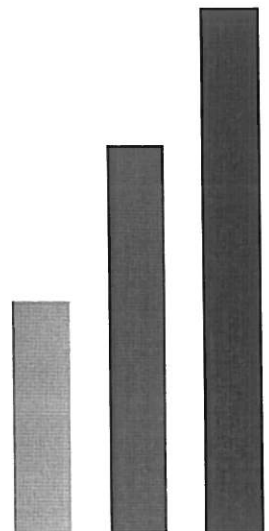


# Agenda 2013

## Policy & Resources Committee

For meeting on:

24	September	2013
----	-----------	------



---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>24 September 2013</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/66/13/MT/AP</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 – (2013/14-15/16) - Progress Report</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to update members on the status of the projects forming the Policy & Resources Capital Programme and to highlight the overall financial position.

## 2.0 SUMMARY

- 2.1 This report advises members of progress and the financial status of projects within the Policy & Resources Capital Programme.
- 2.2 It can be seen from the table in paragraph 6.2 that the projected expenditure is £6.371m, indicating total projected spend is on budget.
- 2.3 The approved budget for 2013/14 is £1.207m with a projected spend of £0.945m and projected slippage of £0.262m (21.7%) The main areas of slippage are within 2013/14 allocation (£0.089m), Storage Back-up Devices (£0.077m) and the Modernisation Fund (£0.054m).
- 2.4 Expenditure at 31<sup>st</sup> July 2013 is £0.051m, 5.4% of 2013/14 projected spend.
- 2.5 Appendix 1 contains details of the projects and the projected spend.

## 3.0 RECOMMENDATION

- 3.1 That the Committee note the current position of the 2013/16 Capital Programme and the progress of the specific projects detailed in Appendix 1.

Aubrey Fawcett  
Corporate Director  
Environment, Regeneration & Resources

Alan Puckrin  
Chief Financial Officer

## 4.0 BACKGROUND

- 4.1 In February 2013 the Council agreed the 2013/16 Capital Programme.
- 4.2 The introduction of the unified Police Service of Scotland on 1<sup>st</sup> April 2013 means the Capital Grant is now paid directly to the Police Service. As a result, the Police Grant budgets have been removed. The Council's General Capital Grant has been reduced by the same amount resulting in a nil impact to the Council.
- 4.3 The Environment & Regeneration Committee on 2<sup>nd</sup> May 2013 agreed that the remaining work on the Canopy for the SV Comet will no longer be funded via the Common Good but from the Area Renewal Fund. As a result this project will now be reported to the Environment & Regeneration Committee.

## 5.0 PROGRESS

- 5.1 Mobile working pilots complete. CMT report to be tabled in September.
- 5.2 PC Refresh 2013/14

Currently in the final stages of rolling out the following :-

	PC	Laptops
Education	740	204
Corporate	65	43
<b>Total</b>	<b>805</b>	<b>247</b>

Likely to be a further Phase 2 Refresh Q4 2013 for Corporate users. Currently at planning stage.

- 5.3 Phase 1 of the data centre virtualisation project is complete. Phase 2 – server virtualisation - has started – to be complete by end of FY 13/14.
- 5.4 EDRMS migration to Civica W2 underway in Revenues and Benefits. Currently delayed due to data migration issues but these are being resolved by the supplier.

Back scanning options for CHCP discussed by Modernisation CIG. Option agreed involves partial scanning of old files. Estimated cost £50,000, subject to Committee approval.

## 6.0 FINANCIAL IMPLICATIONS

- 6.1 The figures below detail the position at 31<sup>st</sup> July 2013. Expenditure to date is £0.051m (5.4% of the 2013/14 projected spend). Although spend to date remains low it should be noted that we are in the final stages of one phase of the PC Refresh programme, spend relating to this is not reflected in the current figures and a significant improvement in spend to date should be reported to the next Committee. In addition, data centre refurbishment work is underway and further spend on this area will be reported at the next Committee.

6.2 The approved budget for 2013/16 is £6.371m made up of £4.409m Supported Borrowing and £1.962m Prudential Borrowing. The current projected spend for 2013/16 is on budget.

Service	Approved Budget £000	Current Position £000	Overspend/ (Underspend) £000
ICT	5,143	5,143	-
Finance	1,228	1,228	-
<b>Total</b>	<b>6,371</b>	<b>6,371</b>	-

6.3 The approved budget for 2013/14 is £1.207m. The Committee is projecting to spend £0.945m with slippage into future years of £0.262m. The slippage relates mainly to £0.089m within the 2013/14 Allocation, £0.077m within Storage/Back-up Devices and £0.054m within the Modernisation Fund.

## 7.0 CONSULTATION

7.1 The report has been jointly prepared between ICT and Finance.

7.2 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.

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

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

**COMMITTEE: Policy & Resources**

Project Name	1	2	3	4	5	6	7	8
	Est Total Cost	Actual to 31/3/13	Approved Budget 2013/14	Revised Est 2013/14	Actual to 31/07/13	Est 2014/15	Est 2015/16	Future Years
	£000	£000	£000	£000	£000	£000	£000	£000
<b><u>Environment, Regeneration &amp; Resources</u></b>								
<b><u>ICT</u></b>								
<b><u>Supported Borrowing</u></b>								
Storage/Backup Devices	151	19	132	55	11	77	0	
Minor Works & Projects	189	108	81	50		31	0	
Mobile Technology	47	29	18	7		11	0	
Rolling Replacement of PC's	2,260	1,758	502	502	28	0	0	
Server & Switch Replacement Programme	449	445	4	4	1	0	0	
Upgrade to Existing Data Centre	330	140	190	190		0	0	
2013/16 Indicative Allocation	983	0	89	0	4	536	447	0
<b><u>Prudentially Funded</u></b>								
Additional PC Refresh	294	180	38	38		38	38	0
Whiteboard/Projector Refresh	440	344	36	36		30	30	0
<b><u>Finance</u></b>								
<b><u>Prudentially Funded</u></b>								
Modernisation Fund	1,228	761	117	63	7	54	350	0
<b>TOTAL</b>	<b>6,371</b>	<b>3,784</b>	<b>1,207</b>	<b>945</b>	<b>51</b>	<b>777</b>	<b>865</b>	<b>0</b>

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>24 September 2013</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/68/13/AP/MT</b>
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b>	<b>01475 712223</b>
<b>Subject:</b>	<b>2013/16 Capital Programme</b>		

---

### 1.0 PURPOSE

- 1.1 The purpose of the report is to provide Committee with the latest position of the 2013/16 Capital Programme.

### 2.0 SUMMARY

- 2.1 In February 2013 the Council agreed a 3 year Capital Programme covering the period 2013/16. It should be noted that the 2015/16 Capital Grant Allocation is an estimate at this stage until figures are confirmed by the Scottish Government. The estimated shortfall in resources at the time of agreeing the budget was £1.695m being 1.5% of projected spend over 2013/16.
- 2.2 Based on the latest figures it can be seen from Appendix 1 that the estimated shortfall in resources remains at £1.695 million over the 2013/16 period which represents 1.6% of the total programme. A shortfall of this level is not unusual and is in line with the 1.5% recommended. In the longer term annual capital allocations continue to exceed the General Capital Grant and opportunities to reduce this funding gap should be taken.
- 2.3 It can be seen from Appendix 2 that as at 31<sup>st</sup> July 2013 expenditure was 28% of projected spend. Phasing and project spend have been reviewed by the Senior Officer (CAMS) Group against planned spend.
- 2.4 The position in respect of each individual Committee is reported in Appendix 2 and Section 5 of the report. It can be seen that overall Committees are projecting an underspend of £156,000. This relates to Kylemore Children's Home and is partially offset by a reduction in the projected receipt for the former Redholm Children's Home of £100,000. Budgetary slippage of 1.9% is being reported. This compares with net capital acceleration of 0.4% reported at the same stage last year.
- 2.5 In line with the approved process, the underspend of £156,000 on the Kylemore project will be returned to the overall programme, together with the reduction in receipts this will decrease the estimated shortfall in resources to £1.639m or 1.5% of projected spend.

### 3.0 RECOMMENDATIONS

- 3.1 It is recommended that Committee note the current position of the 2013/16 Capital Programme.

3.2 It is recommended that Committee note the return of the underspend on the Kylemore project to the overall programme, reducing the estimated shortfall in resources.

Alan Puckrin  
Chief Financial Officer

## **4.0 BACKGROUND**

- 4.1 On 14<sup>th</sup> February 2013 the Council agreed a 2013/16 Capital Programme which included significant additional funding to increase the Roads Asset Management Plan with further amounts set aside from available Revenue Reserves to fund a number of further Capital Projects and to reduce the overall funding shortfall.
- 4.2 The Business Property Renovation Scheme (BPRA) was approved by the Policy & Resources Committee in February 2013. The refurbishment of Wallace Place and the creation of the Port Glasgow Hub are funded from this scheme and will deliver a capital saving of around £1.0m which was factored into the 2013/16 Budget. These projects have been removed from the Capital Programme.

## **5.0 CURRENT POSITION**

- 5.1 Appendix 1 shows that over the 3 year period there is a projected shortfall in resources of £1.695 million which represents 1.6% of the projected spend excluding the School Estates Management Plan and is in line with the recommended level of 1.5%.
- 5.2 The position in respect of individual Committees is as follows:

### Social Care

An underspend of £0.156m within the Kylemore Children's home is being reported. No additional slippage is being reported, with spend being 2.7% of projected spend for the year. The underspend is partially offset by a reduction in the projected receipt for the Redholm Children's Home and the balance will be used to reduce the overall shortfall in resources.

### Environment & Regeneration

Net slippage of £0.294m (2.09%) is being reported with spend being 12.6% of projected spend for the year. Slippage relates mainly to the Gourrock Pier & Railhead Development.

### Education & Communities

Slippage of £0.071m (0.30%) is being reported with spend being 37.7% of projected spend for the year. The slippage relates to the Watt Complex (£0.071m).

Within SEMP no slippage is being shown at this stage however there will be overspends at St Columba's and Lomond View that will be fully funded from within the SEMP. A detailed update on the overall delivery of the SEMP projects has been given to the Education & Communities Committee in September 2013.

Finally, no slippage is being shown within Scheme of Assistance at present. Officers are reviewing the allocation of this budget and any slippage will be reported to the next cycle.

### Policy & Resources

Slippage of £0.262m (21.71%) is being reported with spend being 5.4% of projected spend for the year. The main areas of slippage are within the PC Refresh (£0.089m), Storage/Back-up Devices (£0.077m) and the Modernisation Fund (£0.054m).



- 5.3 Overall in 2013/14 it can be seen that expenditure is 27.67% of the projected spend for the year and that slippage from the programme agreed in February 2013 is currently £0.743 million (1.91%).

## **6.0 SCHOOL ESTATE MANAGEMENT PLAN**

- 6.1 The position of the School Estate finances is shown separately in Appendix 2. A report to the Education & Communities Committee on 30th October 2012 advised of the latest position of the SEMP with the overall model remaining affordable and deliverable. Proposals to accelerate aspects of the Primary School Programme were approved by the Council in February 2013 and a comprehensive update will be reported to the Education & Communities Committee in November 2013.

## **7.0 CONCLUSION**

- 7.1 Officers robustly reviewed phasings on all projects prior to the setting of the 2012/15 Capital Programme in order to set a 3 year Capital Programme that was both prudent and realistic in reflecting the anticipated capital expenditure and this resulted in improved slippage levels.
- 7.2 This review process was repeated prior to the setting of the 2013/16 Capital Programme and as can be seen in paragraph 5.3, projected slippage is currently 1.91%, compared with net capital acceleration of 0.4% reported at the same stage last year. While it is early in the financial year the signs are that this review continues to produce a more realistically phased Capital Programme.
- 7.3 The Council's Capital Programme for 2013/16 is showing a shortfall in resources of £1.695 million, approximately 1.6% of the projected spend.
- 7.4 Overall Service Committees have spent 27.67% of the 2013/14 projected spend as at 31<sup>st</sup> July 2013.

## **8.0 CONSULTATION**

- 8.1 This report has been approved by the Corporate Management Team.

## Capital Programme - 2013/14 - 2015/16

## Available Resources

	2013/14	2014/15	2015/16	Future	Total
	£000	£000	£000	£000	£000
Government Capital Support	5,857	7,838	6,000	-	19,695
Less: Allocation to School Estate	(4,500)	(4,800)	(4,300)	-	(13,600)
Capital Receipts (Note 1)	816	560	937	50	2,363
Capital Grants (Note 2)	408	125	-	-	533
Prudential Funded Projects (Note 3)	5,604	25,454	6,451	90	37,599
Balance B/F From 11/12 (Exc School Estate)	1,455	-	-	-	1,455
Capital Funded from Current Revenue (Note 4)	9,043	8,914	2,833	-	20,790
Transfer to Capital Fund	(50)	(340)	(165)	(50)	(605)
	18,633	37,751	11,756	90	68,230

## Overall Position 2013/16

	£000
	68,230
	69,925
	(1,695)

Available Resources (Appendix 1, Column E)  
Projection (Appendix 2, Column B-E)  
(Shortfall)/Under Utilisation of Resources

## Notes to Appendix 1

All notes exclude School Estates  
Note 1 (Capital Receipts)

	2013/14	2014/15	2015/16	Future	Total
	£000	£000	£000	£000	£000
Sales	804	560	937	50	2,351
Contributions/Recoveries	12	-	-	-	12
	816	560	937	50	2,363

Note 2 (Capital Grants)

	2013/14	2014/15	2015/16	Future	Total
	£000	£000	£000	£000	£000
Cycling, Walking & Safer Streets	85	125	-	-	210
SPT	285	-	-	-	285
Sustrans	20	-	-	-	20
Sports Scotland/SFA	18	-	-	-	18
	408	125	-	-	533

## Notes to Appendix 1

## Note 3 (Prudentially Funded Projects)

	2013/14 £000	2014/15 £000	2015/16 £000	Future £000	Total £000
Additional ICT - Education Whiteboard & PC Refresh	74	68	68	-	210
Vehicle Replacement Programme	176	978	2,198	-	3,352
Greenock Parking Strategy	(34)	150	-	-	116
Asset Management Plan - Offices	2,173	6,356	492	90	9,111
Asset Management Plan - Borrowing in Lieu of Receipts	-	920	-	-	920
Asset Management Plan - Depots	1,870	8,279	1,183	-	11,332
Leisure & Pitches Strategy	1,464	946	-	-	2,410
Kylemore Childrens Home	(77)	-	-	-	(77)
Modernisation Fund	38	54	350	-	442
Watt Complex Refurbishment	100	2,821	-	-	2,921
Gaurock One Way System	(226)	2,722	-	-	2,496
Roads Asset Management Plan	-	2,100	2,100	-	4,200
Surplus Prudential Borrowing due to project savings	60	60	60	-	180
Element of Prudentially Funded projects already funded through existing Supported Borrowing	(14)	-	-	-	(14)
	5,604	25,454	6,451	90	37,599

## Note 4 (Capital Funded from Current Revenue)

	2013/14 £000	2014/15 £000	2015/16 £000	Future £000	Total £000
Regeneration of Port Glasgow Town Centre	184	450	-	-	634
Play Areas	351	300	-	-	651
SWIFT Finance Module	60	-	-	-	60
Lunderston Bay	120	41	-	-	161
Scheme of Assistance	433	433	433	-	1,299
Aids & Adaptations (Earmarked Reserve)	360	-	-	-	360
Flooding Strategy	42	1,222	-	-	1,264
Greenock Parking Strategy	104	100	-	-	204
Roads Asset Management Plan	2,727	2,400	2,400	-	7,527
Broomhill Community Facility (Community Facility Fund)	50	150	-	-	200
Inverkip Community Facility	264	900	-	-	1,164
Modernisation Fund	25	-	-	-	25
Port Glasgow Town Centre, Town Hall Refresh	164	63	-	-	227
Watt Complex Refurbishment	-	1,000	-	-	1,000
Community Facilities Investment	-	750	-	-	750
Blaes Football Parks	-	830	-	-	830
Broomhill Regeneration	-	250	-	-	250
Completion of SV Comet Canopy	109	25	-	-	134
Use of General Fund Reserves	4,050	-	-	-	4,050
	9,043	8,914	2,833	-	20,790

## Capital Programme - 2013/14 - 2015/16

Agreed Projects Committee	A	B	C	D	E	G	H	I	J
	Prior Years £000	2013/14 £000	2014/15 £000	2015/16 £000	Future £000	Total £000	Approved Budget £000	(Under)/ Over £000	2013/14 Spend To 31/7/13 £000
Policy & Resources	3,784	945	777	865	-	6,371	6,371	-	51
Environment & Regeneration	34,513	13,806	30,419	11,625	90	90,453	90,453	-	1,737
Education & Communities (Exc School Estate)	455	2,197	8,085	933	-	11,670	11,670	-	142
CHCP	1,131	183	-	-	-	1,314	1,470	(156)	5
Sub-Total	39,883	17,131	39,281	13,423	90	109,808	109,964	(156)	1,935
School Estate (Note 1)	37,984	21,117	12,016	6,365	11,622	89,104	89,104	-	8,650
Total	77,867	38,248	51,297	19,788	11,712	198,912	199,068	(156)	10,585

## Note 1

## Summarised SEMP Capital Position - 2013/17

	2013/14	2014/15	2015/16	2016/17
Capital Allocation	4,500	4,800	4,300	4,300
Scottish Government School Grant (estimate)	1,366	801	803	803
Surplus b/fwd	2,182	3,769	604	(660)
Prudential Borrowing	8,513	4,051	-	-
Prudential Borrowing - In Lieu of Receipts	3,325	-	-	-
Prudential Borrowing - Accelerated Investment	5,000	-	-	-
Available Funding	24,886	12,620	5,705	4,443
Projects				
Ex-Prudential Borrowing	12,604	7,965	6,365	5,436
Prudential Borrowing	8,513	4,051	-	-
Total	21,117	12,016	6,365	5,436
Surplus c/fwd	3,769	604	(660)	(993)

---

**Report To:** Policy & Resources Committee      **Date:** 24 September 2013

**Report By:** Chief Executive, Corporate Director  
Environment, Regeneration &  
Resources, Corporate Director  
Education Communities &  
Organisational Development and  
Chief Financial Officer      **Report No:** FIN 71/13/AP/AE

**Contact Officer:** Angela Edmiston      **Contact No:** 01475 712143

**Subject:** Policy & Resources Committee 2013/14 Revenue Budget – Period 4  
to 31 July 2013

---

## 1.0 PURPOSE

- 1.1 To advise Committee of the 2012/13 Revenue Budget out-turn and the 2013/14 projected out-turn for the Policy & Resources Committee as at Period 4 (31 July 2013).

## 2.0 SUMMARY

- 2.1 In 2012/13 the underspend was £2,676,000, 9.18% of the total 2012/13 budget, details of which are shown in Section 5 of the report.
- 2.2 The major variances making up this underspend were as follows:
- a) Excess turnover savings of £362,000.
  - b) Share of Police and Fire Reserves of £962,000 of which £621,000 was estimated in the May Committee report.
  - c) Over recovery of benefit subsidy of £153,000.
  - d) Low call on use of contingencies providing a saving of £781,000. £200,000 of Capital Programme contingency was written to Leisure Facilities Repairs & Renewals Fund as part of the year end process.
  - e) Additional internal resources interest earned of £144,000.
  - f) One off client contribution towards care of £74,000 which was reported to the May Committee via the General Fund Reserves statement.
  - g) Benefit overpayment recoveries net of bad debt provision of £149,000.
- 2.3 The total revised Committee budget for 2013/14 is £21,707,000. This excludes Earmarked Reserves of £6,605,000.
- 2.4 The latest projection, excluding Earmarked Reserves, is an underspend of £40,000
- 2.5 The main reasons for this underspend are:
- a) Projected increase of £74,000 within Internal Resource Interest in line with the 2012/13 out-turn.
  - b) £30,000 projected overspend within NDR Discretionary Relief based on current level of reliefs awarded.

- 
- 2.6 The Earmarked Reserves for 2013/14 totals £6,605,000 of which £2,280,000 is projected to be spent in the current financial year. To date expenditure of £80,000 (3.51%) has been incurred, however a further £1,109,000 has been legally committed mostly relating to early release of employees increasing the overall percentage spend at 31 July to 52.15%.
- 2.7 Detail is included in section 8 of the report on a proposal to utilise £50,000 from the Modernisation earmarked reserve to fund document managed proposals from the CHCP to facilitate their move to new offices in 2014.
- 2.8 The Common Good Fund is projecting an available fund balance at 31 March 2014 of £142,860.

### **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note the 2012/13 Revenue Budget out-turn and the 2013/14 projected underspend of £40,000 for the Policy & Resources Committee as at Period 4 (31 July 2013).
- 3.2 That the Committee note the projected fund balance of £142,860 for the Common Good Fund.
- 3.3 That the Committee approve the allocation of £50,000 from the Modernisation earmarked reserve to fund the CHCP Backscanning/Storage project.

John Mundell  
Chief Executive

Alan Puckrin  
Chief Financial Officer

Albert Henderson  
Corporate Director  
Education, Communities &  
Organisational Development

Aubrey Fawcett  
Corporate Director  
Environment, Regeneration &  
Resources

## 4.0 BACKGROUND

4.1 The purpose of this report is to advise Committee of the current position of the 2013/14 budget as well as the 2012/13 outturn and to highlight the main issues contributing to the underspend of £2,676,000 in 2012/13 and projected underspend of £40,000 in 2013/14.

## 5.0 2012/13 OUTTURN

5.1 The main variations from budget in 2012/13 were:

	Revised Budget 2012/13	Out-turn 2012/13	Variance to Budget	Variance to Budget	Movement since P11 Projection
	£000	£000	£000	%	£000
Finance	4,147	3,788	(359)	(8.66)	(49)
ICT	2,174	2,102	(72)	(3.31)	(35)
Legal & Democratic Services	1,775	1,690	(85)	(4.8)	(25)
<b>Total Net Expenditure Environment, Regeneration &amp; Resources</b>	<b>8,096</b>	<b>7,580</b>	<b>(516)</b>	<b>(6.37)</b>	<b>(109)</b>
Organisational Development, Human Resources & Communications	2,046	1,941	(105)	(5.13)	7
Corporate Policy	174	181	7	4.02	(1)
<b>Total Net Expenditure Education, Communities &amp; Organisational Development</b>	<b>2,220</b>	<b>2,122</b>	<b>(98)</b>	<b>(2.75)</b>	<b>6</b>
Chief Executive	360	365	5	1.39	3
Joint Boards	15,417	14,450	(967)	(6.27)	(967)
Miscellaneous	3,054	1,954	(1,100)	(0.36)	(322)
<b>Total Net Expenditure (Excluding Earmarked Reserves)</b>	<b>29,147</b>	<b>26,471</b>	<b>(2,676)</b>	<b>(9.18)</b>	<b>(1,389)</b>

5.2 The following material variances relate to the Environment, Regeneration & Resources Directorate:

### **Finance - £359,000 Underspend, increase in underspend £49,000**

Employee Costs: An underspend of £186,000, a minor increase in spend of £4,000 since last reported to Committee.

Other Expenditure: There was a previously reported underspend of £70,000 for Benefits Subsidy based on the statutory mid year return produced August 2012, at the end of the year the final outturn was an underspend of £153,000. The level of underspend was reviewed during the 2013/16 budget process and £50,000 given up as a saving in 2013/14.

Income: The following were the main variances within income:

There was an over recovery of income for Benefit Overpayment Recoveries of £253,000. This was due to the number of debts raised in the year and was partly offset by an increase in bad debt provision of £104,000, £120,000 overspend was reported to the last Committee.

£85,000 under-recovery within Council Tax income for previous years. At period 11 £100,000 under-recovery was projected. £15,000 of income has been achieved and is included within Council Tax income reported out with this report.

### **ICT – £72,000 Underspend, increase in underspend £35,000**

Employee Costs: An underspend of £12,000 within employee costs which is an increase of £3,000 since the last Committee due to additional turnover savings being achieved.

Supplies and Services: An underspend of £63,000 which is an increase in the underspend reported to the last Committee of £43,000. This was mainly due to reduced Virgin Media contract costs and an underspend within Computer Maintenance budgets.

### **Legal & Democratic Service – £85,000 Underspend, increase in Underspend £25,000**

Employee Costs: An underspend of £74,000 within employee costs which is an increase in the underspend reported at period 11 of £19,000 mainly due to early achievement of planned savings.

Administration Costs: An underspend of £18,000 was reported to Committee in period 11 mainly due to an underspend within Franking Machine postage. This is offset by a reduction in income. The final out-turn was an underspend of £19,000.

Income: An under-recovery of £15,000 in income mainly due to an under recovery of Franking Machine postage income, this is offset by a reduction in costs above. A minor increase in income of £7,000 since period 11 report to Committee mainly due to an increase in legal fees recharged to capital.

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

### **Organisational Development, Human Resources & Communications - £105,000 Underspend, increase in spend of £7,000.**

Employee Costs: An underspend of £57,000 mainly due to additional turnover savings and savings within other employee costs which was reported to Committee in period 11.

Administration Costs: An underspend of £28,000 mainly due to savings within Corporate Communications Advertising budget. This is an increase in spend of £4,000 since last reported to Committee.

Payments to Other Bodies: An underspend of £10,000 for occupational health costs which is an increase in the underspend reported to the last Committee of £3,000.

Income: £16,000 over-recovery within Income mainly due to one off recoveries which was reported to Committee in period 11.

- 5.4 The following material variances relate to the Miscellaneous and Joint Boards:

### **Miscellaneous - £1,100,000 Underspend, increase in underspend £322,000.**

Employee Cost: An underspend of £33,000 resulting from Management Restructure which was reported to Committee in period 11.

General Contingency: Limited calls were made on the Contingency during the year resulting in a saving of £183,000. A saving of £233,000 was reported to the last Committee. Reduction in the underspend of £50,000 was due to additional budget allocated for Insurance.



Inflation Contingency: After all inflationary pressures were addressed in 2012/13; a saving of £398,000 was achieved resulting in an increase in underspend of £50,000 since last reported to Committee.

Capital Programme Revenue Costs Contingency: The Contingency was not allocated during 2012/13 resulting in a savings of £200,000, this was transferred to the Leisure Facilities Repairs and Renewals Fund as part of the year end process.

Internal Resources Interest: Due to improved cashflow management in 2012/13, the Council received additional Internal Resources Interest of £144,000, which is an increase in recovery of £2,000 since last reported to Committee.

Audit Fee: There was £32,000 underspend within Audit Fees, an increase in underspend of £17,000 since period 11 report to Committee. This was only known at year end when the final invoice was received.

Income: A client contribution towards care of £74,000 was received and was reported to Committee within the General Fund Reserves report.

### **Joint Boards - £967,000 Underspend, increase in underspend of £967,000**

Other Expenditure: The Council received notification from the Joint Boards of their share of the uncommitted Police and Fire Reserves at the year end. The Council received £967,000 and an estimate of £621,000 for the Police reserves was included in the May Committee report within the General Fund Reserves Statement.

## **6.0 2013/14 CURRENT POSITION**

6.1 The current projection is an underspend of £40,000. The following are the material variances:

6.2 The following material variances relate to the Environment, Regeneration & Resources Directorate:

### **Finance - £14,000 Overspend**

Employee Costs: Projected underspend of £36,000 mainly due to turnover savings of £53,000 partially offset by an increase in overtime costs of £17,000.

Supplies & Services: An overspend of £11,000 is being projected due to unbudgeted pressures within computer software maintenance and clothing and uniforms.

Payments to Other Bodies: A £30,000 overspend in NDR Discretionary Relief is expected based on current level of reliefs awarded.

Other Expenditure: There is a projected overspend within Sheriff Officer Commission of £11,000 and is in line with the previous year outturn.

### **Legal & Democratic Service – £13,000 Overspend**

Employee Costs: An overspend of £13,000 is projected mainly due to turnover savings target not being achieved.

6.3 The following material variance relates to the Miscellaneous budget:

## **Miscellaneous – £74,000 Underspend**

Capital & Loan Charges: Due to improved cashflow management, it is anticipated that there will be a £74,000 increase in Internal Resources Interest received in line with 2012/13.

### **7.0 VIREMENT**

7.1 There are no virements to report in period 4.

### **8.0 EARMARKED RESERVES**

8.1 Appendix 2 gives a detailed breakdown of the current earmarked reserves position. Total funding is £6,605,000 of which £2,280,000 is projected to be spent in 2013/14 and the remaining balance of £4,325,000 to be carried forward to 2014/15 and beyond. It can be seen that expenditure of £80,000 is online with the phased budgeted spend to date and represents 3.51% of the annual projected spend. A further £1,109,000 has been legally committed in respect of early release costs thus increasing the overall percentage spend at 31 July to 52.15%.

8.2 The Modernisation CIG approved a request from the CHCP to allocate £50,000 towards the scanning, disposal and storage of CHCP documents as part of their move to new premises in 2014. This proposal will support the move towards agile working as well as meeting the new office space requirements. Committee approval of this proposal is sought.

### **9.0 FINANCIAL IMPLICATIONS**

9.1 The current projected outturn per service:

Service	Approved Budget 2013/14 £000	Revised Budget 2013/14 £000	Projected Out-turn 2013/14 £000	Projected Over/(Under) Spend £000
Finance	10,859	10,851	10,865	14
ICT	2,172	2,173	2,180	7
Legal & Democratic Services	1,726	1,728	1,741	13
<b>Total Net Expenditure Environment, Regeneration &amp; Resources</b>	<b>14,757</b>	<b>14,752</b>	<b>14,786</b>	<b>34</b>
Organisational Development, Human Resources & Communications	1,897	1900	1897	(3)
Corporate Policy	178	178	180	2
<b>Total Net Expenditure Education, Communities &amp; Organisational Development</b>	<b>2075</b>	<b>2078</b>	<b>2077</b>	<b>(1)</b>
Chief Executive	366	366	367	1
Miscellaneous	5,389	4,511	4,437	(74)
<b>Total Net Expenditure</b>	<b>22,587</b>	<b>21,707</b>	<b>21,667</b>	<b>(40)</b>

### **10.0 COMMON GOOD FUND**

10.1 Appendix 3 shows a projected overspend of £7,700 in the Common Good Fund as at 31 July 2013. This results in a projected available fund balance at 31 March 2014 of £142,860.

## **11.0 EQUALITIES**

11.1 There are no equality issues arising from this report.

## **12.0 CONSULTATIONS**

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

POLICY & RESOURCESREVENUE BUDGET MONITORING REPORTMATERIAL VARIANCES (EXCLUDING EARMARKED RESERVES)

PERIOD 4: 1st April 2013- 31st July 2013

Outturn 2012/13 £000	Budget Heading	Budget 2013/14 £000	Proportion of Budget £000	Actual to 31/07/13 £000	Projection 2012/2013 £000	Over/(Under) Budget £000
	<b><u>Finance</u></b>					
3,982	Employee Costs	4,148	1,389	1,362	4,112	(36)
95	PTOB - Discretionary Relief	80	0	0	110	30
53	Other Expenditure - Commission	17	5	8	28	11
	<b><u>Miscellaneous &amp; Joint Boards</u></b>					
(371)	Internal Resource Interest	(226)	0	0	(300)	(74)
	<b><u>Legal &amp; Democratic Services</u></b>					
1,199	Employee Costs	1,333	446	447	1,346	13
<b>4,958</b>	<b>TOTAL MATERIAL VARIANCES</b>	<b>5,352</b>	<b>1,840</b>	<b>1,817</b>	<b>5,296</b>	<b>(56)</b>

## EARMARKED RESERVES POSITION STATEMENT

COMMITTEE: Policy &amp; Resources

Project	Lead Officer/ Responsible Manager	Total Funding 2013/14	Phased Budget To Period 4 2013/14	Actual To Period 4 2013/14	Projected Spend 2013/14	Amount to be Earmarked for 2014/15 & Beyond	Lead Officer Update
		£000	£000	£000	£000	£000	
Early Retiral/Voluntary Severance Reserve	Alan Puckrin	4,260	0	0	1,600	2,660	To meet costs of early release of employees arising from the 2013/16 budget. Commitments to date for 2013/14 are £1,109k. Budget implementation is ongoing. Estimated spend for 2013/14 is £1.6m which is expected to be incurred at year end.
Modernisation Fund	Alan Puckrin	502	2	3	56	446	Various modernisation projects, proposals on utilisation to be developed during 2013/14. Approval needed for £50k CHCP backscanning. Options for Channel Shift projects being discussed.
Procurement Development Fund	Alan Puckrin	134	20	12	40	94	To be spent on Procurement Development. Temporary Project officer funded to 31/12/13.
RVJB Capital Contribution	Alan Puckrin	27	0	0	10	17	Annual recharge at year end.
Workforce Development Fund	Alasdair Moore	27	0	0	27	0	Sum set aside for Finance Development Capacity Plan courses and setting up the new Port Glasgow Training suite. £5k for Finance Development Capacity Plan expected to be spend in November and December 2013. £12k will be utilised to set up the new Port Glasgow Training Suite and another £10k for various other training needs. Spend expected to be incurred from period 6 onwards.
Revenue Expenditure Transferred from Capital	Alan Puckrin	76	0	0	40	36	Sum set aside and utilised as part of the accounts closure process to allow expenditure incorrectly charged to Capital to be funded from Revenue. Spend to be incurred at year end.
Welfare Reforms	Alan Puckrin	303	32	45	138	165	Funding from DWP & Government used for upgrading systems & extra temporary staff to address Welfare Reforms.
Implementation of Saving Workstreams	Alan Puckrin	79	0	0	30	49	New workstream programme approved. Envisaged that delivery of the workstreams will result in some one-off costs. Spend expected to be incurred from period 6 onwards.

Project	Lead Officer/ Responsible Manager	Total Funding 2013/14	Phased Budget To Period 4 2013/14	Actual To Period 4 2013/14	Projected Spend 2013/14	Amount to be Earmarked for 2014/15 & Beyond	Lead Officer Update
		£000	£000	£000	£000	£000	
ICT Shared Services	Aubrey Fawcett	100	0	0	50	50	£13k spend expected in period 6 approx with the balance expected to be spent in future years. Note that spend profile is based on information from East Renfrewshire Council.
Protection of Vulnerable Groups	Alasdair Moore	208	19	14	67	141	PVG expenditure is phased over 3 years starting from November 2012. An 18.5hr Grade C Admin post starting beginning of November 2012 is being funded from this budget. Spend expected to be incurred throughout the year.
Feasibility Study - Hydro Electric Scheme	John Mundell	11	0	0	8	3	To fund Hydro Electric Project Feasibility and assist current project implementation. Costs relate to potential partnership with Scottish Water Horizons for Hydro Project. Spend projected to be incurred November onwards with £3k expected to be incurred in 2014/15. Note that the phasing of spend is subject to change after discussion with Scottish Water.
Microsoft Licensing	Robert Stoakes	138	0	0	15	123	To fund 3 year contract for Microsoft licenses. Spend expected to start from October 2013 onwards.
2013/16 Revenue Contingency	Alan Puckrin	600	0	0	150	450	Sum set aside for unforeseen items over the 3 year budget 2013/16. Spend expected to be incurred from period 6 onwards.
Increased Officer Capacity - Equalities Officer	Wilma Bain	85	2	2	28	57	Equalities Officer started on 15/7/13 - Grade I Post for 2 years until 15/7/15.
Increased Officer Capacity - Communications Assistant	Alasdair Moore	55	4	4	21	34	New Grade F post for 2 year period to support Communications Officer (Media). Post started 28 May 2013.
<b>Total</b>		<b>6,605</b>	<b>79</b>	<b>80</b>	<b>2,280</b>	<b>4,325</b>	

## REVENUE BUDGET MONITORING REPORT 2013/14

PERIOD 11 : 1st April 2013 to 31st July 2013

	Final Outturn 2012/13	Approved Budget 2013/14	Budget to Date 2013/14	Actual to Date 2013/14	Projected Outturn 2013/14
<b>PROPERTY COSTS</b>	<b>18,520</b>	<b>5,000</b>	<b>1,600</b>	<b>10,360</b>	<b>5,000</b>
Repairs & Maintenance	9,680	4,000	1,300		4,000
Rates 1	8,700			10,360	0
Property Insurance	140	1,000	300		1,000
<b>ADMINISTRATION COSTS</b>	<b>11,620</b>	<b>8,500</b>	<b>100</b>	<b>2,160</b>	<b>10,700</b>
Sundries	3,420	300	100	2,160	2,500
Commercial Rent Management Recharge	2,200	2,200	0		2,200
Recharge for Accountancy	6,000	6,000	0		6,000
<b>OTHER EXPENDITURE</b>	<b>147,180</b>	<b>132,800</b>	<b>43,700</b>	<b>2,990</b>	<b>132,800</b>
Christmas Lights Switch On	9,530	10,500	0		10,500
Christmas Dinners/Parcels	16,570	18,000	0		18,000
Christmas Decorations	35,400	35,400	0		35,400
Gourock Highland Games	29,400	29,400	29,400		29,400
Armistice Service	5,470	8,300	0	2,990	8,300
Comet Festival	13,300	13,300	13,300		13,300
Fireworks	12,600	12,600	0		12,600
Contingency for future Community Events		2,200	0		2,200
Society of the Innocents Rent Rebate	3,750	3,100	1,000		3,100
Bad Debt Provision	21,160	0	0		0
<b>INCOME</b>	<b>(212,590)</b>	<b>(146,300)</b>	<b>(120,200)</b>	<b>(38,670)</b>	<b>(140,800)</b>
Property Rental	(144,550)	(188,800)	(157,300)	(38,630)	(188,800)
Void Rents 2		44,500	37,100		50,000
Internal Resources Interest	(1,540)	(2,000)	0	(40)	(2,000)
Donations	(1,500)				0
Lease Premium	(65,000)				0
<b>NET ANNUAL EXPENDITURE</b>	<b>(35,270)</b>	<b>0</b>	<b>(74,800)</b>	<b>(23,160)</b>	<b>7,700</b>
<b>EARMARKED FUNDS</b>	<b>6,270</b>	<b>99,000</b>	<b>0</b>	<b>0</b>	<b>99,000</b>
Replacement of SV Comet	6,270	0			0
John Wood St/Bay St Shop Improvements		95,000			95,000
Contribution to Parade - Royal Regiment of Scotland		4,000			4,000
<b>TOTAL NET EXPENDITURE</b>	<b>(29,000)</b>	<b>99,000</b>	<b>(74,800)</b>	<b>(23,160)</b>	<b>106,700</b>

Fund Balance as at 31st March 2013

249,560

Projected Fund Balance as at 31st March 2014

142,860

## Notes:

## 1 Rates (Empty Properties)

Rates are currently being paid on empty properties, the Assessor has been contacted with a view to obtaining empty Property relief on these properties, it is hoped that 100% relief will be obtained but this is yet to be confirmed and there may be some cost to the Common Good.

## 2 Current Empty Properties are:

Vacant since:

4 John Wood Street	May 2010 - Remedial Works Scheduled
15 John Wood Street	December 2012
10 Bay Street	December 2010
74 Port Glasgow Road	September 2012

It should also be noted that 10 John Wood Street, which had been vacant since November 2009, has recently been let out under "Business Start Up" conditions. While there is an initial rent free period for part of this year full year rent should be achieved in future years.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b> 24 <sup>th</sup> September 2013
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b> FIN/70/13/AP/LA
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b> 01475 712223
<b>Subject:</b>	<b>2013/14 General Fund Revenue Budget as at 31<sup>st</sup> July 2013</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 31<sup>st</sup> July 2013 and to update Committee in respect of the position of the Reserves and Workstream Savings.

## 2.0 SUMMARY

- 2.1 The Council approved a three year Revenue Budget in February 2013 and within that a 2013/14 Revenue Budget with a budgeted contribution to the General Fund Reserve of £4.677 million.
- 2.2 It can be seen from Appendix 1 that as at the 31<sup>st</sup> July 2013 the General Fund is projecting a £48,000 underspend which represents under 0.1% of the net Revenue Budget.
- 2.3 From Appendix 1 it can be seen that 3 of the 4 Service Committees are currently projecting small underspends however Education & Communities Committee is projecting an overspend due to a shortfall in employee turnover.
- 2.4 Appendix 2 shows the latest position in respect of Earmarked Reserves from where it can be seen that as at 31<sup>st</sup> July 2013 expenditure totalled £4.777 million which equates to 17% of the projected spend in 2013/14. It can also be seen from appendix 2 that as at the 31<sup>st</sup> July 2013 actual expenditure is 8.3% behind phased spend.
- 2.5 Appendix 3 shows the latest position in respect of the General Fund Reserves and shows that the projected balance at the 31<sup>st</sup> March 2014 is £5.5 million which is £1.5 million greater than the minimum recommended balance of £4 million.
- 2.6 It was noted at the August Policy & Resources Committee that decisions in respect of the surplus General Fund Reserves balance were scheduled to be taken at the November meeting of the Policy & Resources Committee.
- 2.7 Appendix 4 and Appendix 5 give an update in respect of the Savings Workstreams. From this it can be seen that as at the 31<sup>st</sup> July 2013 48% of the projected savings in 2013/14 have already been delivered.
- 2.8 At the time of writing the report the latest information from the Scottish Government was that there would be an announcement on the 2014/15 Local Government settlement on the 11<sup>th</sup> September 2013. The impact of this information once it has been broken down on a Council by Council basis would be the subject of a further report to the Policy & Resources Committee and ultimately the full Council prior to the end of February 2014.



---

### **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee note the latest position of the 2013/14 Revenue Budget and General Fund Reserves.
- 3.2 It is recommended that the Committee note the 2013/16 Workstream Savings position.

Alan Puckrin  
Chief Financial Officer

## **4.0 BACKGROUND**

4.1 The Council confirmed the 2013/16 General Fund Revenue Budget in February 2013. In the process the Council agreed a 2013/14 Revenue Budget on the basis of a contribution to the General Fund Reserve of £4.677 million.

## **5.0 POSITION AS AT 31<sup>ST</sup> JULY 2013**

5.1 It can be seen from Appendix 1 that as at the 31<sup>st</sup> July 2013 the General Fund is projecting an underspend of £48,000 which equates to less than 0.1% of the net General Revenue Fund Budget.

5.2 It can also be seen from Appendix 1 that 3 of the 4 Service Committees are currently projecting underspends whilst Education & Communities Committee is projecting an overspend of £220,000.

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

Policy & Resources Committee – A projected increase in internal resources income due improved cashflow partially offset by a projected overspend in Non Domestic Rates Discretionary Relief.

Environment & Regeneration – Projected underspend of £151,000 mainly due to excess turnover savings and a projected underspend in vehicle fuel.

Education & Communities - £220,000 overspend – Mainly due to a shortfall in employee turnover and increased spending ASN Transport.

Health & Social Care – Underspend £77,000 – Mainly due to excess turnover savings partially offset by increase in client commitment costs.

5.4 Appendix 2 shows the latest position in respect of the Earmarked Reserves and also provides information on performance against phased budget. Committee are asked to note that the phased budget will not be reviewed during the year and should provide a useful benchmark for Officers and Members to monitor performance against originally envisaged targets.

5.5 It can be seen that as at 31<sup>st</sup> July the Council has spent £4.777million against a phased budget target of £5.21million. This represents a shortfall of 8.3% against target. Performance in respect of Earmarked Reserves is reviewed on a monthly basis by the Corporate Management Team and reported in detail to each Service Committee.

5.6 Appendix 3 shows the projected General Fund Reserves position as at 31<sup>st</sup> March 2014. The projected balance at this date is shown as £5.5 million which is £1.5 million greater than the minimum reserve balance of £4 million recommended and approved via the reserves strategy.

5.7 Proposals in respect of the use of the excess General Fund Reserves are scheduled to be considered by the November meeting of the Policy & Resources Committee. The Corporate Management Team offered in the report to the August Policy & Resources Committee to meet with any political group who would require to discuss potential uses of the Free Reserves.

## **6.0 WORKSTREAM SAVINGS**

6.1 Appendix 4 gives an update from the Corporate Management Team on each of the approved Savings Workstreams.

6.2 Appendix 5 gives an update in respect of the achievement of Workstream Savings for 2013/14 from which it can be seen that 48% of the envisaged target of £398,000 has

been achieved to date.

## **7.0 OTHER FINANCIAL MATTERS**

- 7.1 It is expected that the Cabinet Secretary Mr John Swinney will present the 2014/15 Scottish Government Budget on the 11<sup>th</sup> September 2013. At the same time he is expected to announce indicative figures for 2015/16. Once these figures have been announced and have been broken down into greater detail for individual Councils then a report will be brought back to Members highlighting any issues and providing advice and guidance on any action required.
- 7.2 The main outstanding issue in respect of the 2013/14 Budgets which has not been resolved is in relation to the pay award however discussions are progressing well and it is expected that an announcement in this regard will be made in the near future.

## **8.0 CONSULTATIONS**

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

Policy & Resources CommitteeRevenue Budget Monitoring ReportPosition as at 31st July 2013

Committee	Approved Budget 2013/2014	Revised Budget 2013/2014	Projected Out-turn 2013/2014	Projected Over/(Under) Spend	Percentage Variance
	£,000's	£,000's	£,000's	£,000's	
Policy & Resources	22,587	21,707	21,667	(40)	(0.18%)
Environment & Regeneration	22,733	20,870	20,719	(151)	(0.72%)
Education & Communities (Note 1)	86,405	79,946	80,166	220	0.28%
Health & Social Care	48,491	48,806	48,729	(77)	(0.16%)
<b>Committee Sub-Total</b>	<b>180,216</b>	<b>171,329</b>	<b>171,281</b>	<b>(48)</b>	<b>(0.03%)</b>
Loan Charges (Including SEMP)	13,160	16,749	16,749	0	0.00%
Unallocated Savings (Note 2)	(311)	(273)	(273)	0	0.00%
Contribution to General Fund Reserve	4,677	4,677	4,677	0	0.00%
Workstream Savings Over Achieved	0	0	0	0	0.00%
Earmarked Reserves	0	5,260	5,260	0	0.00%
<b>Total Expenditure</b>	<b>197,742</b>	<b>197,742</b>	<b>197,694</b>	<b>(48)</b>	<b>(0.02%)</b>
<b>Financed By:</b>					
General Revenue Grant/Non Domestic Rates	(164,728)	(164,728)	(164,728)	0	0.00%
Council Tax	(33,014)	(33,014)	(33,014)	0	0.00%
<b>Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>(48)</b>	<b>(48)</b>	

Note 1 - Reduction reflects SEMP earmarked reserve allocated to loans charges and earmarked reserve.

Note 2 - Relates to Procurement/Utilities Workstream Saving

**Earmarked Reserves Position Statement**

**Appendix 2**

**Summary**

<u>Committee</u>	<u>c/f Funding 2012/13</u> £000	<u>New Funding 2013/14</u> £000	<u>Total Funding 2013/14</u> £000	<u>Phased Budget to 31 July 13</u> £000	<u>Actual Spend To 31 July 13</u> £000	<u>Projected Spend 2013/14</u> £000	<u>Earmarked 2014/15 &amp; Beyond</u> £000	<u>2013/14 %age Spend</u>
Education & Communities	5,564	14,936	20,500	3,560	3,208	16,020	4,480	20.02%
Health & Social Care	2,047	1,210	3,257	737	665	2,185	1,072	30.43%
Regeneration & Environment	6,509	6,273	12,782	834	824	7,214	5,568	11.42%
Policy & Resources	5,825	780	6,605	79	80	2,280	4,325	3.51%
	19,945	23,199	43,144	5,210	4,777	27,699	15,445	17.25%

**Actual Spend v Phased Budget**

**(£433k)**

**(8.30%)**

**APPENDIX 3**

**GENERAL FUND RESERVE POSITION**  
**Position as at 31/07/13**

	<u>£000</u>	<u>£000</u>
Projected Balance 31/03/13		14385
Projected Surplus/(Deficit) 2013/14	48	
Contribution to General Fund Reserve 2013/14	4677	
Use of Reserves approved November 2012 (See Undernote)	(3500)	
Use of Reserves approved February 2013 (See Undernote)	<u>(9992)</u>	(8767)
2014/16 Increased DHP allocation - Approved August 2013		(118)
Projected Unallocated Balance 31/03/14		<u><u>5500</u></u>

**Minimum Reserve required is £4million**

Use of Reserves approved November 2012

Adoption Earmarked Reserve	(300)	
2013/16 Revenue Contingency	(600)	
Contribution to 2013/16 Capital Programme	(2000)	
Increased costs Inverkip Community Facility	(250)	
Increased Officer Capacity - Corporate Projects	<u>(350)</u>	(3500)

Approved Usage:

Roads Asset Management Plan (2013/16)	(5900)	
Repopulating/Promoting Inverclyde	(1000)	
Community Facilities - Capital Investment	(750)	
Community Grants	(52)	
Play Areas/MUGA's	(300)	
Blaes Football Park Replacement	(830)	
Employment Support	(330)	
Broomhill Area	(250)	
PG Town Centre	(250)	
Creative Scotland - Match Funding	(250)	
Greenock Town Centre - Extra Police	(80)	
		<u><u>(9992)</u></u>

Workstream Updates as at: **20/08/13**

<u>Lead Officer</u>	<u>Workstream Saving</u>	<u>Update</u>	<u>Target (2013/16) £000</u>
A Gerrard	1 Utility Cost Reductions/Energy Management	Energy Group continues to meet monthly to monitor. Various proposals being taken forward to reduce consumption by (1) applied measures such as replacing light fittings with LED equivalents, introducing water saving measures and fitting water meters and (2) education of users to switch off lights and appliances when not needed and to turn heating down rather than opening windows. Approach to applying savings and timescales agreed with Finance. Further detailed report required. Phasing reviewed and £40k slipped to 2014/15.	150k  To be achieved: 2013/14 60k 2014/15 90k
A Puckrin	2 SEMP Model	SEMP Model has been adjusted to reflect the £190k saving and is showing a net surplus throughout the SEMP timescale.  <b>SAVING COMPLETE</b>	190k
A Fawcett	3 AMP	2013/14 saving to be achieved by taking £1.0million from the accumulated balance. This will be done as part of the 2012/13 year end accounts.  £100k 2014/15 saving applied to the revised AMP model in the June Finance Strategy Update. Model still in surplus overall. <b>SAVING COMPLETE</b>	160k

**Appendix 4**  
(Page 2 of 4)

A Puckrin	4	Procurement	<p>£11k saving achieved in disposal of ICT equipment , £38k in respect of waste disposal, £7k (over 3 years ) in respect of Northgate Maintenance and £19k for mobile phone tariffs. New savings anticipated are: £10k school transport, £16k PPE, £10k for Insurance plus further waste savings.</p>	<p>313k</p> <p>To be achieved: 2013/14 87k 2014/15 73k 2015/16 78k</p>
B Moore	5	Homecare	<p>£64k internal staff savings – impact of CM2000 with 5 posts deleted. £36k external from review of cases not achievable based on reviews to date, alternative being identified and likely to come from internal hours. £25k external from part year implementation of CM2000 external equivalent (further £75k in 2014/15). Pilot commenced August 2013 with one provider and the second being agreed.</p> <p>New project team established to improve and develop management information, which will also inform re-ablement reporting. Templates designed to capture month on month changes. Work is progressing well with initial data being reviewed and further reporting being developed.</p> <p>Monthly overview of all Homecare savings will take place and a project plan / timeline for tracking progress will be developed. Work has commenced on developing a framework agreement for providers to start April 2014, associated financial modelling is being developed.</p>	<p>200k</p> <p>To be achieved: 2013/14 61k 2014/15 75k</p>
A Puckrin	6	2015/16 Operational Saving	<p>No action required until 2014/15</p>	<p>750k</p>



Appendix 4  
(Page 3 of 4)

				To be achieved: 2015/16 750k
		<u>Workstreams – Target to be allocated to the following</u>	Target to be split and allocated to savings below at September Finance CMT.	800k
J Mundell	7	Shared Services	Discussions ongoing with Renfrewshire and East Renfrewshire regarding Roads & ICT opportunities. Chief Executives to progress projects. Additional service areas have been identified for consideration as possibilities for shared provision between the three Councils. Options will be developed in due course.	To be achieved: 2015/16 800k See above
A Puckrin	8	Charging	First meeting took place 13 <sup>th</sup> June and agree how to progress 5 items of work which range from identifying increased/new charges, reviewing waiver/relief policies and improving debt collection. Work on going in reviewing processes, benchmarking, identifying new charging opportunities and waiver/reliefs practices. Next meeting due 3.9.13.	See above
A Puckrin	9	Modernisation	Opportunities to be channelled initially via the Modernisation CIG. CIG approved investment in ATLAS benefits software. Saving £15k identified from 15/16. Channel Shift group set up to identify opportunities where service could be improved and/or costs saved. Demonstration from Lagan on potential developments	See above

**Appendix 4**  
(Page 4 of 4)

I Moffat	10	Social Transport	being arranged by ICT.	See above
		Officers attended Clyde Valley "Social Transport" Group on 25 <sup>th</sup> February. This was the first meeting of the group in 2 years.  Meeting held between E&CS, Finance and Procurement on 17/06/13 to agree tasks required to identify a savings target by September. Costings for specific Education transport contracts are now being examined and benchmarked against the cost of in-house provision. Further meeting to be arranged to agree target saving before the end of August 2013.  No further update, however officers presented to wider Transport review Group, outlining the plans to carry out an in house service review along with the progress to date by the Clyde Valley working Group.		
A Moore	11	Terms & Conditions	Met with the trade unions, presentation made to the CMT on strategic way forward, report presented to the CMT on 18/04/13. Options to be put to a future SLF to be arranged.	See above
A Moore	12	Sessional Budgets	Further meetings have taken place looking at systems and information. Seeing team early September to agree what savings could be achieved.	See above

Savings Workstreams - 20/08/13

Lead Officer	Savings Achieved	Target	2013/14	2014/15	2015/16	Total 2013/16	Over/(Under) Recovery
		£000	£000	£000	£000	£000	£000
A Gerrard	1/ Utility Cost Reductions/Energy Management	150	0	0	0	0	0
A Puckrin	2/ SEMP Model	190	0	190	0	190	0
A Fawcett	3/ AMP	160	60	100	0	160	0
A Puckrin	4/ Procurement	313	66	7	2	75	0
	Disposal of ICT Equipment	0	11	0	0	11	0
	Waste Disposal	0	38	0	0	38	0
	Northgate Systems	0	2	3	2	7	0
	Vodafone	0	15	4	0	19	0
B Moore	5/ Homecare	200	64	0	0	64	0
A Puckrin	6/ 2015/16 Operational Savings	750	0	0	0	0	0
	<b>Workstreams - Targets to be allocated</b>	<b>800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
J Mundell	7/ Shared Services	0	0	0	0	0	0
A Puckrin	8/ Charging	0	0	0	0	0	0
A Puckrin	9/ Modernisation	0	0	0	0	0	0
I Moffat	10/ Social Transport	0	0	0	0	0	0
A Moore	11/ Terms & Conditions	0	0	0	0	0	0
A Moore	12/ Sessional Budgets	0	0	0	0	0	0

Sub-Total	2563	190	297	2	489	0
-----------	------	-----	-----	---	-----	---

Savings Workstreams - 20/08/13

Lead Officer	Savings Planned	2013/14				2014/15				2015/16				Total 2013/16			
		£000				£000				£000				£000			
A Gerrard	1/ Utility Cost Reductions/Energy Management	60	90	0	150	0	0	0	0	0	0	0	0	150	0	0	0
A Puckrin	2/ SEMP Model	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Fawcett	3/ AMP	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Puckrin	4/ Procurement	87	73	5	238	78	5	0	78	78	0	0	0	238	78	0	0
	Insurance	5	5	4		0	0	0		0	0	0					
	PPE	12	4	3		0	0	0		0	0	0					
	SPT School Transport	7	3	61		0	0	0		0	0	0					
	Unidentified	63	61	75		78	0	0		78	0	0					
B Moore	5/ Homecare	61	75	0	136	0	0	0	0	0	0	0	0	136	0	0	0
A Puckrin	6/ 2015/16 Operational Savings	0	0	0	750	0	0	0	750	0	0	0	750	750	0	0	0
	<u>Workstreams - Targets to be allocated</u>	0	0	0	785	785	0	0	0	785	0	0	0	785	0	0	0
J Mundell	7/ Shared Services	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Puckrin	8/ Charging	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Puckrin	9/ Modernisation	0	0	0	15	15	0	0	15	15	0	0	15	15	0	0	15
I Moffat	10/ Social Transport	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Moore	11/ Terms & Conditions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A Moore	12/ Sessional Budgets	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-Total		208	238	1628	2074	208	238	1628	2074	208	238	1628	2074	208	238	1628	2074
Total		398	535	1630	2563	398	535	1630	2563	398	535	1630	2563	398	535	1630	2563

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>24 September 2013</b>
<b>Report By:</b>	<b>Corporate Director Education, Communities &amp; Organisational Development</b>	<b>Report No:</b>	<b>PR/096/13/AH/KM</b>
<b>Contact Officer:</b>	<b>Karen McCreedy</b>	<b>Contact No:</b>	<b>712146</b>
<b>Subject:</b>	<b>Corporate Performance Report – Statutory Performance Indicators 2012/13</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of this report is to present to Committee the Corporate Performance Report. Each year the autumn edition of the Corporate Performance Report features the Council's Statutory Performance Indicator (SPI) return.

## **2.0 SUMMARY**

- 2.1 As per the Audit Scotland SPI Direction, Inverclyde Council is required to monitor and report its performance to the public on a range of information under the headings of Corporate Management and Service Performance. This includes 20 prescribed indicators that have been set by Audit Scotland. The Council has a legal obligation to submit SPI information to Audit Scotland for national publication by 31 August 2013 and thereafter make it publically available.
- 2.2 It should be noted that this is the final year that Inverclyde Council will be required to report on the 20 prescribed indicators set by Audit Scotland. These indicators will be replaced by the SOLACE Benchmarking Indicators in reporting year 2013/14. Members considered a report on the SOLACE Benchmarking Indicators at a meeting on 26 March 2013. A presentation and full performance briefing was also provided to Members on 25 March 2013.
- 2.3 At the Policy and Resources meeting on 26 March 2013, Members agreed that services should submit a further follow up report on the progress that has been made and the benchmarking activity that has been carried out in relation to the SOLACE Benchmarking Indicators prior to the end of the year.
- 2.4 In relation to Inverclyde Council's performance for reporting year 2012/13, Appendix 1 provides full details of how we performed in relation to both Audit Scotland's prescriptive indicators (referred to as SPIs) and our own key, self assessment performance indicators (referred to as KPIs). Data is provided for 2010/11, 2011/12 and 2012/13, target and RAG status (Red, Amber, Green), a note of whether performance has improved or declined and a commentary on performance. This information is aimed at providing the public with a more rounded picture of our performance.
- 2.5 The prescribed indicators in Appendix 1 are suffixed with an S and shaded grey. As these indicators are set by Audit Scotland, they cannot be changed. Indicators that are suffixed with a K are the Council's own key performance, or self assessment indicators, which can be changed as long as they are replaced with something else which measures performance under the relevant category.
- 2.6 The 20 statutory performance indicators (SPIs) that the Council must report are broken down into 42 individual measures. No target has been set for the five Homecare measures because of the nature of the service provided and therefore no RAG status has been allocated. Of the remaining 37 measures, 21 (57%) demonstrated good performance (Green), 9 measures (24%) were within tolerance (Amber)

and 7 measures (19%) showed room for improvement (Red).

2.7 The Council has 95 key, self assessment performance measures that supplement the SPIs. At the time of writing, information is being finalised for the following 8 measures. These will be reported as soon as the performance information becomes available:

- Community Care (4 respite measures)
- Sustainable Development (1 measure)
- Education (3 measures – awaiting publication of national figures from Scottish Government)

2.8 Of the remaining 87 measures where performance information is available, 7 do not have a target set and therefore have no RAG status. Of the remaining 80 measures, 63 (79%) demonstrate good performance (green), 7 measures (8.5%) are within tolerance (amber) whilst 10 (12.5%) measures show room for improvement (red).

2.9 Overall, the combined performance for both SPIs and KPIs is good. 84 (71%) of available measures demonstrate good performance (green). 16 (14%) of measures are within tolerance (amber) whilst 17 (15%) measures show room for improvement (red). Details of the measures that have a 'red' status are provided in paragraphs 6.5 (for SPIs) and 7.6 (for KPIs). As mentioned above, there are 12 combined SPI/KPI measures which do not have a performance target set and therefore do not have a RAG status.

2.10 Full performance details are provided in Appendix 1.

### **3.0 RECOMMENDATIONS**

That the Committee:

- Note the Council's performance in relation to SPIs and KPIs for reporting year 2012/13.
- Note that our performance information in relation to the SPIs will be published nationally by Audit Scotland early next year.
- Note that the prescribed SPIs will be replaced by the SOLACE Benchmarking Indicators for reporting year 2013/14.
- Note that a follow up report and details of benchmarking activity on the SOLACE Benchmarking Indicators will be presented by the relevant services to Committee before the end of the year.
- Agree that the performance report (Appendix 1) which provides a commentary on performance for both the SPIs and KPIs will be placed on the Council's website as part of the Council's public performance reporting arrangements.

**Albert Henderson**  
**Corporate Director**  
**Education, Communities and Organisational Development**

## 4.0 BACKGROUND

- 4.1 The Local Government Act 1992 requires local authorities to collect and publish annual information relating to its performance. The Accounts Commission specifies some of the performance information and gives councils discretion to report additional information relevant to local priorities.
- 4.2 In its 2008 Direction, Audit Scotland announced a review of the SPIs. Prior to this, SPIs had been prescribed for Councils each year and accompanied by detailed guidelines to ensure that performance information was compiled across all local authorities in a consistent manner.
- 4.3 Following the review, Audit Scotland adopted a significantly different approach and Councils were provided with the flexibility to develop a broad set of key, self assessment indicators for the public, alongside a shorter set of 20 prescribed indicators (excluding 5 housing indicators), which were retained by Audit Scotland for comparative purposes. This performance information will be published nationally for all 32 Scottish Councils. Within the overarching categories of Corporate Management and Services Performance, a number of performance categories were identified as being of importance:

### **Corporate Management**

- Responsiveness to its communities
- Employees
- Assets
- Procurement
- Sustainable Development
- Equalities and Diversity

### **Service Performance**

- Benefits Administration
- Community Care
- Criminal Justice Social Work
- Cultural & Community Services
- Planning
- The education of children
- Child protection and Children's Social Work
- Housing & Homelessness
- Protective Services
- Roads and Lighting
- Waste Management Services

- 4.4 2012/13 is the fourth year of reporting under this approach. The self assessment indicators are subject to annual review and refinement to ensure that they remain meaningful and appropriate.
- 4.5 Following the latest review, a number of self assessment indicators were changed. These indicators relate to the areas of:
- Criminal Justice Social Work
  - Child Protection & Children's Social Work
  - Procurement
- 4.6 The prescribed set of 20 indicators were submitted to Audit Scotland prior to the deadline of 31 August 2013. All indicators must be available in the public domain by 30 September and will be placed prominently on the Council's website following approval from Committee.
- 4.7 Audit Scotland's indicators will be replaced in 2013/14 by the SOLACE Benchmarking Indicators. Members considered a report on the SOLACE Benchmarking Indicators at a meeting on 26 March 2013. A presentation and full performance briefing was also provided to Members on 25 March 2013.
- 4.8 At the Policy and Resources meeting on 26 March 2013, Members agreed that services should submit a further follow up report on the progress that has been made and the benchmarking activity that has been carried out in relation to the SOLACE Benchmarking Indicators prior to the end of the year.

## **5.0 2012/13 SPI / KPI PERFORMANCE OVERVIEW**

- 5.1 Appendix 1 provides details of Inverclyde Council's performance in relation to both Audit Scotland's prescriptive indicators and our own self assessment indicators. The prescribed indicators, suffixed with an S are shaded grey and cannot be changed or altered. Indicators that are suffixed with a K are the Council's own key performance, or self assessment indicators, which can be changed as long as they are replaced with something else which measures performance under the relevant category.
- 5.2 Performance information has been extracted from the Council's electronic performance management system, Inverclyde Performs. Using a balanced scorecard approach, Inverclyde Performs allocates the performance of each measure a status: green = good performance, amber = performance is within tolerance and red = poor performance.
- 5.3 Each indicator is set two values, a target and an alarm. It should be noted that the majority of indicators in Appendix 1 have targets and alarms in place that have been set by the service, however in some instances, where no target has been provided, a system default target of 5% improvement on the previous year is imposed. Work will continue with services to continually review targets on an ongoing basis.
- 5.4 It should also be noted 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 poor performance. Anything that is in between these two points is designated amber (within tolerance).
- 5.6 Overall, for reporting year 2012/13, Inverclyde Council reports on 137 performance measures. This is a combination of 42 Statutory Performance Indicators (which sit beneath 20 headline SPIs) and 95 key self assessment indicators. Performance information is currently being finalised for 8 KPIs.
- 5.7 Of those measures that are available at the moment, overall performance is strong (i.e. the combined performance level for both SPIs and KPIs). 84 (71%) of available measures demonstrate good performance (green). 16 (14%) of measures are within tolerance (amber) whilst 17 (15%) measures show room for improvement (red). There are 12 combined SPI/KPI measures which do not have a performance target set and therefore do not have a RAG status. Full performance details are provided in Appendix 1.

## **6.0 PERFORMANCE INFORMATION – Statutory Performance Indicators**

- 6.1 The Council's performance in relation to the SPIs will be published by Audit Scotland. Whilst Audit Scotland no longer produce league tables ranking the performance of all 32 Scottish Councils it will be possible to carry out our own analysis of how we compare with our comparator authorities once this information is available later in the year.
- 6.2 Overall, performance in relation to the SPIs for 2012/13 remains good. The 20 statutory performance indicators that the Council must report on contain 42 individual measures. No target has been set for the five Homecare measure because of the nature of the service provided. Of the remaining 37 measures, 21 (57%) demonstrated good performance (green), 9 measures (24%) were within tolerance (amber) and 7 measures (19%) showed room for improvement (red).
- 6.3 In terms of year on year performance when compared with 2011/12, 17 measures have gone up - improved performance - with 5 measures remaining steady. 12 measures have a downward trend i.e performance levels are lower than last year. It should be noted however that a fall in performance level does not necessarily mean poor performance, as performance can go down but still remain above target. Three measures relating to Planning were changed in 2012/13 therefore



no trend information is available. A full explanation of all performance is provided in Appendix 1.

#### 6.4 Highest ever performance levels were achieved in 2012/13 in the following:

- The number of council buildings from which the council delivers services to the public which are suitable for and accessible to disabled people - 78% in 2012/13 from 25% in 2005/06.
- The percentage of operational accommodation that is in satisfactory accommodation is now 82.3% from 69% in 2008/09.
- The proportion of operational buildings that are suitable for current use is now 80.3%. It was 63.2% in 2008/09.
- Gross HB administration cost is now £37.53, significantly down from £45.43 in 2008/09.
- The percentage of invoices sampled and paid within 30 days is now 96.03%.
- The number of visits to museums per 1,000 population was 721, compared to 615 in 2008/09.
- The number of library visits per 1000 population (actual and virtual) was 4,462. In 2008/09 the figure was 2,878.
- The average time (hours) between the time of domestic noise complaint and attendance on site fell in 2012/13 to 16.6hours. In 2008/09 it was 50 hours.
- The percentage of household waste recycled reached its highest level of 54.1%

#### 6.5 As referred to in paragraph 6.2, 7 SPI measures had red status i.e. showed room for improvement in 2012/13. These were:

- **Number of females in top 2% of earners**
- **Number of females in top 5% of earners**

The number of females in the top 2% and 5% has remained fairly constant over the past 3 years. The Council has robust equality management procedures in place. In addition, our recruitment and selection procedures are equality impact assessed to ensure that equality standards are met. Recruitment and selection procedures are subject to rigorous re-evaluation at regular intervals to ensure equality standards are maintained. Despite performance being lower than the Council's own set targets, comparison with other Scottish Councils for 2011/12 (2012/13 not yet available) shows that the percentage of females within Inverclyde Council that are amongst the top earners is higher than both the Scottish average and median.

- **Use of sports and leisure facilities – Number of attendees per 1000 population**

The performance information for this indicator is supplied by Inverclyde Leisure. The target that has been set for this indicator was a 5% improvement on the previous year's performance (9832 attendances per 1000 population). The actual number of attendances however fell to 8,719. This fall may be attributable to the closure of Greenock Sports Centre, a popular leisure facility, which closed in June 2012 and re-opened in March 2013.

- **Trading Standards – the % of consumer complaints completed within 14 days**

Performance for this indicator fell from 100% in 2011/2 to 83.7% in 2012/13. First tier consumer advice requests are taken nationally by Citizen's Advice Service (CAS) on a national helpline. These are then uploaded automatically to the Trading Standards Service back office system (Uniform) from the database of the CAS. CAS took on this role on 1 April 2012 from Consumer Direct. Complaints from CAS are categorised as Notifications and Referrals. The bulk of consumer complaints come to Trading Standards as Notifications i.e. CAS has given advice and there is no further action required, these are not included in the PI but are monitored for any underlying trends. Referrals, usually where there is a suspicion of illegal trading, form the basis of this PI. In these cases Trading Standards Officers will investigate further. Unfortunately between 1<sup>st</sup> April 2012 & 7<sup>th</sup> August 2012 the link between the CAS database & Uniform was disabled. As a result

of this no new Referrals or Notifications were accepted into the Uniform system. This led to 14 failures of the PIs as Trading Standards were unable to access the complaints and thus unable to deal with them within the required timescale. Some consumers followed up their complaints by contacting us directly but some complaints could not be dealt with until the link was restored. If the Uniform link had been working correctly only 3 failures would have occurred leading to a 97% PI rate.

- **Homelessness (temporary) % of decision notifications issued within 28 days of date**
- **Homelessness (temporary) % of cases reassessed within 12 months of completion of duty**

Performance for both temporary homelessness indicators fell below target in 2012/13. It is worth noting here however, that this section refers to cases that the local authority's only duty is to provide temporary accommodation. These cases tend to require a lot of investigation to come that decision and therefore it is not surprising that it proves difficult to maintain the target set. The same can be said for the increase in repeat presentation and this group are the most challenging to engage with services.

- **The average time taken in weeks to deal with major planning applications determined during the year**

This is a new statutory performance indicator and is a subset of wider measure where the overall performance is good (green). While only 4 major planning applications were determined during the year, they attracted in excess of 1,600 representations from members of the public. The practicalities of administering and taking into account this high level of public interest significantly contributed to the average time taken to determine major planning applications not being met.

## **7.0 PERFORMANCE INFORMATION– KPIs**

7.1 In addition to the SPIs, the Council has 95 key, self assessment performance indicators or measures that it assesses performance against on an annual basis.

7.2 At the time of writing, information is being finalised for the following 8 measures. These will be reported as soon as the performance information becomes available:

- Community Care (4 respite measures)
- Sustainable Development (1 measure)
- Education (3 measures – awaiting publication of national figures from Scottish Government)

7.3 There are seven KPI measures which provide contextual information and do not have a set target, therefore these measures do not have a RAG status. These relate to:

- Trading Standards – the number of interventions carried out at business premises in Inverclyde during the financial year
- Health and Safety at Work – the number of interventions carried out at business premises in Inverclyde during the financial year.
- Case conferences – Cases of parental drug misuse identified
- Case conferences – Cases of alcohol misuse identified
- Looked After Children Community Placements
- Children on the Child Protection Register

In addition, a new Equalities Training measure was introduced for reporting year 2012/13 but no target was set. A target has however been established for 2013/14. This measure however has no RAG status for 2012/13.

- 7.4 Of the remaining 80 measures where performance information is available, 63 (79%) demonstrate good performance (green), 7 measures (8.5%) are within tolerance (amber) whilst 10 (12.5%) measures show room for improvement (red).
- 7.5 In terms of year on year performance when compared with 2011/12, 44 measures show an upward trend – improving performance, 23 measures have a downward trend – performance lower than the previous year and 9 measures have remained static. There is no trend information for the 7 measures that do not have RAG status and also 4 Criminal Justice indicators which were new this reporting year.
- 7.6 Details of the 10 KPI measures with a 'red' status i.e. showing room for improvement in 2012/13 are provided below:

- **Access to buildings - % of residents stating that they found buildings easy to access**

This performance data has been obtained from the Council's Citizens' Panel Survey in 2012. Questions are repeated every two years to allow us to assess whether an improvement has been achieved. In 2010, 93% of residents found the Council buildings easy to access, however this fell to 79% in 2012. This may have been due to the closure of the Council's main reception in the Municipal Buildings and the transfer of reception facilities to Wallace Place whilst the Council's Customer Service Centre was being built over the period 2011/12. The Council's office modernisation / rationalisation programme will result in improved accommodation and we would expect to see performance in relation to this indicator improve again when respondents are asked this question in a 2014 Citizens' Panel survey.

- **Health & Safety incident rates per 1000 employees**

Whilst Health and Safety incident rates fell in 2012/13 after a rise in the previous two years, performance for this indicator remains below target. The most common incident types reported were violence to staff and slip, trips and falls. Violence to staff incidents saw a reduction from 86 to 57. Education Services have been rolling out their Positive Behaviour Strategy over the course of the year and while it is too early to say if this strategy has had an effect on the reduction in incidents, a link between this and the reduction in incidents is possible and will be monitored. There has been a slight reduction in the number of slip, trip and fall incidents from 49 to 46, there is no overall pattern to the types of falls and for most there was no definite underlying cause.

- **Sundry Debtors Accounts – the proportion of outstanding debt that is more than 90 days old**

The proportion of sundry debt that is more than 90 days old increased from 11.25% in 2011/12 to 35.89% in 2012/13. Performance in this area however can vary widely due to a number of influencing factors such as large value debts being raised which result in long term repayment plans and significant differences in the value of overall debt at each year-end. The collection of Sundry Debt is an area that the Council's in-house Debt Recovery team strives to improve. The value of sundry debt outstanding at 31st March 2013 was £1.09m compared to £2.25m at 31st March 2012 thus accounting for over half the deterioration in the KPI. The percentage of debt over 90 days old can vary significantly annually due to differences in the value of invoices raised and accounts on long term arrangements.

- **Number of library issues per 1,000 population**

The number of library issues per 1,000 population fell from 2,936 issues per 1000 population to 2,702 in 2012/13. Benchmarking undertaken with neighbouring local authorities indicates that this reflects the national picture and is closely related to the increase in popularity of eBooks and use of eReaders / tablets. In response Inverclyde Libraries launched an eBooks download service in April 2013 and we would hope to see issue figures increase next year on the back of this.

- **Anti Social Behaviour - % of respondents reporting a reduction in anti-social behaviour**

The performance information for the above has also been extracted from the Council's Citizens' Panel Survey. 10% of respondents reported a reduction in anti-social behaviour in 2011, which fell below the target set. Performance for this indicator however remained fairly constant between the two surveys (11% in 2009). The Council works closely with partners to address any complaints of anti-social behaviour to identify problematic hotspots and to take the appropriate action in these areas. This question is due to be asked again in a future Citizens' Panel Survey later this year.

- **Exercise - % of Inverclyde residents participating in sport / similar activity at least every two weeks**

The performance information for the above has been extracted from the Citizens' Panel Survey. Questions within the survey are repeated every two years to assess whether an improvement has been achieved. 57% of respondents in a 2012 Citizens' Panel survey advised that they participated in sport or a similar activity at least every two weeks, which fell below the target of 59% (performance at the time of the 2010 survey). This question is due to be asked again in a future Citizens' Panel Survey later this year.

Inverclyde Council and Inverclyde Leisure together with representatives from sports clubs are currently developing a new 'Framework for Sport in Inverclyde'. The framework aims to maximise the benefits of Inverclyde's sporting facilities to clubs and individuals. It will focus on participation and enabling clubs and individuals to achieve their potential. The CHCP has 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 well being.

- **Food Safety Hygiene Inspections - % of interventions achieved**

Performance for this indicator fell from 95% in 2011/12 to 72.1% in 2012/13. This performance indicator is based upon Inverclyde's return to the Food Standards Agency (FSA), the Local Authority Enforcement Monitoring return (LAEMS). The LAEMS return is based on an authority's performance against its inspection programme. The inspection programme for LAEMS is based upon the risk rating of the premises (A-E) with inspection of premises due at intervals based upon that risk rating.

In 2012, Inverclyde Council embarked on a three year programme to introduce the FSA's cross contamination guidance to food businesses in Inverclyde. This is a resource heavy programme resulting in a partial suspension of the normal risk based inspection programme with the agreement of the FSA. A number of inspections which would normally be due in the course of the year were therefore ignored in favour of the more tightly focussed inspection programme. At the time the implications for the Council's LAEMS return were flagged up to FSA. At the end of the first year we sought guidance from the FSA on how to report our activities in LAEMS. Two options were available:

1. Approach 1 – Count Category C premises which would have been due inspection under previous risk based programme but which did not form part of the cross-contamination programme. Total interventions achieved 479, 184 due outstanding from original (risk based) programme -  $479/479+184 = 72\%$

2. Approach 2 - Remove from the 184 due outstanding interventions: 103 category C not handling raw therefore not part of cross contamination programme; 69 C category premises which form part of the overall cross-contamination programme but which were not due inspection in year 1 having been assessed as medium or low risk for cross-contamination; 3 category c premises which were assessed as high risk for cross contamination however as we over achieved against our programme for this category (we expected to manage 50 but in fact managed 94) these do not count as failures and; 4Ds & 4Cs.

In fact, under this method only one inspection was missed which was included as part of the year's cross-contamination programme (a C premises scoring 20 for vulnerable groups which was accidentally missed having been printed on the reverse side of a print out of inspections due) we in fact achieved 479/480 interventions or 99.8%. Advice from the FSA was that we should follow approach 1 in our LAEMS return therefore the PI appears to show a marked reduction whereas we actually achieved very close to 100% of the inspections we intended to carry out at the outset.

- **Successful planning appeals as a percentage of all appeals**

Whilst the percentage of successful planning appeals in 2012/13 was higher than the target set, the apparently large increase in successful appeals is due to the small numbers that make up this indicator e.g. in 2012/13 there were 4 appeals, 3 of which were successful (75%). In the previous year, there were 9 appeals, 6 of which were successful (66%). Overall planning appeal numbers are therefore low and a difference of 1 can significantly impact on the performance of this indicator. In addition, this indicator forms the second part of a measure which relates to 'successful planning appeals as a percentage of all determinations'. Performance for this indicator improved in 2012/13 and has a Green status.

- **Roads - Customer Satisfaction Surveys Completed**

The number of customer satisfaction surveys completed in 2012/13 (9 surveys) fell below the target set (13 surveys). The bulk of the surveys carried out are in relation to the major carriageway and footway resurfacing/reconstruction schemes, and completion is dependent on the return of the survey form by the public; generally, returns are low, and performance for this KPI is affected by this.

- **Roads - % of footways reconstructed/resurfaced**

In 2012/13 the percentage of footways reconstructed / resurfaced fell by 0.4%, which placed it below the target of 0.9%. The extent of footways resurfaced/reconstructed is determined largely by the budget availability and technical priorities. The increased funding for the period 2013 to 2016 may improve data in respect of this KPI, but this is dependent of technical priority and competition with other roads assets (carriageways, street lighting and structures).

- 7.7 Full performance details and a commentary on all statutory and key, self assessment indicators can be found in Appendix 1.

## **8.0 IMPLICATIONS**

### **8.1 Finance**

One off Costs - None

Annually recurring costs – None

### **8.2 Human Resources**

None

### **8.3 Legal**

The Council has a legal obligation to provide Audit Scotland with information in relation to Statutory Performance Indicators on or before 31 August 2013. The Council also has a legal

obligation under the Local Government Act 1992 to place the information in relation to all SPIs and KPIs in the public domain.

8.4 Equality and Diversity  
None

8.5 Repopulation  
None

## **9.0 CONSULTATION**

9.1 The information contained within Appendix 1 has been taken from the Council's Performance Management System, Inverclyde Performs. This information has been provided by the SPI / KPI lead officers that are based within various services of the Council. A commentary on performance has also been provided by service managers.

## **10.0 BACKGROUND PAPERS**

10.1 SOLACE – Improving Local Government Benchmarking Report

Inverclyde Council  
**Statutory Performance  
Indicators**  
**2012 /2013**



## **INVERCLYDE COUNCIL'S STATUTORY AND KEY PERFORMANCE INDICATORS**

Inverclyde Council has a statutory duty to capture and record how well we are performing in relation to a wide range of performance information. This includes 20 indicators that are prescribed by Audit Scotland as well as a broad set of key performance indicators for the public that the Council has established as a means of self assessment within the parameters of Audit Scotland's overarching categories of Corporate Management and Services Performance.

All Inverclyde Council's Performance Indicators are presented in this report. The indicators that are shaded light grey (and suffixed S) are prescribed (set) Statutory Indicators for 2012/13 and are reported by all 32 Scottish Authorities to Audit Scotland.

The remaining indicators (those suffixed with a K) are Key Performance Indicators chosen by Inverclyde Council which aim to fulfil the criteria under the set headings provided by Audit Scotland. This report contains information relating to how Inverclyde Council has performed in relation to all our Performance Indicators and aims to give all our stakeholders and the public in particular, a better understanding of how the services provided by Inverclyde Council are performing and how this performance has changed over time.

The status column indicates whether performance is considered good in relation to the indicator (Green), whether the indicator is within tolerance (Amber) and whether performance is considered to be poor in relation to the target (Red). There is also information on whether the performance has improved over time or whether it has declined.

All the Council's performance information can be found on the website under Council and Government / Performance.

You may also be interested in the Council's performance in relation to the SOLACE Benchmarking Indicators. The Benchmarking indicators provide full details of the Council's performance across a range of areas compared to the Scottish average and median and also our ranking in relation to the 32 Scottish Councils.

You can view our SOLACE Benchmarking Indicators Performance Report here:



## **INVERCLYDE COUNCIL**

### **STATUTORY AND KEY PERFORMANCE INDICATORS PERFORMANCE REPORT**

#### **CORPORATE MANAGEMENT**

Page

• Assets	4
• Employees	9
• Equality & Diversity	14
• Procurement	17
• Responsiveness to its Communities	20
• Revenues and Service Costs	24
• Sustainable Development	29

#### **SERVICE PERFORMANCE**

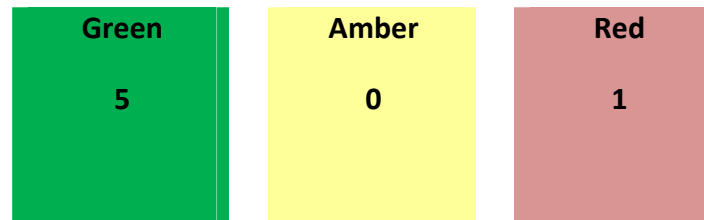
• Benefits Administration	33
• Child Protection & Children's Social Work	35
• Community Care	41
• Criminal Justice Social Work	46
• Culture & Community Services	49
• Health & Trading Standards	56
• Homelessness	63
• Planning	66
• Protective Services	69
• The Education of Children	78
• Waste Management Services	92

## Corporate Management - Assets

## Corporate Management - Assets

<b>SPI 013S</b>	Public Access - % of public areas with Council buildings suitable for and accessible to disabled people
<b>SPI 014aS</b>	Asset management - % operational accommodation that is in satisfactory condition
<b>SPI 014bS</b>	Asset Management Suitability - % of operational accommodation that is suitable for its current use
<b>SPI 015aK</b>	Access to Buildings ( used in last year) - % of residents who have accessed Council buildings in the past 12 months
<b>SPI 015bK</b>	Access to Buildings (ease of access) - % of residents stating that they found Council buildings easy to access
<b>SPI 016K</b>	Property Maintenance Service Response Times - % of repairs completed within target time

Assets (6)



## Corporate Management - Assets

<b>SPI 013S Public Access - % of public areas with Council buildings suitable for and accessible to disabled people</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
66.3%	71.4%	78%	74%	<b>Green - Improving</b>

<b>SPI 014aS Asset management - % operational accommodation that is in satisfactory condition</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
62.6%	77.1%	82.3%	78%	<b>Green – Improving</b>

<b>SPI 014bS Asset Management Suitability - % of operational accommodation that is suitable for its current use</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
72.9%	78.4%	80.3%	80%	<b>Green – Improving</b>

### What the Data Tells Us

There has been a significant year on year improvement across all three performance areas detailed above, with the largest overall improvement over the period recorded in the percentage of operational accommodation that is in a satisfactory condition (19.7%).

### Further Information

This is a priority area for the Council as it wants to ensure it delivers services to the public from buildings which are fit for purpose.

As the Council refurbishes/re-news its property holdings, it ensures that all equality requirements are attended to at the same time, which obviously records an increase in the performance of this indicator. All Council properties have now had access surveys carried out and the recommendations contained therein are attended to on a priority basis. Sometimes it is not possible to improve the access to properties due to the particular circumstances of each building however where this is the case the Council tries to ensure the public can get access to the services via another route.

## Corporate Management - Assets

Condition surveys on our main properties were also carried out in 2008 – 09. The surveys were broken down into the 11 elements which Audit Scotland required. The surveys and the identified necessary repairs were analysed and each building was given a rating. In the following years all improvement works or items requiring repair were noted and the gradings against each element of each building changed accordingly, as did the overall score. The requirement for condition surveys is that they should be undertaken every 5 years; as such we should be renewing ours shortly.

In 2011/12 two new secondary schools were finished which helped to improve these indicators. Results in 2012/13 improved further as other properties undergoing refurbishment were completed such as Whinhill and St Andrew's Primary schools, Binnie St Nursery, Gourrock Pool and Ravenscraig stadium. The Council's Customer Service Centre, which is a £2 million custom built facility, also opened in July 2012.

As the indicators relate to property, changes cannot be made instantly and there is a time element involved e.g. in marketing / acquiring and refurbishing / building new properties. As such, there is a knock on effect to services who may have to remain in unsuitable properties while waiting on new premises being prepared. Currently the Council is progressing an Office Rationalisation programme which has two objectives: firstly to introduce more modern ways of working, including flexible working, home working and electronic document storage which will reduce the requirement for desks and space and secondly, to rationalize and refurbish the office accommodation portfolio resulting in a smaller estate which is in good condition and suitable for purpose. As a result, the Council will be able to dispose of unsuitable and uneconomical properties. This is an on-going process as the Council strives to make savings in property costs.

With regard to suitability, questionnaires were issued to all occupiers, as they are best placed to advise on the suitability of the property for their own service. The questionnaires were compiled following discussion with other Scottish Councils so all returns should be on roughly the same basis. Results are benchmarked at ACEs meetings.

Further improvements are planned through the office and depot rationalisation programme and the School Estate Strategy. This is reported to Committee on a regular basis. In 2013/14 a major new community campus will be opened replacing one secondary and two ASN schools as well as a fully refurbished Secondary School and a fully refurbished ASN school. Three major office refurbishment projects will also be undertaken in 13/14.

SPI 014a and SPI014b are also SOLACE Benchmarking indicators.

## Corporate Management - Assets

SPI 015aK Access to Buildings ( used in last year)-% of residents who have accessed Council buildings in the past 12 months				
2008	2010	2012	Target (where set)	Status
27%	26%	29%	28%	Green– Level*

SPI 015bK Access to Buildings (ease of access) - % of residents stating that they found Council buildings easy to access				
2008	2010	2012	Target (where set)	Status
88%	93%	79%	95%	Red – Declining

### What the Data Tells Us

This data has been extracted from the Council’s Citizens’ Panel. SPI 015aK (% of residents who have accessed Council buildings in past 12 months) is a measure of usage of the Council premises rather than a measure of performance. Residents may prefer to telephone, write, e-mail etc rather than call in person to an office of the Council.

The percentage of respondents who found Council buildings easy to access fell between the 2010 and 2012 questionnaires.

### Further Information

The data for both performance indicators has been obtained from the Council’s own Citizens’ Panel. The Panel Questionnaires is distributed to a representative sample of 1000 Inverclyde residents. Questions are repeated every two years to allow us to assess whether improvement has been achieved. \* Please note that all sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/-4%, therefore the 29% of respondents who accessed council buildings in the past 12 month will lie within the range 25% and 33%. With this in mind, when reviewing 2008, 2010 and 2012 results, it appears that responses in relation to this indicator have remained fairly constant.

The fall in percentage of residents who found the Council’s buildings easy to access may be due to the closure of the Council’s main reception in the Municipal Buildings and the transfer of reception facilities to Wallace Place whilst the Council’s Customer Service Centre was being built over the period 2011/12. The Council’s office modernisation / rationalisation programme will result in improved accommodation and we would expect to see performance in relation to this indicator improve again when respondents are asked this question in a 2014 Citizens’ Panel survey. You can view all the results from our Citizens’ Panel at <http://www.inverclyde.gov.uk/council-and-government/citizens-panel>

## Corporate Management - Assets

<b>SPI 016K Property Maintenance Service Response Times - % of repairs completed within target time</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
84.2%	94.3%	<b>92.9%</b>	90%	<b>Green – Slight Decline</b>

### What the Data Tells Us

This indicator demonstrates the service level response times for the provision of maintenance support services achieved for Properties under the control of Property Resources and Facilities Management – Construction 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 slightly between 2011/12 and 2012/13, performance is high and remains above target and therefore is still categorised as ‘good’.

### Further Information

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

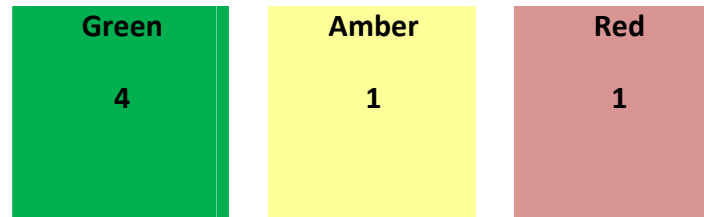
However the very nature, type and volume of emergency repairs can vary significantly and on occasion particularly when influenced by unforeseen, adverse or seasonal factors such as severe weather conditions can impact upon the contractor’s ability to respond within the target time, for example flooding,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

## Corporate Management – Employees

### Corporate Management - Employees

<b>SPI 009aS</b>	Sickness Absence (Teachers) The average number of working days lost per employee through sickness absence
<b>SPI 009bS</b>	Sickness Absence (Local Government Employees) The average number of working days lost per employee through sickness absence
<b>SPI 010aK</b>	Health & Safety incident rates per 1000 employees
<b>SPI 010bK</b>	Health & Safety incident rates – average time lost per incident to the Council
<b>SPI 011K</b>	Employee satisfaction - % of employees stating that they are satisfied with their jobs
<b>SPI 012K</b>	Corporate Aims - % of employees that understand how their work contributes to the Council's aims

Assets (6)



## Corporate Management – Employees

<b>SPI 009aS Sickness Absence (Teachers) The average number of working days lost per employee through sickness absence</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
8.1 days	8.7days	<b>8.3days</b>	8.7days	<b>Green – Marginal Improvement</b>

<b>SPI 009bS Sickness Absence (LGE) The average number of working days lost per employee through sickness absence</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
10.9days	10.9days	<b>10.7days</b>	10.6 days	<b>Amber – Marginal Improvement</b>

### What the Data Tells Us

There has been a marginal improvement in the average number of days lost through sickness absence this year for both groups of employees.

### Further Information

It is recognised that after steady progress in reducing the absence rate over a number of years a plateau has been reached. The Absence Management Strategy is under constant review to determine patterns of absence and ensure that resources are directed to those areas where support is required. Employee costs form a large proportion of the Council's budget and it recognised that high levels of absence represent a significant cost to the Council. Through robust absence management procedures, the Council is endeavouring to support employees and reduce this level of absence.

Although guidelines are available to all Councils as to how data is collected and analysed we are currently seeking information to ensure that we are comparing like for like as some LA's operate manual absence recording systems and others electronic data collection. Once completed, we will ensure that Inverclyde prepares data in line with the majority of other councils to ensure a consistent approach.

Whilst disappointed in the lack of overall improvement, reasons for absence have been analysed and through working with colleagues in services, targeted interventions are being put in place. The overall trend for a number of years has been downwards and while it is recognised that the absence level has reached a plateau, the Council is fully committed to reducing absence.

The Absence Management Policy is being actively promoted within Services with higher levels of absence. The Council works closely with our Occupational Health provider to ensure that absent employees are given the necessary support to enable them to return to work as soon as possible.



## **Corporate Management – Employees**

A challenging absence rate has been set for the Council and all services which are monitored quarterly with the overall results for the Council absence rate and individual service absence rates reported to Committee.

Absence statistics are also submitted to service committees by all services to allow scrutiny to be undertaken at a service committee level.

Inverclyde Council benchmarks performance in this area against other Local Authorities and Public Sector organisations

## Corporate Management – Employees

<b>SPI 010aK Health &amp; Safety incident rates per 1000 employees</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
42.6	51.4	44.4	36.2	Red – Improving

<b>SPI 010bK Health &amp; Safety incident rates – average time lost per incident to the Council</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
4.6days	4.2 days	3.3 days	4.2 days	Green – Improving

### What the Data Tells Us

Incident rates have risen over the previous two financial years; it is therefore encouraging to see a decrease in incident rates for 2012/13. Incident rates in all directorates reduced, this is despite a new incident reporting system being introduced and increased publicity regarding the need to report incidents

### Further Information

The most common incident types reported were violence to staff and slip, trips and falls. Violence to staff incidents saw a reduction from 86 to 57, Education Services have been rolling out their Positive Behaviour Strategy over the course of the year and while it is too early to say if this strategy has had an effect on the reduction in incidents a link between this and the reduction in incidents is possible and will be monitored. There has also been a reduction in violence incidents reported by the homeless unit, this is due to one Service User no longer being within the system. There has been a slight reduction in the number of slip, trip and fall incidents from 49 to 46, there is no overall pattern to the types of falls and for most there was no definite underlying cause.

## Corporate Management – Employees

<b>SPI 011K Employee satisfaction - % of employees stating that they are satisfied with their jobs</b>				
<b>2008</b>	<b>2010</b>	<b>2012</b>	<b>Target (where set)</b>	<b>Status</b>
No Survey	69.1%	79%	75%	<b>Green – Improving</b>

<b>SPI 012K Corporate Aims - % of employees that understand how their work contributes to the Council's aims</b>				
<b>2008</b>	<b>2010</b>	<b>2012</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
No Survey	50%	83%	75%	<b>Green – Improving</b>

### What the Data Tells Us

This performance information has been extracted from the Council's Employee Survey which the Council carried out in spring 2012. The results show that there has been a significant improvement both in the level of employee job satisfaction and the number of employees that understand how their work contributes to the Council's aims.

### Further Information

All employees of the Council were invited to complete the Employee Survey over March / April 2012. The response rate to the survey was 32% - response rates for employee surveys typically range from 25% to 40%, therefore our response rate falls in the middle. The Survey was carried out by an independent market research company and will be carried out again in spring 2014.

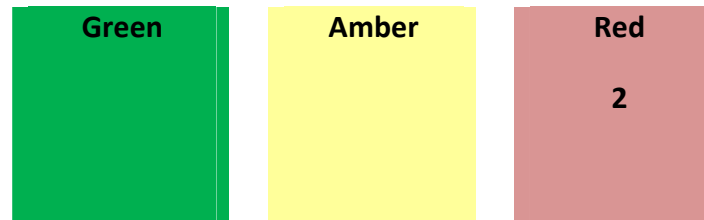
The Council has benchmarked its employee survey results, including the above, with other Councils that comprise the Public Service Improvement Framework Benchmarking Network Group and the results compare very favourably, with Inverclyde Council being one of the best performing authorities in terms of positive responses.

## Corporate Management – Equality & Diversity

### Corporate Management - Equality & Diversity

<b>SPI 024aS</b>	Number of females in top 2% of earners
<b>SPI 024bS</b>	Number of females in top 5% of earners
<b>SPI 025K</b>	Equalities training - % of employees who have undertaken Equalities Training *

Equality & Diversity (3)



\*No trend or target information available for SPI 025K

## Corporate Management – Equality & Diversity

<b>SPI 024aS Number of females in top 2% of earners</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
42.5%	42%	41.5%	47%	Red – Level

<b>SPI 024bS Number of females in top 5% of earners</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
47.6%	47.6%	47%	52%	Red -Level

<b>SPI 025K Equalities training - % of employees who have undertaken Equalities Training</b>				
2010/11	2011/12	2012/13	Target 2013/14 (where set)	Status
N/A	N/A	2.8%	Not set	-

### What the Data Tells Us

The number of females in the top 2% and 5% has remained fairly constant over the past 3 years. Despite performance being lower than the Council's own set targets, comparison with other Scottish Councils for 2011/12 (2012/13 not available) shows that the percentage of females within Inverclyde Council that are amongst the top earners is higher than both the Scottish average and median.

The Equalities Training measure is a new indicator for 2012/13, and has been introduced following the introduction of new software, therefore trend information is not currently available.

### Further Information

Information on the percentage of females that are in the top percentage of earners is drawn directly from the electronic HR / Payroll management system. The Council has robust equality management procedures in place. In addition our recruitment and selection procedures are equality impact assessed to ensure that equality standards are met. Recruitment and selection procedures are subject to rigorous re-evaluation at regular intervals to ensure equality standards are maintained.

## Corporate Management – Equality & Diversity

In relation to training, the Council had difficulty in securing robust attendance at our traditional Corporate Equality Training Courses which took the employee away from the workplace for the day. Courses set each year on the corporate training calendar were subject to cancellation due to lack of bookings. However, following the introduction of E-learning in April 2011, 114 employees have been recorded as undertaking on-line training, which is proving a more convenient learning option within working hours.

E-learning provides the opportunity for individuals to learn each module covered in the course at their own pace and it is therefore expected that information retention will be higher as a result. The course is embedded within our 'Induction Training' which ensures that all new employees complete this training. Existing employees that have completed the course generally have a decision making responsibility within their job role, however the CMT will take a decision shortly on the courses that will become mandatory training for all employees from this year onwards.

In addition, the Council has appointed an Equalities Officer for two years to further embed equalities within the day to day activities of the Council.

Both indicators (SPI 024a and SPI024b) are SOLACE Benchmarking indicators and will continue to be reported in 2013/14.

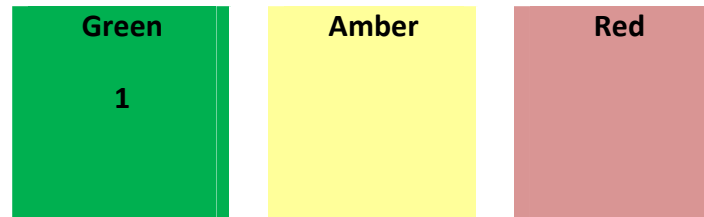
## Corporate Management – Procurement

### Corporate Management - Procurement

**SPI 018K**

Procurement Capability Assessment

Procurement (1)



## Corporate Management – Procurement

SPI 018K Procurement Capability Assessment based on Scotland Excel Annual Audit - %				
2010	2011	2012	Target (where set)	Status
15%	34%	47%	44%	Green – Improving

### What the Data Tells Us

The area of procurement has seen a significant improvement in recent years with a year on year improvement in the PCA % score from a low of 4% in 2009 to 47% in 2012.

### Further Information

The Council's PCA score is assessed by Scotland Excel. This is a 2 day evidenced based audit of procurement which all Scottish public sector bodies within 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.

The improvement in performance is the result of the work that has been carried out under the Council's Strategic Procurement Framework which is directly linked to the 8 sections of the PCA audit. The table below shows how the scores compared between the 2011 and 2012 audit.

PCA Section	2012 Score	2011 Score
Procurement Leadership & Governance	40%	38%
Procurement Strategy & Objectives	73%	54%
Defining the Supply Need	39%	13%
Project Strategies & Collaborative Purchasing	53%	35%
Contract & Supplier Management	38%	19%
Key purchasing processes and systems	27%	22%
People	67%	48%
Performance Management	33%	40%
Overall value of results	47%	34%



## Corporate Management – Procurement

Scores for the majority of sections demonstrate a significant improvement in performance as a result of the work on the Strategic Procurement Framework. Moreover, 3 sections are now in 'Improved Performance' in line with the McClelland report. The score for Performance Measurement has reduced as the number and mix of questions has changed from 2011 and therefore this is not a like for like comparison. The next PCA of Inverclyde Council will be carried out in November 2013.

If you would like to know more about the Council's procurement practices please follow the web link below:

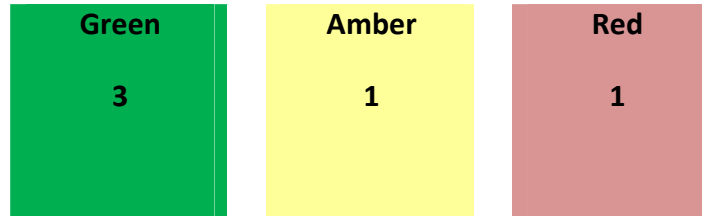
<http://www.inverclyde.gov.uk/business-and-trade/procurement/>

## Corporate Management – Responsiveness to Communities

### Corporate Management - Responsiveness to Communities

<b>SPI 001K</b>	Customer Feedback - % of residents satisfied that they can influence decisions affecting the local community
<b>SPI 002aK</b>	Community Safety - % of residents either satisfied or very satisfied with their neighbourhood as a place to live
<b>SPI 002bK</b>	Anti Social Behaviour - % of respondents reporting a reduction in anti-social
<b>SPI 003K</b>	Community Engagement Impact – Increased evidence of impact / influence by communities or strategic and service plans
<b>SPI 004K</b>	Community Regeneration - % of community organisations within disadvantaged neighbourhoods and excluded groups who had increased their capacity

**Responsiveness to  
Communities (5)**



## Corporate Management – Responsiveness to Communities

<b>SPI 001K Customer Feedback - % of residents satisfied that they can influence decisions affecting the local community</b>				
<b>2008</b>	<b>2010</b>	<b>2012</b>	<b>Target (where set)</b>	<b>Status</b>
41%	47%	38%	48%	<b>Amber – Declining</b>

<b>SPI 002aK Community Safety - % of residents either satisfied or very satisfied with their neighbourhood as a place to live</b>				
<b>2007</b>	<b>2009</b>	<b>2011</b>	<b>Target (where set)</b>	<b>Status</b>
-	87%	84%	80%	<b>Green – Level *</b>

<b>SPI 002bK Anti Social Behaviour - % of respondents reporting a reduction in anti-social behaviour</b>				
<b>2007</b>	<b>2009</b>	<b>2011</b>	<b>Target (where set)</b>	<b>Status</b>
-	11%	10%	14%	<b>Red – Level *</b>

### What the Data Tells Us

The performance information for the above has been extracted from the Council's Citizens' Panel questionnaires. Questions within the survey are repeated every two years. Whilst all have appeared to show a decline in positive responses, the questionnaires are subject to random error which means that performance for 2 of the indicators has remained fairly level (see below for further explanation). The percentage of residents satisfied with their neighbourhood remains above target and is therefore showing a RAG status of green (good), whilst the % of respondents reporting a reduction in anti social behaviour has fallen below target and is therefore showing a RAG status of red (poor).

### Further Information

The data for both performance indicators has been obtained from the Council's own Citizens' Panel. The Panel Questionnaires is distributed to a representative sample of 1000 Inverclyde residents.

\* Please note that all sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/-4%, thus for example, the 84% of respondents who are either satisfied or very satisfied with their neighbourhood as a place to live will lie within the range 80% and 84%. Bearing this in mind, when reviewing the results over 2010 and 2012 we can see that the responses in relation to this indicator have remained fairly constant.

## Corporate Management – Responsiveness to Communities

These questions will be repeated in the Citizens' Panel Surveys that will be issued in Autumn 2013 (SPI 002K) and in 2014 (SPI 001K). You can view all the results from our Citizens' Panel at <http://www.inverclyde.gov.uk/council-and-government/citizens-panel>

If you would like to become more actively involved in what's going on in your community you can find out more information by clicking on the links below:

Community Councils - <http://www.inverclyde.gov.uk/council-and-government/citizens-panel>

Community Learning & Development - <http://www.inverclyde.gov.uk/community-life-and-leisure/community-learning-development/>

CVS Inverclyde - <http://www.cvsinverclyde.org.uk/>

If you would like further information, advice and support on anti-social behaviour please follow the link below:  
<http://www.inverclyde.gov.uk/advice-and-benefits/anti-social-behaviour/>

## Corporate Management – Responsiveness to Communities

<b>SPI 003K Community Engagement Impact – Increased evidence of impact / influence by communities or strategic &amp; service plans</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
12	15	23	12	<b>Green –Improving</b>

<b>SPI 004K Community Regeneration - % of community organisations within disadvantaged neighbourhoods and excluded groups who had increased their capacity</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
83.3%	91.3%	100%	80%	<b>Green - Improving</b>

### What the Data Tells Us

The data shows that performance for the above indicators improved between 2011/12 and 2012/13 and exceeded target. The 100% achieved for SPI 004K relates to 28 community organisations.

### Further Information

Community Learning and Development has supported a number of neighbourhood community organisations, ranging from Community Councils, Tenants and Residents 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/facilities, improved housing, environmental improvements in local areas such as community gardens/ play parks and have contributed to and shaped thinking on a range of key local issues, e.g. road safety and wind farms. Community groups have also influenced and been involved in the service delivery of community based adult learning, youth services. Targets have been exceeded due to the service adopting more flexible methods of supporting groups, offering short term intensive support (3-6 mths) to groups as well as longer term support.

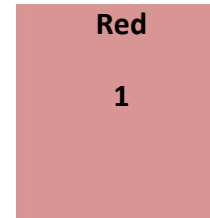
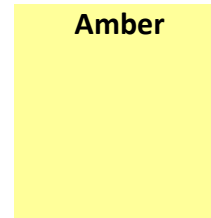
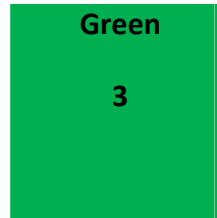
All of the 28 community organisations Community Learning and Development worked with increased their capacity, progressing their confidence, organisational skills, equality and involvement levels through training and active learning, e.g. Committee Skills training, 1:1 support for office bearers, Youthwork legislation, improved understanding of local needs through feedback from consultation events and survey's. Knowledge, skills and understanding of a range of specific issues/areas was also improved through increasing active participation in local developments.

## Corporate Management – Revenues and Service Costs

### Corporate Management - Revenues and Service Costs

<b>SPI 005S</b>	Cost of Council Tax Collection
<b>SPI 006S</b>	Current Year Council Tax Income
<b>SPI 007S</b>	Creditor Payments
<b>SPI 008K</b>	Collection of Sundry Debtors Accounts

Revenues and Service  
Costs (4)



## Corporate Management – Revenues and Service Costs

<b>SPI 005S Cost of Council Tax Collection</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
£16.61	£15.05	<b>£15.47</b>	£16.50	<b>Green – Declining</b>

<b>SPI 006S Current Year Council Tax Income</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
94%	94.2%	<b>94.2%</b>	93.7%	<b>Green – Level</b>

### What the Data Tells Us

#### ***Council Tax Cost***

The cost of collection of council tax increased slightly between 2011/12 and 2012/13, however remains well under target and has fallen significantly from 2007/08 levels of £17.87. In Inverclyde the cost of collection fell by 10% between 10/11 and 11/12 and is fairly reflective in terms of the level of resource that is required in order to collect Council Tax particularly due to the demographics in the area combined with the high benefit caseload.

#### ***Council Tax Income***

The percentage of income due from Council Tax collected in 2012/13 has remained steady between 2011/12 and 2012/13. Over the longer period there has been a year on year improvement and Inverclyde's performance is close to the national average whilst performing better than most Council's with similar demographics.

### Further Information

#### ***Cost***

This is a key area for the Council as it involves Revenue for the Council so we have to measure the collection levels against the cost. Due to the demographics of the area we need to, for example, ensure that the Debt Recovery Team is fully staffed as to reduce this resource would reduce the cost per dwelling but would likely have a detrimental effect on Revenue.

## **Corporate Management – Revenues and Service Costs**

While there is no formal benchmarking, the Directors of Finance SPI's are looked at each year and the service continually looks at best practice and reviews what areas are being charged to this measure. This area is therefore under constant review.

Overall, this is a very small area of costs and savings have been achieved. It is not thought practical that costs could be reduced further without it having a far larger cost in terms of Council Tax Collection.

### ***Income***

This is an area that is constantly monitored and reviewed and is reported in the Corporate Directorate Improvement Plan. The Chief Financial Officer receives monthly briefings on this area of performance. In addition, while there is no formal benchmarking, the Directors of Finance SPI's are looked at each year and performance is monitored and discussed on a constant basis both within the service and with the Council's Debt Management Partner. A good practical guide issued by the Directors of Finance has been reviewed to identify areas of possible improvement. Previous detailed comparison with a number of Councils with higher over all collection shows that Inverclyde out performs these Councils in terms of the lower banded / more difficult to collect debt i.e.; the mix of housing tenure/values is a key influence on this measure.

Finally, the current economic climate continues to make the collection of council tax a difficult task.



## Corporate Management – Revenues and Service Costs

<b>SPI 007S Creditor Payments - % Invoices paid within 30 days</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
94.37%	95.59%	<b>96.03%</b>	94%	<b>Green – Improving</b>

<b>SPI 008K Collection of Sundry Debtors Accounts – the proportion of outstanding debt that is more than 90 days old</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
20.49%	11.25%	<b>35.89%</b>	30%	<b>Red –Declining</b>

### What the Data Tells Us

#### ***Creditor Payments***

There has been a continued improvement in the percentage of invoices paid within 30 days. Comparison with other Scottish Councils for previous years shows that Inverclyde Council is amongst the top performing authorities in this area and in fact was the best performing council in 2011/12 for this indicator (awaiting 2012/13 data for all Scottish Councils).

#### ***Sundry Debt***

Sundry debt is money owed to the Council for a service other than Council Tax and Non Domestic Rates. There has been a significant increase in the proportion of outstanding debt that is more than 90 days old in 2012/13. Performance in this area however can vary widely due to a number of influencing factors such as large value debts being raised which result in long term repayment plans and significant differences in the value of overall debt at each year-end.

### Further Information

#### ***Creditor Payments***

Creditor payments is an area in which the Council has seen significant improvements between 2005 and 2008, and then steady improvements in the last few years. Despite this the team has reduced in size whilst services and Finance work together to maintain performance.

## Corporate Management – Revenues and Service Costs

The focus of the service is to maintain performance although in addition the Council has agreed to improve payment times to our local suppliers to 20 days rather than the statutory 30 days. Whilst this will not make a difference to this indicator it will improve cash flow to local businesses.

### ***Sundry Debt***

The collection of Sundry Debt is an area that the Council's in-house Debt Recovery team strives to improve. The value of sundry debt outstanding at 31<sup>st</sup> March 2013 was £1.09m compared to £2.25m at 31<sup>st</sup> March 2012 thus accounting for over half the deterioration in the KPI. The percentage of debt over 90 days old can vary significantly annually due to differences in the value of invoices raised and accounts on long term arrangements.

## Corporate Management – Benefits Administration

## Corporate Management - Sustainable Development

**SPI 021K**

Abandoned Vehicles

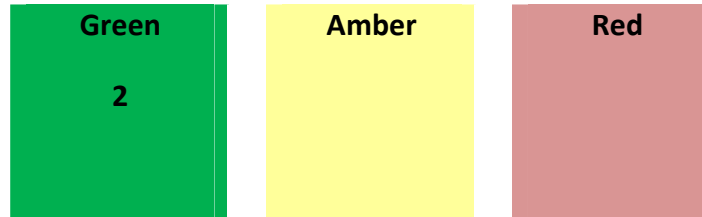
**SPI 022K**

CO<sub>2</sub> emissions within the scope of influence of the local authority

**SPI 023K**

Reduction in the Council's Carbon Emissions \*

**Sustainable Development  
(3)**



\* Data for this indicator is still being finalised. Once data is available RAG status will be allocated.

## Corporate Management – Benefits Administration

SPI 021K Abandoned Vehicles - % vehicles uplifted within 14 days				
2010/11	2011/12	2012/13	Target (where set)	Status
100%	80%	100%	99.9%	Green – Improving

### What the Data Tells Us

Performance in 2012/13 has again reached maximum levels from a slight fall in 2011/12, which was outwith the control of the Council.

### Further Information

There can be significant fluctuations in the performance levels of this indicator, however this is due to the small numbers involved e.g. during 2011/12, 5 cars were uplifted however 1 was on private land hence the process that had to be undertaken by necessity took longer than target 14 days, which resulted in performance falling to 80%.

In 2012/13 3 cars were uplifted, all within the 14 day timescale.

## Corporate Management – Benefits Administration

SPI 022K Total CO <sub>2</sub> emissions within the scope and influence of the local authority (per capita)					
2008	2009	2010	2011	Target (where set)	Status
6.4 CO <sub>2</sub> tonnes	5.7 CO <sub>2</sub> tonnes	6.0 CO <sub>2</sub> tonnes	5.6 tonnes CO <sub>2</sub>	6.1 tonnes CO <sub>2</sub> per capita	Green – Improving

### What the Data Tells Us

This indicator calculates emissions from 11 areas including the use of electricity and gas by businesses in Inverclyde, together with road transport and domestic energy consumption. Between 2008 and 2011, emissions fell from 9 of the sectors measured including electricity and gas used by industry and the commercial sector. Inverclyde also saw a year-on-year decrease in emissions from electricity used in domestic properties since 2008. Emissions from gas and 'other fuels' used in domestic buildings decreased every year between 2008 and 2011; the exception was 2010 which saw a rise in this area, possibly due to the extreme, adverse winter weather conditions experienced at the beginning and end of 2010. Overall, emissions fell by 0.8 CO<sub>2</sub> tonnes per capita between 2008 and 2011 to 5.6 CO<sub>2</sub> tonnes per capita, exceeding our target of 6.1 CO<sub>2</sub> tonnes per capita.

### Further Information

SPI 022K, CO<sub>2</sub> emissions within the scope of influence of the local authority figures are provided annually with a 2 year time lag. Between 2008 and 2011, Inverclyde's figures have been consistently lower than the Scottish average for CO<sub>2</sub> emissions within the scope of influence of local authorities:

Year	Inverclyde	Scotland Total	Difference	Population estimate used in calculation
2008	6.4 CO <sub>2</sub> tonnes per capita	7.6 CO <sub>2</sub> tonnes per capita	- 1.2 CO <sub>2</sub> tonnes per capita	80,780
2009	5.7 CO <sub>2</sub> tonnes per capita	6.8 CO <sub>2</sub> tonnes per capita	- 1.1 CO <sub>2</sub> tonnes per capita	80,210
2010	6.0 CO <sub>2</sub> tonnes per capita	7.2 CO <sub>2</sub> tonnes per capita	- 1.2 CO <sub>2</sub> tonnes per capita	79,770
2011	5.6 CO <sub>2</sub> tonnes per capita	6.5 CO <sub>2</sub> tonnes per capita	- 0.9 CO <sub>2</sub> tonnes per capita	81,220

Source: Department of Energy and Climate Change:

<http://webarchive.nationalarchives.gov.uk/20121217150421/http://decc.gov.uk/assets/decc/11/stats/climate-change/6222-local-and-regional-co2-emissions-estimates-for-200.xls>

## Corporate Management – Benefits Administration

<b>SPI 023K Reduction in the Council's Carbon Emissions</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
33,601 CO <sub>2</sub> tonnes	29,963 CO <sub>2</sub> tonnes	This figure is being calculated at present	12% reduction by 2017/18 from the 2011/12 baseline	To be confirmed when the 2012/13 figure has been calculated

### What the Data Tells Us

Work on finalising the 2012/13 data is currently underway, however between 2010/11 and 2011/12 there was a 10% drop in the Council's carbon emissions.

### Further Information

The above figures comprise data from energy use in buildings, street lighting, fleet transport, business travel, together with water and waste. Water, waste and heating oil were not included in the Council's first Carbon Management Plan. However, since that document was devised, the Council's understanding of carbon management has improved, complemented by enhancements in data collection and management. These developments have enabled us to include water, waste and heating oil in the 2011/12 baseline figures. To allow comparison on a like-for-like basis, we have therefore retrospectively added water, waste and heating oil to the 2010/11 figure.

The emission conversion factors used in the calculations are sourced from the latest guidance from the Department of Energy and Climate Change and Department for Environment Food and Rural Affairs.

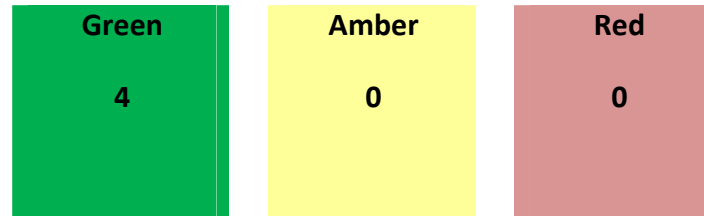
The 2011/12 figure is the baseline in our Carbon Management Plan 2012/17 and progress during the five year life of the Plan will be measured against it. The Council's carbon emissions for 2012/13 are currently being calculated.

## Corporate Management – Benefits Administration

### Service Performance – Benefits Administration

<b>SPI 026S</b>	Benefits Administration – Cost per Case
<b>SPI 027K</b>	Accuracy of Benefits Processing
<b>SPI 028aK</b>	Speed of Benefits Processing – New Claims Performance
<b>SPI 028bK</b>	Speed of Benefits Processing – Change of Circumstances

Assets (4)



## Corporate Management – Benefits Administration

<b>SPI 026S Benefits Administration – Gross Administration Cost per Case</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
£43.65	£39.06	£37.43	£44.50	Green – Improving

<b>SPI 027K Accuracy of Benefits Processing</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
98.8%	99.6%	99.2%	98%	Green – Improving

<b>SPI 028aK Speed of Benefits Processing (average number of days to process) – New Claims Performance</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
29 days	20.6 days	23 days	24 days	Green – Declining

<b>SPI 028bK Speed of Benefits Processing (average number of days to process) – Change of Circumstances</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
6.0 days	5.8 days	6.0 days	6 days	Green – Declining

### What the Data Tells Us

Performance in relation to benefits remains good with all areas meeting or exceeding target. The average number of days to process benefits has increased slightly, however still remains good.

### Further Information

Given the level of work involved due to the impact of the Welfare Reform Agenda, plus the reduction in staffing levels, the overall performance of the Benefits team in 2012/13 is very good.

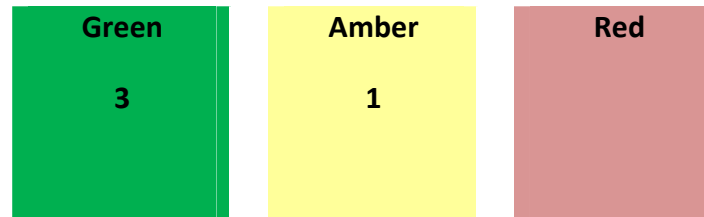


## Corporate Management – Child Protection & Children’s Social Work

### Service Performance - Child Protection and Children’s Social Work

<b>SPI 034K</b>	Supervision Requirement
<b>SPI 035aK</b>	Case Conferences – Drug Misuse*
<b>SPI 036bK</b>	Case Conferences – Alcohol Misuse*
<b>SPI 053K</b>	Social Background Reports
<b>SPI 054aK</b>	Looked After Children Academic Achievement – Academic Achievement in Current Exam Diet
<b>SPI 054bK</b>	Looked After Children Academic Achievement – Academic Achievement S4 (English and Maths)
<b>SPI 055K</b>	Looked After and Accommodated Children – Community Placements as a % of total placements *
<b>SPI 056K</b>	Ratio – Child Protection Referrals: Children on the Child Protection Register *

**Child Protection &  
Children’s Social Work  
(8)**



\* No targets have been set due to the nature of these indicators

## Corporate Management – Child Protection & Children’s Social Work

<b>SPI 034K Supervision Requirement - % children issued with a new supervision requirement seen by supervising officer within timescale</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
94.4%	93.4%	96.7%	95%	<b>Green – Improving</b>

### What the Data Tells Us

The data 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. The data shows that we have consistently been close to meeting this target over the past 3 years and finally surpassed the target in 2012-13 for this indicator.

### Further Information

This was previously a national standard and Inverclyde CHCP Children and Families management set a local target of 95% in efforts to meet the standard.

## Corporate Management – Child Protection & Children’s Social Work

<b>SPI 035aK Case Conferences – Number of child protection case conferences where parental drug misuse was identified</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
n/a	23%	29.8%	-	-

<b>SPI 035bK Case Conferences – Number of child protection case conferences where parental alcohol misuse was identified</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
n/a	30%	42.6%	-	-

### What the Data Tells Us

The data indicates the level of concerns of children who have been subject to a child protection case conference during the reporting period and where a level of concern of parental drug or parental alcohol misuse was identified at that case conference. We have only recently begun to collect this data therefore 2010/11 data is not available. It is noted however that the percentage rate here has increased by almost 7% compared to the previous year for Drugs and almost 13% for alcohol.

### Further Information

This information is provided to Scottish Government in an annual upload for publication which is reported for the academic year as opposed to the financial year, therefore it should be noted that the annual figures published nationally, may vary due to these different reporting periods – Also due to changes in methodology in the reporting arrangements this year there may be some variations from previous year expected from our systems.

## Corporate Management – Child Protection & Children’s Social Work

<b>SPI 053K Percentage of social background reports submitted to SCRA within timescale</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target 2013/14 (where set)</b>	<b>Status</b>
66%	69.1	74.1	75%	<b>Amber – Improving</b>

### What the Data Tells Us

The data shows that we have consistently improved our performance over the past 3 years towards reaching the target increasing to 74% for this indicator in 2012-13.

### Further Information

The data tells us how quickly a social background report is completed and submitted by social work to the Children’s Reporter in time for a children’s hearing to take place where an outcome decision may be made for the child at the Hearing. This was previously a national standard and Inverclyde CHCP Children and Families management set a local target of 75% in efforts to meet the standard.

## Corporate Management – Child Protection & Children’s Social Work

<b>SPI 054aK Looked After Children Academic Achievement – Academic Achievement in Current Exam Diet, the % of looked after children who achieved at least one qualification at SVQ level 3 or better in current diet for examinations</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	59.18%	61.9%	60%	<b>Green - Improving</b>

<b>SPI 054bK Looked After Children Academic Achievement – Academic Achievement S4 (English and Maths), the % of looked after children who achieved SVQ level 3 or better in English and Maths by the end of S4</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	72.34%	86.8%	47.2%	<b>Green - Improving</b>

### What the Data Tells Us

These indicators were refined in 2011/12 from measuring the attainment of ‘young people ceasing to be looked after by the local authority’ to reporting on the attainment levels of **all** our looked after young people.

There was an improvement in both the percentage of looked after children who achieved at least one qualification at SVQ level 3 or better and also the percentage of looked after children who achieved SVQ level 3 or better in English and Maths.

### Further Information

Looked After and Accommodated Children is a priority area within the Best Start In Life Outcome Delivery Group which sits under the Inverclyde Alliance’s overarching Single Outcome Agreement. There is a particular focus in the Outcome Delivery Plan on achievement in terms of the Curriculum for Excellence and on improving literacy and numeracy.

Improving attainment for looked after and accommodated children is also a specific improvement action within the Education Communities and Organisational Development Corporate Directorate Improvement Plan.

## Corporate Management – Child Protection & Children’s Social Work

<b>SPI 055K      Looked After and Accommodated Children – Community Placements as a % of total placements</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
87.5%	89.3%	90.1%	-	-

<b>SPI 056K      Ratio – Child Protection Referrals: Children on the Child Protection Register</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
31.3%	24%	38%	-	-

### What the Data Tells Us

SPI 055K: The data tells us that as part of our overall Nurturing Inverclyde approach we are pursuing an explicit policy of placing Inverclyde Children within Inverclyde (with the exception of adoption) We are pleased to report that the number of Inverclyde Children placed in residential schools is at its lowest level and the number of children placed in community based settings is at its highest at 90.1%

SPI 056K: The data tells us although it is not appropriate to set a target in this area of social work activity, the percentage of referrals in the reporting period that resulted in child/children being placed on the child protection register has fluctuated over the 3 years shown with a significant increase to 38% in 2012-13 from the previous year. Through close scrutiny of child protection data which takes place at quarterly performance reviews it has been identified that the number of child protection referrals had decreased over the past few years and the service is presently due to begin a specific review of the full process of child protection including, Referral, Outcome of Case Conference and Registrations

### Further Information

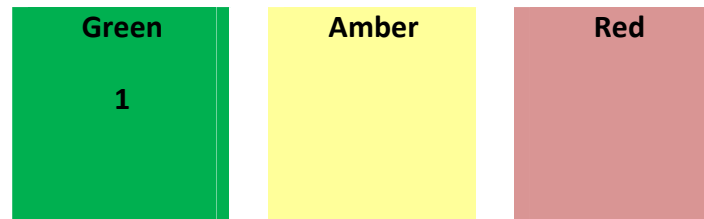
Performance in Child Performance information can vary, depending upon specific cases that are referred to the service; therefore it is very difficult to set targets in this area. However the service has always and continues to maintain close scrutiny of all areas of child protection work, and activity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

## Service Performance – Community Care

## Service Performance – Community Care

<b>SPI 029aS</b>	The number of people aged 65+ receiving homecare
<b>SPI 029bS</b>	Homecare hours per 1000 population aged 65+
<b>SPI 029c1S</b>	% of people aged 65+ receiving personal care
<b>SPI 029c2S</b>	% of people aged 65+ receiving a service during evenings / overnight
<b>SPI 029c3S</b>	% 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>	Total respite care – Total overnight provision (nights)
<b>SPI030diiK</b>	Total respite care – Total daytime hours provided
<b>SPI 031K</b>	Delayed Discharge from hospital – number of people delayed in hospital for more than 6 weeks
<b>SPI 032K</b>	Carers - % carers feeling that they receive enough support in their caring role

Community Care (10)



There are no targets set for the statutory performance indicators on Homecare and Respite due to the nature of the indicator.

## Service Performance – Community Care

<b>SPI 029aS The number of people aged 65+ receiving homecare</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
1,112	1,096	1,125	No target set	-

<b>SPI 029bS Homecare hours per 1000 population aged 65+</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
663.2 hours	632.2 hours	665.7 hours	No target set	-

<b>SPI 029c1S % of people aged 65+ receiving personal care</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
100%	96.4%	99.6%	No target set	-

<b>SPI 029c2S % of people aged 65+ receiving a service during evenings / overnight</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
18.6%	20.3%	20.2%	No target set	-

<b>SPI 029c3S % people aged 65+ receiving a service at weekends</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
69.2%	69.8%	68.8%	No target set	-

### What the Data Tells Us

There are no targets set for Homecare due to the nature of the indicator. The number of people aged 65+ receiving homecare increased in 2012/13 as did the number of homecare hours per 1,000 population aged 65+. The percentage of people receiving personal care increased by 3.2% whilst the percentage of people aged 65+ receiving a service during evenings, overnight and at weekends decreased slightly.



## Service Performance – Community Care

<b>SPI 030K Balance of Care (respite) % of all respite care in a traditional setting</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
29.1%	26.1%	Data available end Aug	No target set	

<b>SPI 030diK Total respite care – Total overnight provision</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
6,616 nights	6,063 nights	Data available end Aug	No target set	

<b>SPI 030diiK Total respite care – total daytime hours provided</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
577,034 hours	618,759 hours	Data available end Aug	No target set	

### What the Data Tells Us

Data currently being finalised.

### Further Information

## Service Performance – Community Care

SPI 031K Delayed Discharge from Hospital – Number of people delayed in hospital for more than 6 weeks				
2010/11	2011/12	2012/13	Target (where set)	Status
0	0		0	

### What the Data Tells Us

### Further Information

## Service Performance – Community Care

SPI 032K Carers - % of carers feeling that they receive enough support in their caring role				
2008	2010	2012	Target (where set)	Status
51%	54%	55%	55%	Green – Level *

### What the Data Tells Us

This performance information has been derived from the Council's Citizens' Panel. The percentage of carers feeling that they receive enough support has remained fairly steady over the period at just over half of all respondents.

### Further Information

The data for this performance indicator has been obtained from the Council's Citizens' Panel. The Panel Questionnaires is distributed to a representative sample of 1000 Inverclyde residents. Questions are repeated every two years to allow us to assess whether improvement has been achieved.

\* Please note that all sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/-4%, thus, the 55% of carers who feel that they receive enough support will lie within the range 51% and 59%. Bearing this in mind, when reviewing the results over 2008, 2010 and 2012 we can see that the responses in relation to this indicator have remained fairly constant.

This question will be included again in the 2014 Citizens' Panel Survey.

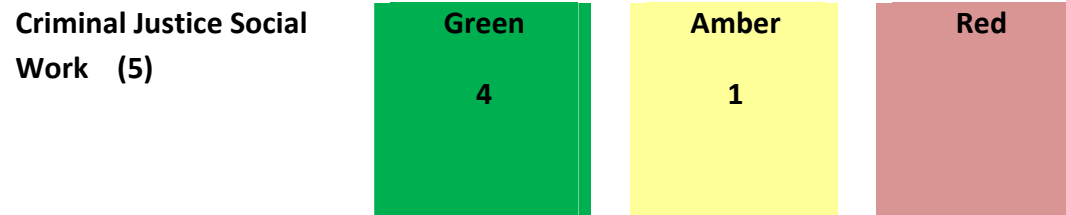
There are an estimated 8,000 carers in Inverclyde. 1,992 are currently registered with the Carers Centre. 514 of this number are carers aged 65+ with 213 of these carers being aged 75+. Almost half of the registered carers, 913 are looking after someone over the age of 65. We are fully committed to supporting carers as equal partners in care and we are committed to building continuously on the strong partnerships between the CHCP and Inverclyde Carers Centre and Inverclyde Carers Council to ensure that carers have a strong voice.

Inverclyde's response to the needs of carers has been underpinned by our own local Carers and Young Carers Strategy 2012/ 2015, which was co-produced with carers and has been recognised nationally as an example of best practice. You can view our Carers and Young Carers Strategy 2012 – 2016 here [http://www.chps.org.uk/content/default.asp?page=s459\\_36\\_4](http://www.chps.org.uk/content/default.asp?page=s459_36_4)

## Service Performance – Criminal Justice Social Work

## Service Performance – Criminal Justice Social Work

**SPI 033K** Criminal Justice CJSWR Reports submitted to court within timescale  
**SPI 057aK** % Criminal Justice Social Work interviews on day of court order\*  
**SPI 057bK** % Criminal Justice Social Work Interviews within 5 working days\*  
**SPI 057cK** Induction / first meeting within 5 working days\*  
**SPI 057dK** Work placements within 7 working days \*



\* SPI 057a-d are new indicators, therefore no trend data is currently available.

## Service Performance – Criminal Justice Social Work

<b>SPI 033K Criminal Justice Social Enquiry Reports – The % of social background reports submitted to SCRA within timescale</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
100%	99.8%	100%	95%	<b>Green – Improving</b>

<b>SPI 057aK % Criminal Justice Social Work interviews on day of court order</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	96%	N/a*	95%	<b>Green – New Indicator. No trend data</b>

<b>SPI 057bK % Criminal Justice Social Work Interviews within 5 working days</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	95%	N/a*	95%	<b>Green – New Indicator. No trend data</b>

<b>SPI 057cK Induction / first meeting within 5 working days</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	95%	N/a*	95%	<b>Green – New Indicator. No trend data</b>

<b>SPI 057dK Work placements within 7 working days</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
-	94%	N/a*	95%	<b>Amber – New Indicator. No trend data</b>

### What the Data Tells Us

**SPI 033K** : The data tells us that criminal justice social work services in Inverclyde have continued to deliver a high standard of service across the full spectrum of their responsibilities and every criminal justice report requested by the courts 100% was submitted within the agreed timescales (1 day before the court hearing).

## Service Performance – Criminal Justice Social Work

**SPI 057 a-d** are new performance indicators for 2012/13. Also although the 2012-13 data is not currently available for publication in the new set of indicators the latest performance rates are good have met or exceeded the target set in 4/5 indicators.

N/a\*. Information for these indicators is not yet available for the period **2012-13** These will form part of a national statutory return which is due to be submitted to Scottish Government Justice Division in the next few weeks. However, based on the previous year's performance, the target in 3/4 was met and 1 just missed the target at 94%.

### Further Information

Preparing assessments and reports are crucial parts of Social work tasks in the criminal justice system to ensure that the right decisions are made and appropriate interventions agreed. Report writing is one of the key elements of the assessment process. Scottish CJ National Standards states 'reports should be accurate, timely and fit for purpose'

Targets have been set for the new CPO indicators at 95%. Arrangements have been put in place to support the national immediacy

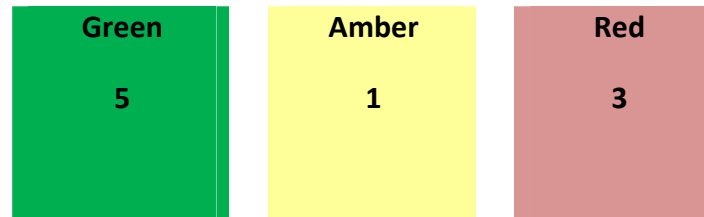
These have included an increased presence at our local Court to facilitate offenders newly sentenced to a CPO being seen on the day their Order has been made.

## Service Performance – Culture & Community Services

### Service Performance – Culture & Community Services

<b>SPI 036aS</b>	Use of pool facilities – Number of attendees per 1000 population
<b>SPI 036bS</b>	Use of sports and leisure facilities – number of attendees per 1000 population
<b>SPI 037aS</b>	Museums- Number of visits to/usages of council funded museums expressed per 1000 population
<b>SPI 037bS</b>	Museums – Number of visits in person expressed per 1000 population
<b>SPI 038aS</b>	Use of libraries – number of visits per 1,000 population
<b>SPI 038bK</b>	Number of library issues per 1000 population
<b>SPI 039K</b>	Number of users of computer facilities per 1000 population
<b>SPI 040K</b>	Adult Learners in Libraries
<b>SPI 042K</b>	Exercise - % of Inverclyde residents participating in sport / similar activity at least every two weeks

**Culture & Community  
Services (9)**



## Service Performance – Culture & Community Services

SPI 036aS Use of pool facilities – Number of attendees per 1000 population				
2010/11	2011/12	2012/13	Target (where set)	Status
4,186	3,860	4,342	4053	Green – Improving

SPI 036bS Use of sports and leisure facilities – number of attendees per 1000 population				
2010/11	2011/12	2012/13	Target (where set)	Status
9,591	9,365	8,719	9832	Red – Declining

### What the Data Tells Us

The use of pool facilities increased in 2012/13 following a drop in 2011/12.

The use of sports and other sports facilities has declined over the past 3 years since a high of 10,305 in 2009-10.

### Further Information

The drop in the number at attendees at pools was largely due to the temporary closure of Gourrock pool for refurbishment during the period 2011/12. The number of attendees at pools has increased again following the re-opening of the pool. Gourrock Pool also encompasses a gym which was relocated during the period of refurbishment.

Greenock Sports Centre was also closed for refurbishment in June 2012 and reopened in March 2013, which impacted on the number of attendees at sports and leisure facilities.



## Service Performance – Culture & Community Services

SPI 037aS Museums- Number of visits to / usages of council funded museums expressed per 1000 population				
2010/11	2011/12	2012/13	Target (where set)	Status (RAG) / (Improving / Declining)
620	715	721	718	Green - Improving

SPI 037bS Museums – Number of visits in person expressed per 1000 population				
2010/11	2011/12	2012/13	Target (where set)	Status
469.4	495.0	486.0	498.0	Amber – Declining

### What the Data Tells Us

The data shows that whilst there has been a fall in the number of visits *in person* to the Museum, the actual number of visits to / usages of the Museum slightly increased in 2012/13. 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
- outreach visits by museum staff to specific audiences.

### Further Information

The McLean Museum provides a comprehensive service over a number of disciplines including fine art, local history and world cultures to local users and tourists along with providing extensive on line collections information. The high quality collections include items of national and international importance. The Museum is one of Scotland's largest outwith the cities.

As part of the McLean Museum's Service Plan there has been considerable investment of time and effort in expanding the on line presence of the Museum's collections, giving access to enquirers worldwide. This effort is ongoing and the launch of a new on line catalogue is planned for the near future.

## **Service Performance – Culture & Community Services**

The Museum currently does not have disabled access to the upper floors and this reduces potential audiences. A major refurbishment programme is planned to address this issue and other access barriers throughout the building. The project also aims to modernise and improve all aspects of the service, which should lead to an increase of visits in person to the building.

In addition, Inverclyde suffers from a declining population, although the rate of decline has slowed. A further factor that may impact on visitor numbers is that cities have a higher potential visiting population, however Inverclyde is not yet a fully developed tourist destination so the potential for maximising visitor numbers from outwith the area remains low.

Usage figures for 2010/11 were revised downwards from those previously recorded owing to a reassessment of the web session statistics therefore there was actually an improvement in performance in 2011/12 compared with the year before, with web sessions rising from 2010/11 to 2011/12 in response to an increased web presence for collections related information on line. There was a period of total closure in January 2012 occasioned by storm damage to the building which reduced overall visitor figures.

No benchmarking is planned in this area as there are very few local authority services of similar size and ambition to the Museum run by Inverclyde Council. Those venues where the comparison is closest are organised, managed and funded in different ways from the Museum, such as being one venue in a large service as opposed to being run from a single venue as the museum service is in Inverclyde.

## Service Performance – Culture & Community Services

<b>SPI 038aS Use of libraries – number of visits per 1,000 population</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
3,599	4,178	4,462	4183	Green – Improving

<b>SPI 038bK Number of library issues per 1000 population</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
2957	2936	2702	2945	Red – Declining

<b>SPI 039K Number of users of computer facilities per 1000 population</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
80	85	94	86	Green - Improving

<b>SPI 040K Adult Learners in Libraries</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
1447	1213	1277	1274	Green – Improving

### What the Data Tells Us

Performance in relation to library performance indicators remains good. The number of visits per 1000 population, usage of computer facilities and number of adult learners all increased over the period 2011/12 to 2012/13. The number of library issues per 1000 population however fell over the same period.

### Further Information

There is an improving figure across the board with use of libraries increasing at all branches. A large proportion of the increase in 2012-3 has been due to the popularity of the Business Store location for the Central Library. Central Library visitor figures increased 15% between 11/12 and 12/13.

## Service Performance – Culture & Community Services

The number of library issues are declining across Inverclyde Libraries. Benchmarking undertaken with neighbouring local authorities indicates that this is a national picture and is closely related to the increase in popularity of eBooks and use of eReaders / tablets. In response Inverclyde Libraries launched an eBooks download service in April 2013 and we would hope to see issue figures increase next year on the back of this.

Computer use remains extremely popular in Inverclyde Libraries and the recent extension of the Central Library to include a learning centre is helping to cope with the high demand for this service. We would expect to see this figure increase in future years as the impact of the changes to welfare reform and the Government's Digital by Default agenda start to have an impact.

With regard to Adult Learners, the demand for classes, particularly in beginners' computing and using mobile devices such as iPads, remains high and we are working in partnership with other organisations and volunteers to deliver as many classes as possible in Inverclyde Libraries.

The Libraries Service undertakes robust self-evaluation and there is an annually updated service improvement plan in place. Inverclyde Libraries undertakes benchmarking with similar sized authorities across the central belt of Scotland.

The Council's Citizens' Panel surveys show that there are high positive satisfaction rates with Inverclyde libraries. In the Autumn 2012 survey, Libraries, McLean Museum and Art Gallery topped the list of services that respondents were either satisfied or very satisfied with (87%).

You can find information on the wide range of services offered by Inverclyde libraries on the Council's website:

<http://www.inverclyde.gov.uk/community-life-and-leisure/libraries/>

## Service Performance – Culture & Community Services

SPI042K Exercise - % of Inverclyde residents participating in sport / similar activity at least every two weeks				
2008	2010	2012	Target (where set)	Status
61%	59%	57%	59%	Red – Level *

### What the Data Tells Us

This performance information has been extracted from the Council's Citizen's Panel. The percentage of residents participating in sport or similar activity at least every two weeks has remained fairly steady over the period at just over half of all respondents.

### Further Information

Inverclyde Council and its partners are keen to maximise the levels of physical activity amongst all its residents to reduce levels of obesity and ill health and to promote the benefits of a leading a physically active lifestyle.

The Citizens' Panel help to provide a measure of physical activity levels. The Panel Questionnaires is distributed to a representative sample of 1000 Inverclyde residents. Questions are repeated every two years to allow us to assess whether improvement has been achieved.

\* Please note that all sample surveys are subject to a degree of random error. The margin of error within the data supplied is +/-4%, thus for example, the 57% of residents that participate in sport at least every two weeks will lie within the range 53% and 61%. Bearing this in mind, when reviewing the results between 2010 and 2012, we can see that the responses in relation to this indicator have remained fairly constant.

Inverclyde Council and Inverclyde Leisure together with representatives from sports clubs are currently developing a new 'Framework for Sport in Inverclyde'. The framework aims to maximise the benefits of Inverclyde's sporting facilities to clubs and individuals. It will focus on participation and enabling clubs and individuals to achieve their potential.

The Community Health and Care Partnership has 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 well being.

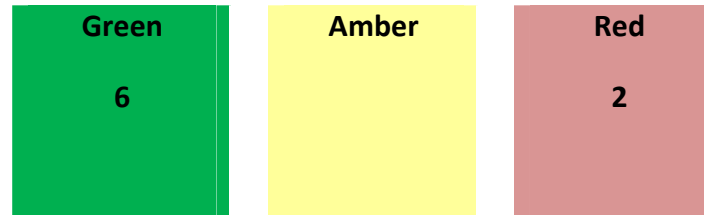
This question will be asked again in the 2014 Citizens' Panel Survey.

## Service Performance – Health & Trading Standards

### Service Performance – Health & Trading Standards

<b>SPI 065aK</b>	Pest Control High Priority - % of those attended by next working day
<b>SPI 065bK</b>	Pest Control Low Priority - % of those attended within 5 working days
<b>SPI 068aS</b>	Trading Standards – the % of consumer complaints completed within 14 days
<b>SPI 068bS</b>	Trading Standards Advice – the % of advice requests completed within 14 days
<b>SPI 069aK</b>	Trading Standards – The number of interventions carried out at business premises in Inverclyde during the year *
<b>SPI 069bK</b>	Trading Standards - % of liable businesses subject to intervention
<b>SPI 070aK</b>	Food Safety Hygiene Inspections - % of premises broadly compliant
<b>SPI 070bK</b>	Food Safety Hygiene Inspections - % of interventions achieved
<b>SPI 071aK</b>	Health & Safety at Work – The number of interventions carried out at business premises in Inverclyde during the year *
<b>SPI 071bK</b>	% of businesses liable at financial year end which were subject to intervention during the financial year

**Health & Trading  
Standards (10)**



\* No targets are set for SPI 069aK & SPI 070bK due to the nature of the measures. These measures provide contextual information for the second part of the indicator.

## Service Performance – Health & Trading Standards

<b>SPI065aK Pest Control High Priority - % of those attended by next working day</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
96%	95 %	95%	95%	<b>Green – Level</b>

<b>SPI065bK Pest Control Low Priority - % of those attended within 5 working days</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
97%	98%	99%	95%	<b>Green - Improving</b>

### What the Data Tells Us

The percentage of high priority requests attended by the next working day has remained steady over the period 2011/12 and 2012/13 and is also in line with target.

The percentage of low priority requests attended within 5 working days increased very slightly and is just short of maximum performance.

### Further Information

There has been an improvement in performance in low priority pest control complaints (% attended within 5 working days). This probably reflects a slight decline in the overall number of complaints. Performance in high priority complaints is broadly comparable with 2011/12.

## Service Performance – Health & Trading Standards

SPI068aS Trading Standards – the % of consumer complaints completed within 14 days				
2010/11	2011/12	2012/13	Target (where set)	Status
95.65	100%	83.7%	95%	Red – Declining

SPI068bS Trading Standards Advice – the % of advice requests completed within 14 days				
2010/11	2011/12	2012/13	Target (where set)	Status
100%	100%	100%	95%	Green – Level

### What the Data Tells Us

The data shows that there has been a drop in the percentage of consumer complaints completed within 14 days. The reasons for this fall in performance are provided below.

The percentage of advice requests completed within 14 days remains at maximum performance for the fourth year running (100% in 2009/10).

### Further Information

First tier consumer advice requests are taken nationally by Citizen’s Advice Service (CAS) on a national helpline. These are then uploaded automatically to the Trading Standards Service back office system (Uniform) from the database of the CAS. CAS took on this role on 1 April 2012 from Consumer Direct. Complaints from CAS are categorised as Notifications and Referrals. The bulk of consumer complaints come to Trading Standards as Notifications i.e. CAS has given advice and there is no further action required, these are not included in the PI but are monitored for any underlying trends. Referrals, usually where there is a suspicion of illegal trading, form the basis of this PI. In these cases Trading Standards Officers will investigate further.

Unfortunately between 1<sup>st</sup> April 2012 & 7<sup>th</sup> August 2012 the link between the CAS database & Uniform was disabled. As a result of this no new Referrals or Notifications were accepted into the Uniform system. This led to 14 failures of the PIs as Trading Standards were unable to access the complaints and thus unable to deal with them within the required timescale. Some consumers followed up their complaints by contacting us directly but some complaints could not be dealt with until the link was restored. If the Uniform link had been working correctly only 3 failures would have occurred leading to a 97% PI rate.



## Service Performance – Health & Trading Standards

SPI069aK Trading Standards – The number of interventions carried out at business premises in Inverclyde during the year				
2010/11	2011/12	2012/13	Target (where set)	Status
126	198	180	Not Set	-

SPI069bK Trading Standards - % of liable businesses subject to intervention				
2010/11	2011/12	2012/13	Target (where set)	Status
9.3%	14.1%	12.1%	12%	Green – Declining

### What the Data Tells Us

There is no target set for the number of interventions carried out at business premises in Inverclyde due to the nature of the indicator.

There has been a decrease in the percentage of businesses liable at the end of the financial year that were subject to intervention.

### Further Information

The % of liable businesses subject to intervention has declined from 14.1% to 12.1% in 2012/13 although it achieved its target of 12%. The percentage of businesses subject to intervention will vary from year to year depending on the enforcement campaigns ran during the year. This is not however a measure of overall activity as some campaigns may involve a number of visits or interventions to individual businesses.

## Service Performance – Health & Trading Standards

SPI070aK Food Safety Hygiene Inspections - % of premises broadly compliant				
2010/11	2011/12	2012/13	Target (where set)	Status
87%	86.4%	87.2%	85%	Green – Improving

SPI070bS Food Safety Hygiene Inspections - % of interventions achieved				
2010/11	2011/12	2012/13	Target (where set)	Status
98.6%	95%	72.1%	75%	Red – Declining

### What the Data Tells Us

In 2012/13 there was an increase in the percentage of premises broadly compliant in relation to food safety hygiene. There was however a decrease in the percentage of food safety hygiene interventions achieved. An explanation of this is provided below.

### Further Information

This Performance Indicator is based upon Inverclyde's return to the Food Standards Agency (FSA), the Local Authority Enforcement Monitoring return (LAEMS). The LAEMS return is based on an authority's performance against its inspection programme. The inspection programme for LAEMS is based upon the risk rating of the premises (A-E) with inspection of premises due at intervals based upon that risk rating.

In 2012, Inverclyde Council embarked on a three year programme to introduce the FSAs cross contamination guidance to food businesses in Inverclyde. This is a resource heavy programme resulting in a partial suspension of the normal risk based inspection programme with the agreement of the FSA. A number of inspections which would normally be due in the course of the year were therefore ignored in favour of the more tightly focussed inspection programme. At the time the implications for the Council's LAEMS return were flagged up to FSA.

At the end of the first year we sought guidance from the FSA on how to report our activities in LAEMS. Two options were available:

1. Approach 1 – Count Category C premises which would have been due inspection under previous risk based programme but which did not form part of the cross-contamination programme. Total interventions achieved 479, 184 due outstanding from original (risk based) programme -  $479/479+184 = 72\%$

## Service Performance – Health & Trading Standards

2. Approach 2 - Remove from the 184 due outstanding interventions: 103 category C not handling raw therefore not part of cross contamination programme; 69 C category premises which form part of the overall cross-contamination programme but which were not due inspection in year 1 having been assessed as medium or low risk for cross-contamination; 3 category c premises which were assessed as high risk for cross contamination however as we over achieved against our programme for this category (we expected to manage 50 but in fact managed 94) these do not count as failures and; 4Ds & 4Cs.

In fact, under this method only one inspection was missed which was included as part of the year's cross-contamination programme (a C premises scoring 20 for vulnerable groups which was accidentally missed having been printed on the reverse side of a print out of inspections due) we in fact achieved 479/480 interventions or 99.8%

Advice from the FSA was that we should follow approach 1 in our LAEMS return therefore the PI appears to show a marked reduction whereas we actually achieved very close to 100% of the inspections we intended to carry out at the outset.

## Service Performance – Health & Trading Standards

SPI071aK Health & Safety at Work – The number of interventions carried out at business premises in Inverclyde during the year				
2010/11	2011/12	2012/13	Target (where set)	Status
241	266	232	Not Set	-

SPI071bK % of businesses liable at financial year end which were subject to intervention during the financial year				
2010/11	2011/12	2012/13	Target (where set)	Status
10.7%	12.7%	13.5%	12%	Green – Improving

### What the Data Tells Us

There is no target set for the number of interventions carried out at business premises in Inverclyde due to the nature of the indicator, however the number of business premises interventions fell between 2011/12 and 2012/13.

There has been an increase in the percentage of businesses liable at the end of the financial year that were subject to intervention.

### Further Information

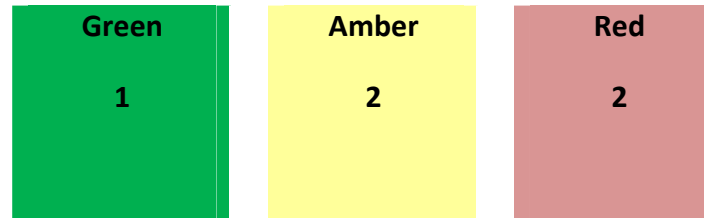
The overall number of interventions has declined slightly whereas the % of liable premises subject to intervention has increased. This will be an increasingly difficult indicator in future as Government policy dictates a requirement that regulators reduce inspection rates. The challenge in future will be to effectively influence the health and safety of employees in Inverclyde by the programming of meaningful interventions within this constraining framework.

## Service Performance – Homelessness

### Service Performance – Homelessness

<b>SPI 058aiS</b>	Homelessness Permanent Accommodation- % decision notifications issued within 28 days
<b>SPI 058iiS</b>	Homelessness - % who are housed into permanent accommodation
<b>SPI 058aiiiS</b>	Homelessness - % of cases reassessed within 12 months of completion of duty
<b>SPI 058biS</b>	Homelessness (temporary) % of decision notifications issued within 28 days of date
<b>SPI 058biiS</b>	Homelessness (temporary) % of cases reassessed within 12 months of completion of duty

Homelessness (6)



## Service Performance – Homelessness

<b>SPI 058aiS Homelessness Permanent Accommodation- % decision notifications issued within 28 days of initial presentation</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
70%	77.3%	78.5%	82%	<b>Amber – Improving</b>

<b>SPI 058iiS Homelessness - % who are housed into permanent accommodation</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
42%	37.1%	39.7%	39.15%	<b>Green – Improving</b>

<b>SPI 058iiiS Homelessness - % of cases reassessed within 12 months of completion of duty</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
8.7%	7.2%	7.7%	5%	<b>Amber – Declining</b>

<b>SPI 058biS Homelessness (temporary) % of decision notifications issued within 28 days of date</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
78.1%	77.1%	68.2%	79%	<b>Red – Declining</b>

<b>SPI 058biiS Homelessness (temporary) % of cases reassessed within 12 months of completion of duty</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
10.9%	5.7%	9.1%	4.7%	<b>Red – Declining</b>

## Service Performance – Homelessness

### What the Data Tells Us

There was a slight improvement in the percentage of decision notifications issued within 28 days of initial presentation (permanent) over 2011/12 however the percentage of (temporary) homeless decision notifications issued within 28 days fell by almost 10% between 2011/12 and 2012/13.

The percentage of permanent homeless cases reassessed within 12 months of completion of duty increased slightly, representing a slight fall in performance in this area. The number of temporary homeless cases reassessed within 12 months of completion of duty also increased.

The percentage of homeless housed into permanent accommodation improved by 2.6%.

### Further Information

#### *Permanent*

Since the departure of the Service Manager in October 2012 the service has undertaken a service review. This has resulted in carrying a vacancy at Team Leader level since October 2012 to date, which may have contributed to the slight shift in performance in this area.

As a stock transfer authority, the service is completely reliant on housing providers making sufficient offers of housing available to homeless clients. These difficulties have been recognised and the Local Housing Strategy has incorporated a requirement that the Homeless Service should receive 50% of the available housing for their clients.

#### *Temporary*

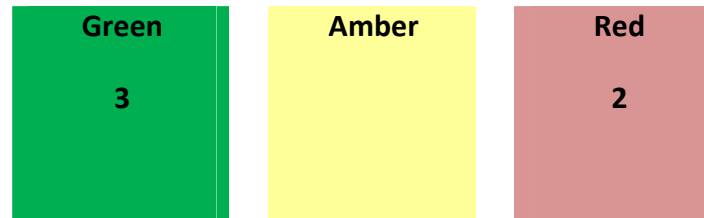
It is worth noting here that this section refers to cases that the local authority's only duty is to provide temporary accommodation. These cases tend to require a lot of investigation to come to a decision and therefore it is not surprising that it proves difficult to maintain the target set. The same can be said for the increase in repeat presentation and this group are the most challenging to engage with services.

## Service Performance – Planning

## Service Performance – Planning

<b>SPI 043</b>	Overall planning applications processing time
<b>SPI 043aS</b>	The average time taken in weeks to deal with major planning applications determined during the year
<b>SPI 043bS</b>	The average time taken in weeks to deal with local planning applications determined during the year
<b>SPI 044aK</b>	Successful Planning appeals as a percentage of all determinations
<b>SPI 074S</b>	Successful Planning appeals as a percentage of all appeals

Planning (5)





## Service Performance – Planning

<b>SPI 043S Overall planning applications processing time – weeks (Major and Local)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
-	-	7.9 weeks	8weeks	<b>Green – New indicator. No trend data</b>

<b>SPI 043aS The average time taken in weeks to deal with major planning applications determined during the year</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
-	-	26 weeks	12weeks	<b>Red – New indicator. No trend data</b>

<b>SPI 043Bs The average time taken in weeks to deal with local planning applications determined during the year</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
-	-	7.7 weeks	8weeks	<b>Green – New indicator. No trend data</b>

### What the Data Tells Us

SPI 043(a&b) are new indicators for 2012/13 therefore no trend data is available for previous years. Performance is within the overall target that has been set, although the average time taken to deal with major planning applications fell below the target for 2012/13.

### Further Information

Close monitoring and weekly performance review continues to ensure that application delay as a direct result of officer performance is rare. Of 310 applications, 58 applications took more than two months to determine, with the outstanding issues on this date being:

- Awaiting additional information, including fees, from the applicant: 21
- Regulation and protocol require determination by the Planning Board: 26
- Consultation responses to allow determination outstanding: 6
- Officer delays: 5

While only 4 major planning applications were determined during the year, they attracted in excess of 1,600 representations from members of the public. The practicalities of administering and taking into account this high level of public interest significantly contributed to the average time taken to determine major planning applications not being met.

## Service Performance – Planning

<b>SPI 044aK Successful Planning appeals as a percentage of all determinations</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
0.3%	1.6%	1%	1%	<b>Green – Improving</b>

<b>SPI 044bK Successful Planning appeals as a percentage of all appeals</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
50%	66%	75%	30%	<b>Red – Declining</b>

### What the Data Tells Us

The number of successful appeals was down on the previous year, representing improved performance. In 2012/13 there were 3 successful planning appeals out of 310 determinations, i.e 1% of all determinations.

### Further Information

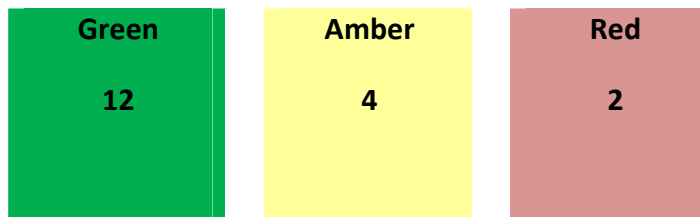
Whilst the number of successful appeals seems to have increased significantly, this is due to the small numbers that make up this indicator e.g. in 2012/13 there were 4 appeals, 3 of which were successful. In the previous year, there were 9 appeals, 6 of which were successful. Overall planning appeal numbers are therefore low. All 4 planning application decisions that were referred to the Scottish Ministers for determination were Planning Board decisions, three of which were contrary to officer recommendation.

## Service Performance – Protective Services

### Service Performance – Protective Services

<b>SPI 060aiS</b>	Domestic noise complaints - response time (requiring attendance) - Average time (hours) between complaint and attendance
<b>SPI 060aiiS</b>	Domestic noise complaints - response time (dealt under Part V) - Average time (hours) between complaint and attendance
<b>SPI 061K</b>	Traffic Light Repairs - % of repairs completed within 48 hours
<b>SPI 062K</b>	Street Lighting - % of repairs completed within 7 days
<b>SPI 063aK</b>	Anti Social Behaviour (Response times – High Priority) % received during the wardens shift hours attended within 30 mins
<b>SPI 063bK</b>	Anti-Social Behaviour (response times-medium priority)% received during the wardens shift hours attended within 60 mins
<b>SPI 064aK</b>	Public Health Complaints (High Priority) % attended by next working day
<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 066aS</b>	Roads Carriageway condition (A Class roads)
<b>SPI 066bS</b>	Roads Carriageway condition (B Class roads)
<b>SPI 066cS</b>	Roads Carriageway condition (C Class roads)
<b>SPI 066dS</b>	Roads Carriageway condition (Unclassified roads)
<b>SPI 066eS</b>	Roads Carriageway condition (Overall)
<b>SPI 067aK</b>	Roads - Customer Satisfaction Surveys completed
<b>SPI 067bK</b>	Roads -% of carriageways reconstructed/resurfaced
<b>SPI 067cK</b>	Roads - % of footways reconstructed/resurfaced
<b>SPI 067dK</b>	Roads - Road Gullies emptied per year

**Protective Services (18)**



## Service Performance – Protective Services

<b>SPI 060aiS Domestic noise complaints - response time (requiring attendance) - Average time (hours) between complaint and attendance</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
46.1 hours	25.5 hours	<b>16.6 hours</b>	40hours	<b>Green – Improving</b>

<b>SPI 060aiS Domestic noise complaints - response time (dealt under Part V) - Average time (hours) between complaint &amp; attendance</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
0.6 hours	0.6 hours	<b>0.6 hours</b>	0.6 hours	<b>Green – Level</b>

### What the Data Tells Us

Performance relating to the average time between complaint and attendance on site (for those requiring attendance on site), has improved significantly since 2010/11 and now stands at 16.6 hours, whilst the average time for those dealt with under the ASB 2004 Act remains unchanged. The above indicators are also included within the SOLACE Benchmarking Indicator set.

### Further Information

Efforts have been made to improve this indicator. In 2010/11 this measure was affected by attendance on site for complaints made on a Friday not taking place till the next working day (Monday). Greater use of the warden's service for initial attendance has brought this down as we can now attend on a Saturday or Sunday. Councils with a full time out of hours service will invariably be able to have a faster response however the workload in Inverclyde would not justify such a service.

Councils achieving a better result to Inverclyde invariably have full time out of hours noise teams responding to complaints. Inverclyde operates a far cheaper on call system. As a number of the officers on call are based outside Inverclyde it is very unlikely that we could reduce the average time under the current system.

This area is very difficult to benchmark owing to the very different services offered by different councils. We do intend to participate in a wider APSE benchmarking project for the whole of Environmental Health and Trading Standards services which might bring better results. A system has been in place for a number of years and this is in effect a "stable" PI.

## Service Performance – Protective Services

SPI 061K Traffic Light Repairs - % of repairs completed within 48 hours				
2010/11	2011/12	2012/13	Target (where set)	Status
100%	78.6%	95.8%	95%	Green – Improving

SPI 062K Street Lighting - % of repairs completed within 7 days				
2010/11	2011/12	2012/13	Target (where set)	Status
94.19%	99.7%	98.4%	90%	Green – Declining

### What the Data Tells Us

The data shows that despite a fall in the percentage of traffic light repairs completed within 48 hours in 2011/12 there was a significant increase in 2012/13. The 95.8% of repairs completed within 48 hours equates to 46 out of 48 repairs. This is compared to 22 repairs completed within 48 hours out of a possible 28 in 2011/12. Performance has improved beyond target for 2012/13.

There was a slight fall in the percentage of street lighting repairs that were completed within 7 days. The 98.4% of repairs completed on time in 2012/13 consists of a total of 2,575 repairs, 2,533 of which were completed within 7 days. The Council continues to perform beyond target for street lighting repairs.

### Further Information

The Council employs a specialist traffic signal contractor to effect repairs where required and this contract is performing well. There are a relatively small number of signal installations and the SPI data can be adversely affected by a more serious fault which requires the procurement of specialist equipment.

The street lighting SPI data is a combination of repair times between the Council itself (by external Contractor) and Scottish Power who are responsible for the 5<sup>th</sup> core network which is present of a significant number of the Council's street lighting infrastructure; Scottish Power's target timescales for repair are longer than the Councils and this can have a negative impact on the SPI and over which the Council has no control.

## Service Performance – Protective Services

<b>SPI 063aK Anti Social Behaviour (High Priority) % received during the wardens shift hours attended within 30 mins</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
96.3%	97.2%	96.1%	95%	<b>Green – Marginal Decline</b>

<b>SPI 063bK Anti-Social Behaviour (medium priority)% received during the wardens shift hours attended within 60 mins</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
99.1%	99.1%	100%	95%	<b>Green - Improving</b>

### What the Data Tells Us

Performance in relation to responding to anti-social behaviour has remained very high, with maximum performance being achieved for medium priority calls. There was a slight fall in the percentage of high priority calls attended within 30 minutes, but performance remains above target.

During 2012/13, Inverclyde Council received 1,190 high priority calls and 74 medium priority calls regarding anti-social behaviour.

### Further Information

In 2012/13 performance for high priority complaints (response in 30 minutes during shift hours) was broadly in line with 2011/12. Performance in medium priority (60 minutes) improved from 99% to 100%. It is unlikely that the high priority complaints will reach this level due to the more challenging response time

More information on anti-social behaviour can be found on the Council's website:

<http://www.inverclyde.gov.uk/advice-and-benefits/anti-social-behaviour/>

## Service Performance – Protective Services

<b>SPI 064aK Public Health Complaints (High Priority) % attended by next working day</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
85%	93.2%	96.7%	92.5%	Green – Improving

<b>SPI 064bK Public Health Complaints (Medium priority) % attended within 2 working days</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
91.2%	92.2%	93%	92.5%	Green – Improving

<b>SPI 064cK Public Health Complaints (Low Priority) % attended within 5 working days</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
94.3%	93.4%	98%	92.5%	Green – Improving

### What the Data Tells Us

There has been an improvement in performance across all the Public Health Complaints indicators. The largest improvement has been in the number of high priority complaints, which has risen from 85% in 2010/11 to 96.7%.

### Further Information

Performance in 2012/13 is broadly in line with 2011/12. It is unlikely that we would seek to improve greatly on current performance as to do so would distort the work of the section.

## Service Performance – Protective Services

<b>SPI 066aS Roads Carriageway condition (A Class roads) - % of roads network that should be considered for maintenance treatment</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
29.3%	30.7%	32.7%	27%	<b>Amber – Declining</b>

<b>SPI 066bS Roads Carriageway condition (B Class roads) - % of roads network that should be considered for maintenance treatment</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
38.4%	42%	44.3%	36.4%	<b>Amber – Declining</b>

<b>SPI 066cS Roads Carriageway condition (C Class roads) ) - % of roads network that should be considered for maintenance treatment</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
44.7%	50.7%	47.4%	49%	<b>Green – Improving</b>

<b>SPI 066dS Roads Carriageway condition (Unclassified roads)</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
48.7%	49%	51.1%	46.7%	<b>Amber – Declining</b>

<b>SPI 064eK Roads Carriageway condition (Overall)</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
46.2%	47.6%	49%	45.6%	<b>Amber – Declining</b>

### What the Data Tells Us

The data shows that the percentage of A, B and unclassified roads requiring maintenance treatment increased further in 2012/13, representing a decline in performance. Conversely, the percentage of C class roads requiring maintenance treatment has improved.



## **Service Performance – Protective Services**

### **Further Information**

This a priority for the Council with significant 3 year investment planned for 2013/14. The Council has prepared and implemented an asset management plan and asset investment strategy and recently allocated £17m over 3 years as the first phase in dealing with the maintenance backlog on the four main asset groups (carriageways, footways, lighting and structures); a strategy and works programme is being developed at this time.

The Council would always seek to ensure that expenditure is made on a best value basis in line with specified service requirements.

A slight increase (i.e. a worsening condition) in the road condition indicator is to be expected given recent severe winters and funding levels prior to April 2013.

Benchmarking already takes place via SCOTS Group and APSE.

## Service Performance – Protective Services

<b>SPI 067aK Roads - Customer Satisfaction Surveys completed</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
15	12	9	13	<b>Red – Declining</b>

<b>SPI 067bK Roads -% of carriageways reconstructed/resurfaced</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
1.6%	4%	3.3%	1.2%	<b>Green – Declining</b>

<b>SPI 067cK Roads - % of footways reconstructed/resurfaced</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
0.4%	0.8%	0.4%	0.9%	<b>Red – Declining</b>

<b>SPI 067dK Roads - Road Gullies emptied per year</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
7600	6026	7838	6327	<b>Green – Improving</b>

### What the Data Tells Us

The data shows that there has been a fall in the number of roads customer satisfaction surveys completed, which is now below target. There has also been a fall in the percentage of footways reconstructed / resurfaced (% is subject to budget availability).

The percentage of carriageways reconstructed / resurfaced also fell from 2011/12 levels, but is more than twice the performance level achieved in 2010/11 and remains above target (again the % is subject to budget availability).

There has been a 30% increase in the number of road gullies emptied per year between 2011/12 and 2012/13. This follows a fall in performance between 2010/11 and 2011/12. Performance now exceeds 2010/11 level and is above target.

## **Service Performance – Protective Services**

### **Further Information**

#### **Surveys**

The bulk of the surveys carried out are in relation to the major carriageway and footway resurfacing/reconstruction schemes, and completion is dependent on the return of the survey form by the public; generally, returns are low, and SPI is affected by this.

#### **% Carriageways**

The extent of carriageways resurfaced/reconstructed is determined largely by the budget availability, and competing technical priorities. The increased funding for the period 2013 to 2016 will improve data in respect of this SPI.

#### **% Footways**

The extent of footways resurfaced/reconstructed is determined largely by the budget availability, and technical priorities. The increased funding for the period 2013 to 2016 may improve data in respect of this SPI, but this is dependent of technical priory and competition with other roads assets (carriageways, street lighting and structures).

#### **Road Gullies**

This Service is carried out primarily in house with occasional private sector support. We would anticipate a similar performance for the coming year.

## Service Performance – The Education of Children

### Service Performance – The Education of Children

<b>SPI 045K</b>	S5 Stage Staying on Rates
<b>SPI 046aK</b>	S6 Stage Staying on Rates (S4-S6)
<b>SPI 046bK</b>	S6 Stage Staying on Rates (S5-S6)
<b>SPI 047K</b>	Primary School Pupil teacher Ratio (1:)
<b>SPI 048K</b>	Secondary School Pupil teacher Ratio(1:)
<b>SPI 049K</b>	School Leaver Destination Results - % into positive destinations - Inverclyde (Scotland)
<b>SPI 050aiK</b>	Attendance in Inverclyde Primary Schools
<b>SPI 050aiiK</b>	Attendance in Primary Schools ( <b>cf National Average</b> ) *
<b>SPI 050biK</b>	Attendance in Inverclyde Secondary Schools
<b>SPI 050biiK</b>	Attendance in Secondary Schools ( <b>cf National Average</b> ) *
<b>SPI 050ciK</b>	Attendance in Inverclyde Special Schools
<b>SPI 050ciiK</b>	Attendance in Special Schools ( <b>cf National Average</b> ) *
<b>SPI 051K</b>	School Improvement - % Schools / Early Years Establishments receiving positive inspection reports
<b>SPI 052aiK</b>	Attainment - S4 (Secondary) - English & Maths % of pupils reaching level 3 in English & Maths by end of S4
<b>SPI 052aiiK</b>	Attainment - S4 (Secondary) - English & Maths ( <b>comparison</b> ) cf National average (family average)
<b>SPI 052biK</b>	Attainment - S4 (Secondary) - % achieving 5 at level 3 by the end of S4
<b>SPI 052biiK</b>	Attainment - S4 (Secondary) –% achieving 5 at level 3 by the end of S4 ( <b>comparison</b> ) cf National average (family average)
<b>SPI 052ciK</b>	Attainment - S4 (Secondary) - % achieving 5 level 5
<b>SPI 052ciiK</b>	Attainment - S4 (Secondary) - % achieving 5 level 5 ( <b>comparison</b> ) cf National average (family average)
<b>SPI 052diK</b>	Attainment - S5 (Secondary) - % achieving 1 at level 6 by the end of S5
<b>SPI052diiK</b>	Attainment - S5 (Secondary) – % achieving 1 at level 6 by the end of S5 ( <b>comparison</b> ) cf National average (family average)
<b>SPI 052eiK</b>	Attainment - S5 (Secondary) - % achieving 3 at level 6 by the end of S5
<b>SPI 052eiiK</b>	Attainment - S5 (Secondary) –% achieving 3 at level 6 by the end of S5 ( <b>comparison</b> ) cf National average (family average)
<b>SPI 052fiK</b>	Attainment - S5 (Secondary) - % achieving 5 at level 6 by the end of S5
<b>SPI 052fiiK</b>	Attainment - S5 (Secondary) - % achieving 5 at level 6 by the end of S5 ( <b>comparison</b> ) cf National average (family average)

## Service Performance – The Education of Children

**SPI 052giK**  
**SPI 052gjK**

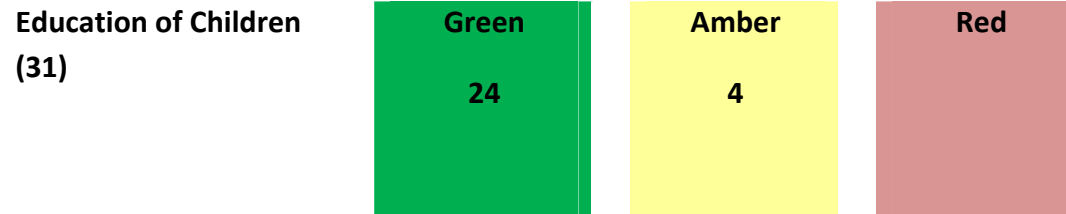
Attainment - S6 (Secondary) - % achieving 3 at level 6 by the end of S6  
 Attainment - S6 (Secondary) - % achieving 3 at level 6 by the end of S6 (**comparison**) cf National average (family average)

**SPI 052hiK**  
**SPI 052hiiK**

Attainment - S6 (Secondary) - % achieving 5 at level 6 by the end of S6  
 Attainment - S6 (Secondary) - % achieving 5 at level 6 by the end of S6 (**comparison**) cf National average (family average)

**SPI 052iiK**  
**SPI 052iiiK**

Attainment - S6 (Secondary) - % achieving 1 at level 7 by the end of S6  
 Attainment - S6 (Secondary) - % achieving 1 at level 7 by the end of S6 (**comparison**) cf National average (family average)



\* Performance information for these indicators is published by the Scottish Government. The last figures published were for the period 2010/11 and were published in December 2011.

## Service Performance – The Education of Children

<b>SPI 0045K S5 Staying on Rates</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
85.7%	87.5%	<b>89.7%</b>	89.5%	<b>Green – Improving</b>

<b>SPI 0046aK S6 Staying on Rates (S4-S6)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
56.6%	60.9%	<b>64.1%</b>	62%	<b>Green – Improving</b>

<b>SPI 0046bK S6 Staying on Rates (S5-S6)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
65.8%	71%	<b>73.2%</b>	73%	<b>Green – Improving</b>

### What The Data Tells Us

The data shows that there has been an improvement in staying on rates in both S5 and S6. Staying on rates have improved year on year.

### Further Information

Possible reasons for year on year percentage increases for this measure will include 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 in the provision of a senior phase of education in 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 doing traditional academic subjects. Inverclyde is developing personalisation and choice very effectively for more and more young people every year.

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

## Service Performance – The Education of Children

<b>SPI 0047K Primary School Teacher Ratio (1: )</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
16.2	16.7	16.8	16.2	<b>Amber – Marginal Decline</b>

<b>SPI 0048K Secondary School Teacher Ratio (1: )</b>				
<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
12.2	12.4	12.3	12.2	<b>Amber – Marginal Improvement</b>

### What the Data Tells Us

The ratio of primary school teacher to pupil increased very slightly between 2011/12 and 2012/13, representing a marginal decline in performance as the target is to reduce the number of pupils to every teacher.

The ratio of secondary school teacher to pupil reduced very slightly between 2011/12 and 2012/12, representing a marginal improvement in performance. The ratio is now 0.1 away from the set target.

### Further Information

There has been considerable stability in the pupil / teacher ratios at both primary and secondary school level in Inverclyde, given the level of change that has been effected within the local school estate. Through school amalgamation and re-provisioning there have been percentage changes of well under 1% in both sectors in the past three years.

## Service Performance – The Education of Children

SPI 0049K School Leaver Destination Results (% into positive destinations)				
2010/11	2011/12	2012/13	Target (where set)	Status
89.1%	94.8%	Due November 2013	90%	Green – Improving

### What the Data Tells Us

School leaver destination results are published by the Scottish Government in November each year. The most recent results, published in November 2012, show that there has been a significant improvement in the proportion of pupils entering positive destinations. Benchmarking carried out with other Scottish Councils shows that Inverclyde is one of the top performing authorities in this area.

### Further Information

This is a priority improvement area for the Council. In 2003, Inverclyde was 31<sup>st</sup> out of 32 authorities for positive destinations and there has been year on year improvements since then.

The work that has been undertaken in recent years to improve positive destinations for our young people has been in development of partnership processes rather than funding short term programmes as Inverclyde no longer has the additional funding from Scottish Government that accompanied Inverclyde's previous status as a "NEET Hotspot". The sustainability of our local approach has been vital to us. Partnership working in this area has resulted in improvements in positive destinations. We also have no "unknown" young people in the SLDR count.

Long standing benchmarking arrangements are already in place for this measure.

Inverclyde Council and partners are finalists in the 2013 APSE awards for the results achieved in relation to positive school leaver destinations.



## Service Performance – The Education of Children

<b>SPI 050aiK Attendance in Inverclyde Primary Schools</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
95%	96.4%	94.8%	95%	<b>Amber – Declining</b>

<b>SPI 050aiiK Attendance in Inverclyde Primary Schools (Inverclyde comparison with national average)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
0%	Not Available	Not available	0	Last figures published Dec 2011

<b>SPI 050biK Attendance in Inverclyde Secondary Schools (cf national average)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
91%	93.3%	91.9%	92%	<b>Amber – Declining</b>

<b>SPI 050biiK Attendance in Inverclyde Secondary Schools (cf national average)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
-0.1	Not available	Not available	0	Last figures published Dec 2011

<b>SPI 050ciK Attendance in Inverclyde ASN Schools</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
93.02%	93.9%	93.3%	92%	<b>Green – Marginal Decline</b>

<b>SPI 050ciiK Attendance in Inverclyde ASN Schools (cf national average)</b>				
2010/11	2011/12	2012/13	Target (where set)	Status
+3%	Not available	Not available	0.0	Last figures published Dec 2011

## **Service Performance – The Education of Children**

### **What the Data Tell Us**

There was a fall in attendance rates across all three sectors, i.e. primary, secondary and ASN schools during academic year 2012/13.

### **Further Information**

Attendance at school is regarded as a priority for Education Services as children who miss school frequently can fall behind in their school work. Robust monitoring and recording systems are in place to maximise attendance.

The national comparison figures are published by the Scottish Executive. The latest figures that are available on the Scottish Government were published in December 2011 and relate to academic year 2010/11.

## Service Performance – The Education of Children

SPI 051K School Improvement (% of schools / early years receiving positive inspection reports)				
2010/11	2011/12	2012/13	Target (where set)	Status
100%	100%	100%	99%	Green – Level

### What the Data Tell Us

The data shows that Inverclyde Council has continued to achieve 100% positive school inspection reports.

### Further Information

Schools are inspected by Her Majesty's Inspectorate of Education (HMIe), who publish reports on their inspections. You can view the inspection reports that have been carried out in all Inverclyde's schools at the HMIe website <http://www.hmie.gov.uk/>

In addition, school are reviewed regularly by the Council's Quality Improvement Officers. Each review is undertaken in partnership with the staff of the school. The subsequent review report gives the school the opportunity to demonstrate the quality of its work and to share this with parents and other interested parties.

## Service Performance – The Education of Children

<b>SPI 052aiK Attainment S4 Secondary – English &amp; Maths % of pupils reaching level 3 in English &amp; Maths by end of S4</b>						
2010/11		2011/12		2012/13	Target (where set)	Status
95%		97%		97%	95%	Green – Level

<b>SPI 052aiiK Attainment S4 Secondary – English &amp; Maths % of pupils reaching level 3 in English &amp; Maths by end of S4 (comparison with national and family averages)</b>							
2010/11		2011/12		2012/13		Target (where set)	Status
National	Family	National	Family	National	Family		
+2%	+2%	+17%	+17%	-	-		Green – Improving

<b>SPI 052biK Attainment S4 Secondary – % of pupils achieving 5 at level 3 by the end of S4</b>						
2010/11		2011/12		2012/13	Target (where set)	Status
95%		95%		97%	95%	Green – Improving

<b>SPI 052biiK Attainment S4 Secondary – % of pupils achieving 5 at level 3 by the end of S4 (comparison with national and family averages)</b>							
2010/11		2011/12		2012/13		Target (where set)	Status
National	Family	National	Family	National	Family		
+2%	+2%	+5%	+3%	-	-	0%	Green – Improving

<b>SPI 052ciK Attainment S4 Secondary – % of pupils achieving 5 at level 5</b>						
2010/11		2011/12		2012/13	Target (where set)	Status
38%		33%		35%	35%	Green – Improving

## Service Performance – The Education of Children

SPI 052ciiK Attainment S4 Secondary – % of pupils achieving 5 at level 5 (comparison with national and family averages)							
2010/11		2011/12		2012/13		Target	Status
National	Family	National	Family	National	Family		
+2%	+5%	-2%	+1%	-	-	0%	<b>Green – Declining</b>

### What The Data Tells Us

The data shows that attainment levels for academic year 2012/13 has improved once again and continues to exceed the target set.

Inverclyde Council outperforms comparator authorities in all attainment categories and is higher than the national average in virtually all categories, the exception being SPI 052ciiK, where performance was 2% lower in 2011/12.

In addition, the percentage difference in attainment levels between Inverclyde Council and comparator and national averages increased between 2010/11 and 2011/12 across almost all categories .

### Further Information

Attainment in English and Maths at Standard Grade general level is – apart from last year – significantly higher than any other result in the last nine years.

97% of S4 pupils achieved five or more passes at Standard Grade foundation level or above – a record high

Educational attendance figures for each authority are published in August every year, however national information which allows us to draw comparisons between our attainment levels and that of comparator authorities (family group) and national performance are not published until February in the following year.

## Service Performance – The Education of Children

<b>SPI 052diK Attainment S5 Secondary –% achieving 1 at level 6 by the end of S5</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
45%		48%		45%	40%	<b>Green – Declining</b>

<b>SPI 052diiK Attainment S5 Secondary –% achieving 1 at level 6 by the end of S5 (comparison with national and family averages)</b>							
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>		<b>Target</b>	<b>Status</b>
<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>		
0%	3%	+2%	+4%	-	-	0%	<b>Green – Improving</b>

<b>SPI 052eiK Attainment S5 Secondary –% achieving 3 at level 6 by the end of S5</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
25%		26%		25%	22%	<b>Green - Declining</b>

<b>SPI 052eiiK Attainment S5 Secondary – % achieving 3 at level 6 by the end of S5 (comparison with national and family averages)</b>							
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>		<b>Target</b>	<b>Status</b>
<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>		
-1%	+3%	-1%	+3%			0%	<b>Green – Level</b>

<b>SPI 052fiK Attainment S5 Secondary –% achieving 5 at level 6 by the end of S5</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
12%		13%		10%	10%	<b>Green - Declining</b>

## Service Performance – The Education of Children

SPI 052fiiK Attainment S5 Secondary – % achieving 5 at level 6 by the end of S5 (comparison with national and family averages)							
2010/11		2011/12		2012/13		Target	Status
National	Family	National	Family	National	Family		
0%	+2%	0%	+3%	-	-	0%	Green – Improving

### What the Data Tells Us

Attainment by the end of S5 has fallen slightly across all performance measures in academic year 2012/13. However, attainment levels were higher than our comparator authorities in 2011/12 and exceeded, or were very close to national averages.

### Further Information

Educational attendance figures for each authority are published in August every year, however national information which allows us to draw comparisons between our attainment levels and that of comparator authorities (family group) and national performance are not published until February in the following year.

## Service Performance – The Education of Children

<b>SPI 052giK Attainment S6 Secondary –% achieving 3 at level 6 by the end of S6</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
34%		37%		38%	30%	<b>Green – Improving</b>

<b>SPI 052giiK Attainment S6 Secondary –% achieving 3 at level 6 by the end of S6 (comparison with national and family averages)</b>							
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>		<b>Target</b>	<b>Status</b>
<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>		
-1%	+2%	+1%	+4%	-	-	0%	<b>Green – Improving</b>

<b>SPI 052hiK Attainment S6 Secondary –% achieving 5 at level 6 by the end of S6</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
22%		24%		26%	22%	<b>Green – Improving</b>

<b>SPI 052hiiK Attainment S6 Secondary –% achieving 5 at level 6 by the end of S6 (comparison with national and family averages)</b>							
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>		<b>Target</b>	<b>Status</b>
<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>	<b>National</b>	<b>Family</b>		
-2%	+1%	-1%	+3%	-	-	0%	<b>Green – Improving</b>

<b>SPI 052iiK Attainment S6 Secondary –% achieving 1 at level 7 by the end of S6</b>						
<b>2010/11</b>		<b>2011/12</b>		<b>2012/13</b>	<b>Target (where set)</b>	<b>Status</b>
14%		17%		18%	15%	<b>Green – Improving</b>



## Service Performance – The Education of Children

SPI 052iiiK Attainment S6 Secondary –% achieving 1 at level 7 by the end of S6 (comparison with national and family averages)							
2010/11		2011/12		2012/13		Target	Status
National	Family	National	Family	National	Family		
-2%	+3%	+1%	+5%	-	-	0%	<b>Green – Improving</b>

### What the Data Tells Us

Attainment by the end of S6 improved across all attainment levels in 2012/13. Attainment in Inverclyde is also consistently higher than comparator Councils and exceeds, or is very close to, the national average across all performance indicators.

### Further Information

The number of young people leaving school after 6th year with more than five Highers in Inverclyde has reached a record high of 26.3% in 2012/13.

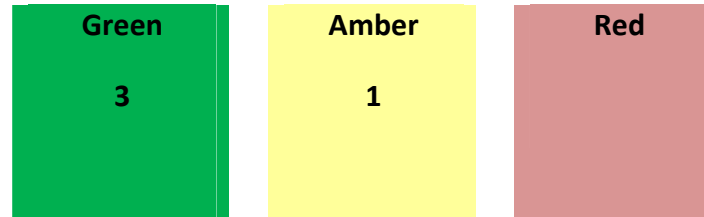
Educational attendance figures for each authority are published in August every year, however national information which allows us to draw comparisons between our attainment levels and that of comparator authorities (family group) and national performance are not published until February in the following year.

## Service Performance – Waste Management

## Service Performance – Waste Management

<b>SPI 072aS</b>	Refuse Collection Costs
<b>SPI 072bS</b>	Refuse Disposal Costs
<b>SPI 073S</b>	% Refuse Recycling – Household Waste
<b>SPI 074S</b>	Street Cleanliness

Waste Management (4)



## Service Performance – Waste Management

SPI 072aS Refuse Collection Costs				
2010/11	2011/12	2012/13	Target (where set)	Status
£41.91	£47.69	£52.34	£51.00	Amber – Declining

SPI 072bS Refuse Disposal Costs				
2010/11	2011/12	2012/13	Target (where set)	Status
£85.25	£79.34	£74.56	£95.00	Green – Improving

SPI 073S % Refuse Recycling – Household Waste				
2010/11	2011/12	2012/13	Target (where set)	Status
-	41.9%	54.1%	40%	Green – Improving

### What the Data Tells Us

The performance data shows that the gross refuse collection costs increased further in 2012/13, however this increase was anticipated following the introduction of the new Food Waste Service. When comparing 2011/12 data on gross cost of waste collection and refuse disposal per premise with other Scottish Councils (2012/13 data not yet available), Inverclyde’s performance ranks amongst the best in the country, with both indicators in the top quartile.

Recycling performance has increased again in 2012/13. 2010/11 data for this indicator related to **municipal waste** recycled but the definition was changed in 2011/12 to become a measure of **household waste** recycled, therefore 2010/11 data is not directly comparable and is not provided here.

### Further Information

The cost of collection is determined by the types of services offered and geographical spread of households. Services remained largely static although a food waste trial was undertaken in 2010/11 and this increased costs due to additional vehicle and treatment costs, whilst some reduction in total waste also has contributed to reduced costs.

## Service Performance – Waste Management

The food waste service is now well established which has increased collection and treatment costs, although there is reduced overall waste arising.

The recycling service is reliant on appropriate collection and treatment infrastructure. Levels of recycling are directly linked to investment in service delivery. New services have been rolled out which will have an impact on performance.

Further improvements in the recycling rate are planned via the Councils Waste Strategy and a roll out of new services. Quarterly performance is reported regularly. You can view our performance reports to the Environment and Regeneration Committee by following the link below:

<http://www.inverclyde.gov.uk/committees/ou/53/>

## Service Performance – Waste Management

SPI 074S Street Cleanliness				
2010/11	2011/12	2012/13	Target (where set)	Status
76	72	73	71	Green – Improving

### What the Data Tells Us

The data shows that after a drop in 2011/12, Inverclyde's street cleanliness score improved in 2012/13.

### Further Information

Inverclyde suffers from a declining population whilst streets establishment is static or in some instances, increasing. The LEAMS process states 71 and above is a good overall standard of cleanliness, which should be the target for all. It is therefore arguable that any expenditure over and above what's needed to achieve an index of 71 is inefficient. An index of 80 or over may artificially skew the mean and median and leave the entire indicator open misinterpretation. An improvement plan is in place and benchmarking already takes place.

This assessment is carried out on an annual basis.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>24<sup>th</sup> September 2013</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/64/13/AP/FB</b>
<b>Contact Officer:</b>	<b>Fiona Borthwick</b>	<b>Contact No:</b>	<b>01475 712904</b>
<b>Subject:</b>	<b>Debt Recovery Performance 2012/13</b>		

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to advise Committee of the Council's Debt Recovery performance during 2012/13 and of future plans. The Financial Regulations stipulate that a report on Debt Recovery performance for the preceding financial year be submitted annually to the Policy & Resources Committee.

## 2.0 SUMMARY

- 2.1 The contract with the Council's previous Debt Partners, Walker Love and Co expired on 30 September 2012. As approved by the Policy and Resources Committee, the Council appointed new Debt Partners, Alex M Adamson LLP.
- 2.2 The contract takes effect from 01 October 2012 and runs initially for 18 months with 3 possible 1 year extensions. Committee were advised that the change of contractor could initially have a negative impact on collection levels during 2012/13. As it transpired this was not the case with In Year collection levels being almost level to the year end position for 2011/12.
- 2.3 The contract with Alex M Adamson is only for the recovery of Council Tax and Non Domestic Rates. The main focus of the In-house Debt Recovery Team continues to be Council Tax, however more rigorous activity is being applied to the recovery of Sundry Debts (including Commercial rents) as well as Housing Benefit Overpayments. If further action or diligence is required for these categories of debt, ad hoc agreements can be made with Alex M Adamson LLP or another party.
- 2.4 Collection levels for 2012/13 in respect of accounts passed to the Council's Debt Partners decreased marginally by £34,000. A detailed breakdown of the categories of debt can be seen at Appendix 2.
- 2.5 Although in the early stages of the contract, Alex M Adamson LLP are proving to be very effective partners both in terms of their collection results to date but also in the ease of communication with them. They have opened an office in Cathcart Street where individuals can make payments and make basic enquires.
- 2.6 Despite another challenging year due to the change of debt partners, the ongoing effect of the Bankruptcy and Diligence (BAD) Act and the continuing difficulties due to the economic climate the Council Tax In year Collection level was maintained at 94.2% which is a significant achievement. Collection levels for Non Domestic Rates reached 97.05%, an increase of 0.81% from 2011/12
- 2.7 Payment by Direct Debit continued to rise in 2012/13 with 74% of In year receipts being received by this method of payment.
- 2.8 Appendix 3 shows an increase in net debt of £603,000 over 2012/13 however £1.97 million relates to the financing of the Business Property Renovation Allowance Scheme a loan for which was paid in March 2013. Without this net debt would have reduced by over 30% in the last 12 months.

### **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note the Council's continued good performance in the area of Debt Recovery in 2012/13.

Alan Puckrin  
Chief Financial Officer

#### **4.0 PERFORMANCE FOR 2012/13 – DEBT PARTNERSHIP**

- 4.1 The contract with Walker Love and Co was due to expire on 31 March 2012, however the Policy and Resources Committee agreed to extend this contract until 30 September 2012. Following a tendering exercise, Alex M Adamson LLP were appointed. The contract takes effect from 01 October 2012 and runs initially for 18 months with 3 possible 1 year extensions.
- 4.2 To date the appointment of Alex M Adamson LLP has been a positive development. It had been highlighted to the Policy and Resources Committee in September 2012 that a drop in performance was expected due to the change of Debt Partner. This did not happen and as reported elsewhere in this report, in year collection levels for Council Tax remained at 2011/12 levels whilst Non Domestic Rates collection improved.
- 4.3 The Revenues Management Team meet regularly with Alex M Adamson as well as regular communications by telephone and email to ensure that there are clear lines of responsibility and that income maximisation as well as customer service aspects are to the forefront. Operational meetings and discussions also take place as and when required.
- 4.4 Alex M Adamson LLP are proving to be very effective partners both in terms of their collection results and also in terms of communication. They have opened an office in Cathcart Street where individuals can make payments and make basic enquiries.
- 4.5 Despite the difficulties with the economic climate, changing debt partner and the effects of the BAD Act, (which means that the £74.60 charge for payment needs to be recovered before the Council receives any monies) Inverclyde Council's In year collection level remained level at 94.2%.
- 4.6 Prior year collection can be difficult to collect and becomes more difficult with the passage of time. In 2012/13 however there was an increase in prior year collection bringing in £0.955 million compared to £0.92 million in 2011/12. This is attributable to the hard work of both the new Debt Partners and the in-house Debt Recovery Team.
- 4.7 Due to the recent change in contractor, there has only been one sequestration action raised in 2012/13. This resulted in a lump sum payment of £6.5k, being full settlement of the debt. Processes are being put in place with Alex M Adamson and it is anticipated that 2013/14 will see more accounts identified and Sequestration proceedings raised against debtors that are in a position to pay but refuse to do so.
- 4.8 A statement of the Debt Partnership performance is set out in Appendix 1 and Appendix 2. The Debt Partners collected approximately £1.76 million excluding direct payments to the Council in 2012/13 against a target of £1.9 million. No target was set for the new Debt Partner in 2012/13 due the mid year change over. A target will be set for 2013/14. Overall Council Tax collection including direct payments to the Council was £2.07 million against a collection figure of £2.1 million in 2011/12.

#### **5.0 INTERNAL DEBT RECOVERY PERFORMANCE**

- 5.1 Direct Debit uptake has risen again in 2012/13 from 72.6% of in year receipts in 2011/12 to 74% in 2012/13. Following the success of previous campaigns, a leaflets promoting Direct Debit was once again enclosed with the annual Council Tax bills.
- 5.2 The Debt Recovery Team based in the Municipal Buildings maintained their in year collection figure in line with 2011/12 performance. Considering the change in collecting agents mid year, this is a commendable effort and along with the Revenues Team this achievement contributed to the collection level being maintained by processing exemptions, discounts etc effectively and managing the billing process well.



- 5.3 Following the success of a similar exercise in previous years, the Debt Recovery Team once again completed an initiative following the first Summary Warrant petition. They identified debtors who have previously had a good payment history and issued them with a letter offering them the opportunity to make an arrangement to settle their Council tax in monthly instalments by Direct Debit, thus avoiding any necessary correspondence or fees being recovered in the recovery of the debt. This also negates the requirement for the Council to pay commission costs.
- 5.4 The exercise identified 319 debtors with a good payment history and the Debt Recovery Team contacted these individuals by letter or telephone and managed to set up 40 direct debit arrangements. Payments of £104,663 have been received against these accounts during the exercise and arrangements were made to the value of £30,352. Similar exercises have been undertaken on subsequent warrants and there are now 446 arrangements in place with a debt value of £283,498. This is a worthwhile exercise as it stops people who currently have no debt getting into that cycle which can be difficult to break. It also protects the individuals from future 'charges for payment' and saves the Council commission charges.
- 5.5 The Debt Recovery Team has worked closely with the DWP to introduce a quicker, less labour intensive electronic method of applying for direct debit from benefit for customers with arrears who are in receipt of certain benefits. This has resulted in deductions from benefits increasing to £341,091 from £316,985 in 2011/12; an increase of £24,106.
- 5.6 In recognition of the financial inclusion issues in Inverclyde Finance Services continue to work closely with Money Matters with the view to maximising the number of arrangements with debtors before they reach the stage that diligence is applied. Benefit take up is also encouraged to ensure that entitlement is maximised as far as possible.

## **6.0 OVERALL POSITION OF COUNCIL DEBT AS AT 31 MARCH 2013**

- 6.1 The gross debt as at 31 March 2013 is £21.704 million as shown in Appendix 3. . There is a bad debt provision of £16.868 million, leaving net collectable debt of £4.836 million. This is an increase of £603,000, since 2011/12 and is wholly due to the Council making a loan of £1.97 million as part of the BPR Scheme in March 2013.
- 6.2 Appendix 4 provides more detail behind the figures and highlight new debts raised, payments received and debts written off. All Bad Debt provisions have been calculated in accordance with Council policies.
- 6.3 It should be noted that the above figures reconcile to the 2012/13 Accounts.

## **7.0 PLANS FOR 2013/14**

- 7.1 Work will continue with Alex M Adamson LLP. Targets for 2013/14 will be set and more robust statistical information from the Debt Partners will help forward planning for debt recovery.
- 7.2 The majority of the recovery activity for 2012/13 concentrated on Council Tax arrears although Walker Love also continued to collect for Sundry Debt, Non Domestic Rates and Housing Benefit Recoveries until the end of their contract on 30 September 2012. The new contract with Alex M Adamson LLP is only for Council Tax and Non Domestic Rates. The In-house Debt Recovery team will continue to pursue Sundry Debt (including Commercial Rents) and Housing Benefit overpayments. If further action or diligence is required for these categories of debt, ad hoc agreements will be made with Alex M Adamson LLP or a third party company who can demonstrate initiative and low cost.

- 7.3 The Council's Revenues Management and Debt Recovery Team together with the Council's new Debt Management Partner will continue to pursue the special initiatives that are in place along with conventional recovery methods to ensure that resources are appropriately directed to specific areas of debt ensuring income maximisation.
- 7.4 The Policy and Resources Committee recently approved Inverclyde Council to become a pilot site for the Water Direct Scheme. It is anticipated that the implementation of Water Direct will be of assistance in the Council in recovering arrears in respect of Water and Sewerage debt.
- 7.5 Also approved by Policy and Resources Committee on 13 August 2013 was the withdrawal of Standing Order as a method of payment effective from 1 April 2014. Payment by Standing Order is an administrative and costly pressure. The direct debit process has been developed over the last few years and is more accessible and flexible than Standing Orders. By October 2013 on line payments will also be available and traditional methods such as payment at the customer service centre, at the post office, by telephone or by Paypoint will still be available. The withdrawal of Standing Order will be closely managed and those affected will be communicated with and given support and advice with regard to changing their payment method. The Council web site will also be updated to reflect this change.

## **8.0 IMPLICATIONS**

- 8.1 It is important that the Council maintains, and where possible improves, debt recovery levels in order to optimise the resources available to deliver Council Services. The underlying trend of reductions in debt represents an encouraging direction of travel.
- 8.2 Legal – None
- 8.3 Human Resources – None

## **9.0 EQUALITIES**

- 9.1 Debt Recovery processes are designed to achieve adherence to the Equalities agenda by ensuring close liaison between Debt Recovery officers and the Benefits section. In addition by providing a wide range of payment methods and choice of payment dates, this makes it easier for everyone to make payments to the Council.

## **10.0 BACKGROUND PAPERS – None**

ANALYSIS OF DEBT PARTNER PERFORMANCE 2012/13

Appendix 1

Council Tax

Financial Year	Combined 000's
1993/94	3
1994/95	3
1995/96	3
1996/97	9
1997/98	14
1998/99	16
1999/00	21
2000/01	24
2001/02	29
2002/03	22
2003/04	26
2004/05	29
2005/06	32
2006/07	44
2007/08	64
2008/09	70
2009/10	99
2010/11	179
2011/12	478
2012/13	903
<b>Total</b>	<b>2068</b>

Non Domestic Rates

Financial Year	Payments Received 000's
1993/94	0
1994/95	0
1995/96	0
1996/97	0
1997/98	0
1998/99	0
1999/00	0
2000/01	1
2001/02	0
2002/03	2
2003/04	1
2004/05	0
2005/06	1
2006/07	8
2007/08	47
2008/09	21
2009/10	8
2010/11	28
2011/12	134
2012/13	179
<b>Total</b>	<b>430</b>

Other Debts

Type of Debt	Payments Received 000's
Sundry	17
Housing Benefits	11
Ind Rent	5
<b>Total</b>	<b>33</b>

Appendix 2

Debt Recovery Partnership  
Performance Comparison  
2011/12 & 2012/13

	2011/12 £000	2012/13 £000	Difference £000	%
Council Tax	2102	2068	-34	-1.62%
Non Domestic Rates	403	430	27	6.70%
Sundry Debt	37	17	-20	-54.05%
Housing Benefit	13	11	-2	-15.38%
Ind & Commercial Rent	10	5	-5	-50.00%
<b>Total</b>	<b>2565</b>	<b>2531</b>	<b>-34</b>	<b>-1.33%</b>

\* Excludes Community Charge debts as now fully written off

**Appendix 3**

	Position 31/03/2013 £'000	Position 31/03/2012 £'000	Movement £'000
<b><u>Council Tax</u></b>			
Gross Debt	15,779	15,463	316
Less: Bad Debt Provision	13,773	13,296	477
Net Debt	<u>2,006</u>	<u>2,167</u>	<u>(161)</u>
<b><u>Sundry Debt</u></b>			
Gross Debt	917	2,060	(1,143)
Less: Bad Debt Provision	325	339	(14)
Net Debt	<u>592</u>	<u>1,721</u>	<u>(1,129)</u>
<b><u>Industrial &amp; Commercial Rent</u></b>			
Gross Debt	121	160	(39)
Less: Bad Debt Provision	57	48	9
Net Debt	<u>64</u>	<u>112</u>	<u>(48)</u>
<b><u>Statutory Additions</u></b>			
Gross Debt	2,713	2,670	43
Less: Bad Debt Provision	2,713	2,670	43
Net Debt	<u>0</u>	<u>0</u>	<u>0</u>
<b><u>Long Term Debtors</u></b>			
Gross Debt	2174	233	1,941
Less: Bad Debt Provision	0	0	0
Net Debt	<u>2,174</u>	<u>233</u>	<u>1,941</u>
<b><u>Overall Totals</u></b>			
Gross Debt	21,704	20,586	1,118
Less: Bad Debt Provision	16,868	16,353	515
Net Debt	<u>4,836</u>	<u>4,233</u>	<u>603</u>

**2012/13 Debtor Movements**

**Appendix 4**

	Opening Position £'000	Additions £'000	Payments/ Reliefs £'000	Net Write-Offs £'000	Closing Position £'000
<b>Council Tax</b>					
Gross Debt	15,463	34,064	(33,355)	(393)	15,779
Less: Bad Debt Provision	13,296	870		(393)	13,773
Net Debt	<u>2,167</u>	<u>33,194</u>	<u>(33,355)</u>	<u>0</u>	<u>2,006</u>
<b>Sundry Debt</b>					
Gross Debt	2,060	7,737	(8,872)	(8)	917
Less: Bad Debt Provision	339		(6)	(8)	325
Net Debt	<u>1,721</u>	<u>7,737</u>	<u>(8,866)</u>	<u>0</u>	<u>592</u>
<b>Industrial &amp; Commercial Rent</b>					
Gross Debt	160	913	(945)	(7)	121
Less: Bad Debt Provision	48	16		(7)	57
Net Debt	<u>112</u>	<u>897</u>	<u>(945)</u>	<u>0</u>	<u>64</u>
<b>Statutory Additions</b>					
Gross Debt	2,670	300	(257)	NA	2,713
Less: Bad Debt Provision	2,670	300	(257)	N/A	2,713
Net Debt	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
<b>Long Term Debtors</b>					
Gross Debt	233	1,976	(29)	(6)	2,174
Less: Bad Debt Provision	0				0
Net Debt	<u>233</u>	<u>1,976</u>	<u>(29)</u>	<u>(6)</u>	<u>2,174</u>
<b>Overall Totals</b>					
Gross Debt	20,586	44,990	(43,458)	(414)	21,704
Less: Bad Debt Provision	16,353	1,186	(263)	(408)	16,868
Net Debt	<u>4,233</u>	<u>43,804</u>	<u>(43,195)</u>	<u>(6)</u>	<u>4,836</u>

**Notes:**

<sup>1</sup> Write offs are net of £40k collected for debt previously written off.

<sup>2</sup> Statutory additions are not written off in year but cancelled. Closing position reflects live statutory addition balance as at 31st March 2013.

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>24th September 2013</b>
<b>Report By:</b>	<b>Chief Financial Officer</b>	<b>Report No:</b>	<b>FIN/72/13/AP/BH</b>
<b>Contact Officer:</b>	<b>Brendan Hurrell</b>	<b>Contact No:</b>	<b>01475 712654</b>
<b>Subject:</b>	<b>Procurement - Update</b>		

---

## **1.0 PURPOSE**

- 1.1 The purpose of the report is to update Committee on the progress being made with Procurement since the last report in May.

## **2.0 SUMMARY**

- 2.1 The Corporate Procurement Manager previously developed a Strategic Procurement Framework (SPF) with the target of achieving, "conformance status", against the McClelland report. This was achieved in December 2011. The Policy and Resources Committee agreed a refreshed SPF for 2012 to 2014 and this is contained in Appendix 1 with updates on progress.
- 2.2 The work completed on the SPF has contributed to a further significant improvement in the annual Procurement Capability Assessment from Scotland Excel. A score of 47% was achieved in the last assessment in November 2012. The next PCA is scheduled to take place in October and the target is to achieve 'Improved Performance' which required a score of 50%.
- 2.3 The Procurement workstream savings achieved for 2010/13 of £1.027million have been "banked" and a new target of £413,000 for 2013/16 has been agreed. £191,000 of the £253,000 2013/14 target have already been achieved.
- 2.4 The Policy and Resources Committee approved a proposal contained within the February 2013 Procurement Update report to pay Inverclyde based suppliers within 20 days rather than 30 days. Since approval was given to proceed with this proposal, 97% of payments to Inverclyde based suppliers has been made within 20 days.

## **3.0 RECOMMENDATIONS**

- 3.1 That the Committee note progress on the Strategic Procurement Framework.
- 3.2 That the Committee note the progress made in savings delivery.
- 3.3 That the Committee note the progress being made on paying Inverclyde suppliers

Alan Puckrin  
Chief Financial Officer

#### 4.0 STRATEGIC PROCUREMENT FRAMEWORK

- 4.1 There are 4 performance standards identified within the McClelland report on Public Procurement in Scotland: Non Conformance, Conformance, Improved Performance and Superior Performance.
- 4.2 Scotland Excel carried out a 1 day 'audit' of procurement at the Council in late November 2012 and determined that the Council had achieved a score of 47%. This audit is called the Procurement Capability Assessment and is performed at each of the 32 Local Authorities in Scotland on an annual basis. The aim for 2013 is to achieve Improved performance which requires a score of 50%.
- 4.3 The 2012 score placed Inverclyde Council at in the mid point of the 30 Councils who agreed to have their PCA score published. When the return on investment in Procurement resources is compared to PCA scores and savings delivered at all Scottish Local Authorities, Inverclyde performs well.
- 4.4 The Scottish Government is using a Procurement Capability Assessment as a means to measure each of the 32 Local Authorities' Procurement performance. The scores, leading to the overall score of 47%, across the 8 sections assessed, are listed as follows:

PCA Section	2012 Score	2011 Score
Procurement Leadership and Governance	40%	38%
Procurement Strategy and Objectives	73%	54%
Defining the Supply Need	39%	13%
Project Strategies and Collaborative purchasing	53%	35%
Contract and Supplier Management	38%	19%
Key Purchasing Processes and Systems	27%	22%
People	67%	48%
Performance Measurement	33%	40%
Overall Value of Results	47%	34%

- 4.5 Each of the 8 sections has a direct link to the SPF. Scores for the majority of sections demonstrate a significant improvement in performance as a result of the work on the SPF. Moreover, 3 sections are now in 'improved performance' in line with the McClelland report. The score for Performance Measurement has reduced as the number and mix of questions has changed from 2011 and therefore this is not a like for like comparison.

#### 5.0 RECENT PROGRESS

- 5.1 The Strategic Procurement Framework, with updates against each work item, is contained in Appendix 1
- 5.2 The Strategic Procurement Framework deals specifically with areas that still sit below, 'Improved Performance'. Appendix 1 shows that the bulk of the workload on the SPF in the months leading up to the October 2013 PCA, has been focused towards improving Purchase to Pay and Management Information as well as further work on supplier management. Work is underway that will see tangible results and a follow on improvement in scores for, 'Key Purchasing Processes and Systems', and, 'Performance Measurement'.



- 5.3 Officers from Finance have considered and agreed a number of developments to the Finance Management System (FMS) and associated processes which will improve both the efficiency of the current processes and the quality of management information. Any direct costs associated with these changes are minimal and will be contained within the Procurement earmarked reserve.
- 5.4 A further key element of the PCA is to evidence how the Council stimulates market and supplier competition. The financial constraints the Council faces mean that we must deliver services differently in the challenging economic climate, It is therefore crucial to have flexible supply arrangements in place to cope with change. This is particularly so when much of the strategic capability to deliver services is dependent on the performance of suppliers.
- 5.5 Contract and Supplier Management continues to be a major focus. This is an area of Procurement that has traditionally been neglected across all Local Authorities in Scotland. Officers previously undertook this activity but it was not monitored or standardised. As a result some suppliers were treated in a different manner to others and there was no system to monitor performance. The Procurement Board agreed that a pilot process should commence in order to ascertain the benefits of a standard process. This was piloted with a number of suppliers and later expanded to seven suppliers in 2013.
- 5.6 These supplier meetings are conducted using a scorecard to rate supplier performance. Reviews are scheduled quarterly and suppliers are rated on quality, service, delivery and cost.

The suppliers currently part of this process are as follows:

Initial pilot

William Tracey, Waste Management  
McKay and Inglis, Printing  
Tarmac, Roadstone

Expanded to

Brakes, Catering  
Northgate, ICT Software  
SE Travel, Schools Transport  
GT Roofing, General Builders Works

- 5.7 There have been a number of benefits resulting from this work. Some examples of this are: Northgate have proposed a new contract agreement with the Council which will result in financial savings, Brakes are in the process of rolling out hand held computer devices for ordering purposes, McKay and Inglis have altered their delivery processes in order that confidential papers are securely received by the ordering services.
- 5.9 Due to the success of the supplier management that has taken place with McKay and Inglis, it has been agreed with the Procurement Board that the pilot should end with them and focus on BSS who supply the Council with high volume enveloping and mailing services for Payroll and Revenues and Benefits. In addition, SE Travel school transport contracts have been assigned to Pride of the Clyde. To that end the Procurement Board have agreed that supplier management should commence with Pride of the Clyde.
- 5.10 A pilot involving the use of weighted tender questions on Community Benefits is underway. One tender, Kerb Maintenance, has been returned and evaluated using a 5% weighting as part of the pilot agreed at Policy and Resources Committee in November 2013. The tender to refurbish Ardgowan Primary has also been advertised on this basis but returns are still being evaluated. A report on the outcome of the pilot and future proposals will be submitted to the next Policy and Resources Committee.

## 6.0 PROCUREMENT SAVINGS

- 6.1 Appendix 2 shows the position in respect of savings achieved during 2013/14. From this it can be seen that savings totalling £191,000 have been achieved to date. The target for 2013/14 is £253,000. This brings the total Procurement workstream savings from 2010 to £1.27million.
- 6.2 In addition Scotland Excel are continuing to investigate and put in place contracts for Social Care and for Construction which should yield further long term benefits. Procurement savings will assist in addressing future financial pressures.

## 7.0 SUPPLIER PAYMENT

- 7.1 The Policy and Resources Committee approved a proposal contained within the February 2013 Procurement Update report to pay Inverclyde based suppliers within 20 days rather than 30 days. Since approval was given to proceed with this proposal, 97% of payments to Inverclyde based suppliers have been made within 20 days.

## 8.0 IMPLICATIONS

- 8.1 Financial Implications – Annual Savings

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (If Applicable)	Other Comments
Savings Work streams	Procurement	2013/16	£413,000	-	£202k remains to be achieved.

## 9.0 REPOPULATION

- 9.1 Procurement has a key role to play in the Council's drive to stabilise and grow the Inverclyde population. Engagement with Economic Development and making Council contracts more accessible to local businesses are viewed as key requirements and as such are an integral part of the Strategic Procurement Framework.

**Appendix 1****1. Resources, skills and capacity**

<b>What we want to achieve</b>	<b>How will we achieve it?</b>	<b>Responsible</b>	<b>Update</b>	<b>Timescale</b>
Employees engaged in the procurement process shall possess the necessary knowledge, skills and capacity to support strategic and operational needs in line with agreed policies and practises.	Complete a skills gap analysis for all Corporate Procurement Officers, Designated Procurement Officers and Procurement Practitioners in Services	Corporate Procurement Manager	Complete with ongoing training to be delivered via Corporate Procurement	Complete
	Plan, design and deliver a Learning & Development Plan for Procurement Officers and Designated Procurement Officers.	Corporate Procurement Manager	Ongoing and on target.	Ongoing

**2. Management Information and Systems**

<b>What we want to achieve</b>	<b>How will we achieve it?</b>	<b>Responsible</b>	<b>Update</b>	<b>Timescale</b>
The adoption and corporate use of one integrated & electronic approach for tendering, Purchase to Pay transactions and contracts planning.	Undertake good practice review of P2P in other public/private sector organisations and Scottish Government recommendations. Use best practice from Clyde Valley and interface with Councils who show an interest.	Procurement Project Officer.	Complete	Complete
	Assess detailed current state of P2P in the Council create business case detailing change required	Procurement Project Officer.	Complete	Complete
	Implement changes to P2P	Procurement Project Officer.	Project officer working with services and suppliers to implement changes to purchase to pay processes and systems.	December 2013

### 3. Procedure, Processes and Performance

<b>What we want to achieve</b>	<b>How will we achieve it?</b>	<b>Responsible</b>	<b>Update</b>	<b>Timescale</b>
Rationalise and standardise procurement processes consistently across the Council.	Trial of e-tendering element of Public Contracts Scotland.	Corporate Procurement Manager/ Head of Legal and Democratic Services	Complete	Complete
	Implement increased use of e-tendering if approved.	Procurement Project Officer.	Trial evaluated. Use to be incorporated in new Standing Orders from November.	November2013
Deliver council business priorities through commodity/category strategy	Engage with Directors and Heads of Service - determine business requirements to facilitate creation of enhanced tender workplan	Corporate Procurement Manager/ Procurement Board	Now embedded	Ongoing & embedded
	Undertake detailed spend analysis to identify further savings opportunities, Develop strategies, including a risk register and devise reporting process.	Corporate Procurement Manager	Contract Strategy now being used and includes a risk register	Complete
Commit to Corporate Social Responsibility	Review internal objectives in plans/strategies taking into consideration Scottish Government and national reform agenda for Corporate Social Responsibility ambitions.	Procurement Team Leader and Designated Procurement Officer network	Corporate Social Responsibility Group established and reported to Procurement Board.	Complete
	Establish a working group on the Corporate Social Responsibility agenda for procurement and develop a resourced and scheduled work plan. Agree measures and reporting schedule with the procurement board	Procurement Team Leader and Designated Procurement Officer network	Complete	Complete

#### 4. Contracts & Collaboration

What we want to achieve	How will we achieve it?	Responsible	Update	Timescale
<p>Maximise buying opportunities through collaboration (internal &amp; external) while minimising the need to undertake single client contracts.</p> <p>Collaboration for category C commodities with other local authorities.</p>	<p>Identify potential partners for collaboration - councils and other public sector</p>	<p>Corporate Procurement Manager</p>	<p>Ongoing activity with West of Scotland Councils discussed at Quarterly reviews with Scotland Excel.</p>	<p>Ongoing but embedded.</p>
	<p>Agree scope, remit and approach of each collaboration group</p>	<p>Procurement Team Leader</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Review council's tender workplan to identify potential areas for future collaborative opportunities Formal workplan for the group is agreed with a clear approach and responsibilities</p>	<p>Procurement Board./Corporate Procurement Manager/ Designated Procurement Officers</p>	<p>2012/13 Plan Reviewed at March Procurement Board</p>	<p>Complete</p>

## **5. Supplier Strategy and Relationship Management**

<b>What we want to achieve</b>	<b>How will we achieve it?</b>	<b>Responsible</b>	<b>Update</b>	<b>Timescale</b>
Promote Economic Development in contracts where appropriate	Analyse current economic development activity, carry out stakeholder engagement, review tender workplan and establish opportunities.	Head of Regeneration & Planning / Corporate Procurement Manager	Ongoing Committee agreed reduction in supplier terms to 20 days for Inverclyde suppliers.	Ongoing
	Develop framework of activities for delivery of Procurement Improvement Plan and implement.	Head of Regeneration & Planning/ Corporate Procurement Manager	Ongoing work with Economic Development and Legal Services	Ongoing
Improved understanding of contract management process and appropriate levels of contract management.	Review current contract and supplier management processes and related information on service by service basis	Procurement Project Officer.	Phase 1 completed June 2012. Procurement Board have now agreed plans to expand	Complete
	Develop and agree an appropriate level of supplier management with Procurement Board	Corporate Procurement Manager	To be reviewed at the next Procurement Board meeting	Ongoing review
	Develop governance, process, roles and responsibilities, training and communication for implementation	Procurement Project Officer	Dependant on outcome of above	Ongoing review
	Implement plan for supplier and contract management	Procurement Project Officer	Dependant on outcome of above	Ongoing review

<b>Commodity</b>	<b>New Supplier</b>	<b>Start Date</b>	<b>Annual Spend/ (Income)</b>	<b>Achieved or Planned</b>	<b>New Projected 2013/14 Savings</b>	<b>Full Year Savings</b>
<b>School Transport 2012</b>	Various via SPT	01/08/12	£340,000	a	£13,000	£46,000
<b>Scrap Metal</b>	ERM	01/06/12	(£60,000)	a	£25,000	£60,000
<b>Debt Recovery</b>	AMA	01/10/12	£80,000	a	£22,500	£45,000
<b>Telecare</b>	Seniorlink Eldercare	01/04/13	£73,000	a	£40,000	£40,000
<b>Waste Disposal</b>	Tracey/ Greenlight	01/04/12	£2,700,000	a	£38,000	£38,000
<b>Scrap PCs</b>	Tes-Amm	01/04/13	(£49,000)	a	£11,000	£11,000
<b>School Transport 2012</b>	Various via SPT	01/08/2013	£160,000	p	£7,000	£10,000
<b>Mobile Phones</b>	Vodafone	01/06/2013	£70,000	a	£19,000	£23,000
<b>Software</b>	Northgate	01/05/2013	£85,000	a	£2,500	£2,500
<b>Personal Protective Equipment</b>	Parker Merchant	01/09/2013	£46,000	p	£12,000	£16,000
<b>Insurance</b>	Zurich/ RMP	01/10/2013	£530,000	p	£5,000	£10,000

Total Achieved and Planned

£190,500

2013/14 Work stream Target

£253,000

---

Note – Further potential savings are being investigated for the Waste Contract.



---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b> 24 <sup>th</sup> September 2013
<b>Report By:</b>	<b>Chief Financial Officer/Corporate Director Community Health and Care Partnership</b>	<b>Report No:</b> FIN/65/13/AP/LA
<b>Contact Officer:</b>	<b>Alan Puckrin</b>	<b>Contact No:</b> 01475 712223
<b>Subject:</b>	<b>Welfare Reform Update</b>	

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to update Committee in respect of various items relating to the Welfare Reform Agenda.

## 2.0 SUMMARY

- 2.1 Committee have received regular updates in respect of the progress the Council is making in relation to the challenging Welfare Reforms Agenda. Committee have agreed policies and processes in relation to the Scottish Welfare Fund and Discretionary Housing Payments as well as approving the utilisation of a large proportion of the Welfare Reforms Budget.
- 2.2 Operationally the Scottish Welfare Fund and the Discretionary Housing Payments process have settled down well and updates in respect of current demand, spend and appeals are included in the body of the report and Appendix 1 and 2.
- 2.3 There are a number of matters which continue to be worked on by Officers relating to improving payment and reporting processes plus investigating alternatives to cash for both Crisis Grants and Community Care Grants.
- 2.4 At a national level Cosla have carried out a survey in respect of the impact of Welfare Reform on Housing. A copy of the summary produced by Cosla is attached as Appendix 3. In addition, indications are that Councils will be asked to continue delivery of the SWF beyond the initial 2013/15 period. This will required final Government approval but is testament to the good job being done by Councils.
- 2.5 The August Policy & Resources Committee received a report advising that the DWP had made an error in calculating the Council's DHP Grant and as such from 2014/15 the Council are due to receive a 28% (£59,000) reduction in DHP. A letter has been sent to both the DWP and to David Mundell MP raising strong concerns and requesting funding support beyond 2013 to compensate the Council for this DWP error. At the time of writing the report no response has been received.
- 2.6 Additionally the Policy & Resources Committee agreed that an update in respect of the DHP Policy be presented to Committee early in 2014 to ensure that the DHP Policy remains affordable.
- 2.7 There have been several developments in respect of financial inclusion, debt advice and pay day lenders and a comprehensive update on these matters is included within the body of the report. .
- 2.8 There continues to be little in the way of progress at a UK level in respect of Universal Credit but once tangible developments are announced then the Committee will be advised accordingly.

---

2.9 The DWP have announced further cuts in Benefit Administration Grant from 2014/15 and the impact of this plus an update on the overall financial position of the Welfare Reform pressure budget are contained in Section 8 and shown in Appendix 4.

### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Committee note the latest position in respect of the Council's response to the Welfare Reform changes and the good progress being made.

3.2 It is recommended that the Committee agree that action is taken to block access to payday and short term lending websites on all Council computers including those in all Council buildings, libraries and schools and encourage Community Planning Partners to do likewise.

3.3 That the Committee approve the allocation of the Welfare Reform budget pressure monies set out in Appendix 4.

Alan Puckrin  
Chief Financial Officer

## **4.0 BACKGROUND**

- 4.1 A significant number of changes to the Welfare System have been implemented in the last 12 months and this will continue in the medium term.
- 4.2 The Policy & Resources Committee have requested that regular updates are brought to Committee in respect of the Councils response to these changes and the Council set aside a total of £3.2 million over the period 2013/16 to tackle the most significant impacts of this agenda.
- 4.3 Previously the Committee have approved policies and processes in respect of the Scottish Welfare Fund which administers Crisis Grants and Community Care Grants and the payment of Discretionary Housing Payments (DHP) which gives some support to offset the impact of the Spare Bedroom Subsidy (Bedroom Tax). In addition £200,000 annual support has been agreed to enhance Financial Advice services within Inverclyde.

## **5.0 CURRENT POSITION (SWF & DHP)**

- 5.1 Appendix 1 shows the position of the Scottish Welfare Fund as at the 30th August 2013 and from this it can be seen that expenditure is behind budget. Crisis Grants expenditure is significantly less than the sum allocated to the Council whilst Community Care Grants, after adjusting for the time lag in awards is only slightly behind budget. Officers will continue to monitor expenditure levels closely. It should be noted that if overall the Scottish Welfare Fund underspends then this sum is ring fenced but can be carried forward into 2014/15.
- 5.2 The payments process in respect of the Scottish Welfare Fund is working well and it is expected that of Paypoint plus the use of payment cards via Allpay will be implemented by the time the Committee meets.
- 5.3 Other developments around the implementation of the SWF centre around improving the IT Systems and reporting. This should allow the Council more options to monitor demand and budgets. In addition to this officers from both Finance and CHCP are engaging with providers of alternatives to cash such as food parcels, starter packs and energy cards.
- 5.4 The Scottish Government has given strong indications that it wishes Councils to deliver the SWF beyond the two year initial period which is due to end on 31<sup>st</sup> March 2015. This is testament to the success of the delivery of the SWF implemented by Councils.
- 5.5 The May Committee meeting agreed to expand the Discretionary Housing Payments (DHP) policy which has greatly increased the amount being awarded to tenants. The first change related to making payments in respect of financial hardship which is defined as a household which has less than £20 surplus income over expenditure per week. The second change was in relation to those households with more than one surplus bedroom where it was agreed that for a one off period of 6 months funding would be given from DHP to limit the impact to be the same as if the householder had only one surplus bedroom. The latest budget position is shown in Appendix 2.
- 5.6 The August meeting of the Policy & Resources Committee were advised that the DWP had written to the Council advising that it had made a mistake in the calculation of the DHP Grant given to Inverclyde. As a result of this error the amount of DHP given to Inverclyde Council would reduce by almost £59,000 per year from 2014/15. This reduction equates to approximately 28%.
- 5.7 Understandably the Committee were extremely concerned by this development and instructed the Chief Executive to write to the DWP and to the David Mundell MP, the Under Secretary of State for Scotland to raise both our concerns and also to highlight the impact this is likely to have on individuals within Inverclyde. In addition as part of

this letter the Chief Executive asked that consideration be given to providing further funding to Inverclyde to mitigate the impact beyond 2013/14. To date no response has been received to the letter however irrespective of the response coming from the DWP it was agreed that the DHP Policy requires to be reviewed in early 2014 to ensure that the approved Policy is affordable.

- 5.8 In the interim the Council has agreed to allocated £118,000 from Reserves over 2014/16 to compensate for the DWP error.

## **6.0 FINANCIAL ADVICE UPDATE**

- 6.1 The Inverclyde Financial Inclusion Partnership continues to work together to meet the outcomes within the Financial Inclusion Strategy including working in partnership to mitigate the effects of Welfare Reform.
- 6.2 Under the banner of the Partnership a number of applications were submitted to both the Lottery Support and Connect funding stream and the Scottish Legal Aid Board (SLAB) Making Advice Work funding stream
- 6.3 Three bids were submitted to the Support and Connect Fund with two successfully receiving funding until March 2015. (Starter Packs Inverclyde (£120,000) and Fuel Fix a fuel poverty programme led by Inverclyde Council (£260,000)). This project was to be in partnership with SOLAS however due to their recent demise, discussions are ongoing with other providers to support the delivery of the project. The unsuccessful bid led by Riverclyde Homes will be reviewed and resubmitted to the September tranche of funding along with an additional bid led by Inverclyde Advice and Employment Rights in conjunction with ICOD; Financial Fitness and Inverclyde CHCP
- 6.4 Four bids were submitted to the Making Advice Work funding stream for a range of programmes by a number of partners: Inverclyde CHCP; Financial Fitness; Legal Services Agency; Riverclyde Homes; Grand Central Savings; ICOD and Inverclyde Advice and Employment Rights. Two bids, which were led by IHAF and Inverclyde Advice and Employment Rights have been unsuccessful however the remaining two bids (led by RCH & CHCP) have been advised by the Scottish Legal Aid Board (SLAB) that their applications are likely to be agreed and funded although not in full. We await further correspondence from SLAB with confirmation of the level of award.
- 6.5 Both The Lottery and The Scottish Legal Aid Board have commended Inverclyde on its partnership approach to these funding streams.
- 6.6 A very welcome addition to the Financial Inclusion Partnership are the two local credit unions. Port Glasgow Credit Union and Tail 'O' the Bank Credit Union already have good provision within Inverclyde with the number of accounts across both organisations totalling more than 10,000. They are keen to work with the partners to further develop and grow this provision within Inverclyde.
- 6.7 Additional resource committed to the CHCP Advice Services Team has enabled the consolidation of the current team and provided additional posts to deal with the increased number of clients accessing the service. An additional Welfare Rights Officer post is currently in recruitment and two new posts of Advice worker have been created who will be able to undertake both welfare benefits and money advice, therefore enabling a more holistic service for clients. The team continues to review its service delivery model with telephone triage and outreach surgeries used where appropriate.
- 6.8 Current waiting times for financial advice and support are 3 days for Money Advice, 7 days for an Information Worker appointment to up to 14 days for an appointment to complete claim forms. Some spares are kept free for emergency appointments.
- 6.9 A Service Level Agreement is in place between the Council and Financial Fitness for 2013/14 to supply an additional 1375 hours of welfare benefits advice to clients across Inverclyde. As part of this SLA Financial Fitness will provide advice and support to

homeless clients who access the Oak Tree one stop shop.

- 6.10 A bespoke case management system for Advice services is currently being procured with a proposed implementation date of February 2014. This will be utilised within the CHCP Advice Services team initially and then rolled out across all partner organisations who provide welfare benefit and money advice. This will allow more effective handling of clients within and across organisations and more robust reporting of clients accessing services and financial gains made.
- 6.11 Increased demand across all advice providers is being seen in the particular area of Employment Support Allowance (ESA). From 15<sup>th</sup> June 2013, the first clients applying for Personal Independence Payments (PIP), the replacement for Disability Living Allowance (DLA), have started to seek support and information. For those who are unsuccessful there is now the additional step of Mandatory Reconsideration before appeal. The impact of this measure across Great Britain is estimated, in 2015/16, by HM Treasury to be cost reductions of £1, 350M with the Inverclyde area deemed to be 12<sup>th</sup> in the top 50 of local authorities hardest hit by the move to PIP. At this stage it is difficult to model the impact on Inverclyde. As more data becomes available from DWP on PIP decision making it will be possible to create more refined and robust estimates of the impacts in Inverclyde.

## **7.0 PAYDAY LENDERS**

- 7.1 There has been increased media focus regarding the use of payday lenders across Scotland and the UK. Glasgow City Council recently commissioned a piece of work "PayDay lenders Sounding Board" which gathered a range of views and evidence related to payday and other non standard lending.
- 7.2 Findings from this included the estimate that Glasgow citizens borrow over £57million annually through payday lenders, home credit, pawnbrokers and rent to own outlets. Whilst there is not similar evidence for the Inverclyde community, it is anticipated that there is a similar pattern of non standard credit use across Inverclyde as there are a number of retail payday, short term loan advance and pawnbroker outlets within our town centres.
- 7.3 Inverclyde Council Assets Management team have confirmed that none of these outlets are within the Council's property portfolio.
- 7.4 The use of internet based payday lender websites is growing therefore it is recommended that the Council restrict access to these sites on all Council computers including all Council buildings, libraries and schools. Support for this is being provided by other partners involved in the Financial Inclusion Partnership who are taking similar action.
- 7.5 The Financial Inclusion partnership will continue to work to support the accessibility and uptake of affordable credit, through the partners in particular the Credit Unions and other low cost loan providers.

## **8.0 FINANCIAL PRESSURES**

- 8.1 The Council agreed £3.2 million from its own resources as part of the 2013/16 budget to meet some of the expected financial impacts from Welfare Reform. Decisions have previously been taken to allocate funding towards the estimated funding shortfall for the Council Tax Reduction scheme, shortfall in SWF/DHP administration funding and increased Financial Advice services.
- 8.2 The DWP have now advised the Scottish Government of further reductions in Benefit Administration Grant. This is a continuation of the crude top slice in resources allocated to Councils rather than a reflection of a reduction in workload arising from Welfare

Reform. The estimated impact on the Council is £25,000 (2014/15) increasing to £90,000 in 2015/16. This loss of income is reflected in Appendix 4.

8.3 The mid-year Benefits return has confirmed that the £500,000 set aside for the cost to the Council of the Council Tax Reduction scheme is appropriate. The final figure will only be known in May 2014.

8.4 Overall the Council is projected to contain the costs of Welfare Reform within the allowance agreed as part of the 2013/16 budget however a number of matters remain to be clarified in addition to potential increases in demand as the impact of Welfare Reform becomes clearer.

## 9.0 CONCLUSIONS

9.1 The Council continues to make good progress in managing the impacts of the Welfare Reform Agenda.

9.2 There are no budgetary issues to report in respect of SWF or BHP budgets at present however officers will continue to closely monitor expenditure in particular in respect of Discretionary Housing Payments.

9.3 Considerable work is ongoing in respect of financial advice and support services to ensure that these are as coherent and as co-ordinated as possible.

9.4 Further updates on all these matters will be presented to the Committee at the appropriate time.

## 10.0 IMPLICATIONS

10.1 There are no Financial, Legal or HR implications arising from this report.

### Recurring Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Other Comments
Finance	Benefit Administration Grant	From 2014/15	£25,000 (14/15) £90,000 (15/16)	Fund from Welfare Reform Pressure budget.

## 11.0 REPOPULATION

11.1 By robustly addressing the impacts of the Welfare Reform agenda then the Council will minimise any population drift generated by the Welfare Reform Agenda.

**Scottish Welfare Fund**  
**30/08/2013**

Calls Answered	4368		
Applications	1262		
Applications Granted	621	(49%)	(6 applications where 2 grants paid)
Applications Refused	533	(42%)	
Applications Withdrawn	59	(5%)	
In Progress	49	(4%)	
Referrals to DWP	574		

		<u>Budget</u> <u>£000</u>	<u>Spend</u> <u>%</u>
Crisis Grant paid (328) =	£31.8k	278	11.4%
Community Care Grants (241) =	£139.5k	454	30.7%
	<u>£171.3k</u>	<u>732</u>	23.4%

Appeals Heard = 41  
 Appeals Upheld = 16 (40%)  
 2nd tier Review = 3  
 2nd Tier Reviews Upheld = 0 (0%)

AP/LA  
 4/9/13

**Discretionary Housing Payments**  
**30/08/2013**

Applications Received	916	
Applications Approved	577	(63%)
Applications Refused	287	(31%)
Awaiting Supporting Evidence	30	(4%)
To be Started	22	(2%)

\*278 (48%) of those approved relate to financial pressure

	<u>£000</u>	
Paid to date	64	Paid to Landlords a month in arrears
Commitments	60	Assumes existing claims run their course
New/Replacement Claims	84	Estimate based on year to date experience
	<u>208</u>	
Available Budget	230	Includes £77k one off grant from DWP
Projected Balance	<u>22</u>	

Appeals dealt with = 49  
Appeals upheld = 20 (40%)

AP/LA  
4/9/13





## Briefing - Housing impacts of welfare reform – Survey of councils

COSLA carried out a survey of all councils at the end of May along with Scottish Government and ALACHO. The intention of the survey was to gain an early understanding of the impact of under occupancy measures on local authorities and the stresses on the delivery of housing services which are beginning to emerge. The survey asked 31 questions which covered rent arrears, Housing Benefit appeals, Discretionary Housing Payments (DHP's), and under occupancy (colloquially referred to as the 'bedroom tax'). All 32 local authorities were invited to complete the survey. Thirty local authorities responded which is a 94% response rate.

### Key Findings

#### *Under Occupancy*

- On the basis of responses so far, it is estimated that 82,500 households in Scotland are affected by under occupancy penalties. Of these 17% (14,000) are under-occupying by 2 or more bedrooms and 83% (68,500) are under occupying by 1 bedroom. An estimated 47,500 of these households are in local authority housing and 35,000 are in housing association housing. The 47,500 local authority tenants comprise 15% of local authority tenants in Scotland.
- The Housing Benefit recipients in the responding councils comprise 98% of all working age Housing Benefit recipients in Scotland. This enables COSLA to make confident statements about the initial impact in Scotland. Thirty three per cent of working age local authority tenants on housing benefits are affected by the penalty for under occupying their property.

#### *Rent Arrears*

- With the exception of one, all local authorities with housing stock reported an increase in arrears due to under occupancy. Three quarters of councils are reporting that non-payment of rent due following under occupancy changes is directly responsible for the increase in their rent arrears.
- Of that rent now due to be collected from tenants affected by under occupancy measures, 60% of councils are reported receiving 40% or less and 80% reported receiving 50% or less as at the end of May (based on responses from 20 of 26 councils).

#### *Temporary Accommodation*

- Initial analysis suggests that overall, councils estimate that they will lose over £0.75 million from their temporary accommodation income due to the implementation of the under occupancy penalty (We want to check this further as councils reported figures differently and this figure may be an under estimate).
- Returns received from 24 councils responding to the survey who provide their own temporary accommodation revealed that for four councils the under occupancy

penalties had no impact on their temporary accommodation. Most (12 councils) had between 0% and 25% affected and 8 councils had more than 25% of their temporary accommodation affected.

#### *Discretionary Housing Payments*

- In total, councils have received over 22,000 applications for DHPs since advising tenants of revised Housing Benefit awards. For 19 local authorities this is 4 times higher than the same period last year.
- DHPs are being awarded to 44% of applications, which totals a commitment of £2.2million so far. That equates to 22% of the fund being used in the first 2 months, when the 2 months DWP allocation is only 17%. Therefore, awards are a third higher than the DWP allocation. As time progresses this rate of attrition may increase.
- Fourteen of the thirty councils who responded have either topped up their DHP funds or have made provision to do so if required. This additional provision amounts to £2.9m which is 29% of the DWP DHP allocation. Six councils have topped up their DHP allowance by the 1.5 times limit or very close to this and 10 councils have topped up by more than half their DHP allocation.

#### **Next Steps**

Initial findings have already been highlighted in the ministerial discussion with Lord Freud and we will continue to use this feedback in our lobbying efforts. The initial results have highlighted areas of the survey which we would like to revisit in order to strengthen the usefulness of the results we are receiving. This will involve rewording some of the questions in order to capture more specific data.

There is an agreement between Scottish Government and COSLA to repeat this survey at quarterly intervals over the next 9-12 months to monitor any emerging trends and build a more informed view of the cost to local authorities of welfare reform.

**Michael McClements**  
Policy Manager

**Rhona Welsh**  
Policy Officer

**June 2013**

**Appendix 4**

**Utilisation of Welfare Reform Funding**

<u>Resources</u>	2013/14 £000	2014/15 £000	2015/16 £000
Council Approved Funding	800	1100	1300
SWF Administration Grant	131	120	-
	<b>931</b>	<b>1220</b>	<b>1300</b>
 <u>Expenditure</u>			
Council Tax Reduction - £17m	340	340	340
- £5m	100	100	100
- Overpayments	60	60	60
SWF - DP Supervisor	29	29	-
- DP Assessors/Visitors x 7	156	156	-
- Telephone Calls (Est)	30	30	-
- Postage (Est)	6	6	-
- Overheads (Travel/Furniture etc)	4	4	-
Financial Advice	160	200	200
Cuts to Benefit Admin Grant	-	25	90
<b>Total</b>	<b>885</b>	<b>950</b>	<b>790</b>
Unallocated Balance	46	270	510

Notes

1. Major uncertainty over Council Tax Reduction Burden post 2013/14. Costs could increase significantly.
2. Assumes SWF stops 1.4.15. If it continues then this reduces the available balance by £105k/year.
3. No provision for overspend on DHP/SWF funding provided by Government/DWP.

AP/LA  
4/9/13

**Report To:** Policy and Resources Committee      **Date:** 24/09/13

**Report By:** John Mundell, Chair SOA      **Report No:** PR/098/13/AH/MM  
Programme Board

**Contact Officer:** Miriam McKenna, Corporate Policy      **Contact No:** 2042  
and Partnership Manager

**Subject:** Single Outcome Agreement Quality Assurance

## 1.0 PURPOSE

1.1 The purpose of this report is to update the Policy and Resources Committee on the meeting regarding the Quality Assurance of the Inverclyde Alliance Single Outcome Agreement (SOA), and the results from that process.

## 2.0 SUMMARY

2.1 A video conference was held with the review panel for the Inverclyde SOA on Monday 24 June 2013. The Review Panel consisted of Elma Murray (Chief Executive, North Ayrshire Council) and Gerald McLaughlin (Chief Executive, NHS Health Scotland), with an additional representative from Scottish Government. The Inverclyde panel was made up of:

- John Mundell, Inverclyde Council
- Ian Bruce, CVS Inverclyde
- Bruce Kiloh, Strathclyde Partnership for Transport
- Jennifer Stoddart, Scottish Government
- Aubrey Fawcett, Inverclyde Council
- Brian Moore, Inverclyde Council
- Alan Puckrin, Inverclyde Council
- Miriam McKenna, Inverclyde Council
- Supt Mark Shepherd, Police Scotland
- Albert Henderson, Inverclyde Council

2.2 The session consisted of a short presentation on the key points raised by a self assessment of the SOA by Inverclyde CPP and a discussion focused around some key questions between the two panels. At the end of the meeting both parties confirmed what improvement actions Inverclyde Alliance would undertake to improve the Single Outcome Agreement.

2.3 It was agreed that Inverclyde Alliance would focus on four areas of action, covering:

- Better reflection of asset based approaches used in the area to involve communities in the delivery of outcomes
- Setting out more examples of joint planning, tasking and co-ordinating and integrating service provision at neighbourhood levels, in the SOA
- Develop a process to identify how partners are shifting planning and resources to early intervention and to measure success on reducing demand, costs and releasing savings
- Reflect more practical examples in the SOA of partners working together to engage communities.

2.4 The SOA confirmation letter received from CoSLA regarding the Quality Assurance process is attached at appendix one. The draft improvement plan is attached at appendix two. This plan is in the

process of being refined by the SOA Programme Board.

### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Policy and Resources Committee:

- a. Note that the Quality Assurance process for the SOA has led to the agreement of the SOA between Inverclyde Alliance and the Scottish Government

**John W Mundell**  
**Chair, Inverclyde SOA Programme Board**  
**Chief Executive Inverclyde Council.**

## 4.0 BACKGROUND

4.1 A video conference was held with the review panel for the Inverclyde SOA on Monday 24 June 2013. The Review Panel consisted of Elma Murray (Chief Executive, North Ayrshire Council) and Gerald McLaughlin (Chief Executive, NHS Health Scotland), with an additional representative from Scottish Government. The Inverclyde panel was made up of:

- John Mundell, Inverclyde Council
- Ian Bruce, CVS Inverclyde
- Bruce Kiloh, Strathclyde Partnership for Transport
- Jennifer Stoddart, Scottish Government
- Aubrey Fawcett, Inverclyde Council
- Brian Moore, Inverclyde Council
- Alan Puckrin, Inverclyde Council
- Miriam McKenna, Inverclyde Council
- Supt Mark Shepherd, Police Scotland
- Albert Henderson, Inverclyde Council

4.2 Representatives of the Inverclyde CPP gave a short presentation setting out what the strengths and areas for development were for Inverclyde's SOA, based on a self assessment against the criteria issued by the Scottish Government which is attached at appendix three.

4.3 Key areas of strength that were agreed were:

- Inverclyde's SOA has a clear understanding of place, and this is a particular strength of the document
- There is a clear evidence base and the local context is set out under each local outcome
- Evidence of how communities have influenced the development of the outcomes is contained in the document
- There is a high level of information in regard to the Scottish Government policy priorities and each of the policy priorities is reflected in one or more of the local outcomes
- The SOA sets out clearly the vision and outcomes for Inverclyde linked to national outcomes
- The CPP is committed to focusing on areas with greatest inequality and deprivation
- The SOA is clear on how it is performance managed
- There are examples of early intervention and preventative work taking place set out in the document and some horizon scanning included to anticipate future demand
- Community engagement is referenced throughout the document with a clear commitment to co-production and capacity building in communities

4.4 However there are still a number of areas to be further developed. In regard to the request from Scottish Government to set out what partners are collectively doing and spending on prevention across all services, it was agreed the CPP would develop a process to map out the resources that are being deployed across the partnership in regard to particular areas of work relative to prevention and early intervention, but that it would be impossible for all partners to identify the specific funding allocated to the work.

4.5 The four areas for improvement are:

- Reflect a more asset based approach, using all the assets within Inverclyde's communities and partners, from physical assets to the skills and abilities which people can use to achieve better outcomes for themselves and their communities.
- Further development of examples of joint planning, tasking and co-ordinating and integrated service provision etc at neighbourhood levels and reflecting this in the SOA.
- Develop a process to identify how partners are shifting planning and resources to early intervention and identify how much early intervention/prevention is reducing demand, reducing costs and releasing savings.

- Reflect in the SOA more practical examples of partners working together to engage communities.

## **5.0 EXTERNAL FACTORS**

- 5.1 The Quality Assurance process also gave CPPs the chance to identify any barriers to delivery which they have come up against. The Inverclyde Alliance highlighted that the Scottish Government expects partners to reflect local outcomes etc in their own documents, yet the CPP has no power to hold agencies to account if they fail to do this. Scottish Ministers have a key role to play here if they wish to see this.
- 5.2 Additionally, the ongoing financial situation and lack of resources across all CPP partners mean that organisations are having to deal with what is happening now as well as planning ahead and initiating preventative and early intervention, within very tight budgets. This will continue to be a challenge until the impact of early intervention begins to be felt, which will take some time. There is also a lack of capacity or resources within organisations to carry out in depth analysis of joint resourcing and its impact. Tracking change as a result of early intervention and prevention is very resource intensive and a long term commitment, and most agencies do not have officers available to dedicate to this.

## **6.0 NEXT STEPS**

- 6.1 A confirmation letter has been received from CoSLA (see appendix one) and the SOA has been formally signed off, with the agreement to develop an improvement plan for the SOA (see appendix two).
- 6.2 The next steps for the Alliance Board, Programme Board and Outcome Delivery Groups is to deliver the actions set out in the improvement plan, and amend the SOA accordingly.

## **7.0 IMPLICATIONS**

- 7.1 Legal: n/a  
Finance: n/a  
Personnel: n/a  
Equality and Diversity: n/a  
Repopulation: n/a

## **8.0 CONSULTATIONS**

- 8.1 N/A

## **9.0 LIST OF BACKGROUND PAPERS**

- 9.1 Inverclyde Alliance Single Outcome Agreement, Alliance Board, 17 June 2013

## Appendix One – SOA Confirmation Letter

From the President Councillor David O'Neill



Cllr Stephen McCabe  
Leader  
Inverclyde Council  
Municipal Buildings  
Greenock

26<sup>th</sup> July 2013

Dear Cllr McCabe

I am writing to you in relation to the recent quality assurance of the Inverclyde Alliance's Single Outcome Agreement. As you will know, COSLA has consistently advocated an approach to public service reform that focusses on better outcomes for local communities. Over the last 18 months, Leaders have energetically pursued this agenda, with a particular focus on strengthening partnership working based around the Statement of Ambition agreed jointly with the Scottish Government in 2012.

As part of that work, each partnership developed a revised Single Outcome Agreement in line with the guidance that was issued jointly by COSLA and the Scottish Government in December. These shared 'plans for place' are an important element of the wider step change in community planning that local and national government have put at the heart of public service reform in Scotland.

Given the significant and long term scale of this task, Ministers and COSLA Leaders had agreed an approach to the quality assurance of draft Single Outcome Agreements, and eight teams, composed of senior officers from across Scottish Government, councils, NDPBs and police and fire services, have therefore been working with each CPP to take stock of progress and give Council Leaders and Ministers, respectively guardians of the contribution of local and national government services to this agenda, assurance that they can sign off the SOA and its associated development plan.

The quality assurance team has advised that its work is now complete and that you should be confident that you can sign off the SOA. Ministers will also formally write to the Chair of the CPP confirming their sign off. Please accept my personal thanks for helping to ensure that local government continues to lead the local reform of public services in Scotland. Indeed, although the scale and range of development activity is different in each partnership, our expectation is that all SOAs will be able to be signed off over the coming weeks.

The feedback from both CPPs and assurance teams has largely been very positive, and has also focussed on what is required nationally to enable partnerships to make progress locally. I am pleased that the process has also uncovered a large range of innovation and leading practice across Scotland, much of which has not been given the credit it deserves. We have a significant job to do nationally to capitalise on this resource and over the coming period we will be working on ways to champion successes and ensure that they are communicated far and wide.

Of course, in many respects, the real job of delivering the SOAs now begins, and achieving the stretching development actions that the partnership has set will be an important part of that process. There also remains much more to do across the wider community planning agenda, not least of all in



relation to important issues with a national dimension that COSLA will seek to drive forward using mechanisms such as the national community planning group.

However, with your support, we are arriving at position where Scotland has put in place 32 Single Outcome Agreements as a blueprint for the outcomes that good local partnership working can achieve. Contrary to the recent findings of the Local Government and Regeneration Committee, the quality assurance teams have also detected a strong sense of energy, commitment and enthusiasm around the CPP table; evidence that CPPs are acting on the Statement of Ambition and the recommendations of the Accounts Commission's work on improving community planning; and that this round of SOAs is significantly improved on what has gone before.

Thank you again for your contribution to the quality assurance process and please do not hesitate to contact me if you would like discuss any aspect further.

Your sincerely

**Councillor David O'Neill**  
**COSLA President**

Cc: Minister for Local Government and Planning  
John Mundell, Chief Executive, Inverclyde Council

## Appendix Two – SOA Improvement Plan

### Single Outcome Agreement Improvement Plan August 2013

Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	How much will it cost?	Community Plan/SOA, Wellbeing Indicator
<p>Co-production and community engagement are reflected in the SOA, but asset based approaches are not highlighted.</p> <p>Co-production approaches are rolling out across services, and multiagency training is taking place.</p>	<p>Reflecting an asset based approach better in the SOA, using all the assets within Inverclyde's communities and partners, from physical assets to the skills and abilities which people have and can use to get better outcomes for themselves and their communities.</p>	<p>All partners to identify the asset based approaches they are taking.</p> <p>CECBN to review Community Engagement Strategy to reflect more asset based/co-production approaches.</p> <p>Further training to take place in regard to co-production.</p>	<p>SOA has a small number of case studies reflecting asset based approaches, as well as links to examples of asset based approaches.</p> <p>Successful Communities Outcome Delivery Plan progress reports reflect work taking place in the CPP on asset based approaches.</p>	<p>Chair of CECBN to request examples of asset based approaches from partners.</p> <p>Corporate Policy and Partnership Manager to develop SOA chapter.</p> <p>Chair of Successful Communities ODG to co-ordinate progress reports.</p>	<p>Within existing resources</p> <p>Within existing resources</p> <p>Within existing resources</p> <p>Approx £1000 available for 'upskilling' in Community Capacity Building/ Asset based approaches.</p>	<p>SOA 2</p> <p>Respected and Responsible</p>
<p>The SOA sets out clearly the inequalities between areas and the Outcome Delivery Plans set out joint plans, tasks and how services are co-ordinated, but there is little reflected across the SOA of</p>	<p>Setting out more examples of joint planning, tasking and co-ordinating and integrating service provision etc at neighbourhood levels in the SOA, highlighting the inequalities between areas.</p>	<p>Develop placed based improvement plans in Clune Park, Woodhall, Greenock East, Larkfield/ Ravenscraig and Broomhill.</p> <p>Set out links to these improvement plans in the SOA.</p>	<p>Plans in place and being reported through the SOA Programme Board and Alliance Board.</p> <p>Over time there should be changes in key measure in these areas included SIMD, Health,</p>	<p>Mark Shepherd Police Scotland</p>	<p>To be determined</p>	<p>SOA 3</p>

Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	How much will it cost?	Community Plan/SOA, Wellbeing Indicator
particular plans at neighbourhood levels.			Poverty, Housing standards etc.			
Early intervention and prevention is set out as a focus for the CPP in the SOA, but there are no details in regard to how partners are shifting resources, to reduce demand and to make savings	Developing a process to identify how partners are shifting planning and resources to early intervention and measuring success on reducing demand, costs and releasing savings.	Finance officers from across partner organisations will meet to identify best way forward.  Outcome Delivery Groups to identify how they can capture information on resource deployment.  Links to Outcome Delivery Plans to be included in the SOA and information regularly updated on website.	Process set out for all partners to follow in regard to mapping resource use across the CPP in regard to prevention and early intervention.  Outcome Delivery groups set out in progress reports information on resource deployment.  Links feature in the SOA and ODGs and progress reports are updated on website.	Brian Moore Corporate Director CHCP  SOA Lead officers to progress  Corporate Policy and Partnership Manager	Within existing resources  Within existing resources  Within existing resources	SOA 8
Community engagement is set out as a core value for the SOA, with a chapter setting out how the CPP goes	Reflecting more practical examples, in the SOA of partners working together to engage communities	Community Engagement and Capacity Building Network will gather more examples of partnership	SOA has a number of case studies included under the Community Engagement chapter	Maggie Paterson (lead)  CECBN	Within existing resources	SOA 2  Respected and Responsible

Where are we now?	Where do we want to be?	How will we get there (including timescale)?	How will we know we are getting there?	Who is responsible?	How much will it cost?	Community Plan/SOA, Wellbeing Indicator
<p>about engaging with communities. There are no practical example of how partners work together to engage communities other than the reference to the Community Engagement and Capacity Building Network.</p>		<p>engagement.  SOA will feature a small number of case studies and more case studies will feature on the CPP pages of the Council's website</p>	<p>Links will feature to additional information on the web</p>	<p>Corporate Policy and Partnership Manager</p>	<p>Within existing resources</p>	

## Appendix Three - Background Guidance For Quality Assurance

The following sections provide additional information about the scope and context for the QA process.

### FIVE KEY ELEMENTS OF THE SOA GUIDANCE

This section summarises the key points from the SOA guidance. The QA process should identify key strengths and development priorities against these 5 key elements. The full guidance is available at <http://www.scotland.gov.uk/Topics/Government/local-government/CP/SOA2012/SOA2012>.

- ***A clear understanding of place*** - The SOA should demonstrate a clear and evidence-based understanding of place and draw strategic conclusions from that which drive the key priorities, outcomes and performance commitments for the SOA and partnership working.
- ***Planning and delivering for outcomes*** - The SOA should be a genuine plan that provides clear outcomes and improvement actions and which aligns and targets the total resources available locally to those outcomes and actions.
- ***Policy Priorities*** - The SOA should have a sharp focus on the six key policy priorities where the aim should be to achieve transformational, not incremental, performance improvement.
- ***Prevention*** - The SOA should promote early intervention and preventative approaches in reducing outcome inequalities and include specific plans for prevention which extend beyond the Change Funds into mainstream services.
- ***Community Engagement*** - The SOA should demonstrate a commitment to the importance of working with local people to help shape and deliver outcomes through a properly planned and resourced range of community engagement and capacity building activity.

### KEY RECOMMENDATIONS FROM AUDIT SCOTLAND'S WORK ON 'IMPROVING COMMUNITY PLANNING IN SCOTLAND'

This section summarises the recommendations from relevant Audit Scotland reports which were drawn together in 'Improving Community Planning in Scotland'. The National Community Planning Group has accepted these recommendations, recognising that they apply to a greater or lesser extent across Scotland and has committed to taking action to meet them. The findings are in line with the 5 key QA themes of the SOA guidance. The full report is available at [http://www.audit-scotland.gov.uk/docs/central/2013/nr\\_130320\\_improving\\_cpp.pdf](http://www.audit-scotland.gov.uk/docs/central/2013/nr_130320_improving_cpp.pdf).

- CPPs need to focus more clearly on where they can make the greatest difference in meeting the complex challenges facing their communities. They need to make their SOAs a clear plan for the areas and communities that they serve. They need to show clearly how they are using the significant public money and other resources available to CPP partners to target inequalities and improve outcomes. SOAs need to specify what will improve, how it will be done, by whom, and when.
- CPPs need to ensure that all partners align their service and financial planning arrangements with community planning priorities. This means ensuring that budget setting and business planning decisions by CPP partners, such as councils and NHS boards, take full account of community planning priorities and SOA commitments.
- CPPs need to significantly improve their governance and accountability, and planning and performance management arrangements by successfully mobilising resources towards agreed goals and ensuring best use of public resources showing that partnership working is making a significant difference in improving services, driving the move towards prevention, and delivering better outcomes for communities clarifying roles and responsibilities for elected members, non-executives and officer ensuring that CPP decision-making is reflected fully within the governance structures of all partners.

### **SECTION 3 – IMPROVEMENT SERVICE HIGH LEVEL FINDINGS FROM INITIAL READING OF DRAFT SOAs**

**The Improvement Service has undertaken an initial reading of SOAs and identified at a high level certain key strengths and challenges which are relevant to most if not all SOAs. These high level findings, which are set out below, also align quite closely with the 5 key themes of the SOA guidance, and are likely to be helpful for QA teams and CPPs in looking at key strengths and development priorities in the context of individual SOAs.**

- Strengthening the understanding of place, particular community profiling and capturing inequalities, and ensuring that this understanding drives the CPP's priorities and outcomes.
- Ensuring a proper balance between the 6 policy priorities set in the SOA guidance and an integrated approach to the most vulnerable communities.
- The role and mandate of the Community Planning Partnership Board
- Consolidating general commitments to a preventative approach and linking that to outcomes and targets for programmes and communities.
- Progressing action on joint resourcing

---

**Report To:** Policy and Resources Committee      **Date:** 24 September 2013

**Report By:** Head of Organisational Development, Human Resources and Communications      **Report No** HR/13/13/AM

**Contact Officer:** Alasdair Moore / Allan Wilson      **Contact No:** 01475 712015

**Subject:** Revised Disciplinary Policy and Procedures

---

## 1.0 PURPOSE

- 1.1 The purpose of this report is to propose revised Disciplinary Policy and Procedures for all employees of the Council.
- 1.2 The report also satisfies an outstanding remit to review the Disciplinary and Appeals Process that was remitted to the Chief Executive.
- 1.3 This report follows the Organisational Development Strategy Theme 3 – Employer of Choice (Modern and Innovative HR Policies).

## 2.0 SUMMARY

- 2.1 Following a review of the disciplinary policies approved previously by the Council for Local Government Employees, Teachers and Chief Officers this report has taken into consideration the need to consider the amalgamation of the 3 existing policies and to review the current arrangements while maintaining the high standards of operation and ensuring that the process is as efficient and effective as possible

Appendix 1, the revised Disciplinary Policy and Appendix 2, Disciplinary Procedures have been developed to cover all employees of the Council.

- 2.2 Current arrangements require refresh and revision to ensure they reflect best practice, adhere to statutory and to Advisory, Conciliation, and Arbitration Service (commonly shortened to ACAS) guidelines and are as efficient and effective as possible.
- 2.3 The ACAS code of practice *Disciplinary and Grievance Procedures* now requires three stages to be followed :
  - Letter - to employee including allegations and date of hearing
  - Meeting - disciplinary hearing during which employee has opportunity to respond
  - Appeal - one stage appeal
- 2.4 The main changes to the policy and the process are detailed in Appendix 3. A summary of the changes is shown below :
  - Reduction in the number of policies from 3 to 1
  - The categorising of disciplinary cases and investigations based on complexity of the discipline to be undertaken and how the revised process should be applied
  - Employee Representation to be changed to trade union representative or work colleague
  - When Human Resources become involved in a disciplinary based on the case

- 
- complexity
- Review of how the level of sanction is applied at employee level.
  - Introducing the option of incremental sanction approach
  - Replacing verbal/oral warning with an improvement note
  - Revising Appeal process including an Officers panel for misconduct dismissals with gross misconduct remaining with elected members

2.5 Throughout this process discussions have taken place with the trade unions since December 2012. The trade unions were asked to respond to the proposals so that their comments could be included in this report. Their responses are attached as Appendices 4,5 and 6.

### **3.0 RECOMMENDATIONS**

- 3.1 That the Committee agree the attached Disciplinary Policy and associated Procedures, Appendix 1 and Appendix 2, to be introduced from 1<sup>st</sup> January 2014.
- 3.2 That the Committee note that employees who may be involved in the disciplinary process will receive training before January 2014 if the revised Policy is agreed by the Committee.

Head of Organisational Development,  
Human Resources and Communications



## 4.0 BACKGROUND

4.1 Members may recall that there is an outstanding remit to this Committee to review the disciplinary procedures and appeals process. This report fulfils that remit.

4.2 The Council currently has three separate Disciplinary policies covering Local Government Employees, Craft, Teachers and Chief Officers. The content of the policies and procedures is similar and it was considered appropriate to review all policies together. When members consider any revisions it should be recognised that the Council process traditionally goes well beyond best practice and statutory procedures.

4.3 The provisions governing discipline at work are now to be found in:

- *The Employee Relations Act 1999*
- *The Employment Act 2008*

The previous statutory procedures which you may recall included a staged approach to disciplinary matters – stage1, stage2, stage3 – have been removed.

4.4 The ACAS code of practice *Discipline and Grievance Procedures* remains best practice and is expected to be followed. The three main stages in handling a disciplinary matter expressed in the ACAS procedures are:

- Letter - to employee including allegations and date of hearing
- Meeting – disciplinary hearing during which employee has opportunity to respond
- Appeal - one stage appeal

4.5 The review looked at the content of the 3 policies, the most recent legislation, changes that required to be considered through operational experience and also to ensure that the Policy and Procedures could be easily understood. The revised policy and procedures are attached as Appendices 1 and 2; Appendix 3 summarises the changes.

4.6 The Trade Unions – Unison, G.M.B., Unite, UCATT and Teachers Unions have been fully consulted on the proposed changes being put to the Committee. The objective of a single policy and a simplified approach where appropriate were acceptable but listed below are the areas where the trade unions were not supportive:

- UCATT, Unite & GMB - A submission has been made and is attached as Appendix 4
- Unison - A submission has been made by the EIS and is attached as Appendix 5
- Teaching Unions – A submission has been made by the EIS and is attached as Appendix 6

4.7 In respect of teachers, only the Scottish Negotiating Committee for Teachers (SNCT) governs changes to terms and conditions applicable to Teachers but with certain matters devolved locally to the LNCT the local negotiating committee. In respect of disciplinary procedures the SNCT issue guidelines for Local Authorities to consider but the actual policy is determined by each individual Council.

## 5.0 PROPOSALS

5.1 Following the request of the Council to undertake a review, all policies and procedures in respect of discipline were considered and proposals developed. The proposals have been submitted to and agreed by the Corporate Management Team and discussed with the trade unions whose response is noted in para 4.6 of the report

- 5.2 It is proposed that in the interests of fairness and equality a single Disciplinary Policy and set of procedures is introduced that covers all employees. At the same time a single policy has allowed the policy and procedures to be reviewed and refreshed and it is proposed that the attached Disciplinary Policy and Disciplinary Procedures (Appendices 1 and 2) be introduced for all employees. The main changes to the current arrangements have been summarised in Appendix 3.
- 5.3 To allow time for the introduction of the new policy and for employee training to be carried out by HR and through the Council's E learning facility, it is proposed that the policy is introduced from 1<sup>st</sup> January 2014.

## **6.0 IMPLICATIONS**

- 6.1 Finance: There are no financial implications for the Council.
- 6.2 Human Resources: All Human Resources implications have been included in the report.
- 6.3 Legal: The Head of Legal and Democratic Services has been consulted prior to this report being brought to the committee.
- 6.4 Equalities: The policy and procedures apply equally to all employees and all the protected characteristics under the Equality Act 2010 by addressing accessibility and offering support to disabled employees.

## **7.0 CONSULTATION**

- 7.1 The trade unions' comments are attached as appendices.

## **8.0 LIST OF BACKGROUND PAPERS**

Appendix 1 - Disciplinary Policy  
Appendix 2 - Disciplinary Procedures  
Appendix 3 - Summary of the changes to existing arrangements  
Appendices 4,5 and 6 -Trade union submissions

*Organisational Development, Human Resources & Communications*

**DISCIPLINARY POLICY FOR ALL COUNCIL EMPLOYEES  
(PART 1)**

1	INTRODUCTION .....	4
1.1	<i>General</i> .....	4
1.2	<i>Equal Opportunities Commitment</i> .....	4
2	AIMS & PRINCIPLES.....	4
2.1	<i>Aims</i> .....	4
2.2	<i>Principles</i> .....	4
3	APPLICATION & SCOPE .....	5
4	RESPONSIBILITIES .....	6
5	TYPES OF INDISCIPLINE .....	6
5.1	<i>General</i> .....	6
5.2	<i>Misconduct</i> .....	6
5.3	<i>Gross Misconduct</i> .....	7
5.4	<i>Capability - Performance</i> .....	8
5.5	<i>Capability - Ill-health</i> .....	8
6	CATEGORISATION FOR CASE MANAGEMENT .....	8
6.1	<i>Categories</i> .....	8
7	TIMESCALES AND RECORD KEEPING.....	9
8	INVESTIGATORY STAGE .....	9
8.1	<i>General</i> .....	9
8.2	<i>Suspension During Investigatory Process</i> .....	9
8.3	<i>Investigations Involving Residential Clients Allegations</i> .....	9
9	DISCIPLINARY STAGE .....	9
9.1	<i>General</i> .....	9
9.2	<i>Potential Outcome: No Action Taken</i> .....	10
9.3	<i>Potential Outcomes: Improvement Note</i> .....	10
9.4	<i>Potential Outcomes: Formal Disciplinary Sanctions &amp; Time Limits</i> .....	10

**9.5 Dismissal – Payments in Lieu..... 11**

**10 APPEALS ..... 11**

**11 VACANCY CAUSED BY DISCIPLINARY ACTION OR IMPRISONMENT ..... 12**

**12 CONFIDENTIALITY ..... 12**

**13 CONTRACT OF EMPLOYMENT ..... 12**

**14 OBLIGATION TO INFORM REGULATORY BODIES & THE RIGHT TO LEGAL REPRESENTATION..... 12**

**15 TRAINING AND REVIEW..... 13**

## **PART 1 – DISCIPLINARY POLICY**

### **1 INTRODUCTION**

#### **1.1 General**

- 1.1.1 Disciplinary codes, policies and procedures are instruments to promote fairness and order in the treatment of employees in the workplace. They set standards of conduct at work. The associated Procedures help ensure that standards are adhered to and provide a fair method of dealing with alleged failures to observe them.
- 1.1.2 In preparing the *Disciplinary Policy* and the accompanying *Procedures* the Council has taken into account its legal obligations under the Employment Act 2008, Employee Relations Act 1999 and; ensured adherence to the ACAS Code of Practice.

#### **1.2 Equal Opportunities Commitment**

- 1.2.1 Under this policy, the Council will ensure that everyone receives equal consideration and that the needs of all are taken into account as per The Equality Act 2010, irrespective of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation. For disabled workers Inverclyde Council will make reasonable adjustments so to allow participation in disciplinary procedure, as far as is reasonable, to the same standard as a non-disabled worker.

### **2 AIMS & PRINCIPLES**

#### **2.1 Aims**

- 2.1.1 The aims of the Disciplinary Policy and Procedures are to provide:
- a sound and fair basis for the maintenance of discipline for all employees of the Council, ensuring that all rights are applied at each stage;
  - a clear understanding between management and employees of the need for discipline;
  - a mutually accepted, easy to follow and well-publicised procedure for dealing with breaches of discipline;
  - a framework which ensures any aspect of misconduct or incapability is managed to conclusion efficiently.
- 2.1.2 The Disciplinary Policy and Procedure will be reviewed in line with any new initiatives, changes in the legal position or good practice.

#### **2.2 Principles**

- 2.2.1 The principles of this policy are to:
- encourage and provide support and advice to an employee whose conduct or standard of work is unsatisfactory and to take corrective action thereby avoiding the need for disciplinary action;

- ensure anyone involved in the process is aware of their obligations;
- deal with disciplinary issues as quickly as possible;
- ensure consistency;
- ensure all those involved in chairing disciplinary hearings are trained to do so;
- deal with issues promptly and not unreasonably delay meetings, decisions or confirmation of those decisions;
- carry out if necessary, investigations to establish the facts in each case;
- inform employees of the basis of the problem and give them an opportunity to present their case in response before any decisions are made;
- ensure the right to appropriate representation; acceptable being a Trade Union Representative or a fellow Inverclyde Council Employee only;
- ensure that the level of management normally authorised to impose each form of disciplinary action are clearly defined;
- ensure all employees are provided with full information and details of any outcomes;
- allow employees to appeal against any formal sanctions applied.

2.2.2 This policy seeks to outline the fundamental aspects of the Council's approach to managing indiscipline; the supporting Disciplinary Procedures (Part 2) outline their practical application.

### **3 APPLICATION & SCOPE**

3.1 This policy and associated procedures are applicable to all Local Government, Craft, Teacher and Chief Officer employees. That is, to those employed under the:

- Scottish Joint Council for Local Government Employees;
- Scottish Joint Council for Building & Civil Engineering Operatives, Engineering Craftsmen, Electricians & Plumbers;
- Scottish Negotiating Committee for Teachers (SNCT);
- Scheme for Salaries and Conditions of Service laid down by the Joint Negotiating Committee (JNC) for Chief Officials of Local Authorities (Scotland).

3.2 Where relevant, in application, consideration will be given to the Framework of Teachers Competence which is compulsory from the General Teaching Council for Scotland (GTCS) when considering the capability of teachers performance. Equally, consideration will be given to the Scottish Social Service Council (SSSC) Code of Practice, the Health and Care Professionals Council (HCPC), and any other relevant statutory and governing professional bodies.

3.3 This policy and associated procedures are applicable to all Council employees, except the Chief Executive.

## 4 RESPONSIBILITIES

- 4.1 The Head of Organisational Development, Human Resources & Communications is responsible for the formulation of disciplinary rules and procedures including the classification of misconduct.
- 4.2 The Chief Executive, Corporate Directors and Heads of Service are responsible for ensuring that the rules and accepted standards of conduct are made known to all Council employees. Within the limitations of powers delegated to him/her, each Head of Service or Nominated Officer shall be responsible for the management of discipline.
- 4.3 Employees, for their part, are required to familiarise themselves with the rules and standards required during the course of their employment and to abide by them.

## 5 TYPES OF INDISCIPLINE

### 5.1 *General*

- 5.1.1 It is deemed acceptable that both capability and conduct are fair reasons for dismissal provided that the disciplinary procedures have been followed. It is therefore relevant to include an explanation of each of these within this policy.
- 5.1.2 Misconduct in general terms relates to behaviour and actions during the course of employment. Capability in general relates to the ability of an employee to carry out their duties (performance).
- 5.1.3 Generally if disciplinary action is applied, it will be for *either* capability or conduct. However, there may be occasions where a lack of capability has led to an incident or action of misconduct or gross misconduct, and thus both capability and conduct may be considered together.

### 5.2 *Misconduct*

- 5.2.1 Unsatisfactory Conduct (other than gross misconduct)

Instances which are less serious than 'gross misconduct', are termed 'unsatisfactory conduct'. Such misconduct normally leads to warnings and disciplinary action short of dismissal, **please note however that an accumulation of unsatisfactory conduct can lead to dismissal.**

- 5.2.2 Examples of misconduct under this heading may include:

- bad timekeeping;
- unauthorised absence from work;
- unsatisfactory record of attendance;
- unacceptable standard of work performance;
- misuse of Council equipment.



5.2.3 The above list is neither exhaustive nor exclusive, nor does inclusion in this section preclude such misconduct being included as gross misconduct.

### **5.3 Gross Misconduct**

5.3.1 The definition as to whether an employee's conduct can be construed as gross misconduct will depend on full consideration of all the facts and circumstances.

5.3.2 Gross misconduct is generally seen as misconduct serious enough to make any further working relationship and trust between the employee and employer untenable, and thus may result in dismissal.

5.3.3 The following list of examples of gross misconduct is intended only to ensure that employees and management recognise the nature and seriousness of breaches of discipline which may be regarded as gross misconduct:

- breach of confidentiality;
- theft, fraud or deliberate falsification of records;
- physical violence or bullying;
- deliberate damage to Council property;
- discrimination or harassment;
- serious negligence which causes unacceptable loss, damage or injury;
- being charged with and/or convicted of a criminal offence which, in the opinion of the Council, demonstrates unsuitability for continued employment with the Council either in the current post or any other post;
- any relevant matters brought to the attention of the Council as a result of the Protection of Vulnerable Groups Scheme (PVG);
- serious acts of insubordination;
- indecent or immoral behaviour;
- refusal to carry out reasonable instructions;
- a serious breach of health and safety rules including willful endangering of life by contravention of the Council's health and safety policy or related procedures;
- causing loss damage or injury through serious negligence;
- bringing the Council into disrepute; including by means of Social Media;
- a serious breach of trust and confidence;
- serious incapability at work brought on by alcohol or illegal drugs;
- distribution of illegal drugs;

- deliberately accessing internet sites containing pornographic, offensive or obscene material;
- acts of bribery as covered by the Bribery Act 2010.

5.3.4 The above list is neither exhaustive nor exclusive. It seeks to provide a broad spectrum of possible scenarios; each situation will be assessed and categorised on its own merit.

#### **5.4 Capability - Performance**

5.4.1 In the context of this policy, capability relates to an employee's ability to perform their duties. Capability in general relates to application of effort, quality of work, general performance or similar issues which may result in disciplinary proceedings being instigated.

5.4.2 Normally, disciplinary proceedings under this heading will be applied following the exhaustion of a performance management process where the necessary level of performance has not been achieved.

#### **5.5 Capability - Ill-health**

5.5.1 If an employee's health affects their ability to carry out their duties, and where this is medically confirmed by the Council's Occupational Health Provider, this will not be handled using this policy.

5.5.2 Where ill health is impacting on performance/capability at work, medical advice will be sought from the Council's Occupational Health Provider as to whether or not an employee is likely to be able to perform their duties given the medical position. Where it is agreed that there is no prospect of a return to substantive duties, outcomes are likely to be reasonable adjustments, redeployment, ill health retirement, or as a last resort, termination on the grounds of incapacity (Some Other Substantial Reason).

5.5.3 There may be exceptions to this and all matters relating to ill health will be handled sensitively and in line with the Council's Attendance Management guidelines and to avoid any unlawful discrimination as defined by law.

## **6 CATEGORISATION FOR CASE MANAGEMENT**

### **6.1 Categories**

6.1.1 To ensure efficient application of procedures, at the point which an alleged incidence of indiscipline occurs, an assessment will be made of its severity which will determine how the remainder of the procedures are followed:

<b>Category 1</b>	Not Complex Case
<b>Category 2</b>	Moderately Complex Case
<b>Category 3</b>	Complex Case

6.1.2 Full details of how this method of case management is applied in practice are outlined in the supporting Disciplinary Procedures (Part 2) (Section 3, Page 5).

6.1.3 It is important to stress that this approach is not a pre-emption of overall disciplinary hearing outcomes.

## **7 TIMESCALES AND RECORD KEEPING**

- 7.1 Once a category of discipline has been established, this will help determine if an investigation is required and what timescales the remainder of the process is likely to be completed within, as outlined the Disciplinary Procedures (Part 2) (Section 5, Page 10).
- 7.2 A detailed minute of meetings is not required as the investigation report and/or the disciplinary hearing outcome letter are sufficiently detailed.

## **8 INVESTIGATORY STAGE**

### **8.1 General**

- 8.1.1 Case Categorisation will normally determine whether or not a full Investigatory Hearing is required. This stage is essentially about gathering the facts of the case. Full details are outlined in the accompanying Disciplinary Procedures (Part 2) (Section 4, Page 7).

### **8.2 Suspension During Investigatory Process**

- 8.2.1 There may be instances where suspension with full pay is necessary following an incident. Normally this will be where there is good reason to believe that the individual's presence at work might:
- impede or inhibit the investigation;
  - prejudice a subsequent dismissal on grounds of gross misconduct if challenged before an employment tribunal;
  - present an immediate risk to colleagues, service users, pupils, the public or the Councils resources (physical or intellectual).
- 8.2.2 Details of the application of suspension and associated time limits are outlined in the Disciplinary Procedures (Part 2) (Section 5.3, Page 12).

### **8.3 Investigations Involving Residential Clients Allegations**

- 8.3.1 In all cases involving children in residential accommodation, advice should be sought from the Chief Social Work Officer prior to arranging any interview of the child. Full details are documented in the supporting Disciplinary Procedures (Part 2) (Appendix 7, Page 26).
- 8.3.2 It is the Council's policy that clients in residential accommodation are not called to any disciplinary hearing as attendance at such hearings could be detrimental to their care.

## **9 DISCIPLINARY STAGE**

### **9.1 General**

- 9.1.1 Where a decision has been made to proceed to a disciplinary hearing, a hearing will be set up in line with the associated Disciplinary Procedures (Part 2) (Section 5, Page 10).

- 9.1.2 The categorisation process outlined in Section 6 of this Policy will allow a decision to be made as to what level of manager is most appropriate to chair a disciplinary hearing, as outlined in the table below. Normally, the following levels of management will be authorised to issue specific disciplinary sanctions when acting as Disciplining Officers in accordance with the following scheme of delegation:

<b>Level of Management</b>	<b>Maximum Disciplinary Sanction</b>
Chief Executive, Corporate Director & Heads of Service	All levels up to and including Dismissal.
Service Managers & Head Teachers	Up to Final Written Warning + other sanctions short of dismissal.
All Other Managers (Team Leaders, Supervisors)	Up to Written Warning + other sanctions short of dismissal.

- 9.1.3 It is anticipated that there will be occasions where Team Leaders and Supervisors may seek authority from more senior managers to issue a final written warning during a hearing.

## **9.2 Potential Outcome: No Action Taken**

- 9.2.1 It may be deemed appropriate not to apply any disciplinary outcomes following the hearing. In which case this will be confirmed to the employee as per the Disciplinary Procedures (Part 2) (Section 5.4, Page 13).

## **9.3 Potential Outcomes: Improvement Note**

- 9.3.1 It may be deemed necessary not to issue a formal sanction as a result of a disciplinary hearing, in which case, Disciplining Officers may consider it appropriate to issue an Improvement Note.
- 9.3.2 This is not a formal disciplinary sanction rather a step to establish quite literally an improvement plan which, if adhered to, represents a satisfactory outcome. Further details are outlined in the supporting Disciplinary Procedures (Part 2) (Section 5, Page 10). Normally an Improvement Note will cover a period of up to 6 months.

## **9.4 Potential Outcomes: Formal Disciplinary Sanctions & Time Limits**

- 9.4.1 The following formal sanctions may be applied as a result of a disciplinary hearing:

<b>Level of Sanction</b>	<b>Duration Live</b>
Written Warning	9 Months
Final Written Warning	12 months
Dismissal	Effective Immediately

- 9.4.2 It may also be considered appropriate to apply other punitive measures in addition to formal warnings, such as:

- demotion;
- redeployment into a suitable alternative post;
- transfer;

- suspension without pay;
- withholding pay increments;
- extension of a live warning;
- in the case of absence related incidents - the retrieval of occupational sickness pay.

9.4.3 The above list is not exhaustive, disciplining officers may consider other measures not listed in conjunction with the HR Advisor. The procedures must be followed in terms of notifying employees of the outcomes of any hearings and their right to appeal. Consideration will be given to a number of factors, outlined in the Disciplinary Procedures (Part 2) (Section 5.2.2, Page 11), before any sanction is applied.

## **9.5 Dismissal – Payments in Lieu.**

9.5.1 When an employee is summarily dismissed without notice on the grounds of gross misconduct, no payment will be made in lieu of notice.

9.5.2 When an employee is dismissed for misconduct (as opposed to summary dismissal on the grounds of gross misconduct), payment may be made in lieu of notice or the employee will be required to work their notice period.

9.5.3 Accrued contractual annual leave will be paid upon termination of employment.

## **10 APPEALS**

10.1 In the case of appeals against written warnings these will normally be considered by the next level of management up from that which issued the warning.

10.2 In the case of appeals against warnings and other punitive action, these will be considered by the Council's Human Resources Appeals Panel (Officers).

10.3 In the case of appeals against dismissal on the grounds of misconduct (i.e. accumulation of misconduct issues), these will be considered by the Council's Human Resources Appeals Panel (Officers).

10.4 In cases of appeal against dismissal on the ground of gross misconduct, these will be considered by the Council's Human Resources Appeals Board (Elected Members).

10.5 All punitive sanctions may be held in abeyance depending on the circumstances until the appeals process has been exhausted. If the appeal is not-upheld, backdating of sanction will be to the original date of the outcome decision being issued.

10.6 Letters of Appeal must be submitted within 14 days of the outcome letter being received, those received outwith this time scale will be considered time barred and will not take place.

## **11 VACANCY CAUSED BY DISCIPLINARY ACTION OR IMPRISONMENT**

- 11.1 Where the disciplinary action taken is dismissal and the employee lodges an appeal, consideration should be given to not filling the post on a permanent basis until the appeals procedure is completed.
- 11.2 Where an employee is charged with or convicted of, a criminal offence, consideration must be given to the nature of the offence and the likely impact on the workplace should the employment relationship be continued.
- 11.3 If an employee is imprisoned, it will be necessary for the Corporate Director or Head of Service to consider the specific circumstances and the needs of the Service to have the employee's duties performed. The matter should then be discussed with the Head of Organisational Development, Human Resources & Communications.

## **12 CONFIDENTIALITY**

- 12.1 All matters relating to discipline are confidential and no employee of the Council will disclose any information to anyone else within or outside the Council not involved in the case proceedings, including in circumstances where an employment reference has been requested, without the approval of the Head of Organisational Development, Human Resources & Communications, or in the case of Chief Officers, the Chief Executive (or any delegated officer whom they deem appropriate).
- 12.2 Notwithstanding the above, if through the course of disciplinary proceedings, information comes to light, which raises concerns about the welfare of a child or vulnerable adult, the Council has a statutory obligation to report these concerns to the appropriate authorities.

## **13 CONTRACT OF EMPLOYMENT**

- 13.1 Reference to the *Disciplinary Policy and Procedures* are included in an employee's Contract of Employment and Conditions of Service.

## **14 OBLIGATION TO INFORM REGULATORY BODIES & THE RIGHT TO LEGAL REPRESENTATION**

- 14.1 The Council will inform regulatory/inspectorate organisations and/or government bodies such as the Scottish Social Services Council (SSSC), General Teaching Council (Scotland) (GTCS), Health and Care Professionals Council (HCPC), Police Scotland, Scottish Ministers, and any other organisations who become relevant in the future, of any disciplinary outcomes or proceedings as required in line with the individual requirements of each body. The supporting Disciplinary Procedures (Part 2) (Appendix 1, Section 9, Page 18) outline how this should be managed.
- 14.2 Where relevant, appropriate representation at Disciplinary Hearings may be extended to allow a legal advisor in circumstances where the potential outcome of the proceedings would perhaps prevent employees from practicing their chosen career either by being legally barred or making employment in their employment sector highly unlikely in the future.

**15 TRAINING AND REVIEW**

- 15.1 All officers and elected members involved in the application of the Disciplinary Policy and Procedures will be trained to ensure consistency of application and full understanding. The policy, procedure and associated training materials may be changed, in consultation, periodically to reflect best practice and the law.

**(End)**

*Organisational Development, Human Resources & Communications*

***DISCIPLINARY PROCEDURES  
For all Council Employees***

***(PART 2)***



<b>1</b>	<b>PURPOSE .....</b>	<b>4</b>
1.1	Aims .....	4
1.2	General .....	4
<b>2</b>	<b>APPROACH TO HANDLING ALLEGED INCIDENTS OF INDISCIPLINE .....</b>	<b>4</b>
<b>3</b>	<b>CASE CATEGORISATION &amp; MANAGEMENT .....</b>	<b>5</b>
3.1	General .....	5
3.2	Category 1 – Not Complex Cases .....	5
3.3	Category 2 - Moderately Complex Cases .....	6
3.4	Category 3 - Complex Cases .....	7
<b>4</b>	<b>CONDUCTING THE INVESTIGATION/INFORMATION GATHERING STAGE .....</b>	<b>7</b>
4.1	Approach to Investigation Stage/Information Gathering .....	7
4.2	Full Investigatory Hearing Not Required.....	8
4.3	Full Investigatory Hearing Required.....	9
4.4	Investigating a Residential Client’s Allegations against an Employee.....	10
4.5	Outcomes of Investigatory Stage .....	10
4.6	Informing the Disciplining Officer.....	10
<b>5</b>	<b>DISCIPLINARY STAGE .....</b>	<b>10</b>
5.1	Notification of Disciplinary Hearing.....	10
5.2	Disciplinary Action Short of Dismissal .....	11
5.3	Dismissal & Other Punitive Action .....	12
5.4	Informing the Employee.....	13
<b>6</b>	<b>APPEALS.....</b>	<b>13</b>
6.1	Appeals against Disciplinary Sanctions Short of Dismissal.....	13
6.2	Appeals against Dismissal .....	13
<b>7</b>	<b>LIST OF APPENDICES.....</b>	<b>15</b>
	<b>IMPORTANT ROLES AND OTHER MATTERS .....</b>	<b>16</b>
	<b>PRECAUTIONARY SUSPENSION GUIDE .....</b>	<b>19</b>
	<b>DISCIPLINARY HEARING PROCEDURE.....</b>	<b>20</b>

**HUMAN RESOURCES APPEALS BOARD (ELECTED MEMBERS) PROCEDURE (GROSS MISCONDUCT)..... 21**

**HUMAN RESOURCES APPEALS PANEL (OFFICERS) PROCEDURE (MISCONDUCT)..... 23**

**PVG STATUTORY DUTIES ..... 25**

**INVESTIGATING A RESIDENTIAL CLIENT’S ALLEGATIONS AGAINST AN EMPLOYEE ..... 26**

**OTHER RELEVANT POLICIES & PROCEDURES ..... 27**

## 1 PURPOSE

### 1.1 Aims

- 1.1.1 The purpose of the *Disciplinary Procedures* is to ensure that the *Disciplinary Policy for all Council Employees* is adhered to and to provide a fair method of dealing with alleged failures to observe the *Disciplinary Policy (Part 1)*.

### 1.2 General

- 1.2.1 A list of all the *policies* and *guidelines* that relate to this Disciplinary Policy and Procedures can be found in Appendix 8 (Page 27).
- 1.2.2 There are numerous template letters relevant to these disciplinary procedures, these can be accessed from HR and appropriately adapted. Services must not create their own letters.

## 2 APPROACH TO HANDLING ALLEGED INCIDENTS OF INDISCIPLINE

- 2.1 Incidents of alleged indiscipline will normally come to light based on circumstances which come under the headings of capability or conduct, as outlined in the Disciplinary Policy (Part 1) (Section 5, Page 6).
- 2.2 When such circumstances arise, it is important to note that each case under consideration will vary in complexity, severity and substance, and should be categorised accordingly to determine:
- if a full investigatory hearing is required or delivery of the facts at a Disciplinary Hearing is sufficient;
  - whether or not suspension from duty (on full pay) is required;
  - who Disciplining Officer and Investigating Officer will be if needed;
  - whether or not HR involvement will be in person or on a remote advisory capacity.
- 2.3 With this in mind, managers who are handling such issues should apply the case categorisation outlined in paragraph 2.5 below. This may be done in conjunction with Human Resources.
- 2.4 The process of categorisation need not be lengthy; it may be a management decision within the service using professional judgement, or a short phone call to HR to discuss the circumstances, or, as required, a fuller conversation, or meeting with the HR Operations Team.
- 2.5 Case categories:

<b>Category 1</b>	Not Complex Case
<b>Category 2</b>	Moderately Complex Case
<b>Category 3</b>	Complex Case

### **3 CASE CATEGORISATION & MANAGEMENT**

#### **3.1 General**

3.1.1 This section outlines examples of what to consider when categorising a case. It also outlines the duration to be normally adhered to during the application of the procedures, and to what extent HR will be involved.

#### **3.2 Category 1 – Not Complex Cases**

3.2.1 These cases will normally be associated with incidents based on facts that are simple to establish or prove, or that have been readily admitted by the employee(s) involved, for example:

- attendance;
- timekeeping;
- minor misconduct incidents (one off acts or minor behavioural issues).

3.2.2 There will not always be a requirement for a separate Investigatory Hearing for cases in this category; normally a quick fact finding or information gathering exercise will be enough, for example;

- collation of records;
- short statements from witnesses;
- presentation of failed performance improvement plans.

3.2.3 Such information will be presented and subject to questions at a Disciplinary Hearing (full details in Section 5, Page 10).

3.2.4 Normally, HR involvement in these cases will be in the form of remote advice. Advice may be given at the start of the process to help managers correctly categorise the case, and as required to coach managers through the procedures, reviewing letters, etc. HR will not normally attend disciplinary hearings in this category.

3.2.5 Presuming a full investigation is not required, as is likely to be the norm with this category, then:

- the disciplinary hearing will normally be held within 14 days of the incident or culmination of incidences resulting in a decision being made to proceed to a disciplinary hearing;
- any appeals against outcomes will be submitted within 14 days of outcomes being received, and heard within 14 days of the appeal being received. Employees will be given notice in writing at least seven days in advance of an appeal hearing, unless a variation is mutually agreed, of the time and place of the appeal. This is with the exception that if appeals require to be heard by the Human Resource Appeals Panel (Officers) or the Human Resources Appeals Board (Elected Members), that the relevant Board/Panel will be convened as soon as possible.

3.2.6 Cases in this category should normally be concluded within 6 weeks from original incident.

### **3.3 Category 2 - Moderately Complex Cases**

3.3.1 These cases will normally be associated with:

- potential progression of live disciplinary sanctions;
- misconduct incidents considered more than minor;
- misconduct incidents related to previously demonstrated acts or behaviours;
- incidents which involve more than one employee;
- incidents which are contested by the employee;
- incidents which involve witnesses, complaints or evidence which require full consideration at the investigatory stage.

3.3.2 These cases may require an Investigatory Stage in the form of a full Investigatory Hearing.

3.3.3 Where the case is considered to be Category 2 but where it is not considered practical or necessary to hold a full Investigatory Hearing, a data gathering approach similar to that outlined in the Category 1 section should be followed and form the basis of the Disciplinary Hearing.

3.3.4 HR may be involved in person at Investigatory Hearings and Disciplinary Hearings for cases within this category; this will be as and when required and will depend on the details of the case and whether or not it is agreed between a manager and an HR Service Manager Operations that professional HR advice will be required in person at the hearings. HR advice will be available remotely throughout the application of the procedure regardless.

3.3.5 Where a full investigatory hearing is required:

- the Investigatory Hearing should take place normally within 14 days of the incident or culmination of events occurring;
- any Disciplinary Hearing should take place normally within 14 days of the investigatory process concluding or the incident occurring if a full investigation is not required;
- any appeals against outcomes will be submitted within 14 days of outcomes being received, and heard within 14 days of the appeal being received, or as soon as the relevant appeals board can be convened. Employees will be given notice in writing at least seven days in advance of an appeal hearing, unless a variation is mutually agreed, of the time and place of the appeal. This is with the exception that if appeals require to be heard by the Human Resource Appeals Panel (Officers) or the Human Resources Appeals Board (Elected Members), that the relevant Board/Panel will be convened as soon as possible.

3.3.6 Cases in this category should normally be concluded in less than 8 weeks from the original incident.

### **3.4 Category 3 - Complex Cases**

3.4.1 These cases will normally be associated with:

- incidents of an altogether more serious nature;
- incidents which have occurred during the course of a live warning;
- incidents which involve more than one employee;
- incidents which are contested by the affected employee;
- incidents which involve witnesses, complaints or evidence which require full consideration of the Investigatory Stage.

3.4.2 These cases will always require an Investigatory Stage in the form of a full Investigatory Hearing.

3.4.3 HR will always be involved in person at Investigatory and Disciplinary Hearings of cases within this category as they require direct specialist support:

- the investigatory hearing will normally be heard within 28 days of the incident occurring;
- the disciplinary hearing will normally be heard within 28 days of the investigatory hearing concluding;
- any appeals against outcomes will be submitted within 14 days of outcome being received, and heard within 14 days of the appeal being received if the appeal is against action short of dismissal, or as soon as the relevant committee can be convened in cases of dismissal. Employees will be given notice in writing at least seven days in advance of an appeal hearing, unless a variation is mutually agreed, of the time and place of the appeal. This is with the exception that when appeals are to be heard by the Human Resource Appeals Panel (Officers) or the Human Resources Appeals Board (Elected Members), that the relevant Board/Panel will be convened as soon as possible.

3.4.4 Cases in this category should normally be concluded within 12 weeks of the incident occurring.

## **4 CONDUCTING THE INVESTIGATION/INFORMATION GATHERING STAGE**

### **4.1 Approach to Investigation Stage/Information Gathering**

4.1.2 Where an incident or event has occurred and a manager considers that it is potentially a matter of indiscipline as outlined in the supporting Disciplinary Policy (Part 1) and believes that the policy needs to be applied, they should contact the HR Operations Team, to discuss the circumstances and to agree on a case category which will determine the next steps:-

- Once it has been agreed that the disciplinary procedures should be applied, the employee should be made fully aware, in writing that incidents are being investigated under the disciplinary process and be invited to either an Investigatory Hearing or Disciplinary Hearing. Where employees have access to email, letters should be sent as email attachments to minimise delay.

- It is the employee's responsibility at this stage to notify and arrange support and attendance from their representative should they wish. Should the representative be a work colleague then it is that individual's responsibility to obtain permission to attend the hearing from their manager.

4.1.3 If a trade union representative is being considered under these procedures, the full time Trade Union official should be informed promptly by management (telephone call will suffice). In most cases this information will be known, (i.e. who is a trade union representative). If it is not known, affected employees should make management aware.

## **4.2 Full Investigatory Hearing Not Required**

4.2.1 Where, following case categorisation, it has been decided that an Investigatory Hearing is not required, a Disciplinary Hearing will normally be heard.

4.2.2 The information pertinent to the case should be gathered by the Disciplining Officer, for example:

- attendance/timekeeping records;
- evidence of existing live warnings;
- evidence of failed performance improvement plans;
- evidence of conduct/capability concerns;
- evidence of damage caused by an employee.

- This information will be provided to the employee ahead of the Disciplinary Hearing, normally as a supporting document attached to an invite to a Disciplinary Hearing.
- The invite to the hearing will include details of the conduct/capability incidents, the employees right to be accompanied, and the date, time and location of the hearing.
- Employees should confirm their attendance at the scheduled meeting by contacting the Disciplining Officer by phone or email, at which stage they should also, ideally, advise if they will be accompanied by a representative and who that will be.
- Normally a decision will be made at this hearing on whether or not to apply a Disciplinary Sanction and the employee will be informed verbally of the final outcome at the end of the hearing.
- An outcome letter will then be issued to the employee whether or not a sanction has been applied, either concluding the matter, or confirming the sanction. The letter will describe the reasons supporting the final decision taken by the Disciplinary Officer and details of the employees right to appeal. This letter may be sent by email to minimise delay.

4.2.3 The guidelines for conducting a Disciplinary Hearing are outlined in Appendix 3 (Page 20).

4.2.4 It is the responsibility of the Employee or their representative to take minutes of the hearing if they so chose. The investigatory facts report and/or the Disciplinary Hearing outcome letter represent the only formal detailed documentation. No further minutes, notes or reports will be provided.

### **4.3 Full Investigatory Hearing Required**

4.3.1 Where, following case categorisation, a full Investigatory Hearing is required, a manager should prepare a case management plan e.g.:

- who will carry out the Investigatory Hearing (Investigating Officer – Note this may be the manager);
- who will be conducting any subsequent hearing (normally a more senior employee and always an employee not involved in the investigation);
- whether or not suspension should be considered;
- who needs to be interviewed (witnesses, colleagues);
- what documentary or other evidence is required, how it will be obtained;
- what the timescales are.

4.3.2 Managers should contact HR for guidance throughout this stage as required.

- Once a case management plan has been established, a hearing should be convened with the employee under consideration, who should be made fully aware in writing by the Investigating Officer, that the purpose of the investigation is to establish the facts of the case under the disciplinary process.
- The employee should be presented with as much information as possible in advance of the hearing – anything that will be referred to during the hearing. This is to allow the employee a full understanding of the facts under consideration and to allow them to assess them.
- Should further information come to light between the invite to Investigatory Hearing being sent out and the actual hearing taking place, it may be included and therefore form part of the Investigatory Hearing.
- The employee should confirm attendance at the meeting by a phone call to the Investigatory Officer and advise if being represented.
- It is anticipated that Investigatory Hearings will normally go ahead at their first scheduled date and time.
- Investigatory Hearing formats are not standardised, they will vary in content and duration depending on each case. Generally they will involve a series of questions to the employee and/or witnesses, presentation of evidence pertinent to the case etc; as much as is necessary to allow the Investigatory Officer to develop a full and balanced opinion of the incidents under investigation.

4.3.3 The necessary time off with pay will be granted to employee witnesses to attend the hearing. However, it is the responsibility of the Employee under consideration to make the necessary arrangements to call any witness, and to ensure that where witnesses are Council employees, that they have received authorisation to leave their place of work from their manager.



#### **4.4 Investigating a Residential Client's Allegations against an Employee**

- 4.4.1 There is a specific process that should be followed if dealing with allegations from a residential client, please refer to Appendix 7 (Page 26) for this. It is essential that circumstances such as these are handled in line with the guidance.

#### **4.5 Outcomes of Investigatory Stage**

- 4.5.1 Where an Investigatory Hearing has taken place, all evidence produced by the Investigating Officer should be assessed carefully by the Disciplining Officer. Upon conclusion of the Investigatory Stage, the recommendation to the Disciplinary Officer will be to either:

- conclude the matter or;
- recommend that the matter proceeds to a Disciplinary Hearing.

- 4.5.2 There may be occasions whereby Investigatory Officers decide to make other recommendations instead of those listed in section 4.5.1 above, such as:

- training;
- mediation;
- coaching;
- other support.

#### **4.6 Informing the Disciplining Officer**

- 4.6.1 Upon conclusion of the Investigatory Stage the Investigatory Officer will make recommendations to the Disciplining Officer.
- 4.6.2 The Disciplining Officer should have been identified as a result of the categorisation and case management process.
- 4.6.3 The Disciplining Officer will decide whether or not to take the Investigating Officers recommendation based on their assessment of the outcomes of the Investigatory Stage.
- 4.6.4 If the decision of the Disciplining Officer is that no further action is required, they will notify the employee in writing (email to minimise delays).

### **5 DISCIPLINARY STAGE**

#### **5.1 Notification of Disciplinary Hearing**

- 5.1.1 Where the Disciplinary Officer, having either considered the recommendations of the Investigatory Officer, or as a result of case management, concludes that there is

a question of substance about the employee's conduct or performance, then a Disciplinary Hearing should be arranged:

- The employee will be advised in writing of the Disciplinary Hearing arrangements, the reasons for the hearing and details of his/her rights to be represented.
- Enclosed in this letter will include appropriate copies of evidence (i.e. any investigative report, witness statements, etc) that will be used throughout the hearing so that the Employee has adequate time to review and prepare their case.
- It is important to note that when misconduct is readily admitted by the Employee at the outset this does not automatically close the matter. The Disciplinary Officer must still probe the reasons behind the offence and consider any mitigating circumstances.

## **5.2 Disciplinary Action Short of Dismissal**

5.2.1 Having reviewed the evidence, the Disciplining Officer may decide to take no further action.

5.2.2 Having concluded that Disciplinary Action is appropriate as a result of the Disciplinary Hearing, careful consideration should be given by the Disciplinary Officer to the following prior to deciding the appropriate level of sanction to apply:

- the employee's current disciplinary record;
- any relevant mitigating circumstances, e.g. health or domestic problems, which might have influenced the employee's conduct or behaviour;
- length of service;
- whether the intended disciplinary action would be reasonable having regard to all of the circumstances.

5.2.3 Where it is decided that informal action (Improvement Note, see Disciplinary Policy (Part 1), Section 9.3, Page 10) is appropriate – this should be issued in writing and the Improvement Note monitored in line with the Disciplining Officer's time line. An improvement note can cover a period of up to 6 months.

5.2.4 Where it is decided that a formal disciplinary sanction is appropriate, the following options should be considered as outcomes:

<b>Formal Disciplinary Outcomes</b>	<b>Duration Live</b>
Written Warning	9 Months
Final Written Warning	12 months

5.2.5 It may also be considered appropriate to implement other punitive action in addition to formal warnings, such as:

- demotion (see Section 5.3 below);
- redeployment;
- transfer;

- suspension without pay (see Section 5.3 below);
- withholding pay increments;
- extension of a live warning;
- in the case of absence related incidents - the retrieval of occupational sickness pay.

5.2.6 The above list is not exhaustive; Disciplining Officers may consider other sanctions not listed in conjunction with HR.

5.2.7 Summary of Disciplinary Outcomes:

- The right to appeal against disciplinary outcomes applies to all formal disciplinary sanctions.
- Generally, the steps in the procedure will be progressive, for example an improvement note, a written warning, a final written warning, and dismissal. However, there will be instances where more serious action, including dismissal, is warranted at an earlier stage (see Section 5.3 below).
- Only in exceptional circumstances (i.e. where the misconduct is so serious verging on gross misconduct) will the expiry periods outlined above (section 5.2.4) be deviated from. In such circumstances, the Disciplining Officer must ensure the employee is made aware of the revised expiry period, the reasons for this decision, and that any recurrence may lead to dismissal.
- There may also be occasions where the Employee's conduct is satisfactory throughout the period the warning is in force only to lapse very soon thereafter. Where a pattern emerges and there is evidence of abuse, the Employee's disciplinary record should be borne in mind in deciding how long any potential warning should last. An example may be where an Employee has been issued with a warning for poor attendance, has no absences during this period but on expiry of the warning they revert back to having a poor attendance record.

### **5.3 Dismissal & Other Punitive Action**

5.3.1 If, after carrying out a Disciplinary Hearing, the Disciplining Officer considers that:-

- a) an Employee, who has previously received a Final Written Warning should be dismissed, suspended without pay or demoted or;
- b) the gravity of an incident of indiscipline in itself warrants dismissal, suspension without pay, or a demotion;

the Disciplining Officer shall proceed to take disciplinary action but shall seek advice from the Head of Organisational Development, Human Resources and Communications on the suitable form of letter to be sent to the Council Employee concerned.

5.3.2 Suspension without pay as a Disciplinary Sanction shall not normally exceed a period of two weeks. Only in exceptional circumstances (i.e. where the misconduct is so serious verging on gross misconduct) will the expiry period be deviated from.

5.3.3 Summary dismissal is not to be taken literally. Allegations which may constitute gross misconduct will still need to be investigated and considered during a formal disciplinary hearing before a decision to dismiss is taken.

5.3.4 The right to appeal against punitive action and dismissal applies in all cases.

#### **5.4 *Informing the Employee***

5.4.1 All Disciplinary Action taken as a result of a Disciplinary Hearing will be confirmed in writing to the employee (email as appropriate to minimise delays).

5.4.2 The written confirmation will:

- state details of the nature of the misconduct giving rise to the action;
- confirm the level of disciplinary action taken and how long this action will be held on record;
- confirm the likely consequences of further misconduct or incapability;
- inform of the right of appeal and how it should be made and to whom;
- inform that the appeal must be made in writing within 14 days from the date of receipt of the letter confirming the disciplinary action.

## **6 APPEALS**

### **6.1 *Appeals against Disciplinary Sanctions Short of Dismissal***

6.1.1 All appeals against disciplinary sanctions short of dismissal must be submitted within 14 days of the disciplinary outcome being received , and must clearly outline the grounds for appeal. Emails or letters are acceptable.

6.1.2 Appeals against written warnings and final written warnings will be heard where possible by the next level of management, normally, within 14 days of receipt of the appeal letter. Where possible, employees will be given 7 days notice of any appeal hearings.

6.1.3 Appeals against written or final written warnings which include other punitive action will be heard by the Human Resources Appeals Panel (Officers), which will be convened as soon as possible.

6.1.4 All letters relating to appeals can be issued by email to minimise delays.

6.1.5 All appeal panels will normally include an HR Advisor.

6.1.6 The format for Appeal Hearings at this level, will in most cases replicate the procedure outlined in Appendix 5 (Page 23)

### **6.2 *Appeals against Dismissal***

6.2.1 An Appeal against a dismissal must be lodged with the Head of Organisational Development, Human Resources and Communications within 14 days of receipt of the letter confirming the action has been taken and must clearly outline the grounds for appeal. Emails or letters are acceptable.

- All appeals against misconduct dismissal will be heard by the Human Resources Appeals Panel (Officers).
- All appeals against gross misconduct dismissal will be heard by the Human Resource Appeals Board (Elected Members).
- The Head of Organisational Development, Human Resources and Communications will acknowledge receipt of the appeal letter and arrange for the appeal to be heard by the relevant Board/Panel as soon as possible.
- The Employee will be given notice in writing at least 7 days in advance, unless a variation is mutually agreed, of the time and place of the appeal.

6.2.2 Appendix 4 (Page 21) details the procedure to be followed at the Human Resource Appeals Board (Elected Members) and Appendix 5 (Page 23) details the procedure to be followed by the Human Resources Appeals Panel (Officers).

## **7 LIST OF APPENDICES**

- APPENDIX 1** IMPORTANT ROLES AND OTHER MATTERS
- APPENDIX 2** PRECAUTIONARY SUSPENSION GUIDE
- APPENDIX 3** DISCIPLINARY HEARING PROCEDURE
- APPENDIX 4** HUMAN RESOURCES APPEALS BOARD (ELECTED MEMBERS) PROCEDURE (GROSS MISCONDUCT)
- APPENDIX 5** HUMAN RESOURCES APPEALS PANEL (OFFICERS) PROCEDURE (MISCONDUCT)
- APPENDIX 6** PVG – STATUTORY DUTIES
- APPENDIX 7** INVESTIGATING A RESIDENTIAL CLIENT'S ALLEGATIONS AGAINST AN EMPLOYEE
- APPENDIX 8** OTHER RELEVANT POLICIES & PROCEDURES

## **IMPORTANT ROLES AND OTHER MATTERS**

### **1. Use of CCTV or audio recordings**

- 1.1 The use of **covert** recordings by Employees and/or their management will not be accepted as evidence in any investigations, disciplinary proceedings or appeal hearings.
- 1.2 CCTV or audio recordings may be used and are acceptable to:
  - confirm a Employee's presence in a given area or premises covered by CCTV provided the Employee is aware that the area is covered by CCTV;
  - accept recorded conversations provided both parties (Employee and manager) agree to such recordings.
- 1.3 All parties will be given the opportunity to view/hear any CCTV footage/recordings which are being used in disciplinary proceedings. Where necessary, this will be done separately from a disciplinary hearing.

### **2. HR Advisor**

- 2.1 Where an HR advisor is present at either the Investigatory, Disciplinary or Appeal Hearings. They will play an active role including questioning those present.

### **3 Disciplinary Incidents Raised as a Result of Information from Non-Council Employees**

- 3.1 It is possible that incidents will arise during the course of employment whereby an employee's conduct or capability is investigated as a result of information or complaints received from the Public, Service Users, Service Users Families, Pupils or their Parents/Carers/Guardians etc.
- 3.2 There is a Corporate Complaints Handling Procedure as well as a service specific complaint handling procedures which enable non-employees to raise concerns about services or employees delivering services. (CHCP and Education for example have different procedures depending on the client group and the nature of complaint etc). It is important that the Council considers these incidents fully; in many cases this is a legal requirement.
- 3.3 If any of these complaints received about employees are considered by management to merit further investigation under this Disciplinary Policy & Procedure, the complaint will be used as part of the investigatory/fact finding stage. Normally this information will be in the form of email or letter and information will be anonymised as much as possible to ensure there are no data protection issues arising.
- 3.4 In very exceptional circumstances, it may be necessary for Investigatory Officers to meet with non-employees to gather further information - this should only be done following agreement by the Head of Organisational Development, Human Resources & Communications and/or Head of Legal & Democratic Services. It is anticipated that this will be a rare event.

#### **4. Conduct outwith the workplace**

- 4.1 It is also important to note that an employee's conduct outside of the workplace may also lead to them being considered under the Disciplinary Policy (Part 1), the Council's Code of Conduct is key in this respect and all employees and managers should familiarise themselves with their obligations.

#### **5. Acceptable Delays in Proceedings**

##### **5.1 Due to Witnesses**

- 5.1.1 Unavailability of witnesses to attend hearings will not allow proceedings to be delayed anymore than 5 working days, where necessary they will be asked to provide written statements to minimise delays.

##### **5.2 Due to Representation**

- 5.2.1 For the Disciplinary Hearing, where representation cannot be arranged for the proposed date, the Disciplining Officer may accept an alternative date and time proposed by the employee providing it's reasonable and within 5 working days of the original time set. It will only be acceptable in exceptional circumstances for a maximum of 2 rescheduled dates to be proposed. The third scheduled date will be the final one, that is, that the hearing will go ahead in the employee's absence.

##### **5.3 Due to Sickness/Ill-Health**

- 5.3.1 If sickness intervenes during any stage of the process, consideration should be given to the nature and anticipated length of the absence, and the nature of the matter under investigation. The matter should be discussed with the Head of Organisational Development, Human Resources & Communications or nominated officer, to consider whether the investigation may be progressed or held in abeyance pending the employee's return to work. It is required that the employee will be referred to the Council's Occupational Health Advisor to ascertain if the disciplinary procedure may continue.
- 5.3.2 Should the employee continue to register their unavailability to attend a Disciplinary Hearing, consideration will be given to reaching a decision on the evidence available in the absence of the employee.

#### **6. Evidence available post-Discipline but pre-Internal Appeal**

- 6.1 Where information becomes available after the outcome of a Disciplinary Hearing but prior to the Appeal stage, the Disciplining Officer should consider this new information and whether it would have influenced the decision reached at the Disciplinary Hearing, notifying the employee and Appeal Chair accordingly.

#### **7. Grievances Raised during Proceedings (Including Bullying & Harassment Claims)**

- 7.1 Where an Employee raises a grievance in the lead up to, or during the disciplinary process and it is considered related, it may be appropriate to deal with both issues concurrently, or temporarily suspend the Disciplinary Hearing for a short period while the grievance is heard. Advice must be sought from the Head of Organisational Development, Human Resources & Communications, or nominated officer, to determine the appropriate process to be followed in such circumstances. If, however, the two issues are unrelated, the disciplinary process should continue and the grievance heard separately. If there is a Bullying and Harassment complaint by an employee about a manager an officer independent from the employee/manager relationship will be called upon to investigate.



**8. Addiction**

- 8.1 Where it is required to take account of an addiction problem at any stage throughout the formal disciplinary process, consideration should be taken of the Council's Policies on Misuse of Alcohol & Misuse of Drugs in the Workplace prior to any decision making. The Council may also seek advice from Occupational Health Providers and/or support from specialist services for independent, specialist opinion.

**9. Notification to Regulatory Bodies**

- 9.1 The Council will inform regulatory/inspectorate organisations and/or government bodies such as the Scottish Social Services Council, General Teaching Council (Scotland), Police Scotland, Scottish Ministers, Health Care Professionals Council (HCPC) and any other organisations who become relevant in the future, of any disciplinary outcomes or proceedings as required in line with the individual requirements of each body.

**10. Notification to Disclosure Scotland – Protection of Vulnerable Groups (PVG) Scotland Act (2007)**

- 10.1 The PVG Act aims to provide a robust system by which unsuitable people are identified and prevented from doing regulated work with children or protected adults. To facilitate this aim, it is necessary for organisations to pass on information to Disclosure Scotland that indicates an individual may be unsuitable to do regulated work so that it can be properly evaluated and appropriate action taken. The process of providing such information to Disclosure Scotland is called 'making a referral'.
- 10.2 The referral process to Disclosure Scotland is entirely separate from any dispute or appeal against disciplinary action or dismissal.
- 10.3 It is an offence not to make a referral within 3 months of the criteria for referral being met. The criteria is set out in the Act itself and will be referred to relevant officers handling the case.
- 10.4 Failure to refer can result in a fine and a prison sentence of up to 5 years. Individuals within organisations may be prosecuted, alongside the organisation itself, if it can be demonstrated that the offence was committed with their consent, connivance or through their negligence.
- 10.5 Any officers dealing with cases which may involve a referral to Disclosure Scotland, must do so in conjunction with the Head of Organisational Development, Human Resources & Communications.
- 10.6 The Council will also notify Disclosure Scotland where an Employee resigns in anticipation of punitive disciplinary action, is transferred to any alternative post, or were on a fixed term/temporary contract which has or was due to expire.

## **PRECAUTIONARY SUSPENSION GUIDE**

1. An immediate supervisor shall have the necessary delegated powers to apply a precautionary suspension to any employee who is considered to be creating a situation whereby he or she is a personal danger to themselves, to other employees, to the general public, and/or the property of the Council.
2. To protect the interest of all parties, where possible, the supervisor should apply the suspension in the presence of another supervisor or officer.
3. The supervisor should ask the employee to accompany him/her to an unoccupied office or quiet location. The supervisor should state clearly to the employee the reasons he/she has for suspecting the employee is unfit for work.
4. This shall entail the employee leaving or being sent from the workplace and reporting immediately to their line manager if possible, during the next working day.
5. If the employee is incapable, either through alcohol or drug misuse, the supervisor should insist that the employee does not drive a vehicle and to that end the supervisor should do the following:
  - If the employee drives a Council vehicle, permission to do so must be withdrawn immediately.
  - Arrange transportation through a friend or relative of the employee.
  - If suitable transportation cannot be arranged and the employee is co-operating calmly, allow the employee to remain on Council premises in a restricted area until transportation is available.
  - If the employee refuses the above, or is uncooperative, appropriate assistance should be summoned. The individual cannot be physically restrained from leaving the premises but the Council reserves the right to protect third parties and property and will notify the Police if the circumstances warrant.
6. There is no appeal against a precautionary suspension.
7. Precautionary suspension is an immediate solution to a risk situation and should be stopped as soon as possible, this may mean working at a different location or on different duties. At all times Services must liaise with HR.

## **DISCIPLINARY HEARING PROCEDURE**

The procedure for conducting a hearing shall be led by the Disciplinary Hearing chairperson (Disciplining Officer) who may be accompanied by an HR Representative as an Advisor. Both the Employee and the Investigating officer will be in attendance throughout the entire process, although the Investigating Officer will not be required to be present when advising the employee of the outcome.

1. The Investigating Officer shall be asked to put forward their case in the presence of the Employee and their representative and may call such witnesses as are required.
2. The Employee or his/her representative shall be given the opportunity to ask questions of the Investigating Officer and any witnesses called by him/her.
3. The disciplinary panel/chair shall then have the opportunity to ask questions of the investigating officer and any witnesses called by him/her.
4. The Investigating Officer shall have the opportunity to ask further questions of the witness, to make points of clarification arising from questions from the Employee, their representative and/or members of the Disciplinary Panel.
5. The Employee or his/her representative shall be asked to put forward their case in the presence of the Investigating Officer and may call any witnesses required.
6. The Investigating Officer shall be given the opportunity to ask questions of the Employee and any witnesses called by him/her.
7. The disciplinary panel shall then have the opportunity to ask questions of the Employee, their representative, or any witnesses called.
8. The Employee, or his/her representative, shall then have the opportunity to ask further questions of the witnesses and to make points of clarification arising from questions from the investigating officer and/or members of the disciplinary panel.
9. The investigating officer and the Employee (or their representative) shall be given the opportunity, if they wish, to sum up their case, introducing no new material, with the employee summing up first.
10. The chair/panel should consider the content of both submissions during an adjournment. The adjournment is important and may be used constructively to research precedents or to investigate the appropriate remedial action.
11. The Employee, and his/her representative, shall normally then be invited back into the meeting to be advised of the outcome of the disciplinary hearing. In exceptional circumstances it may be necessary to delay decision making.

**Note:** if, during the disciplinary hearing, the factual basis of the allegations is contested or new facts emerge it may be necessary to adjourn the meeting to allow further investigation, then to reconvene the meeting when this has been done.

**APPENDIX 4****HUMAN RESOURCES APPEALS BOARD (ELECTED MEMBERS) PROCEDURE (GROSS MISCONDUCT)**

Prior to the appeal hearing both the employee (and their representative) and Service representative (i.e. Disciplining Officer) must provide all evidence they intend to use during the appeal process to the Committee Section. This allows members of the appeals board to have adequate opportunity to review background papers in advance of the hearing.

There may be present, at all times, the appellant, his/her representative and the Service representative along with an HR representative. The HR representative will take an active role in the process by contributing to the case put forward, asking and responding to questions, etc. The procedure to be followed will be:

1. The Service representative shall put forward its case in the presence of the appellant and his/her representative and call such witnesses as may be required.
2. The appellant's representative or the appellant (if not represented) shall have the opportunity to ask questions of the Service representative or any witnesses called by the Service.
3. The members of the Human Resources Appeals Board (Elected Members) shall then have the opportunity to ask questions of the Service's representative and any witnesses called by the Service.
4. The Service representative shall have the opportunity to ask further questions of the witness, to make points of clarification arising from questions from the appellant's representative and members of the Human Resources Appeals Board (Elected Members).
5. The appellant, or his/her representative, shall put the case in the presence of the Service representatives and may call any witnesses required.
6. The Service representative shall have the opportunity to ask questions of the appellant or his/her representative and any witnesses called by the appellant or his/her representative.
7. The members of the Human Resources Appeals Board (Elected Members) shall then have the opportunity to ask questions of the appellant's representative, the appellant, or any witnesses called.
8. The appellant, or his/her representative, shall have the opportunity to ask further questions of the witnesses and to make points of clarification arising from questions from the Service representative and members of the Human Resources Appeals Board (Elected Members).
9. The appellant or his/her representative shall have the opportunity, if they wish, to sum up their case, again introducing no new material. The Service representative shall then have the opportunity, if they wish, to sum up their case, introducing no new material.
10. The Service representative, the appellant and his/her representative, and any advisers if present, shall then withdraw.
11. The Human Resources Appeals Board (Elected Members), in the presence of the officer(s) appointed to assist the Board, shall then deliberate in private, only

recalling if necessary the Service representative, the appellant and his/her representative to clarify points of uncertainty on evidence already given. If recall is necessary, both parties are to return, notwithstanding only one is concerned with the point giving rise to doubt.

12. The decision of the Human Resources Appeals Board (Elected Members) is normally expressed on the day and will be conveyed in writing to the appellant and the Service representative.
13. The Human Resources Appeals Board (Elected Members) is authorised to uphold or reject appeals against disciplinary action or to order the varying of the disciplinary action taken. The decision to be announced by the Board shall be one of the following as appropriate:
  - That the grounds of the appeal have been substantiated and the appeal is upheld.
  - That the grounds of the appeal have been substantiated in part and the appeal is upheld in part that .....
  - That the grounds of the appeal have not been substantiated and the appeal is not upheld.

## **HUMAN RESOURCES APPEALS PANEL (OFFICERS) PROCEDURE (MISCONDUCT)**

Prior to the appeal hearing both the employee (and their representative) and Service representative (i.e. Disciplining Officer) must provide all evidence they intend to use during the appeal process to the appeals board. This allows members of the appeals board to have adequate opportunity to review background papers in advance of the hearing.

There may be present, at all times, the appellant, his/her representative and the Service representative along with an HR representative. The HR representative will take an active role in the process by contributing to the case put forward, asking and responding to questions, etc. The procedure to be followed will be:

1. The Service's representative shall put forward its case in the presence of the appellant and his/her representative and may call witnesses.
2. The appellant or his/her representative shall have the opportunity to ask questions of the Service's representative and of any witnesses called by the Service.
3. All officers in attendance at the Appeal, including Adviser, shall then have the opportunity to ask questions of the Service's representative and witnesses.
4. The Service's representative shall have the opportunity to ask further questions of the witnesses, to make points of clarification arising from questions from the appellant's representative and officers hearing the Appeal.
5. The appellant, or his/her representative, shall put his/her case in the presence of the Service's representative and may call witnesses.
6. The Service's representative shall have the opportunity to ask questions of the appellant or his/her representative and of any witnesses called by the appellant or his/her representative.
7. All officers in attendance at the Appeal, including Adviser, shall then have the opportunity to ask questions of the appellant, the appellant's representative, or any witnesses called.
8. The appellant, or his/her representative, shall have the opportunity to ask further questions of the witnesses, to make points of clarification arising from questions from the Service's representative and officers attending the Appeal.
9. The Service's representative and the appellant or his/her representative shall have the opportunity, if they wish, to sum up their case, introducing no new material.
10. The Service's representatives, the appellant and his/her representative, and any advisers if present, shall then withdraw.
11. The Human Resources Appeals Panel (Officers), in the presence of the Officer(s) appointed to assist the Board, shall then deliberate in private, only recalling if necessary, the Service's representatives, the appellant and his/her representative, to clarify points of uncertainty on evidence already given. If recall is necessary, both parties are to return notwithstanding only one is concerned with the point giving rise to doubt.

12. The Human Resources Appeals Panel (Officers), shall recall the Service's representative, the appellant and his/her representative and announce their decision on the appeal, which will be confirmed in writing.
  
13. Under the Council's Scheme of Delegation the Human Resources Appeals Panel (Officers), is authorised to uphold or reject appeals against disciplinary action or to order the varying of the disciplinary action taken. The form of the decision to be announced by the Human Resources Appeals Panel (Officers), shall be one of the following as appropriate:-
  - That the grounds of the appeal have been substantiated and that the appeal be upheld.
  
  - That the grounds of the appeal have been substantiated in part and that the appeal be upheld to the extent that .....
  
  - That the grounds of the appeal have not been substantiated and the appeal be not upheld.

## **PVG STATUTORY DUTIES**

1. While it is important to emphasize the supportive role given to employees and their families who find themselves experiencing difficulties, it should also be noted that there is a statutory requirement for the Council, and by implication, its employees, to protect children and vulnerable adults.
2. If any Council employee hears information or directly sees things which makes them worried about a child or adult being ill-treated, exploited, neglected or abused, all employees are responsible for taking at least one of the following actions:
  - speak promptly with your line manager or another manager and talk through your concern;
  - you or your line manager should then contact:

Inverclyde Community Care and Health Partnership: Child Protection Team/ Receiving Services Team (for children) or Information Worker (for vulnerable adults) Tel: 714100 in office hours; or CHCP: Standby Service out of office hours Tel: 0800-811-505, or your nearest police office 01475 492500 (24 hours) or online [inverclydechildprotection.org](http://inverclydechildprotection.org)
3. It is essential that concerns are passed to the appropriate agencies that will have staff qualified to make assessments and decisions about what action, if any, might be needed to protect the child or adult and assist the family while they are addressing their difficulties.
4. When contacting the appropriate agency employees should give as much information as possible about the child or adult and his or her family. Employees must not delay in taking action or passing on information as it could ensure the safety of a vulnerable child or adult.
5. Employees must be aware we are all responsible for the care of the vulnerable in our society.



**APPENDIX 7****INVESTIGATING A RESIDENTIAL CLIENT'S ALLEGATIONS AGAINST AN EMPLOYEE**

If a client in residential accommodation makes an allegation of misconduct by an employee, or is stated by others to have been a witness or a victim of misconduct by an employee, they may require to be interviewed and a statement taken.

- Where the allegation has resulted in a Child Protection Investigation carried out in terms of the Council's Child Protection Procedures, advice should be sought from the Service manager responsible for said investigation as to whether an interview is appropriate.
- In all cases involving children in residential accommodation, advice should be sought from the Chief Social Work Officer prior to arranging any interview of the child.
- Arrangements must be made that a senior member of the Service and the child's Social Worker or a Human Resources Advisor together interview the client.
- The senior member of the Service and the child's Social Worker or Human Resources Advisor should plan the interview in advance to avoid, as far as possible, leading questions. Where the client is a child, advice should be sought on the form of questions most appropriate for that child from the Chief Social Work Officer.
- The senior member of the Service (or Investigating Officer) should write a full account of the interview immediately following the interview.
- Immediately following the interview, the senior officer of the service should make a professional judgment, based on the interview and how it was conducted, on whether the client understands the allegation being made and its implications. This should take into account, so far as is apparent, the client's state of mind at the time of the interview. This professional judgment should be written and attached to the client's statement.
- It is the Council's policy that clients in residential accommodation are not called to any disciplinary hearing as attendance at such hearings could be detrimental to their care. This is accepted by both management and the recognised trade unions

## **OTHER RELEVANT POLICIES & PROCEDURES**

If necessary, the following documents, policies, procedures and guidelines should be consulted:

1. Code of Conduct and Confidential Reporting Procedure (Whistle Blowing)
2. Managing Attendance Policy
3. Discrimination, Harassment, Victimisation Policy
4. Bullying & Harassment Policy
5. Misuse of Alcohol in the Workplace Policy
6. Misuse of Drugs in the Workplace Policy
7. Financial Regulations and Standing Orders for Contracts
8. Anti-Fraud and Irregularity Policy
9. Information Technology Policy and Associated Codes of Practice.
10. Violence & Lone Working Policy
11. Managing Poor Performance Guidelines
12. Appraisals at Inverclyde

List is not exhaustive.

**Summary of Proposed Changes**

Proposed Change	Current Practice	Benefits of Proposed Change
One Policy for all Council Employees	Currently 3: LGE & Craft, Teachers and Chief Officers.	<ul style="list-style-type: none"> <li>▪ Standard approach which ensures all employee rights are covered.</li> <li>▪ Consistency</li> <li>▪ Ease of reference</li> </ul>
Defining Incapacity in terms of ill-health and performance and outlining the difference between capacity and conduct.	Not defined.	<ul style="list-style-type: none"> <li>▪ Allows officers to categorise more easily.</li> <li>▪ Is in line with best practice.</li> <li>▪ Clearly removes issues of genuine ill-health from the procedures.</li> </ul>
Categorisation of Cases based on complexity and impact: Cat'1 – Not complex Cat'2 – Moderately complex Cat'3 - Complex	All cases handled in same way.	<ul style="list-style-type: none"> <li>▪ All affected employees retain their rights and opportunities to present case.</li> <li>▪ Reduced HR support as appropriate</li> <li>▪ Efficient and equally effective</li> </ul>
Representation - only Trade Union Rep or work colleague.	Anyone can represent employee.	<ul style="list-style-type: none"> <li>▪ Should limit unnecessary.</li> <li>▪ Is compliant with ACAS guidelines.</li> </ul>

Changes	Current Practice	Benefits of Change
Defining which level of Management can impose sanctions.	Only Teachers policy defines this, the other 2 are silent.	<ul style="list-style-type: none"> <li>▪ Fits in with case categorisation</li> <li>▪ Clear and unambiguous</li> <li>▪ Consistency</li> </ul>
Improvement Note as Informal outcome to Disciplinary Hearings replaces oral/verbal warning	Letter of Concern, which is more or less the same thing, exists under Attendance Management but is not generally used in Discipline.	<ul style="list-style-type: none"> <li>▪ Gives lower level cases an outcome that is not formal but sends a message</li> <li>▪ Opportunity to improve without a formal sanction being imposed with associated procedures (hearings, appeals etc)</li> <li>▪ Efficient and equally effective</li> <li>▪ Duration up to 6 months</li> </ul>
Types and Duration of Warnings to become:  Written Warning - 9 Months Final Written Warning -12 months  + other sanctions such as demotion, redeployment, restricting pay increments etc.	Currently 3 levels;- <ul style="list-style-type: none"> <li>• Verbal warning – live 6 months</li> <li>• Written Warning – live 6 months</li> <li>• Final Written Warning – live 12 months</li> </ul> + other punitive action	<ul style="list-style-type: none"> <li>▪ Consistency</li> <li>▪ Incremental approach</li> <li>▪ Reflects seriousness when aligned to new improvement note approach</li> </ul>
Limiting delays in proceedings (witnesses, reschedules etc)	Do not define. Can make end to end process too long and difficult to co-ordinate panels and officers.	<ul style="list-style-type: none"> <li>▪ Ensures all involved have an idea of potential duration from outset.</li> <li>▪ Minimises un-necessary delays for trivial reasons.</li> <li>▪ Ensures rights are protected – compliant with ACAS</li> </ul>

Changes	Current Practice	Benefits of Change
Expressing who can be investigating / disciplining/ appeal officer in general terms.	Not Currently defined.	<ul style="list-style-type: none"> <li>▪ Avoids any debate who should be involved</li> <li>▪ Allows for a smooth transition from one stage to the next</li> </ul>
Calling of Witnesses – outlining responsibilities.	Not clearly defined and leads to inconsistency.	<ul style="list-style-type: none"> <li>▪ Ensures process does not endure due to when witness available.</li> <li>▪ Ensures balance as management side witnesses are generally called quickly.</li> </ul>
Records of Proceedings.	Don't produce as standard in practice however, not expressed in policy.	<ul style="list-style-type: none"> <li>▪ Minimises work load while maintaining effectiveness</li> <li>▪ Ensures consistency</li> <li>▪ Employee/rep' free to take notes</li> </ul>
Suspension to allow investigation does not need witness if required	Teachers practice is that must be accompanied – others are silent.	<ul style="list-style-type: none"> <li>▪ Getting a witness is not always practical if there is an immediate risk</li> <li>▪ Suspension is not punitive so no rights being affected</li> </ul>
<p>All appeals held by officers including misconduct dismissal. Only gross misconduct dismissals heard by HR Appeal Board</p> <p>Note: punitive action short of dismissal also officer led appeal</p>	All appeals – for punitive action/dismissal - heard at HR Appeals Board.	<ul style="list-style-type: none"> <li>▪ Builds on trial period where appeals against absence warnings held by officers.</li> <li>▪ Efficient and effective</li> <li>▪ Still ensures independence as Management Appeals Panel will not previously have been involved.</li> </ul>

4<sup>th</sup> September 2013

Dear Alasdair,

**Submission on behalf of GMB, Unite, UCATT – Revised Disciplinary Procedure**

GMB, Unite and UCATT have had full consultation on the proposed changes to the Disciplinary Policy and although most of the changes were agreed; there are three areas which we find unacceptable.

- 1) All Dismissal Appeals, not just Gross Misconduct, should be heard by the Elected Members.
- 2) Written Warnings should remain at 6 months, not increased to 9 months.
- 3) Minutes of disciplinary to be provided.

**HR Appeals Board**

GMB, Unite and UCATT strongly disagree with this change, and find this change to potentially have the most severe impact on our Members, should they find themselves dismissed. Our Members have a view that the elected members being completely independent and not answerable to the officers, will be more likely to give them a fairer hearing.

**Written Warning**

The argument was that the council believed that an incremental approach was fairer. The trades unions listed would therefore agree, 3 month Verbal, 6 month Written and 9 month Final.

**Minutes of Disciplinary**

This was used in the past and we wish it to be used in the future. Most council's provide Minutes as it helps with clarity on what was said and therefore eliminates any potential ambiguity for all parties concerned.

Regards,

Louise Gilmour

Paul Bennett

Allan Cameron

GMB Scotland

UCATT

Unite

## APPENDIX 5

### Unison Inverclyde Branch

#### Comments on Revised Disciplinary Procedure

It is important to state that Unison have engaged constructively with officers during the discussions and negotiations around proposed changes to the Council's disciplinary policies and procedures. As a result most of the changes proposed have been agreed not just by Unison but by the other Trade Unions as well. Many of these proposed changes provide clarity making the procedures more lucid. There is however one proposal which we find detracts from this and that is in relation to the future role of the HR Appeals Board regarding dismissals.

Elected members are being asked to agree that all appeals against dismissal (except in cases of gross misconduct) will be heard by an HR Appeals Panel and not, as is presently the case, the HR Appeals Board. The term panel being more than slightly misleading as in practice the 'panel' will comprise of a single Corporate Director accompanied by and HR Officer who will act as an advisor.

This proposed change is effectively an extension of a previous Council decision (and one which Unison opposed at the time) relating to appeals against dismissals which were absent related. Since that decision appeals against absence related dismissals have been heard by a single officer.

This new proposal is not a welcome one and one which we would ask Elected members to consider very carefully. The policy of dismissal appeals being heard by Elected members is a long-standing arrangement within Local Government and for good reasons. It is built on the principle that where someone loses their job – as serious as it gets – then it is the employer's duty and responsibility to ensure that the decision to dismiss was the correct one. Not, as would be the case here, the duty and responsibility of a paid official.

In many cases where grounds for appeal are set out, they focus on issues such as mitigation, severity of the decision, proportion or alternative disposals and not necessarily on whether the decision to dismiss was legally fair. In our view, Elected members with their varying degrees of experience in the workplace or industry, are collectively better placed to determine whether a decision to dismiss was the right one in all the circumstances. In deciding whether a decision to dismiss was the correct one, it is important to do so after discussion, dialogue, debate and proper deliberation. This is why committee's or boards are tasked with this responsibility. A single officer may take a professional view but it will still be based on an individual perspective and not a collective one.

Perception also has its place here. Many employees take the view, rightly or wrongly, that having been dismissed by one chief official it is highly improbable that a second chief official will reach a different decision at appeal. The perception also is that elected members are more removed from senior managers and chief officers and so are more objective, neutral and impartial. We are not suggesting there is any evidential basis for this view but it remains an important perception amongst the workforce. If an employee loses their job they are entitled to have a strong degree of faith and belief in

the system of appeal and in our view that can only be achieved if the current arrangements remain in place.

It has been suggested that one benefit of this proposed change will be to make the process of appeal more efficient since Elected members are not always available to meet during normal business hours. It's not really for Unison to comment on the accuracy of this, however it is a matter of fact that all council committee's and meetings of the full council are convened during normal business hours and these bodies meet far more frequently than the HR Appeals board. In any event all of the Trade Unions have indicated their willingness to attend meetings of the HR Appeals board in the evening if that would help.

We would end by restating our belief that this proposal represents an attempt by officers to dilute the duty of members in taking important decisions. Dismissal is a potentially life-changing event with very serious consequences for the affected employee. The process of appeal is not something which should be treated as a mere efficiency measure and we would ask members to reject this proposed change.



# The Educational Institute of Scotland

## Inverclyde Local Association

Beinn Ime, 40 Merino Road, Greenock PA15 4BY Tel: 01475 725124 Fax: 01475 725124

Ref: TT/INV/EIS

Date: 03/09/2013

### **Disciplinary Policy: Teachers Trade Unions' submission**

Disciplinary policies for teachers are a matter which is devolved to LNCTs. This means that any changes must be negotiated through the formal LNCT. This has not taken place.

We already have a comprehensive and robust policy in place for teachers and so see no need to change the present policy.

We were told that there should be a change in sanctions that can be imposed by Head Teachers i.e. they should now be allowed to impose final written warnings. We were told that this "reflects way other council's going". I have checked with my colleagues in all other councils. Only 2 allow this and none of the others are moving to this. They still limit the sanctions that Head Teachers can impose to verbal or written warnings.

It is totally unacceptable that we are being asked to negotiate with the authority and we are given information which is totally inaccurate.

We would ask therefore that if the council wishes to discuss changes to the discipline policy for teachers it does so through the correct channel which is the formal LNCT.



**Report To: Policy and Resources Committee**

**Date: 24 September 2013**

**Report By: Corporate Director,  
Education, Communities & Organisational  
Development**

**Report No: PR/097/13/AH/KMC**

**Contact Officer: Karen McCready**

**Contact No: 01475 712146**

**Subject: Results from Summer 2013 Citizens' Panel Survey**

---

## **1.0 PURPOSE OF THE REPORT**

1.1 The purpose of this report is to provide Committee with details of the headline results from the Summer 2013 Citizens' Panel Survey.

## **2.0 SUMMARY**

2.1 The survey focused on the following areas:

- Customer Service Centre
- Adult Protection
- Child Protection

2.2 A total of 679 Panel members completed and returned the Summer 2013 questionnaire. This is a response rate of 68% which is very good for this type of consultation. The previous survey, which was carried out in Autumn 2012, achieved a response rate of 63%. It is very encouraging that the response rate remains high indicating that members of the Citizens' Panel are still enthusiastic and keen to take part.

2.3 A number of the questions included in the survey were originally asked in the Citizens' Panel Surveys that were carried out in 2011. Questions are repeated every two years to ascertain whether improvements have been achieved. The 2013 Survey also included a number of new questions around the Customer Service Centre.

2.4 The majority of the questions in the summer 2013 survey related to the Customer Service Centre and a number of very positive results emerged, for example:

- The top aspects that respondents thought were good or very good were, 'level of courtesy received' (90%, an increase of 6% from 2011), 'helpfulness of staff' (89%, an increase of 13% from 2011), 'knowledge of staff' (89%, an increase of 21% from 2011) and 'professionalism of staff' (82%, an increase of 10% from 2011).
- 94% of respondents stated that they received a friendly, courteous and helpful service when contacting the Council whilst 85% of respondents said that the level of customer service provided by the Council had met or exceeded their expectations. These questions were not asked in the 2011 Citizens' Panel Survey.

2.5 The results from the summer survey also highlighted areas where we could improve. Where people said that their experience of contacting the Customer Service Centre was poor, the main reasons for this were 'opportunity to provide feedback about services' (22%) and 'follow up'(18%). The main areas of dissatisfaction expressed were 'privacy of consultation' (18%), 'waiting time at the office' (14%) and 'availability of members of staff' (12%).

- 2.6 The remaining questions focused on Adult and Child Protection services. 29% of respondents said that they were aware that the Council has new powers to protect adults and 15% of respondents said that they had seen the campaigns regarding adult protection. In 2011, 19% of respondents were aware of the Council's powers to protect adults and 14% of respondents had seen the campaigns regarding adult protection.
- 2.7 The top two factors that were regarded as being very important in protecting children and young people from neglect are 'professionals sharing information with each other to help protect children from abuse or neglect' (90%) and 'professionals working together to support children and families' (87%). Similar views were expressed in 2011.
- 2.8 A summary of the results from the summer 2013 survey is contained in Appendix 1.
- 2.9 This report only provides details of the headline results from the survey. It highlights some of the positive results that have emerged and also areas where further action will be required. The results have been shared with the appropriate services and where an area for improvement has been identified, action will be taken by the appropriate Council service.

### **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that the Committee:
- a. Notes the content of this report.
  - b. Agrees that the feedback from the Summer 2013 Citizens' Panel Survey is used to inform the Council's approach to the continued development of the Customer Service Centre and adult and child protection.

## **4.0 BACKGROUND**

- 4.1 The Citizens' Panel comprises 1,000 members who are representative of the population of Inverclyde based on variables such as age, gender and geographic area.
- 4.2 The latest Citizens' Panel survey was carried out over the period June / July 2013. The survey covered a number of topics including customer service. Members of the Citizens' Panel were asked to provide feedback on their experience of using the Customer Service Centre and make suggestions regarding how we could improve our approach to customer service.
- 4.3 The questionnaire also contained questions about Adult and Child Protection. The purpose of these questions was to gauge awareness around the Council's new powers to protect adults and to find out what members of the Citizens' Panel thought about the services we provide to protect children.
- 4.4 A total of 679 Panel members completed and returned the questionnaire. This is a response rate of 68% which is very good for this type of consultation.

## **5.0 KEY ISSUES – SUMMER 2013 SURVEY**

### **5.1 Customer Service Centre**

- 5.2
- 44% of respondents in the 2013 survey said they had contacted the Customer Service Centre within the previous 12 months compared to 26% of respondents in 2011. The most common reason for getting in touch was to discuss Council Tax payments and enquiries, streets, road repairs and enquiries/ street lighting and refuse collection enquiries.
  - The top aspects that respondents thought were good or very good were, 'level of courtesy received' (90%, an increase of 6% from 2011), 'helpfulness of staff' (89%, an increase of 13% from 2011), 'knowledge of staff' (89%, an increase of 21% from 2011) and 'professionalism of staff' (82%, an increase of 10% from 2011).
  - Where people said that their experience was either poor or very poor, the main reason for this was due to opportunity to provide feedback about services (22%) and 'follow up' (18%). This represents an improvement on the 2011 survey results where 25% of respondents rated 'feedback about services' as poor or very poor and 30% of respondents rated 'follow up' as poor or very poor.
  - 94% of respondents stated that they received a friendly, courteous and helpful service when contacting the Council whilst 85% of respondents said that they level of customer service provided by the Council had met or exceeded their expectations. These questions were not asked in the 2011 Survey.
  - High levels of satisfaction were expressed for 'accessibility of the office' (92%), 'staff appearance and attitude' (88%) and general office environment (86%). The three main issues that respondents indicated that they were dissatisfied with were, 'privacy of consultation' (18%), 'waiting time at the office' (14%) and availability of members of staff (12%). This question on satisfaction with the Customer Service Centre was not asked in 2011.
  - The top three services regarded as being important or very important to be provided by the Customer Service Centre were 'Community Safety and Anti-Social Behaviour', 'Roads and Lighting Faults' and 'Registration of Birth, Death or Marriage'. In 2011 the top three services were 'Community Safety and Anti-Social Behaviour', 'Registration of Birth, Death or Marriage' and 'Refuse Collection / Special uplift'.

- The main public / voluntary organisations that respondents would like to contact through the Customer Service Centre are Inverclyde Council on Disability (38%), Inverclyde Leisure (38%) and Department for Work and Pensions (37%). This is similar to the response received in 2011.
- The top two services that respondents feel should be provided via the internet / website are 'voter registration' (40%) and 'property banding and electoral roll enquiries' (35%). This question was not asked in the 2011 survey.
- 59% of respondents said they are most likely to want to contact the Customer Contact Centre during the day (9am-6pm). This is lower than the 2011 response where 68% of respondents said that they are most likely to want to contact the Customer Service Centre during the day.
- There has been a small increase (4%) in the number of respondents who would be interested in receiving information from the Council via text message. In 2013, just under a quarter of respondents, 23%, said they would be interested in receiving Council information in this way compared to 19% in 2011.
- There was a larger increase (8%) in the number of respondents who said that they would be interested in making enquiries to the Council via text message. This increased from 16% in 2011 to 24% in 2013.
- 51% of respondents said they would expect the Council to respond to their telephone enquiry within a minute. In 2011, 47% of respondents said they would expect the Council to respond to their telephone enquiry within a minute. There has been a significant increase in the percentage of respondents that would expect a reply to a letter within 10 working days, from 51% in 2011 to 90% in 2013. The percentage of respondents that would expect a reply to an e-mail within 3 working days has remained relatively steady: 94% in 2011 compared to 91% in 2013.

### 5.3 Service Commentary

The feedback from the Citizens' Panel will be used to inform the development and delivery of the Customer Services Strategy specifically around how services are accessed, the services available at the Customer Service Centre and the development of performance measures. Specific attention will be given to those aspects identified via the survey as requiring attention such as the ability for customers to provide feedback, privacy at the Customer Service Centre and waiting times.

### 5.4 Adult Protection

- The number of respondents who were aware that the Council had new powers to protect adults increased by 10% between 2011 and 2013 to 29%.
- 15% of respondents had seen the campaigns regarding adult protection, the majority of which was through local newspaper adverts / articles and television adverts. There was a similar response in 2011 when 14% of respondents had seen the campaigns.
- The main group of adults that respondents thought would be covered by adult protection powers is 'any adult with a physical or mental infirmity who is not as able as others to protect themselves' (67%).
- The police would be the organisation most likely to be contacted with any concerns about an adult being harmed or abused (89%), followed by Social Work (46%) and then a GP (12%). In 2011, 85% of respondents said that they would contact the Police, 44% would contact Social Work and 8% of respondents said that they would contact a GP.

## 5.5 Service Commentary

Results have confirmed a need to have further awareness raising campaign. Panel members were asked if they had seen any of the previous campaigns and if they had what material had they seen. Responses given will now inform future campaigns and types of publicity material used.

Of note was that a number of respondents had stated that they would contact their GP regarding an adult being abused. This further confirms the current view on both a national and local level of the key role GPs have to play in adult protection. It is anticipated that there will now be GP representation on the Inverclyde Adult Protection Committee and further consideration given to local training requirements.

## 5.6 Child Protection

- There has been an increase in the number of respondents that would contact a Police Officer to report concerns regarding the safety of a child; from 78% in 2011 to 86% in 2013. This was followed by an increase in the number of respondents who would contact a Social Worker, 37% in 2011 which increased to 54% in 2013 and then a Teacher, 11% in 2011 increasing to 25% in 2013.
- 65% of respondents said that nothing would prevent them from reporting any concerns that they may have. The main reason that would prevent someone reporting a concern was 'not having enough evidence' 18%.
- The number of respondents that are fairly or very confident that services in Inverclyde will protect children and young people and help them if they are at risk of harm increased from 60% in 2011 to 73% in 2013.
- Similarly, the percentage of respondents that were fairly or very confident that the contacted agency would take the necessary action increased from 68% in 2011 to 79% of respondents in 2013.
- The top two factors that were regarded as being very important in protecting children and young people from neglect are 'professionals sharing information with each other to help protect children from abuse or neglect' (90%) and 'professionals working together to support children and families' (87%). Similar views were expressed in 2011.

## 5.7 Service Commentary

The Child Protection Committee was pleased to have the opportunity to have their questions included in the 2013 summer citizen's panel survey.

It is encouraging to note that the proportion of people who were either very confident or fairly confident that the necessary action would be taken if they were to contact an agency with a concern about child abuse or neglect had risen from 68% in 2011 to 79% in the 2013 survey.

The findings will be fully reviewed alongside those from the 2008 and 2011 questionnaires, when Child Protection questions were also included, and a report will be taken to the Child Protection Committee.

The findings from the 2011 panel informed our public awareness campaign which took place in March 2013 and the Child Protection Committee will use the results of this survey to inform future public awareness activity to continue to ensure it is targeted at the issues that are important to members of the public and also to help us address some of the very real concerns people have that might prevent them reporting a concern about a child.

## **6.0 IMPLICATIONS**

### 6.1 Finance

One Off Costs – None

Annually recurring costs/ savings – None

### 6.2 Human Resources

None

### 6.3 Legal

None

### 6.4 Equality and Diversity

The Citizens' Panel is representative of the population of Inverclyde in terms of ethnicity, gender and disability.

### 6.5 Repopulation

None

## **7.0 CONSULTATION**

7.1 All services were fully consulted in the development of the Citizens' Panel survey and the results will be widely disseminated to ensure that appropriate action is taken to address issues of concern.

## **8.0 BACKGROUND PAPERS**

8.1 Citizens' Panel Spring / Summer 2013

## **Summer 2013 Survey Responses**

### **Customer Contact Centre**

Just under half (44%) of all respondents said that they had contacted the Inverclyde Council Customer Service Centre in Clyde Square, Greenock within the last 12 months. A further 9% had contacted the Customer Service Centre more than 12 months ago. The remaining 47% stated that they had never contacted the Customer Service Centre.

The most common means by which people contacted the Customer Service Centre was by phone (64%), this is followed by in person (38%) and by email (7%). A further 10% of respondents contacted the council via the Council's website/email.

The three most common reasons for people to contact the council were Council Tax payments and enquiries (25%), Street, road repairs and enquiries/street lighting (23%) and Refuse collection enquiries (18%).

For 70% of respondents the initial contact with the Customer Service Centre resolved their question/issue. Just over a fifth (22%), stated that another contact had to be made to resolve the question/issue. Finally, 7% of respondents said that the Council contacted them directly to resolve their question/issue.

Ninety percent of respondents stated that the courtesy of staff was good or very good and 89% of respondents stated that the knowledge and helpfulness of staff was good or very good. In contrast to this, the two aspects where larger numbers of respondents stated that their experience was either poor or very poor are "opportunity to provide feedback about services" (22%) and "follow up" (18%). Ninety four percent of respondents stated that they received a friendly, courteous and helpful service when contacting the Council.

Overall, 74% of respondents said that the level of customer service provided by the Council satisfied their expectations, with a further 11% stating that it exceeded their expectations. Fifteen percent of respondents said that the level of customer service did not live up to their expectations.

Just under half (46%) of all respondents said that they had visited the Customer Service Centre in person in the past 2 years. Satisfaction regarding various aspects of respondents personal visits to the Customer Service Centre are generally good, example satisfaction ratings included, Accessibility of the office (92%), Staff appearance and attitude (88%) and General office environment (86%).

The three main issues that respondents indicated they were dissatisfied with were, Privacy of consultation (18%), Waiting time at the office (14%) and Availability of members of staff (12%).

The two main issues that respondents indicated were barriers to dealing with the Customer Service Centre were, Engaged/unanswered phones (16%) and Being constantly referred to another member of staff (14%).

Respondents were asked to indicate how important they felt it was to provide access to a range of Council services through the Customer Service Centre. The top 3 services that people stated were either fairly or very important to be provided through the Customer Service Centre were Community safety and anti social behaviour (94%), Roads and street lighting faults (93%) and Registration of birth, death or marriage (92%).

Respondents were asked to consider the services available through the Customer Service Centre and to indicate the most appropriate channels that should be available through which the Council can provide access to these services. The four main access channels asked about were internet/website, automated telephone, face to face and telephone. The most popular method that respondents would prefer to use when contacting the Council about a variety of matters is generally face to face for issues such as Assistance with



the completion of forms (69%) and Registration of birth, death or marriage (59%). This is followed by telephone contact for Community safety and anti social behaviour (51%) and Roads and street lighting faults (48%)

With regards to the internet/website the top 2 services that respondents stated the council should provide access to in this manner were Voter Registration (40%) and Property Banding and Electoral roll enquiries (35%). Accessing services through an automated telephone service is the channel that the least number of respondents indicated as a preference. The two main services that people would access in this manner are Roads and street lighting faults (14%) and Grass cutting/grounds maintenance (13%).

The main public/voluntary organisations that respondents would like to be able to contact through the Customer Service Centre are Inverclyde Council on Disability (38%), Inverclyde Leisure (38%) and Department for Work and Pensions (37%).

Most people, 59% said that their first choice with regard to use or access to the Council Customer Centre was daytime (9am-5pm). This is followed by 39% whose first choice was early morning (8am–9am) and a further 28% stated early evening (5pm-6pm).

Just over a quarter (27%) of respondents stated they are most likely to want to contact the Customer Service Centre later in the evening five nights a week (6pm-8pm). This is followed by just over a fifth (21%) of all respondents who would want to use the Customer Service Centre either on a Saturday morning (9am – 12pm) or at lunch time (12pm-2pm).

Respondents are least likely to want to contact the Customer Service Centre on a Saturday afternoon or late evening one night a week.

In addition to contacting the Council by telephone, respondents indicated that they would also contact the Customer Service Centre by E-mail (54%) and Through the Council's website ([www.inverclyde.gov.uk](http://www.inverclyde.gov.uk)) (42%).

Just under a quarter (23%) of respondents said that they would be interested in receiving Council information via a text message. Twenty four percent of respondents said that they would be interested in making enquiries to the Council via a text message.

Just over half (51%) of respondents stated that they would expect the Council to respond to a telephone enquiry within 1 minute. This is followed by 32% who stated up to 5 minutes and 17% who said 30 seconds. Ninety percent of respondents said that the speed of response they would expect from a letter based enquiry would be 10 working days. Seven percent said 15 working days and 2% said 20 working days. With regard to an email enquiry, 91% stated that they would expect a response within 3 working days, 8% said 10 working days and 1% said 15 working days.

## **Adult Protection**

Just over a quarter of all respondents (29%) said that they were aware that the Council has new powers to protect adults. Fifteen percent of respondents said that they had seen any of the campaigns regarding adult protection. Of those people who had seen adult protection campaign material, the 2 main elements they had seen were Local newspaper adverts/articles (52%) and Television advert (52%).

The three main groups of adults that respondents think would be covered by adult protection powers are “Any adult with a physical or mental infirmity who is not as able as others to protect themselves” (67%), “adults with mental health issues” (59%) and “adults with a learning disability” (57%).

If a respondent had concerns regarding an adult being harmed or abused the most likely organisation they would contact to report these is the Police (89%) followed by Social Work (46%) and then a G.P. (12%).

## **Child Protection**

Most people stated that if they had concerns regarding the safety of a child or young person they would report it to a Police Officer (86%), a Social Worker (54%) or a teacher (25%).

Almost two thirds (65%) of all respondents said that nothing would prevent them reporting any concerns they may have about a child or young person. The main issues that would prevent people from reporting a concern are Not having enough "evidence" or information (18%), Concerns about confidentiality being maintained (15%) and Fear of getting it wrong (14%).

Seventy three percent of respondents said that they were either fairly or very confident that the services in Inverclyde will protect children and young people and help them if they are at risk of harm. Seventeen percent said neither/nor and 10% said they were not confident.

Seventy nine percent of respondents said that they were either fairly or very confident that the necessary action would be taken if they were to contact an agency with concern. Thirteen percent of respondents said neither/nor and 8% said they were not confident.

Respondents were asked to consider how important they felt a variety of factors are in protecting children and young people from abuse and neglect. No-one thought that any of the issues were not important, with 96% to 98% of all respondents stating that each factor was either fairly or very important.

The top 2 factors that respondents felt were very important in protecting children and young people from neglect are Professionals sharing information with each other to help protect children from abuse or neglect (90%) and Professionals working together to support children and families (87%).

---

<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date: 24 September 2013</b>
<b>Report By:</b>	<b>Corporate Director Environment, Regeneration &amp; Resources</b>	<b>Report No: RMcG/LA/1070/13</b>
<b>Contact Officer:</b>	<b>Rona McGhee</b>	<b>Contact No: 01475 712113</b>
<b>Subject:</b>	<b>Tourism Related Projects - 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 the meeting held on 5 September 2013 considered the attached report by the Corporate Director Environment, Regeneration & Resources seeking the Committee's support for two key tourism related projects in Inverclyde by providing one-off financial support of £45,000 for Waverley Excursions Limited (WEL) over the next three years and illuminating Newark Castle at a cost of £28,000.

APPENDIX

- 2.2 The Committee decided:-

- (1) to support the projects by contributing £45,000 to the costs of the Waverley, subject to North Ayrshire, South Ayrshire, Argyll & Bute and Glasgow City Councils providing the full financial contribution sought from them, and a contribution of £28,000 for the illumination of Newark Castle; and
- (2) to remit it to the Policy & Resources Committee to consider the use of the one-off contingency as the funding source.

## 3.0 RECOMMENDATION

- 3.1 The Committee is asked to consider the remit from the Environment & Regeneration Committee.

---

<b>Report To:</b>	<b>Environment &amp; Regeneration Committee</b>	<b>Date:</b>	<b>5 September 2013</b>
<b>Report By:</b>	<b>Corporate Director – Environment, Regeneration &amp; Resources</b>	<b>Report No:</b>	<b>R300/13/AF/SJ/JH</b>
<b>Contact Officer:</b>	<b>Stuart Jamieson</b>	<b>Contact No:</b>	<b>01475 712401</b>
<b>Subject:</b>	<b>Tourism Related Projects</b>		

---

## **1.0 PURPOSE**

1.1 To seek Committee's support for two key tourism related projects in Inverclyde:

- Provision of one off financial support of £45,000 for Waverley Excursions Ltd (WEL) over the next 3 years;
- To illuminate Newark Castle at a cost of £28,000 to help promote tourism.

## **2.0 SUMMARY**

2.1 WEL is seeking to build a partnership funding programme and have approached Inverclyde, North & South Ayrshire, Argyll & Bute Councils to commit to funding the Waverley for 3 years – 2013, 2014 and 2015 at the sum of £20,000 per annum per Council and are seeking a continued commitment from Glasgow City Council of £50,000 per annum.

2.2 Meetings have taken place between the Councils and WEL and, subject to confirmation and the acceptability of a self supporting sustainable business plan, the following level of support has been suggested:

- 2013/14 - £20,000, 2014/15 - £15,000, 2015/16 - £10,000 for non City Councils;
- Glasgow City Council support subject to ongoing review.

2.3 The activities of WEL help to promote tourism and the image of our local area and would contribute to the Repopulation and Economic Regeneration agendas. Further support post 2015/16 is not proposed.

2.4 Newark Castle is a building of historic significance built in the 15<sup>th</sup> Century. Under an agreement with Inverclyde District Council, Historic Scotland agreed for the building to be illuminated at the Council's cost however this has not functioned correctly for a number of years. Property Services have provided estimates to replace the existing equipment at a cost of £28,000. The timescale for delivery for this proposal would be within the next 12 months.

2.5 Funding for Newark Castle will allow for an increase in the number of visitors to the area and will assist in meeting the objectives of the Repopulation and Economic Regeneration agendas.

### **3.0 RECOMMENDATIONS**

3.1 That Committee agree to support the following projects and remit to the Policy & Resources Committee to consider the use of the one off contingency as the funding source:

- Contribute £45,000 to the costs of the Waverley; and
- Contribute £28,000 for the illumination of Newark Castle.

Aubrey Fawcett

Corporate Director – Environment, Regeneration & Resources

## 4.0 BACKGROUND

- 4.1 The five Clyde Local Authorities have been asked to continue to support Waverley Excursions Ltd (WEL) for another 3 years – 2013, 2014 and 2015. Although supportive of WEL, Officers from the various Councils have concerns regarding the prospect that WEL would be self-supporting in the future. Previous payments made by our respective Councils were clearly on the basis that WEL would develop a long term sustainable business plan.
- 4.2 The importance of Paddle Steamer Waverley is recognised as an iconic piece of Scotland's history for the value she brings to local communities as well as being a great day out for residents and visitors to Scotland. WEL argue that they are essentially operating a museum piece, one which makes an economic and social contribution to our communities.
- 4.3 WEL has advised that its charitable organisation can no longer support the operating costs for Waverley from passenger revenue alone. In the last decade the company has overcome a number of challenges but there are two factors they have not been able to moderate which is legislation and fuel costs.
- 4.4 WEL would like to work in partnership with the strategies that Councils are implementing in respect of Community, Heritage, Marine & Coastal and Tourism.
- 4.5 Members should note that WEL's sustainability from a funding perspective remains uncertain and a significant amount of work is required to be undertaken by WEL's executives to confirm how achievable this is. Should it become apparent this is not achievable, Members will be advised accordingly.
- 4.6 Newark Castle, as a building of historic significance, contributes to the development of tourism in Inverclyde creating a more positive image and profile.
- 4.7 Inverclyde's Tourism Strategy 2009-2016 aims to maximise the potential that exists to develop the tourism product in the area as well as improve the quality and range of the tourism offering through innovation and product development.

## 5.0 FINANCE

### 5.1 Financial Implications – One off Costs

Cost Centre	Budget Heading	Budget Year	Proposed Spend this Report	Virement From	Other Comments
Reserves	N/A	2013/14	£28,000	N/A	Subject to P&R Committee approval
		2013/14	£20,000		
		2014/15	£15,000		
		2015/16	£10,000		

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

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

## 6.0 CONSULTATIONS

- 6.1 The Chief Financial Officer has been consulted on the contents of this report.

**INVERCLYDE COUNCIL  
POLICY AND RESOURCES COMMITTEE**

**AGENDA AND ALL PAPERS TO:**

Councillor MacLeod	1
Councillor McCabe	1
Councillor Wilson	1
Councillor McCormick	1
Provost Moran	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 Community Health & 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	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
Head of Legal & Democratic Services	1
Chief Financial Officer	2
Head of Property Assets & Facilities Management	1
Business/Democratic Services Manager	1
S Lang, Legal & Democratic Services	1
R McGhee, Legal & Democratic Services	1
Chief Internal Auditor	1
File Copy	1

**TOTAL 42**

**AGENDA AND ALL NON-CONFIDENTIAL PAPERS TO:**

Community Councils 10

**TOTAL 52**

**21/05/2012**