & Resources	p
<b>REMITTS FROM COMMITTEES</b>		
20.	<b>Sustainable Procurement Policy – Supporting the Local Economy and SMEs: Remit from Environment &amp; Regeneration Committee</b> Report by Corporate Director Environment, Regeneration & Resources	p
21.	<b>Commercial and Industrial Property Improvements – Remit from Environment &amp; Regeneration Committee</b> Report by Corporate Director Environment, Regeneration & Resources	p

22. **Gourock Highland Games – Remit from Education & Communities Committee**  
Report by Corporate Director Environment, Regeneration & Resources

**p**

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

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer and Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>FIN/108/16/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 2016/18 - Progress Report</b>		

---

## **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 the 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 £2.293m, which means that the total projected spend is on budget.
- 2.3 Expenditure at 30 September is 44.13% of 2016/17 projected spend. Slippage of £0.178m (41.8%) is being reported. This is an increase in slippage of £0.178m since last Committee mainly due to revised phasing of the 2016/18 Indicative Allocation (£0.134m) and the Rolling Replacement of PC's (£0.044m) to reflect those assets requiring replacement in 2016/17. A far larger refresh is due in 2017/18 and all the funding slipped will be required at that time.

## **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note current position of the 2016/18 Capital Programme, the reported slippage and the progress on the specific projects detailed in the report and Appendix 1.

## 4.0 BACKGROUND

4.1 On March 10 2016 the Council approved the 2016/18 Capital Programme, this effectively continued the previously approved 2015/18 Capital Programme.

## 5.0 PROGRESS

5.1 PC Refresh Programme – Phase 1 of the 2016/2017 PC Refresh Programme has now been completed. 1830 older, smaller monitors have been replaced by larger, widescreen, more efficient LED models.

5.2 Infrastructure Refresh Programme - ICT have completed their programme of upgrading core Network Infrastructure Equipment in support of the migration to the Scottish Wide Area Network (SWAN).

5.3 Scottish Wide Area Network (SWAN) – Transition to SWAN has now been completed and associated project and installation works are now finished.

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 has been re-allocated from Desktop Replacement programme. Committee approval for this reallocation has been received.

## 6.0 FINANCIAL IMPLICATIONS

### Finance

6.1 The figures below detail the position at 30 September 2016. Expenditure to date is £0.109m (44.13% of the 2016/17 projected spend).

6.2 The current budget for the period to 31 March 2019 is £2.293m. The current projection is £2.293m which means the total projected spend is on budget.

6.3 The approved budget for 2016/17 is £0.425m. The Committee is projecting to spend £0.247m with slippage of £0.178m (41.8%) mainly due to revised phasing of the 2016/18 Indicative Allocation (£0.134m) and the Rolling Replacement of PC's (£0.044m).

6.4 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**





---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/112/16/AP/MT</b>
<b>Contact Officer:</b>	<b>Matt Thomson</b>	<b>Contact No:</b>	<b>01475 712256</b>
<b>Subject:</b>	<b>2016/18 Capital Programme</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of the report is to provide the Committee with the latest position of the 2016/18 Capital Programme.

## 2.0 SUMMARY

- 2.1 On March 10 2016 the Council approved the 2016/18 Capital Programme, this effectively continued the previously approved 2015/18 Capital Programme.
- 2.2 The Scottish Government settlement for 2016/17 included re-profiling of part of the capital grant to future years, this resulted in a deficit of £0.823m being approved. Subsequent unbudgeted 3<sup>rd</sup> party contributions and additional grant allocations for various flooding projects, has further reduced the deficit which now stands at £0.178m as can be seen from Appendix 1. This represents 0.19% of projected spend over the 2 year period and is within recommended parameters.
- 2.3 It should be noted that the Government has 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. In addition further funding of £0.86m for flooding works is anticipated however this grant will be distributed nationally over a 10 year period and the timing of the receipt is not certain. Neither of these anticipated receipts are reflected in the above figures.
- 2.4 It can be seen from Appendix 2 that as at 30 September 2016 expenditure in 2016/17 was 38.91% 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 net advancement of 3.97% is currently being reported, a reduction in advancement of 3.96% since the previous Committee. This compares with net advancement of 3% in 2015/16. In view of high slippage levels in previous years officers were prudent in estimates of capital spend when preparing the 2016/17 Capital Programme and are actively seeking to advance projects where possible to offset unavoidable slippage.
- 2.6 Work is ongoing in developing the draft 2017/20 Capital Programme. Officers will bring a number of reports to Committee early in the new year for Members' consideration.

## 3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the current position of the 2016/18 Capital Programme.
- 3.2 It is recommended that the Committee note that officers are developing a 2017/20 Capital Programme for consideration as part of the Budget Process.

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

## 4.0 BACKGROUND

- 4.1 On March 10 2016 the Council approved the 2016/18 Capital Programme, this effectively continued the previously approved 2015/18 Capital Programme to 2017/18.
- 4.2 In December 2015 the Scottish Government announced the provisional settlement for 2016/17. The final settlement was approved on 25 February 2016. While the settlement itself was £8.035m, £0.735m higher than had been estimated, £1.443m of this has been re-profiled to future years which means it will not be received in 2016/17 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 2016/18 period.
- 4.3 The previously agreed 2015/18 Capital Programme had been budgeted to break even however the re-profiling of the capital grant highlighted above resulted in a budgeted deficit of £0.823m.
- 4.4 Subsequent to the budget approval in March 2016 unbudgeted 3<sup>rd</sup> party contributions were received and along with some year end adjustments reduced the deficit. In addition the 2016/17 General Capital Grant confirmed additional grant allocated for various flooding projects, as these projects were previously funded within the Capital Programme this has further reduced the deficit which now stands at £0.178m (0.19% of projected spend).
- 4.5 Further funding of £0.86m for flooding works is anticipated however this grant will be distributed nationally over a 10 year period and the timing of the receipt is not certain. Again, it is considered prudent not to reflect this additional grant over the current 2016/18 period.

## 5.0 CURRENT POSITION

- 5.1 Appendix 2 (column H) shows that over the 2016/18 period the Capital Programme is in a break-even position.
- 5.2 The position in respect of individual Committees is as follows:

### Health & Social Care

No slippage is being reported at this time with nominal spend of 1.6%.

### Environment & Regeneration

Net advancement of £1.057m (6.80%) is being reported with spend being 32.4% of projected spend for the year. The advancement is projected mainly within the Roads Asset Management Plan (£0.438m) and additional projects within core property assets budgets (£1.064m) including Wallace Place Elevation roofing Works offset by slippage within the Flooding Strategy and Asset Management Plan (Offices).

### Education & Communities

Net advancement of £0.217m (2.12%) is being reported with spend being 54.2% of projected spend for the year.

### Policy & Resources

Slippage of £0.178m (41.8%) is being reported due to revised phasing of the 2016/18 indicative allocation (£0.134m) and the Rolling Replacement of PCs (£0.044m), with spend being 44.13% of projected spend.

- 5.3 Overall in 2016/17 expenditure is 38.91% of the projected spend for the year and project advancement from the programme agreed in March 2016 is currently £1.096 million (3.97%). This compares with advancement of 3% in 2015/16. It should be noted that officers have actively sought to advance projects in anticipation of potential slippage as well as taking a prudent view when setting the 2016/17 Capital Programme.

## 6.0 2017/20 CAPITAL PROGRAMME

6.1 Officers are progressing the development of a draft 2017/20 Capital Programme for Members to consider as part of the Budget process. A number of reports on potential projects will be presented to Committees over the next few months. Indications are that there is a significant shortfall in resources if all projects were to proceed.

## 7.0 CONSULTATION

7.1 This report reflects the detail reported to Service Committees.

## 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 - 2016/17 - 2018/19

Available Resources

	A	B	C	D	E
	2016/17	2017/18	2018/19	Future	Total
	£000	£000	£000	£000	£000
Government Capital Support	7,355	7,300	-	-	14,655
Less: Allocation to School Estate	(4,674)	(4,300)	-	-	(8,974)
Capital Receipts (Note 1)	692	435	-	-	1,127
Capital Grants (Note 2)	919	65	-	-	984
Prudential Funded Projects (Note 3)	14,144	21,049	3,904	-	39,097
Balance B/F From 15/16 (Exc School Estate)	1,243	-	-	-	1,243
Capital Funded from Current Revenue (Note 4)	(2,050)	6,789	-	-	4,739
	<u>17,629</u>	<u>31,338</u>	<u>3,904</u>	<u>-</u>	<u>52,871</u>

Overall Position 2016/19

Available Resources (Appendix 1, Column E)	£000	52,871
Projection (Appendix 2, Column B-E)		53,049
(Shortfall)/Under Utilisation of Resources		<u>(178)</u>

Notes to Appendix 1

All notes exclude School Estates

Note 1 (Capital Receipts)

	2016/17	2017/18	2018/19	Future	Total
	£000	£000	£000	£000	£000
Sales	610	385	-	-	995
Contributions/Recoveries	82	50	-	-	132
	<u>692</u>	<u>435</u>	<u>-</u>	<u>-</u>	<u>1,127</u>

Note 2 (Capital Grants)

	2016/17	2017/18	2018/19	Future	Total
	£000	£000	£000	£000	£000
Cycling, Walking & Safer Streets	88	-	-	-	88
SPT	175	-	-	-	175
Sustrans	37	-	-	-	37
Sports Scotland/SFA	18	-	-	-	18
Electric Vehicle Charging Points	17	-	-	-	17
Historic Scotland	-	65	-	-	65
Big Lottery Fund	584	-	-	-	584
	<u>919</u>	<u>65</u>	<u>-</u>	<u>-</u>	<u>984</u>

## Notes to Appendix 1

Note 3 (Prudentially Funded Projects)

	2016/17	2017/18	2018/19	Future	Total
	£000	£000	£000	£000	£000
Additional ICT - Education Whiteboard & PC Refresh	94	66	-	-	160
Vehicle Replacement Programme	110	615	1,179	-	1,904
Greenock Parking Strategy	123	150	-	-	273
Asset Management Plan - Offices	2,752	1,705	-	-	4,457
Asset Management Plan - Depots	3,438	3,174	250	-	6,862
Capital Works on Former Tied Houses	18	210	360	-	588
Waterfront Leisure Complex Combined Heat and Power Plant	227	-	-	-	227
Leisure & Pitches Strategy	13	23	-	-	36
Broomhill Community Facility	-	500	-	-	500
Neil Street Childrens Home Replacement	1,132	498	-	-	1,630
Crosshill Childrens Home Replacement	57	1,535	90	-	1,682
Modernisation Fund	47	93	-	-	140
Watt Complex Refurbishment	523	1,293	-	-	1,816
Roads Asset Management Plan	4,300	5,377	2,025	-	11,702
Surplus Prudential Borrowing due to project savings	60	60	-	-	120
Reduction in Prudential Borrowing, ICT Annual allocation	(150)	(150)	-	-	(300)
Additional Prudential Borrowing to Support annual allocations	1,400	1,400	-	-	2,800
Additional Prudential Borrowing to allow return of Reserves	-	4,500	-	-	4,500
	<u>14,144</u>	<u>21,049</u>	<u>3,904</u>	<u>-</u>	<u>39,097</u>

Note 4 (Capital Funded from Current Revenue)

	2016/17	2017/18	2018/19	Future	Total
	£000	£000	£000	£000	£000
Regeneration of Port Glasgow Town Centre	345	235	-	-	580
Play Areas	275	90	-	-	365
Contribution to Birkmyre Park Pitch Improvements	25	275	-	-	300
Scheme of Assistance	333	333	-	-	666
Flooding Strategy	-	1,863	-	-	1,863
Greenock Parking Strategy	47	-	-	-	47
Broomhill Community Facility (Community Facility Fund)	(147)	800	-	-	653
Inverkip Community Facility	651	100	-	-	751
Neil Street Childrens Home Replacement	-	133	-	-	133
John Street, Gourock	225	-	-	-	225
Primary School MUGA's - various	117	80	-	-	197
Community Facilities Investment	65	-	-	-	65
Blaes Football Parks	27	-	-	-	27
Broomhill Regeneration	(7)	450	-	-	443
Central Gourock	30	-	-	-	30
Scottish Wide Area Network	23	-	-	-	23
Rankin Park Cycle Track	61	-	-	-	61
Bakers Brae Re-alignment	-	1,000	-	-	1,000
RCGF Port Glasgow/Broomhill	150	350	-	-	500
King George VI Refurbishment	50	450	-	-	500
District Court Room Restoration	-	330	-	-	330
AMP - William St	-	300	-	-	300
GMB Lighting Replacement	17	-	-	-	17
Trafalgar St Solum	13	-	-	-	13
Investment in Park Assets	150	-	-	-	150
Contribution to General Fund Reserves	(4,500)	-	-	-	(4,500)
	<u>(2,050)</u>	<u>6,789</u>	<u>-</u>	<u>-</u>	<u>4,739</u>

Capital Programme - 2016/17 - 2018/19Agreed Projects

Committee	A Prior Years £000	B 2016/17 £000	C 2017/18 £000	D 2018/19 £000	E Future £000	F Total £000	G Approved Budget £000	H (Under)/ Over £000	I 2016/17 Spend To 30/09/16 £000
Policy & Resources	1,288	247	758	-	-	2,293	2,293	-	109
Environment & Regeneration	34,064	16,590	20,056	3,889	-	74,599	74,599	-	5,371
Education & Communities (Exc School Estate)	2,210	2,908	4,098	833	-	10,049	10,049	-	1,299
CHCP	228	1,414	2,166	90	-	3,898	3,898	-	23
Sub -Total	37,790	21,159	27,078	4,812	-	90,839	90,839	-	6,802
School Estate (Note 1)	5,901	7,561	21,906	9,716	2,429	47,513	47,513	-	4,374
Total	43,691	28,720	48,984	14,528	2,429	138,352	138,352	-	11,176

Note 1Summarised SEMP Capital Position - 2014/18

	2016/17	2017/18	2018/19
Capital Allocation	4,674	4,300	
Scottish Government School Grant (estimate)	1,120	1,953	100
Surplus b/fwd	3,827	7,085	(6,168)
Prudential Borrowing	3,965	-	-
Prudential Borrowing - Accelerated Investment		-	-
Contractor Contribution	60		
CFCR	1,000	-	-
Available Funding	14,646	13,338	(6,068)
<u>Projects</u>			
Ex-Prudential Borrowing	2,596	19,506	9,716
Prudential Borrowing	3,965	-	-
CFCR	1,000	-	-
Total	7,561	19,506	9,716
Surplus c/fwd	7,085	(6,168)	(15,784)

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Executive, Corporate Director Education, Communities &amp; Organisational Development and Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/107/16/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 2016/17 Revenue Budget – Period 6 to 30 September 2016</b>		

---

## **1.0 PURPOSE**

- 1.1 To advise the Committee of the 2016/17 projected out-turn for the Policy & Resources Committee as at period 6, 30 September 2016.

## **2.0 SUMMARY**

- 2.1 The total revised Committee budget for 2016/17 is £14,307,000. This excludes Earmarked Reserves of £1,766,000.
- 2.2 The latest projection, excluding Earmarked Reserves, is an underspend of £87,000.
- 2.3 The main reasons for this underspend are:
- £111,000 underspend projected mainly due to additional turnover savings being achieved.
  - £100,000 under-recovery on Internal Resource Interest income due to a reduction in interest rates.
  - £57,000 underspend within Inflation Contingency based on current estimated calls on inflation contingency.
  - £70,000 of additional income received for prior year Council Tax based on most recent projections.
- 2.4 The Earmarked Reserves for 2016/17 totals £1,766,000 of which £630,000 is projected to be spent in the current financial year. To date expenditure of £272,000 (43%) has been incurred which is £39,000 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 2017 of £15,330. This is below the minimum level of reserves of £100,000 recommended. Rates costs are also being examined to ensure all appropriate relief has been obtained. It is important that the Common Good budget operates on a sustainable basis and an action from the 2015/16 Members' Report will be progressed to review the Common Good position.

### **3.0 RECOMMENDATIONS**

- 3.1 The Committee note the 2016/17 projected underspend of £87,000 for the Policy and Resources Committee as at Period 6, 30 September 2016.
  
- 3.2 The Committee note the projected fund balance of £15,330 for the Common Good Fund and that a full review of the Common Good budget is being undertaken.

Aubrey Fawcett  
Chief Executive

Alan Puckrin  
Chief Financial Officer

Wilma Bain  
Corporate Director  
Education, Communities  
& Organisational Development



#### 4.0 BACKGROUND

- 4.1 The purpose of this report is to advise the Committee of the current position of the 2016/17 budget and to highlight the main issues contributing to the projected underspend of £87,000 in 2016/17.

#### 5.0 2016/17 CURRENT POSITION

- 5.1 The current projection is an underspend of £87,000.
- 5.2 The following material variances relate to the Environment, Regeneration & Resources Directorate:

##### **Finance - £210,000 underspend**

Employee Costs: £124,000 projected underspend which is an increase in underspend of £41,000 since last reported to Committee mainly due to additional turnover savings being achieved and difficulties in recruiting to professional posts.

Supplies & Services: £38,000 projected overspend which is a reduction in spend of £6,000 since last Committee mainly due to a reduction in spend identified within Computer Software Maintenance.

Payments to Other Bodies: Current projection is an underspend of £24,000 which is a reduction in spend of £2,000 since last Committee.

Income: An over-recovery of £118,000 is being projected which is an increase in income of £100,000 since period 4 report to Committee. This is mainly due to £70,000 of additional income received for prior year Council Tax based on most recent projections and £34,000 received from the DWP for which additional costs will be contained within existing budgets.

##### **Legal & Property - £70,000 overspend**

Employee Costs: An overspend of £24,000 was projected at period 4 there has been no change since.

Income: Under recovery of £46,000 is being projected at period 6 due to a combination of a shortfall in legal fee income of £18,000 and a decrease in liquor licence applications of £28,000.

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

##### **Organisational Development, H.R. & Communications - £33,000 overspend**

Various projected overspends all of which are below £10,000.

- 5.4 The following material variances relate to the Miscellaneous budget.

##### **Miscellaneous – £38,000 overspend**

Inflation Contingency: Projecting an underspend of £57,000 based on current estimated calls on inflation contingency. This is a movement of £35,000 since last reported to Committee.

Internal Resource Interest: Projecting an under-recovery of £100,000 due to a reduction in interest rates. There has been no change since period 4 report to Committee.

5.5 The following material variances relate to the Chief Executive budget.

**Chief Executive – £22,000 underspend**

Employee Cost: Projecting an underspend of £22,000 which is an increase in cost of £6,000 since last Committee mainly due to a vacant post being filled.

**6.0 VIREMENT**

6.1 There are no virements to report in period 6.

**7.0 EARMARKED RESERVES**

7.1 Appendix 4 gives a detailed breakdown of the current earmarked reserves position. Total funding is £1,766,000 of which £630,000 is projected to be spent in 2016/17 and the remaining balance of £1,136,000 to be carried forward to 2017/18 and beyond. It can be seen that expenditure of £272,000 has been achieved which is £39,000 over the phased budgeted spend to date and represents 43% of the annual projected spend.

**8.0 COMMON GOOD FUND**

8.1 Appendix 5 shows a projected overspend of £7,500 in the Common Good Fund as at 30 September 2016. This results in a projected available fund balance at 31 March 2017 of £15,330. This is below the minimum level of reserves of £100,000 recommended. Rates costs are also 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 this issue was picked up in the 2015/16 Members Letter by External Audit. A full review of the sustainability of the budget will be undertaken as part of the 2017/18 Budget.

**9.0 IMPLICATIONS**

**9.1 Finance**

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					

**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 Communities & Organisational Development and the Chief Financial officer have been consulted in the preparation of this report.

## 11.0 CONCLUSIONS

11.1 The Committee note the 2016/17 projected underspend of £87,000 for the Policy and Resources Committee as at Period 6, 30 September 2016.

## 12.0 BACKGROUND PAPERS

12.1 There are no background papers for this report.

**Policy & Resources Budget Movement - 2016/17****Period 6: 1st April - 30th Sept 2016**

Service	Approved Budget		Movements			Revised Budget
	2016/17 £000	Inflation £000	Virement £000	Supplementary Budgets £000	Transferred to EMR £000	
Finance	7,897	3	(78)	0	(100)	7,722
Legal & Property	1,496	0	0	0	0	1,496
Organisational Development, HR & Communications	1,642	0	0	0	0	1,642
Corporate Policy	190	0	0	0	0	190
Chief Exec	414	0	0	0	0	414
Miscellaneous	3,213	(342)	(28)	0	0	2,843
Totals	<u>14,852</u>	<u>(339)</u>	<u>(106)</u>	<u>0</u>	<u>(100)</u>	<u>14,307</u>

**Supplementary Budget Detail**

£000

External ResourcesInternal ResourcesFinanceLegalOrganisational Development, HR & CommunicationsCorporate PolicyChief ExecMiscSavings/Reductions0

**REVENUE BUDGET MONITORING REPORT**

**CURRENT POSITION**

**PERIOD 6: 1st April 2016- 30th Sept 2016**

Service	Approved Budget 2016/17 £000	Revised Budget 2016/17 £000	Projected Out-turn 2016/17 £000	Projected Over/(Under) Spend £000
Finance	7,897	7,822	7,612	(210)
Legal & Property Services	1,496	1,496	1,566	70
<b>Total Net Expenditure Environment, Regeneration &amp; Resources</b>	<b>9,393</b>	<b>9,318</b>	<b>9,178</b>	<b>(140)</b>
Organisational Development, Human Resources & Communications	1,642	1,642	1675	33
Corporate Policy	190	190	194	4
<b>Total Net Expenditure Education, Communities &amp; Organisational Development</b>	<b>1,832</b>	<b>1,832</b>	<b>1,869</b>	<b>37</b>
Chief Executive	414	414	392	(22)
Miscellaneous	3,213	2,843	2,881	38
<b>TOTAL NET EXPENDITURE</b>	<b>14,852</b>	<b>14,407</b>	<b>14,320</b>	<b>(87)</b>
Earmarked reserves		(100)	(100)	
<b>Total Net Expenditure excluding Earmarked Reserves</b>	<b>14,852</b>	<b>14,307</b>	<b>14,220</b>	<b>(87)</b>

**POLICY & RESOURCES****REVENUE BUDGET MONITORING REPORT****MATERIAL VARIANCES (EXCLUDING EARMARKED RESERVES)****PERIOD 6: 1st April 2016 - 30th Sept 2016**

Outturn 2015/16 £000	Budget Heading	Budget 2016/17 £000	Proportion of Budget £000	Actual to 30/09/16 £000	Projection 2016/2017 £000	Over/(Under) Budget £000
	<b><u>Finance/ICT</u></b>					
5,179	FIN - Employee Costs	5,260	2,511	2,465	5,136	(124)
378	ICT - Computer Hardware Purchase & Software Maintenance	453	76	420	478	25
(338)	Rev & Bens - Government Grants	(232)	(39)	(49)	(255)	(23)
0	Council Tax Prior Year	(305)	(51)	(191)	(375)	(70)
(37)	Rev & Bens - Income	(17)	(3)	(21)	(57)	(40)
	<b><u>Legal &amp; Property Services</u></b>					
1,597	Audit & legal- Employee Costs	1,076	348	369	1,100	24
(94)	Legal - Liquor Licences	(122)	(68)	(48)	(94)	28
	<b><u>Miscellaneous</u></b>					
2,219	Inflation Contingency	650	370	370	593	(57)
(362)	Internal Resource Interest	(326)	0	0	(226)	100
	<b><u>Chief Executive</u></b>					
369	Employee Costs	371	177	165	349	(22)
<b>8,911</b>	<b>TOTAL MATERIAL VARIANCES</b>	<b>6,808</b>	<b>3,321</b>	<b>3,480</b>	<b>6,649</b>	<b>(159)</b>

## EARMARKED RESERVES POSITION STATEMENT

## COMMITTEE: Policy &amp; Resources

<u>Project</u>	<u>Lead Officer/ Responsible Manager</u>	<u>Total Funding 2016/17</u>	<u>Phased Budget To period 6 2016/17</u>	<u>Actual To period 6 2016/17</u>	<u>Projected Spend 2016/17</u>	<u>Amount to be Earmarked for 2017/18 &amp; Beyond</u>	<u>Lead Officer Update</u>
		<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	
Modernisation Fund	Alan Puckrin	323	33	26	87	236	DAG overseeing developments including Schools On Line payments , EDRMS and Customer Service developments.
Welfare Reforms - Operational	Alan Puckrin	234	36	52	97	137	Funding temporary Posts.
Budget Development	Alan Puckrin	137	37	37	95	42	Uncommitted £46k. Assuming 50% of uncommitted funds to be utilised in 2016/17 along with £34k spend for temporary Grade G Greenock Town Centre post, £16k for PPP review, £20k for Social transport & £4k for budget development.
2013/18 Revenue Contingency	Alan Puckrin	318	70	105	209	109	Total uncommitted funds £125k. Spend for 2016/17 includes £65k for Grand Prix Boats, £40k for Chief Exec post advertisement, £20k for play schemes, £10k for contribution to Oxfam, £5k for Toll Boys and £4k for Gourrock Highland Games. The balance of the £65k spend assumes part of the uncommitted funds to be spent during the year. A further £49k is committed for play scheme spend in 2017/18.
Welfare Reform - Policy	Alan Puckrin	503	0	0	0	503	£325k allocated to HSCP / Finance in 2016/17. A further £313k allocated from the £503k balance in 2017/18.
Corporate Complaints Improvements	Steven McNab	80	0	0	22	58	Post for 2 years - Grade I filled 26th Sept 2016 and continue to Aug 2018.
HR Temporary Resources	Steven McNab	80	19	14	35	45	Two posts being funded from EMR for 2016/17. 1 PT Grade H and 1 Grade D post for 2 years.
Specialist Post - Equalities Officer to 31/03/17	Ruth Binks	46	17	17	40	6	Projected spend on Employee Costs up to 31/03/17 is £40k with £6k of EMR not required and can be written back to General Reserves at Year End.
Specialist Post - Information Governance to 31/03/17	Helen Watson	45	21	21	45	0	The spend relates to the Council's Information Governance Officer.
<b>Total Category C to E</b>		<b>1,766</b>	<b>233</b>	<b>272</b>	<b>630</b>	<b>1,136</b>	

## REVENUE BUDGET MONITORING REPORT 2016/17

## PERIOD 6 : 1st April 2016 to 30th September 2016

	Final Outturn 2015/16	Approved Budget 2016/17	Budget to Date 2016/17	Actual to Date 2016/17	Projected Outturn 2016/17
<b>PROPERTY COSTS</b>	<b>38,790</b>	<b>21,000</b>	<b>10,500</b>	<b>14,590</b>	<b>21,000</b>
Repairs & Maintenance 1	19,700	9,000	4,500	3,800	9,000
Rates 2	20,810	11,000	5,500	12,500	11,000
Property Insurance	(1,720)	1,000	500	(1,710)	1,000
<b>ADMINISTRATION COSTS</b>	<b>17,370</b>	<b>8,700</b>	<b>3,000</b>	<b>4,500</b>	<b>9,700</b>
Sundries	10,170	1,500	800	2,300	2,500
Commercial Rent Management Recharge	2,200	2,200	2,200	2,200	2,200
Recharge for Accountancy	5,000	5,000	0		5,000
<b>OTHER EXPENDITURE</b>	<b>101,230</b>	<b>100,700</b>	<b>45,200</b>	<b>2,890</b>	<b>100,700</b>
Christmas Lights Switch On	10,500	10,500	0		10,500
Christmas Dinners/Parcels	21,600	21,600	0		21,600
Gourock Highland Games	29,400	29,400	29,400		29,400
Armistice Service	6,710	8,300	0	1,640	8,300
Comet Festival	13,300	13,300	13,300		13,300
Fireworks	12,600	12,600	0		12,600
Society of the Innocents Rent Rebate	5,000	5,000	2,500	1,250	5,000
Bad Debt Provision	2,120				0
<b>INCOME</b>	<b>(114,870)</b>	<b>(139,010)</b>	<b>(69,500)</b>	<b>(62,100)</b>	<b>(132,510)</b>
Property Rental	(183,000)	(187,470)	(93,700)	(62,060)	(187,470)
Void Rents 3	68,640	50,460	25,200		55,460
Internal Resources Interest	(510)	(2,000)	(1,000)	(40)	(500)
Disposal of Land					
<b>NET ANNUAL EXPENDITURE</b>	<b>42,520</b>	<b>(8,610)</b>	<b>(10,800)</b>	<b>(40,120)</b>	<b>(1,110)</b>
<b>EARMARKED FUNDS</b>	<b>42,440</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL NET EXPENDITURE</b>	<b>84,960</b>	<b>(8,610)</b>	<b>(10,800)</b>	<b>(40,120)</b>	<b>(1,110)</b>

Fund Balance as at 31st March 2016

14,220

Projected Fund Balance as at 31st March 2017

15,330

## Notes:

**1 Repairs & Maintenance**

Significant repairs costs continue to be incurred in respect of vacant properties to bring them to an adequate condition to allow the property to be let out. An estimate of the repairs costs is currently being prepared and will be reported to future Committee. Should this estimate be in excess of existing Repairs & Maintenance budgets Officers will consider and recommend how any shortfall should be addressed.

**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 Current Empty Properties are:**Vacant since:

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

April 2015  
March 2015  
May 2010  
March 2014  
September 2012 (Under Offer)



---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b> 15 November 2016
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b> FIN/110/16/AP/AE
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b> 01475 712223
<b>Subject:</b>	<b>2016/17 General Fund Revenue Budget as at 30 September 2016</b>	

---

## 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 September 2016 and to update the Committee in respect of the position of the General Fund Reserves and Earmarked Reserves.

## 2.0 SUMMARY

- 2.1 The Council approved the 2016/17 Revenue Budget in March 2016 and at this meeting the Council also provisionally approved the 2017/18 Revenue Budget. The Council set a balanced budget for 2016/17 without the use of Revenue Reserves.
- 2.2 It can be seen from Appendix 1 that as at 30 September 2016 the General Fund is projecting a £0.313 million underspend which represents 0.16% of the net Revenue Budget. This is mainly due to:
- Continued reduction in demand for support from the Council Tax Reduction Scheme partly caused by the Council Tax Freeze.
  - Additional turnover savings across all Directorates.
  - Projected underspend within Teachers employee costs.
  - Over recovery of prior years' Council Tax.
  - The above are partially offset by reduced Internal Resources Interest, a projected shortfall in Planning Fee Income and Commercial & Industrial Rental Income plus increased waste disposal costs.
- 2.3 From Appendix 1 it can be seen that 2 Service Committees are currently projecting underspends. The Environment and Regeneration Committee is projecting an overspend mainly due to an under recovery of Planning Fee Income and Commercial & Industrial Rent Income plus a projected overspend within Waste Disposal due to an increase in tonnage treated. The Health and Social Care Committee is projecting an overspend primarily due to an increase in residential and nursing placements, an increase in homecare hours provided offset in part by a reduction in client packages within Physical Disabilities Service. It is envisaged that the projected overspend within the Health and Social Care Committee will be funded from the Integrated Joint Board Social Care Fund.
- 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 September 2016 expenditure totalled £1.201 million which equates to 18.52% of the projected spend in 2016/17. It can also be seen from Appendix 2 that at 30 September 2016 actual expenditure is 26.9% behind phased budget. The Chief Executive has reminded the Corporate Management Team to ensure Earmarked Reserve spend is maximised.
- 2.5 It can be seen from Appendix 2 that the Health and Social Care Committee has £2.584 million of Earmarked Reserves for 2016/17. This excludes those reserves relating to Asset Plans and Strategic Funds which, when included, increases the Earmarked Reserves

---

balance to £3.382 million. The Council formally transferred these Earmarked Reserves to the Integrated Joint Board at the last meeting on 20 September 2016.

- 2.6 Appendix 3 shows the latest position in respect of the General Fund Reserves and shows that the projected balance at 31 March 2017 is £4.251 million which is £0.451 million greater than the minimum recommended balance of £3.8 million. A decision was taken at the meeting on 20 September 2016 to defer any further decisions regarding the use of free Reserves until the 2017/18 Budget in February 2017.
- 2.7 The Scottish Government have indicated that the Spending Review will be announced on 15 December 2016 and will be for 2017/18 only.

### **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee note the latest position of the 2016/17 Revenue Budget and General Fund Reserves.
- 3.2 It is recommended that the Committee note that at the meeting on 20 September 2016, consideration of the use of free reserves has been deferred until considering the 2017/18 Budget in February 2017.

Alan Puckrin  
Chief Financial Officer

#### 4.0 BACKGROUND

- 4.1 The Council approved the 2016/17 Revenue Budget in March 2016 and at this meeting the Council also provisionally approved the 2017/18 Revenue Budget. The Council set a balanced budget for 2016/17 without the use of Revenue Reserves.

#### 5.0 POSITION AS AT 30 SEPTEMBER 2016

- 5.1 It can be seen from Appendix 1 that as at 30 September 2016 the General Fund is projecting an underspend of £0.313 million which equates to 0.16% of the net General Revenue Fund Budget.
- 5.2 It can be seen from Appendix 1 that 2 Service Committees are currently projecting underspends, the Environment and Regeneration Committee and the Health and Social Care Partnership are currently projecting overspends.
- 5.3 In summary the main issues relating to the four Service Committees are as follows:-

Policy & Resources Committee – Projected underspend of £87,000 (0.61%) mainly due to additional turnover savings achieved and a projected over recovery of prior years' Council Tax offset in part by a projected under recovery of Internal Resources Interest due to low interest rates.

Environment & Regeneration – Projected overspend of £184,000 (0.96%) mainly due to excess turnover savings projected offset by an overspend within residual waste contract due to an increase in tonnages treated, an under recovery within Commercial & Industrial rental income and a projected shortfall of Planning Fee Income.

Education & Communities - £160,000 (0.19%) projected underspend mainly due to additional turnover savings projected, a projected underspend within Teachers employee costs and a projected underspend for Biomass fuel. This has been offset in part by a projected overspend for Waivers within Sports and Leisure.

Health & Social Care – Projected overspend of £129,000 (0.26%) mainly due to an increase in Residential and Nursing care home beds and an increase in home care hours provided. This has been offset in part by a projected underspend in client packages within Physical Disability Services and additional turnover savings achieved. The Committee overspend should be funded from the Integrated Joint Board Social Care Fund.

- 5.4 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.
- 5.5 It can be seen that as at 30 September 2016 the Council has spent £1.201 million against a phased budget target of £1.643 million. This represents slippage of 26.9% against target and spend equates to 18.52% of the projected spend for 2016/17. Performance in respect of Earmarked Reserves is reviewed by the Corporate Management Team and reported in detail to each Service Committee.
- 5.6 The Earmarked Reserves includes £2.584 million for the Health and Social Care Committee and a further £0.798 million for Strategic Funds. As strategic delivery of these services has transferred to the IJB, the Council formally approved transfer of these reserves to the Integrated Joint Board at the last meeting on 20 September 2016.
- 5.7 Appendix 3 shows the projected General Fund Reserves position as at 31 March 2017. The projected balance at this date is shown as £4.251 million which is £0.451 million

greater than the minimum reserve balance of £3.8 million recommended and approved via the Reserves Strategy.

5.8 At the meeting on the 20 September 2016, it was decided that any further decisions regarding the use of free reserves be deferred until setting the 2017/18 Budget in February 2017.

## 6.0 OTHER FINANCIAL MATTERS

6.1 Since the 2016/17 Revenue Budget was approved by Council on 10 March 2016, the Scottish Government has indicated that there will be a one year Spending Review to be announced on 15 December 2016. This will mean a one year Grant Settlement for 2017/18 only will be available to the Council for the upcoming Budget exercise.

## 7.0 CONSULTATION

7.1 This report has been produced utilising 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 & Resources Committee**  
**Revenue Budget Monitoring Report**  
**Position as at 30th September 2016**

Committee	Approved Budget 2016/2017	Revised Budget 2016/2017	Projected Out-turn 2016/2017	Projected Over/(Under) Spend	Percentage Variance
	£,000's	£,000's	£,000's	£,000's	
Policy & Resources	14,852	14,307	14,220	(87)	(0.61%)
Environment & Regeneration	21,386	19,182	19,366	184	0.96%
Education & Communities <b>(Note 1)</b>	90,930	82,340	82,180	(160)	(0.19%)
Health & Social Care	48,815	48,777	48,906	129	0.26%
<b>Committee Sub-Total</b>	<b>175,983</b>	<b>164,606</b>	<b>164,672</b>	<b>66</b>	<b>0.04%</b>
Loan Charges (Including SEMP)	14,395	18,561	18,561	0	0.00%
Contribution to General Fund Reserve <b>(Note 2)</b>	260	445	445	0	0.00%
Contribution to / (from) Statutory Funds	(240)	(240)	(240)	0	0.00%
Earmarked Reserves	0	7,471	7,471	0	0.00%
<b>Total Expenditure</b>	<b>190,398</b>	<b>190,843</b>	<b>190,909</b>	<b>66</b>	<b>0.03%</b>
<b>Financed By:</b>					
General Revenue Grant/Non Domestic Rates	(163,552)	(163,997)	(163,997)	0	0.00%
Council Tax	(26,846)	(26,846)	(27,096)	(250)	0.93%
Integrated Joint Board - Social Care Fund	0	0	(129)	(129)	100.00%
<b>Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>(313)</b>	<b>(313)</b>	

**Note 1 - Reduction reflects loans charges and earmarked reserves.**

**Note 2 - Contribution is reflected in Appendix 3 General Fund Reserves Position.**

Earmarked Reserves Position Statement

Appendix 2

Summary

<u>Committee</u>	<u>Total Funding 2016/17</u>	<u>Phased Budget to 30 Sep 2016</u>	<u>Actual Spend To 30 Sep 2016</u>	<u>Variance Actual to Phased Budget</u>	<u>Projected Spend 2016/17</u>	<u>Earmarked 2017/18 &amp; Beyond</u>	<u>2016/17 %age Spend Against Projected</u>	<u>2016/17 %age Over/(Under) Spend Against Phased Budget</u>
	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>		
Education & Communities	4,365	531	420	(111)	2,096	2,269	20.04%	(20.90%)
Health & Social Care	2,584	571	449	(122)	2,469	115	18.19%	(21.37%)
Regeneration & Environment	2,856	308	60	(248)	1,291	1,565	4.65%	(80.52%)
Policy & Resources	1,766	233	272	39	630	1,136	43.17%	16.74%
	11,571	1,643	1,201	(442)	6,486	5,085	18.52%	(26.90%)

**Actual Spend v Phased Budget      Underspend = (£442k)      (26.90%)**

**Appendix 3**

**GENERAL FUND RESERVE POSITION**  
**Position as at 30/09/16**

	<u>£000</u>	<u>£000</u>
Balance 31/03/16		8773
Projected Surplus/(Deficit) 2016/17	313	
Contribution to General Fund Reserve 2016/17 <b>(Note 1)</b>	<u>445</u>	
		758
Proposals contained in the Budget Strategy Report (Subject to Approval):		
- One off use of reserves for 2017/19 Budget		(5100)
- Funding for I-Zones to 31/03/18		(180)
Projected Unallocated Balance 31/03/17		<u><u>4251</u></u>

**Minimum Reserve required is £3.8 million**

**Note 1 (One off Savings)**

SEMP Loans Charges not required 2016/17	260
Housing Benefit Subsidy (2017/18 £600k Saving Target)	100
Clyde Muirshiel Contribution (2017/18 £600k Saving Target)	28
UC Delivery Partnership Income (2017/18 £600k Saving Target)	17
Early Achievement of ASN Transport Savings	40
	<u><u>445</u></u>

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer/Corporate Director (Chief Officer) Inverclyde Health &amp; Social Care Partnership</b>	<b>Report No:</b>	<b>FIN/105/16/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>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to provide the Committee with an update on the impact on the Council of the ongoing Welfare Reform changes.

## 2.0 SUMMARY

- 2.1 The Inverclyde area has been selected for the next phase of Universal Credit Full Service with this to be implemented within Inverclyde on 23 November 2016. A delivery Partnership Agreement (SLA) is being agreed with the DWP. The Council will receive payment for services provided.
- 2.2 The number of Universal Credit claimants is expected to increase rapidly when UC Full Service is launched, with a spike when seasonal employment ends in January 2017. DWP provided projections of the number of claimants expected to be awarded UC, detailed in the table below. For comparison, 900 UC claims have been made since October 2015.

Greenock and Port Glasgow Jobcentres  
Projected UCFS: November 2016 until March 2017

Month	Nov 16*	Dec 16	Jan 17	Feb 17	Mar 17
Number of new UC awards each month	303	743	919	823	805

\*Part month

- 2.3 The latest position in respect of the Scottish Welfare Fund (SWF) and Discretionary Housing Payments is that both are currently projected to contain costs within available budgets however this is only after extra funding has been allocated directly from the Council's own resources to supplement DWP/Scottish Government Funding. It is anticipated that demand for both sources of funding will continue to grow as Universal Credit is rolled out and in the event that further funding is required then officers will report back to Committee.
- 2.4 The Council has received a response from ATOS in respect of the potential use of Duff Street, Greenock for medicals. For the reasons outlined in the report ATOS are not planning to use this location for medicals.
- 2.5 The Council is leading a bid on behalf of Inverclyde Financial Inclusion Partnership for approximately £2.35 million over 2017/20 funding from the Big Lottery and ESF. If successful the contract start date is February, 2017. Given the short timescales between bid submission and contract start, some extra costs will potentially be incurred to expedite matters. It is proposed that an allowance for up to £15,000 be funded from the Welfare Reform earmarked reserve for this purpose.



### **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee approve the use of up to £15,000 from the Welfare Reform Earmarked reserves to support the submission and potential implementation of the Big Lottery/ESF funding bid.
- 3.2 It is recommended that the Committee otherwise note the contents of the report.

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

**Brian Moore**  
**Chief Officer (HSCP)**

## 4.0 BACKGROUND

- 4.1 Committee receive 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 has set aside in excess of £1.2 million on a recurring basis from 2016/17 to meet the significant financial challenges generated by these changes.
- 4.2 Members have previously received a briefing in respect of Universal Credit and whilst numbers moving to Universal Credit have been relatively low this will significantly change in coming months with the roll out of Full Service to Inverclyde from late November, 2016.

## 5.0 UNIVERSAL CREDIT

- 5.1 The Council has worked with the DWP and the Financial Inclusion Partnership since the end of July 2016 to prepare for Universal Credit Full Service (UCFS) from 23 November 2016. The removal of eligibility criteria means that all working age welfare benefit claimants who make a new claim will be in scope and instead of claiming Job Seekers Allowance, Employment and Support Allowance, Housing Benefit, Income Support and Tax Credits will instead claim Universal Credit (UC). This means that UC will be claimed by not only those who are single and recently made unemployed, but also couples and families with children.
- 5.2 The number of Universal Credit claimants is expected to increase rapidly when UC Full Service is launched, with a spike when seasonal employment ends in January 2017. DWP provided projections of the number of claimants expected to be awarded UC, detailed in the table below. For comparison, 900 UC claims have been made since October 2015.

### Greenock and Port Glasgow Jobcentres

#### Projected UCFS: November 2016 until March 2017

Month	Nov 16*	Dec 16	Jan 17	Feb 17	Mar 17
Number of new UC awards each month	303	743	919	823	805

\*Part month

- 5.3 UCFS is almost entirely online with claimants being required to apply; maintain their claim; record work search activity; receive correspondence from the DWP; stay in touch and reply to messages sent by their work coach, all online.
- 5.4 Demand for local support services is expected therefore to increase and the Council is in the process of agreeing a revised Delivery Partnership agreement with DWP which sets out the respective roles and responsibilities. The Council's responsibilities include the provision of digital access and personal budgeting support. The agreement outlines the additional funding the Council will receive for the projected increase in demand for local services. DWP estimate that 5% of UC claimants require help with digital access and 7.5% need help with budgeting. Officers visited East Lothian Council who went live with UCFS in March 2016 who informed that the DWP's estimates are fairly accurate.
- 5.5 Appendix 1 shows the number of UC claimants with housing costs and the number of Council Tax Reduction (CTR) applicants. It should be noted that the CTR statistics before now may include repeat applicants however the data as at 11th October 2016 is the accurate position of the caseload on that date.
- 5.6 The important statistic to focus on is the low level of CTR applicants (111) against the number of UC claimants with housing costs (279) because it is expected that many more, although perhaps not all, with housing costs who have applied for UC would require help with their Council Tax payments.

- 5.7 This low level of CTR take-up mirrors the position in the other UCFS sites. Dialogue has started locally with the DWP about how they can encourage applications and at a meeting in Inverclyde, Scottish Government officers were asked to consider simplifying the application process. In the meantime, procedures are being reviewed around how the Council can engage and encourage potential applicants to apply; additionally local Housing Associations are encouraging their tenants.
- 5.8 Universal Credit (UC) is structured to make monthly payments including a housing support element to one member of the household. Experience to date is that claimants are struggling to manage particularly when they first claim. This places additional pressure on the Scottish Welfare Fund and new burdens on housing providers to collect rent. Average Crisis Grants for those on UC who until now are single people without dependants average £111 compared with £77 for all other applicants. UC Full Service brings couples and families for the first time onto UC meaning not only more applications are anticipated but the average grant level will increase even further.
- 5.9 Housing providers have the option of applying for housing cost payments to be made directly to them when tenants accumulate arrears, with 30% of Scottish tenants having their rent paid direct. Although budgeting support is available, the experience so far is that UC claimants are reluctant to take up this offer.
- 5.10 The Financial Inclusion Partnership has organised training to ensure services are prepared for the changes. Training will be delivered by the DWP Welfare Reform team and a specialist from HSCP Advice Services who will speak about local support provision. More than 300 delegates from more than 30 services across Inverclyde will attend.

## **6.0 REDUCED BENEFIT CAP**

- 6.1 The reduced Benefits Cap limits the amount of benefit most working age couples and families can get to £20,000 with £13,400 being the upper limit for single people. This is due to be introduced in Inverclyde from early November 2016. The latest information released by the Department for Work and Pensions indicates that 56 households in Inverclyde where neither the householder nor their partner are employed are expected to have their housing benefit award reduced as a result of the cap.
- 6.2 The average weekly housing benefit reduction will be £47, with the highest reduction expected to be £126. Discretionary Housing Payment can assist with 50% of the shortfall and an application form is sent from the benefits service to the customer immediately after the service is instructed by the DWP to make the reduction.
- 6.3 As well as DWP being in touch with those expected to be affected, arrangements have been put in place for HSCP Advice Service, Community Learning and Development and other local support organisations to help those affected understand the impact; to advise on help available to prepare for employment which will remove the household from the cap or if appropriate to determine exemption by the qualification for certain welfare benefits. These arrangements will continue as new claimants are affected over time.

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

- 7.1 Appendix 2 shows Scottish Welfare Fund (SWF) payments up to 30 September 2016. The level of grants awarded is about £20,000 ahead of phased budget for the 2016/17 Scottish Government programme funding. This is met by the balance carried forward from 2015/16 and the allocation of £100k from the recurring Welfare Reforms budget. This indicates an underlying budget pressure for future years.
- 7.2 The last update report informed that the Scottish Public Services Ombudsman started its new role as SWF independent reviewer. Since then one request for review, supported by an advocacy service, has been referred to the SPSO. The outcome and any recommendations will be provided in a future report.

- 7.3 Appendix 2 shows that the total projected expenditure for DHP is £976,000. The mitigation of the SSSC for those currently affected and assuming their awards continue to year end is £901,000 against an upper limit of £974,000 of external funding specifically for this measure. The projected cost of DHP assuming 100% uptake for the reduced Benefits Cap is £27,000 with £48,000 meeting pressures as a result of other welfare reforms.

## **8.0 PERSONAL INDEPENDENCE PAYMENTS**

- 8.1 A formal request was made to the DWP to increase the use of their Duff Street, Greenock premises for medicals to save clients from travelling to Glasgow for assessments. A response has been received from ATOS advising that the journey time from Inverclyde to Glasgow City Centre falls within the agreed threshold of 90 minutes by public transport or 60 minutes by car to attend assessments therefore they will not utilise a new site. They have also advised that clients are able to ask for a home consultation if mobility or other health conditions mean that travelling the distance required will cause them difficulty as they have a home consultation health professional based in PA14 who carries out such assessments and appointments can easily be scheduled via their team.
- 8.2 The Advice Services team continues to support clients who are applying or migrating to PIP. A further snapshot of 18 recent cases referred from Revenue and Benefits highlighted the following:
- 15 related to DLA/PIP migration cases or renewal claims;
  - 3 related to new claims with all 3 resulting in a nil award;
  - Of the 15 migration/renewal cases, 13 (87%) received a reduction in entitlement compared to their previous award. 2 received an increase in overall entitlement;
  - Out of the 15, 7 involved consideration of previous awards of Enhanced/High Rate Mobility. On renewal all 7 were unsuccessful in terms of securing a comparable award. If on Motability all 7 stand to lose their Motability vehicle;
  - The average loss of entitlement was £67.86 per week, £3582.72 per year;
  - The 2 claimants who secured an increase in entitlement both received an additional £11.50 per week, £598 per year.
- 8.3 Examples of client impact include one client whose DLA award of £139.75 per week was reduced to a PIP award of £21.80 per week. Another client's loss of £55.10 of Standard Rate Care became a cumulative loss of £125.72 per week as a result of subsequent reductions in HB and CTR. Advice Services will seek to engage with all 18 clients to ascertain acceptance of DWP decision or if assistance is required to challenge same.

## **9.0 EXTERNAL FUNDING BID**

- 9.1 Big Lottery Fund Scotland and European Social Fund have developed a partnership to provide £17.3 million which will be awarded to 5 local authorities to fund strategic interventions aimed to support financial inclusion and capability for disadvantaged households. Inverclyde has been selected as one of the five local authorities and the nominal allocation is £2.35million for 2017-2020 with one contract being awarded in each local authority area. Inverclyde Financial Inclusion Partnership has developed a strong consortium bid involving a range of local and national partners, with the Council as lead partner. The Invitation to Tender (ITT) has finally been advertised with a closing date of 7 November 2016 and if successful will have a contract start date of February 2017.
- 9.2 Given the short timescales between bid submission and contract start, some extra costs will potentially be incurred to expedite matters. It is proposed that an allowance for up to £15,000 be funded from the Welfare Reform earmarked reserve for this purpose.

## 10.0 OTHER ISSUES

- 10.1 The Deputy Director, DWP Business Finance and Housing Delivery Directorate wrote to councils in September emphasizing local authorities' continuing role in the delivery of Housing Benefit for working age claimants until 2022 and beyond for pension age claimants. Responsibility for a small number of Supported Exempt Accommodation claims will remain with the Council with the maintenance of the "stock" working age Housing Benefit claims until claimants migrate to Universal Credit, expected to take place between July 2019 and March 2022.
- 10.2 The Committee will be aware that there are significant changes occurring to the Council Tax system with effect from 1 April 2017. Whilst a more detailed report on this area is elsewhere on the agenda, there is also a knock on impact to the Council Tax Reduction Scheme.
- 10.3 Discussions are ongoing between Cosla and the Scottish Government as part of the Spending Review regarding the financial impact of the increase in Council Tax reduction payments to ensure that Councils are fully funded for these policy changes.

## 11.0 IMPLICATIONS

### 11.1 Finance

As detailed in the report.

#### Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Earmarked Reserves	Welfare Reform	2016/17	15		Potential costs incurred in supporting submission and implementation of BLF/ESF bid.

Annually Recurring Costs/ (Savings)

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

### 11.2 Legal

There are no legal implications arising from this report.

### 11.3 Human Resources

There are no HR implications arising from this report.

### 11.4 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.

## 11.5 **Repopulation**

There are no repopulation implications arising from this report.

## 12.0 **LIST OF BACKGROUND PAPERS**

12.1 None

Universal Credit - Inverclyde - cumulative stats

Appendix 1

UC meeting	Inverclyde UC Caseload			Evidence of Earnings after 3 months	No. of UC claimants with Housing Costs (approx.)	Council Tax Reduction - number of applicants on UC	No. of SWF Grants
	Greenock JCP	Port Glasgow JCP	Total				
1.12.15	61	35	96	not applicable	19	10	12
12.1.16	127	57	184	not applicable	47	32	33
23.2.16	229	115	344	32%	58	53	52
30.3.16	342	156	498	39%	100	84	62
24.5.16	418	192	610	34%	206	107	67
27.7.16	563	255	818	35%	244	117	72
31.8.16	593	268	861	35%	264	136	81
11.10.16	608	277	885	27%	279	111*	94

Notes

1. Caseload is the number of individuals in receipt of Universal Credit either individually or as part of a couple
2. "Evidence of Earnings after 3 months" is the percentage of customers with earnings included in the assessment of their UC award 3 months after the date they first claimed UC
3. "Council Tax Reduction (CTR) - number of applicants on UC" at 11th October 2016 is the number of active CTR claims on that date. Prior to this the count represented the total number of CTR applications received, this could include repeat claims

**Scottish Welfare Fund**  
**30<sup>th</sup> September 2016**

Calls Answered	4875		
Applications	2308		
Applications Granted	1601	69.37 %	
Applications Refused	351	15.21%	Note 3
Applications Withdrawn	304	13.17%	
In Progress	52	2.25%	
Referrals to DWP	116		Note 2
	<u>Spend</u>	<u>Budget</u>	<u>Spend</u>
	<u>£000</u>	<u>£000</u>	<u>%</u>
Crisis Grant paid (1064)	82.1	195.8	41.93%
Community Care Grants paid (552) (includes 15 applications paying both CCG & CG)	282.8	655.5	43.14%
	<u>364.9</u>	<u>851.3</u>	42.86%

**Note 1** 1<sup>st</sup> Tier Reviews = 27 (1.20%)  
1<sup>st</sup> Tier Reviews Upheld in Customer Favour = 12 (44.44%)  
2nd Tier Reviews = 1 out of 25 1<sup>st</sup> tier review decisions (4%)  
2nd Tier Reviews Upheld in Customers Favour = awaiting SPSO response (0%)

**Note 2** Referrals to DWP relates to customers who are awaiting payment of a new claim for Universal Credit JSA / ESA from DWP. In these circumstances an application for an advance payment of benefit, repayable to the DWP can be made.

**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 £681,000 to which is added a residual underspend from 2014/15 of £70,000 plus £100,000 from the Welfare Reforms Budget



## **Discretionary Housing Payments**

**30<sup>th</sup> September 2016**

### Renewals

Renewals - approved	1327	(93.58%)	
Renewals - refused	12	(0.85%)	Applicants no longer meet priority group criteria
Renewals – not eligible	79	(5.57%)	No entitlement to DHP because Housing Benefit has stopped

### New Applications

New Applications Received to date	338		
Applications Approved	195	(57.69%)	
Applications Refused	88	(26.04%)	
Applications - No Action	13	(3.85%)	DHP paid as 'Renewal'
Awaiting Supporting Evidence	0	(0%)	
New Applications still to be assessed	42	(12.43%)	

### £000

DHP paid to date	489		
DHP Commitments Includes Non-SSSC (£45k)	457		Non-SSSC budget: £119k
New applications to be assessed	30		Estimate based on current average award £13.64
Total Projected Spend (current applications)	<u>976</u>		Anticipate more demand following implementation of UC Full Service and Reduced Benefits Cap
Reviews requested	7	(0.43%)	

### SSSC

Households affected by SSSC at 1.10.16	1317		
Households receiving DHP at 1.9.16	1280	(97.19%)	
SSSC spend (based on applications in payment at 30.9.16)	£901k		Scottish Government SSSC Projection: £974k

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/106/16/AP/KJ</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>TREASURY MANAGEMENT – MID-YEAR REPORT 2016/17</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to advise Members of the operation of the treasury function and its activities for the first six months of 2016/17 as required under the terms of Treasury Management Practice 6 ("TMP6") on "Reporting Requirements and Management Information Arrangements".

## 2.0 SUMMARY

- 2.1 As at 30 September 2016 the Council had gross external debt (including PPP) of £274,977,928 and investments of £43,725,926. This compares to gross external debt (including PPP) of £280,951,047 and investments of £51,529,212 at 31 March 2016.
- 2.2 The Council is projected to be underborrowed by £34,073,000 compared to its Capital Financing Requirement as at 31 March 2017. This is a reduction in projected underborrowing of £1,826,000 from the estimate of £35,899,000 in the 2016/17 Treasury Management Strategy. The Council has undertaken no borrowing so far in 2016/17 and no borrowing is projected for the remainder of the year.
- 2.3 The average rate of return achieved on investments during the first six months of 2016/17 was 0.75% which exceeds the benchmark return rate for the year of 0.38% by 0.37% and resulted in £87,000 of additional interest on investments for the Council.
- 2.4 During the first six months of 2016/17 the Council did not undertake any debt restructuring and operated within the required treasury limits and Prudential Indicators for the year set out in the Council's Treasury Policy Statement, annual Treasury Strategy Statement, and the Treasury Management Practices.

## 3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee notes the contents of the Mid-Year Report on Treasury Management for 2016/17 and the ongoing work to ensure the delivery of financial benefits for the Council.
- 3.2 It is also recommended that the Mid-Year Report be remitted to the Full Council for approval.

Alan Puckrin  
Chief Financial Officer

## 4.0 BACKGROUND

- 4.1 The Council is required by the CIPFA Code of Practice on Treasury Management 2011 and the CIPFA Prudential Code for Capital Finance in Local Authorities to produce a mid-year treasury management review of activities and prudential and treasury indicators for 2016/17.
- 4.2 Treasury Management in this context is defined as: “The management of the local authority’s cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”
- 4.3 A glossary of treasury management terms is attached as Appendix 1.

## 5.0 MID-YEAR REVIEW

- 5.1 The treasury management issues arising during the first six months of 2016/17 were:
  - a. The Council’s debt (including PPP) has reduced during the period by £5.973m due to repaying maturing debt without undertaking new borrowing.
  - b. The Council’s investments have reduced by £7.803m due to repaying debt from existing funds and regular cash flow movements.
  - c. As at 31 March 2016 the Council had under borrowed against its capital financing requirement by £21.210m. The latest projection is for the under borrowing to increase to £34.073m at 31 March 2017. Under borrowing means that the Council is using funds it currently has to cash flow capital expenditure rather than bringing in new funds from borrowing. The projected level of under borrowing is considered manageable but the position is kept under review in light of Council capital financing and other funding requirements.
  - d. The outcome of the EU Referendum has resulted in increased and ongoing volatility in the financial markets and economic uncertainty in the UK and around the world. As well as large falls in exchange rates for the pound, PWLB borrowing rates fell to unprecedented levels, the Bank of England increased stimulus to the economy (through further Quantitative Easing), and cut the UK Bank Rate from the record low of 0.50% (set in March 2009) down to 0.25%.
  - e. The Council’s treasury advisers are forecasting a further cut in the Bank Rate to 0.10% in Quarter 4 of 2016 although this will depend on the economic conditions and outlook.
  - f. During the period PWLB rates for new borrowing had been expected to increase by between 0.10% and 0.30% but the uncertainty following the EU Referendum led to rates falling by between 0.30% and 0.88%. The volatility during the 6-month period resulted in spreads between the high and low rates for some loan periods of up to 1.22% (e.g. a new borrowing rate that reached 3.09% later fell to a low of 1.87%).
  - g. The Council’s treasury advisers expect PWLB rates to rise gently during the rest of the year but the extent and speed of increase will depend on economic factors affecting the UK and global markets.
  - h. No borrowing has been undertaken during 2016/17 to date and no borrowing is projected for the rest of the year.
  - i. The Council did not undertake any debt restructuring during the first six months of 2016/17 and remained within its Prudential Indicator and Treasury Management limits.
  - j. Two of the Council’s LOBO loans had their “lender option” feature removed by the lender (as they did with many of their clients) and so these market loans have become fixed rate loans at their existing interest rates.
  - k. Investment returns were expected to remain relatively low and this was indeed the position during the period, with rates falling further after the Bank Rate cut in August (as did the rates on the Council’s Deposit and Notice Accounts).
  - l. The Council’s investments earned a rate of return of 0.75% during the period and outperformed the benchmark return of 0.38% resulting in additional income to the Council of £87,000.
  - m./

- m. All investments were in accordance with the Council's investment policy and no institutions with which investments were made had any difficulty in repaying those investments and interest in full during the period.
- n. The Council's investment performance is due to undertaking fixed term investments and placing funds in notice accounts at interest rates that were above the benchmark with counterparties that have high creditworthiness (the Bank of Scotland and Santander UK) and in accordance with the Council's investment strategy.

5.2 The UK Government are continuing with proposals to sell their remaining shares in the Lloyds Banking Group which includes the Bank of Scotland who are the Council's bankers and with whom the Council has regularly undertaken fixed term deposits. On 7 October the UK Government announced that they would put in place a further trading plan for the sale of these shares over a period of up to 12 months. The removal of government ownership does not affect the strength or stability of the Bank but may cause the Council to reduce the maximum period for investments with the Bank under the Investment Strategy and affect the likely return on any fixed term funds invested with the Bank in future.

The Council's current contract with the Bank of Scotland for banking services is for 5 years from 1 April 2012 until 31 March 2017 with an option to extend for a further two 1 year periods until 31 March 2019. It is proposed initially to exercise the option for the first of the 1 year periods to extend the service until 31 March 2018.

5.3 The Council's debt position was as follows:

	At 31 March 2016	At 30 September 2016
	£	£
Total Excluding PPP	213,224,047	208,204,928
PPP Debt	67,727,000	66,773,000
Total Including PPP	280,951,047	274,977,928

Further detail is given in the following table:

	At 31 March 2016		At 30 September 2016		Movement In Period
	Principal	Rate	Principal	Rate	Principal
	£000		£000		£000
Fixed Rate Funding:					
- PWLB	110,684		105,245		(5,439)
- Market *	71,000		55,000		See * Below
	181,684	4.05%	160,245	3.98%	(5,439)
Variable Rate Funding:					
- PWLB	0		0		0
- Market *	31,400		47,400		See * Below
- Temporary #	140		560		420
	31,540	4.96%	47,960	4.86%	420
Total Debt (Excl PPP)	213,224	4.18%	208,205	4.18%	(5,019)
PPP Debt	67,727		66,773		(954)
Total Debt (Incl PPP)	280,951		274,978		(5,973)

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

# - Temporary Loans have increased due to Scottish Government requirements that, from 1 April 2016, funds held by the Council on behalf of the Common Good and Trust Funds are to be treated as borrowing for Treasury Management purposes.

5.4 The Council's investment position was as follows:

	At 31 March 2016		At 30 September 2016		Movement In Period
	Principal	Return	Principal	Return	Principal
	£000		£000		£000
Investments:					
- Fixed Term Deposits	25,500	0.85%	24,000	0.74%	(1,500)
- Notice Accounts (95 Day and 120 Day)	14,529	0.95%	14,572	0.70%	43
- Deposit Accounts	11,500	0.50%	5,154	0.25%	(6,346)
Totals	51,529	0.80%	43,726	0.67%	(7,803)

Maximum level of investments in Period: £53,962,026 on 16 September 2016

Minimum level of investments in Period: £41,178,926 on 27 September 2016

Daily average for the period: £47,044,665

5.5 2016/17 Latest Projection Compared to Estimates in 2016/17 Strategy

The latest 2016/17 projection compared to the estimates in the 2016/17 strategy:

	2016/17 Estimate	2016/17 Latest Projection
	£000	£000
<u>Borrowing Requirement</u>		
New borrowing	0	0
Alternative financing requirements	0	0
Replacement borrowing	5,000	0
TOTAL	5,000	0
<u>Prudential/Treasury Management Indicators</u>		
	£000	£000
Gross external debt including PPP (As at 31 March 2017)	278,842	273,935
Capital financing requirement (As at 31 March 2017)	314,741	308,008
(Under)/over borrowing against CFR	(35,899)	(34,073)
Net external borrowing and capital financing requirement (As at 31 March 2017)	£000 (66,464)	£000 (66,886)
Capital expenditure	£000	£000
• Capital Programme	33,632	29,539
• PPP Schools/Finance Leases (incl. accounting adjustments)	(1,908)	(1,908)
Total	31,724	27,631
Ratio of financing costs (including PPP/ Finance Leases) to net revenue stream	13.38%	13.23%
Incremental impact of capital investment decisions - incremental increase in council tax (band D) per annum (use of capital receipts and prudential borrowing for capital expenditure)	£2.61	£2.03

5.6 2016/17 Mid-Year Position Compared to Limits in 2016/17 Strategy

The 2016/17 mid-year position compared to limits in the 2016/17 strategy:

	2016/17 Limits	2016/17 Mid-Year Actual Position
<u>Prudential/Treasury Management Indicators</u>		
Authorised limit for external debt	£000	£000
• Borrowing	229,000	208,205
• Other long term liabilities	68,000	66,773
	297,000	274,978
Operational boundary for external debt		
• Borrowing	£000	£000
• Other long term liabilities	219,000	208,205
	68,000	66,773
	287,000	274,978
Upper limit for fixed interest rate exposure	130%	97%
Upper limit for variable rate exposure	40%	3%
Upper limit on sums invested for periods longer than 364 days (Actual is maximum in period)	£000 10,000	£000 0
Limits on fixed rate borrowing maturing in each period (LOBOs included based on call dates and not maturity dates) at 31 March 2017		
• Under 12 months	45%	0.3%
• 12 months and within 24 months	45%	15.9%
• 24 months and within 5 years	45%	12.6%
• 5 years and within 10 years	45%	15.7%
• 10 years and within 30 years	45%	5.5%
• 30 years and within 50 years	45%	25.0%
• 50 years and within 70 years	45%	25.0%
<u>Council Policy Limits</u>		
Maximum Percentage of Debt Repayable In Year	25%	19.2%
Maximum Proportion of Debt At Variable Rates	45%	23.0%
Maximum Percentage of Debt Restructured In Year	30%	0.0%

The forecast Investment Balances for 2016/17 required under Investment Regulation 31 and the actual position at 30 September 2016 is shown in Appendix 2. An analysis of the cash balances managed in-house is shown in Appendix 3.

5.7 The forecast from the Treasury Advisors in the 2016/17 Strategy for the Bank Rate as at 31 March and the latest forecast for the Bank Rate are:

	Forecast Per 2016/17 Strategy	Latest Forecast
2016/17	0.75%	0.10%
2017/18	1.25%	0.10%
2018/19	1.75%	0.25%

- 5.8 The Council's investment policy for the year is governed by Scottish Government Investment Regulations, which was implemented in the annual investment strategy approved by the Council on 7 April 2016. This policy sets out the approach for choosing investment categories and counterparties, and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data such as rating outlooks, credit default swaps, bank share prices etc.
- 5.9 All investments were in accordance with the policy and no institutions with which investments were made had any difficulty in repaying investments and interest in full during the period.

The result of the investment strategy undertaken by the Council in the first six months of 2016/17 is as follows:

Average Investment	Rate of Return (gross of fees)	Benchmark Return (3 month LIBID uncompounded)
£47,044,665	0.75%	0.38%

The Council have outperformed the benchmark by 0.37% resulting in additional income to the Council of £87,000. Opportunities for the Council to out-perform the benchmark rate are becoming fewer due to more standardisation of rates and periods offered.

## 6.0 IMPLICATIONS

### Legal

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

### Finance

- 6.2 Through the achievement of exceeding the investment benchmark return rate, the Council has benefited from additional returns of £87,000. The Council utilises Treasury Management as part of the overall Financial Strategy. Officers will continue to investigate borrowing and investment opportunities to bring financial benefits to the Council, all within the Treasury Management Policy.

### Human Resources

- 6.3 None

### Equalities

- 6.4 None

### Repopulation

- 6.5 None

## 7.0 CONSULTATIONS

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

## **8.0 LIST OF BACKGROUND PAPERS**

- 8.1 CIPFA - Treasury Management in the Public Services – Code of Practice and Cross-Sectoral Guidance Notes – 2011 Edition  
Inverclyde Council – Treasury Management Strategy 2016/17.



**TREASURY MANAGEMENT**  
**GLOSSARY OF TERMS**

**Authorised Limit for External Debt**

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

**Bank of England**

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

**Bank Rate**

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

**Call Date**

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

**Capital Expenditure**

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

**Capital Financing Requirement**

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

**CIPFA**

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

**Counterparty**

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

**Credit Ratings**

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

The highest credit rating is AAA.

**European Central Bank**

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

**Eurozone**

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

### Federal Reserve

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

### Fixed Term Deposit

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

### Gilt Yields

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

### Gilts

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

### Gross Domestic Product

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

### Growth

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

### Incremental Impact of Capital Investment Decisions

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

### Inflation

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

### Investment Regulations

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

### LIBID

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

### LIBOR

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

### LOBO

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

### MPC

The MPC or Monetary Policy Committee is a committee of the Bank of England that meets regularly during the year (in meetings over 2 days) to set the Bank Rate for the UK.

### Operational Boundary

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

### Prudential Code

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

### Prudential Indicators

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

### PWLB

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

### PWLB Certainty Rates

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

### PWLB Rates

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

### Quantitative Easing

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

### Spread

For interest rates the spread is the difference between the highest and lowest rate for that interest rate over a period.

### Treasury Management Code

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

### Treasury Management Indicators

These are Prudential Indicators specifically relating to Treasury Management issues.

### Treasury Management Practices (TMPs)

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

### Yield

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

**FORECAST OF INVESTMENT BALANCES  
ESTIMATE FOR 2016/17 AND ACTUAL AT 30 SEPTEMBER 2016**

Investment Regulation 31 requires the Council to provide forecasts for the level of investments. The estimate for 2016/17 and the actual as at 30 September 2016 are:

	<b>2016/17</b>	<b>2016/17</b>
	<b>Estimate For Year</b>	<b>Actual For 1 April 2016 To 30 September 2016</b>
	£000	£000
Cash balances managed in-house		
- At Start of Year	50,124	51,529
- At End of Year/Period	30,565	43,726
- Change in Year/Period	(19,559)	(7,803)
- Average daily cash balances	40,345	47,045
Holdings of shares, bonds, units (includes local authority owned company)		
- At Start of Year	2	2
- Purchases	0	0
- Sales	0	0
- At End of Year/Period	2	2
Loans to local authority company or other entity to deliver services		
- At Start of Year	600	602
- Advances	0	0
- Repayments	35	16
- At End of Year/Period	565	586
Loans made to third parties		
- At Start of Year	2,212	2,212
- Advances	3	0
- Repayments	28	27
- At End of Year/Period	2,187	2,185
Total of all investments		
- At Start of Year	52,938	54,345
- At End of Year/Period	33,319	46,499
- Change in Year/Period	(19,619)	(7,846)

**CASH BALANCES MANAGED IN-HOUSE  
ACTUAL AS AT 1 APRIL 2016 AND 30 SEPTEMBER 2016**

The following is an analysis of cash balances managed in-house as at 1 April 2016 and at 30 September 2016:

	<b>As At 1 April 2016</b>	<b>As At 30 September 2016</b>
	£	£
<u>Fixed Term Deposits</u>		
Bank of Scotland	25,500,000	24,000,000
	25,500,000	24,000,000
Average Interest Rate	0.85%	0.74%
<u>Notice Accounts (95 Day and 120 Day)</u>		
Santander UK	14,528,714	14,572,027
	14,528,714	14,572,027
Average Interest Rate	0.95%	0.70%
<u>Deposit Accounts</u>		
Bank of Scotland	11,500,000	5,153,400
Santander UK	498	499
	11,500,498	5,153,899
Average Interest Rate	0.50%	0.25%
TOTAL	51,529,212	43,725,926
Average Interest Rate	0.80%	0.67%

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/111/16/AP/KJ</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>Insurance Fund Position as at 30 September 2016</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to advise the Committee of the position of the Council's Insurance Fund as at 30 September 2016 and to highlight any relevant issues.

## 2.0 SUMMARY

- 2.1 The number of insurance claims received for 2015/16 was lower than for 2014/15 largely due to a lower number of public liability claims (although these claims can arise after the year in which the incident occurred). The number of claims has fallen year-on-year over the last 5 years.
- 2.2 As at 30 September 2016 the Insurance Fund had a balance of £4.223 million which is £83,700 lower than the previous year. The movement is due to charges to the Fund for insurance claims and actuarial review/property revaluation costs exceeding contributions to the Insurance Fund.
- 2.3 Estimated liabilities on claims outstanding at 30 September 2016 are £1.5 million with a provision for clawback on Municipal Mutual Insurance (MMI) claims having been made of £392,557.
- 2.4 An Actuarial Review was undertaken this year which concluded that, whilst the Council currently has slightly more in the Fund than the Actuary considers to be prudent, not enough is being put into the Fund on an ongoing annual basis. The issue of Fund contributions is being partially addressed as part of the General Fund Revenue Budget 2016/17 but it may be that further increases are required in future years.
- 2.5 The Insurance Fund may be affected by changes to the law such as the Scottish Government's proposed bill to remove the 3 year time bar on claims for child abuse whilst in local authority care (taking the period for such claims back to 1964).

## 3.0 RECOMMENDATION

- 3.1 It is recommended that the Committee note the contents of this report and the Insurance Fund position as at 30 September 2016.

Alan Puckrin  
Chief Financial Officer

## **4.0 BACKGROUND**

- 4.1 The Council's insurance strategy involves purchasing insurance for some types/levels of risks but also self-insuring for other risks by setting aside monies in an Insurance Fund.

The strategy was approved at the September 2003 meeting of the Corporate Business Committee following a review of available options by the officers of the Council and also on advice from the Council's Insurance Brokers.

- 4.2 This approach has delivered significant savings in both external premiums and internal recharges.

## **5.0 2015/16 PERFORMANCE**

- 5.1 The overall insurance picture for 2015/16 has, so far, seen a decrease in the number of claims received compared to 2014/15. As can be seen in Appendix A, the Council has so far received 186 claims for the 12 month period which is a 17.7% decrease on claims received to date for insurance year 2014/15. It should, however, be noted that claims relating to a year can be made in future years.

- 5.2 Last year the report showed 1,561 claims for the previous 5 insurance years (2010/11-2014/15) whereas Appendix A shows 1,467 claims when the position is moved forward a year (for 2011/12-2015/16), showing a reduction of 94 claims or 6% on the 5 year rolling basis.

- 5.3 The Fund balance decreased by £83,700 during the year to 30 September 2016 due to charges for insurance claims and actuarial review/property revaluation costs exceeding contributions to the Insurance Fund. The estimated liabilities have reduced from £1.76m last year to £1.49m this year.

- 5.4 In addition, part of the Fund has been set aside as a provision for the potential future clawback of claims relating to MMI. Further background to this issue is given in paragraph 6.3. When the estimated liabilities and the provision for the MMI clawback are taken into consideration, there is a balance of £2.3 million in the Fund for future claims as at 30 September 2016.

- 5.5 The Fund is the subject of an actuarial review every 3 years with the latest review having been undertaken this year. The review concluded that, whilst the Council currently has slightly more in the Fund than the Actuary considers to be prudent (around £600k), not enough is being put into the Fund on an ongoing annual basis (contributions being around £300k short per year). The issue of Fund contributions is being partially addressed as part of the General Fund Revenue Budget 2016/17 but it may be that further increases are required in future years.

- 5.6 As advised above, Committee should note that some insurance claims may appear several years after the period to which they relate and that the claims paid in a year do not relate solely to the claims arising in that year but also cover some claims arising for previous years. The current balance on the Fund ensures that the self-insurance position remains encouraging.

5.7 Appendix B shows that payments made by the Council's External Insurers continue to be significantly less than the premium paid although there are estimated outstanding liabilities to be borne by the Insurers of over £280,000 relating to ongoing claims.

Factors affecting the premiums charged and the claims payments by Insurers include:

- (a) For Property Insurance the Insurers are effectively providing disaster cover and it is hoped by both parties that the Insurer will never be asked to pay out against this policy.
- (b) For Liability Insurance the Insurers deal with the longer-tailed claims such as Employer's Liability and these claims take longer to be generated and finalised.

5.8 High volume, low value claims for public liability continue to be dealt with in-house, whilst the Insurers deal with all other claims.

5.9 One area of particular interest relates to claims arising from road or pathway defects. The claim statistics for the last 3 insurance years are as follows:

Insurance Year	No. of Claims	% of Total Claims For Year	Claims Rejected/ Dropped	Claims Paid		Claims Outstanding	
				No. of Claims	Actual Cost of Claims	No. of Claims	Amounts Claimed **
					£000		£000
2013/14	165	54.8%	116	40	79	9	68
2014/15	102	45.1%	71	15	20	16	310
2015/16	57	30.6%	18	7	1	32	218

\*\* These amounts are subject to review as claims progress through the insurance process but are likely to reduce.

It should be noted that, whilst some claims can be resolved relatively quickly, the legal processes for dealing with claims can result in some claims taking some time to resolve.

## 6.0 OTHER ISSUES

6.1 There are ongoing issues on 3 areas affecting the Council's insurance position:

- a. Pleural Plaques
- b. Municipal Mutual Insurance (MMI)
- c. Legal Changes.

### 6.2 Pleural Plaques

The Damages (Asbestos-related Conditions) (Scotland) Act 2009 provides that asbestos-related and certain other asymptomatic asbestos-related conditions are compensable in Scotland if it can be established that the conditions were caused by negligent asbestos exposure. The insurance industry challenged the legal validity of the Act but failed at the Supreme Court in October 2011. As advised in previous years, it is expected that the Act will result in additional claims and costs to be borne by insurers although the impact is unknown.

### 6.3 MMI

MMI is a former insurer which provided insurance primarily to local authorities. As a result of financial difficulties, MMI ceased to write new insurance business in September 1992 and "went into run-off" i.e. it continues but only to pay any claims that were outstanding or any claims that have arisen/may arise.

This/



This “run-off” involved the establishment of a “Scheme of Arrangement” under which each local authority involved essentially assumed an element of mutual ownership of the company to manage the transition. When the Scheme was established it was believed that the company had sufficient resources to meet all existing liabilities and potentially provide a final distribution to participating local authorities of any residual surplus.

MMI do not have sufficient funds to meet the cost of any new claims so, from 1 January 2014, they are only paying a percentage of the cost of claims and any claims paid prior to that date under the Scheme of Arrangement are subject to clawback (there being no underwriting or reinsurance to cover this situation). The balance of the cost of claims and the amount of the clawback is impacting on Inverclyde and on a large number of other local authorities throughout the UK who are part of the Scheme of Arrangement.

The percentage of claims being paid by MMI was set at 85% (with 15% payable by the Council). From 1 April 2016 MMI are now paying 75% meaning that the percentage payable by the Council has increased to 25%. The Council has included an allowance for these claims and any clawback and continues to monitor and revise that allowance using the latest information from MMI, whilst taking a prudent approach.

#### 6.4 Legal Changes

If there are changes to the law (e.g. to extend the period for making claims or change how claims are dealt with) then these can affect the amounts required for the Council's Insurance Fund or the premiums charged by the Insurers.

The Scottish Government has produced a draft bill to be put to the Scottish Parliament to remove the 3 year time bar on claims for child abuse (taking the period for such claims back to 1964).

## 7.0 THE YEAR AHEAD

- 7.1 Officers within Finance Services will continue to monitor the performance of the insurance strategy closely and will continue to present reports to Committee no less frequently than annually.
- 7.2 The Council's contract with its Insurance Broker ends on 31 March 2017. The services provided assist the Council in dealing with complex insurance matters and so Officers will undertake a tendering exercise to procure continuing insurance broking services for the 3 years to 31 March 2020. The costs of these services are borne by the Council through its Insurance budget.

## 8.0 IMPLICATIONS

- 8.1 Legal  
None.

- 8.2 Financial  
The Fund balance as at 30 September 2016 was £4.223m which is £83,700 lower than the previous year.

It is proposed to partially address the issue of Fund contributions by a £150,000 contribution from the 2016/17 Inflation Contingency to increase Fund contributions (as raised by the Actuary in the Actuarial Review) and cover the increase in insurance costs for 2016/17 from increases in insurance premiums and Insurance Premium Tax.

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>
None					

Annually Recurring Costs/(Savings):

<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>
Insurance	Insurance	2016/17	150	Contribution from Inflation Contingency	

8.3 Human Resources

None.

8.4 Equalities

None.

**9.0 CONSULTATIONS**

9.1 None.

**10.0 LIST OF BACKGROUND PAPERS**

10.1 None.

## Appendix A

### Insurance Fund Financial Summary - Insurance Years 2014/15 - 2015/16

	Insurance Years		
	2014/2015 (1 Oct 2014 - 30 Sept 2015) £	2015/2016 (1 Oct 2015 - 30 Sept 2016) £	
<b>Fund Income in Year</b>			
Total Contributed to the Fund	50,000.00	450,000.00	
Internal Resources Interest	17,046.91	12,283.74	
	67,046.91	462,283.74	A
<b>Fund Expenditure in Year</b>			
Risk Management	5,000.00	5,000.00	
Actuarial/Property Revaluation Costs	0.00	41,875.00	
	5,000.00	46,875.00	
Incurred Charges to the Fund in Year	391,882.86	499,093.21	
	396,882.86	545,968.21	B
Net Surplus/(Deficit) on Fund in Year	(329,835.95)	(83,684.47)	C=A-B
<hr/>			
<b>Fund Balance</b>			
Balance As At Start of Year	4,637,011.27	4,307,175.32	D
Add:			
Net Surplus/(Deficit) on Fund in Year	(329,835.95)	(83,684.47)	C
Actual Fund Balance At End of Year	4,307,175.32	4,223,490.85	E=D+C
Less:			
Estimated Outstanding Charges on Fund	1,761,658.44	1,488,627.94	F
Provision for Clawback for MMI Claims	378,554.00	392,557.00	G
Balance for Future Years Claims At End of Year	2,166,962.88	2,342,305.91	H=E-F-G

#### Claims Information For Last 5 Insurance Years

(This information is for the number of claims received analysed by the year to which the claim relates)

	No. of Claims Received For Year	No. of Claims Settled/Resolved	No. of Claims Outstanding	Estimated Outstanding Charges On Insurance Fund £
2011/12	405	404	1	5,395.00
2012/13	349	334	15	184,215.01
2013/14	301	283	18	131,843.40
2014/15	226	184	42	552,006.44
2015/16	186	103	83	458,676.89
	1,467	1,308	159	1,332,136.74
Claims Pre-2011/12			15	156,491.20
TOTALS			174	1,488,627.94

Of the claims outstanding 19 relate to Motor Vehicle claims, none of which are payable by the Insurance Fund.

## Insurance Premiums/Payments By Insurers

Insurer	Policy Excess 2015/2016	Responsibility for Policy Excess	Insurance Year 2015/2016		Insurance Year 2014/2015		Insurance Year 2013/2014		Insurance Year 2012/2013											
			Payments Made By Insurer For Claims	Premium Paid To Insurer (Incl. IPT)	Payments Made By Insurer For Claims	Premium Paid To Insurer (Incl. IPT)	Payments Made By Insurer For Claims	Premium Paid To Insurer (Incl. IPT)	Payments Made By Insurer For Claims	Premium Paid To Insurer (Incl. IPT)										
			£	£	£	£	£	£	£	£										
<b>Property Policies</b>																				
General Properties	Zurich Municipal	£1m	Note 1	}	6,143.75	121,335.11	2,831.23	118,866.24	162,918.80	124,699.98	0.00	146,288.78								
Education Properties	Zurich Municipal	£1m	Note 1																	
Professional Fees (First Loss)	Zurich Municipal	£1m	Note 1																	
Removal of Debris (First Loss)	Zurich Municipal	£1m	Note 1																	
Money	Zurich Municipal	£500	Note 2																	
Business Interruption:-																				
- Gross Revenue	Zurich Municipal		Note 1																	
- Additional Expenditure	Zurich Municipal		Note 1																	
All Risks	Zurich Municipal	Various	Note 1																	
Industrial/Commercial Property	Zurich Municipal	£250/ £1,000 for subsidence	Note 2																	
Museum & Fine Art	Zurich Municipal	£1,000	Note 3	0.00	14,866.58	0.00	14,431.92	0.00	10,662.02	0.00	34,729.15									
<b>Casualty Policies (Incl Claims Handling)</b>																				
Public Liability	Zurich Municipal	£51,710	Note 3	}	7,554.90	230,490.10	117,249.49	214,469.20	9,507.65	190,526.41	0.00	185,975.94								
Employers Liability	Zurich Municipal	£51,710	Note 3																	
Officials Indemnity	Zurich Municipal	£51,710	Note 3																	
Libel & Slander	Zurich Municipal	---	Note 3																	
Professional Negligence	Zurich Municipal	Various	---																	
0.00		2,038.56		0.00	2,038.56	0.00	2,038.56	0.00	2,038.56	0.00	2,767.66									
0.00		7,173.55		0.00	7,173.55	0.00	6,545.50	0.00	6,545.50	0.00	848.00									
<b>Other Policies</b>																				
Motor (Incl Claims Handling)	RMP/QBE	£50,000	Note 4	}	39,556.32	91,356.00	6,892.99	84,849.60	18,588.63	101,038.80	8,844.98	69,232.84								
Fidelity Guarantee	RMP/QBE	£10,000	Note 3																	
Work In Progress (Cont. All Risks)	Zurich Municipal	£1m	Note 1																	
Contractors Plant	Zurich Municipal	£500	Note 2																	
Engineering Insurance	RMP/ HSB	---	---																	
Public Health Act	Zurich Municipal	---	---																	
Computer	RMP/HSB	£5,000	Note 5																	
Hirers Liability	Zurich Municipal	£100	Note 2																	
School Journey	Zurich Municipal	Various	Note 2																	
Business Travel/PA	Zurich Municipal	Various	Note 2																	
0.00		23,687.82											0.00	23,687.82	0.00	23,687.82	0.00	23,687.82	0.00	23,320.00
0.00		15,512.47											0.00	15,512.47	0.00	15,631.62	18,532.40	14,875.45	0.00	21,322.73
1,180.00		4,304.93											0.00	4,304.93	0.00	4,304.93	0.00	9,695.85	0.00	858.60
0.00		2,584.68											0.00	2,691.66	0.00	2,691.66	0.00	2,713.60	0.00	3,512.91
0.00		1,239.18											0.00	1,244.85	0.00	1,244.85	0.00	1,205.57	0.00	1,720.27
0.00		7,547.48		0.00	7,472.75	0.00	7,472.75	0.00	6,974.80	0.00	13,649.12									
0.00		251.75		0.00	251.75	0.00	251.75	0.00	251.75	0.00	997.19									
2,917.55		6,295.61		895.00	5,995.47	14,304.03	5,995.47	485.00	4,642.57	485.00	4,642.57									
0.00		5,742.56		0.00	5,417.51	0.00	5,417.51	0.00	5,532.88	0.00	6,865.62									
<b>57,352.52</b>		<b>534,426.38</b>			<b>127,868.71</b>		<b>507,899.38</b>		<b>223,851.51</b>		<b>506,444.46</b>		<b>9,329.98</b>		<b>516,731.38</b>					

Estimated Outstanding Insurers' Liabilities for Current Claims:  
**£ 280,231.00**

### Notes

- Note 1 - Insurance Fund (except for first £1,000 which is met by Service).  
 Note 2 - Excess is met direct by Service.  
 Note 3 - Insurance Fund.  
 Note 4 - Insurance Fund (except for first £2,500 which is met by Service).  
 Note 5 - Service pays excess of £1,000.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/104/16/AP/BH</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>Annual Update in respect of Governance of External Organisations</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to provide the annual update in respect of the governance of external organisations.

## 2.0 SUMMARY

- 2.1 In May 2011, the Council approved a risk based approach to the governance of those external organisations with whom the Council had a significant financial relationship. In June 2011 the Audit Commission published a report which highlights good practice and governance when delivering services through Arm's Length External Organisations
- 2.2 As part of the Council's approved framework, reports for relevant organisations are presented to the relevant Service Committee throughout the year giving updates and assurances in terms of performance and governance whilst an annual report is presented to the Policy & Resources Committee summarising progress and highlighting any areas of concern.
- 2.3 Overall, the Council's approach to the governance of external organisations is operating well with regular detailed reports going to the HSCP Committee combining both qualitative and governance issues, whilst individual reports are presented to the Education & Communities and Environment & Regeneration Committees. The annual review has highlighted a small number of cases where reports were due but have not yet been to Committee and governance meetings have not taken place. These will be picked up by the next Committee cycle.
- 2.4 The 2015/16 performance in respect of the governance of external organisations is show in Appendix 1. The matrix used to appraise the level of governance required is in Appendix 2 and has been reviewed by the CMT. The list of external organisations that are proposed will form part of this framework for 2016/17 are shown in Appendix 3.

## 3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the last 12 months performance in respect of the governance of external organisations as show in Appendix 1 and that any outstanding issues will be addressed at the next cycle of Committees.
- 3.2 It is recommended that the Committee approve the scoring matrix and governance requirements set out in Appendix 2.
- 3.3 It is recommended that the Committee approve the list of external organisations that will form part of this framework for the period October 2016 – September 2017 as shown in Appendix 3.

## **4.0 BACKGROUND**

- 4.1 In May 2011, the Committee approved a framework for monitoring the governance of key external organisations with whom the Council has a significant financial relationship.
- 4.2 The purpose of this framework was to provide a formal mechanism for feeding back to the relevant Committee on the organisations' performance and to highlight any issues in respect of governance, financial stability or overall performance. This approach was recognised by the Council's External Auditors at the time as being an example of good practice.
- 4.3 In June 2011 the Accounts Commission published a report on Arm's Length External Organisations (ALEO's) as part of their series of improvement reports for Councillors and Officers. During 2013/14 Grant Thornton, the Council's External Auditor, carried out a targeted audit on how the Council has responded to this national performance report which was a positive report scoring the Council as 'Basic and better practice' in all areas. The full report was presented to the Audit Committee on 26 August 2014.
- 4.4 As the Council's service delivery landscape becomes more complex, the need for sound governance processes to manage quality and monitor signs of potential financial stress becomes more important.

## **5.0 CURRENT POSITION**

- 5.1 Appendix 1 shows the position of the 2015/16 organisations from where it can be seen that for the vast majority the framework has been fully delivered. There are however a small number who have not managed to fully adhere to the number of meetings required or the reporting requirements. This will be addressed during the next Committee cycle.
- 5.2 The scoring matrix has been reviewed and updated by the CMT and can be found at Appendix 2. The main change is to increase the threshold for the high level governance actions from 20 to 22 points.
- 5.3 The process continues to have a positive impact on the relationship between organisations and the Council and in particular strengthening the relationships between Care Providers and the Council. This will further support the alternative delivery models available to the community and the Health and Social Care Partnership (HSCP).
- 5.4 Enhancements to the governance process were made in 2014. Reports presented to the relevant Service Committee giving updates on Riverside Inverclyde and Inverclyde Leisure are now clear about the reasons for using these ALEOs. Service risk reporting now takes into account more than just financial risk and some thought is given to contingency planning in the event of an organisation failing.
- 5.5 As resources become more scarce it is even more important that officers monitor those organisations which are heavily reliant on Council funding and which provide vital services to the Council.

## **6.0 CONCLUSIONS**

- 6.1 The Council's approach to the governance of external organisations is working well and has resulted in strengthening relationships with organisations and the Council.
- 6.2 After five years, the process has matured in all areas of the Council and the Corporate Management Team is keeping an overview of compliance with the framework.
- 6.3 The Chief Financial Officer and Procurement Manager will continue to co-ordinate the monitoring of overall performance and report to Committee on an annual basis.

## 7.0 IMPLICATIONS

### 7.1 Financial Implications:

One off Costs

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

Annually Recurring Costs/ (Savings)

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

### 7.2 **Legal**

There are no legal implications arising from this report.

### 7.3 **Human Resources**

There are no HR implications arising from this report.

### 7.4 **Equalities**

There are no equalities implications arising from this report.

### 7.5 **Repopulation**

Whilst there are no direct impacts in respect of repopulation, the Council's approach to the governance of external organisations should provide early warnings of problems within organisations and therefore provide greater stability to these organisations with a resultant impact on job security.

## 8.0 CONSULTATION

8.1 The report has been approved by the Corporate Management Team.

## 9.0 BACKGROUND PAPERS

9.1 None

## Appendix 1

## 15-16 Governance List

	<u>Organisations name</u>	<u>14/15 Spend</u>	<u>Service</u>	<u>Last or Planned Governance Monitoring Date</u>	<u>Date Reported to Committee</u>	<u>Nature of Payments</u>	<u>Total</u>
1	INVERCLYDE CARERS CENTRE LTD	£250,280.00	HSCP	November 2016	October 2016	Grant - no SLA	28
2	MUIRSHIEL CENTRE	£290,973.64	HSCP	October 2016	October 2016	Grant - no SLA	28
3	ALT-NA-CRAIG LIMITED	£746,756.56	HSCP	October 2016	October 2016	Commissioned no tende	26
4	BRANCHTON COMMUNITY CENTRE	£117,292.00	E&C		January 2016	Grant - no SLA	26
5	CARE CONCERN LIMITED	£760,670.30	HSCP	October 2016	October 2016	Commissioned no tende	26
6	CRAIGEND RESOURCE CENTRE	£120,000.00	E&C		January 2016	Grant - no SLA	26
7	GREENOCK MEDICAL AID SOCIETY	£939,822.31	HSCP	September 2016	October 2016	Commissioned no tende	26
8	INVERCLYDE ASS FOR MENTAL HEALTH	£499,432.96	HSCP	November 2016	October 2016	Commissioned no tende	26
9	INVERCLYDE VOLUNTARY COUNCIL	£115,463.00	HSCP	February 2017	October 2016	Grant - no SLA	26
10	MEALLMORE LODGE LIMITED	£777,496.53	HSCP	October 2016	October 2016	Commissioned no tende	26
11	PARKLEA ASSOCIATION	£106,457.80	HSCP	October 2016	October 2016	Grant - no SLA	26
12	TRANS-PORT GROUP	£91,090.05	HSCP	October 2016	October 2016	Grant - no SLA	26
13	YOUR VOICE	£120,674.92	HSCP	December 2016	October 2016	Grant - no SLA	26
14	BALCLUTHA COURT	£1,352,389.47	HSCP	December 2016	October 2016	Tendered	24
15	EVERGREEN HOME SUPPORT	£279,966.24	HSCP	November 2016	October 2016	Commissioned no tende	24
16	ICDT LTD	£2,146,320.39	HSCP	October 2016	January 2016	Tendered	24
17	INVERCLYDE COUNCIL ON DISABILITY	£42,966.85	HSCP	November 2016	October 2016	Grant - no SLA	24
18	INVERCLYDE LEISURE	£1,771,492.91	E&C	October 2016	November 2015	Grant with SLA	24
19	INVERCLYDE WOMENS AID	£153,523.08	HSCP	October 2016	October 2016	Commissioned no tende	24
20	RIVERSIDE INVERCLYDE	£1,369,568.97	E&R	October 2016	September 2016	Grant with SLA	24
21	SIR GABRIEL WOOD'S MARINERS HOME	£571,357.08	HSCP	October 2016	October 2016	Commissioned no tende	24
22	ALZHEIMER SCOTLAND-ACTION ON D	£265,703.72	HSCP	September 2016	October 2016	Grant - no SLA	22
23	CLOCH HOUSING ASSOCIATION LTD	£528,184.29	E&C	September 2016	October 2016	Commissioned no tende	22
24	CONFIDENT CARE LTD	£258,463.26	HSCP	October 2016	October 2016	Commissioned no tende	22
25	INVERCLYDE ADVICE & EMPLOYMENT RIGHTS	£50,168.91	E&R	October 2016		Tendered	22
26	MILLPORT CARE CENTRE	£27,303.34	HSCP	October 2016	October 2016	Commissioned no tende	22
27	THE KILMACOLM NEW COMMUNITY CENTRE COMPANY LIMITE	£76,013.00	E&C			Grant - with SLA	22
28	YOUTH CONNECTIONS	£120,396.00	E&C		January 2016	Grant - no SLA	22
29	ALLIED HEALTHCARE GROUP LIMITED	£1,069,483.82	HSCP	February 2017	October 2016	Commissioned no tende	20
30	BARNARDOS	£501,177.39	HSCP	December 2016	October 2016	Commissioned no tende	20
31	CIRCLES NETWORK	£112,183.38	HSCP	September 2016	October 2016	Grant - no SLA	20
32	CORA FOUNDATION	£867,015.87	HSCP	November 2016	October 2016	Commissioned no tende	20
33	DANSHELL CARE HOMES	£823,026.00	HSCP	October 2016	October 2016	Commissioned no tende	20



34	ENCHANTED FOREST NURSERY	£103,502.56	E&C			Commissioned no tende	20
35	ERSKINE HOSPITAL	£257,577.16	HSCP	October 2016	October 2016	Commissioned no tende	20
36	FLAGSHIP TOWER (GREENOCK) LIMITED	£1,469,134.72	HSCP	February 2017	October 2016	Commissioned no tende	20
37	HC ONE LIMITED	£863,088.85	HSCP	October 2016	October 2016	Commissioned no tende	20
38	KARMA HEALTHCARE	£923,920.55	HSCP	October 2016	October 2016	Commissioned no tende	20
39	KINCAID HOUSE	£1,659,711.52	HSCP	October 2016	October 2016	Commissioned no tende	20
40	LITTLE SISTERS OF THE POOR	£442,020.09	HSCP	September 2016	October 2016	Commissioned no tende	20
41	MARGARET BLACKWOOD HOUSING ASS	£605,582.29	HSCP	September 2016	October 2016	Commissioned no tende	20
42	MARINER SUPPORT ASSOCIATES LTD	£109,186.19	HSCP	February 2017	October 2016	Commissioned no tende	20
43	SPARK OF GENIUS	£533,584.54	HSCP	January 2017	October 2016	Commissioned no tende	20
44	STEPWELL CONSULTANCY LIMITED	£143,145.09	E&R	October 2016		Tendered	20
45	THE BEACON	£78,703.74	E&C	October 2016		Grant - no SLA	20
46	UNITY ENTERPRISE	£79,864.79	HSCP	November 2016	October 2016	Grant - no SLA	20
47	BELLEAIRE HOUSE	£137,305.55	HSCP	October 2016	October 2016	Commissioned no tende	18
48	BIELD RESPONSE 24	£151,894.00	HSCP	December 2016	October 2016	Commissioned no tende	18
49	CAPABILITY SCOTLAND	£210,331.92	HSCP	August 2017	October 2016	Commissioned no tende	18
50	CAR - GOMM SCOTLAND	£74,442.72	HSCP	October 2016	October 2016	Commissioned no tende	18
51	CAREWATCH (INVER & NTH AYRSH)	£230,017.38	HSCP	November 2016	October 2016	Commissioned no tende	18
52	COTTAGE CARE SERVICES SCOTLAND LTD	£213,825.00	HSCP	October 2016	October 2016	Commissioned no tende	18
53	EMBRACE ALL LIMITED COLLECTIONS	£212,642.37	HSCP	October 2016	October 2016	Commissioned no tende	18
54	ENABLE SCOTLAND	£55,574.88	HSCP	January 2017	October 2016	Commissioned no tende	18
55	EUROPEAN CARE & LIFESTYLES (UK) LTD	£80,027.75	HSCP	October 2016	October 2016	Commissioned no tende	18
56	HANSEL ALLIANCE	£82,624.60	HSCP	September 2016	October 2016	Commissioned no tende	18
57	KEY HOUSING ASSOCIATION LTD	£1,199,034.96	HSCP	September 2016	October 2016	Tendered	18
58	MADEIRA NURSERY	£44,403.02	E&C		Not Required	Commissioned no tende	18
59	MOVING ON (INVERCLYDE)	£78,193.00	HSCP	To be arranged		Commissioned no tende	18
60	NAS SERVICES LIMITED	£33,813.88	E&C	No longer used	No longer used	Grant - no SLA	18
61	PARK HOUSE HEALTHCARE LTD	£101,706.09	HSCP	To be arranged		Commissioned no tende	18
62	QUARRIERS	£2,957,973.13	HSCP	December 2016	October 2016	Tendered	18
63	RIVER CLYDE HOMES	£2,517,854.27	HSCP	December 2016	October 2016	Grant with SLA	18
64	SCOTT ASSOC FOR MENTAL HEALTH	£837,540.41	HSCP	January 2017	October 2016	Tendered/Grant	18
65	SCOTTISH MASONIC HOMES LIMITED	£220,050.90	HSCP	November 2016	October 2016	Commissioned no tende	18
66	ST ANDREW'S CHILDREN'S SOCIETY	£22,000.00	HSCP	No longer used	No longer used	Grant - no SLA	18
67	THE ABBEYFIELD STRATHGRYFFE SOC LTD	£142,110.76	HSCP	November 2016	October 2016	Commissioned no tende	18
68	THE RICHMOND FELLOWSHIP SCTLND	£1,287,144.34	HSCP	January 2017	October 2016	Tendered	18

69	THISTLE HEALTHCARE LTD	£24,522.26	HSCP	No longer used	No longer used	Grant - no SLA	18
70	TRUST HOUSING ASSOCIATION LIMITED	£298,985.73	HSCP	October 2016	October 2016	Commissioned no tende	18
71	TURNING POINT SCOTLAND	£1,104,456.79	HSCP	September 2016	October 2016	Tendered	18
72	WOODSIDE CARE	£123,797.92	HSCP	December 2016	October 2016	Commissioned no tende	18
73	WRVS	£41,834.00	HSCP	October 2016	October 2016	Grant - no SLA	18
74	ACTION FOR CHILDREN	£164,267.00	HSCP	January 2017	October 2016	Tendered	16
75	ARDFERN LEARNING CENTRE	£31,881.00	E&C	No longer used	No longer used	Commissioned no tende	16
76	BEARSDEN CARE LLP	£27,822.22	HSCP	October 2016	October 2016	Commissioned no tende	16
77	CARE UK	£47,761.95	HSCP	September 2016	October 2016	Commissioned no tende	16
78	CORBENIC CAMPHILL COMMUNITY	£42,517.32	HSCP	October 2016	October 2016	Commissioned no tende	16
79	CURO SALUS LTD	£26,004.00	E&C	No longer used	No longer used	Commissioned no tende	16
80	KIBBLE EDUCATION AND CARE CENTRE	£101,772.00	HSCP	October 2016	October 2016	Tendered	16
81	ORCHARD CARE HOMES	£41,095.56	HSCP	October 2016	October 2016	Commissioned no tende	16
82	SALVATION ARMY TERRITORIAL HEADQUARTERS	£77,872.81	HSCP	October 2016	October 2016	Tendered	16

## Appendix 2

### External Organisations Governance

#### Matrix

1/	<u>Annual Payment to the Organisation (Ex-Vat)</u>	<u>Points</u>
	Payment over £250,000	6
	Payment £50,000 to £250,000	4
	Payment £20,000 to £49,999	2
	Payment £19,999 and below	Exclude
2/	<u>Proportion of turnover funded by Council</u>	<u>Points</u>
	51% to 100%	8
	26% to 50%	6
	10% to 25%	4
	Below 10%	2
3/	<u>Nature of Payment to Organisation</u>	<u>Points</u>
	Grant – No SLA	8
	Grant – With SLA	6
	Commissioned – No Tender	6
	Tendered	4
4/	<u>Council Representation at Meetings</u>	<u>Points</u>
	Member on Board	6
	No Council Presence	4
	Officer's attendance allowed	2

Governance Oversight

Points

22 plus

- a) Annual Accounts received by Service and reviewed by Finance.
- b) Briefing prepared where appropriate for Council Board Member in advance of any Board Meetings.
- c) Minutes circulated by attendee to Corporate Director, Head of Service, Finance and Procurement.
- d) Half yearly documented Governance meetings with organisations.
- e) Annual Committee report covering performance and quality issues.
- f) The Council identify, review and monitor specific governance, finance and performance indicators which will give early warning of any potential problems and acts accordingly.
- g) Evidence that risks associated with these organisations are considered as part of the Service/Directorate risk register.
- h) Contingency Plans are in place within the service to ensure continuity of service delivery if the agreement ends.
- i) Where services are delivered through ALEOs, the Council has well-developed and sound based strategy for the delivery of services which is linked to the wider Council's strategic objective and priorities

20 - 16

- a) As above
- b) Optional
- c) Optional
- d) Annual documented Governance meetings
- e) As above
- f) As above

Under 16

- a) No action

Note: 1. The above are the minimum requirements however Services may decide on more frequent meetings / reporting based on specific risks / intelligence.

## Appendix 3

Governance - list of new organisations for the period of 1/10/16 - 30/9/17

	<b>Organisations name</b>	<b>15/16 Spend</b>	<b>Service</b>	<b>Nature of Payments</b>	<b>Total Score</b>
1	Muirshiel (Block)	£252,600.00	HSCP	Commissioned - No Tender	26
2	KNCC	£78,218.00	E&C	Grant - no SLA	26
3	Riverside Inverclyde	£4,849,000.00	E&R	Commissioned - No Tender	26
4	Alt-Na-Craig Limited (NCHC Framework)	£787,591.00	HSCP	Commissioned - No Tender	24
5	Balclutha Court (NCHC Framework)	£1,474,193.00	HSCP	Commissioned - No Tender	24
6	Care Concern Ltd Marchmont House (NCHC Framework)	£823,344.00	HSCP	Commissioned - No Tender	24
7	The Beacon (including payment to Grahams construction)	£2,292,651.00	E&C	Grant - with SLA	24
8	Evergreen Home Support (Call Off)	£320,012.78	HSCP	Tendered	24
9	Inverclyde Carers Centre	£120,280.00	HSCP	Grant - No SLA	24
10	Parklea Association (Supported Employment)	£109,474.00	HSCP	Commissioned - No Tender	24
11	Port Glasgow Voluntary Transport (Call Off)	£89,405.00	HSCP	Commissioned - No Tender	24
12	Sir Gabriel Wood's Mariners Home (NCHC Framework)	£612,733.00	HSCP	Commissioned - No Tender	24
13	ICDT (Employability Inverclyde, Employability City Deal, Shopping, Homecare, Volunteer Network)	£4,556,988.00	E&R	Tendered	24
14	Inverclyde Council on Disability	£35,588.70	HSCP	Grant - no SLA	24
15	Inverclyde Leisure	£3,140,497.62	E&C	Grant - with SLA	24
16	Branchton Community Centre	£107,987.00	E&C	Grant - no SLA	24
17	Youth Connections	£135,639.00	E&C	Grant - no SLA	24
18	Craigend Resource Centre	£120,000.00	E&C	Grant - No SLA	24
19	ICCF - Stakeholder/Your Voice	£102,000.00	HSCP	Commissioned - No Tender	22
20	Inverclyde Association for Mental Health (SLS Framework, In-work, Lynedoch House)	£501,059.00	HSCP	Tendered	22
21	IVCSS (Call Off)	£58,538.00	HSCP	Commissioned - No Tender	22
22	Greenock Medical Aid Society Glenfield and Bagatelle (NCHC Framework)	£1,017,675.00	HSCP	Commissioned - No Tender	22
23	Inverclyde Advice And Employment Rights	£87,797.76	E&R	Tendered	22
24	River Clyde Homes (Housing Support)	£2,601,000.00	E&C/HSCP	Commissioned - No Tender	22
25	Cottage Care (Call Off)	£277,976.00	HSCP	Tendered	20
26	Stepwell	£205,874.90	E&R	Tendered	20
27	Barnardos	£378,134.00	HSCP	Commissioned - No Tender	18
28	Blackwood Care (Call Off)	£600,697.97	HSCP	Tendered	18
29	Confident Care (Call Off)	£232,768.30	HSCP	Tendered	18
30	CORA Foundation	£656,608.00	HSCP	Tendered	18
31	Daviot Care (Kincaid House and Belleaire)	£2,633,456.00	HSCP	Commissioned - No Tender	18
32	Embrace - Millport Care Centre (Out of Area Placement)	£263,978.00	HSCP	Commissioned - No Tender	18
33	Flagship Tower Ltd Larkfield View (NCHC Framework)	£1,578,621.00	HSCP	Commissioned - No Tender	18
34	HC-One Merino Court (NCHC Framework)	£944,309.00	HSCP	Commissioned - No Tender	18
35	Karma Healthcare (Call Off)	£783,483.10	HSCP	Tendered	18
36	Little Sisters of the Poor (NCHC Framework and Housing Support)	£553,394.16	HSCP	Commissioned - No Tender	18
37	Scottish Masonic Homes Ltd (Daycare, NCHC Framework)	£260,100.00	HSCP	Commissioned - No Tender	18
38	Silverline Caledonian Newark (NCHC Framework)	£1,309,686.00	HSCP	Commissioned - No Tender	18
39	Trust Housing (St Margaret's Court (call off) and Housing Support)	£301,261.20	HSCP	Commissioned - No Tender	18
40	Wellington pre-5	£43,593.78	E&C	Commissioned - No Tender	18
41	Madeira Nursery	£38,227.06	E&C	Commissioned - No Tender	18
42	Aberlour Fostering Service	£50,532.00	HSCP	Commissioned - No Tender	16
43	Action for Children	£139,390.00	HSCP	Commissioned - No Tender	16
44	Alzheimer Scotland	£233,940.00	HSCP	Grant - No SLA	16
45	Capability Scotland Stanmore House (Out of Area Placement)	£102,886.00	HSCP	Commissioned - No Tender	16
46	Care UK Hollybank Care Centre (Out of Area Placement)	£50,825.00	HSCP	Commissioned - No Tender	16

47	Erskine Home (NCHC Framework)	£215,664.66	HSCP	Commissioned - No Tender	16
48	Hansel Alliance (Out of Area Placement)	£95,726.00	HSCP	Commissioned - No Tender	16
49	Hillside View (NCHC Framework)	£50,825.00	HSCP	Tendered	16
50	Key Community Supports (SLS Framework)	£1,448,486.00	HSCP	Tendered	16
51	Kibble (Secure and Residential)	£237,510.00	HSCP	Commissioned - No Tender	16
52	Mariner Support Agency (Out of Area Placement)	£53,201.00	HSCP	Commissioned - No Tender	16
53	Moorburn Manor (NCHC Framework)	£58,133.00	HSCP	Commissioned - No Tender	16
54	Mosswood Care Home (NCHC Framework)	£66,544.00	HSCP	Commissioned - No Tender	16
55	Nestor Primecare Trading as Allied (Call Off)	£768,479.71	HSCP	Tendered	16
56	Oakview Estates Ellen Mhor (Out of Area Placement)	£103,976.00	HSCP	Commissioned - No Tender	16
57	Ochill Tower School (Out of Area) Children's Residential Non Framework	£154,921.00	HSCP	Commissioned - No Tender	16
58	Quarriers (SLS, Merrybrook, Davidson/ Parklands/ Kelly, Rivendell, Finnart Street, Octavia/ West View, Riverview)	£3,086,925.06	HSCP	Tendered	16
59	Richmond Fellowship Scotland (SLS Framework)	£1,517,374.00	HSCP	Tendered	16
60	Scottish Association for Mental Health (SLS Framework)	£538,415.00	HSCP	Tendered	16
61	Scottish Masonic Homes Ltd Marcus Humphrey House (Day Care)	£78,252.00	HSCP	Commissioned - No Tender	16
62	Spark of Genius Sunderland (Out of Area) Children's Residential Framework	£411,748.00	HSCP	Tendered	16
63	The Abbeyfield Strathgryffe Society Ltd Campbell Snowdon (NCHC Framework)	£114,464.00	HSCP	Commissioned - No Tender	16
64	The Salvation Army	£87,098.00	HSCP	Commissioned - No Tender	16
65	Thorntoun Estates The Laurels (Out of Area Placement)	£50,583.00	HSCP	Commissioned - No Tender	16
66	Turning Point Scotland (SLS Framework, Day Ops, Caladh Adult Residential)	£1,512,907.00	HSCP	Tendered	16
67	Unity Enterprise (Block Contract)	£69,710.00	HSCP	Commissioned - No Tender	16
68	Women's Aid (Housing Support)	£132,136.00	HSCP	Commissioned - No Tender	16
69	Woodside Care (NCHC Framework)	£184,533.00	HSCP	Commissioned - No Tender	16
70	Pacific Care	£70,497.70	HSCP	Commissioned - No Tender	16

**Report To: Policy & Resources Committee**

**Date: 15 November 2016**

**Report By: Head of Organisational Development, HR  
& Communications**

**Report No: HR/28/16/CC**

**Contact Officer: Carol Craig-McDonald**

**Contact No: 01475 712725**

**Subject: SPSO STATISTICS 2015/16**

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to highlight the Scottish Public Services Ombudsman (SPSO) and Inverclyde Council's complaint handling annual statistical return for 2015/16.

## **2.0 SUMMARY**

- 2.1 The report covers the period from 1 April 2015 to 31 March 2016 and includes complaints received and closed at Inverclyde Council with the exception of Health and Social Care Partnership which are reported separately. The report also includes complaints against Inverclyde Council handled by the SPSO during the same period.
- 2.2 The Council's complaint handling procedure was approved by the Policy and Resources Committee in February 2016. This introduced complaint handlers to explicitly record when they uphold, partially uphold and do not uphold a complaint. This data, therefore, has not been reported within this report. This will be an enhancement to the reporting that will be produced in 2016/17.
- 2.3 Inverclyde Council recorded 146 complaints during the period 1 April 2015 to 31 March 2016. The SPSO handled 16 complaints against Inverclyde Council during the same period; this is a reduction on the previous year. Only 1 complaint directly to the SPSO was 'upheld' or 'some upheld' during this period.
- 2.4 Members should be aware that essential changes were made to LAGAN in order to improve the complaint management system in preparation for it to be adopted as the universal complaint recording system for the Council. During this process closed complaint data for April – September 2015 was lost which impacts on the extent of complaints finally recorded in 2015-16. Clearly with an upgraded system this should not occur in the future.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee note the contents of the complaints statistical annual return contained in Appendix 1 and 2 and that these be published on the Council website as part of the Council's duty to report complaints data to the public.
- 3.2 It is recommended that the Committee note the content in the report and the development actions undertaken and ongoing to strengthen 2016/17 reporting and improved complaint handling across Inverclyde Council.

**STEVEN MCNAB  
HEAD OF ORGANISATIONAL DEVELOPMENT, HR & COMMUNICATIONS**

## 4.0 BACKGROUND

- 4.1 The Council has been working to develop improvements to its recording and reporting of complaints and is committed to encouraging learning from complaints handling. LAGAN is the Council's customer relationship management software and is used to record complaints. While the system has been in place for several years, an audit of complaints handling identified weaknesses in recording. To address this, a cross-Council steering group was created to drive forward improvements. An upgrade to LAGAN (now called KANA) was developed, with assistance from neighbouring North Ayrshire Council. In addition, a new temporary position of complaints officer was created to support improved recording, handling and reporting on complaints.
- 4.2 The Council's complaint handling procedure was approved by the Policy and Resources Committee in February 2016. This introduced complaint handlers to explicitly record when they uphold, partially uphold and do not uphold a complaint therefore has not been reported within this report. This will be an enhancement to the reporting that will be produced in 2016/17.
- 4.3 The complaints officer has been in post since September and is actively taking forward the development plan. Good progress is being made which will strengthen complaint handling across Inverclyde Council and will be seen through to conclusion.
- 4.4 An assurance statement issued by the SPSO to Inverclyde Council has been returned declaring the Council's commitment to learning from complaints.
- 4.5 The Council is required to report complaints to the Policy and Resources Committee and the Council's own annual statistical return is attached in Appendix 1. Appendix 2 includes the annual return from the SPSO which sets out the complaints received by them about Inverclyde Council. Appendix 3 of the report includes two case studies, published and anonymised by the SPSO, of complaints handled by them for Inverclyde Council during the reporting period.
- 4.6 During the compilation of the data for the Council's return to the SPSO for their annual reporting, it highlighted some inconsistencies in the complaints being recorded to the complaint management system LAGAN, this is in line with previously reported areas that required focus, which are being addressed as detailed in 4.1-4.3 above. One additional factor in this year's data which is new is loss of closed complaint data from the period 1 April 2015 – September 2015, this has been a direct result of the necessary update to the LAGAN server where only open complaints were migrated.
- 4.7 A line by line review has been undertaken by the complaints officer on all complaints recorded covering the period to give confidence and assurance that the information we supply to the Policy and Resources Committee and the SPSO is as robust as possible. The review deepened the understanding on trends, learnings and service improvement opportunities across services. This will form part of the learnings approach which is a key aim that the SPSO is expecting Inverclyde Council to demonstrate moving forward.
- 4.8 The complaints officer has worked internally with key stakeholders and implemented the following actions since appointment to post in September:
- Collated and prepared the SPSO reporting for the 2015/2016.
  - Commenced key stakeholder meetings within service areas to focus on complaint handling within their service, root cause and service improvement planning and identifying areas for training, development and strengthening.
  - A standard complaint letter suite has been created covering all potential contact points with the service user, delivering a consistent tone within the letters to be used



across all Council services.

- The complaint handling procedure and key timelines for complaint handling have been communicated to all staff dealing with complaints as well as a general awareness communication for all staff issued. Heads of Service have been included in these communications to highlight the oversight arrangements being put in place to emphasise the senior level support for the complaints handling procedure.
- Helpful email reminders have been set up within the LAGAN system to aide timely complaint handling, and communication issued setting out expectations and timescales.
- ICON intranet site has had a page set up as the complaint handling hub – all relevant information pertaining to complaints will be posted on this page making it accessible to all employees.

## 5.0 INVERCLYDE COUNCIL'S COMPLAINT HANDLING FOR 2015/16

- 5.1 Inverclyde Council has a two stage complaints handling procedure. Stage 1 is called frontline resolution and stage 2 is called investigation. The response time for stage 1 is 5 days and for stage 2 is 20 days.
- 5.2 The Council's annual statistical return for 2015/16 highlights that the Council handled 146 complaints of which 121 were closed during the period. The average time taken to respond at Stage 1 is 1.6 days and the average time taken to respond at Stage 2 is 22.3 days.

## 6.0 SPSO COMPLAINT HANDLING FOR 2015/16

- 6.1 During the period 1 April 2015 to 31 March 2016, the complaints received by the Scottish Public Services Ombudsman (SPSO) resulted in 16 complaints handled during the year. This equates to 1.02% of the total complaints against all Scottish Local Authorities and is a reduction on the previous year.
- 6.2 The SPSO has five stages of complaint handling. These are: advice; early resolution 1; early resolution 2; investigation 1 and investigation 2.
- 6.3 10 of Inverclyde's complaints were handled at the advice stage with seven being rejected by the SPSO for being premature while two were classed as 'not duly made or withdrawn' and one out of the jurisdiction of the Ombudsman. Five complaints reached the second stage 'early resolution 1' where one was resolved and four considered out of jurisdiction. No complaints were considered at the 'early resolution 2' stage. One was examined and fully upheld at the investigation 1 stage and no complaints were examined at the 'investigation 2' stage of the SPSO complaints handling procedure.

## 7.0 IMPLICATIONS

### 7.1 Financial Implications - One off Costs

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

### Financial Implications - Annually Recurring Costs/ (Savings)

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

7.2 **Human Resources**

N/A

7.3 **Legal**

N/A

7.4 **Equalities**

Has an Equality Impact Assessment been carried out?

YES (see attached appendix)

NO -

7.5 **Repopulation**

N/A

**8.0 CONSULTATION**

8.1 N/A

**9.0 BACKGROUND PAPERS**

9.1 Corporate Complaints, Policy and Resources Committee, 2 February 2016.

## Appendix 1: SPSO Local Authority Complaints Handling Procedure - Performance Indicators (2015/16)

<b>INDICATOR 1a</b>		<b>complaints received between 1st April and 31st March</b>
1 (i)	total number of complaints received in the year	146
1 (ii)	population (mid year population estimates)	79500
1a	the total number of complaints received per 1,000 population	1.8

<b>INDICATOR 1b</b>		<b>complaints closed between 1st April and 31st March</b>
1 (iii)	total number of complaints closed in the year	121
1 (iv)	population (mid year population estimates)	79500
1b	the total number of complaints closed per 1,000 population	1.5

<b>INDICATOR 2</b>		
2 (i)	number of complaints - closed at stage 1	58
2a	the number of complaints closed at stage 1 as % all complaints closed	48%
2 (ii)	number of complaints - closed at stage 2	64
2b	the number of complaints closed at stage 2 as % all complaints closed	52%
2 (iii)	number of complaints - closed after escalation	0
2c	the number of complaints closed after escalation as % all complaints closed	0.0%

<b>INDICATOR 3 - stage 1</b>		
3 (i)	number of complaints - upheld at stage 1	0
stage 1	number of complaints - closed at stage 1 (frontline resolution)	58
3a	the number of complaints upheld at stage 1 as % of all complaints closed in full at stage 1	0
3 (ii)	number of complaints - not upheld at stage 1	0
stage 1	number of complaints - closed at stage 1 (frontline resolution)	58
3b	the number of complaints not upheld at stage 1 as % of all complaints closed in full at stage 1	0
3 (iii)	number of complaints - partially upheld at stage 1	0
stage 1	number of complaints - closed at stage 1 (frontline resolution)	58
3c	the number of complaints partially upheld at stage 1 as % of all complaints closed in full at stage 1	0

<b>INDICATOR 3 - stage 2</b>		
3 (iv)	number of complaints - upheld at stage 2	0
stage 2	number of complaints - closed at stage 2 (investigation)	64
3a	the number of complaints upheld at stage 2 as % of all complaints closed in full at stage 2	0
3 (v)	number of complaints - not upheld at stage 2	0
stage 2	number of complaints - closed at stage 2 (investigation)	64
3b	the number of complaints not upheld at stage 2 as % of all complaints closed in full at stage 2	0
3 (vi)	number of complaints - partially upheld at stage 2	0
stage 2	number of complaints - closed at stage 2 (investigation)	64
3c	the number of complaints partially upheld at stage 2 as % of all complaints closed in full at stage 2	0

<b>INDICATOR 3 - escalated</b>		
3 (vii)	number of complaints - upheld after escalation	0
escalated	number of complaints - closed after escalation	0
3a	the number of escalated complaints upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0
3 (viii)	number of complaints - not upheld after escalation	0
escalated	number of complaints - closed after escalation	0
3b	the number of escalated complaints not upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0
3 (ix)	number of complaints - partially upheld after escalation	0
escalated	number of complaints - closed after escalation	0
3c	the number of escalated complaints partially upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0

<b>INDICATOR 4 - stage 1</b>		
4 (i)	sum of the total number of working days taken for all complaints closed at stage 1	93
stage 1	number of complaints - closed at stage 1 (frontline resolution)	58
4a	the average time in working days for a full response to complaints at stage 1	1.6

<b>INDICATOR 4 - stage 2</b>		
4 (ii)	sum of the total number of working days taken for all complaints closed at stage 2	1424
stage 2	number of complaints - closed at stage 2 (investigation)	64
4b	the average time in working days for a full response to complaints at stage 2	22.3

<b>INDICATOR 4 - escalated</b>		
4 (iii)	sum of the total number of working days taken for all complaints closed after escalation	0
escalated	number of complaints - closed after escalation	0
4c	the average time in working days for a full respond to complaints after escalation	0

<b>INDICATOR 5 - stage 1</b>		
5 (i)	number of complaints - closed at stage 1 within 5 working days	37
stage 1	number of complaints - closed at stage 1 (frontline resolution)	58
5a	the number of complaints closed at stage 1 within 5 working days as % of total number of stage 1 complaints	63.8%

<b>INDICATOR 5 - stage 2</b>		
5 (ii)	number of complaints - closed at stage 2 within 20 working days	36
stage 2	number of complaints - closed at stage 2 (investigation)	34
5b	the number of complaints closed at stage 2 within 20 working days as % of total number of stage 2 complaints	56.3%

<b>INDICATOR 5 - escalated</b>		
5 (iii)	number of complaints - closed after escalation within 20 working days	0
escalated	number of complaints - closed after escalation	0
5c	the number of complaints closed after escalation within 20 working days as % of total number of escalated complaints	0

<b>INDICATOR 6 - stage 1</b>		
6 (i)	number of complaints - closed at stage 1 where extension was authorised	0
stage 1	total number of complaints - closed at stage 1	58
6a	number of complaints closed at stage 1 where extension was authorised as % of all complaints at stage 1	0.0%

<b>INDICATOR 6 - stage 2</b>		
6 (ii)	number of complaints - closed at stage 2 where extension was authorised	0
stage 2	total number of complaints - closed at stage 2	64
6b	number of complaints closed at stage 2 where extension was authorised as % of all complaints at stage 2	0.0%

<b>INDICATOR 6 - escalated</b>		
6 (ii)	number of complaints - closed after escalated where extension was authorised	0
stage 2	total number of complaints - closed after escalated	0
6b	number of complaints closed after escalated where extension was authorised as % of all complaints escalated	0

## Appendix 2: Inverclyde Complaints handled by SPSO

Complaints Determined by Outcome					
Stage Advice	Outcome Group	2015/16 Inverclyde Council	2015/16 Sector Total	2014/15 Inverclyde Council	2014/15 Sector Total
	Not duly made or withdrawn	2	321	3	380
	Out of jurisdiction (discretionary)	0	6	0	29
	Out of jurisdiction (non-discretionary)	1	5	0	25
	Outcome not achievable	0	6	0	42
	Premature	7	606	6	713
	Resolved	0	0	0	4
	<b>Total</b>	<b>10</b>	<b>944</b>	<b>9</b>	<b>1,193</b>
Stage Early Resolution 1	Outcome Group	Inverclyde Council	Sector Total	Inverclyde Council	Sector Total
	Not duly made or withdrawn	0	54	1	36
	Out of jurisdiction (discretionary)	0	104	1	56
	Out of jurisdiction (non-discretionary)	4	196	2	140
	Outcome not achievable	0	185	1	107
	Premature	0	58	1	42
	Resolved	1	29	0	35
	<b>Total</b>	<b>5</b>	<b>626</b>	<b>6</b>	<b>416</b>
Stage Early Resolution 2	Outcome Group	Inverclyde Council	Sector Total	Inverclyde Council	Sector Total
	Fully upheld	0	27	1	33
	Some upheld	0	20	0	18
	Not upheld	0	37	2	56
	Not duly made or withdrawn	0	1	0	0
	Resolved	0	1	0	3
	<b>Total</b>	<b>0</b>	<b>86</b>	<b>3</b>	<b>110</b>
Stage Investigation 1	Outcome Group	Inverclyde Council	Sector Total	Inverclyde Council	Sector Total
	Fully upheld	1	23	0	28
	Some upheld	0	36	0	26
	Not upheld	0	40	0	63
	Not duly made or withdrawn	0	4	0	1
	Resolved	0	4	0	1
	<b>Total</b>	<b>1</b>	<b>107</b>	<b>0</b>	<b>119</b>
Stage Investigation 2	Outcome Group	Inverclyde Council	Sector Total	Inverclyde Council	Sector Total
	Fully upheld	0	1	0	3
	Some upheld	0	0	0	1
	Not upheld	0	0	0	0
	<b>Total</b>	<b>0</b>	<b>161</b>	<b>0</b>	<b>4</b>
	<b>TOTAL</b>	<b>16</b>	<b>1764</b>	<b>18</b>	<b>1842</b>

	Inverclyde Council	Sector Total	Inverclyde Council	Sector Total
Total Premature Complaints	7	664	7	755
Premature Rate	43.6%	37.6%	38.9%	41.0%
Fit for SPSO Total (ER2, Inv1 & Inv2)	1	194	3	233
Total Cases Upheld / Some Upheld	1	107	1	109
Uphold Rate (total upheld / total fit for SPSO)	100%	55.2%	33.3%	46.8%

### **Appendix 3: Inverclyde Complaints handled by SPSO (case studies):**

The Scottish Public Services Ombudsman (SPSO) publishes case studies of anonymised complaints examined. Below are two such complaints examined by the SPSO between the period 1 April 2015 to 31 March 2016.

#### **Decision Report 201405826**

Date: May 2015

Body: Inverclyde Council

Sector(s): Local Government

Subject: factual error in decision-making

Outcome: Not upheld, no recommendations

##### Summary

An advocacy agency complained on behalf of a client (Mr C) that the council had failed to take reasonable account of his circumstances when considering his application for a Community Care Grant under the Scottish Welfare Fund. We did not uphold Mr C's complaint because our investigation found no evidence that in their handling of Mr C's application, the council had not taken reasonable account of his circumstances or considered the matter properly under both the Scottish Government guidance and their own procedures.

#### **Decision Report 201502712**

Date: March 2016

Body: Inverclyde Council

Sector(s): Local Government

Subject: secondary school

Outcome: Upheld, recommendations

##### Summary:

Mrs C complained about how school staff handled a report of bullying of her daughter. While Mrs C was satisfied with the handling of the matter at the time, she became concerned some months later when the pupils involved in the bullying behaviour were given additional opportunities within the school. She raised this with the school, as she thought that the bullying incident had been recorded on the pupils' education record, but the school told her the bullying was only recorded on the school's bullying log. Mrs C was dissatisfied with this, and she was also concerned that the school referred to the incident as an 'allegation of bullying' in their later correspondence with her, whereas she thought it had been agreed that bullying had occurred.

The council said the school handled the incident appropriately and in line with their bullying policy (which encourages a restorative approach). We asked the council to clarify whether they had found that bullying had occurred as this was not clear from the bullying log, and they confirmed that the incident had been recorded as one of bullying behaviour.

After investigating the matter, we upheld Mrs C's complaint. We found that staff complied with most aspects of the school's and the council's policies, including involving parents, arranging a restorative meeting and supporting Mrs C's daughter. However, the bullying log completed by the school did not match the form set out in the council's policy, so there was no detailed contemporaneous record of the investigation and findings. We also found that staff did not appear to be familiar with the school's bullying policy which required the incident to be recorded on the pupils' records, and they were following the council's bullying policy instead (which did not include this requirement).

Recommendations: We recommended that the council:

- apologise to Mrs C and her daughter for failing to comply with some aspects of their policies in responding to their concerns about bullying; and
- review the school's bullying policy and reporting forms, to ensure that there is clear and consistent guidance on this process (and that this complies with the council's bullying policy and templates).

**Report To:** Policy and Resources Committee      **Date:** 15 November 2016

**Report By:** Head of Inclusive Education, Culture and Corporate Policy      **Report No:** PR/24/16/GMcG/KB

**Contact Officer:** Karen Barclay, Corporate Policy Officer      **Contact No:** 01475 712065

**Subject:** Statutory and Key Performance Indicators Annual Report 2015/16

**1.0 PURPOSE**

1.1 The purpose of this report is to present to the Committee the Council’s Statutory and Key Performance Indicators Annual Report 2015/16 which details progress made in the last year towards achievement of our performance indicator targets.

**2.0 SUMMARY**

2.1 The indicators in this report fulfil the requirement set out in the Audit Scotland Statutory Performance Indicators (SPIs) Direction 2015. The Direction specifies that the Council must report on how it performed in 2015/16 in two categories: *Corporate Management* and *Service Improvement*.

2.2 The other component of the SPIs Direction is the Local Government Benchmarking Framework (LGBF), details of which will be published by the Improvement Service in January 2017, including the Council’s ranking in comparison to the other Scottish local authorities. In the meantime, however, for completeness, the performance details submitted to the Improvement Service to allow them to compile the LGBF indicators are also included in this report. Full details of the Framework, including the Council’s ranking in comparison to the other Scottish local authorities, will be published by the Improvement Service in January 2017 and reported to the Corporate Management Team and the Policy and Resources Committee thereafter.

2.3 Appendix 1 outlines how the Council performed across the indicators grouped under the headings of *Corporate Management* and *Service Improvement*. The 2015/16 status of our performance indicators, together with the status for the previous two years is:

APPENDIX  
1

Status	green - good performance	amber - within tolerance	red - performance declined	no target set	not available	no activity
2015/16	57	19	14	11	18	3
2014/15	60	18	14	13	13	4
2013/14	61	15	12	7	19	2.



2.4 Appendix 2 outlines the Council's performance regarding the LBGF indicators. The 2015/16 status of the performance indicators, together with the status for the previous two years is:

Status	green - good performance	amber - within tolerance	red - performance declined	not included in this report
2015/16	10	2	1	3
2014/15	9	2	1	3
2013/14	10	1	1	3.

### 3.0 RECOMMENDATIONS

3.1 It is recommended that the Committee:

- a. notes the performance information outlined in this report;
- b. notes that a separate report will be prepared in 2017 when the 2015/16 LBGF indicators have been published and analysed and the Council's performance in relation to the other Scottish local authorities is known; and
- c. agrees that the information in the Appendices can be used to update the performance pages on the Council's website.

**Grant McGovern**  
**Head of Inclusive Education, Culture and Corporate Policy**

## 4.0 BACKGROUND

4.1 Improving corporate and service performance is a key priority for Inverclyde Council. Information is provided to key stakeholders to allow them to evaluate and make informed judgements about performance and progress made towards the achievement of key outcomes. Key performance indicators therefore provide an important measure of how Directorates contribute to the Council's strategic aims.

4.2 The Local Government Act 1992 requires local authorities to publish annual performance information. The Council's Statutory and Key Performance Indicators Annual Report 2014/15 was submitted to the Policy and Resources Committee in November last year and fulfilled that requirement for 2015; this report fulfils the requirement for 2016.

Min Ref  
P&R  
Cttee  
17.11.15  
Para  
756

4.3 At the meeting of the Policy and Resources Committee in November 2015, Elected Members asked Officers to review the Roads' customer satisfaction process with a view to improving participation; details of this review are outlined on page 60 of Appendix 1.

4.4 As per Audit Scotland's SPIs Direction 2015, the Council must monitor and report its performance to the public on a range of indicators under the following headings:

- Corporate Management (SPI 1)
- Service Performance (SPI 2)
- LGBF (SPI 3).

4.5 The main focus of this report is SPI 1 and SPI 2, with the full detail of SPI 3 for 2015/16 reported to the Policy and Resources Committee once it has been published by the Improvement Service in January 2017. In the meantime, however, for ease of reference, the performance information submitted to the Improvement Service to allow them to calculate the LGBF indicators is attached as Appendix 2.

4.6 The Council has an obligation under the SPIs Direction 2015 to provide the public with a rounded picture of our performance. Therefore, the information in the Appendices, once approved, will be published on the performance pages of the Council's website.

4.7 The performance indicators in Appendix 1 are arranged under the following headings:

### Corporate Management

- Assets
- Employees
- Equalities and diversity
- Procurement
- Responsiveness to communities
- Revenues and service costs
- Sustainable development

### Service Performance

- Benefits administration
- Child protection and children's social work
- Community care
- Criminal justice social work
- Cultural and community services
- Health and trading standards
- Homelessness
- Planning
- Protective services
- Education of children
- Waste management services.

4.8 Appendices 1 and 2 contain data for 2013/14, 2014/15 and 2015/16, together with target information and a commentary on the 2015/16 performance from the appropriate Council Service. The figures in the Appendices were in the main extracted from the Council's electronic performance management system *Inverclyde Performs*. Using a balanced scorecard approach, the system allocates the performance of each indicator a status:

green - good  
performance

amber - within  
tolerance

red - performance  
declined.

- 4.9 Each indicator has two set values, a target and an alarm. It should be noted, however, that the targets are not definitive targets as such: the target is the point where the status turns green for good performance and the alarm point is where it turns red for what is considered a declined performance. Anything in between these two points is designated as amber (within tolerance).

## 5.0 INDICATORS – 2015/16 POSITION

- 5.1 Appendix 1 outlines how the Council performed across the indicators grouped under the headings of *Corporate Management* and *Service Improvement*. The 2015/16 status of these performance indicators, together with the status for the previous two years is:

Status	green - good performance	amber - within tolerance	red - performance declined	no target set	not available	no activity
2015/16	57	19	14	11	18	3
2014/15	60	18	14	7	14	4
2013/14	61	15	12	7	19	2.

- 5.2 Due to the nature of the service provided, target and status details are not allocated to the following indicators:

SPI 035aK	Case conferences: % of child protection case conferences where parental drug misuse was identified
SPI 035bK	Case conferences: % of child protection case conferences where parental alcohol misuse was identified
SPI 056K	Ratio of child protection referrals: % of children who were placed on the Child Protection Register
SPI 030aK	Balance of care (respite): % of all respite care in a traditional setting
SPI 030diK	Respite care: total overnight provision (nights)
SPI 030diiK	Respite care: total day time hours provided
SPI 069aK	Trading standards: number of interventions carried out at business premises in Inverclyde Exclusions from school – 4 indicators.

- 5.3 Information for 2015/16 about five community care indicators is not currently available. However, as indicated at paragraph 5.2, targets have not been set for two of these indicators, therefore, their status details when known will not affect the overall status figures for 2015/16.

- 5.4 The Procurement Capability Assessment has been replaced by the Procurement and Commercial Improvement Programme which has a different criteria and scoring mechanism. The first audit of the Council's procurement service under the new regime has yet to be carried out; once it has been completed, details will be available for the following indicator:

Procurement and Commercial Improvement Programme, based on an annual audit by Scotland Excel.

5.5 Details regarding the following education indicators are no longer available:

**National 4 Qualifications**

% of the S4 cohort which achieved 5 or more qualifications at National 4

**Attainment – S4:**

**SPI 052aiiK** % of pupils reaching Level 3 in English and mathematics by the end of S4 - comparison with the national average

**SPI 052biiK** % of pupils achieving 5 passes at Level 3 by the end of S4 - comparison with the national average

**SPI 052ciiK** % of pupils achieving 5 passes at Level 5 by the end of S4 - comparison with the national average

**Attainment – S5:**

**SPI 052diiK** % of pupils achieving one pass at Level 6 by the end of S5 - comparison with the national average

**SPI 052eiiK** % of pupils achieving 3 passes at Level 6 by the end of S5 - comparison with the national average

**SPI 052fiiK** % of pupils achieving 5 passes at Level 6 by the end of S5 - comparison with the national average

**Attainment – S6:**

**SPI 052giiK** % of pupils achieving 3 passes at Level 6 by the end of S6 - comparison with the national average

**SPI 052hiiK** % of pupils achieving 5 passes at Level 6 by the end of S6 - comparison with the national average

**SPI 052iiiK** % of pupils achieving one pass at Level 7 by the end of S6 - comparison with the national average.

5.6 Appendix 2 outlines the Council's performance regarding the LGBF indicators. The general picture of these measures during 2015/16 is a positive one:

- 77% had green status;
- 15% had amber status: and
- 8% had red status.

The 2015/16 status of the LGBF indicators, together with the status for the previous two years is:

Status	green – performance improved	amber – within tolerance	red – performance declined	not included in this report
2015/16	10	2	1	3
2014/15	9	2	1	3
2013/14	10	1	1	3.

It should be noted that the LGBF performance information is submitted to the Improvement Service to allow them to compile the LGBF indicators; these details are also included in this report only for ease of reference.

5.7 A new indicator has been introduced to the LGBF for 2015/16:

**CORP 3c:** Equal opportunities policy: the % gender pay gap between the average hourly rate of pay for male and female Inverclyde Council employees.

This indicator has been included to provide a broader view of the gender pay balance across all employees in the Council, as well as a better representation of the progress Scottish local authorities are making in improving equality outcomes. Ultimately, this measure will replace indicator CORP3b: Equal opportunities policy: the % of the highest paid 5% of earners among Inverclyde Council employees that are women (excluding teachers); in the meantime, however, during the transition period, the data for both measures is still required to be reported to the Improvement Service.

While no target has been allocated to this indicator, it has been assigned a status with the aim of providing a measure of progress being made regarding the gender pay gap.

## 6.0 2015/16 PERFORMANCE INDICATORS OVERVIEW

6.1 Overall, the 2015/16 performance of the indicators under SPI 1 and SPI 2 was very positive:

- 61% had green status;
- 22% had amber status: and
- 17% had red status.

These figures exclude indicators which have no targets, where information is not currently available and those which have had no activity during the reporting year.

6.2 The following three indicators achieved or maintained maximum performance:

- SPI 057K** % Criminal justice social enquiry reports submitted to the courts by the due date
- SPI 068bS** Trading standards: % of advice requests completed within 14 days
- SPI 061K** Traffic light repairs: % completed within 48 hours.

6.3 Fifty-five of our indicators had green status in 2015/16. Examples of these indicators are listed below, together with a summarised commentary from the appropriate Council Service:

- **SPI 010aK: Health and safety: incident rate per 1,000 employees**

There was a substantial decrease (17.3%) in the number of health and safety incidents in 2015/16.

- **SPI 012K: Corporate aims: % of employees that understand how their work contributes to the Council's aims**

The number of employees that understand how their work contributes to the Council's aims and objectives has increased by 6% to 89%.

- **SPI 025aK: Equalities training: % of employees who have undertaken equalities training**

There was a significant increase (9.1%) in the number of employees who received equalities training in 2015/16, rising from 2.3% in 2014/15 to 11.4% in 2015/16.

- **SPI 023K: Reduction in the Council's carbon emissions in CO2 tonnes**

Following an increase between 2013/14 and 2014/15, the Council's carbon emissions reduced by 8.6% in the last reporting year.

- **SPI 067dK: Roads: gullies emptied per year**

While we saw a drop in the number of gullies emptied between 2013/14 and 2014/15, performance of this measure improved last year; we emptied 870 more gullies than the target figure, an increase of 15%.

#### **Looked after children's attainment:**

- **SPI 054aK: % of looked after children who achieved at least one qualification at SCQF Level 3 or better in the current diet for examinations**
- **SPI 054bK: % of looked after children who achieved SCQF Level 3 or better in English and mathematics by the end of S4**

Performance of both these measures improved during the last reporting year with the targets exceeded in both instances.

6.4 Fifteen of our indicators had red status in 2015/16. Examples of these indicators are listed below, together with a summarised commentary from the appropriate Council Service:

- **SPI 021K: Abandoned vehicles: % of vehicles uplifted within 14 days**

During the last year, we saw an unusually high number of vehicles being abandoned in the Inverclyde area. On two occasions, we were required to affix notices on vehicles which were on private land; these notices were in place over the 14 day period which resulted in the indicator's target of 14 days being exceeded.

- **Criminal justice social work**

Performance declined regarding the indicators which measure the percentage of service users whose induction/first meeting with a supervising officer took place within five working days of imposition of the court order, as well as the percentage of service users who began their first work placement within seven working days of imposition of court order.

- **SPI 038bK: Number of library issues per 1,000 population**

The continued reduction in the number of library issues in Inverclyde is comparable to the results of benchmarking activities which found that the national picture is also of a declining number of library issues. In response, Inverclyde libraries launched an eMagazine service and, together with our eBook/eAudio service, this has proved to be very popular.

- **Planning**

The performance of four Planning indicators declined in 2015/16; full details are provided on pages 49-53 of Appendix 1. However, despite the decline in performance, it should be noted that the planning application performance figures were still significantly better than the Scottish average.

- **SPI 067aK: Roads: customer satisfaction surveys completed**

We did not carry out any customer satisfaction surveys in 2015/16. A review of the survey process is being carried out with a view to enhancing customer engagement and improving the return rate for the questionnaires. A number of high profile, high spend projects have already been identified to test the new process; the first revised questionnaire is expected to be issued by the end of November 2016.

- **SPI 051K: % of schools/early years establishments receiving positive inspection reports**

Two inspections were carried out last year. One report was satisfactory while one had areas which require additional support; an action plan had been put in place to progress those areas.

- **SPI 052biK: % of pupils achieving 5 passes at Level 3 by the end of S4**

Between 2014/15 and 2015/16, the number of pupils who achieved five passes at Level 3 by the end of S4 reduced by 7.1%.

More detailed information on all indicators is included in the Appendices. It should be noted, however, that for indicators with a red status, the reason may be outwith the control of the Council. For example, the decline in performance of the abandoned vehicles indicator was because we were required to affix notices to vehicles which were on private land.

## 7.0 IMPLICATIONS

7.1 There are no direct financial implications arising from this report.

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 (if applicable)	Other Comments
n/a	n/a	n/a	n/a	n/a	n/a

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

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

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

7.5 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.

## **8.0 CONSULTATION**

8.1 The commentaries in the Appendices were provided by the appropriate Council Service.

## **9.0 BACKGROUND PAPERS**

9.1 There are no background papers relative to this report.

## **10.0 CONCLUSION**

10.1 The Council's Statutory and Key Performance Indicators Annual Report 2015/16 is presented for the Committee's information with the suggestion that the details in the Appendices are used to update the performance pages on the Council's website. The Committee is asked to note that a separate report will be prepared in 2017 when the 2015/16 LGBF indicators have been published and analysed and the Council's performance in relation to the other Scottish local authorities is known.



## Inverclyde Council's Statutory and Key Performance Indicators Annual Report 2015/16

Inverclyde Council has a statutory duty to capture and record how well it performs in relation to a wide range of performance information. Our performance, as set out in Audit Scotland's SPIs Direction 2015 under SPI 1 and SPI 2, is presented in this Appendix.


The report contains information on how the Council has performed regarding our indicators under the headings *Corporate Management* and *Service Performance*. It aims to give our stakeholders, and the public in particular, a better understanding of how services provided by Inverclyde Council are performing and how this performance has changed over time.


The status column indicates whether performance is considered to be:

↑ green - good performance

↔ amber - within tolerance

↓ red - performance declined.

Also included is information on whether performance has improved or declined over time. To find out more about the Council's performance, visit  [Inverclyde Council's Performance](#).

You may also be interested in the Council's performance regarding the Society of Local Authority Chief Executives Local Government Benchmarking Framework (LGBF) Indicators, as set out in Audit Scotland's SPIs Direction 2015 under SPI 3. These indicators provide details of the Council's performance across a range of areas compared to the Scottish average, together with our ranking in relation to the other 31 Scottish local authorities. The LGBF 2015/16 indicators, to be published by the Improvement Service in January 2017, will be available here  [Local Government Benchmarking Framework](#).

**Inverclyde Council's Statutory and Key Performance Indicators Annual Report 2015/16**

<b>Corporate management</b>	<b>Page</b>
• Assets	3
• Employees	6
• Equalities and diversity	9
• Procurement	11
• Responsiveness to communities	13
• Revenues and service costs	17
• Sustainable development	18

<b>Service performance</b>	<b>Page</b>
• Benefits administration	22
• Child protection and children's social work	24
• Community care	29
• Criminal justice social work	36
• Cultural and community services	38
• Health and trading standards	41
• Homelessness	46
• Planning	49
• Protective services	53
• Education of children	60
• Waste management services	81

## Corporate management – assets

		Status	
<b>SPI 015aK</b>	Access to buildings: % of residents who accessed Council buildings in the past 12 months	●	↑ green - improved
<b>SPI 015bK</b>	Access to buildings: % of residents who found Council buildings easy to access	●	↓ red - improved but below target
<b>SPI 016K</b>	Property maintenance response times: % of repairs completed within target time	●	↓ green - slight decline but still above target

## a. Indicator details: Access to buildings

<b>SPI 015aK</b>	<b>Access to buildings: % of residents who accessed Council buildings in the past 12 months</b>		
	<b>2010</b>	<b>2012</b>	<b>2014</b>
	26	29	41
			<b>Target</b> 30


<b>SPI 015bK</b>	<b>Access to buildings: % of residents who found Council buildings easy to access</b>		
	<b>2010</b>	<b>2012</b>	<b>2014</b>
	93	79	88
			<b>Target</b> 95

## What the above data tells us:

The first indicator is simply a measure of visits to Council premises rather than a measure of performance. Between 2012 and 2014, there was an increase of 12% in the percentage of residents who accessed Council buildings; the 2014 figure of 41% is therefore well in excess of our target of 30%.

We also saw an increase (of 9%) in the percentage of residents who found Council buildings easy to access. Although the figure is high, this still means that the 2014 figure of 88% is 7% below our target figure of 95%.

**Further information:** This data has been extracted from the Council's Citizens' Panel survey results. Citizens' Panel questionnaires are distributed to a representative sample of 1,000 Inverclyde residents. Questions are repeated periodically to allow us to assess whether improvement has been achieved. Questions about these measures will therefore be included in the Citizens' Panel Autumn 2016 survey, the results from which will provide us with updated information for these two indicators.

It should be noted that such sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/- 4%, therefore, for example, the 41% of respondents who accessed Council buildings in the past 12 months will lie within the range 37-45%. To view the results from the Citizens' Panel questionnaires, visit  [Citizens' Panel](#).

The Council's office modernisation/rationalisation programme has resulted in improved accommodation and we are encouraged that the performance of the second indicator has improved. We will continue to upgrade our buildings over the next few years.

**b. Indicator details: Property maintenance**

SPI 016K	Property maintenance response times: % of repairs completed within target time		
2013/14	2014/15	2015/16	Target
93.5	92.5	90.2	90

**What the above data tells us:**

This indicator demonstrates the service level response times for maintenance support services achieved for properties under the control of Legal and Property Services. All emergency repairs are identified with a priority 1 category and are responded to by maintenance contractors within agreed timescales. The effectiveness of the existing emergency repairs service is measured against the performance of both in-house and external contractors. Whilst the percentage of repairs completed on time fell in 2015/16, it remains high and above the target. This is therefore categorised as maintaining a good performance level.

**Further information:** The data is collated and measured verifying the contractor's ability to achieve the agreed target i.e. by responding and attending on-site within the first two hours following notification. Whilst there can be different reasons or factors which drive the requirement for emergency repairs responses, such repairs would be attributable to specific building-related issues or faults reported for each individual property under normal circumstances.

However, the very nature, type and volume of emergency repairs can vary significantly and, on occasion particularly when influenced by unforeseen, adverse or seasonal factors (such as flooding, utilities disruption, snow falls or freezing temperatures) can impact upon the contractor's ability to respond within the target time. In this type of situation, such circumstances should be taken into context when evaluating and measuring emergency reactive response times. Demand-led periods are recognised as being attributable due to the unusually high volume demand placed upon approved term contractors which, in certain circumstances, can lead to a slight decline in performance levels.

## Corporate management – employees

		Status	
<b>SPI 010aK</b>	Health and safety: incident rate per 1,000 employees	●	↑ green – improved
<b>SPI 010bK</b>	Health and safety: average time lost (in days) to the Council per incident	●	↓ green – small decline but above target
<b>SPI 011K</b>	Employee satisfaction: % of employees who are satisfied with their jobs	●	↑ green – improved
<b>SPI 012K</b>	Corporate aims: % of employees who understand how their work contributes to the Council's aims	●	↑ green – improved

## a. Indicator details: Health and safety

<b>SPI 010aK</b>	Health and safety: incident rate per 1,000 employees			
	2013/14	2014/15	2015/16	Target
	55.7	87.7	70.4	80

<b>SPI 010bK</b>	Health and safety: average time lost (in days) to the Council per incident			
	2013/14	2014/15	2015/16	Target
	2.1	1.5	1.7	2.0

**What the above data tells us:**

There was a substantial decrease (17.3%) in the number of health and safety incidents in 2015/16 which means the performance of this measure is above target. While the amount of lost time following incidents increased very slightly (0.2 days), performance is still comfortably above target.

**Further information:** It is important that Council Services utilise the information available from the detailed incidents statistics to recognise where weaknesses in systems and procedures exist and to ensure that health and safety policies and procedures are implemented. To assist Services to do so, incident information is included in the quarterly Workplace Information and Activity Reports issued by the Human Resources and Organisational Development Service.

Incident rates are calculated using headcount. Overall, we have seen an increase in the total number of reports since 2013/14, however, there was a decrease in reports in comparison to 2014/15. The number of major injuries has remained relatively low. Overall, the recent large increase in the total number of incidents reported in the last two years is indicative of improved reporting. We attribute the rise in *total incident reports* to the introduction of the new on-line reporting system during 2013/14 which has made it easier for employees to report incidents.

Incidents reported as violence to employees account for 52% of all incidents reported, with 60% reported in the Education, Communities and Organisational Development Directorate, 36% in the Health and Social Care Partnership (HSCP) and the remainder in the Environment, Regeneration and Resources Directorate. Within the education and social care sector, care must be taken when interpreting these statistics. The use of the terms *violence* and *abuse* in relation to incidents is often emotive and must be placed in context; there is a significant difference between violence instigated by someone with deliberate intent and that by a young person who, due to communication difficulties, medication changes etc, lacks awareness or control of their actions. The majority of the reported incidents lie within the area of pupils or service users with additional support needs and are, in general, related to a small number of pupils or service users with very complex support needs. A very typical pattern in reporting is to see an increase in reports associated with one pupil or service user and then to see the number of reports reduce as support mechanisms are established and support plans implemented.

It is expected that the Council's *Positive Relations, Positive Behaviour Policy*, which has been implemented within the Education Service and the HSCP, and the *Promoting Positive Behaviour Training Programme* will be key initiatives to assist in bringing these figures down. The *Positive Relations, Positive Behaviour Policy* sets out strategies for use in the Education Service to bring about positive behaviour changes through support, strategies and understanding, within a calm, controlled environment. While on paper it would appear that there has been an increased in reported incidents, much of this increase is due to increased understanding of the requirement to report incidents. By doing so, a greater understanding of the situation, any triggers, any action taken and the effectiveness of this in terms of the response of the young person, can be measured and monitored. The impact of the Policy and the Training Programme will also be monitored.

**b. Indicator details: Employee feedback**

SPI 011K	Employee satisfaction: % of employees who are satisfied with their jobs		
2010	2012	2015	Target
69.1	79	80	80

SPI 012K	Corporate aims: % of employees that understand how their work contributes to the Council's aims		
2010	2012	2015	Target
50	83	89	85

**What the above data tells us:**

The most recent data was extracted from the Council's Employee Survey 2015 which shows a small increase (1%) in the number of employees who are satisfied with their jobs; this improvement resulted in the indicator achieving its target.


There has also been an increase (6%) in the number of employees that understand how their work contributes to the Council's aims and objectives, meaning that this measure exceeded its target by 4%.

**Further information:** Council employees were invited to complete an Employee Survey in Winter 2015. A return rate of 26% was achieved and the responses were analysed by an independent market research company. The survey results were reported to the Policy and Resources Committee and can be viewed here: [Employee Survey 2015 - Results](#) (agenda item 14).

The Council benchmarks its Employee Survey results with local authorities that make up the Public Service Improvement Framework Benchmarking Network Group. Previous results have compared very favourably, with Inverclyde Council being one of the best performing local authorities in terms of positive responses and this exercise will be carried out again with the results from last year's Employee Survey.



## Corporate management - equalities and diversity

		Status	
<b>SPI 025aK</b>	Equalities training: % of employees who have undertaken equalities training		↑ green – improved

## a. Indicator details: Equalities training

SPI 025aK	Equalities training: % of employees who have undertaken equalities training		
2013/14	2014/15	2015/16	Target
3.2	2.3	11.4	7.3


**What the above data tells us:**

There was a significant increase (9.1%) in the number of employees who received equalities training in 2015/16. The improved performance of this indicator means that last year's target was exceeded by more than 4%.


**Further information:** The Equalities Officer post was vacant for a period during 2014/15 and 2015/16. The new Equalities Officer promoted the equalities training through the Council's Corporate Equalities Group which is likely to have contributed to the increase in the uptake of training on this subject in 2015/16.

In 2015/16, equalities training was provided in a variety of ways including a series of equality awareness sessions and face-to-face sessions delivered by the Council's Training and Development Team Leader. In addition, training was delivered to 16 employees in the Libraries service.

The Council's e-learning portal offers a general equalities awareness course as well as individual sessions on each of the protected characteristics. In 2015/16, 425 e-learning equality courses were completed across the Council; an increase of 124 from 2014/15.

The Council is currently refreshing its equality outcomes, based on engagement with Council Services and communities; the new outcomes will be published in April 2017. To find out more about the Council's work on equality and diversity, visit:  [Equality and diversity](#).

### Corporate management - procurement

		Status	
	Procurement and Commercial Improvement Programme, based on an annual audit by Scotland Excel	new indicator for 2016	
<b>ERR CDIP KPI05</b>	Procurement work stream savings		↑ green - target met

#### a. Indicator details: Procurement and Commercial Improvement Programme assessment

Procurement and Commercial Improvement Programme, based on an annual audit by Scotland Excel			
2014	2015	2016	Target
new indicator for 2016		date of audit to be confirmed	55%

#### What the above data tells us:

The area of procurement has seen a significant improvement with a year-on-year increase in the Council's Procurement Capability Assessment (PCA) score from a low of 4% in 2009 to 62% in 2014.

The PCA has been replaced by the Procurement and Commercial Improvement Programme (PCIP) which has a different criteria and scoring mechanism. The first audit of the Council's procurement service under the new regime has yet to be carried out.

Our last score under the PCA regime was 62% which placed the Council on an equal footing with its peers. A similar or better performance in the PCIP assessment would represent success; however, given that the new regime is more challenging than its predecessor, an appropriate target of 55% has been set.

**Further information:** The Council's PCA score was assessed by Scotland Excel. This is a 2-day evidence-based audit of procurement which all Scottish public sector bodies within the local government, health and further education sectors are subjected to. The objective of the PCA is to assist organisations to improve their structure, capability, processes and ultimately performance, by attaining a level of performance that is

appropriate to the scale and complexity of their organisation. Topics covered are procurement leadership and governance; procurement strategy and objectives; defining the supply need; project strategies and collaborative purchasing; contract and supplier management; key purchasing processes and systems; people; and performance management.

The improvement in the Council's PCA performance was the result of work carried out under the Council's Strategic Procurement Framework which is directly linked to the eight sections of the PCA audit. Our Audit scores were:

	%
2009	4
2010	15
2011	37
2012	47
2013	54
2014	62

As well as improving our PCA audit score, the Council has achieved savings from improved procurement practice:

ERR CDIP KPI05	Procurement work stream savings in £			
	2013/14	2014/15	2015/16	Target 2015/16
	173,000	60,000	60,000	60,000

To find out more about our procurement practices and for information on how to do business with the Council, visit  [Procurement](#).

## Corporate management – responsiveness to communities

		Status	
<b>SPI 001K</b>	Customer feedback: % of residents satisfied they can influence decisions affecting the local area	●	↑ green - improved
<b>SPI 002aK</b>	Community safety: % of residents satisfied or very satisfied with their neighbourhood as a place to live	●	↓ green – small decrease but above target
<b>SPI 002bK</b>	Community safety: % of respondents reporting a reduction in anti-social behaviour in the last 12 months	●	↑ green - improved
<b>SPI 003K</b>	Community engagement: increased evidence of the impact/influence by communities on strategic and service plans (expressed as the number of examples of impact)	●	↑ green - improved
<b>SPI 004K</b>	Community regeneration: % of community organisations and groups within disadvantaged neighbourhoods and excluded groups which had increased their capacity	●	↔ amber - improved but below target

## a. Indicator details: Customer feedback and community safety

<b>SPI 001K</b>	<b>Customer feedback: % of residents satisfied they can influence decisions affecting the local area</b>		
	<b>2010</b>	<b>2012</b>	<b>2014</b>
	47	38	47
			<b>Target</b>
			40

<b>SPI 002aK</b>	<b>Community safety: % of residents either satisfied or very satisfied with their neighbourhood as a place to live</b>		
	<b>2011</b>	<b>2014</b>	<b>2016</b>
	84	85	81
			<b>Target</b>
			80

SPI 002bK	Community safety: % of respondents reporting a reduction in anti-social behaviour in the last 12 months		
2011	2014	2016	Target
10	13	33	14

#### What the above data tells us:

Following a decrease in 2012, the percentage of residents who feel they can influence decisions affecting the local area returned to 47% in 2014, the same figure as 2010 and well above the target of 40%. Meanwhile, the percentage of residents satisfied with their neighbourhood as a place to live has remained fairly steady during the last five years; the 2016 figure is also above target.

The number of people who noticed a reduction in anti-social behaviour in the last 12 months increased between 2014 and 2016, putting performance of this measure well above target.

**Further information:** Information for these indicators is gathered from Citizens' Panel surveys. Citizens' Panel questionnaires are distributed to a representative sample of 1,000 Inverclyde residents. Questions are repeated periodically to allow us to assess whether improvement has been achieved. A question about the first measure will be included in the Citizens' Panel Autumn 2016 survey while questions about the other measures were included in the Citizens' Panel Spring 2016 survey; the results from these questionnaires provide us with updated figures for these three indicators. It should be noted that such sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/- 4%; therefore, for example, the 47% of respondents who are satisfied they can influence decisions affecting the local area will lie within the range 43-51%.

Work led by the Council's Community Learning and Development Team aims to engage communities more effectively across Inverclyde, in a proactive and positive way, supporting them to better influence decision-making locally. It is hoped that this work will improve the number of residents who feel they have influenced local decisions. The Forum of Community Councils and Associations has had initial meetings to discuss how best to gather the *community's voice* and influence decision making; this work will develop over coming year.

While there was a small reduction (4%) since two years ago in the number of respondents who are satisfied with their neighbourhood as a place to live, we are encouraged to see that the figure remains very high at 81% which is also above target. There has been a huge increase (20%) in the number of Panel members who have noticed a reduction in anti-social behaviour in their neighbourhood, rising from 13% in 2014 to 33% this year; this makes the 2016 figure considerably above target.

**b. Indicator details: Community engagement and regeneration**

<b>SPI 003K</b>	<b>Community engagement: increased evidence of the impact/influence by communities on strategic and service plans (expressed as the number of examples of impact)</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	22	19	21	12

<b>SPI 004K</b>	<b>Community regeneration: % of community organisations within disadvantaged neighbourhoods and excluded groups which had increased their capacity</b>			
	<b>2013/14</b>	<b>2014/5</b>	<b>2015/16</b>	<b>Target</b>
	100	63.3	77	80

**What the above data tells us:**

The performance for both indicators improved between 2014/15 and 2015/16; the target for the first indicator was exceeded while the performance of the second measure was just short of the target figure.

**Further information:** The Council's Community Learning and Development (CLD) Team has supported a number of neighbourhood community organisations, ranging from community councils, tenants' and residents' groups and community associations to health and interest groups, to effect change and influence local and strategic planning. Groups have successfully effected positive change in a numbers of ways including the development of local services and facilities, improved housing, environmental improvements in local areas such as community gardens and play parks; they have also contributed to and shaped thinking on a range of key local issues, for example, road safety and wind farms. Community groups have influenced and been involved in the service delivery of community-based adult learning and youth services. The Team has flexible methods of supporting groups, for example, by offering short-term intensive support (3-6 months) as well as longer term support.

All the community organisations the CLD Team have worked with increased their capacity, progressing their confidence, organisational skills, equality and involvement levels through training and active learning; for example, committee skills training, one-to-one support for office bearers, youth work legislation, and improved understanding of local needs through feedback from consultation events and from Listening Surveys and Focus Groups conducted by CLD staff. Knowledge, skills and understanding of a range of specific issues/areas also improved through increasing active participation in local developments and the use of locality based meetings to bring groups together under common issues/information sharing.

There were 46 groups in 2015/16, nine of which were new. All established groups (37 in total) reported increased capacity. Almost 460 community members received training and support during the last year.



## Corporate management - revenues and service costs

		Status	
SPI 008K	Collection of sundry debtors accounts: % proportion of outstanding debt that is more than 90 days old from date of invoice as at 31 March	●	↔ amber – performance declined but within tolerance

## a. Indicator details: Sundry debtors

SPI 008K	Collection of sundry debtors accounts: % proportion of outstanding debt that is more than 90 days old from date of invoice as at 31 March			
	2013/14	2014/15	2015/16	Target
	36.30	26.55	31.17	30

## What the above data tells us:

It is difficult to control the performance of the sundry debt indicator as one or two very large outstanding invoices can have an adverse effect on the percentage of debt outstanding. While there was an increase of 4.62% in the proportion of outstanding debt that is more than 90 days old, the performance of this indicator is still very close to the target. It should be noted that, since 2014, the Council's global sum for sundry debt has reduced substantially which has the effect of inflating the figure regarding the percentage of debt that is over 90 days.

**Further information:** The Council carries out enforcement works on properties in the area from which there are unpaid invoices. This is an example of where performance can be affected. It should be noted that, while many of the sundry debtors have outstanding balances that are reflected in the outstanding percentage figure, they also have payment plans in place. The Council's revenue services have robust processes, including quarterly meetings with the Council's Chief Financial Officer, to ensure that appropriate recovery action is undertaken.

### Corporate management – sustainable development

		Status	
<b>SPI 021K</b>	Abandoned vehicles: % of vehicles uplifted within 14 days	●	↓ red - declined
<b>SPI 022K</b>	CO <sub>2</sub> emissions within the scope of influence of the local authority, per capita, in CO <sub>2</sub> tonnes	●	↑ green – improved
<b>SPI 023K</b>	Reduction in the Council's carbon emissions in CO <sub>2</sub> tonnes	●	↑ green – improved

#### a. Indicator details: Abandoned vehicles

<b>SPI 021K</b>	<b>Abandoned vehicles: % of vehicles uplifted within 14 days</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	there were no abandoned vehicles in 2013/14	100	71.4
			<b>Target</b> <b>100</b>

#### What the above data tells us:

During 2015/16, there were seven vehicles abandoned in Inverclyde; of these, five were uplifted within the target of 14 days.

**Further information:** Under The Environmental Protection Act 1990, the Council is required to uplift abandoned vehicles within 14 days.

There can be significant fluctuations in the performance levels of this indicator due to the small number of vehicles involved (for example, 3 in 2012/13 and one in 2014/15). During 2015/16, we saw an increase in abandoned vehicles which resulted in the unusually high number of seven vehicles being abandoned in the Inverclyde area. On two occasions, we were required to affix notices on vehicles which were on private land; these notices are in place over the 14 day period which resulted in the target of 14 days being exceeded.

b. Indicator details: Inverclyde's 'area-wide' carbon emissions

SPI 022K	CO <sub>2</sub> emissions within the scope of influence of the local authority, per capita, in CO <sub>2</sub> tonnes			
	2012	2013	2014	Target
	5.6	5.4	4.7	5.2

**What the above data tells us:**

Inverclyde's 'area-wide' emissions decreased by 0.7 CO<sub>2</sub> tonnes per capita between 2013 and 2014 (the 2014 figure is the most recent available). This is explained by large decreases in emissions from the industrial and commercial sector and the domestic sector; in particular, these sectors showed large reductions in emissions from electricity use.

**Further information:** This indicator calculates emissions from the use of gas, electricity and other fuels by the industrial and commercial, agricultural and domestic sectors, along with emissions from the transport sector.

Inverclyde's emissions have been consistently lower than the Scottish average since 2012:

CO <sub>2</sub> emissions within the scope of influence of the local authority, per capita, in CO <sub>2</sub> tonnes				
Year	Inverclyde total	Scotland total	Difference	Inverclyde population estimate used in calculation
2012	5.6	6.8	-1.2	80,700
2013	5.4	6.6	-1.2	80,300
2014	4.7	5.7	-1.0	79,900

To find out more about 'area-wide' emissions, visit:  [UK local authority and regional carbon dioxide emissions national statistics: 2005/14.](#)

**c. Indicator details: Inverclyde Council's carbon emissions**

SPI 023K	Reduction in the Council's carbon emissions in CO <sub>2</sub> tonnes		
2013/14	2014/15	2015/16	Target
25,783	27,335	24,985	3,119 by 2016/17

**What the above data tells us:**

Between 2014/15 and 2015/16, the Council's carbon emissions decreased by 2,350 CO<sub>2</sub> tonnes or 8.6%.

**Further information:** The Council's Carbon Management Plan 2012/17 aims to reduce emissions by 12% during the five year period from 2011/12; this is the equivalent of 624 CO<sub>2</sub> tonnes per year. Figures for this indicator comprise data from six areas: energy use in buildings, street lighting, fleet transport, business travel, water and waste.

Between 2014/15 and 2015/16, all the Council's sources of carbon, with the exception of fleet transport, showed a reduction in emissions:

	% change between 2014/15 and 2015/16
Energy use in buildings	- 10.2
Street lighting	- 16.9
Fleet transport	+ 0.2
Business travel	- 8.5
Water	- 10.7
Waste	- 5.6

In 2015/16, the biggest reduction in the Council's emissions was from street lighting which saw a decrease of almost 17%; this was achieved as a result of a combination of replacing existing lamps with much more efficient LED (light-emitting diode) lamps and dimming lamps during the very early mornings in areas of Inverclyde where traffic and pedestrian levels are known to be low.

For more information about the Council's Carbon Management Plan 2012/17, visit  [Carbon Management Plan 2012/17](#).

The conversion factors used in the above calculations are based on the latest guidance from the Department for Environment, Food and Rural Affairs and the Department of Energy and Climate Change.

## Service performance - benefits administration

		Status	
<b>SPI 026S</b>	Benefits administration: gross administration cost per case in £	●	↓ green – very small decline but still good performance
<b>SPI 027K</b>	Accuracy of Benefits payments: % of cases where the calculation of Benefit due was correct	●	↑ green – improved
<b>SPI 028aK</b>	Speed of Benefits processing: average number of days per case to process new Housing Benefit/Council Tax reduction claims	●	↑ amber – performance improved but is above target
<b>SPI 028bK</b>	Speed of Benefits processing: average number of days per case to process Housing Benefit/Council Tax Benefit reduction claim changes of circumstances	●	↑ green – improved

## a. Indicator details: Benefits administration

<b>SPI 026S</b>	<b>Benefits administration: gross administration cost per case in £</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	39.99	40.55	41.46
			<b>Target</b>
			<b>45.00</b>

<b>SPI 027K</b>	<b>Accuracy of Benefits payments: % of cases where the calculation of Benefit due was correct</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	99.6	99	99.4
			<b>Target</b>
			<b>99</b>

SPI 028aK Speed of Benefits processing: average number of days per case to process new Housing Benefit/Council Tax reduction claims			
2013/14	2014/15	2015/16	Target
22	27.7	25.98	23

SPI 028bK Speed of Benefits processing: average number of days per case to process Housing Benefit/Council Tax Benefit reduction claim changes of circumstances			
2013/14	2014/15	2015/16	Target
5	4.2	4.02	6

#### What the above data tells us:

In 2015/16, the gross cost per case for Benefits administration rose by a very small amount (£0.91); however, the indicator's performance is still good and well below target.

There was a small improvement (0.4%) in the accuracy of Benefits payments calculations with performance exceeding the target.

The average number of days taken to process new Housing Benefit/Council Tax reduction fell by 1.72 days in 2015/16 while the speed of processing Housing Benefit/Council Tax Benefit reduction claim changes of circumstances also reduced (by 0.18 days) making performance well below target.

**Further information:** The gross administration cost per case for processing Housing Benefit and Council Tax reductions is largely out with the control of the Benefits service. Recharges such as accommodation charges impact on the first indicator above. The Benefits service does, however, have controls in place to ensure controllable costs are kept to a minimum.

The consistently high level of accuracy of Benefits payments reflects the robust quality assurance measures in place within the Benefits service; this is an example of the effective management and hard work delivered by the Benefits service.

### Service performance – child protection and children’s social work

		Status	
<b>SPI 034K</b>	Supervision requirement: % of children issued with a new supervision requirement who were seen by a supervising officer within timescale	●	↓ amber – performance declined but is within tolerance
<b>SPI 035aK</b>	Case conferences: % of child protection case conferences where parental drug misuse was identified	no targets have been set due to the nature of these indicators	
<b>SPI 035bK</b>	Case conferences: % of child protection case conferences where parental alcohol misuse was identified		
<b>SPI 053K</b>	% of social background reports submitted to the Scottish Children’s Reporter Administration within timescale	●	↑ amber – performance improved but is just below target
<b>SPI 055K</b>	Looked-after and accommodated children: community placements as a % of total placements	●	↓ amber – performance declined but is within tolerance
<b>SPI 056K</b>	Ratio of child protection referrals: % of children who were placed on the Child Protection Register	no target has been set due to the nature of this indicator	

#### a. Indicator details: Supervision requirements

<b>SPI 034K</b>	<b>Supervision requirement: % of children issued with a new supervision requirement who were seen by a supervising officer within timescale</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	100	96.2	91.5
			<b>Target</b> 95



**What the above data tells us:**

The number of new supervision orders issued within timescale reduced by 4.7% in 2015/16. While performance for this indicator is below target for that reporting year, it is still within a tolerable level.

**Further information:** This indicator tells us how quickly a child is seen by a social worker following a decision at a children's hearing to place the child on a statutory supervision order.

## b. Indicator details: Case conferences

SPI 035aK	Case conferences: % of child protection case conferences where parental drug misuse was identified		
2013/14	2014/15	2015/16	Target
21.9*	31.9*	26.2	-

SPI 035bK	Case conferences: % of child protection case conferences where parental alcohol misuse was identified		
2013/14	2014/15	2015/16	Target
27.7*	23.7*	25.5	-

**What the above data tells us:**

Between 2014/15 and 2015/16, there was a decrease of 5.7% in the number of child protection case conferences where parental drug misuse was identified. During the same period, there was a slight increase (1.8%) in cases where parental alcohol misuse was identified.

**Further information:** Parental drug and/or alcohol abuse are among a range of concerns identified for children at child protection case conferences, which are likely to be contributing factors to a child being at risk and may determine the decision or outcome of a child being placed on the Child Protection Register. This knowledge provides social workers with critical information which helps in the case management of these children and their families.

\* The methodology used to calculate the 2013/14 and 2014/15 figures has changed, therefore, the figures for those years have been adjusted accordingly

**c. Indicator details: Social background reports**

SPI 053K	% of social background reports submitted to the Scottish Children's Reporter Administration within timescale		
2013/14	2014/15	2015/16	Target
75.12	65	68	69

**What the above data tells us:**

The data shows that the number of social background reports submitted within timescale improved between 2014/15 and 2015/16; the figure for the last reporting was just 1% below target.

**Further information:** This indicator provides information on how quickly a social background report is completed and submitted by social work to the Children's Reporter for a children's hearing where an outcome decision may be made for the child. This was previously a national standard; the Inverclyde Health and Social Care Partnership children and families management set a local target in an effort to meet the standard.

Reasons for the late submission of social background reports include resource scheduling changes, annual leave, sick leave, changes in a child's circumstances or a need for further information.

## d. Indicator details: Child protection

SPI 055K	Looked after and accommodated children: community placements as a % of total placements			
	2013/14	2014/15	2015/16	Target
	88.4	86.2	84.6	88

SPI 056K	Ratio of child protection referrals: % of children who were placed on the Child Protection Register			
	2013/14	2014/15	2015/16	Target
	35.5	30	32.3	-

**What the above data tells us:**





The number of looked after and accommodated children in community placements showed a very slight decrease (of 1.6%) between 2014/15 and 2016/16; while performance of this indicator is below target, it is still within a tolerable level.

Although it is not appropriate to set a target for the percentage of children who are placed on the Child Protection Register, the number of referrals that resulted in a child or children being placed on the Register has fallen from 35.5% in 2013/14 to 32.3% in 2015/16.

**Further information:** Performance in child protection information can vary, depending on specific cases that are referred to the service; therefore it is very difficult to set targets in this area. However, the service maintains close scrutiny of all areas of child protection work. Activity is monitored through quarterly performance service reviews, quarterly progress and status reports and the Child Protection Committee. An annual data return on child protection is also submitted to the Scottish Government and a national bulletin published each year showing comparative data.

Nationally, the number of children on the Child Protection Register has fluctuated regularly, but there is a general upwards trend; the total number of children on the Register increased by 34% between 2000 and 2015 (from 2,050 to 2,751).

## Service performance – community care

		Status	
<b>SPI 029aS</b>	Number of people aged 65+ receiving home care		↑ green - improved
<b>SPI 029bS</b>	Home care hours per 1,000 population aged 65+		↓ red - declined
<b>SPI 029c1S</b>	% of people aged 65+ receiving personal care (based on the % who need personal care)		↑ green - improved
<b>SPI 029c2S</b>	% of people aged 65+ receiving a service during evenings/overnight	not available	
<b>SPI 029c3S</b>	% of people aged 65+ receiving a service at weekends		
<b>SPI 030aK</b>	Balance of care (respite): % of all respite care in a traditional setting		
<b>SPI 030diK</b>	Respite care: total overnight provision (nights)	no targets have been set due to the nature of these indicators	
<b>SPI 030diiK</b>	Respite care: total day time hours provided		
<b>SPI 032K</b>	Carers: % of carers feeling they receive enough support in their caring role		↓ red - declined

## a. Indicator details: Home care and personal care

<b>SPI 029aS</b>	<b>Number of people aged 65+ receiving home care</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	1,177	1,071	1,155
			<b>Target</b> 1,082

<b>SPI 029bS</b>	<b>Home care hours per 1,000 population aged 65+</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	662.91	783	560.92	822.15

<b>SPI 029c1S</b>	<b>% of people aged 65+ receiving personal care (based on the % who need personal care)</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	96.5	86.1	94.5	91.1

<b>SPI 029c2S</b>	<b>% of people aged 65+ receiving a service during evenings/overnight</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	28.5	36	-	37

<b>SPI 029c3S</b>	<b>% of people aged 65+ receiving a service at weekends</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	79.1	91.1	-	92.1

#### **What the above data tells us:**

The data shows there were 84 more people aged 65+ who received care at home during the last year; this has come back into line with the 2013/14 figure. However, the number of home care hours per 1,000 population for this age group decreased by 222.08 between 2014/15 and 2015/16.

The percentage of people aged 65+ receiving personal care increased by 8.4% (this figure is based on the percentage of people who are in need of and therefore receive personal care).

Information is not currently available for 2015/16 regarding the percentage of people aged 65+ receiving a service during evenings/overnight and at weekends.

**Further information:**

## b. Indicator details: Respite care

SPI 030aK	Balance of care (respite) % of all respite care in a traditional setting			
	2013/14	2014/15	2015/16	Target
	30.8	28.4	-	-

SPI 030diK	Respite care: total overnight provision			
	2013/14	2014/15	2015/16	Target
	7,809 nights	6,291 nights	-	-

SPI 030diiK	Respite care: total day time hours provided			
	2013/14	2014/15	2015/16	Target
	517,713	514,708	-	-

**What the above data tells us:**

The number of overnight short breaks (respite) provided in a traditional setting decreased between 2013/14 and 2014/15. We introduced a new category of short-term care to reflect the number of service users who require care and support in a care home setting on a short-term basis; this was previously coded as short breaks (respite). There is a steady increase in the uptake of more natural and community-based short breaks (respite), including city breaks, theatre breaks and family breaks.

Information is not currently available for 2015/16 regarding the above three indicators.

**Further information:** The commitment to increase the shift in the balance of care in relation to short breaks will be strengthened by the review of the Short Breaks Strategy and the Short Breaks Bureau. This will help to reinvigorate the intention to build on the need to introduce more



options for service users and their families and carers through the implementation of Self-Directed Support by promoting good practice around innovative and creative short breaks to ensure better outcomes.

## c. Indicator details: Carers

SPI 032K	Carers: % of carers feeling they receive enough support in their caring role		
2010	2012	2014	Target
54	55	53	60

**What the above data tells us:**

This performance information was derived from the Council's Citizens' Panel questionnaires. Since 2010, the percentage of carers feeling they receive enough support in their caring role has remained fairly steady at just over half of all respondents.

**Further information:** Citizens' Panel surveys are sent to a representative sample of 1,000 Inverclyde residents. Questions are repeated periodically to allow us to assess whether improvement has been achieved. A question about this measure will therefore be included in the Citizens' Panel Autumn 2016 survey, the results from which will provide us with an updated figure for this indicator.




It should be noted, however, that membership of the Citizens' Panel is refreshed by a third every year. It follows therefore that, when the question is repeated about whether carers feel they receive enough support in their caring role, the composition of the Panel will be different in each of the above reporting years. It should also be noted that the return rate for Citizens' Panel surveys is typically around 64%, therefore, the above figures each represent the opinions of around 640 local people, 410 of whom told us in 2014 that they *look after, or give help or support to family members, friends, neighbours or others because of long term physical or mental ill health or disability or problems related to old age.*

Surveys like those sent to the Citizens' Panel are subject to a degree of random error. The margin of error within the data supplied is +/- 4%; therefore, for example, the 53% of carers who in 2014 felt they receive enough support in their caring role will lie within the range 49-57%.

The Inverclyde Carers' Centre provides support to unpaid carers who look after relatives or friends who could not manage alone due to illness, disability, addiction or frailty. The Centre is a user-led organisation with directors drawn from existing membership which is open to all carers or former carers registered with the Centre. Since it opened, the Centre has provided information, support and advice to 5,130 carers; between 2011 and 2016, new registrations rose from 273 to 485.

With the overall objective of providing information, advice and support to unpaid carers, the Carers' Centre works closely with Health and Social Care Partnership (HSCP) and is supported to address specific needs which emerge. In the last year, the focus has been on meeting the needs of young adult carers, carers transitioning from children's to adults' services, as well as carers with protected characteristics. The Centre has worked alongside the HSCP to draw on experience gained from the Carers' Hospital Discharge Project, funded by the *Change Fund*, which works with staff in health centre settings to identify and support carers accessing their services.

To find out more about support available for carers:

- call the Inverclyde Carers' Centre on 01475 735180 or visit  [Inverclyde Carers' Centre](#)
- Carers' Week: visit  [Carers' Week](#)
- Carers' Rights Day: visit  [Carers' Rights Day](#).

### Service performance - criminal justice social work

		Status	
<b>SPI 057k</b>	% Criminal justice social enquiry reports submitted to the courts by the due date	●	↑ green – maximum performance maintained
<b>SPI 058a</b>	% Criminal justice social work interviews on day of court order	●	↑ green – improved
<b>SPI 058b</b>	% Service users whose induction/first meeting with a supervising officer took place within 5 working days of imposition of the court order	●	↓ green – performance declined but above target
<b>SPI 058c</b>	% Service users who began their first work placement within 7 working days of imposition of court order	●	↓ red - declined

#### a. Indicator details: Criminal justice

<b>SPI 057k</b>	% Criminal justice social enquiry reports submitted to the courts by the due date		
	2013/14	2014/15	2015/16
	100	100	100
			<b>Target</b> 100

<b>SPI 058a</b>	% Criminal justice social work interviews on day of court order		
	2013/14	2014/15	2015/16
	82.4	88.5	88.7
			<b>Target</b> 85

<b>SPI 058b</b>	% Service users whose induction/first meeting with a supervising officer took place within 5 working days of imposition of the court order		
	2013/14	2014/15	2015/16
	88	94.1	87
			<b>Target</b> 85

SPI 058c	% Service users who began their first work placement within 7 working days of imposition of court order		
2013/14	2014/15	2015/16	Target
81.2	95.5	81.2	95

#### What the above data tells us:

The Inverclyde Health and Social Care Partnership's Criminal Justice Social Work Service responded to all requests from courts for criminal justice court reports by the due date.

During 2015/16, 347 community payback orders (CPOs) were made, approximately 11% of which were for courts out with Inverclyde. For the purposes of the second performance indicator, these court orders are discounted as the Service is required to wait for notification from the issuing courts before arrangements can be made to interview the individuals concerned. For locally issued orders in 2015/16, performance was 88.7%. This is consistent with the 2014/15 figure and exceeds the target of 85%.

The indicator which measures inductions/first meetings relates to both supervision and unpaid work requirements which can form part of a CPO, either individually or collectively. Although performance is down from 2014/15 by 7.1%, it is above the target of 85%. This measure can be impacted by factors within and out with the Service's control; an example of the former would be staff availability and, in the case of the latter, non-attendance by the service user as a result of non-compliance.

In 2015/16, 81.2% of service users began their work placements within seven working days of the court order being imposed. This is a reduction of 14.3% on previous year's figure and is also below the target of 95%. This indicator can also be impacted by factors within and out with the Service's control.

**Further information:** The performance of the criminal justice indicators requires to be seen within the context of a year-on-year increase in the number of CPOs imposed by the courts since their introduction in February 2011. In 2011/12, 99 CPOs made, by 2015/16 this figure had risen to 347, an increase of 250%. While this increase not only demonstrates the traction of the CPO as a disposal for the courts, it has understandably presented challenges for the Service in meeting its performance targets. To help meet this challenge, the Service now operates a red/amber/green (RAG) status reporting system to highlight those at risk of failing to complete their sentenced unpaid work hours within the required timescales. We have simultaneously recruited sessional Unpaid Work Supervisors to offer additional placements, where appropriate. Due to a combination of staff turnover and the requirement to work within the Council's Safe Recruitment Framework, we are unlikely to see the impact of these arrangements until well into 2016/17.

### Service performance - cultural and community services

		Status	
<b>SPI 038bK</b>	Number of library issues per 1,000 population	●	↓ red – small decline
<b>SPI 039K</b>	Number of users of computer facilities per 1,000 population	●	↓ green – very small decline but still above target
<b>SPI 040K</b>	Number of adult learners attending classes within Inverclyde libraries	●	↑ green – improved
<b>SPI 042K</b>	Exercise: % of Inverclyde residents participating in sport/similar activity at least every two weeks	●	↔ amber – within tolerance

#### a. Indicator details: Libraries

<b>SPI 038bK</b>	Number of library issues per 1,000 population			
	2013/14	2014/15	2015/16	Target
	2,759	2,474	2,361	2,597

<b>SPI 039K</b>	Number of users of computer facilities per 1,000 population			
	2013/14	2014/15	2015/16	Target
	119	158	154	150

SPI 040K	Number of adult learners attending classes within Inverclyde libraries		
2013/14	2014/15	2015/16	Target
2,442	2,819	2,911	2,700

### What the above data tells us:

Between 2014/15 and 2015/16, the number of library issues per 1,000 population decreased. There was also a very small reduction in the number of users of computer facilities, however, the performance of this indicator was still above target. The number of adult learners attending classes in Inverclyde libraries has increased year-on-year since 2013/14.

**Further information:** The continued reduction in the number of library issues in Inverclyde is comparable to the results of benchmarking activities which found that the national picture is also of a declining number of library issues. In response, Inverclyde libraries launched an eMagazine service in 2014 and, together with our eBook/eAudio service, this has proved to be very popular. The Central Library moved to smaller premises in 2015 and any impact on library issues will be closely monitored.

Computer use remains extremely popular in Inverclyde libraries, with performance exceeding the target in 2015/16. We expect computer usage to increase further in 2016/17 with the introduction of the Universal Credit full service in Inverclyde in November 2016.

The demand from adult learners for one-to-one sessions on using mobile devices has increased substantially, while secured *Future Skills Funding* has enabled us to continue to provide classes in basic computing.

The Libraries Service undertakes robust self-evaluation and has an annually-updated *Inverclyde Libraries Service Improvement Plan 2016/17* in place. Inverclyde libraries also undertake benchmarking with similar sized authorities across the central belt of Scotland. Additionally, we included questions about libraries in the Citizens' Panel Spring 2016 survey, the results of which can be viewed here: [Citizens' Panel 2016 - Libraries in Inverclyde](#) (agenda item 16, pages 3-5).

To find out more about the wide range of services offered by Inverclyde libraries, visit [Libraries](#).

**b. Indicator details: Sport and activity**


SPI 042K	Exercise: % of Inverclyde residents participating in sport/similar activity at least every two weeks		
2010	2012	2014	Target
59	57	51	59

**What the above data tells us:**

In 2014, the % of residents who said they participated in sport/similar activity at least every two weeks reduced by 6% since the question was last asked in 2012. While the 2014 figure is below the target of 59%, the indicator's performance is still within a tolerable range.

**Further information:** The data for this indicator was extracted from the Council's Citizens' Panel survey results. Citizens' Panel questionnaires are distributed to a representative sample of 1,000 Inverclyde residents. Questions are repeated periodically to allow us to assess whether improvement has been achieved. A question about this indicator will therefore be included in the Citizens' Panel Autumn 2016 survey. It should be noted that such sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/- 4%, therefore the 51% of respondents who said they participated in sport/similar activity at least every two weeks will lie within the range 47-55%.








To view the Citizens' Panel survey results, visit:  [Citizens' Panel](#).

Inverclyde Council, together with representatives from Sportscotland, Inverclyde Leisure and Sport Inverclyde, developed the *Inverclyde Sports Framework*. A steering group was also established to oversee the implementation of the Framework whose vision is to inspire a sporting way of life for all in Inverclyde. To view the Framework, visit:  [A Framework for Sport in Inverclyde](#) (agenda item 6).

The Inverclyde Health and Social Care Partnership also developed an Active Living Strategy in partnership with local agencies and organisations to encourage more people to become physically active and improve their long-term health and wellbeing.



## Service performance - health and trading standards

		Status	
<b>SPI 065aK</b>	Pest control: high priority service requests - % attended by next working day		↓ amber – slight decline
<b>SPI 065bK</b>	Pest control: low priority service requests - % attended within 5 working days		↓ green – slight decline but above target
<b>SPI 068aS</b>	Trading standards: % of consumer complaints completed within 14 days		↓ green – slight decline but above target
<b>SPI 068bS</b>	Trading standards: % of advice requests completed within 14 days		↑ green - maximum performance maintained
<b>SPI 069aK</b>	Trading standards: number of interventions carried out at business premises in Inverclyde	no target has been set due to the nature of this indicator	
<b>SPI 069bK</b>	Trading standards: % of liable business premises subject to intervention		↓ amber – small decline but within tolerance
<b>SPI 070aK</b>	Food safety hygiene inspections: % of premises broadly compliant		↓ green - slight decline but above target
<b>SPI 070bK</b>	Food safety hygiene inspections: % of interventions achieved		↑ green - improved

## a. Indicator details: Pest control

SPI 065aK	Pest control: high priority service requests - % attended by next working day		
2013/14	2014/15	2015/16	Target
100	95.2	93.3	95

SPI 065bK	Pest control: low priority service requests - % attended within 5 working days		
2013/14	2014/15	2015/16	Target
98.3	99.4	98.7	95

**What the above data tells us:**

While the performance of both these indicators declined between 2014/15 and 2015/16, the reductions were very small (1.9% and 0.7% respectively). The performance level for the first measure is just short of target, while the performance level for the second measure is comfortably above target.

**Further information:** It is worth noting that the number of high priority service requests in 2015/16 was relatively low at 75; only five of these were not attended by the next working day. The reason for this is most commonly that the householder was not available the next day rather than that a service was not available.

Public health relates to the health and well-being of the whole community and is a key area of commitment for Inverclyde Council. Insects can create a public health nuisance. The Council has a duty to investigate and take necessary action on situations which may result in a statutory nuisance. Complaints about nuisances are investigated under powers included in The Environmental Protection Act 1990. To find out more about the Council's pest control service and for information on common pests in Inverclyde, visit [Pest Control](#).

**b. Indicator details: Trading standards - complaints and requests**

SPI 068aS	Trading standards: % of consumer complaints completed within 14 days		
2013/14	2014/15	2015/16	Target
98.7	96.7	95.1	95

SPI 068bS	Trading standards: % of advice requests completed within 14 days		
2013/14	2014/15	2015/16	Target
100	100	100	95

**What the above data tells us:**

Although there was a small decrease (1.6%) in the number of consumer complaints completed within 14 days, the performance of this indicator is still above target. The percentage of advice requests completed within 14 days was maintained at 100%.

**Further information:** First tier consumer advice requests are taken by the Citizens' Advice Service (CAS) on a national helpline. These are then automatically uploaded from the CAS's database to the Trading Standards back office system. Complaints from the CAS are categorised as 'notifications' and 'referrals'. The bulk of customer complaints come to Trading Standards as 'notifications' i.e. the CAS has provided advice and there is no further action required; these are not included in the performance indicators but are monitored for any underlying trends. 'Referrals', usually where there is a suspicion of illegal trading, form the basis of these performance indicators. In these cases, Trading Standards Officers will investigate further.

## c. Indicator details: Trading standards - interventions

SPI 069aK	Trading standards: number of interventions carried out at business premises in Inverclyde		
2013/14	2014/15	2015/16	Target
196	154	140	n/a

SPI 069bK	Trading standards: % of liable business premises subject to intervention		
2013/14	2014/15	2015/16	Target
13.6	10.2	10	12

**What the above data tells us:**

There is no target set for the number of interventions carried out at business premises in Inverclyde. The number of liable business premises subject to intervention fell by a very small amount (0.2%) which means that performance during 2015/16 was below target.

**Further information:** The number of business premises subject to intervention varies depending on enforcement campaigns run during the year. However, the second indicator above is not a measure of overall activity as some campaigns may involve a number of visits or interventions to individual businesses.

## d. Indicator details: Food safety

SPI 070aK	Food safety hygiene inspections: % of premises broadly compliant			
	2013/14	2014/15	2015/16	Target
	89.9	88.8	85.9	85







SPI 070bK	Food safety hygiene inspections: % of interventions achieved			
	2013/14	2014/15	2015/16	Target
	84.3	95.3	99.5	95

**What the above data tells us:**

In 2015/16, the number of premises broadly compliant with food safety hygiene regulations fell slightly (by 2.9%); however, performance of the indicator is still above target. There was an increase of 4.2% in the number of interventions regarding food safety hygiene which means the 2015/16 figure exceeds the target and is just short of maximum performance.

**Further information:** These two performance indicators are based on Inverclyde Council's annual return to the Food Standards Agency: the Local Authority Enforcement Monitoring System (LAEMS) return. The document outlines the Council's performance against its inspection programme. The inspection programme for LAEMS is based on the risk rating of the premises (A-E), with inspection of premises due at intervals based upon that risk rating.

## Service performance – homelessness

		Status	
<b>SPI 058aiS</b>	Homelessness: permanent accommodation - % of decision notifications issued within 28 days of initial presentation		↑ green - improved
<b>SPI 058aiiS</b>	Homelessness: % who are housed into permanent accommodation		↓ amber – declined but within tolerance
<b>SPI 058aiiiS</b>	Homelessness: permanent accommodation - % of cases reassessed within 12 months of completion of duty		↔ amber – improved but above target
<b>SPI 058biS</b>	Homelessness: temporary accommodation - % of decision notifications issued within 28 days of initial presentation		↑ green - improved
<b>SPI 058biiS</b>	Homelessness: temporary accommodation - % of cases reassessed within 12 months of completion of duty		↑ green - improved
<b>SPI 059K</b>	Homelessness: average time in weeks between presentation and completion of duty by the Council for cases assessed as homeless or potentially homeless		↑ green - improved

## a. Indicator details: Homelessness

<b>SPI 058aiS</b>	<b>Homelessness: permanent accommodation - % of decision notifications issued within 28 days of initial presentation</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	76.7	92.35	96.1	85.0

<b>SPI 058aiiS</b>	<b>Homelessness: % who are housed into permanent accommodation</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	45.5	52.44	47.9	45.0

<b>SPI 058aiiiS</b>	<b>Homelessness: permanent accommodation - % of cases reassessed within 12 months of completion of duty</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
6.8	8.74	7.79	7

<b>SPI 058biS</b>	<b>Homelessness: temporary accommodation - % of decision notifications issued within 28 days of initial presentation</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
63	95	95.45	75

<b>SPI 058biiS</b>	<b>Homelessness: temporary accommodation - % of cases reassessed within 12 months of completion of duty</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
3.7	10	4.55	10

<b>SPI 059K</b>	<b>Homelessness: average time in weeks between presentation and completion of duty by the Council for cases assessed as homeless or potentially homeless</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
27.89	24.59	20.10	23.5

#### **What the above data tells us:**

In 2015/16, there was an improvement with two permanent accommodation indicators: the number of decision notifications issued within 28 days of initial presentation and the number of cases reassessed within 12 months of completion of duty. However, the number of people who were housed into permanent accommodation fell by 4.45%.

The performance of all three temporary accommodation indicators improved during the last reporting year: the number of decision notifications issued within 28 days of initial presentation rose by 0.45%; the number of cases reassessed within 12 months of completion of duty fell by

5.45% and the average time in weeks between presentation and completion of duty by the Council for cases assessed as homeless or potentially homeless fell by 4.49%.

**Further information:** Homeless presentation over recent years has been decreasing. This is due to greater emphasis on the prevention of homelessness and the introduction of housing options. The *Inverclyde Common Housing Register* and the *Choice Based Lettings* system of allocating properties have, to some extent, improved access to housing. Temporary accommodation usage has dropped significantly year-on-year and this trend is likely to continue. This can be attributed to a number of factors including prevention work, the link with Advice Services and easier access to securing a tenancy. Evidence that more reassessed cases are presenting on a recurring basis indicates that the actual numbers are reducing.

It should also be noted that, with the introduction of a housing option approach, clients accessing homelessness services tend to be those with complex needs. This factor, together with the introduction of Welfare Reform and Universal Credit, has the potential to influence performance of the homelessness indicators.



## Service performance – planning

		Status	
<b>SPI 044aK</b>	Successful planning appeals as a % of all determinations	no activity in 2015/16	
<b>SPI 044bK</b>	Successful planning appeals as a % of all appeals	no activity in 2015/16	
<b>ERR CDIP KPI33</b>	% of all planning applications decided in under 2 months	●	↑ green – improved
<b>ERR CDIP KPI34</b>	% of householder planning applications decided in under 2 months	●	↑ green – improved
	% of non-householder planning applications decided in under 2 months	●	↔ amber – small decline but above target
<b>SPI 043aS</b>	Average time (in weeks) to deal with major planning applications determined during the year	●	↓ red – declined <sup>1</sup>
	Average number of days to register a building warrant application	●	↓ red – declined but still below target
	% of building warrants assessed within 20 working days of registration	●	↑ green – improved
	Response to requests for completion certificates within 10 working days	●	↓ red – declined

<sup>1</sup> Based on one major planning application

	Average number of days to issue a notice of acceptance of completion certificate	●	↓ red – declined
--	--	---	------------------

**a. Indicator details: Planning**

<b>SPI 044aK</b>	<b>Successful planning appeals as a % of all determinations</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
1	0.4	there were no appeals decisions in 2015/16	0.5

<b>SPI 044bK</b>	<b>Successful planning appeals as a % of all appeals</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
60	50	there were no appeals decisions in 2015/16	45

<b>ERR CDIP KPI33</b>	<b>% of all planning applications decided in under 2 months</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
87	88.7	88.9	80

<b>ERR CDIP KPI34</b>	<b>% of householder planning applications decided in under 2 months</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
97	97	98.7	90

<b>% of non-householder planning applications decided in under 2 months</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
78.8	87	81.7	65

<b>SPI 043aS</b>	<b>Average time (in weeks) to deal with major planning applications determined during the year</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
there were no major planning applications in 2013/14	12.1	45.1	12

<b>Average number of days to register a building warrant application</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
1.3	0.8	2	4

<b>% of building warrants assessed within 20 working days of registration</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
100	99.4	99.6	100


<b>Response to requests for completion certificates within 10 working days</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
95	98.2	92.9	100

Average number of days to issue a notice of acceptance of completion certificate			
2013/14	2014/15	2015/16	Target
2.9	2.6	16	3










### What the above data tells us:

In 2015/16, the average time (in weeks) to deal with major planning applications was based on one application which required a legal agreement before issuing; the timescale was implemented with the applicant's full knowledge. Despite some slippage, Building Standards processing times remain high. The 16 day average time to issue a completion certificate reflects the submission of 341 certificates for insulated render systems (in blocks of 118, 212 and 11 applications) and the consequential resource implication of processing the notices. Excluding these notices, however, the average time to issue a notice of acceptance dropped to an average of 2.2 days which is an improvement on the 2014/15 figure of 2.6 days.

**Further information:** In 2015/16, the planning application performance figures were significantly better than the Scottish average.

For information on the Council's Planning Service, planning process, building standards, listed buildings and more, visit  [Planning, Building Standards and Property](#).

## Service performance - protective services

		Status	
<b>SPI 061K</b>	Traffic light repairs: % completed within 48 hours		↑ green – maximum performance achieved
<b>SPI 062K</b>	Street lighting repairs: % completed within 7 days		↓ red – improved but target not achieved
<b>SPI 063aK</b>	Anti-social behaviour response times: high priority - % received during the Wardens' shift hours attended within 30 minutes		↓ green – small decline but target exceeded
<b>SPI 063bK</b>	Anti-social behaviour response times: medium priority - % received during the Wardens' shift hours attended within 60 minutes		
<b>SPI 064aK</b>	Public health complaints: high priority - % attended by next working day		↑ green – very small decline but still above target
<b>SPI 064bK</b>	Public health complaints: medium priority - % attended within 2 working days		
<b>SPI 064cK</b>	Public health complaints: low priority - % attended within 5 working days		
<b>SPI 067aK</b>	Roads: customer satisfaction surveys completed		↓ red – declined
<b>SPI 067bK</b>	Roads: % of carriageways reconstructed/resurfaced		↓ green – performance declined but target exceeded
<b>SPI 067cK</b>	Roads: % of footways reconstructed/resurfaced		↑ green - improved
<b>SPI 067dK</b>	Roads: gullies emptied per year		↑ green – improved

## a. Indicator details: Traffic and street lighting repairs

SPI 061K	Traffic light repairs: % completed within 48 hours		
2013/14	2014/15	2015/16	Target
89.3	92.8	100	90

SPI 062K	Street lighting repairs: % completed within 7 days		
2013/14	2014/15	2015/16	Target
78.56	88.01	90	95

**What the above data tells us:**

In 2015/16, there was a significant improvement in the percentage of traffic light repairs completed within 48 hours; 100% of traffic light repairs were completed within the timescale, exceeding the target of 90%.

The percentage of street lighting repairs completed within 7 days has improved year-on-year since 2013/14. However, despite the high level of service delivered during 2015/16, the target of 95% was not achieved.

**Further information:** There are only a small number of traffic lights and variations in performance can largely be due to the small statistical sample size.

**b. Indicator details: Anti-social behaviour response times**


<b>SPI 063aK Anti-social behaviour response times: high priority - % received during the Wardens' shift hours attended within 30 minutes</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
96.2	95.9	95.4	95

<b>SPI 063bK Anti-social behaviour response times: medium priority - % received during the Wardens' shift hours attended within 60 minutes</b>			
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
100	98.5	98	95


**What the above data tells us:**

Although there was a very small reduction in both anti-social behaviour response times in 2015/16 (0.5% in each case), the performance of these indicators is still above target.

**Further information:** The Council's Community Warden service is a uniformed visible presence in Inverclyde which responds to reports of anti-social behaviour and other community safety issues in the local area. The Wardens also act as professional witnesses on behalf of the community and work with the Council's partners on a daily basis to respond to issues of anti-social behaviour.

To contact the Wardens, call the Council's Anti-Social Behaviour Helpline on Freephone 0800 01 317 01, email [problemsolving.unit@inverclyde.gov.uk](mailto:problemsolving.unit@inverclyde.gov.uk) or complete an on-line form  [Anti-Social Behaviour Complaint/Enquiry Form.](#)

Questions about anti-social behaviour were included in the Citizens' Panel Spring 2016 survey. Panel members were asked if they had noticed a reduction in anti-social behaviour in their neighbourhood in the past 12 months; between 2014 (when the question was last asked) and 2016, there was a huge increase (20%) in the number of Panel members who have noticed a reduction in anti-social behaviour in their local area,

rising from 13% in 2014 to 33% in 2016. To find out more about the results of the Community Safety section of the Citizens' Panel Spring 2016 survey, visit:  [Citizens' Panel 2016 – Community Safety](#) (agenda item 16, pages 6-7).



## c. Indicator details: Public health complaints


SPI 064aK	Public health complaints: high priority - % attended by next working day		
2013/14	2014/15	2015/16	Target
100	95.7	95.2	95

SPI 064bK	Public health complaints: medium priority - % attended within 2 working days		
2013/14	2014/15	2015/16	Target
91.4	96.1	95.2	95

SPI 064cK	Public health complaints: low priority - % attended within 5 working days		
2013/14	2014/15	2015/16	Target
97.2	98.2	97.8	95

**What the above data tells us:**

There was a marginal decrease (0.5%) in the number of high priority public health complaints attended by the next working day but the response rate is still high and above target. The percentage of medium and low priority public health complaints attended within timescale also decreased slightly in 2015/16 (0.9% and 0.4% respectively), however, performance for both indicators is still above target.

**Further information:** Inverclyde Council has a duty to investigate and take necessary action on situations which may result in a statutory public health nuisance. Complaints are investigated under powers included in The Environmental Protection Act 1990. If you need help or information about a public health nuisance, call the Council on 01475 717171, email [customerservice@inverclyde.gov.uk](mailto:customerservice@inverclyde.gov.uk) or complete an on-line form  [Contact Us Form](#).

## d. Indicator details: Roads

SPI 067aK Roads: customer satisfaction surveys completed			
2013/14	2014/15	2015/16	Target
8	1	0	0

SPI 067bK Roads: % of carriageways reconstructed/resurfaced			
2013/14	2014/15	2015/16	Target
4	11	7.7	3.5

SPI 067cK Roads: % of footways reconstructed/resurfaced			
2013/14	2014/15	2015/16	Target
0.75	1	1.1	0.8

SPI 067dK Roads: gullies emptied per year			
2013/14	2014/15	2015/16	Target
8,189	7,680	8,870	8,000

**What the above data tells us:**

We did not carry out any customer satisfaction surveys in 2015/16.

The percentage of carriageways reconstructed/resurfaced fell in 2015/16, however, performance is still more than double the target figure.

We saw an increase in the percentage of footways that were reconstructed last year which means performance of this measure is also above target.

Following a drop in the number of gullies emptied between 2013/14 and 2014/15, performance of this measure improved last year; we emptied 870 more gullies than the target figure, an increase of 15%.







**Further information:** No roads customer satisfaction surveys were conducted in 2015/16. We recognised that the existing customer satisfaction questionnaires did not provide the qualitative and quantitative information we require to improve service delivery. A review of the survey process is therefore being carried out with a view to enhancing customer engagement and improving the return rate for the questionnaires. A number of high profile, high spend projects have already been identified to test the new process; the first revised questionnaire is expected to be issued by the end of November 2016.






Historically, the Inverclyde area had a high percentage of roads requiring maintenance treatment. The Council therefore made roads maintenance a priority, funded by significant three year investment which started in 2013/14. We also prepared and implemented an asset investment strategy and allocated £17 million over three years as the first phase in dealing with the maintenance backlog on the four main asset groups: carriageways, footways, lighting and structures.







This investment in roads has enabled the Council to carry out more preventative or resurfacing work rather than solely responding to emergency pothole repairs or patches to roads. At present levels, we would expect roads to be resurfaced every 25 years and footways every 133 years.

Winter weather-related issues can impact on the deployment of the gully vehicle on the network, therefore, the significant increase in the number of gullies emptied in 2015/16 is welcome.

## Service performance - the education of children

		<b>Status</b>	
<b>Staying on rates</b>			
<b>SPI 045K</b>	Staying on rates: % for S5 pupils		↔ amber – small decline
<b>SPI 046aK</b>	Staying on rates: % for S6 pupils (S4-S6)		↑ green - improved
<b>SPI 046bK</b>	Staying on rates: % for S6 pupils (S5-S6)		↑ green - improved
<b>Pupil/teacher ratios</b>			
<b>SPI 047K</b>	Pupil/teacher ratio: primary schools		↑ green - improved
<b>SPI 048K</b>	Pupil/teacher ratio: secondary schools		
<b>School leaver destination results</b>			
<b>SPI 049K</b>	% proportion of school leavers (from Scottish publicly-funded schools) into positive and sustained destinations	next update expected in December 2016	
<b>Attendance rates</b>			
<b>SPI 050aiK</b>	% Attendance rate: primary schools		↔ amber – improved but target not met
<b>SPI 050aiiK</b>	Attendance rate: primary schools - % difference from the national average	next update expected in 2016/17	

		<b>Status</b>	
<b>SPI 050biK</b>	% Attendance rate: secondary schools		↔ amber – improved but target not met
<b>SPI 050biik</b>	Attendance rate: secondary schools - % difference from the national average	next update expected in 2016/17	
<b>SPI 050ciK</b>	% Attendance rate: additional support needs schools		↔ amber – very small decline
<b>SPI 050ciiK</b>	Attendance rate: additional support needs schools - % difference from the national average	next update expected in 2016/17	
<b>School improvement</b>			
<b>SPI 051K</b>	% of schools/early years establishments receiving positive inspection reports		↓ red - declined
<b>National 4 Qualifications</b>			
	% of the S4 cohort which achieved 5 or more qualifications at National 4	this indicator is no longer used	
	% of the S4 cohort which achieved 5 or more qualifications at National 4 or above		↔ amber – very small decline
<b>Attainment - S4</b>			
<b>SPI 052aiK</b>	% of pupils reaching Level 3 in English and mathematics by the end of S4		↔ amber – very small decline
<b>SPI 052aiiK</b>	% of pupils reaching Level 3 in English and mathematics by the end of S4 - comparison with the national average	this indicator is no longer used	

		<b>Status</b>	
<b>SPI 052biK</b>	% of pupils achieving 5 passes at Level 3 by the end of S4		↓ red - declined
<b>SPI 052biiK</b>	% of pupils achieving 5 passes at Level 3 by the end of S4 - comparison with the national average	no longer available	
<b>SPI 052ciK</b>	% of pupils achieving 5 passes at Level 5 by end of S4		↔ amber – small decline
<b>SPI 052ciiK</b>	% of pupils achieving 5 passes at Level 5 by end of S4 - comparison with the national average	no longer available	
<b>Attainment - S5</b>			
<b>SPI 052diK</b>	% of pupils achieving one pass at Level 6 by the end of S5		↑ green - improved
<b>SPI 052diiK</b>	% of pupils achieving one pass at Level 6 by the end of S5 - comparison with the national average	no longer available	
<b>SPI 052eiK</b>	% of pupils achieving 3 passes at Level 6 by the end of S5		↑ green - improved
<b>SPI 052eiiK</b>	% of pupils achieving 3 passes at Level 6 by the end of S5 - comparison with the national average	no longer available	
<b>SPI 052fiK</b>	% of pupils achieving 5 passes at Level 6 by the end of S5		↑ green - improved
<b>SPI 052fiiK</b>	% of pupils achieving 5 passes at Level 6 by the end of S5 - comparison with the national average	no longer available	
<b>Attainment - S6</b>			
<b>SPI 052giK</b>	% of pupils achieving 3 passes at Level 6 by the end of S6		↑ green - improved
<b>SPI 052giiK</b>	% of pupils achieving 3 passes at Level 6 by the end of S6 -	no longer available	

		<b>Status</b>	
	comparison with the national average		
<b>SPI 052hiK</b>	% of pupils achieving 5 passes at Level 6 by the end of S6	●	↑ green - improved
<b>SPI 052hiK</b>	% of pupils achieving 5 passes at Level 6 by the end of S6 - comparison with the national average	no longer available	
<b>SPI 052iiK</b>	% of pupils achieving one pass at Level 7 by the end of S6	●	↑ green - improved
<b>SPI 052iiiK</b>	% of pupils achieving one pass at Level 7 by the end of S6 - comparison with the national average	no longer available	
<b>Attainment - Looked after children</b>			
<b>SPI 054aK</b>	% of looked after children who achieved at least one qualification at Scottish Credit and Qualifications Framework (SCQF) Level 3 or better in the current diet for examinations	●	↑ green - improved
<b>SPI 054bK</b>	% of looked after children who achieved SCQF Level 3 or better in English and mathematics by the end of S4	●	↑ green – improved
<b>Exclusions from school</b>			
	Exclusions from school per 1,000 pupils: primary schools	●	↑ green – improved
	Exclusions from school per 1,000 pupils: primary school pupils who are looked after	●	↑ green – improved

		<b>Status</b>	
	Exclusions from school per 1,000 pupils: secondary schools	●	↑ green – improved
	Exclusions from school per 1,000 pupils: secondary school pupils who are looked after	●	↑ green – improved



## a. Indicator details: Staying on rates

SPI 045K	Staying on rates: % for S5 pupils			
	2013/14	2014/15	2015/16	Target
	92.3	95	93.4	97

SPI 046aK	Staying on rates: % for S6 pupils (S4-S6)			
	2013/14	2014/15	2015/16	Target
	66	69.8	75.4	71.8

SPI 046bK	Staying on rates: % for S6 pupils (S5-S6)			
	2013/14	2014/15	2015/16	Target
	73.6	75.6	79.8	77.6

**What the above data tells us:**

Following a rise between 2013/14 and 2014/15, there was a small decrease (1.6%) in the staying on rate for S5 pupils in 2015/16; although short of target, the figure is still high at more than 93%. Staying on rates for S6 pupils (S4-S6) and for S6 pupils (S5-S6) have improved year-on-year since 2013/14 with performance for both measures comfortably above target.

**Further information:** The change in direction relating to the S5 pupils staying on rate will be watched closely.

Possible reasons for the year-on-year increases in staying on rates S6 pupils (S4-S6) and for S6 pupils (S5-S6) are the remaining impact of the national economic context, where staying on at school has become a more viable option for many young people than in previous years. The changes to education provision in the senior phase of the Curriculum for Excellence (S4-S6/15-18 years) also make staying on at school a more flexible and relevant option for young people who may not be studying traditional academic subjects. Additionally, Inverclyde is continuing to develop personalisation and choice very effectively for more and more young people every year.

National changes brought about by Welfare Reform may also affect saying on rates in Inverclyde yet further in the next few years.

## b. Indicator details: Pupil/teacher ratios

SPI 047K	Pupil/teacher ratio: primary schools			
	2013/14	2014/15	2015/16	Target
	16.9	17.1	16.5	16

SPI 048K	Pupil/teacher ratio: secondary schools			
	2013/14	2014/15	2015/16	Target
	12.4	12.3	12	12

**What the above data tells us:**

The pupil/teacher ratio for both primary and secondary schools improved between 2014/15 and 2015/16, by 0.6% and 0.3% respectively. The target for secondary schools was met in 2015/16; however, despite the improvement in the primary school measure, the target was not achieved, albeit by a very small amount (0.5%).

**Further information:** The national target for pupil/teacher ratios across primary and secondary sectors combined is 1:13.4. When taken together, Inverclyde's pupil/teacher ratio is currently at 1:13.5 (including additional educational needs schools). An improvement is indicated by having a small number for this measure i.e. it is positive to have a smaller number of pupils per teacher. A national target has been set to maintain the level of teachers in schools, in line with the Parliament's commitment to maintain high levels of teachers.

**c. Indicator details: School leavers**

SPI 049K	% proportion of school leavers (from Scottish publicly-funded schools) into positive and sustained destinations		
2013/14	2014/15	2015/16	Target
94	94.3	details will be available in December 2016	90

**What the above data tells us:**

The data informs us of the initial destinations into positive and sustained destinations of pupils when they first leave school. The next set of figures is expected in December 2016.

**Further information:** In 2014/15, 94.3% of Inverclyde's school leavers went onto a positive and sustained destination.

A follow-up exercise in March 2016 for the 2014/15 school leaving cohort reported Inverclyde's positive destination rate to be 91.5%; this was lower than the initial destinations and the national average.

A new national measure is being developed with results published for the second time in August 2016. The publication is the Annual Participation Measure for 16-19 year olds in Scotland (experimental data – still being developed) and is intended to include the School Leavers' Destination Results at some point in the future.

## d. Indicator details: Attendance rates

<b>SPI 050aiK</b>	<b>% Attendance rate: primary schools</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
95	94.6	94.8	95

<b>SPI 050aiiK</b>	<b>Attendance rate: primary schools - % difference from the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
this figure is now only measured every two years; the next update is expected in 2016/17			

<b>SPI 050biK</b>	<b>% Attendance rate: secondary schools</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
92	91	91.1	92

<b>SPI 050biiK</b>	<b>Attendance rate: secondary schools - % difference from the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
this figure is now only measured every two years; the next update is expected in 2016/17			

<b>SPI 050ciK</b>	<b>% Attendance rate: additional support needs schools</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
92	91.6	91.02	93

<b>SPI 050ciiK</b>	<b>Attendance rate: additional support needs schools - % difference from the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
this figure is now only measured every two years; the next update is expected in 2016/17			

**What the above data tells us:**

Attendance at primary schools improved (by 0.2%) between 2014/15 and 2015/16 which resulted in this indicator almost meeting its high target. There was also a marginal improvement (of 0.1%) in the performance of the secondary schools attendance rate which means it is just short of the target of 92%. While there was a very small reduction (0.58%) in attendance by pupils at additional support needs schools in 2015/16, the figure is still high at more than 91%.

**Further information:** Pupil attendance at school is a priority for the Council and robust monitoring and recording systems are in place to maximise attendance in our educational establishments. Primary school teachers in Inverclyde have been trained to use the registration package of the SEEMiS education management information system with the aim of strengthening our ability to monitor and respond to attendance patterns and ultimately identify issues at an early stage.

The national average figures for these measures will now only be available every other year with the next update expected for the reporting year 2016/17.

**e. Indicator details: Inspection reports**

<b>SPI 051K</b>	<b>% of schools/early years establishments receiving positive inspection reports</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
100	100	50	100

**What the above data tells us:**

The data shows that 50% of our schools/educational establishments received positive school inspection reports in 2015/16.

**Further information:**

Two inspections were carried out last year. One report was satisfactory while one had areas which require additional support; an action plan had been put in place to progress those areas.

Schools are inspected by Her Majesty's Inspectorate of Education which publishes reports on its inspections. To view inspection reports on Inverclyde's schools, visit [Education Scotland](#). In addition, primary and secondary schools are regularly reviewed by the Council's Quality Improvement Officers. Each review is undertaken in partnership with school staff. The subsequent review report gives the school the opportunity to demonstrate the quality of its work and share it with parents and other interested parties.

## f. Indicator details: National 4 Qualifications

% of the S4 cohort which achieved 5 or more qualifications at National 4			
2013/14	2014/15	2015/16	Target
this indicator is no longer used			

% of the S4 cohort which achieved 5 or more qualifications at National 4 or above			
2013/14	2014/15	2015/16	Target
84.1	84.9	83	-

**What the above data tells us:**

The percentage of pupils from the S4 cohort who achieved five or more qualifications at National 4 in 2015/16 is down slightly (by 1.9%). However, it should be noted that there were 24 fewer pupils in the S4 cohort for 2015/16 compared to the previous year.

**Further information:** The number of pupils in the 2014/15 cohort was 806 while the following year's cohort comprised 782 pupils. The National 4s were introduced in August 2013 and replaced the Standard Grade (General Level) Intermediate One national qualification. The new qualifications have a greater focus on developing skills: pupils aim to develop practical skills like data collection, literacy, numeracy and team working; Core Skills like communication, ICT and problem solving; and Skills for Learning, Life and Work such as employability, independent thinking, and enterprise and citizenship. Qualifications like the National 4s are designed to ensure pupils develop these skills and transfer them to real-life settings outside the classroom, including the workplace. This process is encouraged through changes to learning, teaching and assessment. Assessment takes place via practical activities, performances and research projects.

## g. Indicator details: S4 attainment

<b>SPI 052aiK</b>	<b>% of pupils reaching Level 3 in English and mathematics by the end of S4</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
76.8	78.8	77	-

<b>SPI 052aiiK</b>	<b>% of pupils reaching Level 3 in English and mathematics by the end of S4 - comparison with the national average</b>		
<b>2012/13</b>	<b>2013/14</b>	<b>2014/15</b>	<b>Target</b>
this indicator was replaced by a national benchmarking indicator of achievement of qualifications in both literacy and numeracy at SCQF Levels 4 and 5			

<b>SPI 052biK</b>	<b>% of pupils achieving 5 passes at Level 3 by the end of S4</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
93	90.2	83.1	98

<b>SPI 052biiK</b>	<b>% of pupils achieving 5 passes at Level 3 by the end of S4 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

<b>SPI 052ciK</b>	<b>% of pupils achieving 5 passes at Level 5 by the end of S4</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
36	37.8	35.4	38

<b>SPI 052ciiK</b>	<b>% of pupils achieving 5 passes at Level 5 by end of S4 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			



**What the above data tells us:**

There was a small reduction (1.8%) in the percentage of pupils reaching Level 3 in English and mathematics by the end of S4.

Between 2014/15 and 2015/16, the number of pupils who achieved five passes at Level 3 by the end of S4 reduced by 7.1% while the number of pupils who achieved five passes at Level 5 by the end of S4 also reduced (by 2.4%).

**Further information:** While we continue to report on indicator SPI 052aiK which measures the percentage of pupils reaching Level 3 in English and mathematics by the end of S4, national comparisons for this indicator are now benchmarked differently so it is no longer possible to also provide the Scotland-wide figures.

Meanwhile, the indicator which previously measured the percentage of pupils reaching Level 3 in English and mathematics by the end of S4 has been replaced by a national benchmarking indicator of achievement of qualifications in both literacy and numeracy at SCQF Levels 4 and 5.

It should be noted that the Council outperforms its virtual comparators for every educational attainment indicator. Our virtual comparators comprise pupils from schools in other local authorities who have similar characteristics to the pupils in Inverclyde schools. The virtual comparator is a measure where, for every one pupil in our statistics, information is gathered relating to 10 similarly attaining students from across Scotland. For example, a school subject taken by 35 students would be compared to 350 pupils of similar ability. Therefore, to outperform our virtual comparators is a good measure of how well the Council is performing against a much larger group of students. Further, the process allows us to see how our pupils' performance compares to a similar group of pupils from across the country; it also help us undertake self-evaluation and improvement activities.

## h. Indicator details: S5 attainment

<b>SPI 052diK</b>	<b>% of pupils achieving one pass at Level 6 by the end of S5</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
49	52.1	58.3	48

<b>SPI 052diiK</b>	<b>% of pupils achieving one pass at Level 6 by the end of S5 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

<b>SPI 052eiK</b>	<b>% of pupils achieving 3 passes at Level 6 by the end of S5</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
26	30	30.5	26

<b>SPI 052eiiK</b>	<b>% of pupils achieving 3 passes at Level 6 by the end of S5 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

<b>SPI 052fiK</b>	<b>% of pupils achieving 5 passes at Level 6 by the end of S5</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
12	11.8	13	12

<b>SPI 052fiiK</b>	<b>% of pupils achieving 5 passes at Level 6 by the end of S5 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

**What the above data tells us:**

Between 2014/15 and 2015/16, there was an improvement in each of the indicators used to measure the attainment of our S5 pupils, with the targets exceeded in all three cases.

**Further information:** While we continue to report on the indicators which measure the attainment of our S5 pupils, national comparisons are now benchmarked differently so it is no longer possible to also provide the Scotland-wide figures.

## i. Indicator details: S6 attainment

<b>SPI 052giK</b>	<b>% of pupils achieving 3 passes at Level 6 by the end of S6</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
36.5	38.1	42.8	39

<b>SPI 052giiK</b>	<b>% of pupils achieving 3 passes at Level 6 by the end of S6 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

<b>SPI 052hiK</b>	<b>% of pupils achieving 5 passes at Level 6 by the end of S6</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
23	25.9	28.9	27

<b>SPI 052hiiK</b>	<b>% of pupils achieving 5 passes at Level 6 by the end of S6 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

<b>SPI 052iiK</b>	<b>% of pupils achieving one pass at Level 7 by the end of S6</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
13	17.9	18.1	19

<b>SPI 052iiiK</b>	<b>% of pupils achieving one pass at Level 7 by the end of S6 - comparison with the national average</b>		
<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
national comparisons are no longer available			

**What the above data tells us:**

Between 2013/14 and 2015/16, there have been year-on-year improvements in each of the indicators used to measure the attainment of our S6 pupils, with the targets exceeded in two out of three instances.

The number of pupils who achieved three passes at Level 6 by the end of S6 rose by 4.7% while the percentage of pupils who achieved five passes at Level 6 by the end of S6 increased by 3%. The number of pupils who achieved one pass at Level 7 by the end of S6 also rose (by 0.2%).

**Further information:** While we continue to report on the indicators which measure the attainment of our S6 pupils, national comparisons are now benchmarked differently so it is no longer possible to also provide the Scotland-wide figures.

## j. Indicator details: Looked after children's attainment

SPI 054aK	% of looked after children who achieved at least one qualification at SCQF Level 3 or better in the current diet for examinations		
2013/14	2014/15	2015/16	Target
93	91	93	90

SPI 054bK	% of looked after children who achieved SCQF Level 3 or better in English and mathematics by the end of S4		
2013/14	2014/15	2015/16	Target
65	76.9	79.1	70

**What the above data tells us:**

There has been a small increase (2%) in the number of looked after children who achieved at least one qualification at SCQF Level 3 or better in the current diet for examinations which resulted in this indicator exceeding its target during the last reporting year.

The number of looked after children who achieved SCQF Level 3 or better in English and mathematics by the end of S4 also increased (2.2%) who also resulted in this indicator exceeding its target for 2015/16.

**Further information:** The majority of looked after children achieved significantly more than one qualification in 2015/16; indeed most pupils completed S4 with at least four qualifications at SCQF Level 3, 4 or 5.

Ensuring looked after pupils achieve a minimum of SCQF Level 3 in English and mathematics by the end of S4 is a priority for the Council. In 2012/13, targeted support was therefore put in place for children who are looked after to help them achieve this goal. At the end of the first year of this focused approach, it was evident that, without the intervention of the Looked After Teachers, more than 50% of the pupils would not have achieved their English and mathematics qualifications. The early success of this focus has led to it being embedded in our educational practice. In fact, recent consideration of attainment analysis resulted in a further focus on ensuring that as many Looked After pupils as are able, are supported beyond SCQF Level 3, to achieve at least Level 4 in English and mathematics.

## k. Indicator details: Exclusions from school

Exclusions from school per 1,000 pupils: primary schools			
2013/14	2014/15	2015/16	Target
3.5	1.3	0.8	-

Exclusions from school per 1,000 pupils: primary school pupils who are looked after			
2013/14	2014/15	2015/16	Target
96.3	60.6	12	-

Exclusions from school per 1,000 pupils: secondary schools			
2013/14	2014/15	2015/16	Target
35.4	22.6	10.5	-

Exclusions from school per 1,000 pupils: secondary school pupils who are looked after			
2013/14	2014/15	2015/16	Target
282.9	232.3	76	-

**What the data tells us:**

Between 2014/15 and 2015/16, there have been year-on-year decreases in the number of children excluded from Inverclyde's schools:

- primary schools: ↓ 0.5
- primary school pupils who are looked after: ↓ 48.6
- secondary school pupils: ↓ 12.1
- secondary school pupils who are looked after: ↓ 156.3.

**Further information:** Inverclyde has achieved significant year-on-year reductions in school exclusions and we have consistently met the Scottish average for these indicators. To achieve this aim, we embedded the GIRFEC Champions approach in all schools. Proportional visits are also made to educational establishments by the Head of Inclusive Education, Culture and Corporate Policy and the Principal Educational Psychologist.

We have rolled out our *Positive Behaviour, Positive Relations Policy* which has been recognised nationally as an example of good practice. The Policy sets out strategies for use in the Education Service to bring about positive behaviour changes through support, strategies and understanding, within a calm, controlled environment.



### Service performance – waste management services

		Status	
<b>SPI 072aS</b>	Refuse: net cost in £ of refuse collection per premise (combined domestic, commercial and domestic bulky uplift)		to be confirmed in January 2017
<b>SPI 072bS</b>	Refuse: net cost in £ of refuse disposal per premise		

#### a. Indicator details: Waste

<b>SPI 072aS</b>	<b>Refuse: net cost in £ of refuse collection per premise (combined domestic, commercial and domestic bulky uplift)</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	37.14	37.91	to be confirmed in January 2017	-

<b>SPI 072bS</b>	<b>Refuse: net cost in £ of refuse disposal per premise</b>			
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>Target</b>
	72.81	80.97	to be confirmed in January 2017	-

#### What the data tells us:

Until 2012/13, the waste indicators measured the gross cost of refuse collection and disposal per premise. However, from 2013/14, the data also measures the net cost of service provision per premise which takes account of income generated.

The 2015/16 figures for these indicators will be confirmed when the Local Government Benchmarking Framework 2015/16 information is published in January 2017. At that time, Inverclyde Council's performance for these indicators compared to other Scottish councils will also be available.

**Further information:** Historically, using gross costs only did not provide a true assessment of the overall cost of providing waste collection and/or disposal services. It also failed to recognise that waste management has the potential to generate significant income for local authorities and that councils' performance in this area is equally as important in managing costs.

In 2015/16, the number of premises for refuse collection (household and commercial) in Inverclyde was 39,448.

To find out more about recycling and waste collection services in Inverclyde, visit: [Recycling and Waste](#).

## Inverclyde Council's Statutory and Key Performance Indicators Annual Report 2015/16

### Local Government Benchmarking Framework Indicators

Inverclyde Council has a statutory duty to capture and record how well it performs in relation to a wide range of performance information. Our performance, as set out in Audit Scotland's SPIs Direction 2015 under SPI 1 and SPI 2, is presented in Appendix 1.

The other component of the SPIs Direction is the Local Government Benchmarking Framework (LGBF) indicators, details of which will be published by the Improvement Service in January 2017, including the Council's ranking in comparison to the other Scottish local authorities. In the meantime, however, the performance data submitted to the Improvement Service to allow them to compile the LGBF indicators is included in this Appendix.

The status column indicates whether performance is considered to be:

↑ green - good performance

↔ amber - within tolerance

↓ red - performance declined.

Under SPI 3, the LGBF figures provided by the Council are contextual information used by the Improvement Service to calculate the final indicators. On that basis, therefore, it was not considered appropriate to include in this Appendix performance information regarding the following indicators:

Sport and Leisure Management  
C&L 1  
10

All pools: number of attendances.  
This figure is used to calculate the cost per attendance.







Sport and Leisure Management  
C&L 1  
10

Attendance at indoor sports facilities, excluding pools in a combined complex: number of attendances.  
This figure is used to calculate the cost per attendance.



Refuse collection - ENV1, 1a, 2, 2a  
23 a

Number of premises for refuse collection (household and commercial).  
This figure is used to calculate the cost per premise.

### Local Government Benchmarking Framework Indicators

		Status	
<b>Sickness absence</b>			
<b>CORP 6 1 a</b>	Sickness absence: the average number of working days per employee lost through sickness absence - Inverclyde Council teachers		↑ green - improved
<b>CORP 6 1 b</b>	Sickness absence: the average number of working days per employee lost through sickness absence - all other Inverclyde Council employees		↔ amber - improved but slightly above target
<b>Equal opportunities</b>			
<b>CORP 3b 2</b>	Equal opportunities policy: the % of the highest paid 5% among Inverclyde Council employees that are women (excluding teachers)		↔ amber - improved but below target
<b>New indicator: Corp 3C</b>	Equal opportunities policy: the gender pay gap between the average hourly rate of pay for male and female Inverclyde Council employees		↓ red – declined
<b>Council Tax</b>			
<b>CORP 4 5 a</b>	Council Tax: collection - cost of collecting Council Tax in £ per dwelling (all dwellings, not just chargeable)		↓ green – slight decline but below target
<b>CORP 7 6 a</b>	Council Tax: income due in £ for the year excluding reliefs and rebates		↑ green - improved

<b>CORP 7 6 b</b>	Council Tax income: % of income due for the year that was received by the end of the year	●	↑ green - improved
<b>Payment of invoices</b>			
<b>CORP 8 7</b>	Payment of invoices: % of invoices sampled and paid within 30 days	●	↓ green – very small decline but above target
<b>Asset management</b>			
<b>CORP ASSET 1 &amp; 2 8 a</b>	Asset management: gross internal floor (GIA) area of operational buildings - % proportion of the GIA that is in a satisfactory condition	●	↑ green – improved
<b>CORP ASSET 1 &amp; 2 8 b</b>	Asset management: operational buildings - % that are suitable for their current use	●	↑ green – improved
<b>Museum services</b>			
<b>C&amp;L 3 11 a</b>	Museum services: number of visits to/usages of Inverclyde Council-funded or part-funded museums	●	↑ green - improved

<b>Use of libraries</b>			
<b>C&amp;L 2 12 a</b>	Use of libraries: number of visits to libraries		↑ green – improved
<b>Domestic noise complaints</b>			
<b>CORP 5b2 20 a</b>	Domestic noise complaints: for all those noise complaints requiring attendance on site, the average time (in hours) between the time of the complaint and attendance on site (including both those dealt with and not dealt with under Part V of The Anti-Social Behaviour Act 2004)		↑ green – improved

## a. Indicator details: Sickness absence

CORP 6 1 a		Sickness absence: the average number of working days per employee lost through sickness absence - Inverclyde Council teachers		
2013/14		2014/15	2015/16	Target
7.6		6.4	5.5	9

CORP 6 1 b		Sickness absence: the average number of working days per employee lost through sickness absence - all other Inverclyde Council employees		
2013/14		2014/15	2015/16	Target
11.9		11.1	9.5	9

**What the above data tells us:**

The data shows a year-on-year improvement in sickness absence rates for both teachers and all other local government employees.

Between 2014/15 and 2015/16, the average number of working days per employee lost through sickness absence for teachers reduced by 0.9 days; this meant the target was very comfortably achieved (by 3.5 days).

Sickness absence for all other Inverclyde Council employees also reduced (by 1.6 days) with the 2015/16 figure of 9.5 days just 0.5 days short of the target.

Inverclyde Council's performance for these indicators compared to other Scottish councils will be published in January 2017.

**Further information:** Employee costs form a large proportion of the Council's budget and it is recognised that high levels of absence represent a significant cost that the Council must reduce. Through robust absence management procedures, the Council is endeavouring to support employees and reduce the level of absence. The Council works closely with its occupational health provider to ensure that absent employees are given the necessary support to enable them to return to work as soon as possible. Musculoskeletal issues and mental health-related illness represent the largest percentage of absence within the Council. Strategies are now in place to have employees with these

issues fast-tracked to HR so that support can be provided as quickly as possible. We also now have an on-line attendance management form which has made the escalation of absence cases to HR more efficient and easier for Council Services.

In addition to the above, the Council has undertaken a targeted response to absence management where areas of concern have been identified; this has ensured attendance management has been brought to the top of the agenda in a variety of ways:

- real time information is available to managers via the fully automated HR/Payroll system;
- HR produce and distribute attendance information at regular intervals by section, establishment and employee;
- the Local Negotiating Committee for Teachers and head teachers' meetings are attended by HR where attendance is discussed as an agenda item;
- attendance is an established item at the Trades Union Liaison meetings and HR attend Directorate Management Team meetings on a regular basis to discuss this; and
- training on attendance management now includes lunch time drop-in type meetings, where managers can meet an HR representative to discuss attendance issues.

As a Council, we have moved to electronic data collection and pull all statistics from the Council's HR/Payroll management system. A challenging absence rate of nine work days per full-time equivalent has been set and the Council will continue to work to improve absence rates. Council Services have been given access to absence reports which will allow them to monitor absence on a continuous basis, ensuring Services take ownership of absence. Directorates are also sent quarterly absence information as part of their quarterly Workforce Information Activity reports.

Maximising employee attendance is a key area of focus in the new People and Organisational Development Strategy 2017/20 which was considered by the Policy and Resources Committee on 20 September 2016. To view the Strategy, visit: [People and Organisational Development Strategy 2017/20](#) (agenda item 19).



**b. Indicator details: Equal opportunities policy**

<b>CORP 3b 2</b>	<b>Equal opportunities policy: the % of the highest paid 5% of earners among Inverclyde Council employees that are women (excluding teachers)</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	49.3	50.6	53.2
			<b>Target</b> 55.6

<b>New indicator: CORP 3c</b>	<b>Equal opportunities policy: the % gender pay gap between the average hourly rate of pay for male and female Inverclyde Council employees</b>		
	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>
	10.52	9.41	10.89
			<b>Target</b> -

**What the above data tells us:**

The above data shows there has been a year-on-year increase in the percentage of Inverclyde Council employees who are female and in the top 5% of earners. Although the performance of this measure improved again in 2015/16, the figure for that reporting year is just short of the respective target.

The second equal opportunities indicator was introduced by the Improvement Service for 2015/16; however, we are able to provide historical data for this measure, as outlined above. The data shows that, following a fall in Inverclyde Council's gender pay gap between 2013/14 and 2014/15, the figure increased during 2015/16 by 1.48%.

Inverclyde Council's performance for these indicators compared to other Scottish councils will be published in January 2017.


**Further information:** In 2015/16, there were 203 employees in the top 5% of earners in Inverclyde Council; of these, 108 were female.

The gender pay gap indicator was introduced to the Local Government Benchmarking Framework to provide a broader view of the gender pay balance across all employees in the Council, as well as a better representation of the progress Scottish local authorities are making in improving equality outcomes. Ultimately, this measure will replace indicator CORP3b; in the meantime, however, during the transition period, the data for both is still required to be reported to the Improvement Service.

The reason for the increase in our gender pay gap between 2014/15 and 2015/16 is that, when the male/female employee ratio changes into higher/lower grades by gender, the male/female average hourly rate also changes which has a positive or negative impact on the gender pay gap.

The current Scottish gender pay gap is 29% while the United Kingdom figure is 23%. However, no target has been set for gender pay gaps. Organisations like Inverclyde Council are required to produce an annual Gender Pay Gap Report and explore any grade issues which emerge. These are often reasons for such issues including, for instance, cases when new employees from one gender are usually appointed to particular posts at the starting point of a grade; examples of such posts include catering and cleaning appointments.

Further analysis on Inverclyde Council's gender pay gap will be undertaken when our Inverclyde Equality Mainstreaming Report 2017 has been published in Spring 2017; this document will include the 2014/15 and 2015/16 statistics.

To find out more about the Council's work around equality and diversity, visit:  [Equality and diversity](#).

## c. Indicator details: Council Tax

CORP 4 5 a	Council Tax: collection - cost of collecting Council Tax in £ per dwelling (all dwellings, not just chargeable)			
	2013/14	2014/15	2015/16	Target
	14.05	11.73	12.15	16.00

CORP 7 6 a	Council Tax: income due in £ for the year excluding reliefs and rebates			
	2013/14	2014/15	2015/16	Target
	27,246,489	27,664,813	28,130,547	-

CORP 7 6 b	Council Tax income: % of income due for the year that was received by the end of the year			
	2013/14	2014/15	2015/16	Target
	94.5	94.8	95.1	94

**What the above data tells us:**

The data shows that, although there was a marginal increase (£0.42) in the cost of collecting Council Tax, performance was still better than target. The performance of the indicator which measures the Council Tax income due improved during the last reporting year; the amount of income due for the year excluding reliefs and rebates increased by £465,734 between 2014/15 and 2015/16.

The percentage of Council Tax collected also improved in 2015/16 (to 95.1%) which resulted in this indicator exceeding its target.

Inverclyde Council's performance for these indicators compared to other Scottish councils will be published in January 2017.

**Further information:** The percentage of Council Tax income received by the end of the year is an area that is constantly monitored and reported in progress reports on the Environment, Regeneration and Resources Corporate Directorate Improvement Plan 2016/19; to view the Plan, visit [ERR CDIP 2016/19](#) (agenda item 4). Performance is consistently under review and fresh initiatives implemented where it is identified that collection levels could be improved.

It is pleasing to note that, during 2015/16, the number of eligible dwellings in Inverclyde increased by 70 to 38,762; the increase is mainly attributable to new build properties in the area.

## d. Indicator details: Payment of invoices

CORP 8 7	Payment of invoices: % of invoices sampled and paid within 30 days			
	2013/14	2014/15	2015/16	Target
96.3	96.59	96.48		95

**What the above data tells us:**

The data shows there was a very small decrease (0.11%) in the percentage of invoices paid within 30 days in 2015/16; despite this, however, the figure for this measure is still very high at 96.48% and the target was comfortably exceeded.

Inverclyde Council's performance for this indicator compared to other Scottish councils will be published in January 2017; we are traditionally one of the top performing authorities for this measure.

**Further information:** The Council is constantly looking to see where it can improve efficiency and this is an area where we have made significant efficiencies, for example, the creditors' team has reduced in size as Council Services and Finance work together to maintain performance.

This information is reviewed annually through the Directors of Finance performance indicators. Performance is also monitored on a monthly basis and reported in progress reports on the Environment, Regeneration and Resources Corporate Directorate Improvement Plan 2016/19; to view the Plan, visit [ERR CDIP 2016/19](#) (agenda item 4).

## e. Indicator details: Asset management

CORP ASSET 1 & 2 8 a		Asset management: gross internal floor (GIA) area of operational buildings - % proportion of the GIA that is in a satisfactory condition		
2013/14		2014/15	2015/16	Target
83.5		85.2	89.8	86

CORP ASSET 1 & 2 8 b		Asset management: operational buildings: % that are suitable for their current use		
2013/14		2014/15	2015/16	Target
87.2		88.7	90	88

**What the above data tells us:**


The performance data shows that there has been a year-on-year improvement in both the proportion of operational buildings that are suitable for current use and the proportion of the internal floor area of operational buildings that is in a satisfactory condition; additionally, the performance of both measures was comfortably above target in 2015/16.

Inverclyde Council's performance for these indicators compared to other Scottish councils will be published in January 2017.

**Further information:** The majority of the Council's operational property portfolio had condition surveys carried out in 2008/09. Since then, significant improvements, either via complete refurbishment or repair works, have been carried out to a number of our properties. The Council has also completed a number of new build projects and sold off several underperforming assets. In 2015/16, the Council instructed further condition surveys to properties which had not been included in the first tranche; these surveys provided a grade for the individual properties and also a programme of required future works. We have taken the grades provided from the new surveys, together with the grades from the older surveys (after regrading following the repair/refurbishment) which have provided the updated figure for 2015/16.

The suitability of operational accommodation is measured through the use of questionnaires. Questionnaires are issued to all occupiers, as they are best placed to advise on the suitability of the property for their Council Service. The questionnaires are broken down into sections

which analyse a number of factors and Council Services are asked to grade each question. All properties receiving an overall 'A' or 'B' rating are considered suitable; those with a 'C' or 'D' rating are not. Once questionnaires are returned from service users, the appropriate overall percentage of properties suitable for use is calculated. New questionnaires are issued every five years, or earlier if there has been a significant change to the property or if the service user changes. The questionnaires were compiled following discussion with other Scottish councils therefore all returns should be on roughly the same basis. Results are also benchmarked at the Association of Chief Estates Surveyors' meetings.

The Council has a strategy for managing and modernising our property assets which can be viewed here:  [Corporate Asset Management Strategy 2016/18](#) (agenda item 20).

## f. Indicator details: Museum services

C&L 3 11 a	Museum services: number of visits to/usages of Inverclyde Council-funded or part-funded museums			
	2013/14	2014/15	2015/16	Target
	65,178	72,943	78,506	68,500


**What the above data tells us:**

There has been a year-on-year increase in the number of visits to the McLean Museum. In 2015/16, there were 78,506 visits to the facility, a significant increase on the 2014/15 figure of 72,943; this resulted in the 2015/16 target being exceeded.

Inverclyde Council's performance for this indicator compared to other Scottish councils will be published in January 2017.

**Further information:** Museum visits/usage includes:

- visits by members of the public, including group visits and schools visits;
- enquiries (through whatever medium, such as online) that mean the public gain knowledge from/about the Museum collections; and
- outreach visits by Museum staff to specific audiences.

As part of the McLean Museum's Service Plan, there has been considerable investment of time and effort in expanding the online presence of the Museum's collections, giving access to enquirers worldwide. The Museum's online collections can be viewed here:  [McLean Museum Collections Online](#).



## g. Indicator details: Use of libraries


C&L 2 12 a	Use of libraries: number of visits to libraries			
	2013/14	2014/15	2015/16	Target
	393,116	401,807	419,720	410,000

**What the above data tells us:**

The number of library visits has increased year-on-year, with a new high achieved in 2015/16. Last year, there were 419,720 visits to Inverclyde libraries, an increase of 17,913 on the previous year; this resulted in the target for that reporting period being surpassed.

Inverclyde Council's performance for this indicator compared to other Scottish councils will be published in January 2017.

**Further information:** The increase in the number of visits to libraries during 2015/16 is partly due to an increase in the number of adult learners attending classes in Inverclyde branches, together with the number of people using computer facilities at those locations. Additionally, the popularity of Inverclyde libraries' eMagazine and eBook/eAudio services continues.

To find out more about the wide range of services offered by Inverclyde libraries, visit  [Libraries](#).

## h. Indicator details: Domestic noise complaints

CORP 5b2 20 a	Domestic noise complaints: for all those noise complaints requiring attendance on site, the average time in hours between the time of the complaint and attendance on site (including both those dealt with and not dealt with under Part V of The Anti-Social Behaviour Act 2004)		
2013/14	2014/15	2015/16	Target
0.7	1.8	1.43	12


**What the above data tells us:**

In 2015/16, there was a reduction in the time taken to attend on site for a noise complaint. The performance of this measure is therefore significantly better than target.

Inverclyde Council's performance for this indicator compared to other Scottish councils will be published in January 2017.

**Further information:** Changes were made to the way this performance indicator was recorded in 2013/14. Previously, the measure was inflated by our inclusion of appointments made to suit the complainant where an immediate response was not required. From 2014/15, only noise complaints where a quick response is required are included in the calculation.

It is unlikely that further significant improvements can be made to this measure without disproportionate expenditure.

Inverclyde Council can offer advice or assistance about noise in the local area; to find out more visit  [Noise Nuisance](#).

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/97/16/AP/LA</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>Council Tax Reforms Post April 2017</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to highlight to the Committee changes to Council Tax due to come into effect from April 2017.

## 2.0 SUMMARY

- 2.1 As part of its May 2015 manifesto the new Scottish Government undertook to reform Council Tax and to use the £100 million funding generated from these reforms to allocate extra funding directly to schools.
- 2.2 Details of the changes to Council Tax have now been received and the report outlines the high level implications for both the Council and relevant Council Tax payers. The specific impacts will not be able to be fully clarified until Council Tax billing is completed later in February 2017.
- 2.3 Given the potential level of increases for some households officers would advise that it is important that communication takes place with those potentially impacted in advance of annual billing.
- 2.4 The distribution of the £100 million extra attainment funding to be allocated directly to Schools is still being finalised both in terms of quantum and process. A report on this matter will be presented to the Education and Communities Committee once this is clarified.
- 2.5 The Scottish Government has been advised by COSLA that these changes will place additional administrative burdens on Council on a one off and a recurring basis and discussions on potential extra funding will take place as part of the overall 2017/18 budget consideration.
- 2.6 The Scottish Government is also introducing legislation which allows Councils to no longer give a discount on 2<sup>nd</sup> homes. In Inverclyde the current discount is 10% (it can be as high as 50%) and there are currently just over 100 2<sup>nd</sup> homes in Inverclyde. Officers would recommend that in the event that the legislation is passed, the Council no longer offer a discount from 2017/18.
- 2.7 It is important that the Committee note that these changes to Council Tax are outwith any potential increase in Council Tax which the Council could agree as part of its consideration of the 2017/18 Revenue Budget. The Committee is reminded that Council Tax is capped at a maximum of 3% increase per year for the duration of this Scottish Parliament.

## 3.0 RECOMMENDATIONS

- 3.1 It is recommended that the Committee note the implications of the proposed changes to Council Tax due to be implemented from April 2017.
- 3.2 It is recommended that the Committee agree that, subject to the legislation on 2<sup>nd</sup> homes being passed, the Council no longer give a 10% discount on Council Tax from 2017/18.

- 3.3 It is recommended that the Committee agree that appropriate communication take place with those Council Tax payers potentially impacted by these changes and that Officers progress this once details are fully clarified.
- 3.4 It is recommended that the Committee note that a report will be presented to the Education & Communities Committee on the Council's share and utilisation of the increased schools funding once details are known.

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

## 4.0 BACKGROUND

- 4.1 The new SNP Scottish Government contained within its manifesto a commitment to reform Council Tax. Linked to this was a commitment to allocate the extra funding generated from the reform of Council Tax directly to Schools.
- 4.2 It is intended that £100 million net of reliefs will be raised nationally by changing the multipliers for properties in Band E, Band F, Band G and Band H properties from April 2017. In addition the Scottish Government intends to lift its freeze on the Council Tax but replace this with a 3% annual cap in Council Tax increases from 2017/18.

## 5.0 PROPOSED CHANGES TO COUNCIL TAX FROM APRIL 2017

- 5.1 The changes proposed can be broken into 4 main areas as follows:

- a) Changes to the Council Tax multipliers.
- b) Changes to the Council Tax Reduction Scheme.
- c) Utilisation of the extra funds generated.
- d) Changes to 2<sup>nd</sup> Homes discounts.

- 5.2 **Changes to the Council Tax multipliers** – Appendix 1 shows the impact of the changes in multipliers for those properties in Band E, Band F, Band G and Band H. From this it can be seen that the percentage increase in Council Tax from April 2017 ranges from 7.5% for a Band E property to 22.5% for a Band H property. Within Inverclyde a snapshot for the number of chargeable properties within each band is as follows:

Band E – 3436  
Band F – 1904  
Band G – 1410  
Band H – 209

- 5.3 **Council Tax Reduction Changes** – Council Tax Reduction replaced Council Tax Benefit in 2013 and is a fully devolved power for the Scottish Government. The Scottish Government has advised that those Council Tax payers in higher band properties with incomes of below £25,000 would be fully protected from the increases. This will not only include current Council Tax Reduction recipients but will also bring other Council Tax payers into the Council Tax Reduction scheme.
- 5.4 In addition the Scottish Government proposes to increase the Child Premium from £66.90 per week to £83.63 per week. This will increase Council Tax Reduction for existing recipients who are on the taper but also may enable households just outside the Council Tax Reduction scheme to be eligible for an award.
- 5.5 It is estimated by the Scottish Government that the total increase in Council Tax Reduction arising from these proposals will not exceed £17 million.
- 5.6 **Use of the extra funds generated** – It is estimated by the Scottish Government that £109 million gross will be generated from the change in multipliers. As can be seen from 5.5 the increased Council Tax Reduction costs are expected to be approximately £17 million meaning that the net amount generated is £92 million for Councils.
- 5.7 The Scottish Government has committed to allocate £100 million per year directly to schools from the extra sum generated and as such the expectation from Local Government will be that the £8 million shortfall between £100 million and £92 million will be funded by the Scottish Government within the General Grant Settlement from 2017/18.
- 5.8 Whilst the Scottish Government has been clear that the £100 million sum will be distributed to schools in order to increase attainment the method of distribution and the amount that each Council will receive has yet to be determined.

5.9 **Changes to Second Homes discounts** - The Scottish Government is also introducing legislation which allows Councils to no longer give a discount on 2<sup>nd</sup> homes. In Inverclyde the current discount is 10% (it can be as high as 50%) and there are currently just over 100 2<sup>nd</sup> homes in Inverclyde.

## 6.0 ESTIMATED IMPACT FOR INVERCLYDE COUNCIL

6.1 Based on a snapshot of the Council Tax billing system it is estimated that the change in multipliers would generate approximately £1.3 million gross per year. On the assumption that the increase in Council Tax Reduction costs in Inverclyde will mirror the estimated figures from the Scottish Government then this figure will reduce to approximately £1.1 million.

6.2 Whilst the methodology for distributing the £100 million “Attainment Funding” across Scotland has yet to be agreed it would be anticipated that Inverclyde would receive a higher than average share given the indicators which are usually used for the distribution of such funding. Were for example the Council to receive 1.75% of the national pot then it would receive £1.75 million compared to the estimated £1.1 million that it would pay into the pot.

6.3 The above estimated calculation illustrates that across Scotland there will be Councils who receive more from the £100 million than they raise from the increase in Council Tax and vice versa.

6.4 It is estimated that no longer rewarding a 10% 2<sup>nd</sup> Homes discount will raise £14,000 per year. Given the major financial challenges faced by the Council it is recommended that from 2017/18 the 10% discount is no longer given.

## 7.0 IMPLICATIONS

### 7.1 Finance

In addition to the extra Council Tax income generated, the increase in Council Tax Reduction costs and the receipt of the Attainment Funding it is clear that there will be some one off and recurring costs to be incurred by the Finance Service as a result of this change. This will include costs of software changes, increase mailing and administration costs and a potential shortfall in Council Tax Reduction budgets. These matters are being taken up by COSLA with the Scottish Government as part of the 2017/18 Spending Review.

#### 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
Council Tax	Income	2017/18	(1100) est	-	Estimated net income to the Council
Schools	Various	2017/18	Tbc	-	Share of the £100 million Attainment Funding Increase
Council Tax	Income	2017/18	(14)	-	Impact of no longer awarding a 10% 2 <sup>nd</sup> Homes discount

## 7.2 Legal

The Scottish Statutory Instruments for both Council Tax and Council Tax Reduction are currently progressing through the parliamentary process and will be in place in sufficient time for 2017/18 Annual Billing of Council Tax.

## 7.3 Human Resources

There are no HR implications arising from this report.

## 7.4 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.

## 7.5 Repopulation

As the changes in Council Tax are being implemented at a National Level there will be no specific impact on Inverclyde Council's repopulation agenda arising from these changes.

## 8.0 CONSULTATIONS

8.1 The Corporate Director Education, Communities and Organisation & Development and the Head of Legal and Property Services have been consulted in the preparation of this report.

## 9.0 LIST OF BACKGROUND PAPERS

9.1 None

Council Tax Liability Changes

<b><u>Band</u></b>	<b><u>Factor</u></b>	<b><u>Current</u></b>		<b><u>From 2017/18</u></b>		<b><u>£ Increase</u></b>	<b><u>% Increase</u></b>
		<b><u>£</u></b>	<b><u>Factor</u></b>	<b><u>£</u></b>			
<b>A (Disabled)</b>	<b>5/9</b>	<b>666</b>	<b>200/360</b>	<b>666</b>	<b>-</b>	<b>-</b>	
<b>A</b>	<b>6/9</b>	<b>799</b>	<b>240/360</b>	<b>799</b>	<b>-</b>	<b>-</b>	
<b>B</b>	<b>7/9</b>	<b>932</b>	<b>280/360</b>	<b>932</b>	<b>-</b>	<b>-</b>	
<b>C</b>	<b>8/9</b>	<b>1065</b>	<b>320/360</b>	<b>1065</b>	<b>-</b>	<b>-</b>	
<b>D</b>	<b>9/9</b>	<b>1198</b>	<b>360/360</b>	<b>1198</b>	<b>-</b>	<b>-</b>	
<b>E</b>	<b>11/9</b>	<b>1464</b>	<b>473/360</b>	<b>1574</b>	<b>110</b>	<b>7.5%</b>	
<b>F</b>	<b>13/9</b>	<b>1730</b>	<b>585/360</b>	<b>1947</b>	<b>217</b>	<b>12.5%</b>	
<b>G</b>	<b>15/9</b>	<b>1997</b>	<b>705/360</b>	<b>2346</b>	<b>349</b>	<b>17.5%</b>	
<b>H</b>	<b>18/9</b>	<b>2396</b>	<b>882/360</b>	<b>2935</b>	<b>539</b>	<b>22.5%</b>	



**Report To:** Policy and Resources Committee **Date:** 15 November 2016

**Report By:** Head of Organisational Development, Human Resources and Communications **Report No:** HR/30/16/GB

**Contact Officer:** George Barbour, Corporate Communications Manager **Contact No:** 712385

**Subject:** Budget Consultation and Communications Plan

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to present proposals regarding consultation and communications on the Council's budget.

## **2.0 SUMMARY**

- 2.1 The Council budget consultation and communications plan sets out proposals to consult with residents, community organisations and a range of other stakeholders to inform the budget process.
- 2.2 The consultation will aim to deliver a consistent approach to branding and messaging with the budget consultation launching on 16 November 2016 and ending on 9 January 2017.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee approves:
- The consultation objectives, audiences, key mechanisms, questionnaire and timescales outlined in this report.

**Steven McNab**  
**Head of Human Resources, Organisational Development and Communications**

## **4.0 BACKGROUND**

- 4.1 The Council has delivered successful budget consultation and engagement process which launched in 2014 and in 2015.
- 4.2 The Members' Budget Working Group (MBWG) confirmed that they do not wish to take any further savings beyond the proposals contained in Appendix 1 of the 'budget strategy report 2017/20' this side of the May 2017 Local Government elections. There is however a clear wish that officers undertake a consultation exercise and that this be concluded well in advance of the purdah period for the local elections.
- 4.3 The Corporate Management Team (CMT) has recommended that to ensure that the consultation feedback is received by the current Council as part of the 2017 budget report, then the consultation will need to commence prior to the Christmas period. It is therefore proposed that the consultation is launched on 16 November 2016 and closes on 9 January 2017.

## **5.0 PROPOSALS**

- 5.1 Appendix 1 sets out the consultation and communications timeline for the budget consultation. Below are the overall objectives of the consultation campaign, the key audiences targeted and the key mechanisms used.
- 5.2 In the absence of detailed budget savings proposals, it is considered inappropriate to use the budget simulator which has proven successful in the 2014 and 2015 budget consultation exercises. An online 'survey monkey' will be developed, with more detail on the questions presented to the October Members' Budget Working Group meeting.
- 5.3 The overall objectives of the consultation are:
- To ensure a high level of engagement across all audiences in setting the Council's budget.
  - To demonstrate clearly to the local community that Inverclyde Council and its Elected Members welcome and are actively listening to the views of its key audiences.
  - To give all audiences the opportunity to be involved, influence and to have a say in determining the Council's priority based budget.
  - To seek feedback on the services Inverclyde Council needs to protect or reduce, as well as local people's views on charging for services.
- 5.4 The key audiences for the Council's budget consultation and communications plan are:
- Community.
  - Council staff and trade unions.
  - Partners and the business community.
- 5.5 Appendix 1 highlights the timescales and key milestones for the Council's budget consultation. Below are listed the key communication and consultation mechanisms:
- Consistent branding of all consultation and communications activity using the consultation message: 'Your Council, Your Say'.
  - Double page feature published in InView newspaper and distributed to every household in Inverclyde.
  - Members of the Citizens' Panel who have provided an email address (around 500).
  - People who participated in a survey about last year's Budget Consultation exercise and agreed that they could be contacted about future Council consultations on the Budget and other topics (around 100, provided the permissions are not time-barred).
  - Online survey monkey questionnaire.
  - Updates from the Chief Executive to Council employees and ICON updates.

- Consultation details shared with partners and representatives of the business community.
- Staff cascade and briefings where required.
- Dedicated budget consultation website pages set up at [www.inverclyde.gov.uk/yoursay](http://www.inverclyde.gov.uk/yoursay)
- Social media engagement through Facebook and Twitter using the hashtag #Inverclydeyoursay to encourage residents to get involved in the consultation.
- Press releases and media briefings where required.

5.6 Appendix 2 includes a copy of a questionnaire designed to elicit feedback from stakeholders for informing future budget decisions. The questionnaire will be published as an online survey and the results will be presented to councillors in February 2017.

## 6.0 IMPLICATIONS

### 6.1 Financial Implications - One off Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report £000	Virement From	Other Comments
			£4,000		Additional funding required to support consultation and examination of survey results.

### Financial Implications - Annually Recurring Costs/ (Savings)

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

### 6.2 Human Resources

N/A

### 6.3 Legal

N/A

### 6.4 Equalities

Council material including InView newspaper can be made available in other languages on request.

Has an Equality Impact Assessment been carried out?

YES (see attached appendix)

NO -

**6.5 Repopulation**

N/A

**7.0 CONSULTATION**

7.1 N/A

**8.0 BACKGROUND PAPERS**

8.1 N/A

## Appendix 1

### Budget Consultation Timeline

Date	Mechanism/stage
November 2016	Consultation launched: -Press release issued -Social media and online promotion begins -Dedicated website pages launched at the council's consultation web pages: <a href="http://www.inverclyde.gov.uk/yoursay">www.inverclyde.gov.uk/yoursay</a>
	Survey monkey online questionnaire published
	Survey Monkey questionnaire emailed to the Citizens' Panel
	Chief Executive update emailed to employees, published on ICON
	December 2016
Chief Executive update emailed to employees, published on ICON	
Press release issued highlighting half way point in budget consultation	
January 2017	Chief Executive update emailed to employees, published on ICON
	Press release issued highlighting the final week of the budget consultation
	Consultation closes -Press release issued -Social media and online promotion ends
w/b 16 January 2016	Analysis of budget consultation feedback
February 2016	Report back to the Council

#### Colour key:

■	External communication and engagement
■	Staff/internal communications

## Appendix 2

### **Budget Consultation Questionnaire:**

#### **Inverclyde Council**

#### **Budget Consultation 2017/18**

Thank you for your interest in Inverclyde Council's Budget Consultation exercise.


The Council will set its budget for 2017/18 on 16 February 2017. We would like to hear your opinions on a number of aspects of the Council's budget. Your answers to the questions in this survey will help the Council to make decisions about its budget for 2017/18 and also for the next few years.


The main questionnaire only contains 10 questions and should not take long to fill in. The closing date for completing the survey is **Monday, 9 January 2017**.

As you may be aware, Inverclyde Council, like many other public sector organisations, is facing a very difficult and challenging financial situation. As a result of reductions in Government funding and increasing demand for certain services, the Council needs to make substantial savings over the next three years. A number of recent events have further increased the uncertainty around public finances and the potential impact on the Council's budget; these include the outcome of the European Referendum and how the Scottish Government will use its new tax raising powers.

The current estimate indicates that Inverclyde Council will need to make savings of £22.5 million during the period 2017/20. Given the scale and pace of the savings required, the Council will have no option but to reduce spending in some areas of service delivery. This means that some front-line services currently delivered to Inverclyde residents will either be reduced or stopped altogether. The reason that front-line services are the main focus of potential savings is because those services cost the most money to deliver. The areas covered in this consultation are a representative sample of the choices about budget savings which the Council will face in the coming months and years.

Your views and opinions on the budget savings are integral to the decision-making process and will be carefully considered by the Council before final decisions are made about the budget.

The results of this questionnaire will be available to view on the Council's website from 9 February 2017. To view the papers for this meeting and for other Council committees, visit:  [Inverclyde Council committees and meetings](#).

To find out more about the Council's budget for 2017/18, visit  [Your Council, your say](#).

You can also view the Council's Financial Strategy 2016/24 here:  [Meeting of Inverclyde Council](#) (agenda item 2).

## Q1

There are services the Council currently provides on a discretionary basis; many of these are listed below, together with the annual cost of providing those services. Please tell us whether or not you think the Council should continue to provide the following services, either at the current level or at a reduced level, or whether you think the service should cease altogether.

<b>Service and annual cost of service</b>	<b>Do not change the service</b>	<b>Reduce the service</b>	<b>Stop the service</b>	<b>I do not have an view on this</b>
Breakfast clubs in schools <ul style="list-style-type: none"><li>• £0.15 million</li></ul>				
School clothing grants <ul style="list-style-type: none"><li>• £0.21 million</li></ul>				
Grants to voluntary organisations <ul style="list-style-type: none"><li>• £0.3 million</li></ul>				
Public space CCTV <ul style="list-style-type: none"><li>• £0.19 million</li></ul>				
Subsidised team sports for under 19 year olds <ul style="list-style-type: none"><li>• £0.16 million</li></ul>				
Physical regeneration including a payment to Riverside Inverclyde <ul style="list-style-type: none"><li>• £0.34 million</li></ul>				
Support for businesses, for example, marketing support and business grants <ul style="list-style-type: none"><li>• £0.21 million</li></ul>				
Support for getting people into work and job retention <ul style="list-style-type: none"><li>• £2.53 million</li></ul>				
Public conveniences <ul style="list-style-type: none"><li>• £0.17 million</li></ul>				

## Q2

A number of services are currently provided by the Council at a more enhanced level than we are required to. Please tell us whether you think the Council should continue to provide the following services at the current level or whether service delivery should be at a reduced level.

<b>Service and total annual cost of service</b>	<b>Current service provision</b>	<b>Reduced service provision</b>	<b>I do not have a view on this</b>
Primary and secondary school teachers <ul style="list-style-type: none"><li>£37 million</li></ul>			
School cleaning and catering <ul style="list-style-type: none"><li>£4.2 million</li></ul>			
School transport <ul style="list-style-type: none"><li>£1.3 million</li></ul>			
Library services <ul style="list-style-type: none"><li>£1.1 million</li></ul>			
Community Wardens <ul style="list-style-type: none"><li>£0.71 million</li></ul>			
Community learning and development <ul style="list-style-type: none"><li>£1.3 million</li></ul>			
Sports and leisure facilities <ul style="list-style-type: none"><li>£1.35 million</li></ul>			
Community centres and halls <ul style="list-style-type: none"><li>£1.06 million</li></ul>			
Roads and lighting maintenance <ul style="list-style-type: none"><li>£1.1 million</li></ul>			
Refuse collection and disposal <ul style="list-style-type: none"><li>£4.7 million</li></ul>			
Grounds maintenance <ul style="list-style-type: none"><li>£1.9 million</li></ul>			
Street cleaning <ul style="list-style-type: none"><li>£1.5 million</li></ul>			
Customer Service Centres <ul style="list-style-type: none"><li>£0.64 million</li></ul>			
Children and families' social work services <ul style="list-style-type: none"><li>£10.37 million</li></ul>			
Adult mental health services <ul style="list-style-type: none"><li>£1.23 million</li></ul>			
Older persons' care at home services <ul style="list-style-type: none"><li>£9 million</li></ul>			



Learning disability services • £6.48 million			
Physical and sensory disability services • £2.07 million			
Addictions services • £1.04 million			

### Q3

The Council currently charges for some services. Please tell us if you think we should keep prices for the following services the same or increase charges.

Note: The following list comprises only those areas where the Council currently raises in excess of £50,000 of income per year.

<b>Service and annual cost of service</b>	<b>Charge the same</b>	<b>Increase charges by up to 10%</b>	<b>Increase charges by more than 10%</b>	<b>I do not have a view on this</b>
School meals • £0.94 million				
Pre-5 care - extra hours • £0.19 million				
School lets • £0.2 million				
Daily parking charges • £0.06 million				
Burials • £0.28 million				
Cremations • £0.55 million				

**Q4**

The Council does not currently charge for the following services. Please tell us whether you think the service should remain free for service users or whether the Council should introduce a charge for this service in the future.

<b>Service</b>	<b>Continue with free service</b>	<b>Introduce a charge</b>	<b>I do not have a view on this</b>
Swimming for under 16 year olds			
Swimming for over 60 year olds			
Older persons' community alarms			
Additional wheeled bins			
Primary school music tuition			
Physical aids and equipment to support people to live independently at home, for example, hand rails			
<b>Are there any other services that the Council provides which you think we should charge for? <i>Please state.</i></b>			

**Q5**

Are there any other services provided to local residents which are not included in Questions 1-4 that you think the Council should reduce or stop providing? *Please state.*

--

**Q6**

**Council Tax**

Current Government Policy is to allow increases in Council Tax to a capped maximum of 3% per year. A 3% increase in Council Tax would generate £810,000 of income each year for Inverclyde Council which would reduce the amount of cuts required. An increase of 3% would add between £24 (Band A) and £88 (Band H) per year to the Council Tax Bill for a property in Inverclyde.

Do you agree that in the current financial environment there should be an increase in Council Tax in Inverclyde?

Yes	
-----	--

No	
----	--

If Yes, please state how much you think the Council Tax should be increased by.

1%	
----	--

2%	
----	--

3%	
----	--

<b>Other amount.</b> <i>Please state.</i>	
---	--

**Q7**

**We would now like to ask you about the Council's role as a service provider.**

Inverclyde Council, like other councils across Scotland, does not directly deliver all the services it provides for people in the local area.

Examples of alternative ways in which services can be delivered include:

- shared services with one or more council
- an arm's length external organisation, for example, the Inverclyde Leisure Trust
- delivered by the private sector
- services are delivered in partnership with community groups or charitable organisations.

**Q7a**

Do you think it is acceptable for Inverclyde Council not to deliver some services directly?

This is an acceptable option to me	This may be acceptable but I have reservations	This is not an acceptable option to me

**Q7b**

If it would save money, do you think the Council should increase the number of services it does not deliver directly?

Yes	
-----	--

No	
----	--

**Q7c**

If the Council were to increase the services it does not directly deliver, what are your views on the following delivery models?

<b>Method of service delivery</b>	<b>This is an acceptable option to me</b>	<b>This may be acceptable but I have reservations</b>	<b>This is not an acceptable option to me</b>	<b>I do not have an view on this</b>
Shared services with one or more council				
An arm's length external organisation, for example, the Inverclyde Leisure Trust				
Services are delivered by the private sector				
Services are delivered in partnership with community groups or charitable organisations.				

**Q8**

The Council is the single biggest employer in Inverclyde and alternative service delivery options may have an impact on local jobs. How important an issue should this be for the Council when considering alternative service models?

Very important	Fairly important	Neither/nor	Not important	Not at all important

**Q9**

Do you have any other comments about the Council's budget? *Please state.*

--

**Q10**

Are you happy to be contacted via e-mail about future Council consultations on the budget and other topics?

Yes	
-----	--

No	
----	--

If Yes, please provide your e-mail address below.

--

## Profile questions about you

So that we can best respond to the needs of different local residents, we would now like to ask you questions that will help the Council to ensure it treats everyone fairly and equitably. If you are not comfortable answering any of these questions, please do not feel obliged to do so.

### Q1

Are you?

Male	
Female	

### Q2

What age are you?

16-24	
25-34	
35-44	
45-54	
55-64	
65-74	
75+	

### Q3

What is your employment status?

Employed full-time	
Employed part-time	
Government training scheme	
Looking after home or family	
Not working due to long term illness	
Retired	
Self-employed	
Student	
Unemployed	

### Q4

What type of property do you stay in?

Live with relatives	
Own your home	
Rent from a housing association	
Rent from a private landlord	
Other. <i>Please state.</i>	

### Q5

Where do you live in Inverclyde? *Please provide your postcode.*

--

Thank you for taking the time to complete this survey.

---

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Chief Executive</b>	<b>Report No:</b>	<b>P+R/16/11/01//AF/SJ</b>
<b>Contact Officer:</b>	<b>Stuart Jamieson</b>	<b>Contact No:</b>	<b>01475 712402</b>
<b>Subject:</b>	<b>Implications of Brexit</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to discuss potential implications of the decision by the United Kingdom to leave the European Union following the referendum in June 2016.

## 2.0 SUMMARY

- 2.1 Members are aware that the United Kingdom voted for a British exit, or Brexit, from the European Union in a referendum on Thursday June 23, 2016.
- 2.2 It is likely that the decision will have an effect on monetary, fiscal, trade, industry, immigration, and labour markets.
- 2.3 A number of forecasters indicate a sharp slowdown in the rate of growth in the Scottish economy over the next 3 years as a result of the decision to leave the EU, and this is likely to be transmitted into the Inverclyde economy.
- 2.4 The decision may cause a prolonged period of economic uncertainty and financial volatility as the terms of 'exit' are negotiated and beyond. This will carry risks for investment, household incomes and growth. There is a probability that trade and investment will be damaged by the decision to become less integrated with the EU. As businesses and investors adjust their expectations to life outside the EU, it is expected for growth to be lower than it would otherwise have been. Equally, it is fully recognised that there are many unknown issues that make any forecasting highly subjective from any perspective.
- 2.5 There are many unknowns in relation to Brexit, however it is essential that Council continues to review the potential implications of Brexit, engages with the Community and Business, and reacts appropriately during the negotiation period.

## 3.0 RECOMMENDATIONS

That the Committee:-

- 3.1 note the report; and
- 3.2 agree to regular updates on Brexit as the situation unfolds.

## 4.0 BACKGROUND

- 4.1 The United Kingdom has been a member state of the European Union (EU) and its predecessor, the European Economic Community (EEC), since 1973.
- 4.2 The European Union Single Market refers to the EU as one territory without any internal borders or other regulatory obstacles to the free movement of goods and services.
- 4.3 Members are aware that the United Kingdom voted for a British exit, or Brexit, from the European Union in a referendum on Thursday June 23, 2016.
- 4.4 To date, the value of the Pound has fallen compared the Euro since Brexit. This has both a positive and negative impact on manufacturing and inflation.
- 4.5 A significant effect of being part of the European Union has been a requirement to embrace and apply European Policy and Laws. At this stage it is unclear how much effect the decision to leave the European Union will have on fiscal policy. If Brexit achieves ongoing participation in the single market then it is likely that whilst the United Kingdom may apply its own policy and laws, it will still have to meet the same standards as European Law. These standards would not be required if the UK does not participate in the single market, these standards will not be required.
- 4.6 The impact on UK trade with Europe will depend on the relationship between the UK and the EU after Brexit. In the most likely scenarios – either the Swiss model, or an FTA-based relationship – regulatory divergence that adds to the cost of trade is likely to increase over time, damaging bilateral trade volumes and the UK's position in European supply chains. The costs will be borne by consumers as well as businesses.
- 4.7 The decision may cause a prolonged period of economic uncertainty and financial volatility as the terms of 'exit' are negotiated and beyond. This will carry risks for investment, household incomes and growth. Secondly, there is a high probability that trade and investment will be damaged by the decision to become less integrated with the EU. As businesses and investors adjust their expectations to life outside the EU, it is expected for growth to be lower than it would otherwise have been. Whilst it is not expected for the UK to fall into recession Gross Value Added estimates are being revised to negative figures.
- 4.8 Commentators recognise that the Brexit decision has unsettled a large part of the community of European Nationals living in the UK who have entered the UK from mainland Europe. Decisions on the free movement of EU Nationals are currently a significant burden for the European Union.
- 4.9 Forecasters have revised their population estimates, where growth was previously anticipated they have now revised their estimates to reflect short term growth only in London. Given the fragile nature of Inverclyde's population, the revision of these estimates is of particular concern.
- 4.10 The UK has a population of approximately 63.7 million of which 5.3 million are non British, and of those 2.9 million are from Europe. Reports suggest that there are approximately 2.1 million European Nationals working in the United Kingdom. This represents a significant part of the labour market.
- 4.11 Since 2008 Inverclyde has benefitted from over £7 million of European Funding. This funding has been from the European Regional Development Fund and the European Social Fund. In the current programme European Funding is used to support our employability pipeline activities and these benefit from intervention rates which vary from 40-67%.
- 4.12 There is a large amount of speculation about the immediate/medium and long term impact of the UK leaving the European Union and, given the potential scale of this, it is important that the Council's Financial Strategy recognises the risks and, as firm information becomes available, reflects this in forward planning assumptions.
- 4.13 Impacts predicted include rises in inflation due to the increased price of imports as the pound loses value against other currencies, increased interest rates and a deterioration of the public



finances. The extent to which these factors may impact is unclear at present and some of the predicted immediate impacts following the vote to leave have not arisen to the extent forecast. A recent Directors of Finance briefing by John McLaren from Strathclyde University summarises the position as follows: “These figures are very much guesstimates, as the current lack of much in the way of any negative impacts has highlighted. All the analysis is based on UK forecasts which are highly subjective at present and driven by assumptions rather than evidence.”

## 5.0 PROPOSAL

- 5.1 It is proposed that Officers and Members continue to monitor the Brexit situation and participation in forums, including COSLA, which allow positive participation in the debate is fundamental, both at a Holyrood and Westminster perspective.
- 5.2 Continued engagement with the business community through the Chamber of Commerce and the Federation of Small Businesses is key to ensure that the Council both informs and is informed on business opinions.
- 5.3 Regular reports to Committee providing updates will be made.

## 6.0 IMPLICATIONS

### Finance

#### 6.1 Financial Implications:

##### One off Costs

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

Annually Recurring Costs/ (Savings) – **The budget is 100% external contract.**

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

### Legal

- 6.2 There are no legal implications arising from this report.

### Human Resources

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

### Equalities

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

### Repopulation

- 6.5 It is too early in the process to identify repopulation issues.

## **7.0 CONSULTATIONS**

7.1 Consultations with Departments have included all Heads of Service and appropriate Finance Officers.

---

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Brian Moore Corporate Director (Chief Officer) Inverclyde HSCP</b>	<b>Report No:</b>	<b>SW-56-2016-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 information governance and the Records Management Improvement Plan.

## 2.0 SUMMARY

- 2.1 The Information Governance Steering Group (IGSG) is implementing the Council and Licensing Board's Records Management Plan (RMP) as required under the Public Records (Scotland) Act 2011. Of the 14 elements considered in the RMP, 9 were agreed as compliant and 5 were agreed as part of an improvement plan and require further development.
- 2.2 Since we last reported to the Committee the Council has made good progress against all of the improvement plan elements. A summary of key achievements are:
- Services are continuing to reduce paper records to focus on electronic storage and allow improvements to be made to existing storage areas.
  - Services have been re-organising network folders as a means of business classification.
  - An updated email archiving and deletion solution has been agreed.
  - Improvements are planned at the Watt Library to protect our archives.
  - Information sharing discussions continue to take place and we are continuing to review and develop data sharing agreements.
  - More staff completing mandatory e-learning training in information governance subjects and we have dedicated module for staff with data protection responsibilities.
- 2.3 The Keeper of Records (Scotland) is now starting the process of assessing improvement models during 2016. We are awaiting the Keeper's timeframe for the assessment process.
- 2.4 The IGSG and its sub-group are committed to closing the gap in the improvement areas recommended by the Keeper. Its activity is detailed in the attached improvement plan (Appendix 1).

## 3.0 RECOMMENDATIONS

- 3.1 That the Committee note progress is being made on the Council and Licensing Board's Records Management Improvement Plan.
- 3.2 That the Committee note the Council and Licensing Board will be invited to submit an annual update of its Records Management Plan and the Keeper will write to the Chief Executive with his findings.

3.3 That the Committee agree to receive annual update reports on Information Governance and Management.

**Brian Moore**  
**Corporate Director (Chief Officer)**  
**Inverclyde Director HSCP**

## 4.0 BACKGROUND

4.1 Inverclyde Council and Licensing Board is monitoring its compliance under the Public Records (Scotland) Act 2011. That is, following approval of the Records Management Plan we must implement the Plan and keep it under review, and carry out a review of the Plan by such a date (“the review date”) as the Keeper may determine.

4.2 The Council and Licensing Board’s improvement plan is concentrated on the following elements.

Element 4	- Business Classification
Element 6	- Destruction Arrangements
Element 7	- Archiving and Transfer
Element 11	- Audit Trail
Element 14	- Shared Information

Some of these ‘amber’ elements will be more complex than others and will be considered long-term. Progress on our achievements to date is detailed in Appendix 1.

4.3 The Council has also made progress in maintaining the ‘green’ elements that were compliant and are maintained by ongoing work streams.

### 4.4 Records Management

- There is an ongoing work plan for the destruction of paper records no longer required under retention.
- Activity in the Greenock Municipal Buildings has seen services in Environment, Regeneration & Resources reviewing files for clear-out and Finance have almost cleared out their vaults.
- Property Services have been moving rationalised files into their upgraded storage area.

### 4.5 Training and Development

- Our Learning and Development pages on ICON have been refreshed and there is an updated E-Learning course catalogue with mandatory courses in information, security and governance.
- The Council has a dedicated module for information asset owners and senior risk owners to help understand information risk.
- Staff who deal with subject access requests have received dedicated training and a corporate guide has been developed.
- Staff uptake accessing and completing mandatory e-learning modules in information governance has improved. NHS staff in the HSCP continue to access Learnpro for the safe information handling e-learning.

### 4.6 Historical Child Abuse Inquiry

- A task group in the HSCP are leading on this work to identify and retrieve relevant records which might be of interest to the Inquiry. We also have a support mechanism through Glasgow City Archives.

### 4.7 Social Media Usage

- In recognition of the popularity of social media as a communication tool, it is being explored as an option for delivering online training. The IGSG are taking forward discussions as well as refreshing existing Council policy regarding the use of Social Media.

### 4.8 Open Data

- The IGSG are exploring the benefits of publishing datasets as required under the Government’s Open Data Strategy. The Council is likely to hold a number of datasets and these will be made available through a publication plan.

## 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 2002.

### 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 Committee, 2 February 2016.

## RECORDS MANAGEMENT IMPROVEMENT PLAN

'Amber' Improvement Area	Progress to date
<p><b>Business Classification</b> Implementation of a corporate business classification scheme (BCS) that will link in with the Retention Schedule.</p>	<ul style="list-style-type: none"> <li>• The Council has an original business classification scheme and implementation across Directorates is progressing.</li> <li>• The re-organisation of network folders is being taken forward by managers and will be promoted through DMTs.</li> <li>• Safer Communities, significant sections of HSCP and Finance have completed significant portions of network folder re-organisation. This has seen improvement on file and folder structure.</li> </ul>
<p><b>Destruction Arrangements</b> A corporate process to be in place for the deletion of electronic documents from network drives.</p>	<ul style="list-style-type: none"> <li>• The Council approved an upgraded email archiving and deletion solution at Committee on 20 September 2016. The solution will allow for compliance with the Policy for the Retention and Disposal of Documents Paper and Electronic and Information Classification Policy.</li> <li>• A classification system for the labelling of correspondence sent electronically will be put in place to allow emails and documents to be classified with an 'Official' or 'Official – Sensitive' marking.</li> <li>• Data cleansing exercises are taking place in HSCP whilst we consider a disposal option for their EDM system.</li> <li>• Planning has reduced their paper storage with the ongoing scanning of historical building standards records to comply with the Government's e-Building Standard.</li> <li>• The destruction of paper records across the Council is making good progress and we have a work plan in place. High capacity shredders have also been purchased.</li> </ul>
<p><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.</p>	<ul style="list-style-type: none"> <li>• Refurbishment to the roof at the Watt Library will help to protect archive collections housed there.</li> <li>• Decanting of our historical records give us the opportunity to review all items and materials being stored.</li> <li>• Public access to our archives has been improved.</li> <li>• We are self-assessing our archiving provisions against the Keeper's 'proper arrangements for archiving public records' document.</li> </ul>

<b>'Amber' Improvement Area</b>	<b>Progress to date</b>
	<ul style="list-style-type: none"> <li>• We will be developing guidance for staff on how to recognise records for archiving.</li> </ul>
<p><b>Audit Trail</b> The Council must have procedures in place in relation to audit trails covering all transactions undertaken.</p>	<ul style="list-style-type: none"> <li>• We already have the facility for audit trails in our electronic record systems. The introduction of the business classification scheme will allow for audit trails to be incorporated into reorganised network folders.</li> </ul>
<p><b>Shared Information</b> Procedures for the efficient sharing of information both within an organisation and with external partners</p>	<ul style="list-style-type: none"> <li>• The Council's Information Sharing Working Group continues to review and enhance our information sharing arrangements.</li> <li>• New data sharing agreements have been developed.</li> <li>• The Council's Information Sharing Protocol was promoted in our information governance newsletter.</li> <li>• A corporate registry for existing sharing agreements is being developed on ICON.</li> <li>• Freedom of Information publication schemes for the Council, Licensing Board and Integrated Joint Board have been updated.</li> </ul>



---

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Head of Organisational Development, Human Resources and Communications</b>	<b>Report No:</b>	<b>HR/25/16/PR</b>
<b>Contact Officer:</b>	<b>Pauline Ramsay Health and Safety Team Leader</b>	<b>Contact No:</b>	<b>01475 714723</b>
<b>Subject:</b>	<b>Corporate Health and Safety Plan</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to seek Committee approval for adoption of a new Corporate Health and Safety Plan (Appendix 1) and to approve the Corporate Health and Safety report for 2015/16 (Appendix 2).

## 2.0 SUMMARY

- 2.1 Reporting on Health and Safety performance is a key aspect of ensuring that health and safety is correctly managed within an organisation.
- 2.2 The Health and Safety Executive have issued guidance on how they expect health and safety to be managed within an organisation, this framework provides the basis for the approach which Health and Safety Inspectors will take when auditing an organisation's arrangements for managing health and safety.
- 2.3 The corporate health and safety report summarises the Council's performance data, including the numbers and types of accidents and incidences of work related ill health. It also outlines enforcement action and commentary on health and safety during the year.
- 2.4 The Corporate Health and Safety plan sets out the key priorities facing the Council in terms of compliance with legislative requirements and how the Council will control the health and safety risks identified through audits, inspections and external influences.
- 2.5 The People and Organisational Strategy was approved by the Policy and Resources Committee in September 2016. This particular proposal is contained within Theme 2 - Employee Skills Development, Leadership, Succession Planning (Employees our most Valuable Resource) and Theme 3 - *Employer of Choice (Continuous Improvement)* in that it focuses on the health, safety and welfare of our workforce.

## 3.0 RECOMMENDATIONS

- 3.1 The Committee is recommended to approve the Corporate Health and Safety Plan and Report.
- 3.2 The Committee is asked to support this plan by active promotion and support of Health and Safety.

## 4.0 BACKGROUND

- 4.1 Inverclyde Council is required to ensure that health and safety risks to employees are managed and assessed in line with its legal duties as defined by the Health and Safety at Work etc. Act 1974, Management of Health and Safety at Work Regulations 1999, Fire (Scotland) Act 2005, the Fire Safety (Scotland) Regulations 2006 and other statutory requirements.
- 4.2 By law (Health and Safety at Work etc. Act 1974 section 2(3)) if you employ five or more people you must have a written health and safety policy. This contains a statement of general policy on health and safety at work in the organisation and arrangements in place for putting that policy into practice. The Corporate Health and Safety report provides information to those with overall responsibility for health and safety management on the Council's performance in this area.
- 4.3 The Corporate Health and Safety Plan sets a clear direction for the Council to follow; it will contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement. It will demonstrate a shared common understanding of the Council's vision, values and beliefs. A positive Health and Safety culture is fostered by the visible and active leadership of senior managers. This is reflected within the plan.
- 4.4 The Health and Safety Report consists of the following main sections:
- Policy and guidance issued or updated
  - Consultations and communication
  - Training carried out
  - Enforcement action
  - Performance in relation to incidents reported.

The report indicates further development work is required in the following areas:

- Violence and aggression
- Manual handling
- Slips, trips and falls
- Vibration

These have been addressed within the Corporate Health and Safety Plan.

- 4.5 The corporate health and safety plan sets out six key health & safety improvement activities to take place in Inverclyde Council during the period 2016 - 2019. These are:
- A review of management arrangements and implementation of processes aimed at controlling the health risks associated with hand/arm and whole body vibration.
  - Review of the risk assessment process to ensure that all tasks are covered by suitable and sufficient risk assessments.
  - Training – a review of training in the Council to ensure that all services have a clearly identified training needs analysis in place and that employees receive appropriate Health and Safety training promptly.
  - A review of management arrangements and implementation of processes aimed at controlling risks associated with violence and aggression at work and lone working.
  - The development and implementation of management arrangements relating to safe manual handling practices, which supports the adoption of the Scottish Manual Handling Passport scheme.
  - Slips, trips and fall incidents to be reduced and mechanisms to control the risks implemented within services.

## 5.0 PROPOSALS

- 5.1 The corporate health and safety plan will drive forward improvement in health and safety management in the Council and be used as a framework to further enhance the safety of employees and those affected by the work of the Council.

## 6.0 IMPLICATIONS

### Finance

6.1 There are no financial implications for this report.

#### Financial Implications:

##### One off Costs

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

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

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

### Legal

6.2 Legal: Failure to have a robust health and safety management system in place and to implement it could result in enforcement action being taken against the Council.

### Human Resources

6.3 There are no Human Resources implications.

### Equalities

6.4 There are no Equalities issues within this report.

### Repopulation

6.5 There are no repopulation issues within this report

## 7.0 CONSULTATIONS

7.1 The Health and Safety Plan and Report have been coordinated through the Corporate Health and Safety Committee with Health and Safety seeking the views of both union and management colleagues. The Trades Unions have agreed the report and plan.

## 8.0 LIST OF BACKGROUND PAPERS

8.1 Appendix 1 – Corporate Health and Safety Plan  
Appendix 2 – Corporate Health and Safety Report

**Corporate Health and Safety Plan**

2016 – 2019

DRAFT

## INTRODUCTION

A high standard of health and safety performance is one of the Council's primary objectives and is recognised as an integral part of service delivery. This means having in place effective management arrangements that ensure the wellbeing of our employees, and minimise the losses (financial and to our reputation) to our business from ill health and injury. It requires that we search out, adopt and update best practice relevant to and proportionate to the risks we and our employees face, and that we generate guidance and procedures for relevant activities.

The Council will follow the principals of health and safety management as laid out in the HSE Publication - HSG 65 Managing for Health and Safety.

The health and safety plan sets out the principle health & safety improvement activities to take place in Inverclyde Council during the period 2016 - 2019. All Managers and Team Leaders should read this plan and think about how they can contribute to delivering the plan's outcomes.

The plan sets out three key themes that the Council aims to develop in the period up to 2019; these were agreed by the Corporate Health and Safety Committee, the CMT and ratified by the Policy and Resources Committee.

These themes are:

- A positive health & safety culture,
- Coherent policies and procedures and
- Compliance with appropriate health and safety standards.

Aubrey Fawcett  
Chief Executive

# 1 Managing Health and Safety

Six key priorities have been identified for development within this plan

- A review of management arrangements and implementation of processes aimed at controlling the health risks associated with hand/arm and whole body vibration.
- Review of the risk assessment process to ensure that all tasks are covered by suitable and sufficient risk assessments.
- Training – a review of training in the Council to ensure that all services have a clearly identified training needs analysis in place and that employees receive appropriate Health and Safety training promptly.
- A review of management arrangements and implementation of processes aimed at controlling risks associated with violence and aggression at work and lone working.
- The development and implementation of a management arrangements relating to safe manual handling practices, which supports the adoption of the Scottish Manual Handling Passport scheme.
- Slips, trips and fall incidents to be reduced and mechanisms to control the risks implemented within services.

It should be recognised that while these are key priorities for further development, work continues to be ongoing in other areas.

## Action Plans

In order to monitor of the key priorities each Service will be required to create a Service Action Plan showing how these key priorities will be managed within their areas of responsibility. Progress against these will be reported to the Corporate Health and Safety Committee on a quarterly basis. The Corporate Health and Safety Section will carry out a risk profiling exercise within each Service and in conjunction with the services develop service action plans. Key priorities will be collated into an overall Corporate Action Plan which will be reported to the Policy and Resources Committee.

## Selection of Key Priorities

The Health and Safety Executive have identified the following key priorities areas for enforcement work, and while work is ongoing in all areas, the reasons behind selection of the 6 key priorities identified in the 2016-19 plan have been identified in the table below.

HSE Inspection Priority Area	
Falls from Height	<p>Ongoing work with Property services, it is recognised that one of the higher risk buildings in the Council in terms of roof access and working at height is the Municipal Buildings, a roof access strategy for this building is being developed by Property Services.</p> <p>While there is no specific policy on working at height there is extensive guidance on icon and other policies including the Controlling Contractors, Construction Design and Management Regulations, and Risk Assessment Policies all cover this issue.</p> <p>Work ongoing, no specific development work identified for this plan.</p>
Workplace Transport	<p>The policy has been reviewed in light of the Fatal Accident Inquiry into the Glasgow Bin Lorry incident, the current policy and processes met the requirements as laid down in the Fatal Accident Inquiry, however this will be monitored and any necessary changes made as further evidence guidelines are published.</p>

Slips & Trips	To be reviewed as part of the 2016-19 plan, due to <ul style="list-style-type: none"> <li>• Second highest cause of reported accidents in the Council.</li> <li>• High number of claims due to slip trip and fall incidents.</li> </ul>
Musculoskeletal Disorders	To be reviewed as part of the 2016-19 plan due to: <ul style="list-style-type: none"> <li>• introduction of the Scottish Manual Handling Passport scheme,</li> <li>• Musculoskeletal issues account for approximately 25% of council absences.</li> <li>• Third highest cause of reported accidents</li> </ul>
Hand-arm Vibration Syndrome (HAVS)	Due to HSE investigation of HAVS issues in the council this has been identified as a priority area for the 2016-19 plan. To ensure that implementation of the action plan continues.
Noise	Noise assessments are being carried out on an ongoing basis as requested by Services. Work ongoing, no specific target identified for this plan.
Occupational Asthma	Occupations where there may be exposure to respiratory sensitisers have been identified and health surveillance is carried out. Work ongoing, no specific development work identified for this plan.
Management of Risks	Ongoing support given to Services by the Corporate H&S Advisors to assist them in carrying out risk assessments. Work ongoing, no specific development work identified for this plan.
Working Environment	Workplace inspection guidance and checklists are available on ICON. Where inspections are carried out for other reasons, i.e. Fire Risk Assessment workplace issues identified are highlighted to the appropriate line manager or to property maintenance as appropriate. Work ongoing, no specific development work identified for this plan.
<b>Sector Specific HSE Priorities</b>	
<b>Waste Industry –</b> Inspection of Local Authority (LA) household waste and recycling collections 2015-16	This is a continuation of inspections undertaken between 2009-14 by the HSE. The Council were inspected at that time and received a favourable report. Work is ongoing with the Service to ensure standards are being maintained. Work ongoing, no specific target identified for this plan, though service plans may identify specific service specific work requirements.
<b>Construction –</b> Ongoing inspections relating to various areas of the Construction industry	Construction remains a high priority area for the HSE, as such this is an ongoing Service specific work priority, no specific target identified for this plan, though service plans may identify specific service specific work requirements.
<b>Council Specific Priority</b>	
Violence and aggression at work and lone working	To be reviewed as part of the 2016-19 plan due to analysis of accidents and incidents has identified that violence and aggression at work remains the most common reason for reporting incidents at work. An HSE investigation in 2014 identified potential weaknesses in the management of this and while this has been addressed by the service investigated the Council must ensure that similar weaknesses are no apparent elsewhere.
Risk assessment	To be reviewed as part of the 2016-19 plan as this was recognised as a potential area of weakness in the HSE investigations carried out in 2014 and 2015.
Training	To be reviewed as part of the 2016-19 plan as this was recognised as a potential area of weakness in the HSE investigations carried out in 2014

	and 2015.
<b>Fire Safety</b>	
Fire Risk Assessments	The Council have a robust Fire Safety Policy and strategy in place and Health and Safety in conjunction with Legal and Property Services carry out and maintain a fire risk assessment programme which covers approximately 160 properties in the Council. Regular meeting are held with the Scottish Fire and Rescue service to ensure that a proactive approach is taken to any fire safety issues. No specific development work has been identified for this plan.

While the plan identifies six key areas for development it is recognised that there is a need to have flexibility in order to react to external factors which may impact upon Health and Safety requirements and change priorities for example:

- Serious incidents with wider implications – i.e. the Glasgow Bin Lorry Incident, the wall collapse in an Edinburgh school. Rosepark Care Home Fire
- Legal rulings – i.e. the Cordia appeal hearing in relation to home care.
- HSE themed or sector specific inspections, i.e. Waste industry inspections, construction inspections, asbestos inspections. Where the HSE announce such inspections then resources would be diverted to ensure that the Council is prepared prior to any visit.
- Fire Service Audits – where the Fire Service announces a planned series of audits then resources will be diverted to ensure that Services are suitably prepared.
- Issues highlighted by other local authorities.

It is also recognised that Services may have other priority areas outwith those recognised within the Corporate Health and Safety Plan. These priorities should also be added to the Service Health and Safety plan, this will allow the Health and Safety Section to create an annual work plan.

The management of Health, Safety & Wellbeing in Inverclyde Council is the responsibility of all managers and therefore forms an integral part of managing resources and providing services. The aim is to ensure the work of the Council is carried out in such a way that any risk to the Health, Safety & Wellbeing of employees, service users, visitors and others are avoided or reduced to the lowest level reasonably practicable. Employees also for an essential part of this as they have the responsibility to implement the safe systems of work and control measures introduced to protect them while at work.

The content of the plan to be developed will relate closely to the three themes identified in the Introduction.

The Council's Health and Safety Plan will follow the principles of good health and safety management as represented in the HSE Document HSG65 – Managing for Health and Safety.

## 2 Responsibilities

As well as the responsibilities detailed within the Corporate Health and safety Policy and other Council Policies all employees have the following responsibilities under this plan:

### ELECTED MEMBERS

Elected Members are advised and informed in the development and approval of this plan, by the Corporate Management Team and their Senior Staff.



## CHIEF EXECUTIVE

The Chief Executive has the overall accountability for ensuring the effective implementation of this plan within the Council. The Chief Executive will therefore, develop a culture amongst the Corporate Management Team that encompasses the integration of this health and safety plan into the general ethos of the organisation.

## CORPORATE DIRECTOR EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT

The Chief Executive has confirmed the Corporate Director, Education, Communities and Organisational Development, with particular responsibility for corporate health, safety and welfare policy. This Corporate Director will take the overall lead on corporate health and safety issues affecting more than one department.

The Corporate Director Education, Communities and Organisational Development, in addition to their duties as a Corporate Director, will take lead responsibility for ensuring that: -

- The Council Health and Safety Plan is effectively implemented, with Managers, to whom specific responsibilities are allocated being aware of their responsibilities and appropriately trained to discharge their duties correctly.

## CORPORATE DIRECTORS

Are responsible for ensuring, so far as reasonably practicable, the health, safety and welfare at work of employees in their respective services and all other persons who may be affected by the work of the service. In particular:-

- Each Corporate Director will promote the health and safety of employees at work and of service users through the implementation of the Council's Health and Safety Plan in accordance with all relevant statutory requirements, in each case leading by example.

## HEADS OF SERVICE AND OTHER CHIEF OFFICERS

Each Head of Service, will lead in the promotion of a positive safe working culture by setting the standard and leading by example. They will each, in particular, ensure the effective implementation of this plan in those areas under their control or influence.

## LEAD OFFICERS/HEADS OF ESTABLISHMENTS

For each Property/Establishment under the control of the Council the Corporate Management Team/Heads of Service will nominate Lead Officers or Heads of Establishment as appropriate, to ensure the co-ordination and implementation of this health and safety plan and corporate policy.

## MANAGERS/TEAM LEADERS/SUPERVISORS

Any person who has a managerial/supervisory responsibility for other employees, whatever title they are given will assist in the promotion of a positive safe working culture by setting a standard and leading by example. They will ensure to the best of their ability that: -

- They are aware of the Council's Corporate Health and Safety Plan and what is expected of them in ensuring the required standards are applied.

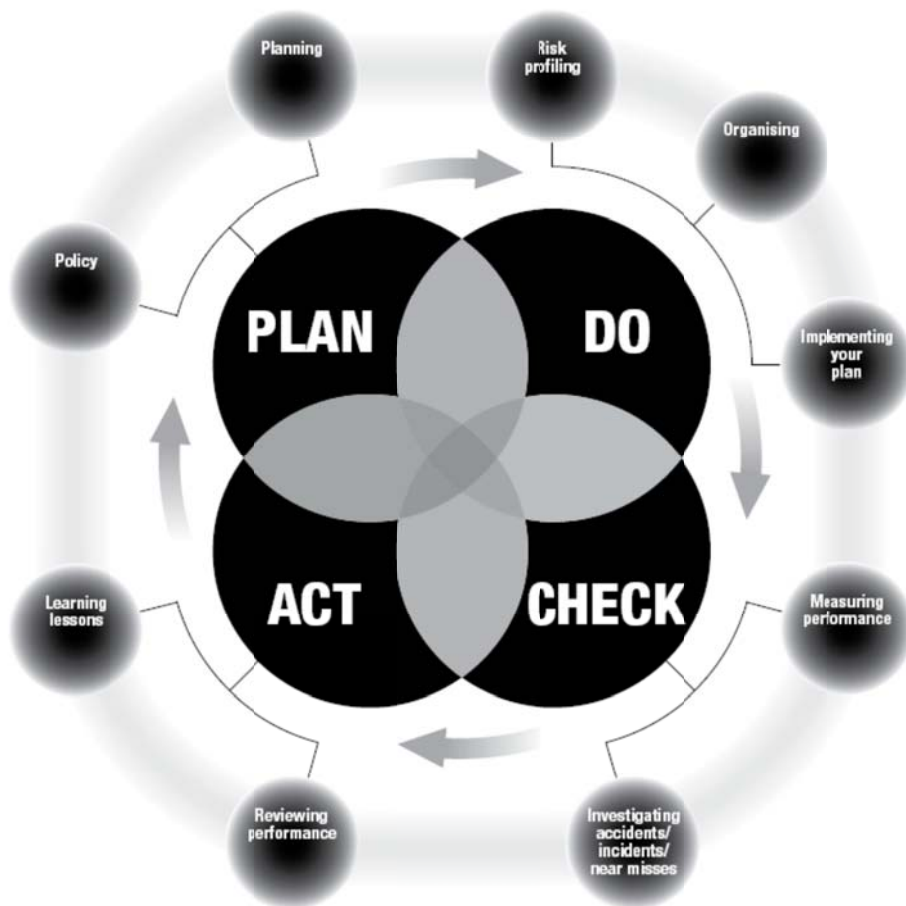
## EMPLOYEES

Every employee of Inverclyde Council is required to co-operate in the implementation of the Council's Health and Safety Plan by: -

- Undertaking activities in the course of their employment which assist their Service Area to meet their requirements under this plan.

### 3 HSG 65

HSG 65 – Managing for Health and Safety is the Health and Safety Executives guide on how to manage health and safety within an organisation. It recommends following the Plan, Do, Check, Act management system and aims to achieve a balance between the systems and behavioural aspects of management. It also treats health and safety management as an integral part of good management generally, rather than as a stand-alone system.



A summary of the actions involved in delivering effective arrangements and how they are frequently described is given in Table 1, under the headings of Plan, Do, Check, Act.

This process is a continuous cycle and we may have to go round it more than once, particularly when:

- Developing a new process, or service,
- Purchasing new equipment
- Implementing any change

**Table 1**

<b>Plan, Do, Check, Act</b>	<b>Conventional health and safety management</b>
<b>Plan</b>	Determine your policy. Plan for implementation
<b>Do</b>	Profile risks Organise for health and safety/Implement your plan
<b>Check</b>	Measure performance (monitor before events, investigate after events)
<b>Act</b>	Review performance Act on lessons learned

## **4 Plan**

As part of our planning process it is important to recognise where we are now and where we need to be.

The planning process will help the Council to identify:

- what we want to achieve,
- who will be responsible for what,
- how they will achieve these aims,
- how success be measured.

Much of this is already contained within current policies and procedures however, where new policies are introduced Services must identify how they will put these into practice and plan how they will implement the systems.

When planning it is important that the Council consider fire and other emergencies, co-operates with anyone who shares Council premises and co-ordinates plans with them. The Council must ensure that it plans for changes and identifies any specific Health and Safety legal requirements that apply and builds Health and Safety into any changes being considered.

## **5 Do**

There are three key stages to be implemented

- I. **Identify the risk profile.**
  - a. Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what will be done to manage the risk.
  - b. Decide what the priorities are and identify the biggest risks.
- II. **Organise the activities to deliver the plan** - In particular, aim to:
  - a. Involve employees and communicate, so that everyone is clear on what is needed and can discuss issues – develop positive attitudes and behaviours.
  - b. Provide adequate resources, including competent advice where needed.

### III. **Implement your plan**

- a. Decide on the preventive and protective measures needed and put them in place.
- b. Provide the right tools and equipment to do the job and keep them maintained.
- c. Train and instruct, to ensure everyone is competent to carry out their work.
- d. Supervise to make sure that arrangements are followed.

## 6 Check

What gets checked gets done. – It is important to make sure that the plan had been implemented and while paperwork plays a part in this on its own it is not a good performance measure.

### I. **Measure your performance**

- a. Assess how well the risks are being controlled and if we are achieving our aims.
- b. This can include formal audits.

When considering how the Council will measure performance we need to look beyond just accident figures and look for active and reactive monitoring and measuring. Currently the Monitoring systems in the Council rely more on reactive systems than active systems for monitoring and measuring performance.

### II. **Active methods** monitor the design, development, installation and operation of management arrangements. These tend to be preventive in nature, for example:

- routine inspections of premises, plant and equipment by staff;
- health surveillance to prevent harm to health;
- planned function check regimes for key pieces of plant.
- Audits of processes and procedures.

### III. **Reactive methods** monitor evidence of poor health and safety practice but can also identify better practices that may be transferred to other parts of a business, for example:

- investigating accidents and incidents or near misses.
- monitoring cases of ill health and sickness absence records.

## 7 Act

### I. **Review our performance**

- a. Learn from accidents and incidents, ill-health data, errors and relevant experience, including from other organisations.
- b. Revisit plans, policy documents and risk assessments to see if they need updating.

### II. **Take action on lessons learned, including from audit and inspection reports.**

## 8 Monitor and Review

This plan will be reviewed annually by the Corporate H&S Committee for relevance and, where necessary, priorities will be updated in line with changing legislative requirements, enforcement agency priorities, statistical analysis or other relevant factor.

Services will report quarterly to the Corporate H&S Committee on progress against the key priorities.

**APPENDIX 2**

**Health and Safety Report**

2015 – 2016

Prepared by: Pauline Ramsay (H&S Team Leader)  
Approved By: Corporate Health and Safety Committee  
Issue Status: Final

**Contents:**

Contents:.....	2
1. Introduction.....	3
2. Health and Safety Policy .....	4
3. Organisation .....	4
4. Planning and implementation .....	5
5. Advice and Support .....	6
6. Health and Safety Training .....	6
7. Consulting and communication .....	7
8. Enforcement Action .....	8
9. Performance.....	9
9.1 Incident summary.....	9
9.2 Employee incident data over a 3- year reporting period.....	10
9.3 Employee incident data 2015/2016 (breakdown of reports).....	11
RIDDOR reports .....	11
All incidents 2015/2016 .....	11
10. Corporate ‘Health Check’ indicator .....	14
Appendix 1 .....	15

## 1. Introduction

I am pleased to introduce the Council's Health and Safety performance report for 2015/16. A high standard of health and safety performance is one of the Council's primary objectives and is recognised as an integral part of service delivery. This means having in place effective management arrangements that ensure the wellbeing of our employees. It is our employees who deliver our Council's goals and we attach great importance to ensuring the continued health, safety, welfare and development of our workforce and to minimise the distress and disruption caused by any injuries or work related illnesses which may occur. It requires that we search out, adopt and update best practice relevant to and proportionate to the risks we and our employees face, and that we generate guidance and procedures for relevant activities.

Inverclyde Council has set clear goals for reducing injury and ill health. This Health and Safety report covers the period from April 2015 to March 2016.

It summarises the Council's performance data, including the numbers and types of accidents and incidences of work related ill health. It also outlines enforcement action and commentary on health and safety during the year.

I would like to thank all of our employees who undertake essential roles as First Aiders, Fire Wardens, DSE assessors and others for playing a vital part in the management of health and safety across Inverclyde Council.

Aubrey Fawcett  
Chief Executive

## 2. Health and Safety Policy

- 2.1 The Council is committed to safeguarding the health, safety and welfare of its employees and all other persons likely to be affected by the work of the Council. We accept the aims and provisions of the Health and Safety at Work etc. Act, the Management of Health and Safety at Work Regulations and other relevant statutory obligations. Our H&S Policy and associated arrangements and guidance documents represents a continuing commitment to improving our standard of Health, Safety and Welfare.
- 2.2 The following policies, arrangements and guidance documents were developed, issued or reviewed during 2015/16.

### **Policies and Arrangements**

Control of Vibration at Work Regulations 2005 – Reviewed  
Workplace transport and Occupational Road Risk – Reviewed

### **Operational Standards**

Operational Standard 4 – Modifying Internal Incident Reports - New  
Operational Standard 5 – Monitoring Internal Incident reports – New  
Operational Standard 7 – Health Surveillance – New  
Operational Standard 8 – Risk Assessment – New

### **Information sheets**

IS 18 – Occupational Health – Reviewed  
IS 62 – Suspicious Packages – New  
IS 64 – Health Surveillance (Noise) – New  
IS 65 – HSE Inspectors - New  
IS 66 – Agency/Temporary Workers - New  
IS 67 – Portable Electrical Equipment – New  
IS 69 – Driver Telematics – New  
IS 70 – Bomb Threats - New  
IS 71 – Insect Bites and Stings – New

## 3. Organisation

- 3.1 Inverclyde Council Corporate Management Team (CMT) leads on improving health and safety and monitors progress regularly.  
This is achieved through:
- Advice from the Corporate Health and Safety Committee (CHSC) on the overall direction of health and safety performance within the Council.
  - Consultation with Trade Union safety representatives at CHSC.
  - Competent advice from the Health and Safety Team Leader.
  - Line Managers fulfilling their roles and responsibilities for health and safety



- The Organisational Development, Human Resources and Communications department who organise corporate health and safety training and manage the occupational health contract.

3.2 The Corporate Health and Safety Committee leads on improving health and safety and monitors progress. The Chief Executive chairs the meetings and the Vice Chair is a Trades Union representative. The Committee consists of a representative from each Directorate preferably at Head of Service level, and representation from each Trades Union. Quarterly meetings are scheduled where health and safety issues such as new policies, procedures and accident statistics are discussed and approved.

#### 4. Planning and implementation

4.1 The annual health and safety plan is linked to the Corporate Directorate Improvement Plan. Our improvement actions are linked to the wellbeing outcomes of safe, healthy, achieving, nurtured, active, respected, responsible and included. Our risk-based health and safety objectives are confirmed by the Corporate Health and Safety Committee.



4.2 The risk-based health and safety objectives are disseminated to Directorates through the Corporate Health and Safety Committee and the health and safety section of the corporate intranet Icon.

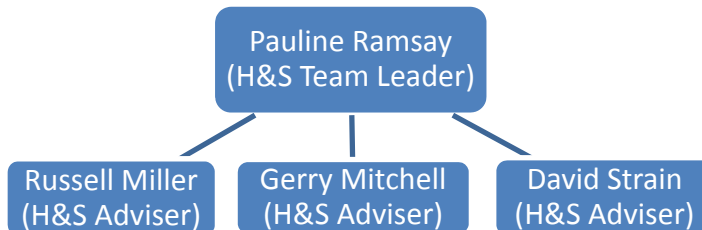
Based on the number of incidents known to have occurred in the Council and on an assessment of the potential harm to employees, the following priority areas were identified for action:

- Violence and aggression
- Manual handling
- Slips, trips and falls
- Vibration

The CHSC receives quarterly reports and monitors delivery of the health and safety objectives. Health and safety incident statistics are also included in the WIAR reports issued by OD, HR and Comms on a quarterly basis.

## 5. Advice and Support

5.1 The primary health and safety advice is provided by the Corporate Health and Safety Section, who provide support on all aspects of health and safety at work for Inverclyde Council employees. The section is centralised and organised as follows:



5.2 In addition the section had taken on a Health and Safety modern apprentice who is undertaking in SVQ Level 3 in Health and Safety.

## 6. Health and Safety Training

6.1 Health and safety training is organised either by Organisational Development, Human Resources and Communications, or via the employing service. While the Health and Safety section no longer carry out face to face training the following face to face training or information sessions have been made available to Services:

Course/Information Session	Places available	Places taken up	Training Provider
Workplace Health Safety and Welfare FAQ	12	8	In-house
Working Safely	10		Renfrewshire Council
DSE/Office Safety FAQ	12	4	In-house
COSHH Update	3		Renfrewshire Council
Fire Warden	6		Renfrewshire Council
Blood Borne Virus	15	15	External
Pregnant Employees and Young Workers FAQ	12	5	In-house
General Risk Assessment	4		Renfrewshire Council
Manual Handling FAQ	12	1	In-house
Accident Reporting/RIDDOR FAQ	12		In-house
Asbestos Awareness	45	40	External
Supervising Safely	2		Renfrewshire Council
Fire Safety FAQ	12	10	In-house
Violence and aggression	2	2	Renfrewshire Council
IOSH Managing Safely	3		Renfrewshire Council
Fire Risk Management	2		Renfrewshire Council

Course/Information Session	Places available	Places taken up	Training Provider
Awareness			
Risk Assessment FAQ	12	6	In-house
Health Surveillance FAQ (ECS only)	24	12	In-house
Health Surveillance FAQ	12	8	In-house

## 6.2 E-Learning

The following elearning courses are available:

- Health and Safety Induction (mandatory)
- Fire Safety Awareness (mandatory)
- Managing Stress in Others
- Asbestos awareness refresher (mandatory for employees whose work may bring them into contact with asbestos containing materials)
- Dangerous Substances
- Display Screen Equipment (mandatory for DSE users)
- Electricity
- First Aid
- Manual Handling (Recommended for employees who may carry out low risk manual handling, i.e. office staff)
- Slips, Trips and Falls
- Managing HAVS (mandatory for managers of employees who use hand held vibratory equipment)

Information on the completion of key mandatory elearning training has been provided in Appendix 1, where employees have not passed or completed certain mandatory health and safety training courses they receive a reminder to complete the training by a set date. The following training was followed up and monitored for 2015/16:

- Fire Safety Awareness
- Manual Handling
- DSE

Random checks were also carried out where there would appear to be a high proportion of employees who had failed a course or had not completed it. In a significant number of these instances the employees who had failed to complete the course were not required to do it as part of their job role.

Detailed reports on up-take of elearning training are prepared as resources permit; these are passed to each Head of Service and detail all employees, their line manager and the training they have received.

## 7. Consulting and communication

- 7.1 The Corporate Health and Safety Committee is the principal consultation forum on health and safety within the Council. The committee meets four times per year and is chaired by the Chief Executive. The Committee consists of a representative from each

Directorate, normally at Head of Service or Senior Management level, and representation from each Trades Union. The CHSC leads on improving health and safety and monitors progress regularly.

- 7.2 Any changes to policies, objectives, or health and safety decisions are discussed, circulated to a wider audience for consultation (if applicable), and agreed by the committee prior to implementation.
- 7.3 New policies or reports are distributed to the CHSC for consultation and agreement prior to being submitted to the CMT and then the Council Policy and Resources Committee for final approval and issue.
- 7.4 The following examples illustrate the topics discussed by the CHSC during 2015/2016:

#### **Audits and Inspections:**

- Manual handling audit which checked the status of the Council's approach to Manual Handling against the new Scottish Manual Handling Passport scheme. A detailed breakdown of results was supplied to individual Services.

#### **Training**

- A Series of training Seminars on Asbestos Awareness.
- Development work on a series of toolbox talks which can be used by Supervisors to give to employees.

#### **Occupational Health**

- Development of a Health Surveillance procedure.

## **8. Enforcement Action**

- 8.1 The HSE carried out an investigation into 6 cases of Hand Arm Vibration syndrome reported via the Reporting of Injuries Diseases and Dangerous Occurrences regulations 2013. While no formal enforcement action was taken the Council were issued with a letter of concern and were subject to fees for intervention.
- 8.2 The fire service carried out a series of audits on council properties and while there was no enforcement action taken there were some common areas of concern highlighted:
  - Training and training records
  - Compartmentation breaches
  - Emergency lighting checks

Any issues identified have been followed up with the relevant service.

## 9. Performance

### 9.1 Incident summary

Inverclyde Council employs approximately 4,200 employees in varied roles and exposed to similarly varied risks. The Council's activities are wide ranging and include risks from hazards associated with building maintenance, machinery, electricity, moving and handling people, asbestos, violence and aggression, and premises used by the public.

Accidents/incidents within the Council are reported by employees and recorded onto an Accident Database. During 2015/2016, employees reported 343 incidents, of these 33 were classified as a near miss and a further 54 had no injury reported, all other incidents resulted in some form of injury to an employee. 42 of the incidents resulted in the employee having to take time off.

- In terms of more serious injuries there were 5 fractures and 1 amputation of the tip of a finger.
- The fractures included:
  - A catering assistant dropped a food mixer paddle on her foot.
  - Home support worker tripped on a brick.
  - Home support worker slipped on a mat.
  - Road worker caught his hand between the rear trailer door and the upright metal post on the trailer.
  - Eyeco was kneeling with her hand on the floor when a pupil bounced onto her hand.
- The amputation occurred when a Roadworker caught the tip of his finger in a rotating augur.

There were 18 RIDDOR reportable incidents, three were major incidents and mentioned above, two were cases of reportable disease and 13 resulted in over 7-day absences.

Examples of the over 7 day incidents reported to the HSE:

- A pupil with additional support needs caused a basketball stand to fall and strike a learning assistant.
- Ceiling tile fell and struck a Catering manager on the head.
- A support assistant caught her foot on a child's Halloween costume.
- Cleaner slipped on stairs while carrying bin bags.

The lagging indicators present a picture of our reported incidents. Performance in this category may be influenced by a strengthening culture of internal reporting procedures rather than an arbitrary indication of success or failure to manage risk effectively.

The majority of employee incidents identified by reactive monitoring are:

- verbal abuse 31%

- violence 21%
- slip, trip or falls 15%
- manual handling 8%.

The following incident data is broken down into two main categories, incidents over a 3 year reporting period and then a more detailed look at the data gathered during 2015/2016.

- Incident data over a 3-year reporting period
- Incident data for 2015/2016 (breakdown of reports by Directorate)

## 9.2 Employee incident data over a 3- year reporting period

**Table 1 – 3-year employee incident data**

All Reports	Year	2015/2016	2014/2015	2013/2014
	RIDDOR - Fatality		0	0
RIDDOR – major injury		3	1	2
RIDDOR – all other		16	9	5
RIDDOR – Reportable Disease		2	5	
All other incidents		325	404	231
<b>Total incident reports</b>		<b>343</b>	<b>419</b>	<b>238</b>
<b>Incident rate per 1,000 employees</b>		<b>70.4</b>	<b>87.5</b>	<b>55.7</b>

Overall, we have seen an increase in the total number of reports since 2013/2014, however there has been a decrease in reports in comparison to 2014/15. The number of major injuries has remained relatively low, however there has been a large increase in the total number of incidents reported which is indicative of improved reporting.

We attribute the rise in “total incident reports” to the introduction of the new on-line reporting system during 2013/2014. This has made it easier for employees to report incidents.

**Table 2 – 3-year employee “violence & verbal abuse” incident data**

Violence & Verbal Abuse Reports	Year	2015/2016	2014/2015	2013/2014
	Incidents Reported		180	236

There were 108 incidents of verbal abuse and 72 cases of violence reported during 2015/2016.

### 9.3 Employee incident data 2015/2016 (breakdown of reports)

#### RIDDOR reports

**Table 3 – RIDDOR (breakdown by Directorate)**

<b>Employee RIDDOR</b>	<b>Directorate</b>	<b>2015/2016</b>
	Education, Communities & Organisational Development	3
	Environment, Regeneration & Resources	11
	HSCP	4
	<b>Total</b>	<b>18</b>

#### All incidents 2015/2016

**Table 4 – Employee All incidents (breakdown by Directorate)**

<b>Employee - All incidents reported</b>	<b>Directorate</b>	<b>2015/2016</b>
	Education, Communities & Organisational Development	146
	Environment, Regeneration & Resources	76
	HSCP	121
	<b>Total</b>	<b>343</b>

**Table 5 – All Employee Incidents (breakdown by type)**

<b>Incident Type</b>	<b>2015/2016</b>
Verbal abuse by service user/pupil	52
Verbal abuse by member of public	49
Violence or assaulted by Service User/Pupil (Additional Support Needs)	36
Manual handling injury due to handling, lifting or carrying	28
Violence/assaulted by service user/pupil	27
Hit by a moving, flying or falling object	18
Slipped, tripped or fell (no obvious cause)	15
Hit something fixed or stationary	13
Road traffic accident	12
Slipped, tripped or fell (on stairs)	12
Violence/assaulted by member of public	8
Verbal abuse by service user/pupil (Additional Support Needs)	7
Slipped, tripped or fell (over extraneous item)	7
Trapped or caught between two objects	6
Slipped, tripped or fell (wet floor)	6
Slipped, tripped or fell (damaged surface)	5
Hit by a moving vehicle	5
Contact with a sharp object	5

Slipped, tripped or fell (on ice/snow)	4
Faulty equipment	4
Medical condition	3
Slipped, tripped or fell exiting vehicle	2
Fire/explosion incident	2
Contact with moving material or material being machined	2
Horseplay/carry on	2
Contact with hot liquid	2
Exposure to vibratory equipment	2
Sharps/Needlestick incident	2
Allergic Reaction	1
Client on floor (unknown cause)	1
Violence or assaulted by member of the public (Additional Support Needs)	1
Fell from height	1
Gas Leak	1
Animal Attack	1
Exposed to hazardous substance	1
<b>Total</b>	<b>343</b>

**Table 6 – Employee “verbal abuse & violence” incidents (breakdown by Directorate)**

Employee – verbal abuse/violence incidents reported	Directorate	2015/2016
	Education, Communities & Organisational Development	108
	Environment, Regeneration & Resources	7
	HSCP	65
	<b>Total</b>	<b>180</b>

47 of the verbal abuse and violence incidents involved a service user/pupil or public with “additional support needs”.

**Table 7 – Employee “slips, trips and falls” incidents (breakdown by Directorate)**

Employee – slip, trip or fall incidents reported	Directorate	2015/2016
	Education, Communities & Organisational Development	13
	Environment, Regeneration & Resources	20
	Community Health Care Partnership	18
	<b>Total</b>	<b>51</b>

The following types of slips, trips and falls were reported during 2015/2016:

- Slipped, tripped or fell (no obvious cause) 15
- Slipped, tripped or fell (on stairs) 12
- Slipped, tripped or fell (over extraneous item) 7
- Slipped, tripped or fell (wet floor) 6



- Slipped, tripped or fell (damaged surface) 5
- Slipped, tripped or fell (on ice/snow) 4
- Slipped, tripped or fell exiting vehicle 2

**Table 8 – Employee “manual handling” incidents (breakdown by Directorate)**

<b>Employee – manual handling incidents reported</b>	<b>Directorate</b>	<b>2015/2016</b>
	Education, Communities & Organisational Development	<b>2</b>
	Environment, Regeneration & Resources	<b>17</b>
	Community Health Care Partnership	<b>9</b>
	<b>Total</b>	<b>28</b>

4 of the manual handling accidents were RIDDOR reportable as the injured person was off work for more than 7 days.

**Table 9 – Employee “days lost” from incidents (breakdown by Directorate)**

<b>Employee – days lost reported</b>	<b>Directorate</b>	<b>2015/2016</b>
	Education, Communities & Organisational Development	<b>41</b>
	Environment, Regeneration & Resources	<b>331</b>
	Community Health Care Partnership	<b>227</b>
	<b>Total</b>	<b>599</b>

Slips, trips and falls were responsible for the highest number of workdays lost.

## 10. Corporate 'Health Check' indicator

<b>Service:</b>	Organisational Development, Human Resources & Performance
<b>Indicator:</b>	Incident Rates (per 1000 employees)
<b>Relevance:</b>	This indicator demonstrates the number of incidents per 1000 employees. Examples of types of incidents the indicator covers include animal exposure, violence, manual handling and slip, trip or fall.
<b>Current Performance level (2013/2014):</b>	70.4 incidents per 1000 employees
<b>Target Performance level:</b>	45 incidents per 1000 employees
<b>Analysis of Performance and Service commentary:</b>	<p>Though the overall trend over the last 3 years has been an increase in incidents reported there was a decrease of 18% in the number of incidents being reported between 2014/15 and 2015/16.</p> <p>There has been a large decrease (24%) in incidents of violence or verbal abuse reported by employees especially within Education. Education has introduced a number of initiatives to tackle this issue. The impact of these will be monitored on an ongoing basis.</p> <p>The rise in incidents reported coincided with the introduction of a new online accident reporting system which has made it easier for employees to record incidents, and raised the profile of incident reporting across the Council, this has provided significant statistical data which has helped the Council to target specific issues such as violence to staff, manual handling and slip risks.</p>
<b>Trend:</b>	Long term rising Short term improving

## Appendix 1

Course completion by Directorate.

Directorate/Course	Completed (No associated test available)	Passed (Test included as part of the course)
<b>Chief Executive</b>	<b>1</b>	<b>1</b>
Fire	1	
Fire Test		1
<b>HSCP</b>	<b>105</b>	<b>150</b>
Asbestos Awareness		1
Display Screen Equipment	5	
Display Screen Equipment Test		8
Fire	89	
Fire Safety Awareness (Limited Audio) 60 mins		17
Fire Test		117
Manual Handling	4	
Manual Handling Test		7
Snow and Ice Clearing	7	
<b>EC&amp;OD</b>	<b>216</b>	<b>241</b>
Asbestos Awareness		
Display Screen Equipment	43	
Display Screen Equipment Test		40
Fire	148	
Fire Safety Awareness (Limited Audio) 60 mins		54
Fire Test		126
Manual Handling	24	
Manual Handling Test		21
Snow and Ice Clearing	1	
HAVS Awareness for Managers		
<b>ER&amp;R</b>	<b>109</b>	<b>138</b>
Display Screen Equipment	16	
Display Screen Equipment Test		12
Fire	90	
Fire Safety Awareness (Limited Audio) 60 mins		5
Fire Test		112
Manual Handling	3	
Manual Handling Test		7
HAVS Awareness for Managers		2
<b>Grand Total</b>	<b>431</b>	<b>530</b>

As some courses are completed on a three year refresher cycle, the number who have undertaken a course may not reflect the actual numbers of employees in a service.

---

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Head of Organisational Development, Human Resources and Communications</b>	<b>Report No:</b>	<b>HR/26/16/PR</b>
<b>Contact Officer:</b>	<b>Pauline Ramsay Health and Safety Team Leader</b>	<b>Contact No:</b>	<b>01475 714723</b>
<b>Subject:</b>	<b>Moving and Handling Policy</b>		

---

## 1.0 PURPOSE

1.1 The purpose of this report is to seek Committee approval for adoption of a new Moving and Handling Policy (Appendix1).

## 2.0 SUMMARY

2.1 The Manual Handling Operations Regulations 1992 place a duty on employers to carry out a risk assessments of manual handling tasks and to reduce the risks of manual handling by:

- avoiding hazardous manual handling operations so far as is reasonably practicable;
- assessing any hazardous manual handling operations that cannot be avoided;
- reducing the risk of injury so far as is reasonably practicable.

This policy formalises these requirements into a corporate policy.

2.2 The Health and Safety at Work etc. Act places a duty on employers to prepare a written statement of their general policy and as part of that policy to have in place arrangements for the implementation of Health and Safety. The Moving and Handling Policy will form part of the Council's arrangements for Health and Safety.

2.3 The policy sets out how the Council will control the risks from moving and handling operations in line with the relevant legislation and HSE guidance documentation.

2.4 The People and Organisational Strategy was approved by the Policy and Resources Committee in September 2016. This particular proposal is contained within Theme 2 - Employee Skills Development, Leadership, Succession Planning (Employees our most Valuable Resource) and Theme 3 - *Employer of Choice (Continuous Improvement)* in that it focuses on the health, safety and welfare of our workforce.

## 3.0 RECOMMENDATIONS

3.1 The Committee is recommended to approve the Moving and Handling Policy.

3.2 The Committee is asked to support this policy by active promotion of Health and Safety.

## **4.0 BACKGROUND**

- 4.1 Inverclyde Council is required to ensure that the risks to employee, from the risk of injury due to manual handling, are assessed in line with its legal duties as defined by the Manual Handling Operations Regulations 1992 (as amended), the Management of Health and Safety at Work regulations 1999 and the Health and Safety at Work etc. Act 1974.
- 4.2 By law (Health and Safety at Work etc. Act 1974 section 2(3)) if you employ five or more people you must have a written health and safety policy. This contains a statement of general policy on health and safety at work in the organisation and arrangements in place for putting that policy into practice. The Moving and Handling Policy details the arrangements the Council has in place for managing the risks to employee from moving and handling operations.
- 4.3 The Moving and Handling Policy sets a clear direction for the Council to follow; it will contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement. It will demonstrate a shared common understanding of the Council's vision, values and beliefs. A positive Health and Safety culture is fostered by the visible and active leadership of senior managers. This is reflected within the policy.
- 4.4 The policy consists of the following main sections:
  - Statement of Policy
  - Roles and Responsibilities
  - How the Policy should be implemented
  - Management Requirements
  - Information and Training Requirements
- 4.5 This policy replaces the Council's Manual Handling of Loads Policy 1999 which has been withdrawn. It has been updated to include risks from moving and handling of people, and to bring the policy into line with the Scottish Manual Handling Passport scheme.

## **5.0 PROPOSALS**

- 5.1 The Moving and Handling Policy be adopted by Inverclyde Council and used as a framework to further enhance the safety of employees and those affected by the work of the Council.

## **6.0 IMPLICATIONS**

### **Finance**

- 6.1 There are no financial implications for this report.

### 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)

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

### **Legal**

- 6.2 Legal: Failure to have a robust policy in place and to implement it could result in enforcement action being taken against the Council.

### **Human Resources**

- 6.3 There are no Human Resources implications.

### **Equalities**

- 6.4 There are no Equalities issues within this report.

### **Repopulation**

- 6.5 There are no repopulation issues within this report

## **7.0 CONSULTATIONS**

- 7.1 The Moving and Handling Policy has been coordinated through the Corporate Health and Safety Committee with Health and Safety seeking the views of both union and management colleagues. The Trades Unions have agreed the Policy.

## **8.0 LIST OF BACKGROUND PAPERS**

- 8.1 Appendix 1 – Moving and Handling Policy

# ***Moving & Manual Handling Policy***

Version 2.0

Produced by:  
Health and Safety  
OD, HR & Comms

Inverclyde Council  
Municipal Buildings  
GREENOCK  
PA15 1LX  
November 2016



**INVERCLYDE COUNCIL IS AN EQUAL OPPORTUNITIES EMPLOYER**

THIS POLICY BOOKLET IS AVAILABLE ON REQUEST, IN LARGE PRINT, BRAILLE, ON  
AUDIOTAPE, OR CD.

## DOCUMENT CONTROL

Document Responsibility		
Name	Title	Service
Pauline Ramsay	Health and Safety Team Leader	OD, HR & Comms

Change History		
Version	Date	Comments
1.0	1999	Original Policy - Manual Handling of Loads now withdrawn
2.0	Nov 2016	Policy reworked to bring in moving and handling of people as well as inanimate objects and to bring it into line with the Scottish Manual handling Passport.

Distribution		
Name	Date	Designation
CMT and Extended Management Team		
Union Representatives		
Stuart Graham	Nov 2016	UNITE
Billy Matthews	Nov 2016	UNISON
Barbara Gillan	Nov 2016	GMB
Tom Tracey	Nov 2016	EIS
David Magee	Nov 2016	SSTA
Noreen McMillan	Nov 2016	NAWUWT

Distribution may be made to others on request

A copy of this policy will be placed on Icon, a hard copy should be made available where relevant to those employees who do not have access to icon.

Policy Review		
Review Date	Person Responsible	Service
November 2017	H&S Team Leader	OD,HR & Comms

### Copyright

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, mechanical, photocopying or otherwise without the prior permission of Inverclyde Council.



## **CONTENTS**

DOCUMENT CONTROL.....	1
1 INTRODUCTION .....	4
2 POLICY STATEMENT.....	4
3 SCOPE.....	5
4 CONSULTATION AND IMPACT ASSESSMENT.....	5
5 ROLES AND RESPONSIBILITIES .....	5
5.1 Corporate Directors.....	5
5.2 Heads of Service.....	5
5.3 Managers/Team Leaders/Supervisors .....	6
5.4 Moving and Handling Co-ordinator/Moving and Handling Trainers .....	6
5.5 Employee Responsibilities .....	7
5.6 Agency workers and Employer responsibilities.....	7
5.7 Health and Safety Team Leader .....	7
5.8 Corporate Health and Safety Committee .....	7
6 ARRANGEMENTS.....	7
6.1 Risk Assessment.....	7
6.2 Lifting of Loads and Inanimate Objects.....	10
6.3 Moving and Assisting Service Users/Patients.....	10
7 TRAINING/INFORMATION.....	12
7.1 Individual - Training Records & Competency Assessments .....	12
7.2 Manual Handling/Client Care Plan Pro-Forma.....	12
7.3 Safe Working Loads .....	12
7.4 Service Users/Patients Who are Obese or Morbidly Obese (Bariatric) .....	13
7.5 Patient Handling Assessment in an Emergency .....	13
8 MONITORING, EVALUATION & REVIEW .....	13
9 LIST OF APPENDICES .....	13

APPENDIX 1 .....	14
APPENDIX 2 .....	0
APPENDIX 3 .....	3
APPENDIX 4 .....	0
APPENDIX 5 .....	1

## 1 INTRODUCTION

- 1.1 The Manual Handling Operation Regulations 1992 require the Council to ensure that employees are protected for the risk of injury or ill health due to the requirement to lift and carry loads. These loads can either be inanimate objects or people.
- 1.2 Poor practice in manual handling causes over one third of all workplace injuries and can account for a significant number of workdays lost. Within Inverclyde Council approximately 25% of absence is due to musculoskeletal disorders.
- 1.3 The regulations require the employer to adopt an ergonomic approach to the removal or reduction of risk from manual handling injuries, also to ensure safe systems of work within a safe working environment. The ergonomic approach requires manual handling to be seen in the context of a wide range of factors, which includes the nature of the task, the load, the working environment, and the individual's capabilities.

## 2 POLICY STATEMENT

- 2.1 It is the policy of Inverclyde Council to take all reasonably practicable steps to safeguard the health, safety and welfare at work of all of its employees. The council will comply with all aspects and provisions of the following regulations which underpin this policy:
  - Health & Safety at Work etc. Act 1974;
  - The Manual Handling Operations Regulations 1992;
  - The Management of Health and Safety at Work Regulations 1999,
  - The Provision and Use of Work Equipment Regulations 1998,
  - The Lifting Operations and Lifting Equipment Regulations 1998and all other relevant statutory obligations. This includes the organisation and arrangements required to ensure the risks from manual handling are adequately controlled for employees and others who may be affected by our undertakings.
- 2.2 A high standard of health and safety performance is recognised as an integral part of the council's service delivery. Therefore, sufficient resources will be allocated to meet the requirements of the council's Infection Control Policy.
- 2.3 This standard will be achieved by Inverclyde Council:-
  - Providing managers with sufficient information to identify work activities and persons at risk from manual handling activities.
  - Providing managers with information about the manual handling and management standards for identifying the risk of exposure.
- 2.4 Provide managers with information and training in respect of :-
  - Identifying high risk activities where manual handling is likely to be a hazard.
  - Appropriate control measure.
  - The suitability of workplaces, safe working practices, and equipment used by employees.
- 2.5 The aim of this policy is to minimise the risk of exposure to musculoskeletal injuries due to manual handling activities.
- 2.6 The Council are committed to working with our employees and partners to address these risks in a proactive way, by employing a good risk management system and

ergonomic practice as far as reasonably practicable within each working environment.

- 2.7 We aim to eliminate or minimise the risks of moving and handling activities where possible. Where it is not possible we aim to implement a range of support and develop safer moving and handling practises. Where moving and handling cannot be avoided it will then be subjected to a moving and handling risk assessment where the risks will be reduced to the lowest levels as far as reasonably practicable.

### **3 SCOPE**

- 3.1 This policy applies equally to all employees regardless of grade, experience or role within the organisation. The policy also applies to contracted staff as far as reasonably practicable and to pupils, service users or members of the public who have access to Council premises.

### **4 CONSULTATION AND IMPACT ASSESSMENT**

- 4.1 Inverclyde Council recognises the importance of employee consultation and is committed to involving all employees in the development of policies and procedures. The following groups are formally consulted:
- Trade Union Representatives through the Corporate Health and Safety Committee.
  - All Chief Officers.
  - Employees via the Council Intranet.
- 4.2 An Equalities Impact Assessment was carried out using the Council's Equalities Impact Assessment Template.

### **5 ROLES AND RESPONSIBILITIES**

In addition to the responsibilities laid out in the Corporate Health and Safety Policy the following responsibilities are specific to this Policy.

#### **5.1 Corporate Directors**

Corporate Directors have a collective and individual responsibility to employees in providing health and safety leadership within Inverclyde Council and the Health Social Care Partnership, they should ensure that this policy is cascaded downwards to all employee levels and that:

As far as is practicable, the adequate provision of financial resources to meet the foreseeable expenditure for appropriate equipment or handling aids to eliminate or reduce the risks from manual handling and manual handling training relevant to the risks identified.

#### **5.2 Heads of Service**

Heads of Service will have a pivotal role in the effective implementation of the Moving/Manual Handling Policy. They shall be responsible for ensuring:

- That this policy is implemented within those areas under their control or influence.
- That there is a system to monitor that their Managers are complying with this policy.
- That where two or more Services are located within a building to liaise with other Heads of Service to co-ordinate manual handling arrangements and provision of manual handling aids and equipment.
- That adequate equipment or facilities are provided and maintained and;

- That suitable notices are displayed informing employees of the arrangements for manual handling.

### 5.3 Managers/Team Leaders/Supervisors

Any person who has a managerial/supervisory responsibility for other employees, whatever title they are given has the responsibility to:

- Assess the manual handling risks to employees and others, and to establish appropriate procedures..
- Inform employees of the level of risk in their workplace.
- Ensure that manual handling training is provided where required and retraining carried out every three years.
- Provide employees with guidance and information to minimise the risk of manual handling injuries.
- Ensure that handling aids and equipment are checked and maintained as per manufacturer's instructions.
- Ensure that a designated person(s) is identified who will monitor and keep appropriate records in regard to:
  - Training
  - Equipment inspection and maintenance
  - Statutory inspections and test of lifting equipment.

### 5.4 Moving and Handling Co-ordinator/Moving and Handling Trainers

Where the Service have appointed a Moving and Handling Co-ordinator or Trainer they will ensure that:

- Adequate training programmes for moving and handling are in place within their area of responsibility.
- Oversee the implementation of this policy within their area of responsibility.
- Moving and assisting courses are evaluated and reviewed as necessary and in line with current legislation and guidance.
- Ensure adequate record keeping in relation to training.
- Support the service in carrying out risk assessments.
- To review the moving and handling training programme annually and update any training materials or working practices.
- Advising managers and employees on best practice of moving and handling, and where risks cannot be eliminated.
- Delivering manual handling training as per their training to the Service area they have responsibility for.
- Maintain records of employees who have attended training.
- Designing, facilitating and evaluating the moving and handling training programme for all staffing groups.
- Providing advice and guidance on procurement of equipment and safe systems of work during use of equipment.
- To assist with investigations into moving and handling accidents/incidents, and to advise or make recommendations to prevent further accidents or incidents.
- To liaise with Health & Safety Adviser as and when required.

## 5.5 Employee Responsibilities

All employees have a responsibility to ensure that they are complying with the health and safety procedures and requirements appropriate to their job. To achieve this, in relation to this Policy, employees should:

- Where designated as a responsible person ensure that appropriate records are kept and that checks are carried out as per the Council policy.
- Inform their line manager immediately if there are any concerns about safety in relation to manual handling.
- Follow the training provided and use the appropriate handling aids where required.
- Report any incidents where there is a risk of injury due to manual handling or where a musculoskeletal injury has been sustained.

## 5.6 Agency workers and Employer responsibilities

Any agency workers working on behalf of Inverclyde Council or the HSCP will have the same level of moving and handling training provided by their employer which is in line with the Scottish Manual Handling Passport Scheme.

Agency workers have a responsibility to ensure that they comply with the health and safety procedures and requirements appropriate to their job when working on behalf of Inverclyde Council or the HSCP.

All training records for agency workers should be available for inspection as and when required.

## 5.7 Health and Safety Team Leader

The Council Health and Safety Team Leader shall ensure that this Policy is monitored for effectiveness, is subject to regular reviews, and is revised when necessary. They will do so in conjunction with Heads of Service and Trade Union Safety Representatives.

## 5.8 Corporate Health and Safety Committee

The Corporate Health and Safety Committee will perform a pivotal role in ensuring that this policy is implemented.

The safety committee will oversee monitoring of the effectiveness of the policy and other measures to reduce risks and promote workplace health and safety.

# 6 ARRANGEMENTS

These arrangements outline the Council's intentions regarding management of risks from manual handling. The Council have committed to follow the guidelines and standards set as part of the Scottish Manual Handling Passport Scheme.

Flow chart 1 below shows the steps required when risk assessing manual handling activities.

## 6.1 Risk Assessment

The risks from manual handling can be dealt with in the same way as any other health and safety issue - through carrying out a risk assessment, this must be carried out for all work activities where employees are required to move or handle items or people as part of their work tasks.

Various factors need to be considered in assessing the risk. The key points are:

- Task – Does the task involve handling away from the trunk, twisting, stooping, reaching. Is the employee required to lift or carry a distance.
- Load – Is the load, heavy, bulky, unstable, sharp, or hot etc.

- Environment – what space is there, is the floor in good condition, is it hot or cold, is the lighting good.
- Individual – Is the individual pregnant, have health problems, require special training.

The aim of the assessment is to enable decisions to be made about the actions needed to prevent or control the risk. This includes eliminating the requirement for manual handling, the setting up of practical control measures, providing information and training, monitoring of the effectiveness of these controls.

A number of risk assessment proforma's are available:

- Generic Inanimate Load Handling with guidance (Appendix 1)
- Generic People Handling (Appendix 2)
- Individual Person Handling Risk Assessment – Council premises (Appendix 3)
- Person Handling Assessment – Care in the community (Appendix 4)

These forms can be adapted depending upon the individual needs of the Service. Where the forms have been adapted these must be clearly labelled with the Council's logo and the heading changed to indicate the Service or section the form is used by.

The assessment of manual handling tasks within the Council must only be undertaken by staff that have a level of knowledge, experience and competence appropriate to the task being assessed.

Care should be taken not to overcomplicate manual handling assessments and where simple and straightforward controls can be implemented the need for a 'specific' manual handling assessment can be negated. There will however be tasks that do require a more 'in depth' manual handling assessment and the information provided below offers advice and guidance on how the various issues associated with manual handling and the differing types of assessment may be carried out.





## 6.2 Lifting of Loads and Inanimate Objects

This type of assessment is aimed specifically at manual handling tasks that require loads, materials etc. to be transferred and moved by staff from one place to another. Many of these tasks can be incorporated within the general risk assessment process and the flow chart above should be followed to identify the areas to be considered to determine the level of assessment required.

## 6.3 Moving and Assisting Service Users/Patients

This type of assessment is aimed specifically at tasks that involve the care of service users and, in particular, the help and assistance provided by employees to service users who have additional support needs.

These types of assessments can be carried out at two levels, with a 'Level 1' assessment being an initial assessment of the client to determine:

- a) The level of the client's incapacity
- b) If assistance from carers is required
- c) If the current controls available are adequate
- d) The methodology to be used by carers assisting the client
- e) If a more 'in-depth' assessment is required

Assessments at this level can be undertaken by staff with basic knowledge, understanding and experience of moving and assisting issues within a 'care environment' and will form part of any initial care plan developed for a service user or patient.

'Level 2' assessments will be carried out when the person undertaking the 'Level 1' assessment identifies a requirement for a more in-depth assessment as, in their opinion, they do not have the competence to carry this out. Where the need for this level of assessment is identified it will be the responsibility of the appropriate manager to arrange for a competent person(s) to carry out such an assessment.

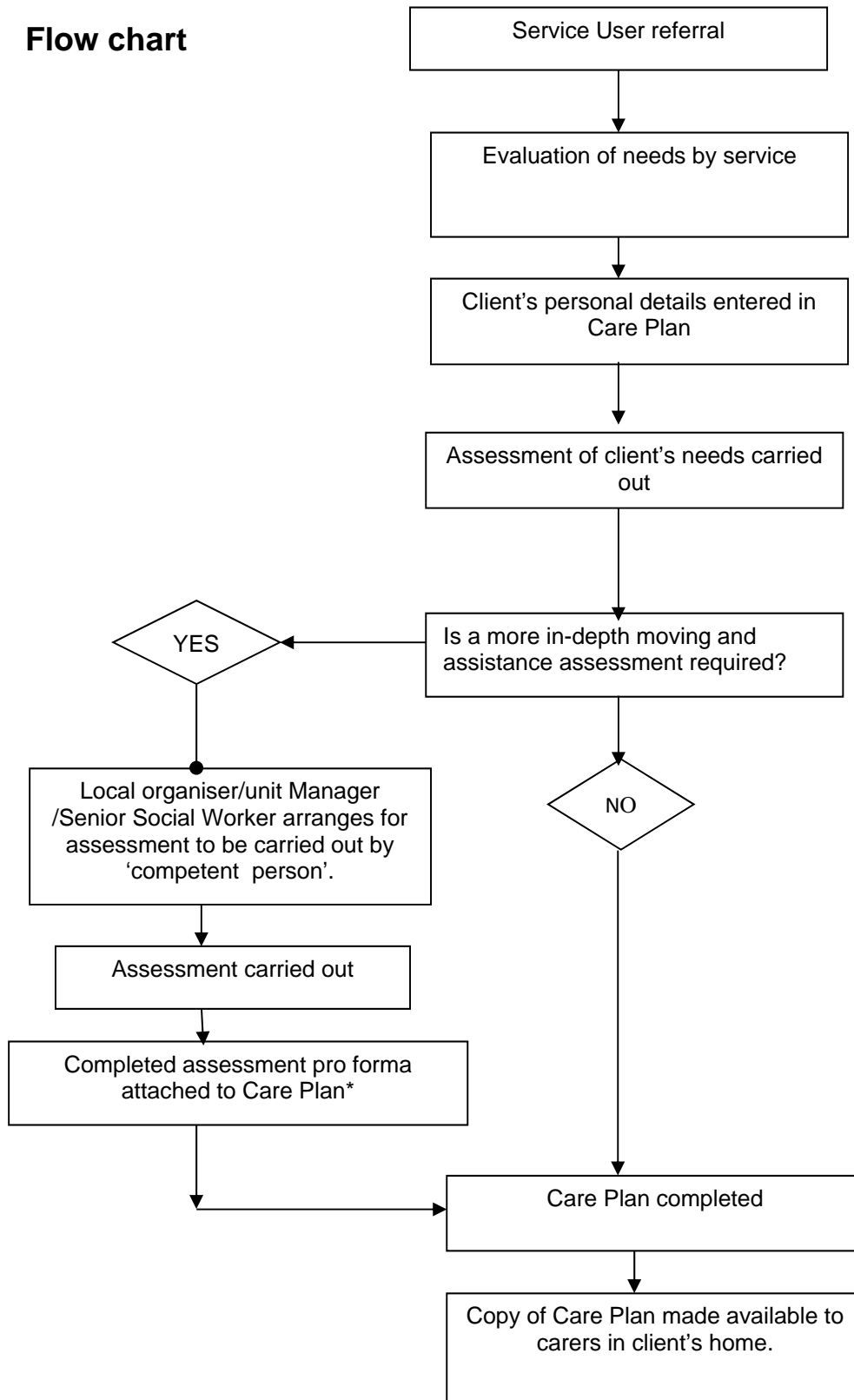
Given the nature of the council and community health care partnership undertakings, many of the 'moving and assisting' assessments that need to be carried out for service users/patients will be intrinsically linked to an individual service user's/patient's general care needs.

In recognition of this service user's/patient's Care Plans have been developed that will allow both the 'care' needs of the service user/patient and the 'moving and assisting' needs of the client to be initially addressed on a single pro forma (see appendices section). These care plans will incorporate the 'Level 1' assessment described above whilst the specific 'moving and assisting pro forma' should be used where a more in-depth assessment is required. This should then be attached to the Care Plan and used for reference by carers.

The flow chart overleaf outlines the areas to be considered to determine the level of assessment required.

Other information relevant to the care of the client should be included in the Care Plan as per normal arrangements within each section/department.

**Flow chart**



\*In some circumstances the 'moving and assistance' assessment may have been carried out by another agency and details entered on their pro forma. In these situations the information should be transferred to the Council or HSCP pro forma and copies of both pro-formas attached to Care Plan.

## 7 TRAINING/INFORMATION

All staff must be trained in the proper moving and assisting techniques prior to undertaking work that involves moving and assisting service users or patients, lifting equipment, materials etc.

Refresher training should be carried out within an appropriate timescale based on the tasks being undertaken, staff competence and the findings of any relevant risk assessments.

Training shall be arranged and co-ordinated at a service level.

### 7.1 Individual - Training Records & Competency Assessments

To ensure that staff are well trained a competency based approach has been taken to ensure that both Council and HSCP staff meet the requirements of the moving and handling passport in Scotland.

Each staff member will have competency based level of learning and assessment

which is modular based and assessed annually by approved persons within their respective organisations. The modules have been set out below to give an understanding of the moving and handling passport within Scotland.

#### Modules

- |   |        |   |                        |
|---|--------|---|------------------------|
| • | Module | A | Manual Handling Theory |
| • | Module | B | Inanimate Objects      |
| • | Module | C | Chair Manoeuvres       |
| • | Module | D | Bed Manoeuvres         |
| • | Module | E | Hoisting               |
| • | Module | F | Lateral Transfers      |

### 7.2 Manual Handling/Client Care Plan Pro-Forma

The following pro forma/guidance for carrying out assessments are available in the Appendices Section of this document:

- Client Care Plan – ‘In the Community’ (Including Initial M & H Assess.)
- Client Care Plan – Residential & Daycare (Including Initial M & H Assess)
- Moving & Handling Assessment (All Services)
- Guidance Sheet for Moving & Handling Assessments
- Manual Handling Assessment (Lifting loads)

### 7.3 Safe Working Loads

All equipment provided by the Inverclyde Council, Health Social Care Partnership will be maintained and tested for the safe working loads of people. At no time should this equipment exceed the maximum limit as this will affect the stability of the equipment provided.

Where service users or patients exceed the maximum weight limit for equipment then Bariatric equipment should be used. Further advice should be taken from occupational health staff, community nursing staff or moving and handling co-ordinators.

#### **7.4 Service Users/Patients Who are Obese or Morbidly Obese (Bariatric)**

When a Bariatric service user/patient comes into contact with the service then contact should be made with the Occupational Therapist, community nursing staff, moving and handling co-ordinator or adviser for additional support and advice.

#### **7.5 Patient Handling Assessment in an Emergency**

The Health and Safety Executive states that the law is not intended to stop “well-intentioned” improvisation in an emergency. This would include an unexpected life-threatening situation involving the safety of service users/patients, employees and members of the public in situations such as a fire, a major spillage or other emergency.

### **8 MONITORING, EVALUATION & REVIEW**

This policy was ratified by the Council's Policy and Resources Committee on November 2016 and implemented immediately thereafter.

Regular monitoring and review are necessary to measure the effectiveness of the policy and to ensure it remains relevant to the needs of the Council. This policy will be subject to monitoring and review on a regular basis by the Corporate Health and Safety Section via the Corporate Health and Safety Committee.

The policy will be reviewed 12 months from implementation and every three years thereafter unless there is significant change in legislative requirements or risk assessment identifies a need for review. Measuring the effectiveness of the policy will include the auditing of compliance with Scottish Manual Handling Passport.

### **9 LIST OF APPENDICES**

Appendix 1

Sample - Manual Handling Assessment (Lifting loads)

Appendix 2

Sample - Client Care Plan – ‘In the Community’ (Including Initial M & H Assess)

Appendix 3

Sample - Client Care Plan – Residential & Day care (Including Initial M & H Assess)

Appendix 4

Sample – Moving & Handling assessment – Home & Residential

Appendix 5

Sample - Bariatric Risk assessment

**APPENDIX 1**

**Manual Handling Assessment Form (MH1)**

Service	
Location:	
Number of people directly involved:	
Ref. No.	
Date of Assessment:	
Group/Individual involved:	
Brief Description of Task being carried out.	
Is it reasonably practicable to avoid moving the load?	Yes - <input type="checkbox"/> No further action required. No - <input type="checkbox"/> Complete this assessment.
Does the operation also involve pushing or pulling?	Yes - <input type="checkbox"/> If the weight is more than 1000kg for men and 750kg for women then you will also need to carry out an assessment for pushing or pulling.
Does the operation involve lifting or handling people?	Yes - <input type="checkbox"/> Specialist assessment required. Contact your Moving and Handling coordinator for People Handling.

**If required the Questionnaire in the Manual Handling Guidance Document can be used to gather information.**

**Level of Risk ✓**

Ref. No.	Identified Hazards	Low	Med	High
	Complete a brief description of hazards identified.			
1	Weight and number of times handled. (Questions 1-4 in the guide)			
2	Body position and handling issues. (Questions 5 to 8 in the guide)			
3	The load being lifted or carried. (Question 9 in the guide)			
4	The environment. (Questions 10 and 11 in the guide)			
5	Distance and Route being carried. (Questions 12 and 13 in the guide)			

If required the Questionnaire in the Manual Handling Guidance Document can be used to gather information.

**Level of Risk ✓**

<b>Ref. No.</b>	<b>Identified Hazards</b> Complete a brief description of hazards identified.	<b>Low</b>	<b>Med</b>	<b>High</b>
6	Team Lifting (Question 14 in the Guide)			
7	The individuals carrying out the task (Question 15 in the guide)			
8	Any other factors. (Questions 16 and 17 in the guide)			
<b>Overall Level of Risk</b>				

### Action Plan

Identify recommendations to reduce the risks identified above, prioritising areas of high risk.

No.	Recommendation	Timescale	Action assigned to:	Date completed
Overall level of risk once recommendations are in place. ✓		High <input type="checkbox"/>	Medium <input type="checkbox"/>	Low <input type="checkbox"/>
Assessors Name		Signature		Date Completed
Managers Name		Signature		Date Authorised
Review Date				
Comments				



# Guidance for Completion of Manual Handling Assessments

**PART 1**

**Observe the Task**

You may find it useful to watch the task being carried out and if you are not sure of the risks in the operation use the checksheet below to identify them. This is all information you will need to carry out your manual handling assessment. To help you a traffic light system is used where green (G) is a low risk situation, amber (A) is a medium risk, red (R) is high risk and purple (P) is very high risk.

1	Does the manual handling task involve: (tick all that apply)	Lifting <input type="checkbox"/> Carrying <input type="checkbox"/> Team lifting <input type="checkbox"/> Number in Team
2	What is the weight of the load. In Kg.	Kg
3	<b>For team handling only.</b> Tick the relevant box.	2 Persons < 35 kg 3 Persons < 40 kg <input type="checkbox"/> <b>Score 0 (G)</b> ●  2 Persons 35 – 50 kg 3 Persons 40 – 75 kg 4 Persons 40 – 100kg <input type="checkbox"/> <b>Score 4 (A)</b> ●  2 Persons 50 – 85kg 3 Persons 75 - 125 kg 4 Persons 100 – 170 kg <input type="checkbox"/> <b>Score 6 (R)</b> ●  2 Persons > 85 kg 3 Persons > 125 kg 4 Persons > 170kg <input type="checkbox"/> <b>Score 10 (P)</b> ●
4	How many times is the load lifted and/or carried in an hour.	
	Using the figures from Questions 2 and 4 with the graphs on pages 10 and 11 of this guide you can find out what the risk rating it for your lifting or carrying operations.	Lifting Only <input type="checkbox"/> <b>Score 0 (G)</b> ● <input type="checkbox"/> <b>Score 4 (A)</b> ● <input type="checkbox"/> <b>Score 6 (R)</b> ● <input type="checkbox"/> <b>Score 10 (P)</b> ● <hr/> Carrying Only <input type="checkbox"/> <b>Score 0 (G)</b> ● <input type="checkbox"/> <b>Score 4 (A)</b> ● <input type="checkbox"/> <b>Score 6 (R)</b> ● <input type="checkbox"/> <b>Score 10 (P)</b> ●

5 Look at the pictures below and tick the picture which most closely relates to the distance the operatives hands are from their lower back



Close- upper arms aligned vertically and upright trunk

Score 0 (G)



Moderate - Upper arms angled away from body



Moderate - Trunk bent forward

Score 3 (A)



Far - upper arms angled away from body and trunk bent forward

Score 6 (R)

6 What vertical distance does the operative have to lift the load? This is the vertical lift region. Look at the photographs below and tick the one that most closely resembles how high the operative has to reach when lifting the load.



Lift from above knee and/or below elbow height

Score 0 (G)



Lift from below knee and/or above elbow height

Score 1 (A)






Lift at head height or above



Lift from floor level or below

Score 3 (R)

7a	<p><b>For lifting and team lifting only.</b> Look at the operative's trunk as they lift the load. Does the operative's trunk twist in relation to their hip or thighs OR do they lean over to one side. Tick the most relevant box.</p>	<p><input type="checkbox"/> There is little or no twisting or sideways bending. <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> There is trunk twisting OR sideways bending. <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> There is trunk twisting AND sideways bending. <b>Score 2 (R)</b> ●</p>
<p>7b <b>This is for carrying only.</b> Tick the box beside the photograph that most closely resembles how the operative is carrying the load.</p>		
 <p><input type="checkbox"/></p> <p>Load and hands symmetrical in front of the trunk.</p> <p><b>Score 0 (G)</b> ■</p>	 <p><input type="checkbox"/></p> <p><b>Load and hands asymmetrical, upright body position</b></p> <p><b>Score 1 (A)</b> ■</p>	 <p><input type="checkbox"/></p> <p>One handed carrying to the individual's side</p> <p><b>Score 2 (R)</b> ■</p>
8	<p>Is there anything that restricts the movement of the operative while they are carrying out the task? For example: narrow passageways or doorways that make the operative turn or move the load to get through; low ceilings that make the operative bend forward. Tick the most relevant box.</p>	<p><input type="checkbox"/> None <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> Restricted <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> Severely Restricted <b>Score 3 (R)</b> ●</p>
9	<p>Look at how the operative grips the load and tick the box that best describes how well they can grip it.</p>	<p><input type="checkbox"/> Containers with well designed handles or handholds that are fit for purpose. <b>The load had loose parts enabling a comfortable grip.</b> ●</p> <p><b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> Containers with poorer handles or handholds. Fingers are clamped at 90 degrees under the container. <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> Containers of poor design. Loose parts, irregular objects, bulky or difficult to handle. Non-rigid sacks or animate objects (animals and people). <b>Score 2 (R)</b> ●</p>

10	<p>Look at the floor surface and tick the box that best represents the condition of the floor.</p>	<p><input type="checkbox"/> Dry and in good condition <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> Dry but in poor condition or uneven. <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> Contaminated, wet, sloping or unstable. <b>Score 2 (R)</b> ●</p>
11	<p>Think about other environmental factors such at extremes of temperature, lighting conditions (dark, bright, poor contrast), strong air movements. Tick the most relevant box.</p> <p>List the other factors in your description of the task at the end of Part 2.</p>	<p><input type="checkbox"/> No other factors present. <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> One other factor present. <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> Two or more other factors present. <b>Score 2 (R)</b> ●</p>
12	<p><b>Only complete this if the task involves carrying.</b> Estimate the total distance the load is carried (not the distance “as the crow flies”) Tick the most relevant box.</p>	<p><input type="checkbox"/> 2m to 4m                      <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> 4m to 10m                      <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> 10m or more                      <b>Score 3 (R)</b> ●</p>
13	<p><b>Only complete this if the task involves carrying.</b> Look at the route the operative has to take to carry their load. Tick the box or boxes that describe the obstacles on the route.</p> <p>If there is more than one risk factor (i.e. a steep slope and then up ladders) total the scores. i.e. 2+3=5</p>	<p><input type="checkbox"/> No obstacles or the carry route is flat. <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> Steep slope <b>Score 2 (A)</b> ●</p> <p><input type="checkbox"/> Trip Hazards or steps. <b>Score 2 (A)</b> ●</p> <p><input type="checkbox"/> Ladders <b>Score 3 (R)</b> ●</p> <p>If more than one box is ticked in this question what is the total score. _____</p>
14	<p><b>Only complete this if the task involves team lifting or handling.</b> Communication between the operatives is essential when lifting as part of a team. Examples of good communication would be that you may hear the operatives counting 'one, two, three' etc prior to the lift. When lifting the object look to see if the load is lifted smoothly and that team members lift together. An uncoordinated team lift may leave one member of the team bearing the entire weight.</p>	<p>Team communication, co-ordination and control is:</p> <p><input type="checkbox"/> Good                      <b>Score 0 (G)</b> ●</p> <p><input type="checkbox"/> Reasonable                      <b>Score 1 (A)</b> ●</p> <p><input type="checkbox"/> Poor                      <b>Score 3 (R)</b> ●</p>

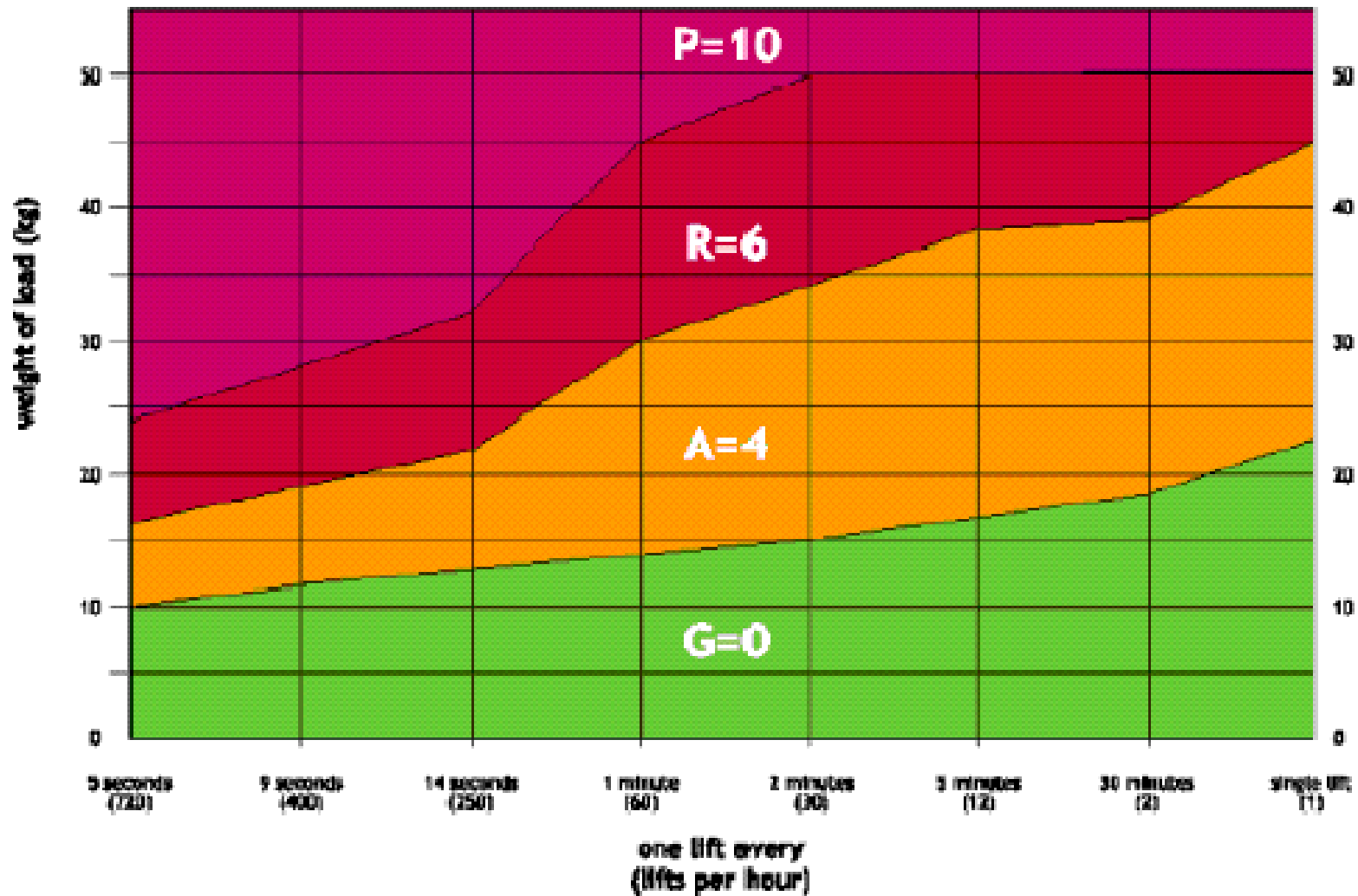
15	<p><b>The individuals carrying out the task.</b> Think about the employees who will be carrying out the task and tick any of the factors below which could increase the risk of manual handling injuries to the employees carrying out this task. More info Pg 17</p> <p><input type="checkbox"/> difference in competence or skills (important for team lifting);  <input type="checkbox"/> new employees who may need time to acquire the necessary work skills;  <input type="checkbox"/> workers of varying body sizes, i.e. height, reach, weight etc. This can lead to adopting poor postures when lifting or lowering objects;  <input type="checkbox"/> vulnerable groups, e.g. older workers and new or expectant mothers;  <input type="checkbox"/> health status and disability;  <input type="checkbox"/> individual attitudes or characteristics that may affect compliance with safe working practices or reporting of symptoms.  <input type="checkbox"/> high workloads,  <input type="checkbox"/> tight deadlines,  <input type="checkbox"/> lack of control of the work and working methods.</p>
16	<p>Other indications that the task could be high risk.</p> <p><input type="checkbox"/> The task has a history of manual handling incidents.  <input type="checkbox"/> The task is known to be hard work or high risk.  <input type="checkbox"/> Employees doing the work show signs that they are finding it hard work.          Any other indications:</p>
17	<p>Give a short description of the task being carried out.</p>

If you wish to you can add up the scores from the boxes you ticked, this will give you an overall risk rating. The higher the score the more urgent it is to put controls in place to reduce the risk.

	Low Risk	Medium Risk	High Risk	Very High Risk
Lifting Only	0-5	6-13	14-26	27-30
Carrying Only	0-5	6-17	18-29	30-33
Team Lifting	0-5	6-14	15-29	30-33

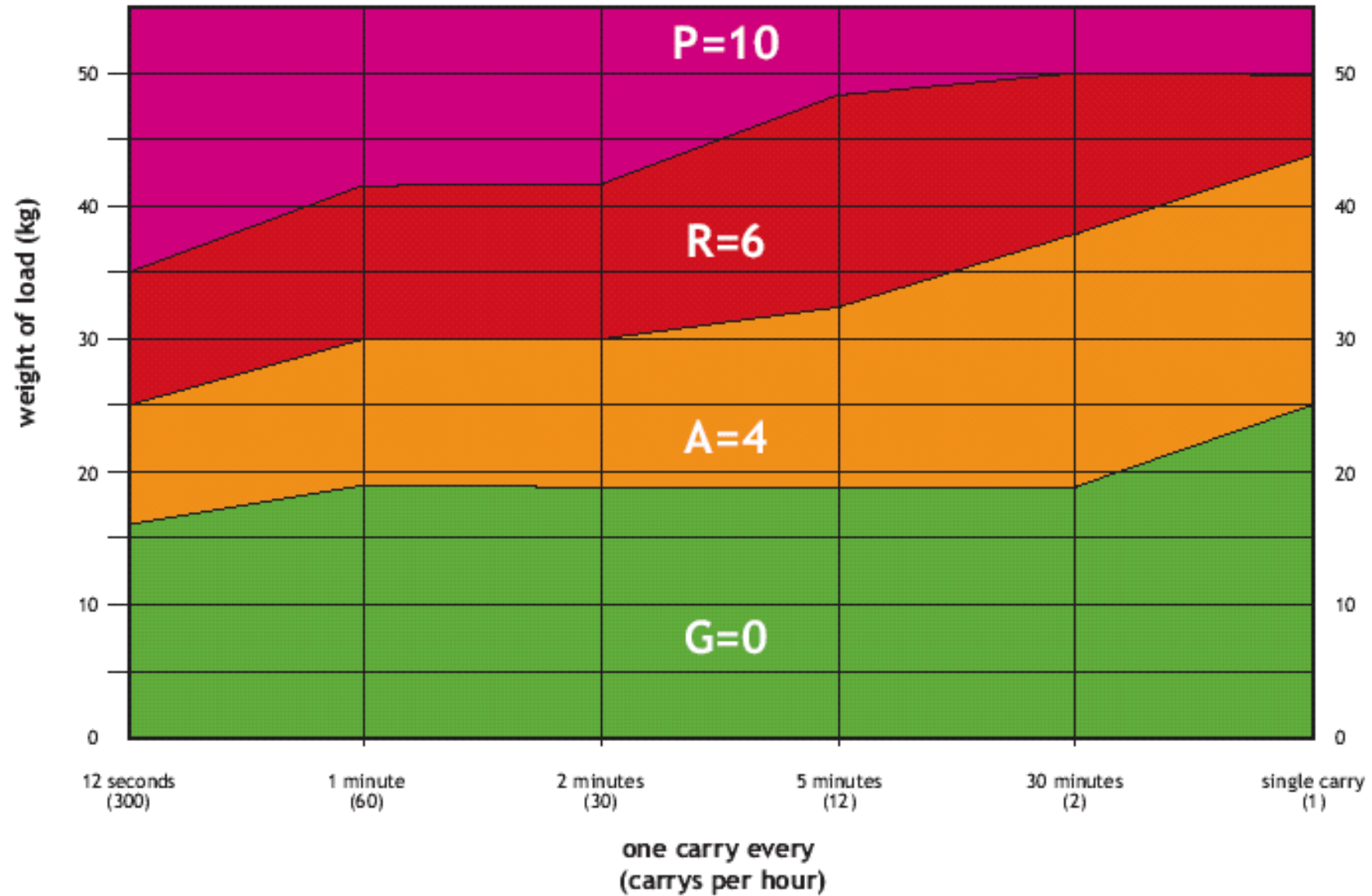
Load/Frequency Graph for Lifting Operations

Load/frequency graph for Lifting Operations



Load/frequency graph for Carrying Operations

Load/frequency graph for Carrying Operations





## More Information

This section has some hints and tips about how you can reduce the risks associated with the information you have recorded above. The suggestions quoted here are not exhaustive and other solutions may be more appropriate.

### Load weight and lift carry frequency (Q 1 to 4)

The easiest way to reduce the risk is to reduce the weight of the load. This may mean you have to increase the number of lifts you have to make, however the overall result is usually to lower the risk. If you look at the load/frequency graph for lifting operations you will see that a load of 30kg lifted once every hour is an “amber risk”. If you half the weight of the load to 15kg and lift this twice in every hour the risk is reduced and becomes “green”.

However you will have to be careful that the frequency of lifts are not increased too much.

Can a handling aid such as a hoist, trolley or other aid be used? See fig 1

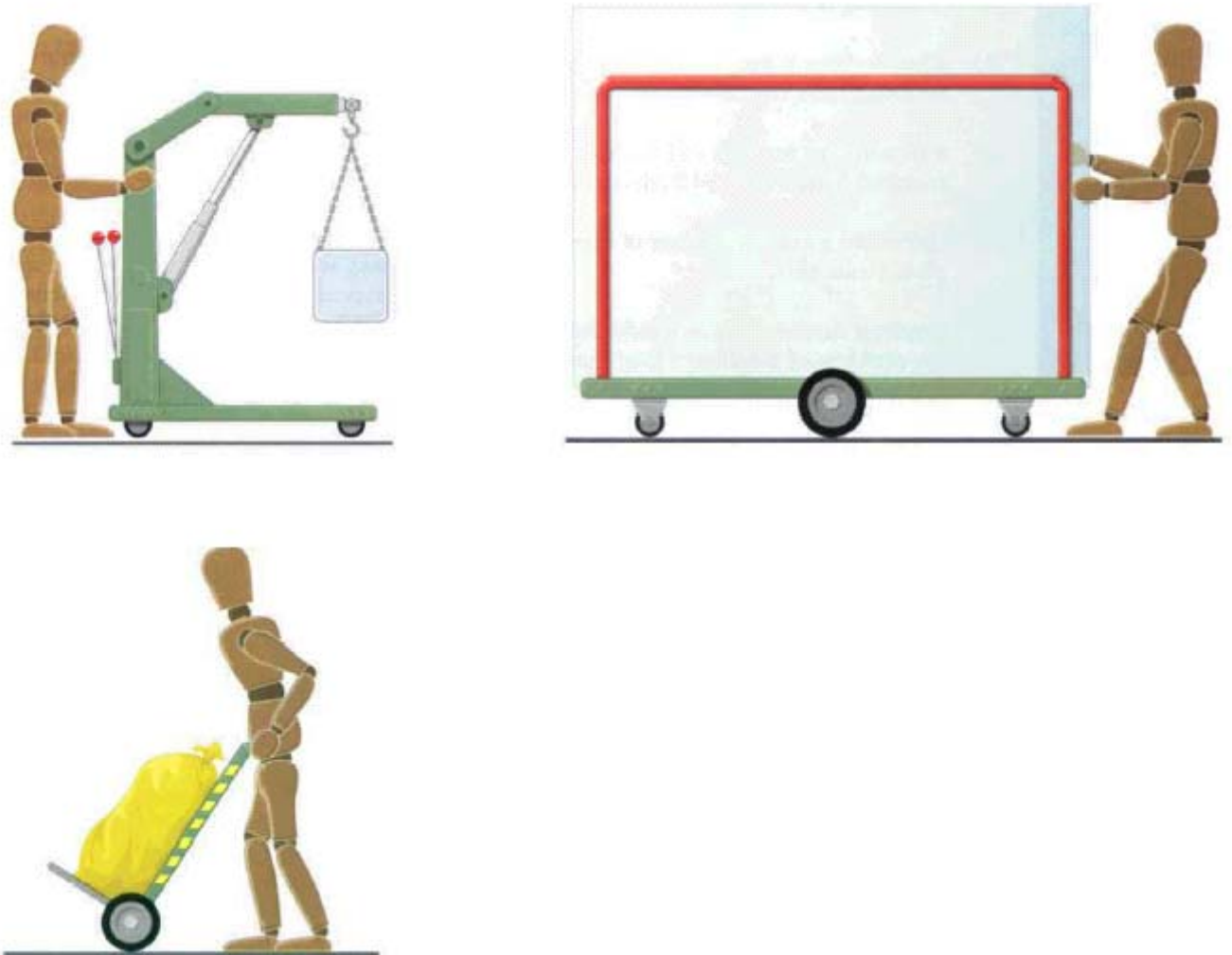


Fig 1

## Hand Distance from the Lower Back and Vertical Lifting (Q 5, 6)

Have a look at figure 2. This diagram gives guideline weights of loads that can usually be safely lifted or lowered from different positions.

### Lifting and lowering

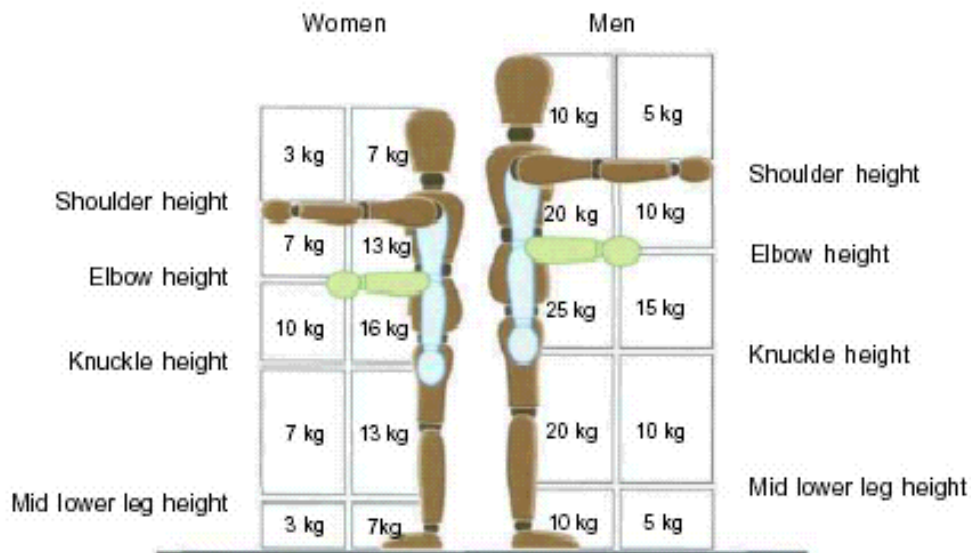


Fig 2

As you can see the heavier the load the more important it is to carry it close in to the centre of the body.

When loading shelves are the heaviest loads stored on the middle shelves, if not consider rearranging the shelves to put the heaviest loads at the middle and near the front.

Do objects on the floor restrict access to the item that is being lifted? If so clear the floor to ensure that the operative can get close to the load (figure 2)

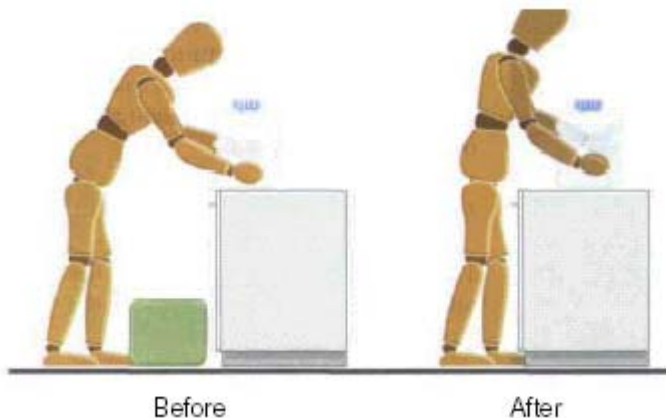


Fig 2

Where lots of items are stored on the floor would it be possible to provide shelves to put them on?

Do the employees need training in safe lifting techniques or are they not applying the training they have received?

### **Trunk Twisting Sideways Bending. (Q 7)**

When lifting is there anything which causes the operative to have to bend or twist, if so can it be cleared away or the work space rearranged to make it easier to access.

Is the operative forgetting to move their feet when lifting the load, if so they may need to be reminded to move their feet or training given?

If the operative has to carry something at their side can it be placed on/in a trolley to be pushed or pulled? Or is training required to ensure the operative knows to carry the object in front of them.

If the storage area is restricted, i.e. basement, under-stairs, or low cupboard: you may need to consider if this is a suitable storage area.

### **Restrictions on Movement (Q8)**

If there are any areas that restrict movement you may need to rethink where items are being stored, or the route being taken. If this is not possible and the operative is required to carry something through a restricted opening or passageway, putting the load on a low barrow or trolley which can be pushed or pulled through the opening or passageway could be considered.

### **Gripping the Load (Q9)**

If the item being lifted has no handholds can ones be created using rope or string? Could the item be placed in a box or bag with good handholds, or on a trolley or other mechanical aid? Can the package be broken down into smaller easier to handle loads?

### **Floor Surface and Condition (Q10)**

If the floor surface is wet you may need to look at why this is happening, e.g. are people bringing water in on their shoes from outside? If so the addition of absorbent mats at doorways may help. Are items being moved when floors are being cleaned, if so moving the object at a different time may avoid this risk? If the floor surface is in poor condition it should be reported to Property Services for repair and a safer alternative route may have to be found until this is carried out. If the surface is sloped is there a safer flatter route available? Consider if the use of a handling aid would help.

### **Environmental Factors (Q11)**

Is the temperature very hot or cold, this may be more relevant in the summer or winter for people who have to work outside. In the summer more regular breaks may have to

be considered and water made available to drink. In the winter, if ground conditions are very wet or muddy, routes may have to be changed, or, if slippery due to ice, routes should be gritted before transporting a load.

If lighting is poor temporary lighting may be required or lighting may need to be upgraded. Think about wind; areas round high flats and through tunnels are often subject to large air currents and trying to carry a large flat object in these conditions is difficult, therefore, you may want to consider alternatives. Would an alternative route be available, e.g. using the back door of a building rather than the front? Could the van be taken to the door or would a handling aid help?

### Carry Distance (Q12)

The easiest way to reduce the carry distance is to use a handling aid such as a trolley, sack barrow or some form of lifting and moving system. There are a large number of aids available for handling tasks, some of which are pictured below.



Sack Barrow



Stair climber



Pallet Truck



Trolleys



Lightweight Panel Carrier  
truck  
Lifting tables



Sheet Carrying

Mobile cranes

This is only a small selection of the various types of equipment available, there are a large number of suppliers who will come on site to discuss your specific moving and handling requirements.

### Obstacles on Route (Q13)

Where there are obstacle on the route these should be cleared. Within storage areas passageways should be clearly marked and instructions issued that no items are to be stored in the walkways. Regular inspections of walkways for trip hazards should be carried out.



Where doors have to be negotiated on route, arrangements should be made to hold these open. On no account should fire doors be wedged open. If a fire door needs to

be kept open due to heavy traffic there are systems available to hold the door open and automatically release it in the event of a fire alarm.

Dorguard fire door retainer

### **Communication and Co-ordination (Q14)**

Where you have team lifting make sure one person is in charge of the lift and that all people involved know what the instructions are. For example everyone should be clear about when to lift, use something like “one, two, three, lift”. Also make sure before hand that all know where they are going, you should not have one person heading in one direction and the other in the opposite.

Look at the people carrying out the lift, are they similar height and capability. If someone is very much taller than the other then the smaller person may end up bearing most of the weight.

**The ideas above are only general hints and tips, the people who are carrying out the work are likely to have many more suggestions about how to do the job safely.**

### **The Individual (Q15)**

How is a team made up, are any members of a lifting team new or significantly smaller or larger than the others. If so you may wish to consider training for the team, or rearranging positions or pairings within the team.

New employees such as apprentices or young persons are more vulnerable to injuries because of their inexperience. New employees should receive training and their work adjusted to give them time to acquire the necessary skills. Where they are using handling aids training must be given in how to use them and their competence checked.

Employees come in all shapes and sizes, this may mean that if an employee is short they may have to be given steps or ladders to access high shelves. If an employee's weight means that they cannot perform manual handling tasks correctly steps may have to be taken to restrict the duties they carry out and they should be referred to Occupational Health for advice. This is a sensitive area and advice is available from OD, HR and Comms on how this should be tackled.

Where an individual cannot perform a manual handling task through age, disability, or health a variety of steps can be considered. Would the introduction of mechanical aids help the employee carry out the task? This should be considered, as it is likely to be beneficial to employees without these issues. The introduction of such mechanical aids may fall into the category of “reasonable adjustments” as stipulated in the Disability Discrimination Act. There may be a requirement to adjust duties or in exceptional cases consider redeployment; again advice is available from OD, HR and Comms.

Advice on dealing with employees who are pregnant is available through OD, HR and Comms and the Health and Safety section.

“Macho” attitudes can often prevent employees reporting symptoms, as can a culture of blame within the organisation. Where this is identified training of employees and managers may be required to overcome these problems. Where an employee persistently does not comply with safe working practices training should be given, it may also be worth considering if the safe working practice is appropriate. However, in persistent cases disciplinary action may be required.

Where the workload is identified as too high steps may have to be taken to put more employees on the job or to reduce the workload.

Tight deadlines can lead to employees taking shortcuts in safe working practices, if this is identified as a problem steps may be required to reassess how work is carried out.

If employees feel they have no control over their working practices and work rate this can lead to poor application of safe working methods. It can be beneficial to give employees some say in how a task is carried out. Alternatively if there is a lack of supervision employees may shortcut safe working methods. Training for supervisors may be required to ensure they are aware of their Health and Safety responsibilities. E.g. The IOSH Managing Safely course.

## How Heavy is it?

Typical weights of materials and equipment handled within Inverclyde Council

This list is not exhaustive, and weights given are approximate weights based on information provided by suppliers. If there is any doubt about the weight of anything being moved efforts should be made to obtain a more accurate weight.

Information on weights should be passed to the Health and Safety section for inclusion in this list.

Item	Approximate Weight
<b>Stationary</b>	
Ream of Paper	2.5kg
Box of Photocopy Paper	12.5kg
Standard Archive Storage box (approx. 250mmx327mmx415mm) filled with paper. (Can hold a maximum of 8 reams of paper)	20kg
Lever arch file filled with paper	2.5kg
Using the weights above it should be possible to make a reasonable estimation of the weights of most cardboard-based storage mediums used for paper.	
<b>Display Screen Equipment</b>	
Computer Monitor (Not flat Panel)	17kg
Flat Panel Computer Monitor	8kg
CPU	
Laptop notebook	3kg
Lexmark T620 printer	21kg
Lexmark E332n	10kg
Lexmark 520	20kg
HP combined office printers/copiers/scanners/fax	25kg
<b>Furniture</b>	
Twin Pedestal Desk	80kg
Single Pedestal Desk	50kg
Office Table	30kg
Two drawer filing cabinet (wood)	30-40kg
Two drawer filing cabinet (metal)	
Four Drawer Filing Cabinet (metal)	
<b>Miscellaneous</b>	
19 litre Water bottle(1l = 1kg)	19kg
Flip chart	10kg
Mobile flip chart	21kg
<b>Household/building</b>	
Bathroom sink (not including pedestal)	13kg
Toilet pan	12kg
Ceramic cistern	15kg
Plastic cistern	5kg
Cast iron bath	100kg
Plastic bath	20kg
Exterior wooden door	
Wooden fire door ½ hr rating	Between 30kg to 47kg, depending



Item	Approximate Weight
	on its size.
Interior plain wooden door	
Box of 44 150mm <sup>2</sup> tiles	10kg
<b>Kitchen units</b>	
3m length standard chipboard based kitchen worktop	45kg
Base unit's sizes 300mm x 500mm	15kg (maximum weight)
Base unit's sizes 300mm x 600mm, 400mm x 500mm, and 500mm x 500mm.	20kg (maximum weight)
Base unit's sizes 400mm x 600mm, 500mm x 600mm, 600mm x 500mm, and 800mm x 500mm.	25kg
Base unit's sizes 800mm x 600mm, 1000mm x 600mm, and 1000mm x 500mm.	30kg
Base unit's sizes 1000mm x 600mm and 1200mm x 500mm.	35kg
Base unit's sizes 1200mm x 600mm.	40kg
Wall unit's sizes 300x575, 400x575, 300x720,	10kg
Wall unit's sizes 500x575, 600x575, 400x720, 500x720, 600x720, and 300x900.	15kg
Wall unit's sizes 800x575, 1000x575, 800x720, 400x900, 500x900, 600x900	20kg
Wall unit's sizes 1000x720 and 800x900	25kg
Wall unit's sizes 1000x900	30kg
Drawer Packs (base units with 1 to 2 drawers) 500x600 and 600x600	35kg

## APPENDIX 2

Page 1 of 2

Completed by:

Date:

## CLIENT CARE PLAN (In the Community)

***(Including Initial Moving & Assistance Assessment)***

<b>Client Name:</b>		<b>Preferred Name:</b>		<b>Tel No:</b>					
<b>Client Address:</b>				<b>Community Alarm</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<b>Door Entry Code</b>		
				<b>Client ID:</b>		<b>DOB:</b>			
<b>Weight</b>	___Kg	___St ___llbs	<b>Height</b>	___m ___cms	___ Ft ___In	<b>Start / Review Date:</b>	<b>Team:</b>		
<b>Medical Condition &amp; Skin Condition</b>									
<b>Medication</b>			<b>Continence</b>						
<b>Mobility Category</b> (See GN1 in guidance sheet)			Level 1	Level 2	Level 3	Level 4			
<b>Please describe any individual characteristics that may affect the moving and handling of the client</b> (See GN2 in guidance sheet):									
<b>Please identify below task(s) where clients may need moving and handling assistance:</b>									
<b>Task</b>	<b>Assistance by Carers</b>		<b>Further assessment required</b>		<b>Task</b>	<b>Assistance by Carers</b>		<b>Further assessment required</b>	
• Sitting	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from bed	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Standing	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• In / out of car	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Toileting	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from chair	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Walking	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from wheelchair	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• To / from shower	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• Up / down stairs	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• To / from bath	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• Sustained posture	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Moving / sitting in bed	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>Please detail any others tasks below:</b>									
						Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
						Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Number of Carers required: 1 <input type="checkbox"/> 2 <input type="checkbox"/> Other <input type="checkbox"/> (If other please discuss with Area Organiser)									

Day	Times	Duration	Practical/ Personal	Tasks*	Method to be used/No of workers/Equipment Required	Assessment Attached (please tick)				
<b>Date Care Plan Reviewed</b>	Date		Date		Date		Date		Date	
	Initials		Initials		Initials		Initials		Initials	

For use by Home Care	Yes	No	Amount	£
----------------------	-----	----	--------	---

**\*Where necessary please use additional sheets**

**APPENDIX 3**

Completed by:

Date:

## CLIENT CARE PLAN (Residential/Day Care)

*(Including Initial Moving & Assistance Assessment)*

<b>Client Name:</b>				<b>Client ID:</b>		<b>DOB:</b>		<b>Room No:</b>			
<b>Weight</b>	___Kg	___St___lbs	<b>Height</b>	___m ___cms	___Ft ___In	<b>Review Date:</b>					
<b>Medical Condition &amp; Skin Condition</b>											
<b>Mobility Category</b> (See GN1 in guidance sheet)			Level 1		Level 2		Level 3		Level 4		
<b>Please describe any individual characteristics that may affect the moving and handling of the client</b> (See GN2 in guidance sheet):											
<b>Please identify below task(s) where clients may need moving and handling assistance and provide further details overleaf:</b>											
Task		Assistance by Carers		Further assessment required		Task		Assistance by Carers		Further assessment required	
• Sitting		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from bed		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Standing		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• In / out of car		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Toileting		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from chair		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Walking		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• To / from wheelchair		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• To / from shower		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• Up / down stairs		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• To / from bath		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	• Sustained posture		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
• Moving / sitting in bed		Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>Please detail any others moving and assisting tasks below:</b>											
								Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
								Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Number of Carers required: 1 <input type="checkbox"/> 2 <input type="checkbox"/> Other <input type="checkbox"/> (If other please discuss with Unit Manager)											



## APPENDIX 4



## Moving & Handling Assessment - Home & Residential Care

Client Name		Client ID No / Room No..		Weight		Height					
Please refer to guidance notes overleaf when undertaking assessments					Mobility Category (See GN1)	1	2	3	4		
Please describe any individual characteristics that may affect the moving and handling of the client :											
Please provide below details of the task(s) that clients may need moving and handling assistance and associated information											
Task	Equipment to be used	Methodology				No of staff					
						1	2	3	4		
						1	2	3	4		
						1	2	3	4		
						1	2	3	4		
Please detail any training, information or instruction required by staff or any further action required											
Please provide details of any associated documentation:											
Date assessed											
Assessed by											
Review date											
Use a different column each time assessment is reviewed											
<b>THIS ASSESSMENT SHOULD BE APPENDED TO THE CLIENTS CARE PLAN AND BE FREELY AVAILABLE TO CARERS</b>											

<b>When carrying out a Care Assessment for a client please take into account the information provided in the guidance notes below</b>			
<b>Guidance Note 1      Mobility of Client</b>		<b>Guidance Note 2      Individual Characteristics</b>	
<p><b>Level 1</b> Independent and does not require hands on assistance, can use mobility aid independently (if required), may require verbal prompting</p> <p><b>Level 2</b> Requires assistance of one carer to mobilise and can transfer. May use mobility aid</p> <p><b>Level 3</b> Requires assistance of two carers to mobilise and can transfer May use mobility aid</p> <p><b>Level 4</b> Non-weight bearing</p>		<p><b>Physical:</b>      Disability, Weakness, Pain, Skin Lesions</p> <p><b>Medical:</b>      Epileptic, Arthritic, Dementia</p> <p><b>Behavioural:</b>      Comprehension, Aggressive, Co-operative</p>	
<b>Guidance Note 3      Tasks</b>		<b>Guidance Note 4      Equipment</b>	
<p>Sitting                  Standing                  Toileting                  Bathing Walking</p> <p>Moving / sitting in bed                  Transfer to / from bed</p> <p>Sustained posture                  In / out of car                  Transfer to / from chair</p> <p>Transfer to / from wheelchair                  Showering</p> <p>Ascend / descend stairs</p>		<p>Manual hoist                  Powered hoist                  Zimmer Mini slide</p> <p>Handling sling                  Ambu chair                  Bath aid                  Slide sheets</p> <p>Handling belts                  Transfer boards Wheelchairs</p> <p>Commode                  Shower chair</p> <p>Other (please detail in assessment)</p>	
<b>Guidance Note 5      Environment</b>		<p><b>Please note this information is not exhaustive but provided for general advice and guidance only.</b></p>	
<p>Access                  Floor coverings                  Lighting</p> <p>Constraints</p> <p>Obstacles                  Sufficient space to work in                  Furniture</p> <p>Heating</p>			

## APPENDIX 5

DRAFT

## Bariatric Risk Assessment

**(To be completed if the persons weight is suspected to be above 25 stones)**

Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Date: \_\_\_\_\_ Assessor: \_\_\_\_\_

### Service user Details

	Comments / Information
Date of original moving and handling assessment?	
Has the person had a previous fall resulting in an injury?	
What is the persons current weight?	
Where and when was the last weight taken?	
Is the weight likely to change?	
Approximate height and build?	
Is the person able to assist in any aspect of transferring? Specify	
Have relevant parties including family and other professional parties been consulted within this assessment?	

### EQUIPMENT

What equipment is required	If on site specify equipment and safe working load.	Date when correct equipment is in place (add signature and date)
Profiling bed		
Mattress		
Shower chair		

Commode		
Toilet surround Raised toilet seat Bath hoist Bath seat		
Armchair/Riser chair		
Dining room chair		
Hoist /Sling (Mobile)		
Overhead hoist/sling		
Slide sheets (check dimensions and purpose of use)		
Wheelchair		
Walking aids		

**ENVIRONMENT**

Have environmental factors been considered?	
Uneven floor surfaces?	
Width of doorways ?	
Layout of room for ease of access?	

**STAFF – CARER**

Have they been consulted about this assessment?	
Are they aware of the need for appropriate footwear?	
How many staff are required (specify)	
Does the task <u>endanger pregnant</u> women?	

Are carers familiar with the use of the above equipment and if not has necessary training been arranged?	
Are staff aware that they must not use equipment with an inadequate working load?	
Are they aware of the action to take in the event of the person falling?	
Does the organisation have a specific policy on bariatric clients and has this been communicated to staff?	

<b>ADDITIONAL RISK FACTORS</b>	
Are there additional plans in place for action in the event of fire?	
Are there plans in place in the event of the person falling?	
Does the person need specialist transport in the event of requiring hospital treatment?	

<p>Supporting evidence (This should be a brief overview of any decisions made and any evidence to support those decisions)</p>
<p style="text-align: center; font-size: 48px; opacity: 0.3; transform: rotate(-15deg);">DRAFT</p>

Signed :.....

Date.....

**Note any further review dates below**

---

<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Head of Organisational Development, Human Resources and Communications</b>	<b>Report No:</b>	<b>HR/27/16/PR</b>
<b>Contact Officer:</b>	<b>Pauline Ramsay Health and Safety Team Leader</b>	<b>Contact No:</b>	<b>01475 714723</b>
<b>Subject:</b>	<b>First Aid at Work Policy</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to seek Committee approval for adoption of a new First Aid at Work Policy (Appendix1).

## 2.0 SUMMARY

- 2.1 The Health and Safety (First-Aid) Regulations 1981 place a duty on employers to provide adequate and appropriate equipment, facilities and personnel to ensure their employees receive immediate attention if they are injured or taken ill at work. This policy formalises these duties into a corporate policy.
- 2.2 The Health and Safety at Work etc. Act places a duty on employers to prepare a written statement of their general policy and as part of that policy to have in place arrangements for the implementation of Health and Safety. The First Aid at Work Policy will form part of the Council's arrangements for Health and Safety.
- 2.3 The policy sets out how the Council will assess first aid requirements in line with the relevant legislation and HSE guidance documentation.
- 2.4 The People and Organisational Strategy was approved by the Policy and Resources Committee in September 2016. This particular proposal is contained within Theme 2 - Employee Skills Development, Leadership, Succession Planning (Employees our most Valuable Resource) and Theme 3 - *Employer of Choice (Continuous Improvement)* in that it focuses on the health, safety and welfare of our workforce.

## 3.0 RECOMMENDATIONS

- 3.1 The Committee is recommended to approve the First Aid at Work Policy.
- 3.2 The Committee is asked to support this policy by active promotion of Health and Safety.

## **4.0 BACKGROUND**

- 4.1 Inverclyde Council is required to ensure that first aid needs are assessed in line with its legal duties as defined by the Health and Safety (First-Aid) Regulations 1981 (as amended), the Management of Health and Safety at Work regulations 1999 and the Health and Safety at Work etc. Act 1974.
- 4.2 By law (Health and Safety at Work etc. Act 1974 section 2(3)) if you employ five or more people you must have a written health and safety policy. This contains a statement of general policy on health and safety at work in the organisation and arrangements in place for putting that policy into practice. The First Aid at Work Policy details the arrangements the Council has in place for ensuring adequate first aid provision for its employees and others affected by our undertakings.
- 4.3 The First Aid at Work Policy sets a clear direction for the Council to follow; it will contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement. It will demonstrate a shared common understanding of the Council's vision, values and beliefs. A positive Health and Safety culture is fostered by the visible and active leadership of senior managers. This is reflected within the policy.
- 4.4 The policy consists of the following main sections:
  - Statement of Policy
  - Roles and Responsibilities
  - How the Policy should be implemented
  - Management Requirements
  - Information and Training Requirements
- 4.5 This policy replaces the Council's First Aid at Work Policy 1999 which has been withdrawn. It has been reviewed and now includes information on:
  - first aid accreditation for training providers,
  - Automated External Defibrillators (AED's) and,
  - an updated first aid needs assessment form.

## **5.0 PROPOSALS**

- 5.1 The First Aid at Work Policy be adopted by Inverclyde Council and used as a framework to further enhance the safety of employees and those affected by the work of the Council.

## **6.0 IMPLICATIONS**

### **Finance**

- 6.1 There are no financial implications for this report.



Financial Implications:

One off Costs

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

Annually Recurring Costs/ (Savings)

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

**Legal**

- 6.2 Legal: Failure to have a robust policy in place and to implement it could result in enforcement action being taken against the Council.

**Human Resources**

- 6.3 There are no Human Resources implications.

**Equalities**

- 6.4 There are no Equalities issues within this report.

**Repopulation**

- 6.5 There are no repopulation issues within this report

**7.0 CONSULTATIONS**

- 7.1 The First aid at Work Policy has been coordinated through the Corporate Health and Safety Committee with Health and Safety seeking the views of both union and management colleagues. The Trades Unions have agreed the Policy.

**8.0 LIST OF BACKGROUND PAPERS**

- 8.1 Appendix 1 – First Aid at Work Policy

APPENDIX 1

*OD, HR & Comms*

# ***First Aid at Work Policy***

Version 2.0

Produced by:  
Health and Safety OD, HR & Comms

Inverclyde Council  
Municipal Buildings  
GREENOCK  
PA15 1LX

November 2016



**INVERCLYDE COUNCIL IS AN EQUAL OPPORTUNITIES EMPLOYER**

THIS POLICY BOOKLET IS AVAILABLE ON REQUEST, IN LARGE PRINT, BRAILLE, ON AUDIOTAPE, OR CD.

## DOCUMENT CONTROL

Document Responsibility		
Name	Title	Service
Pauline Ramsay	Health and Safety Team Leader	OD, HR & Comms

Change History		
Version	Date	Comments
1.0	October 1998	Original
2.0	November 2016	Updated re first aid accreditation for training providers. AED information Updated First Aid Needs Assessment form.

Distribution		
Name	Date	Designation
CMT and Extended Management Team		
Union Representatives		
Stuart Graham	Nov 2016	UNITE
Billy Matthews	Nov 2016	UNISON
Barbara Gillan	Nov 2016	GMB
Tom Tracey	Nov 2016	EIS
Valerie Liddell	Nov 2016	SSTA
Noreen McMillan	Nov 2016	NAWUWT

Distribution may be made to others on request

Policy Review		
Review Date	Person Responsible	Service
Nov 2017	Health and Safety Team Leader	OD, HR & Comms

### Copyright

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, mechanical, photocopying or otherwise without the prior permission of Inverclyde Council.

CONTENTS

<b>DOCUMENT CONTROL .....</b>	<b>2</b>
<b>1 INTRODUCTION .....</b>	<b>5</b>
<b>2 POLICY STATEMENT .....</b>	<b>5</b>
<b>3 SCOPE .....</b>	<b>6</b>
<b>4 CONSULTATION &amp; IMPACT ASSESSMENT.....</b>	<b>6</b>
<b>5 ROLES &amp; RESPONSIBILITIES .....</b>	<b>6</b>
5.1 Corporate Directors.....	6
5.2 Heads of Service.....	7
5.3 Managers/Team Leaders/Supervisors.....	7
5.4 Employee Responsibilities .....	7
5.5 Health and Safety Team Leader.....	7
5.6 Corporate Health and Safety Committee.....	8
<b>6 ARRANGEMENTS.....</b>	<b>8</b>
6.1 Definitions .....	8
6.2 Allowances and Requalification .....	8
6.2.1 Allowances.....	8
6.2.2 Requalification .....	9
6.3 First Aid Needs Assessment.....	9
6.4 First Aid Provision for Non Employees .....	10
6.5 Records.....	10
6.6 Recruitment and Selection of First Aiders.....	10
6.7 First Aid Training.....	10
6.8 First Aid Materials, Equipment and Facilities.....	11
6.8.1 First Aid materials .....	11
6.8.2 First Aid Rooms .....	12
6.8.3 Automated External Defibrillators .....	12
6.9 Signage .....	13

---

<b>7</b>	<b>INFORMATION AND TRAINING .....</b>	<b>14</b>
7.1	Information .....	14
7.2	Training .....	14
7.3	Communication of the Policy .....	15
<b>8</b>	<b>MONITORING, EVALUATION &amp; REVIEW .....</b>	<b>15</b>
	<b>APPENDIX 1A .....</b>	<b>16</b>
	<b>APPENDIX 1B .....</b>	<b>20</b>
	<b>APPENDIX 2.....</b>	<b>24</b>
	<b>APPENDIX 3.....</b>	<b>25</b>
	<b>APPENDIX 4.....</b>	<b>26</b>

DRAFT

## 1 INTRODUCTION

- 1.1 The Health and Safety (First-Aid) Regulations 1981 require the Council to provide adequate and appropriate equipment, facilities and personnel to ensure their employees receive immediate attention if they are injured or taken ill at work.
- 1.2 What is 'adequate and appropriate' will depend on the circumstances in the workplace. This includes whether trained first-aiders are needed, what should be included in a first-aid box and if a first-aid room is required. Services should carry out an assessment of first-aid needs to determine what to provide.

## 2 POLICY STATEMENT

- 2.1 It is the policy of Inverclyde Council to take all reasonably practicable steps to safeguard the health, safety and welfare at work of all of its employees. The council will comply with all aspects and provisions of the Health & Safety at Work etc. Act 1974; the Health and Safety (First Aid) Regulations 1981; and all other relevant statutory obligations. This includes the organisation and arrangements required to ensure first aid provision for employees and others who may be affected by our undertakings.

A high standard of health and safety performance is recognised as an integral part of the council's service delivery. Therefore, sufficient resources will be allocated to meet the requirements of the council's First Aid at Work Policy.

- 2.2 This standard will be achieved by:-

- The council meeting its responsibilities to employees in a way that recognises that legal requirements are the minimum standard.
- Promoting and maintaining a positive health and safety culture which secures the commitment and participation of all employees. Inverclyde Council believes that this can best be achieved by partnership working in conjunction with trade union safety representatives. The "organisation" and "arrangements" sections of this policy make references to how this will be achieved in practice.
- The provision of adequate and appropriate equipment and facilities to enable first aid to be rendered to employees if they are injured or become ill at work.
- The appointment of an adequate number of first aiders/appointed person for rendering first aid to employees if they are injured or become ill at work.
- The provision of training and specialist training if necessary to ensure that first aiders/appointed persons are suitable to render first aid.
- The provision of information to employees of the first aid arrangements in place at their place of work.

- 2.3 Adopting a planned and systematic approach to the implementation of the Council's First Aid at Work Policy to :-

- Ensure that appropriate first aid treatment is available as and when required.

2.4 The aim of this policy is to reduce the effects of injury or illness suffered at work, whether caused by the work itself or not. This means that sufficient first aid equipment, facilities and personnel will be available at all times, taking account of alternative work patterns, to:

- Summon an ambulance or other professional help.
- Give immediate assistance to casualties with both common injuries or illnesses and those likely to arise from specific hazards at work.

### **3 SCOPE**

3.1 This policy applies equally to all employees regardless of grade, experience or role within the organisation. The policy also applies to contracted staff as far as is reasonably practicable and to pupils, service users or members of the public who have access to Council premises.

3.2 The Regulations do not place a legal duty on employers such as the Council to make first-aid provision for non-employees such as the public or children in schools. However, the HSE strongly recommends that non-employees are included in an assessment of first-aid needs and that provision is made for them. As such Services should ensure that any assessment of first aid needs includes provision for the public and children in schools.

### **4 CONSULTATION & IMPACT ASSESSMENT**

4.1 Inverclyde Council recognises the importance of employee consultation and is committed to involving all employees in the development of policies and procedures. The following groups are formally consulted:

- Trade Union Representatives through the Corporate Health and Safety Committee.
- All Chief Officers.
- Employees via the Council Intranet.

4.2 An Equalities Impact Assessment was carried out using the Council's Equalities Impact Assessment Template.

### **5 ROLES & RESPONSIBILITIES**

In addition to the responsibilities laid out in the Corporate Health and Safety Policy the following responsibilities are specific to this Policy.

#### **5.1 Corporate Directors**

Corporate Directors have a collective and individual responsibility to employees in providing Health and Safety Leadership within Inverclyde council, they should ensure that their Directorate has:-

- as far as is practicable, the adequate provision of financial resources to meet the foreseeable expenditure pertaining to the provision of First Aid.

- adequately trained first aiders that are able to discharge competently their responsibilities.

## **5.2 Heads of Service**

Heads of Service will have a pivotal role in the effective implementation of the First Aid at Work Policy. They shall be responsible for ensuring:

- That this policy is implemented within those areas under their control or influence.
- That there is a system to monitor first aiders and appointed person qualifications and to ensure that they undergo retraining within the three year period.
- That where two or more Services are located within a building to liaise with other Heads of Service to co-ordinate the first aid arrangements ensuring that the required number of first aiders have current qualifications.
- That adequate equipment or facilities are provided and maintained and
- That suitable notices are displayed informing employees of the arrangement for first aid provision.

## **5.3 Managers/Team Leaders/Supervisors**

Any person who has a managerial/supervisory responsibility for other employees, whatever title they are given has the responsibility to ensure:

- that first aiders undergo the required training and retraining within the three year period.
- that first aid equipment and facilities are checked and maintained.
- That suitable notices are displayed informing employees of the arrangements for first aid provision.
- OD, HR & Comms are informed of any designated First Aiders so that payment can be arranged.
- That a first aid risk assessment is carried out.

## **5.4 Employee Responsibilities**

All employees have a responsibility to ensure that they are complying with the health and safety procedures and requirements appropriate to their job. To achieve this, in relation to this Policy, employees should:

- Where designated as a first aider or appointed person ensure that checks on equipment or facilities are checked and maintained.
- Inform their line manager immediately their First Aid certificate lapses or they no longer carry out first aid duties as a designated first aider.

## **5.5 Health and Safety Team Leader**

The Council Health and Safety Team Leader shall ensure that the First Aid at Work Policy is monitored for effectiveness, is subject to regular review, and is revised when necessary. This shall be done in conjunction with Heads of Service and Trades Union safety representatives.



## 5.6 Corporate Health and Safety Committee

The Corporate Health and Safety Committee will perform a pivotal role in ensuring that this policy is implemented.

The safety committee will oversee monitoring of the effectiveness of the policy and other measures to reduce risks and promote workplace health and safety.

## 6 ARRANGEMENTS

These arrangements outline the Council's intentions regarding First Aid at Work.

### 6.1 Definitions

**First Aid** - Employees at work can suffer injuries or be taken ill. It doesn't matter whether the injury or illness is caused by the work they do or not, it is important to give them immediate attention and call an ambulance in serious cases. First aid at work covers the arrangements you should make to ensure this happens. It can save lives and prevent minor injuries becoming major ones.

**Appointed Person** - When the first-aid needs assessment indicates that a first-aider is unnecessary, the minimum requirement is to appoint a person to take charge of first-aid arrangements. The roles of this appointed person include looking after the first-aid equipment and facilities and calling the emergency services when required. They can also provide emergency cover, within their role and competence, where a first-aider is absent due to unforeseen circumstances (annual leave does not count).

### 6.2 Allowances and Requalification

#### 6.2.1 Allowances

The annual first aid allowances set out in the Conditions of Service will be paid to employees who are authorised by Services to act as first aiders and have completed the First Aid at Work course and/or suitable refresher course on a three yearly basis.

There is no payment associated with the role of appointed persons or for employees holding the Emergency First Aid at Work qualification.

Where an employees job role requires that they must hold a First Aid at Work Qualification or similar and this has been recognised within the Council's Job Evaluation Scheme there will be no additional first aid allowance paid.

Allowances will only be paid where a certificate containing the following minimum information is provided to OD, HR and Comms.

- name of training organisation.
- name of qualification.
- name of individual.
- a validity period for three years from date of course completion.
- an indication that the certificate has been issued for the purposes of complying with the requirements of the Health and Safety (First-Aid) Regulations 1981.

- a statement that teaching was delivered in accordance with currently accepted first-aid practice.

### 6.2.2 Requalification

The first aid allowance will cease to be paid three years from the date of the previous certification or recertification certificate or if no certificate indicating requalification is received. Requalification should take place within one month of the expiry of the certificate otherwise the full First Aid at Work Course should be completed.

### 6.3 First Aid Needs Assessment

The provision of first aiders should not be based on numerical factors alone e.g. one first aider per 50 employees, instead it is essential that Services examine the risks associated with the area of operation and identify measures which need to be taken to prevent or control these risks. Information gathered from the risk assessment can help Services carry out their assessment of first-aid needs if preventive or control measures fail. Identifying the likely nature of an accident or injury will help the Service work out the type, quantity and location of first-aid equipment, and the facilities and personnel to provide.

There are 4 layers of first aid provision, the first aid needs assessment will help determine the most appropriate level to enable the Council to comply with the Regulations. These levels are:

- Appointed Person (AP).
- Emergency First Aid at Work (EFAW).
- First Aid at Work (FAW).
- Additional training.

When carrying out an assessment of first aid needs the following should be considered by the Service:

- The nature of the work and workplace hazard and risk.
- The nature of the workforce.
- The accident history of the service.
- How many people are likely to need first aid.
- The needs of any employees who are travelling, work remotely or are lone workers.
- Work patterns.
- How the workforce is distributed.
- How remote places are from the emergency services.
- Employees working on shared or multi occupancy sites.
- Annual leave and other absences of first aiders and appointed persons
- First aid provision for non-employees.

The Checklist at Appendix 1A can be used to assist in carrying out a first aid needs assessment. A worked example is included at Appendix 1B The HSE's First Aid at Work Assessment Tool can also be used by Services to determine the type and number of first aiders required in the workplace. <http://www.hse.gov.uk/firstaid/assessmenttool.htm>

The assessment of needs should also take into account planned absences of first aiders, e.g. training courses, annual leave and flexible working arrangements or shift patterns,

The flow chart in Appendix 2 gives a general guide on how many first-aiders or appointed persons might be needed.

#### **6.4 First Aid Provision for Non Employees**

While the First Aid at Work Regulations do not require the Council to provide first aid at work for anyone other than their employees HSE guidance strongly recommends that employers include non-employees in their assessment of first aid needs. Account should also be taken of any special requirements and additional first aid training arranged where needed. For example training to cover:

- Pupils or Service Users with Additional Support Needs.
- Paediatric First Aid for Primary Schools and Nurseries.

#### **6.5 Records**

A record of first aid treatment should always be kept, this should include:

- Date, time and place of the incident.
- Name and job of the injured or ill person.
- Details of the injury/illness and what first aid was given.
- What happened to the person immediately afterwards (for example, went to work, went home, ambulance called etc).
- Name and signature of the first aider or person dealing with the incident.

Where the first aid is provided as a result of an accident or incident at work, as opposed to a medical issue, then the Council's policy on reporting accidents and incidents must be followed and the incident reported online via the Council's Internal Incident reporting link on Icon. Where necessary a RIDDOR report may also have to be made.

#### **6.6 Recruitment and Selection of First Aiders**

It will be necessary, from time to time, to recruit and appoint new first aiders, the employing department should consider:-

- Availability during the working day.
- The demands and nature of the first aid cover.
- The personal attributes required e.g. reliability, likely to remain calm in an emergency.
- Ability to deal with incidents.

Written records of the appointment and training of first aiders should be kept and a system put in place to ensure regular retraining of the first aiders and appointed persons.

#### **6.7 First Aid Training**

First aid training must be carried out by a competent training provider. Before any company is contracted to provide first aid training the following should be checked by the Service:

- The qualifications of the trainers and assessors.
- What monitoring and quality assurance systems they have in place.

- The teaching standards of first aid practice.
- The syllabus content.
- Their certification.

There are two options for first aid training providers:

- a) Use of a training centre offering regulated qualifications. These are centres recognised by a regulated “awarding organisation”. Within Scotland this would be the SQA (Scottish Qualifications Authority). No further checks on competency are required for organisations offering regulated qualifications.
- b) If a training provider is not delivering regulated qualifications then a more detailed check is required to ensure that the organisation is competent to deliver the training. The Checklist at Appendix 3 can be used to evaluate the competence of any provider. This competence check must be carried out by the Service contracting the First Aid training.

## **6.8 First Aid Materials, Equipment and Facilities**

### 6.8.1 First Aid materials

Each work site should have available a suitably stocked first aid container with sufficient first aid materials for the particular circumstances. There is no mandatory list of items to be included in a first aid container, as a guide a minimum stock of items could be:

- a leaflet giving general guidance on first aid (for example, HSE's leaflet *Basic advice on first aid at work*).
- 20 individually wrapped sterile plasters (assorted sizes), appropriate to the type of work (hypoallergenic plasters can be provided if necessary).
- two sterile eye pads.
- two individually wrapped triangular bandages, preferably sterile.
- six safety pins.
- two large sterile individually wrapped unmedicated wound dressings.
- six medium-sized sterile individually wrapped unmedicated wound dressings.
- at least three pairs of disposable gloves.

This is only a suggested list and other items can be added to this as identified by the first aid needs assessment, examples may be foil blankets, moist wipes, sterile disposable tweezers etc.

Tablets or medicines should not be stored in the first aid containers, Services should follow their own internal policies and guidelines on the storage and administration of medicines.

Where there are mobile employees consideration should be given to issuing them with travelling first aid kits and/or ensuring that vehicles are stocked with a first aid kit especially where employees are involved in higher hazard activities.

Services must have in place a system for checking and restocking first aid kits on a regular basis as identified by the first aid needs assessment.

## 6.8.2 First Aid Rooms

First aid rooms are required where this has been identified as necessary within the first aid needs assessment. This will generally be where there are higher hazards or premises a distance from medical services. Where a First Aid room has been identified as necessary it should:

- be large enough to hold an examination/medical couch, with enough space at each side for people to work, a chair and any necessary additional equipment.
- have washable surfaces and adequate heating, ventilation and lighting.
- be kept clean, tidy, accessible and available for use at all times when employees are at work.
- be positioned as near as possible to a point of access for transport to hospital.
- display a notice on the door advising of the names, locations and, if appropriate, telephone extensions of first-aiders and how to contact them.

The type of equipment and facilities which could be included in a first aid room are:

- a sink with hot and cold running water.
- drinking water with disposable cups.
- soap and paper towels.
- a store for first-aid materials.
- foot-operated refuse containers, lined with disposable, yellow clinical waste bags or a container suitable for the safe disposal of clinical waste.
- an examination/medical couch with waterproof protection and clean pillows and blankets (a paper couch roll may be used that is changed between casualties).
- a chair.
- a telephone or other communication equipment.
- a record book for recording incidents attended by a first-aiders or appointed person.

## 6.8.3 Automated External Defibrillators

There have been an increasing number of enquiries in relation to provision of AEDs within Council premises. We currently have AEDs in some school premises, these are intended for use by First Aiders in the event of someone experiencing cardiac arrest. The following guidance is to help individual Service areas and establishments determine whether or not it would be of benefit to install AEDs in any of their buildings, and also explains the other necessary commitments around their ongoing maintenance and use.

### **What is an AED?**

An AED is a device which enables the general public to attempt to restart a heart after a cardiac arrest. They are designed to be simple to operate; the device has a computer programme which reads the heart rhythm and only discharges (automatically) if it is correct to use a shock in that set of circumstances. They are available in a variety of community settings perceived to have the potential for high risk activities, settings or occupants/visitors, and may be positive in terms of preventing avoidable deaths.

## Should you install them in your facility?

The following information may help in considering whether this is a viable option for your location(s). At present there is no statutory legal requirement under law to provide a defibrillator. Purchase of an AED should be considered in the context of the risk of a member of staff, student or member of the public sustaining a cardiac arrest at any given facility balanced against the ease and speed of access to NHS emergency services, the cost of purchase, installation, and maintenance of AEDs, and of initial and ongoing training of staff to use the devices. The first aid needs assessment should be used as the basis on which to determine the need for AED's within any School, Council establishment or Service. This assessment should include the following factors:

- The frequency of cardiac arrest at the site; The Resuscitation Council guidelines indicate that if the frequency is 1 arrest every 2 years then evidence supports the use of AEDs.
- The likely time between call out and arrival of a paramedic unit. If this is greater than 5 minutes then AED's may be a relevant consideration.
- The time between collapse of a victim and the availability of the on-site AED. If this is going to be greater than the time for a paramedic to arrive, it is of little benefit installing an AED, or it might mean locating multiple AEDs within the facility. (For remote facilities, AEDs are clearly of greater benefit, but practicalities of installation/ manning/ maintenance may be more problematic)
- The overall risk of the various sites e.g gyms and leisure centres have a higher risk of experiencing a cardiac arrest
- The population being served. Where there is a high percentage of young people they have a lower risk of cardiac arrest. Also the age of the working population and their health profile should be considered in terms of the likelihood of cardiac arrest episodes. The age range and health issues for any visitors or members of the public on the premises should also be considered.

Other factors that will have to be considered in deciding on the use of AEDs include:

- Training. There will be a commitment to training both initially and ongoing. Any training must comply with the guidelines of the Resuscitation Council UK.
- Cost of AEDs. This will include the initial cost (about £1000 per unit) and the ongoing maintenance (calibration, servicing, batteries etc).
- Routine upkeep of the AEDs. They must be kept available, fully charged and with appropriately trained people available to administer treatment with them at all times.
- Selection of individuals trained in the use of AEDs and their distribution in the workplace
- Monitoring of the system.

## 6.9 Signage

First aid notices providing details of who the first aiders are and how to contact them should be displayed within the workplace; the number and location of notices will depend on the size and layout of the workplace, notices should be in prominent positions and accessible to all employees.

First aid containers should be green with a white cross, where the first aid container is not prominently displayed i.e. in a cupboard, a notice should be placed on the outside of a cupboard and if appropriate on the outside of the door the first aid container is located in.

Examples of first aid signage are included in Appendix 4.

## 7 INFORMATION AND TRAINING

### 7.1 Information

Inverclyde Council recognises the need to provide staff with relevant information on the provision of first aid to employees. Employee awareness will help with the implementation of this policy. Information on the first aid provision will be made available on the Council's Intranet System ICON, and on First Aid Notices. The information will be updated on a regular basis.

### 7.2 Training

The Council recognises that training of first aiders is important to ensure that all first aiders, or other relevant employees have the necessary skills to carry out the requirements of this policy. Information on First Aid Training organisations is available through ICON.

**Emergency First Aid at Work** - Contents of an emergency first aid at work (EFAW) course:

Understand the role of the first-aider, including reference to: –

- the importance of preventing cross-infection.
- the need for recording incidents and actions.
- use of available equipment.
- assess the situation and circumstances in order to act safely, promptly and effectively in an emergency.
- administer first aid to a casualty who is unconscious (including seizure).
- administer cardiopulmonary resuscitation.
- administer first aid to a casualty who is choking.
- administer first aid to a casualty who is wounded and bleeding.
- administer first aid to a casualty who is suffering from shock.
- provide appropriate first aid for minor injuries (including small cuts, grazes and bruises, minor burns and scalds, small splinters).

**First Aid at Work** - Content of a first aid at work (FAW) course:

Should include all of the subject areas listed in the Emergency First Aid at Work Course and administer first aid to a casualty with: —

- injuries to bones, muscles and joints, including suspected spinal injuries.
- chest injuries.
- burns and scalds.
- eye injuries.
- sudden poisoning.
- anaphylactic shock.
- recognise the presence of major illness and provide appropriate first aid (including heart attack, stroke, epilepsy, asthma, diabetes).

Where the first aid needs assessment identifies that there is a need to provide specialist first aid to deal with specific situations i.e. dealing with a pupil or employee with a specific

medical condition, or the use of a specific chemical or a workplace activity which require specific first aid treatment, this must be provided.

### **7.3 Communication of the Policy**

The Council recognises the importance of communicating the policy to all employees. This policy will be communicated to staff via the Corporate Health and Safety Committee, the Council's team briefing system and a copy will be placed on the Council's Intranet system ICON.

## **8 MONITORING, EVALUATION & REVIEW**

This reviewed policy was ratified by the Council's Policy and Resources Committee on 15 November 2016 and implemented immediately thereafter.

Regular monitoring and review are necessary to measure the effectiveness of the policy and to ensure it remains relevant to the needs of the Council. This policy will be subject to monitoring and review on a regular basis by the Corporate Health and Safety Section via the Corporate Health and Safety Committee.

The policy will be reviewed 12 months from implementation and every three years thereafter unless there is significant change in legislative requirements or risk assessment identifies a need for review. Measuring the effectiveness of the policy will include the auditing of compliance with this policy, and monitoring of incidents.

DRAFT



## APPENDIX 1A

### First Aid at Work – Checklist

The checklist below can be utilised to assist in identifying the requirement for First Aid provision within a building or Service Area.

<b>ESTABLISHMENT OR SERVICE NAME</b>	
<b>HEAD OF ESTABLISHMENT OR LEAD OFFICER</b>	
<b>EMPLOYEE OR NON EMPLOYEE GROUPS PRESENT</b>	
<b>DATE CHECKLIST COMPLETED</b>	

Factor to consider	Notes	Impact on first-aid provision
Hazards (use the findings of your general risk assessment and take account of any parts of your workplace that have different work activities/hazards which may require different levels of first-aid provision)		
Does your workplace have low-level hazards such as those that might be found in offices and shops? Yes <input type="checkbox"/> No <input type="checkbox"/>		The minimum provision is: <ul style="list-style-type: none"> <li>• an appointed person to take charge of first-aid arrangements;</li> <li>• a suitably stocked first-aid box.</li> </ul>
Does your workplace have higher-level hazards such as chemicals or dangerous machinery?  Yes <input type="checkbox"/> No <input type="checkbox"/>		You should consider: <ul style="list-style-type: none"> <li>• providing first-aiders;</li> <li>• providing additional training for first-aiders to deal with injuries resulting from special hazards;</li> <li>• providing a suitably stocked first-aid box;</li> <li>• providing additional first-aid equipment;</li> <li>• precise location of first-aid equipment;</li> <li>• providing a first-aid room;</li> <li>• informing the emergency services of specific hazards etc. in advance.</li> </ul>

Factor to consider	Notes	Impact on first-aid provision
<p>Do your work activities involve special hazards such as hydrofluoric acid or confined spaces?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		<p>You should consider:</p> <ul style="list-style-type: none"> <li>• providing first-aiders;</li> <li>• additional training for first-aiders to deal with injuries resulting from special hazards;</li> <li>• additional first-aid equipment;</li> <li>• precise location of first-aid equipment;</li> <li>• providing a first-aid room;</li> <li>• informing the emergency services of specific hazards etc in advance.</li> </ul>
<p><b>Employees</b></p>		
<p>How many people are employed on site?</p> <p>No of employees</p>		<p>Where there are small numbers of employees, the minimum provision is:</p> <ul style="list-style-type: none"> <li>• an appointed person to take charge of first-aid arrangements;</li> <li>• a suitably stocked first-aid box.</li> </ul> <p>Where there are large numbers of employees, ie more than 25, even in low-hazard environments, you should consider providing:</p> <ul style="list-style-type: none"> <li>• first-aiders;</li> <li>• additional first-aid equipment;</li> <li>• a first-aid room.</li> </ul>
<p>Are there inexperienced workers on site, or employees with disabilities or particular health problems?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		<p>You should consider:</p> <ul style="list-style-type: none"> <li>• additional training for first-aiders;</li> <li>• additional first-aid equipment;</li> <li>• local siting of first-aid equipment.</li> </ul> <p>Your first-aid provision should cover any work experience trainees.</p>

Factor to consider	Notes	Impact on first-aid provision
<b>Accidents and ill-health record</b>		
What is your record of accidents and ill health? What injuries and illness have occurred and where did they happen?		Ensure your first-aid provision will cater for the types of injuries and illnesses that have occurred in your workplace. Monitor accidents and ill health and review your first-aid provision as appropriate.
<b>Working arrangements</b>		
Do you have employees who travel a lot, work remotely or work alone?  Yes <input type="checkbox"/> No <input type="checkbox"/>		You should consider: <ul style="list-style-type: none"> <li>• issuing personal first-aid kits;</li> <li>• issuing personal communicators/mobile phones to employees.</li> </ul>
Do any of your employees work shifts or out-of-hours? Yes <input type="checkbox"/> No <input type="checkbox"/>		You should ensure there is adequate first-aid provision at all times people are at work.
Are the premises spread out, e.g. are there several buildings on the site or multi-floor buildings? Yes <input type="checkbox"/> No <input type="checkbox"/>		You should consider the need for provision in each building or on each floor.
Is your workplace remote from emergency medical services? Yes <input type="checkbox"/> No <input type="checkbox"/>		You should: <ul style="list-style-type: none"> <li>• inform the emergency services of your location;</li> <li>• consider special arrangements with the emergency services;</li> <li>• consider emergency transport requirements.</li> </ul>
Do any of your employees work at sites occupied by other employers? Yes <input type="checkbox"/> No <input type="checkbox"/>		You should make arrangements with other site occupiers to ensure adequate provision of first aid. A written agreement between employers is strongly recommended.

Factor to consider	Notes	Impact on first-aid provision
Do you have sufficient provision to cover absences of first-aiders or appointed persons? Yes <input type="checkbox"/> No <input type="checkbox"/>		You should consider: <ul style="list-style-type: none"> <li>• what cover is needed for annual leave and other planned absences;</li> <li>• what cover is needed for unplanned and exceptional absences.</li> </ul>
Non-employees		
Do members of the public or non-employees visit your premises? Yes <input type="checkbox"/> No <input type="checkbox"/>		Under the Health and Safety (First-Aid) Regulations 1981, you have no legal duty to provide first aid for non-employees but HSE strongly recommends that you include them in your first-aid provision.

Based on the results of the checklist above the following requirement for First Aid Provision has been identified.

TYPE OF PROVISION	NUMBER REQUIRED	NAMES OR LOCATION
APPOINTED PERSON		
FIRST AID BOXES		
EMERGENCY FIRST AIDERS		
FIRST AIDERS		
FIRST AID ROOM		

## APPENDIX 1B

### Worked Example

#### First Aid at Work – Checklist

The checklist below can be utilised to assist in identifying the requirement for First Aid provision within a building.

<b>ESTABLISHMENT NAME</b>	<b>SAMPLE PRIMARY SCHOOL</b>
<b>HEAD OF ESTABLISHMENT OR LEAD OFFICER</b>	<b>HEAD TEACHER</b>
<b>GROUPS PRESENT</b>	<b>TEACHING AND SUPPORT STAFF, CATERING, FACILITIES MANAGEMENT, CONTRACTORS VISITORS, PUPILS.</b>
<b>DATE CHECKLIST COMPLETED</b>	<b>27/01/14</b>

Based on the results of the checklist above the following requirement for First Aid Provision has been identified.

Factor to consider	Space for notes	Impact on first-aid provision
Hazards (use the findings of your general risk assessment and take account of any parts of your workplace that have different work activities/hazards which may require different levels of first-aid provision)		
Does your workplace have low-level hazards such as those that might be found in offices and shops? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		The minimum provision is: <ul style="list-style-type: none"> <li>• an appointed person to take charge of first-aid arrangements;</li> <li>• a suitably stocked first-aid box.</li> </ul>
Does your workplace have higher-level hazards such as chemicals or dangerous machinery? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Yes; machinery and other hazards are present within the school kitchen and used by facilities management.  First aid provision within the establishment should be available to cover the identified employee groups.	You should consider: <ul style="list-style-type: none"> <li>• providing first-aiders;</li> <li>• providing additional training for first-aiders to deal with injuries resulting from special hazards;</li> <li>• providing a suitably stocked first-aid box;</li> <li>• providing additional first-aid equipment;</li> <li>• precise location of first-aid equipment;</li> <li>• providing a first-aid room;</li> <li>• informing the emergency services of specific hazards etc in advance.</li> </ul>

Factor to consider	Space for notes	Impact on first-aid provision
<p>Do your work activities involve special hazards such as hydrofluoric acid or confined spaces? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>		<p>You should consider:</p> <ul style="list-style-type: none"> <li>• providing first-aiders;</li> <li>• additional training for first-aiders to deal with injuries resulting from special hazards;</li> <li>• additional first-aid equipment;</li> <li>• precise location of first-aid equipment;</li> <li>• providing a first-aid room;</li> <li>• informing the emergency services of specific hazards etc in advance.</li> </ul>
Employees		
<p>How many people are employed on site?  No of employees 63</p>	<p>There are 63 employees including Catering and Facilities Management. This does not include those Staff employed in the Nursery wing of the school building.</p>	<p>Where there are small numbers of employees, the minimum provision is:</p> <ul style="list-style-type: none"> <li>• an appointed person to take charge of first-aid arrangements;</li> <li>• a suitably stocked first-aid box.</li> </ul> <p>Where there are large numbers of employees, ie more than 25, even in low-hazard environments, you should consider providing:</p> <ul style="list-style-type: none"> <li>• first-aiders;</li> <li>• additional first-aid equipment;</li> <li>• a first-aid room.</li> </ul>
<p>Are there inexperienced workers on site, or employees with disabilities or particular health problems? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>Employees and school pupils can have a range of health related issues.</p>	<p>You should consider:</p> <ul style="list-style-type: none"> <li>• additional training for first-aiders;</li> <li>• additional first-aid equipment;</li> <li>• local siting of first-aid equipment.</li> </ul> <p>Your first-aid provision should cover any work experience trainees.</p>
Accidents and ill-health record		
<p>What is your record of accidents and ill health? What injuries and illness have occurred and where did they happen?</p>	<p>While most incidents are relatively minor, major injuries such as broken bones or ill health attacks such as asthma and diabetes are possible and have occurred.</p>	<p>Ensure your first-aid provision will cater for the types of injuries and illnesses that have occurred in your workplace. Monitor accidents and ill health and review your first-aid provision as appropriate.</p>
Working arrangements		
<p>Do you have employees who travel a lot, work remotely or work alone? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>		<p>You should consider:</p> <ul style="list-style-type: none"> <li>• issuing personal first-aid kits;</li> <li>• issuing personal communicators/mobile phones to employees.</li> </ul>

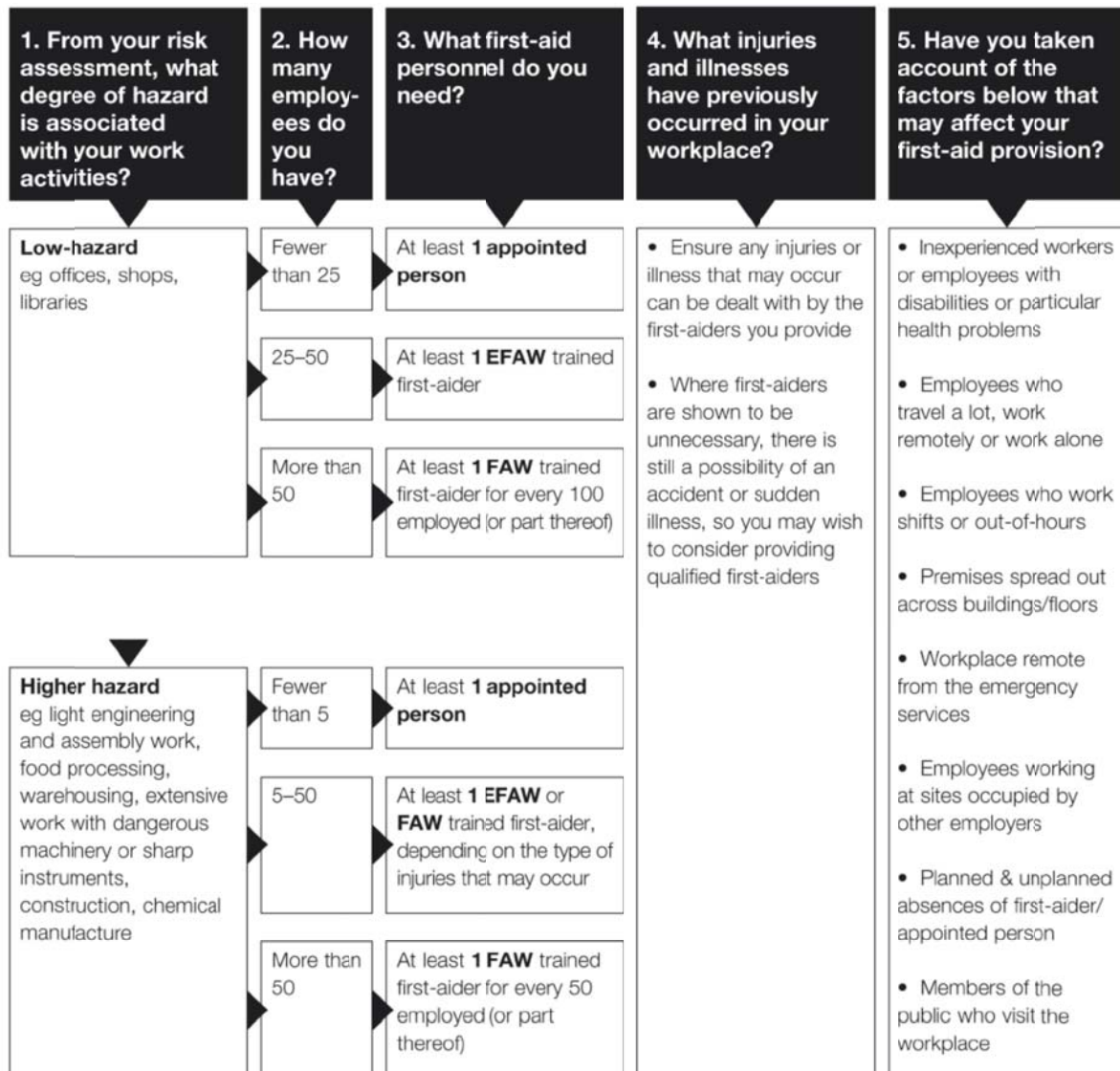
Factor to consider	Space for notes	Impact on first-aid provision
Do any of your employees work shifts or out-of-hours? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Facilities management employees can be on site out of hours or on their own when opening or locking up.	You should ensure there is adequate first-aid provision at all times people are at work.
Are the premises spread out, e.g. are there several buildings on the site or multi-floor buildings? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	The building has a Nursery which has its own first aid provision, the school operates over more than one floor however access to all areas of the building is good.	You should consider the need for provision in each building or on each floor.
Is your workplace remote from emergency medical services? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	No, the local Hospital with an A&E department is approximately 6 miles from the school via good roads.	You should: <ul style="list-style-type: none"> <li>inform the emergency services of your location;</li> <li>consider special arrangements with the emergency services;</li> <li>consider emergency transport requirements.</li> </ul>
Do any of your employees work at sites occupied by other employers? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		You should make arrangements with other site occupiers to ensure adequate provision of first aid. A written agreement between employers is strongly recommended.
Do you have sufficient provision to cover absences of first-aiders or appointed persons? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	No – There are currently no first aiders because the first aider has left and no one is willing to take on the role.	You should consider: <ul style="list-style-type: none"> <li>what cover is needed for annual leave and other planned absences;</li> <li>what cover is needed for unplanned and exceptional absences.</li> </ul>
Non-employees		
Do members of the public or non-employees visit your premises? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	There are approximately 450 plus pupils on the school roll. Some of the pupils have additional support needs in terms of medical issues including diabetes and epilepsy.	Under the Health and Safety (First-Aid) Regulations 1981, you have no legal duty to provide first aid for non-employees but HSE strongly recommends that you include them in your first-aid provision.

Based on the results of the checklist above the following requirement for First Aid Provision has been identified.

TYPE OF PROVISION	NUMBER REQUIRED	NAMES OR LOCATION
APPOINTED PERSON	1 (IF NOT THE DESIGNATED FIRST AIDER) TO CHECK FIRST AID BOXES ETC ON A REGULAR BASIS.	
FIRST AID BOXES	1 OR MORE DEPENDING ON CONTENTS.	
EMERGENCY FIRST AIDERS	2 (TO ASSIST FIRST AIDER TO TAKE CARE OF MINOR INJURIES, I.E. BUMPED HEADS AND GRAZED KNEES.)	CONSIDER HAVING FACILITIES MANAGEMENT AND OR CLEANING EMPLOYEES ALSO TRAINED.
FIRST AIDERS	1	
FIRST AID ROOM	1	MEDICAL ROOM



## APPENDIX 2

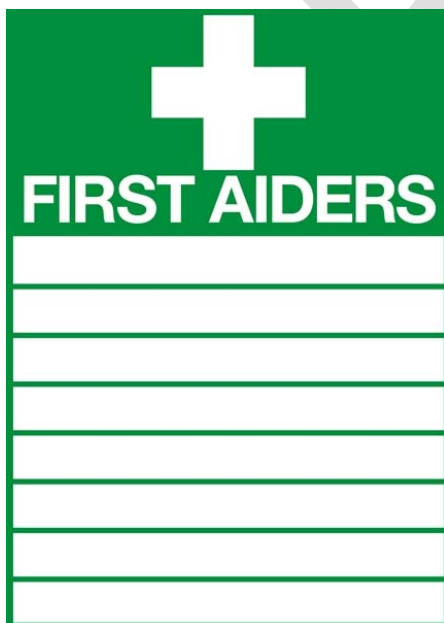


## APPENDIX 3

Checklist for evaluating the competence of first-aid training organisation

CHECK	YES	NO	NOTES
<b>Trainers/assessors</b>			
Do the trainers/assessors have a current FAW certificate or qualify for an exemption?			
Do the trainers/assessors have an appropriate training/assessing qualification?			
<b>Quality assurance</b>			
Is there a documented quality assurance plan designating an individual to take responsibility for quality assurance, including assessment of the performance of trainers/assessors at least annually?			
Does the designated person have a current FAW certificate or qualify for an exemption?			
Does the designated person have an assessing/verifying qualification?			
Is there a documented course evaluation procedure?			
Is there a documented complaints procedure?			
<b>Teaching currently accepted first-aid practice</b>			
Is FAW/EFAW taught in accordance with current guidelines on adult basic life support published by the Resuscitation Council (UK), and for other aspects of first aid, in accordance with current guidelines published by the Voluntary Aid Societies or other published guidelines that are supported by a responsible body of medical opinion?			
<b>Training syllabus</b>			
Does the course content adequately meet the needs of your workplace as indicated by your first-aid needs assessment?			
For FAW, does the syllabus include the topics listed in Appendix 1 and does the course include at least 18 training and assessment contact hours, over three days?			
For FAW requalification, does the syllabus include the topics listed in Appendix 1 and does the course last at least 12 training and assessment contact hours, over two days?			
For EFAW, does the syllabus include the topics listed in Appendix 2 and does the course last at least six training and assessment contact hours, over one day?			
For EFAW requalification, does the syllabus include the topics listed in Appendix 2 and does the course last at least six training and assessment contact hours, over one day?			
<b>Certificates</b>			
Do the certificates issued to students assessed as competent contain the name of the training organisation, the title of the qualification (eg FAW or EFAW), reference to the Health and Safety (First-Aid) Regulations 1981, the date of issue and confirmation the certificate is valid for three years?  (If training is neither FAW nor EFAW the certificate should also list the learning outcomes of the syllabus on which candidates have been assessed.)			

**APPENDIX 4**  
Sample First Aid Notices



---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>LP/132/16</b>
<b>Contact Officer:</b>	<b>Joanna Dagleish</b>	<b>Contact No:</b>	<b>01475 712123</b>
<b>Subject:</b>	<b>Contract Awards – 1 April 2016 to 30 September 2016</b>		

---

## **1.0 PURPOSE**

1.1 The purpose of this report is to advise the Committee of contracts awarded for the supply of goods or materials, provision of services and execution of works during the period 1 April 2016 to 30 September 2016.

## **2.0 SUMMARY**

2.1 The Policy & Resources Committee at the meeting held on 20 May 2014 agreed that six monthly reports on contract awards be submitted to the Committee by the Head of Legal & Property Services (min ref 2014 para 371(2)).

2.2 Appendix 1 provides details of contracts awarded for the period 1 April 2016 to 30 September 2016.

2.3 Appendix 1 has been updated to include details of the size of the supplier who has been awarded the contract.

2.4 Appendix 2 includes, for the period 1 April 2016 to 30 September 2016, the outcome of any blacklisting protocol applications.

## **3.0 RECOMMENDATION**

3.1 That the Committee note the contracts awarded by the Council during the period 1 April 2016 to 30 September 2016.

**Gerard Malone**  
**Head of Legal & Property Services**

## 4.0 BACKGROUND

4.1 The Policy & Resources Committee of 20 May 2014 agreed that six monthly reports on contract awards be submitted to the Committee by the Head of Legal & Property Services (min ref 2014 para 371(2)).

4.2 Appendix 1 provides details of those contracts not otherwise reported to the relevant committee awarded during the period 1 April 2016 to 30 September 2016 for:

- the supply of goods or materials where the estimated price of the contract exceeds £25,000 and within the £500,000 limit
- the provision of services where the estimated price of the contract exceeds £25,000 and within the £500,000 limit
- the execution of works where the estimated price of the contract exceeds £100,000 and within the £500,000 limit
- collaborative purchasing contracts secured through collaborative purchasing (in terms of Contract Standing Order Clause 6.6)

in accordance with the thresholds set out in Contract Standing Order 6.1 and the £500,000 limit set out in Contract Standing Order 17.3(i).

4.3 Appendix 2 provides the outcome of any blacklisting protocol applications during the period 1 April 2016 to 30 September 2016, as requested by the Committee at its meeting on 17 May 2016.

## 5.0 IMPLICATIONS

### Finance

5.1 There are no direct financial implications arising as a result of this report however the financial implications in respect of each of the contract awards detailed in Appendix 1 are reported to the appropriate service committee as necessary.

Financial Implications:

#### One off Costs

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

#### Annually Recurring Costs/ (Savings)

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

## **Legal**

- 5.2 There are no legal implications arising as a result of this report. Any legal implications in respect of each of the contract awards will be reported to the relevant service Committee.

## **Human Resources**

- 5.3 There are no direct human resources implications arising as a result of this report.

## **Equalities**

- 5.4 There are no direct equalities implications arising as a result of this report. In accordance with Contract Standing Order 18, however, no contract is awarded without the relevant Head of Service having obtained from the tenderer confirmation in writing that, to the best of the tenderer's knowledge and belief, the tenderer has complied with all statutory requirements relating to equal opportunities in employment and is not unlawfully discriminating within the meaning and scope of the Race Relations (Amendment) Act 2000 in relation to discrimination in employment and has obtained satisfactory information from the tenderer in relation to their statutory obligations under the Race Relations Act 1976 (as amended).

## **Repopulation**

- 5.5 While there are no direct repopulation implications arising as a result of this report many of the contracts awarded will enhance the area or facilities provided and operated by the Council which may help to stabilise and grow the population of Inverclyde.

## **6.0 CONSULTATIONS**

- 6.1 The Corporate Procurement Manager was consulted during the preparation of this report.

## **7.0 LIST OF BACKGROUND PAPERS**

- 7.1 None.

**CONTRACT AWARDS - 1 APRIL 2016 TO 30 SEPTEMBER 2016**

DATE OF AWARD	TITLE	NAME OF SUCCESSFUL TENDERER	LOCATION OF SUCCESSFUL TENDERER	CONTRACT AMOUNT	SME YES/NO	PROCUREMENT STRATEGY AIMS MET - YES/NO	CONTRACT LOTTED YES/NO
19-Apr-16	ENV0170 Mini Competition via Scotland Excel Framework 06:13 for the Supply and Delivery of Coated, Uncoated, Recycled Roadstone and Ready Mixed Concrete Lot 1: Coated Materials and Lot 2: Uncoated Materials	Tarmac Trading Ltd	Birmingham	Lot 1: Schedule of Rates; and Lot 2: Schedule of Rates	No	Yes	Yes
23-May-16	ENV0172 Proprietary Treatment of Carriageways for Inverclyde	Colas Ltd	Crawley, West Sussex	£448,121.94	No	Yes	No
23-May-16	ENV0173 Surface Dressing of Carriageways for Inverclyde	Kiely Bros Ltd	Birmingham	£175,589.10	Yes	Yes	No
30-May-16	CP0245/EDU On-line Payment for Schools via Scotland Excel Framework 21:13	Parentpay Ltd	Somerset	Schedule of Rates	Yes	Yes	No
03-Jun-16	PRO0567 Design and Build Combined Heat and Power Installation at Waterfront	Low Carbon Solutions	Co. Antrim, Northern Ireland	£195,396.00	Yes	Yes	No
07-Jun-16	ENV0177 Supply and Delivery of Back Raking Trash Screens	Aquatic Control Engineering Ltd	Retford, Nottinghamshire	£146,250.00	Yes	Yes	No
16-Jun-16	ENV0175 Mini Competition via Scotland Excel Framework for for the Treatment of Organic Waste Lot 2: Garden Waste	G P Plantscape Ltd	Lanark	Schedule of Rates	Yes	Yes	No
16-Jun-16	ENV0176 Mini Competition via Scotland Excel Framework for the Treatment of Shredded, Non-Shredded Recycling of Mixed Wood Comprising Wood, MDF and Chipboard Lot 22	Lowmac Alloys Ltd	Irvine	Schedule of Rates	Yes	Yes	No
25-Jul-16	CP0212/HSCP Provision of a Housing Information & Advice Service	Legal Services Agency Ltd	Glasgow	£55,000.00	Yes	Yes	No
06-Sep-16	PRO0594 Measured Term Contract for Bitumen McAdam Repairs 2016-18	MacAsphalt Ltd	Paisley	Schedule of Rates	No	Yes	No
06-Sep-16	CP0248/EDU Mini Competition via Scotland Excel Framework for Full Office Furniture Kit Out Lot 1 and Lot 2	Sharp Business Systems UK Ltd	Ayr	Lot 1: £49,187.21 and Lot 2: £16,629.55	Yes	Yes	Yes
07-Sep-16	PRO0463 Measured Term Contract for Fire Fighting Maintenance 2016-18	M & S Fire Protection (Glasgow) Ltd	Glasgow	Schedule of Rates	Yes	Yes	No
07-Sep-16	CP0246/EDU Inspection, Servicing and Testing of Wood Dust Extraction Systems, Technical Equipment and Fume Cupboards Lot 1 and Lot 2	Active Energy Solutions Ltd	Glasgow	Lot 1: £24,580.69 and Lot 2: £4,530.00	Yes	Yes	Yes
16-Sep-16	ENV0195 Framework Agreement for the Provision of Minor Road Maintenance Works for Kerbs, Drainage and Safety Barriers	W I & A Gilbert; Highway Barrier Solutions; Newmac Asphalt Services Ltd; MacAsphalt; and Newlay Civil	Dalry; Shotts; Paisley; Paisley; and Airdrie	Schedule of Rates	All SME apart from MacAsphalt	Yes	No
16-Sep-16	CP0249/ENV Mini Competition via Scotland Excel Framework for the Supply, Delivery and Installation of LED Touchscreen Stands	SSUK Ltd	Glasgow	£58,119.00	Yes	Yes	No
19-Sep-16	PRO0595 Measured Term Contract for Glazing Repairs 2016-18	Colin Jackson t/a Jackson Glaziers	Greenock	Schedule of Rates	Yes	Yes	No

23-Sep-16	PRO0462 Measured Term Contract for General Builderswork 2016-18	Paul McLaughlan t/a McNellis & McLaughlan	Greenock	Schedule of Rates	Yes	Yes	No
23-Sep-16	PRO599 Lady Alice PS Provision of Temporary Accommodation for Nursery	W H Kirkwood Ltd	Greenock	£150,750.98	Yes	Yes	No
23-Sep-16	PRO 0599 Moorfoot PS Provision of Temporary Accommodation for Nursery	W H Kirkwood Ltd	Greenock	£166,481.50	Yes	Yes	No
27-Sep-16	ENV0183 Carraigeway Resurfacing B7054 Dunlop Street, Greenock	Hillhouse Quarry Group Ltd	Troon, Ayrshire	£66,533.71	Yes	Yes	No





---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>LP/144/16</b>
<b>Contact Officer:</b>	<b>Rona McGhee</b>	<b>Contact No:</b>	<b>01475 712113</b>
<b>Subject:</b>	<b>Sustainable Procurement Policy – Supporting the Local Economy and SMEs: Remit from Environment &amp; Regeneration Committee</b>		

---

## **1.0 PURPOSE**

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

## **2.0 SUMMARY**

- 2.1 The Environment & Regeneration Committee at its meeting on 27 October 2016 considered a report by the Corporate Director Environment, Regeneration & Resources requesting the Committee to note the proposal to implement the Sustainable Procurement Policy attached to the report and to note the proposed increase in the percentage weighting attributed to Community Benefits in a future tender exercise.
- 2.2 A copy of the report to the Environment & Regeneration Committee is attached as Appendix 1. This provides background information, details of the proposals and information on the implications.
- 2.3 The Committee decided to note the sustainable procurement policy attached to the report and to note the proposal to complete a pilot tender where a 10% weighting for Community Benefits would be used and that both proposals be remitted to the Policy & Resources Committee for approval.

## **3.0 RECOMMENDATION**

- 3.1 The Committee is asked to consider the remit from the Environment & Regeneration Committee.

**Gerard Malone**  
**Head of Legal & Property Services**

---

<b>Report To:</b>	<b>Environment and Regeneration Committee</b>	<b>Date:</b>	<b>27 October 2016</b>
<b>Report By:</b>	<b>Corporate Director, Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>E+R/16/10/01/SJ/BH</b>
<b>Contact Officer:</b>	<b>Stuart Jamieson</b>	<b>Contact No:</b>	<b>01475 712402</b>
<b>Subject:</b>	<b>Sustainable Procurement Policy – Supporting The Local Economy and SMEs</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of the report is to allow the Committee to note the proposal to implement the attached Sustainable Procurement Policy and note the proposed increase in the percentage weighting attributed to Community Benefits in a future tender exercise.

## **2.0 SUMMARY**

- 2.1 The Council approved changes to the Contract Standing Orders in September. These changes included several updates related to sustainable procurement. These changes followed recent policies being approved on Fair Working Practices in relation to procurement and an older policy dealing with community benefits in procurement. The Procurement Strategy also contains an action to review the Council's approach to community benefits in procurement.
- 2.2 The proposed Sustainable Procurement Policy (Appendix 1) attempts to converge all policies in relation to sustainable procurement into one document. The attached policy should serve to give more details on how the Council will deal with the lotting of contracts and with the increase in the quotation threshold for works contracts but more generally how the Council will work to support the local economy and SMEs.
- 2.3 The November 2012 Policy and Resources Committee approved the use of a 5% weighting being attributed to Community Benefits within the Council's construction tenders. Since then these contracts have delivered a significant number of jobs. The Community Benefits Policy within the Sustainable Procurement Policy is intended to detail the definition and aims of Community Benefits. The policy does not as yet stipulate how officers will use community benefits in practice as this process should be reviewed in light of recent changes to the procurement regulations and collaborative work on community benefits that has been established as best practice via City Deal.
- 2.4 Officers have reviewed the success of the current use of a 5% weighting used to assess tenderers' approach to community benefits and believe there is merit in increasing the percentage. A trial of a 10% weighting within a future tender would give officers and Members the opportunity to review such an increase. It is therefore proposed that a future tender is used to test and pilot the use of a 10% weighting to assess tenderers' approach to community benefits with a report on the outcome and proposed future process to be reported to the Policy and Resources Committee. More detail on Community Benefits are given in section 5 of this report.
- 2.5 As detailed within Procurement Update to the September Policy and Resources Committee, the Council spend with SMEs was 54% in 2015/16 and 33.5% with local suppliers. The Sustainable Procurement Policy will assist in improving these figures.

### **3.0 RECOMMENDATIONS**

- 3.1 The Committee is asked to note the attached Sustainable Procurement Policy and note the proposal to complete a pilot tender where a 10% weighting for Community Benefits would be used. It is intended that both proposals are remitted to the Policy and Resources Committee for approval.

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

## **4.0 BACKGROUND**

- 4.1 The Council approved changes to the Contract Standing Orders in September. These changes included several updates related to sustainable procurement. These changes followed recent policies being approved on Fair Working Practices in relation to procurement and an older policy dealing with community benefits in procurement. The Procurement Strategy also contains an action to review the Council's approach to community benefits in procurement.
- 4.2 The November 2012 Policy and Resources Committee approved the use of a 5% weighting being attributed to Community Benefits within the Council's construction tenders. Since then these contracts have delivered a significant number of jobs. The Community Benefits Policy within the Sustainable Procurement Policy is intended to detail the definition and aims of Community Benefits.
- 4.3 As detailed within the Procurement Update to the September Policy and Resources Committee, the Council spend with SMEs was 54% in 2015/16 and 33.5% with local suppliers.

## **5.0 PROPOSALS**

- 5.1 The proposed Sustainable Procurement Policy attempts to converge all policies in relation to sustainable procurement into one document. The attached policy should serve to give more details on how the Council will deal with the lotting of contracts and with the increase in the quotation threshold for works contracts but more generally how the Council will work to support the local economy and SMEs. The Sustainable Procurement Policy will assist in improving spend with local and SME suppliers.
- 5.2 Officers have reviewed the success of the current use of a 5% weighting used to assess tenderers' approach to community benefits and believe there is merit in increasing the percentage. A trial of a 10% weighting within a future tender would give officers and Members the opportunity to review such an increase. It is therefore proposed that a future tender is used to test and pilot the use of a 10% weighting to assess tenderers' approach to community benefits.
- 5.3 The proposed Community Benefits Policy states that community benefit clauses are contractual clauses that create requirements which deliver wider benefits in addition to the core purpose of the contract. These benefits include: Targeted Employment and Training Initiatives, Educational Support Initiatives, Supply Chain Development Activity, Vocational Training, Community, Corporate Social Responsibility (CSR) and Environmental Initiatives, Supported Business, Third Sector and Voluntary Sector Initiatives, Equality and Diversity Initiatives. Previous tenders have concentrated suppliers approach to Targeted Employment and Training. It is proposed that these other benefits are assessed as part of a future tender, as a pilot, of a 10% weighted question. The results of this exercise would be brought back to a future Policy and Resources Committee to assess the benefits and assist in the decision on further use of a 10% weighted question.
- 5.4 The Council's latest spend figures with SMEs and local suppliers compare well with other Local Authorities. However, it is recognised that more can be done to support SMEs and the local economy. Appendix 3 of the attached policy details the existing policies and processes that the Council is using to improve this area but also how quotations and lotting contracts will be used to improve the chances for SMEs and local suppliers to bid for Council contracts. Officers from the services will work with Economic Development and Procurement colleagues to ensure that gaps or capacity constraints in the supplier market for certain types of work are recorded and that these opportunities are progressed with Economic Development colleagues.

## 6.0 IMPLICATIONS

### 6.1 Finance

One off Costs

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

Annually Recurring Costs/(Savings)

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

### 6.2 Legal

Legal Services have been consulted on the content of this report and have commented as follows:-

This Sustainable Procurement Policy assists the Council to meet the Sustainable Procurement Duty under new National and European Procurement laws.

The Quotations Policy supports the Council's objective of the economic regeneration of Inverclyde. There is a risk of an equal treatment or discrimination challenge, however, this has been assessed as low. Open and competitive tendering would eliminate this risk however, the work involved in the tendering process would be disproportionate at this level of spend. Therefore, obtaining quotes as set out in this Policy carries an acceptable level of risk.

### 6.3 Human Resources

None

### 6.4 Equalities

None

### 6.5 Repopulation

This Policy and associated work will have a positive impact on the Council's repopulation agenda.

## 7.0 LIST OF BACKGROUND PAPERS

7.1 None

# Inverclyde Council

## Sustainable Procurement Policy

### 1. Introduction - What is sustainable Procurement duty?

- 1.1 The sustainable procurement duty requires the Council, at the outset of any procurement exercise, to think about how it can improve the social, environmental and economic wellbeing of the Inverclyde Council area, with a particular focus on reducing inequality. It also requires the Council to consider how its procurement processes can facilitate the involvement of SMEs, third sector bodies and supported business and how public procurement can be used to promote innovation.
- 1.2 When procuring goods and services, the Council should take account not only of cost and quality, but also environmental, economic and social factors, where relevant to the goods, services or works being procured.
- 1.3 This may necessitate an analysis of products and how they are made, where they have come from and who has made them. Aspects such as design, manufacturing materials, operation costs, energy consumption, waste and recycling options should also be considered to determine how they support a sustainable approach.
- 1.4 Such considerations should then be combined in a way that seeks to ensure the least adverse impact on society and its environment throughout the full life cycle of the goods, services or works purchased.

### 2. Legal Obligations

- 2.1 The National Procurement Rules require that prior to procuring any contract for the supply of goods or materials or for the provision of services equal to or greater than £50,000 or procuring any contract for the execution of works equal to or greater than £2million, the Council must, in line with the sustainable procurement duty consider:
  - (i) how its actions can improve the social, environmental and economic wellbeing of the Inverclyde Council area, focusing particularly on inequality and then procure in a manner which secures those identified improvements; and
  - (ii) seek to facilitate the involvement of SMEs, third sector bodies and supported businesses and support innovation in its procurement processes.

### 2.2 In this clause 2, the following expressions shall mean the following:

“SMEs” also “small and medium enterprises” means businesses with not more than 250 employees,

“third sector bodies” means organisations (other than bodies established under an enactment) that exist wholly or mainly to provide benefits for society or the environment and;

“wellbeing” includes, in particular, reducing inequality in the Inverclyde Council area.

2.3 The sustainable procurement duty should be applied to all regulated procurements in a proportionate way.

### 3. **Policy Aims**

3.1 The Council aims to embed sustainable procurement considerations into all spending decisions to ensure more sustainable choices. More sustainable ways of meeting requirements will require to be identified and procurement specifications will require to be redesigned accordingly.

3.2 As a matter of good practice, sustainability should be built in at the earliest stages of the Procurement Journey, when requirements are being identified and specified. The sustainability guidance checklist and toolkit provided by the Scottish Government should be used to identify the potential social, economic and environmental impact of any good, service or works requirement

3.3 The impact of the proposed procurement process should also be considered. Sustainable procurement requirements may affect the direction of the procurement exercise and influence the options available.

3.4 When evaluating tenders, sustainability considerations must be relevant and proportionate to the requirement being procurement.

### 4. **Examples of specific Policy Aims –**

#### 4.1 Community Benefits – The Council will

- Consider at an early stage of a procurement exercise, the impact our procurement activities could have on the local community.
- encourage a positive contribution through our procurement activities and suppliers to the local communities in which they work on our behalf;
- explore opportunities for further developing initiatives that deliver specific community benefits.

The Council's current Community Benefits policy is attached in Appendix 1.

#### 4.2 Workplace

- Promotion of Fair Employment Practices - The Council will ensure that Equal Opportunity in Employment and Race Relations are considered in all tender exercises.
- Promotion of Workforce Welfare - The Council's programme of procurement reform will seek to ensure that wherever appropriate, our contract terms will require suppliers to make provision for the welfare of their workforce.

The Council's Fair Work Practices Policy is attached in Appendix 2.

#### 4.3 Environment



- Promote greater Environmental Sustainability through procurement;
- Continue our commitment to ensure that environmental issues are proactively addressed in all appropriate aspects of the procurement process and monitor our progress in this area;
- Seek to reduce waste through reviewing the amount and type of materials purchased and by exploring opportunities to purchase refurbished, recycled/recyclable equipment, products & materials;
- Source green energy wherever possible and adopt appropriate energy management measures across all relevant Council sites;
- Seek to ensure that goods purchased by the Council are derived from natural sources where appropriate and do not have an adverse effect on the environment and furthermore comply with EU and international trading rules;
- Purchase fair-trade food and drink where practicable;
- Ensure that vehicles purchased have low emissions of local air pollutants and climate change gases, and take account of the need to minimise emissions and exposure to air pollution when purchasing goods and services where this is a relevant factor;
- Examine the environmental management practices of our current and potential suppliers where appropriate.

#### 4.4 Marketplace

- Encourage a Diverse Base of Suppliers: The Council will
  - continue to support supplier diversity by lotting contracts where the Council considers it appropriate to the contract to give SMEs the opportunity to bid for contracts;  
  
The Council's 'Approach to Lotting contracts and Quotations' is attached in Appendix 3;
  - explore opportunities for working with voluntary and community sector organisations in the supply and delivery of services.
  - continue to review and improve the Council's procurement processes promoting transparency and ensuring opportunities are open to the whole of the supplier community.
- Ethical Sourcing Practices: The Council will, where appropriate,
  - continue its commitment to sourcing Fair Trade Goods;
  - seek to ensure that Conditions of Contract enhance health & safety and equalities.

- encourage ethical sourcing practices amongst suppliers, partner organisations and the broader market.

**5. Implementation and Monitoring**

- 5.1 Delivery of the commitments made in this Policy will be supported through the implementation of the Council's Procurement Strategy. Progress against the stated objectives and targets will be reported on an annual basis.

Appendix 1

## **Community Benefits Policy**

### **Background**

This Community Benefits Policy has been developed to align with the City Deal Procurement Strategy and the City Deal local authorities' existing approaches to delivery of Community Benefits within their contracts.

Community benefits will contribute towards improvements in economic, social and environmental issues, supporting the sustainable development of the economy within Inverclyde.

Community benefits will be incorporated in Inverclyde Council contracts providing a clear direction of the key socio-economic priorities and issues to be addressed in the Inverclyde area at the time of the contract.

### **What this strategy aims to achieve**

- A joined up approach to implementation and monitoring of community benefits, ensuring maximum value for the procurement spend in Inverclyde.
- Provide a framework which ensures the inclusion of realistic and achievable community benefit contractual clauses in all applicable Inverclyde Council contracts.
- Ensure compliance within legislative framework when incorporating community benefits into the contracts and agreements. The core procurement principles of transparency, proportionality, equality and non-discrimination set out within the Public Contracts (Scotland) Regulations 2015 still apply. Community Benefits must be relevant to the subject matter of the contract.
- Through guidance and the application of agreed approaches, deliver real and lasting benefits to our stakeholders.

### **Community Benefit Definitions**

Community Benefit clauses are contractual requirements which deliver wider benefits in addition to the core purpose of the contract. These clauses can be used to build a range of social, economic or environmental conditions into the delivery of council contracts.

Community benefits which will be targeted for delivery include, but are not restricted to, delivery of the following:

- Targeted Employment and Training Initiatives
- Educational Support Initiatives
- Supply Chain Development Activity
- Vocational Training
- Community, Corporate Social Responsibility
- (CSR) and Environmental Initiatives
- Supported Business, Third Sector and Voluntary Sector Initiatives
- Equality and Diversity Initiatives

Community benefits can be incorporated into contracts in two ways:

### **1. Contractual**

All contractual community benefits form part of the contract and suppliers have a contractual obligation to deliver these commitments. Appropriate contract conditions will be included to provide a remedy for failure to deliver contractual community benefits.

Contractual community benefits can be incorporated in the following ways:

- Evaluated

Community benefit proposals are assessed as part of the tender evaluation using Community Benefit criterion.

- Mandatory

These may be delivered in 2 ways.

1. Community benefit proposals will be offered by the supplier but will not be assessed under Community Benefit criterion as part of tender evaluation.

2. Specific requirements may be stipulated within the specification, e.g. advertising sub contracting opportunities.

### **2. Voluntary**

Voluntary community benefits may be offered from a supplier, typically post award but will not form part of their contractual obligations to deliver. Voluntary community benefits cannot form part of considerations at tender evaluation stage.

#### **Aim**

Set out clear responsibilities for regular monitoring and reporting of the achievement and outcome of community benefits for Inverclyde Council. We will undertake effective contract and supplier management, as this is critical to ensuring the potential benefits from contractor commitments are realised.

This monitoring will be reported on a regular basis to capture additional opportunities and identify common issues. This will be utilised to inform future requirements, ensuring Inverclyde Council provides sustainable community benefit outcomes.

#### **How will we do this?**

- Achievement against community benefit commitments should be reported as part of contract and supplier management conducted by contract owners, on a regular basis to the Environment and Regeneration Committee.
- Provide employer support post contract award to ensure smooth delivery aligned to key priorities.
- Provide regular case studies to highlight and promote the benefits being achieved.
- Develop a guidance note for suppliers that explain the commitments and the ethos of this Community Benefits Strategy and encourages a proactive approach. This guidance note will identify employability partners, relevant agencies and wider support available who can assist in the delivery of community benefits;
- Develop a guidance note to support officers in implementing the commitments within this Community Benefits Strategy in a consistent manner. This will include suggested evaluation criteria weightings and benchmark community benefit outcomes which

## APPENDIX 1

take cognisance of value and disciplines within the contract. This guidance note will also provide an evaluation model and monitoring & reporting tools;

- Provide standard contractual clauses;
- In consultation with key stakeholders, create a menu of community benefits;
- Develop a monitoring and reporting framework.

Appendix 2

**Fair Working Practices Policy**

**Background**

1. The Scottish Government advised in a Policy Note dated 22 August 2012 on Living Wage through Procurement that the European Commission had clarified that public bodies are unable to make payment of the Living Wage a mandatory requirement as part of a competitive procurement process. It is therefore not possible to reserve any element of the overall tender score solely to the payment of a Living Wage. Present Council policy is that we encourage and request suppliers pay the Living Wage but in line with EC Legislation this is not a mandatory requirement in the Council's tenders or contracts.
2. This position has been reaffirmed in the Scottish Government's latest Policy Note (1/2015) dated 4 February 2015 on how and when workforce matters, including payment of the Living Wage, should be considered in the course of a public procurement exercise. However, the Scottish Government has stated it is possible to encourage suppliers to pay a living wage as part of a procurement exercise when contained within a question on workforce matters. The Scottish Government has recently successfully piloted this approach in a tender exercise. This latest Policy Note has been issued in advance of statutory guidance to be issued by Scottish Ministers regarding the selection of tenderers and award of contracts including payment of the living wage. This statutory guidance is expected in the autumn of 2015 and therefore may result in the proposals contained in this report being amended.
3. The Policy Note also confirms that any decision to include a question on 'workforce matters' in a tender exercise should be made on a case by case basis and the question should be framed in a way that is consistent with the principles deriving from the Treaty on the Functioning of the European Union: transparency, equal treatment, non-discrimination, proportionality and mutual recognition.
4. To bring our existing policy into line with this latest Scottish Government Policy Note: Evaluating Workforce Matters in Public Contracts, Inverclyde Council has the opportunity as part of the quality evaluation of a tender to include criterion for workforce matters, including the Living Wage, where workforce is relevant to the subject matter of the contract and quality of the service delivery, goods supplied or delivery of the contract. This element of the evaluation must also be proportionate to the scale of any proposed contract.

**Our Agreed Policy**

5. Whilst the Policy Note states that any decision to include a question on 'workforce matters' in a tender exercise should be made on a case by case basis, it is appropriate to provide officers with guidance on the operation of this policy. The Policy and Resources Committee agreed in May 2015 that the following become a standard maximum weighting for workforce matters for each category of contract.:

Social Care Contracts - Maximum 25% of total quality weighting;  
Construction Contracts – 5% maximum of the total available 100%;  
Corporate Services and Waste Contracts – Maximum 25% of total quality weighting.

6. The Contract Standing Orders dictate that the balance between quality and cost must not fall below 60/40, where 60 represents cost and 40 represents quality. Starting from this position, a 40% overall quality weighting is available as a maximum to be used when splitting weighted questions to ascertain the quality of a bid. Any increase in the quality percentage beyond 40% requires justification and Committee approval.

7. In any contract there will be the option to address workforce matters as part of the available quality weighting. However, it is also essential to assess other aspects of the bidder's quality and ability to provide the service which has been specified. The bidder's approach to the contract in general terms should be assessed, their training of staff for the duration of the contract, their ability to mobilise in time for the contract start, their ethos in relation to the service being tendered and more importantly in the case of Social Care, their approach to client profiles should carry some percentage of the weighted quality questions available.

**Position on Each Service Area**

8. Construction contracts are primarily conducted using a pre-qualification questionnaire with a selection of bidders then proceeding to price the tender. A question on community benefits is the only weighted question that is included at the tender stage at present and this carries a maximum weighting of 5% in line with Council Policy. Construction contracts do not require a substantial quality weighting as the specifications and PQQ determine the quality of work and minimum criteria for suppliers. The proposal for workforce matters in construction tenders is that a separate quality question(s) on workforce matters should be included and that this will have maximum weight of 5%. Both questions together would then carry a maximum quality weighting of 10% with price making up 90%. The justification for this is that Staffing costs are not the largest cost in construction compared to materials, hire of heavy vehicles etc. Those likely to benefit are lower numbers of young workers, unskilled labourers and apprentices at a relatively minor additional cost. The lower proportionate labour cost and volume of staff that would benefit, in comparison to Social Care for example, justifies a maximum weighting of 5%.
9. The Council has several Corporate goods and services contracts. However, most of these are now tendered by Scotland Excel or by Procurement Scotland. These bodies will follow the Scottish Government Guidance. There are still a few contracts that are tendered by the Council and workforce matters form an element of the quality of service eg. Debt Recovery. Whilst the labour cost can form a sizeable portion of the total contract cost these are not as high as in some social care contracts. However, the same evaluation principles apply with a 40% maximum weighting being available for quality.
10. Typically Corporate contract tenders are carried out on the basis of 80% price and 20% quality. It is proposed that this type of tender carries a maximum weighting of 25% for workforce matters from the overall total quality weighting. This recognises the importance of workforce matters for these contracts and gives the opportunity to increase the work force matters % in proportion to the overall increase where there is a requirement for a greater overall quality weighting.

### **Example Workforce Matters Weighted Question**

Inverclyde Council is persuaded by evidence which shows that the delivery of high quality public services is critically dependent on a workforce that is well-motivated, well led and has appropriate opportunities for training and skills development. These factors are also important for workforce recruitment and retention, and thus continuity of service. Inverclyde itself has adopted workforce policies to meet these requirements. These policies include:

a pay policy that is focused on tackling poverty (e.g. through a commitment to paying at least the living wage),

(NB this is different wording from the SPPN)

fair employment practices;

clear managerial responsibility to nurture talent and help individuals fulfil their potential;

a strong commitment to Modern Apprenticeships and to the development of Scotland's young workforce;

support for learning and development;

no inappropriate use of zero hours contracts;

no inappropriate use of "umbrella" companies

flexible working;

career breaks.

Inverclyde Council also attaches importance to ensuring effective consultation and involvement of staff and Scottish Government management work in partnership with the trade union. While it is, of course, a personal decision whether or not to join a Trade Union, Inverclyde Council encourages its staff to join an appropriate Union and to play an active part within it, making sure their views are represented.

In order to ensure the highest standards of service quality in this contract we expect contractors whose workers work alongside ours to take a similarly positive approach to workforce-related matters as part of a fair and equitable employment and reward package.

### ***Workforce Matters (5%\*)***

Q - Please describe how your organisation proposes to commit to being a best practice employer in this respect in the delivery of this contract.

Answers need not be constrained to or be reflective of any of examples given alongside this question.

Good answers will reassure evaluators that your company takes the engagement and empowerment of workers seriously; takes a positive approach to rewarding workers at a level that can help tackle poverty (e.g. through a commitment to paying at least the living wage), adopts fair employment practices, provides skills and training which help workers fulfil their potential, that you do not exploit workers (e.g. in relation to matters such as the

In-appropriate use of zero hours contracts or "umbrella" companies); and that your company will demonstrate organisational integrity with regards to the delivery of those policies, including having arrangements in place to ensure effective employee representation. This reassurance



should be achieved by providing tangible and measurable examples that can be monitored and reported during contract management procedures.

### Worked Example

As it stands at the moment if we take the 5% maximum as the weighting for a workforce matters question in relation to a construction tender then for the purposes of an example the question above will be worth 5%.

That being the case if we test this with scenario 1 (tenderer 1) where a tenderer states that they do pay the Living Wage and scenario 2 (tenderer 2) where a tenderer states they do not pay the living wage, this is how things could turn out

#### **Tenderer 1**

We can't commit to paying the Living Wage to all employees on this contract, however we do have and support the following

- fair employment practices;
- clear managerial responsibility to nurture talent and help individuals fulfil their potential;
- a strong commitment to Modern Apprenticeships and to the development of Scotland's young workforce;
- flexible working;
- career breaks.
- support for learning and development; we do not use zero hours contracts;
- we do not operate inappropriate use of "umbrella" companies

#### **Tenderer 2**

We can commit to paying the Living Wage to all employees on this contract, and we do have and support the following

- fair employment practices;
- clear managerial responsibility to nurture talent and help individuals fulfil their potential;

- a strong commitment to Modern Apprenticeships and to the development of Scotland's young workforce;
- flexible working;
- career breaks.
- support for learning and development; we do not use zero hours contracts;
- we do not operate inappropriate use of "umbrella" companies

Possible evaluation outcome

Simply answering "no" to the Living Wage will not mean they get fewer marks as a standalone criteria because the Council's approach is to assess the bidder's overall approach to tackling poverty.

If they answer "no" to the Living Wage but then state that they are for example providing other benefits to employees such as pension, enhanced healthcare, access to before tax benefits such as child care vouchers etc. then they will get credit for this. The marks given would be the maximum available when it can be demonstrated that the overall benefits clearly address the tackling of poverty in the same way as the Living Wage [and are thus equivalent to or better than the living wage].

These equivalent benefits would not require to be assessed as an equivalent wage value. However, to avoid subjectivity, the evaluation team should in advance of issuing the tender detail for their own purposes the number of benefits that would tackle poverty and gain marks in the evaluation of workforce matters. A clear case of not providing any benefits at all as well as not paying the Living Wage would demonstrate that the tenderer should not be attributed with any credit for that element of the question.

The avoidance of possible accusations of the Living Wage having a sub criteria weighting would also be dealt with by marking the entire question on a range of 0 to 5 for all 9 elements. As follows

- 0- no answers or evidence completed
- 1- 2 to 3 elements addressed
- 2- 3 to 5 elements addressed
- 3- 4 to 6 elements addressed
- 4- 6 to 8 elements addressed
- 5- All elements addressed

## APPENDIX 1

Therefore in the example given, Tenderer 1 would get 4 marks and Tenderer 2, 5 marks. This would lead to percentage scores of 4% and 5% respectively. In order for Tenderer 1 to get 5 marks they would have to have demonstrated that they were tackling poverty by detailing other benefits than they were giving to staff

## **Appendix 3**

### **Supporting the Local Economy and SMEs,**

#### **Background**

1. The Council agreed to change the Contract Standing Orders in September 2016. These changes included that works contracts were excluded from the requirement to tender where the estimated contract value is below £100,000. This exclusion previously had a threshold of £50,000.
2. The reason for this change was to represent the scale between the EU threshold for works contracts at over £4 million and that of Goods and Services at over £160,000. This also represented an opportunity to increase the chances for SMEs and Local suppliers to win Council contracts.
3. Changes were also made to the Contract Standing Orders to include obligations under the European laws with respect to lotting contracts. These laws dictate that, where the decision is taken not to award in the form of separate lots the main reason(s) for this must be explained in the contract documents. The practice of lotting contracts is already being carried out at Inverclyde Council, at both European and National contract threshold levels and this policy looks to formalise the process.
4. Further changes were also made to reflect that the Council can restrict participation in a tendering procedure to providers operating supported businesses, supported employment programmes or supported factories where more than 30% of the workers are disabled or disadvantaged persons in accordance with the European Procurement Rules.

#### **Quotations Policy**

5. The increase in the threshold for works presents an opportunity to increase the chances of an SME or local supplier winning this business. Therefore it is proposed that all future quotations for works are carried out by inviting at least 2 Local suppliers (where 2 local suppliers can be found) and at least 1 other SME from the minimum of 4 suppliers who are invited to bid.
6. Suppliers should be suitably qualified to carry out the work and carry the correct accreditations appropriate to the works. The procuring service will find suppliers using the public contracts Scotland search facility. It is therefore important that all suppliers are registered for public contracts Scotland and assistance is available from Economic Development and procurement colleagues for suppliers wishing to register.
7. There are no 'Large' suppliers within Inverclyde and therefore the 2 Local suppliers will also be SMEs. Where there are no Local Suppliers for the type of contract officers should invite other SMEs from out with the area to bid.
8. Where 2 local Suppliers can be found to bid, this gives a local supplier a 50% chance of winning the work. There will be a 75% chance of an SME winning the work where there are 4 suppliers chosen to quote.
9. When there are repeating contracts being procured of a similar nature, it will be appropriate to rotate the suppliers who are invited to bid. In these cases, the winner of the previous bid should be invited along with a new supplier who was not invited to quote

on the previous occasion. However, the make-up of the field of bidders should take precedence and not deviate from 2 local suppliers, 1 SME from out with Inverclyde and 1 'Large' supplier where this is possible.

10. Rotating suppliers and including a large supplier should ensure that best value is achieved. The results of quotations will be regularly tested by Corporate Procurement for all services to ensure that the process is achieving best value.
11. Contracts should not be disaggregated to achieve 2 or more contracts which would logically be tendered as one opportunity.
12. It is recognised that there is a lack of suppliers available in Inverclyde for most of the Goods and Services being procured via a quotation process. However, the same principles as described in terms of the make-up of the supplier field and rotation should apply where it is possible.

### **Lotting Policy**

13. The new procurement regulations dictate that, where the decision is taken not to award in the form of separate lots the main reason(s) for this must be explained in the contract documents for contracts above £4million. The Scottish National procurement regulations dictate that lotting must be considered between £2 million and £4million however, no justification is required within the contract notice if lots are not used. This legislation is aimed at ensuring that procurement strategies do not create unwanted barriers for smaller businesses.
14. Inverclyde Council have lotted contracts at all spend levels and will continue to do so. The possibility of lotting contracts should be considered at the procurement planning stage and there is no threshold of contract (for tenders) below which lotting should not be considered.

### **When to consider lotting**

15. Lotting might achieve a more competitive procurement, leading to improved value for money. A simple example might be a national contract where only two or three bidders can offer that full national service. However, splitting it into regional lots might bring into play many smaller suppliers who will vigorously compete at that regional level.
16. Lotting can stimulate the long term market for a product or service, with positive results for the buyer and the citizen. Too often, contracting authorities create "limited monopolies" by awarding large and often long-term contracts, which shut new suppliers out of the market and act against competition and innovation. Lots may well mean that more suppliers can win business, and that can lead to a more dynamic market with more innovation in the long run.
17. Lotting can spread the risk; a single large contract with one supplier has an inherent risk if that supplier under-performs or goes out of business. Splitting that contract and using multiple suppliers may (depending how the lotting is done) build more resilience into the system, with the possibility of other suppliers stepping in if one has issues.
18. Lotting can support social objectives, such as development of a diverse supply base, support for SMEs or local firms, as well as the innovation mentioned above. SMEs for example may find it impossible to bid credibly for a large or national contract; but they may be well placed to win one (or more) lots if the contract is dis-aggregated.

19. Lotting enables contracting authorities to experiment, to try different solutions and approaches. A single supplier will generally deliver in a single manner; multiple suppliers will have different approaches, and the user can examine which works best with obvious potential benefits.

### **When not to consider lotting**

20. Lotting can in some circumstances reduce competition (just as it can improve it). In a market dominated by large suppliers, splitting a requirement into small lots might make it unattractive to all or many of the players who might bid. Whilst the converse argument probably applies more often (i.e. lotting increases competition), it is important to understand that every market and situation is different and needs specific consideration.
21. The cost of contract management is also likely to be higher. Clearly, multiple suppliers are likely to need require more resource, time and effort to manage properly than a single provider.
22. Lotting can introduce costs and / or risks into the delivery phase of the contract. That may arise from technical inconsistencies; different suppliers using different software or equipment that means the overall service is not delivered seamlessly. In some instances it may be in the best interests of the Council to work within a single contractual relationship. The main contractor has sole responsibility for the project management of the multidisciplinary trades and would manage any potential time delays. This one to one responsibility means that the contractor is responsible for the rectification of defects and any cross liabilities which could arise between the various trades as well as delivery of the project within the tendered cost and within the tendered timescale.
23. Lotting may lose potential economies of scale and therefore value to the contracting authority. There is no doubt that in some markets (not all,), buying 1,000 units from one supplier will achieve better value than buying 100 from ten different firms. (Clearly, this is a balancing factor against the argument earlier around creating more competition in a market).

### **Other Initiatives to Assist Local Suppliers and SMEs**

24. Aside from the above, the Council regularly conduct meet the buyer events both locally within Inverclyde and in collaboration with other Local Authorities and public purchasing authorities.
25. Officers from Corporate Procurement regularly conduct meetings with suppliers in the form of debriefs on tender evaluation results, to inform new tender exercises and to conduct supplier management reviews.
26. The Council funds the Supplier Development Programme in conjunction with other Local Authorities. This programme gives opportunities to refer SMEs for training on tendering.
27. Local suppliers are paid in less than 20 days.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>LP/145/16</b>
<b>Contact Officer:</b>	<b>Rona McGhee</b>	<b>Contact No:</b>	<b>01475 712113</b>
<b>Subject:</b>	<b>Commercial &amp; Industrial Property Improvements – Remit from Environment &amp; Regeneration Committee</b>		

---

## **1.0 PURPOSE**

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

## **2.0 SUMMARY**

2.1 The Environment & Regeneration Committee at its meeting on 27 October 2016 considered a report by the Corporate Director Environment, Regeneration & Resources seeking authority to change part of the 2016/17 earmarked reserve for economic development from grant to direct intervention.

2.2 A copy of the report to the Environment & Regeneration Committee is attached as Appendix 1. This provides background information and information on the implications.

2.3 The Committee decided that it be agreed to change the intervention type from grant to direct intervention on up to £120,000 of the 2016/17 economic development earmarked reserve to facilitate lease opportunities and shopfront improvements as set out in the report and that the report be remitted to the Policy & Resources Committee for approval in relation to the two properties within the Common Good Fund.

## **3.0 RECOMMENDATION**

3.1 The Committee is asked to consider the remit from the Environment & Regeneration Committee.

**Gerard Malone**  
**Head of Legal & Property Services**

---

<b>Report To:</b>	<b>Environment &amp; Regeneration Committee</b>	<b>Date:</b>	<b>27 October 2016</b>
<b>Report By:</b>	<b>Corporate Director – Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>E+R/16/10/08/SJ</b>
<b>Contact Officer:</b>	<b>Stuart Jamieson</b>	<b>Contact No:</b>	<b>01475 712402</b>
<b>Subject:</b>	<b>Commercial and Industrial Property Improvements</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to seek authority to change part of the 2016/17 earmarked reserve for economic development from grant to direct intervention.

## **2.0 SUMMARY**

- 2.1 As part of the 2016/17 budget setting process £120,000 was allocated for shop front improvements within the £500,000 allocated for economic development interventions. A further allocation of £75,000 was made as part of the Town Centres initiative ear marked reserve.
- 2.2 Economic Development Officers have sought to promote this fund of monies however the economic climate and the requirement for match funding from the recipient has resulted in slower than expected uptake of the £120,000 allocation towards shopfront improvements.
- 2.3 A number of properties within the commercial and industrial property portfolio are currently not available for lease due to outstanding works.
- 2.4 Significant regeneration is taking place in the Broomhill area of Greenock, the Council has a number of shop units in Broomhill Way and whilst five are functional in appearance, through investment, they could be brought up to a more acceptable standard.
- 2.5 It is proposed to vary the intervention allocated to shopfront improvements to direct investment in seven commercial and industrial properties to improve the likelihood of attracting a lease opportunity, and for the Council to instruct works to five shopfronts in Broomhill in order to sustain their longer term viability.

## **3.0 RECOMMENDATION**

- 3.1 That the Committee agree to change the intervention type from grant to direct intervention on up to £120,000 of the 2016/17 economic development earmarked reserve to facilitate lease opportunities and shopfront improvements.



## 4.0 BACKGROUND

- 4.1 As part of the 2016/17 budget setting process part of an earmarked reserve was created to facilitate shopfront improvements within Inverclyde. This intervention complements the existing property improvement budget and was supplemented by the further allocation within the Town Centres earmarked reserve for shop front improvements.
- 4.2 Officers have marketed the available funds however the current economic climate, along with the requirement for match funding, has resulted in no uptake in the grant to date.
- 4.3 Significant investment is taking place in the Broomhill area of Greenock, in which the Council has a number of shop premises. Whilst the shopfronts on these premises are serviceable, replacement of them would reflect the significant improvement to the surrounding built environment. Despite direct marketing, the current lessees have no appetite to provide match funding for the improvements. It is therefore appropriate to consider direct intervention by the Council on its own premises for the better good of the urban environment.
- 4.4 Whilst the views of the current lessees would be taken into consideration, the design and appearance of the shopfronts would be reflective the functionality of any potential future uses. The allocation of up to £45,000 includes all design, statutory consents, shopfront replacement, signage and fascia upgrade at the rear of the premises
- 4.5 The Council has a number of Commercial and Industrial premises, both in the Common Good Fund and within the general account which are not currently available for lease due to them requiring works, often of a statutory nature, to make them lettable. The attached table identifies seven such premises which officers feel merit investment to allow them to be let. Whilst it is not anticipated that 100% of the premises would be let within eighteen months, current market interest justifies appropriate consideration.

Property	Date Vacated	Work Required	Value of Work Approx	Rent Per annum	Priority	Common Good
8 Bay Street	07/07/2016	rewire & Asbestos fire wall suspended ceiling	£15,000	£5,300	4	Yes
12 Bay Street Prince of Wales	13/05/2015	rewire & fire wall suspended ceiling minor refurb	£30,000	£17,000	2	Yes
16 King Street	25/07/2016	Rewire TBC Windows	£3,000	£2,600	6	No
4/6 King Street	30/05/2016	rewire fire wall suspended ceiling window repair	£12,000	£5,700	5	No
115 Grieve Road	06/09/2011	Electrical repairs	£500	£4,800	7	No
5 Sir Michael St	09/11/2015	Rewire	£4,000	£7,000	3	No
4 Larkfield Industrial Estate	18/08/2016	Rewire plumbing work general refurb	£10,000	£9,500	1	No

## 5.0 PROPOSAL

5.1 It is proposed to vary the intervention allocated to shopfront improvements to direct investment in seven commercial and industrial properties to improve the likelihood of attracting a lease opportunity, and for the Council to instruct works to five shopfronts in Broomhill in order to sustain their longer term viability.

## 6.0 IMPLICATIONS

### Finance

#### 6.1 Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
Economic	Ear marked reserves	2016/17	120		

Annually Recurring Costs/ (Savings) – **The budget is 100% external contract.**

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

### Legal

6.2 There are no legal implications arising from this report.

### Human Resources

6.3 There are no HR implications arising from this report.

### Equalities

6.4 Service provision will facilitate diversity and equality in recruitment, all procedures will fall within the policy and practice of Inverclyde Council.

### Repopulation

6.5 The delivery of the programme will provide key opportunities that will contribute to a reversal in population decline. It is recognised, however, there is no quick fix to this issue and continued investment in the most successful initiatives will be required to ensure continued progress.

## 7.0 CONSULTATIONS

7.1 Consultations with Departments have included all Heads of Service and appropriate Finance Officers.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>15 November 2016</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>SL/LP/146/16</b>
<b>Contact Officer:</b>	<b>Sharon Lang</b>	<b>Contact No:</b>	<b>01475 712112</b>
<b>Subject:</b>	<b>Gourock Highland Games – Remit from Education &amp; Communities Committee</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to request the Committee to consider a remit from the Education & Communities Committee.

## **2.0 SUMMARY**

- 2.1 The Education & Communities Committee at its meeting on 1 November 2016 considered a report by the Corporate Director Education, Communities & Organisational Development recommending a permanent move for the Gourock Highland Games to Battery Park following the success of the event staged there in 2016.
- 2.2 A copy of the report to the Education & Communities Committee is attached as Appendix 1. This provides background information, details of the proposals and information on the implications.
- 2.3 The Committee decided the following:
- (1) That the successful delivery of the 2016 Gourock Highland Games be welcomed;
  - (2) That the Council's thanks be expressed to Chieftain Isabel Lind OBE;
  - (3) That it be agreed that Battery Park become the permanent home of the Games;
  - (4) That it be agreed that the event continues to have free entry; and
  - (5) That the report be remitted to the Policy & Resources Committee with the recommendation that consideration be given to making appropriate one-off funding available to continue with Gourock Highland Games week, in consultation with Gourock Regeneration Forum.

## **3.0 RECOMMENDATION**

- 3.1 The Committee is asked to consider the remit from the Education & Communities Committee.

**Report To: Education & Communities Committee**

**Date: 1 November 2016**

**Report By: Corporate Director Education,  
Communities & Organisational  
Development**

**Report No: EDUCOM/74/16/GB**

**Contact Officer: George Barbour**

**Contact No: 01475 712385**

**Subject: Gourock Highland Games**

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to recommend a permanent move for the Gourock Highland Games to Battery Park following the success of the event staged there in 2016.

## **2.0 SUMMARY**

- 2.1 The Gourock Highland games celebrated their 60<sup>th</sup> anniversary this year and as part of the celebration, Inverclyde Council made two changes to the event: moved location to Battery Park and made the event free to visitors.
- 2.2 The event was delivered successfully in 2016 in Battery Park, the larger location highlighted areas for potential growth in future years and all feedback for the new venue is positive.

## **3.0 RECOMMENDATIONS**

It is recommended that the Committee:

- 3.1 welcomes the successful delivery of the 2016 Gourock Highland Games;
- 3.2 expresses the Council's thanks to Chieftain Isabel Lind, OBE;
- 3.3 agrees that Battery Park become the permanent home of the Games;
- 3.4 agrees that the event continues to be free entry; and
- 3.5 remits the report to the Policy and Resources Committee.

**George Barbour**  
**Corporate Communications Manager**

## **4.0 BACKGROUND**

- 4.1 This year the Gourock Highland Games celebrated their 60<sup>th</sup> year.
- 4.2 The Games, which take place on the second Sunday in May, are the first games and pipe band event of the Scottish season
- 4.3 While the early date helps to raise the profile of the games and encourage more pipe bands to attend, it makes the event particularly susceptible to weather disruption.
- 4.4 The location of Gourock Park, while the traditional home of the games, curtails future development of the Games and weather difficulties have, in recent years, caused issues with the park. The games have also had very little link with local town centres particularly in Gourock.
- 4.5 The Council agreed for the 60<sup>th</sup> anniversary games a move to nearby Battery Park, a larger location with space for expansion and to make the event free entry.
- 4.6 The event was delivered successfully in May 2016 with one of its highest attendances in recent years. Chieftain for the Gourock Highland Games' 60<sup>th</sup> anniversary was former head teacher and tireless campaigner for the Scots language, Isabel Lind, OBE.
- 4.7 The Gourock Highland Games include among their attractions pipe band competitions and march past; traditional highland games; the West of Scotland Highland Dance Championships; and a mini Highland Games event involving local school children.
- 4.8 The date of the 2016 event fell on the weekend of the 75<sup>th</sup> anniversary of the Greenock blitz. Lone piper Keith Bowes played a moving lament to mark the occasion which allowed visitors to remember those who lost their lives to German bombers.
- 4.9 The larger location at Battery Park highlighted opportunities for potential expansion with, for example, the mini Highland Games being extended to all Inverclyde schools.

## **5.0 VISITOR SURVEY 2016**

- 5.1 A survey carried out after the 2016 event (see appendix 1) indicated that for 19% of attendees, this was their first time visit to the Gourock Highland Games.
- 5.2 87% of respondents rated the overall quality of their experience at the Gourock Highland Games as either very good or good.
- 5.3 When asked for the key reason for attending the Gourock Highland Games, the top four responses were: free entry (77%); the weather (71%); the new location at Battery Park (70%); and the pipe band competition (70%).
- 5.4 80% of attendees at the Gourock Highland Games in 2016 came from Inverclyde; 17% came from elsewhere in Scotland; 2% from overseas; and 1% from elsewhere in the UK.

## 6.0 IMPLICATIONS

### 6.1 Financial Implications - One off Costs

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

### Financial Implications - Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (if applicable)	Other Comments
00469-000-80001	Event Management (corporate communciations)	2016/17	£3905.50	N/A	Loss of income for Gourock Highland Games

### 6.2 Human Resources

N/A

### 6.3 Legal

N/A

### 6.4 Equalities

Has an Equality Impact Assessment been carried out?

YES (see attached appendix)

NO -

### 6.5 Repopulation

Encouraging more people from outside of Inverclyde into the area is a key priority for the repopulation group. A successful Gourock Highland Games can help to encourage more visitors to the area and marketing will aim to promote it as the first games of Scottish Highland Games season to position the event on the Scottish events calendar.

## 7.0 CONSULTATION

7.1 A visitor survey was carried out after the event in 2016 and a summary is included at appendix 1 of this report.

## 8.0 BACKGROUND PAPERS

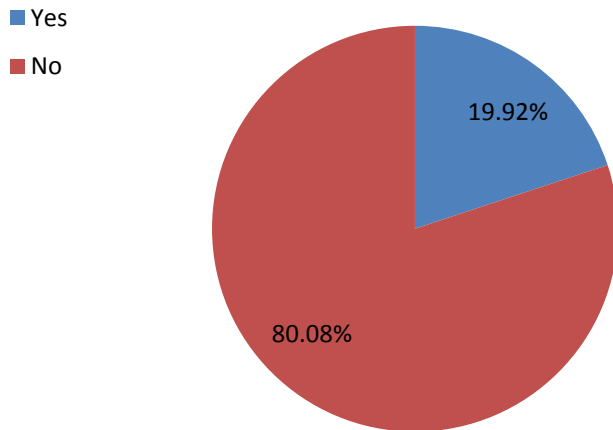
8.1 Item 14 - Gourock Highland Games - Policy and Resources Committee, 22 March 2016.

**Appendix 1:**

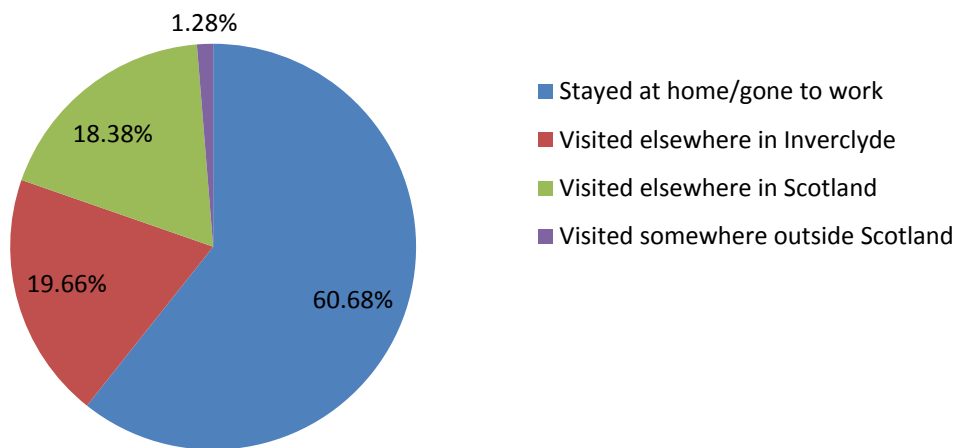
**Visitor survey – Gourock Highland Games 2016**

Number of responses: 255

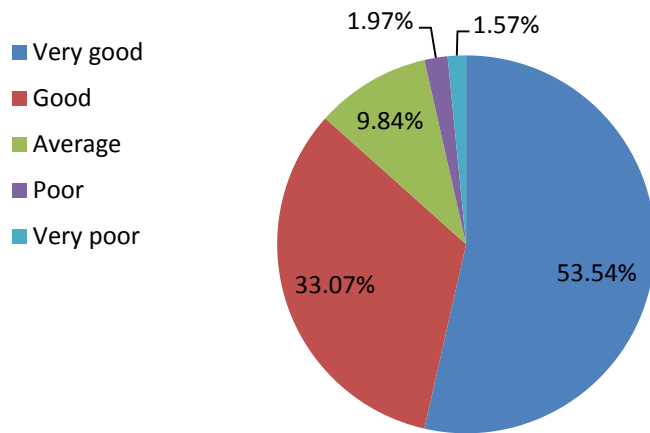
**Was this your first time visiting Gourock Highland Games?**



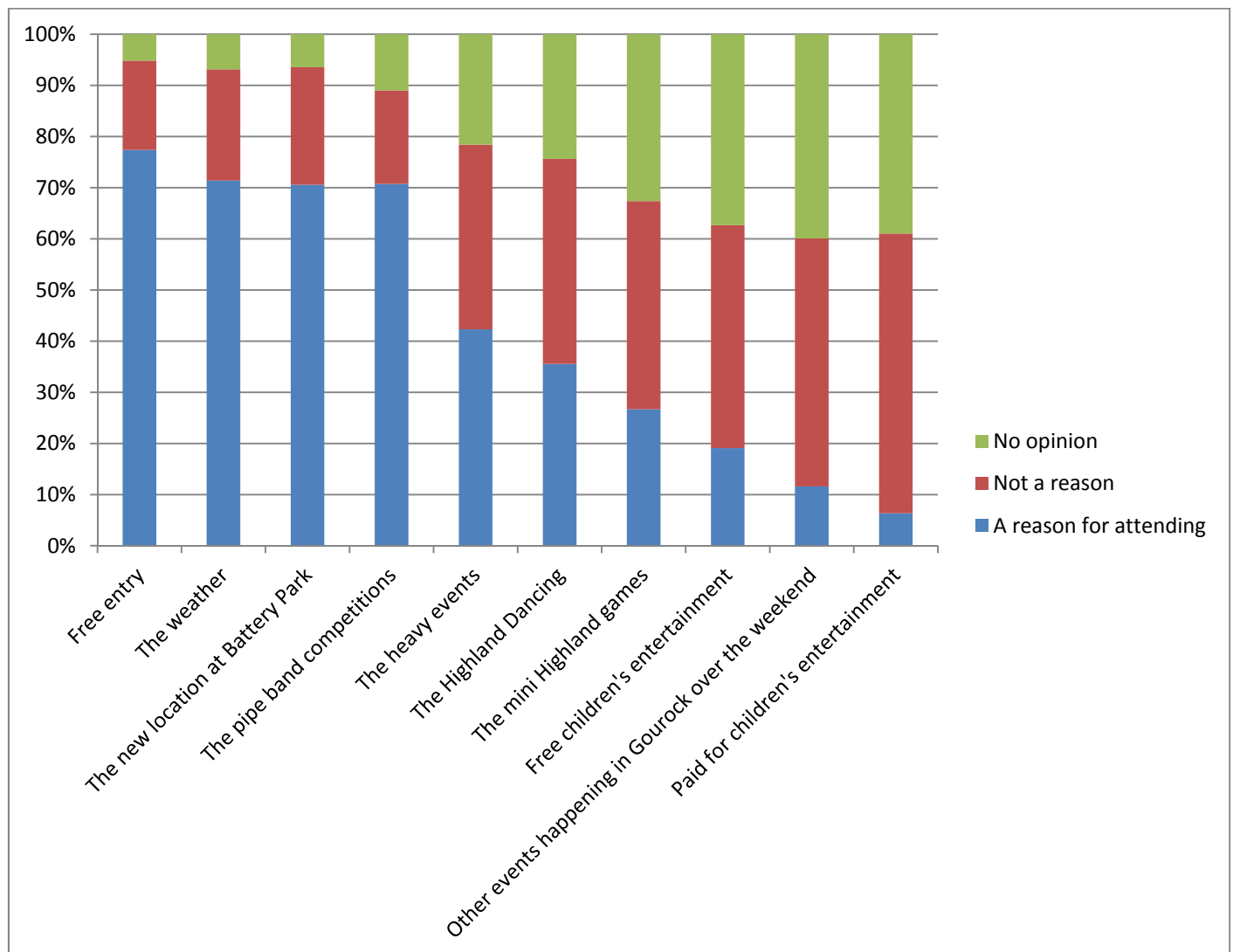
**If you had not visited the Gourock Highland Games what would you have most likely done instead**



## How would you rate the overall quality of your experience at Gourock Highland Games?

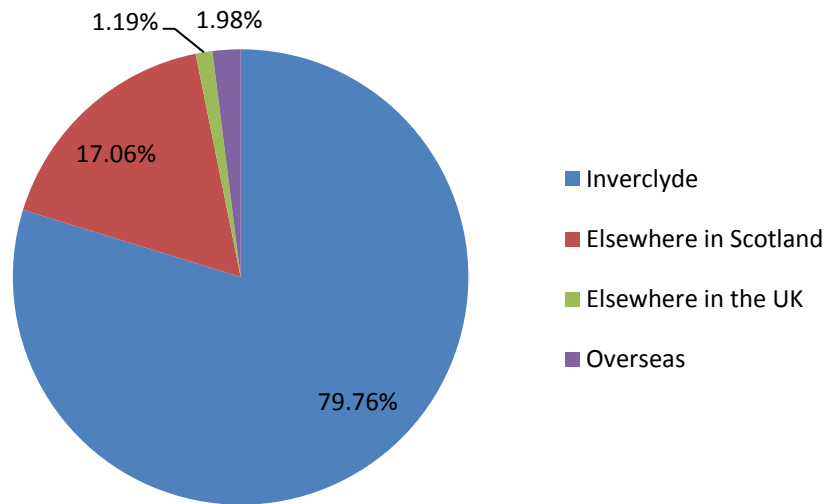


## How much were these events a reason in deciding to attend the Gourock Highland Games at Battery Park?





## Where do you normally live?



Appendix 2:

Photo gallery from the Gourock Highland Games 2016



**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
M Thomson, 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**