



Council Offices, Almada Street
Hamilton, ML3 0AA

Tuesday, 02 November 2021

Dear Councillor

Finance and Corporate Resources Committee

The Members listed below are requested to attend a meeting of the above Committee to be held as follows:-

Date: Wednesday, 10 November 2021
Time: 14:00
Venue: By Microsoft Teams,

The business to be considered at the meeting is listed overleaf.

Yours sincerely

Cleland Sneddon
Chief Executive

Members

Gladys Miller (Chair), Peter Craig (Depute Chair), Graeme Horne (Depute Chair), John Ross (ex officio), Alex Allison, John Anderson, Walter Brogan, Graeme Campbell, Maureen Devlin, Isobel Dorman, Joe Fagan, Grant Ferguson, Geri Gray, Ian Harrow, Eric Holford, Eileen Logan, Katy Loudon, Joe Lowe, Hugh Macdonald, Monique McAdams, Catherine McClymont, Mark McGeever, Jim McGuigan, Mo Razzaq, Jim Wardhaugh, Jared Wark

Substitutes

John Bradley, Robert Brown, Andy Carmichael, Poppy Corbett, Mary Donnelly, George Greenshields, Martin Lennon, Richard Lockhart, Davie McLachlan, Lynne Nailon, Richard Nelson, Collette Stevenson, Margaret B Walker, Josh Wilson

BUSINESS

1 Declaration of Interests

- 2 Minutes of Previous Meeting** 5 - 16
Minutes of the meeting of the Finance and Corporate Resources Committee held on 1 September 2021 submitted for approval as a correct record. (Copy attached)

Monitoring Item(s)

- 3 Revenue Budget Monitoring 2021/2022 - Finance and Corporate Resources** 17 - 28
Report dated 23 September 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 4 Capital Budget Monitoring 2021/2022 - Finance and Corporate Resources** 29 - 32
Report dated 20 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 5 Finance and Corporate Resources - Workforce Monitoring – July to August 2021** 33 - 40
Report dated 11 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 6 Council-wide Workforce Monitoring - July to August 2021** 41 - 62
Report dated 11 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 7 Treasury Management Activity - Second Quarter Review** 63 - 70
Report dated 1 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Item(s) for Decision

- 8 Common Good - Update** 71 - 74
Report dated 12 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 9 Revenue Collection and Approval for Write Offs** 75 - 80
Report dated 21 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 10 Community Asset Transfer** 81 - 86
Report dated 20 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 11 Consolidation of Service Delivery** 87 - 90
Report dated 2 November 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Item(s) for Noting

- 12 Live Streamed Meetings - Subtitles** 91 - 94
Report dated 14 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 13 Update of the Finance and Corporate Resources Risk Register and Risk Control Plan** 95 - 110
Report dated 6 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 14 Early Retirement Voluntary Severance and Switch 2** 111 - 116
Report dated 6 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 15 Safety at Sports Grounds – Re-issue of General Safety Certificate for the Foys Stadium** 117 - 120
Report dated 19 October 2021 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Urgent Business

- 16 Urgent Business**
Any other items of business which the Chair decides are urgent.

For further information, please contact:-

Clerk Name:	Carol Lyon
Clerk Telephone:	01698 455652
Clerk Email:	carol.lyon@southlanarkshire.gov.uk

FINANCE AND CORPORATE RESOURCES COMMITTEE

2

Minutes of meeting held via Microsoft Teams on 1 September 2021

Chair:

Councillor Gladys Miller

Councillors Present:

Councillor John Anderson, Councillor Walter Brogan, Councillor Maureen Devlin, Councillor Mary Donnelly (*substitute for Councillor Peter Craig*), Councillor Isobel Dorman, Councillor Joe Fagan, Councillor Eric Holford, Councillor Graeme Horne (Depute), Councillor Richard Lockhart (*substitute for Councillor Ian Harrow*), Councillor Eileen Logan, Councillor Hugh Macdonald, Councillor Monique McAdams, Councillor Catherine McClymont, Councillor Mark McGeever, Councillor Jim McGuigan, Councillor Mo Razzaq, Councillor Jim Wardhaugh, Councillor Jared Wark

Councillors' Apologies:

Councillor Alex Allison, Councillor Graeme Campbell, Councillor Peter Craig (Depute), Councillor Grant Ferguson, Councillor Geri Gray, Councillor Ian Harrow, Councillor Katy Loudon, Councillor Joe Lowe, Councillor John Ross

Attending:

Finance and Corporate Resources

P Manning, Executive Director; C Fergusson, Head of Finance (Transactions); T Little, Head of Communications and Strategy; C Lyon, Administration Officer; G McCann, Head of Administration and Legal Services; K McLeod, Administration Assistant; K McVeigh, Head of Personnel Services; J Taylor, Head of Finance (Strategy); B Teaz, Head of Information Technology

1 Declaration of Interests

Councillors Lockhart and McClymont advised that they might have to declare an interest in Item 14, Common Good Update, should there be detailed discussions regarding the funding request from Lanark Community Development Trust as they were both members of the Trust.

2 Minutes of Previous Meeting

The minutes of the meeting of the Finance and Corporate Resources Committee held on 2 June 2021 were submitted for approval as a correct record.

The Committee decided: that the minutes be approved as a correct record.

3 Minutes of Appeals Panel

The minutes of the meeting of the Appeals Panel held on 28 May 2021 were submitted for approval as a correct record.

The Committee decided: that the minutes be approved as a correct record.

4 Revenue Budget Monitoring 2020/2021 – Finance and Corporate Resources

A report dated 26 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted comparing actual expenditure for the period 1 April 2020 to 31 March 2021 against budgeted expenditure for 2020/2021 for Finance and Corporate Resources.

As at 31 March 2021, there was an overspend of £2.216 million before transfers to reserves, as detailed in Appendix 1 to the report. and an overspend of £5.652 million after transfer to reserves. This included the costs of COVID-19 for the Resource. Removing the costs of COVID-19 left an underspend of £0.046 million, which was in line with the probable outturn position of an overspend of £0.030 million.

The main factors contributing to the overspend on the Finance and Corporate Resources' revenue budget and proposed budget virements were detailed in the report.

The Resource position in relation to COVID-19 costs was detailed in Appendix B to the report

The total cost of COVID-19 for the Resource was £5.606 million. This included additional costs of £4.148 million, as detailed in Appendix 1 to the report, and was offset by a minor amount of Spend Not Made of £0.021 million.

On 10 February 2021, the Executive Committee, had approved transfers to reserves of £0.089 million to meet future commitments. As a further consequence of COVID-19 and the timing of income received from external parties, further transfers totalling £3.347 million had been approved by the Executive Committee on 23 June 2021. This took the total transfers to £3.436 million, as detailed in appendices B to I to the report.

Virements were proposed to realign budgets and those movements were detailed in the appendices to the report.

The Committee decided:

- (1) that the final outturn position as at 31 March 2021 of an overspend of £2.216 million, including COVID-19 costs, but before transfer to reserves, and an overspend of £5.652 million, after transfers to reserves, as detailed in Appendix A to the report, be noted;
- (2) that the final outturn position as at 31 March 2021 of an overspend of £0.046 million, excluding COVID-19 costs and after transfers to reserves, be noted; and
- (3) that the proposed budget virements, as detailed in appendices B to I to the report, be approved.

[Reference: Minutes of 2 June 2021 (Paragraph 5)]

Councillor Devlin joined the meeting during this item of business

5 Revenue Budget Monitoring 2021/2022 – Finance and Corporate Resources

A report dated 26 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted comparing actual expenditure for the period 1 April to 16 July 2021 against budgeted expenditure for 2021/2022 for Finance and Corporate Resources.

As at 16 July 2021, there was an overspend of £1.715 million against the phased budget. This included costs of COVID-19 of £1.666 million. Removing the impact of COVID-19, the Resource showed an overspend of £0.036 million.

Costs associated with COVID-19 were detailed in Appendix I to the report and related to COVID-19 Business Support Grants.

The forecast to 31 March 2022, excluding COVID-19 costs and loss of income, was a breakeven position.

Work continued to ensure the delivery of the Employability Programme which relied on a significant amount of external funding. However, a combination of the marketplace, the pandemic restrictions and the availability of suitable clients, indicated the potential for an impact on delivery timescales which might require some monies to be carried forward into the new financial year.

Virements were proposed to realign budgets and those movements were detailed in the appendices to the report.

The Committee decided:

- (1) that the overspend of £1.715 million, as detailed in Appendix A to the report, be noted;
- (2) that the forecast to 31 March 2022 of a breakeven position, excluding COVID-19 costs and loss of income, be noted; and
- (3) that the proposed budget virements, as detailed in the appendices to the report, be approved.

6 Capital Budget Monitoring 2020/2021 – Finance and Corporate Resources

A report dated 11 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted advising of progress on Finance and Corporate Resources' capital programme for 2020/2021 and summarising the expenditure position at 31 March 2021.

The budget for 2020/2021 was £3.282 million. Total expenditure to 31 March 2021 was £2.038 million, a difference of £1.244 million.

The final outturn position of £2.038 million was lower than the projected outturn of £2.605 million reported to this Committee on 2 June 2021. This was due to the impact of COVID-19 on the progression of a number of programmes and included some IT Infrastructure refresh projects where the budget was now required in 2021/2022 rather than 2020/2021.

The additional underspend at year-end totalled £0.567 million and was mainly due to revised timing of equipment orders and installation timing for the replacement of the Caird Data Centre project, along with availability of external funding in respect of the Climate Change/Digital Transformation Fund.

Any underspend on those projects, along with the funding, would carry forward into the new financial year as required.

Accounting regulations meant that adjustments were required to report spend correctly as either capital or revenue for the purpose of the Annual Accounts. £0.032 million of revenue funding required to be recorded as capital. This transfer meant that, for the purpose of publishing the Annual Accounts only, there was a capital spend of £2.070 million.

The Committee decided: that the Finance and Corporate Resources' capital programme of £3.282 million and expenditure for the year of £2.038 million be noted.

[Reference: Minutes of 2 June 2021 (Paragraph 6)]

7 Capital Budget Monitoring 2021/2022 – Finance and Corporate Resources

A report dated 11 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted advising of progress on Finance and Corporate Resources' capital programme for 2021/2022 and summarising the expenditure position at 16 July 2021.

The Finance and Corporate Resources' capital programme for 2021/2022 was £2.776 million. Anticipated spend to date was £0.440 million and spend to 16 July 2021 totalled £0.507 million. This represented a position of £0.067 million ahead of profile mainly due to good progress on the Caird Data Centre project.

The Committee decided: that the Finance and Corporate Resources' capital programme of £2.776 million and expenditure to date of £0.507 million be noted.

8 Finance and Corporate Resources – Workforce Monitoring – April to June 2021

A report dated 12 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the following employee information for Finance and Corporate Resources for the period April to June 2021:-

- ◆ attendance statistics
- ◆ occupational health statistics
- ◆ accident/incident statistics
- ◆ disciplinary hearings, grievances and Dignity at Work cases
- ◆ analysis of leavers and exit interviews
- ◆ staffing watch as at 13 March 2021

The Committee decided: that the report be noted.

[Reference: Minutes of 2 June 2021 (Paragraph 7)]

9 Council-wide Workforce Monitoring – April to June 2021

A report dated 12 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the following Council-wide employee information for the period April to June 2021:-

- ◆ attendance statistics
- ◆ occupational health statistics
- ◆ accident/incident statistics
- ◆ disciplinary hearings, grievances and Dignity at Work cases
- ◆ analysis of leavers and exit interviews
- ◆ recruitment monitoring
- ◆ staffing watch as at 13 March 2021

The Head of Personnel Services responded to members' questions on various aspects of the report.

Following discussion, it was agreed that the Head of Personnel Services would give consideration to refining the data presented to this Committee to provide a more accurate picture.

The Committee decided: that the report be noted.

[Reference: Minutes of 2 June 2021 (Paragraph 8)]

Councillor Macdonald left the meeting during this item of business

10 Treasury Management Activity – First Quarter Review

A report dated 22 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the first quarter review of Treasury Management activity for 2021/2022.

Details were given on:-

- | | |
|--|----------------------------------|
| ◆ market performance | ◆ management of risk |
| ◆ debt management and borrowing strategy | ◆ next quarter investment plans |
| ◆ investment activity | ◆ treasury management indicators |

The Committee decided: that the report be noted.

[Reference: Minutes of South Lanarkshire Council 10 March 2021 (Paragraph 6)]

11 Prudential Indicators, Treasury Management Activity and Annual Investment Report 2020/2021

A report dated 26 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ Treasury Management activity and Prudential Code Indicators for 2020/2021
- ◆ the proposed Annual Investment Report for 2020/2021

The Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice for Treasury Management required the Council to prepare an annual report on its Treasury Management activities. The CIPFA Prudential Code required councils to prepare a series of financial indicators that demonstrated affordability, prudence and sustainability with regard to capital financing decisions.

The Council's Capital Programme included, within its funding package, planned borrowing. The Prudential Code provided a framework to assist the management of the financial implications and helped to demonstrate that borrowing was both affordable and prudent.

The Council's Treasury Management Activity Report for 2020/2021 and the Treasury Management and Prudential Code Indicators for 2020/2021 were attached as appendices 1 and 2, respectively, to the report.

In terms of the Local Government Investments (Scotland) Regulations 2010, the Council was required to prepare an Annual Investment Strategy prior to the start of each financial year and an Annual Investment Report after the financial year end. Both documents required to be approved by the Council.

The Annual Investment Strategy for 2020/2021 had covered the following areas:-

- ◆ permitted investments
- ◆ risk management
- ◆ borrowing in advance

The Annual Investment Report, attached as Appendix 3 to the report, detailed the Council's activity in each of those 3 areas for 2020/2021 and Appendix 4 detailed the permitted investments that the Council had approved for the financial year 2020/2021.

No borrowing in advance was taken during 2020/2021.

The Committee decided:

- (1) that the Treasury Management Activity Report for 2020/2021 and the 2020/2021 Treasury Management and Prudential Code Indicators be noted and referred to the Executive Committee for noting; and
- (2) that the 2020/2021 Annual Investment Report be endorsed and referred to the Executive Committee prior to submission to the Council for formal approval in line with The Local Government Investments (Scotland) Regulations 2010.

12 Revenue Collection and Approval for Write-offs

A report dated 12 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ collection performance for the financial year 2021/2022 to 30 June 2021 on revenue income which comprised Council Tax, non-domestic rates, sundry debts and arrears
- ◆ performance in the Business Rates Incentivisation Scheme (BRIS)
- ◆ the write-off of irrecoverable Council Tax, Hamilton, Carlisle and Lanark Town Centre Business Improvement District (BID) levies, sundry debt, Housing Rent and associated charges and rent for homeless accommodation

Collection targets for the last financial year reflected the expected significant impact of the COVID-19 pandemic on household income. Council Tax Reduction (CTR) had been heavily promoted to ensure households were aware of potential entitlement to this reduction on their charge. No statutory recovery and sheriff officer activity had taken place between April and July 2020 for both the 2020/2021 financial year and arrears years.

Increases had now been applied for financial year 2021/2022 and arrears targets to reflect the increased levels of income expected to be collected as the impact of the pandemic receded. Promotion of CTR would continue to ensure maximum uptake.

Given the impact of COVID-19, the annual buoyancy targets for the Council in relation to 2020/2021 and 2021/2022 had still to be confirmed by the Scottish Government.

Performance against the BRIS target was closely monitored and reported to this Committee on a quarterly basis. Buoyancy for the first quarter, to the end of June 2021, had seen an increase of 0.09%.

It was proposed that the following debts be written off:-

- ◆ irrecoverable Council Tax accounts from 1993/1994 to 2021/2022 to the value of £500,149.81, relating primarily to prescribed debt, sequestrations and estates of the deceased
- ◆ irrecoverable Non-Domestic Rates from 2019/2020 to 2021/2022 to the value of £438,101.33, relating primarily to debtors in liquidation, had ceased trading or had been sequestrated
- ◆ write-off of Business Improvement District (BID) Levies of £6,615.40 administered by the Council on behalf of the Hamilton, Carlisle and Lanark BID companies

- ◆ sundry debts to a value of £116,269.71
- ◆ former tenant rent arrears totalling £256,687.80, factoring arrears of £7,817.63 and Housing Benefit overpayments totalling £64,760.09

The Committee decided:

- (1) that the Council's performance in the collection of revenues be noted;
- (2) that the Council's performance against the Business Rates Incentivisation Scheme target be noted; and
- (3) that the write-off of the following irrecoverable debts be approved:-
 - ◆ Council Tax debt from 1993/1994 to 2021/2022 to the value of £500,149.81
 - ◆ Non-Domestic Rates from 2019/2020 to 2021/2022 to the value of £438,101.33
 - ◆ Write-off of Business Improvement District (BID) Levies to the value of £6,615.40
 - ◆ sundry debts to a value of £116,269.71
 - ◆ housing rent and associated charges to the value of £329,265.52

[Reference: Minutes of 2 June 2021 (Paragraph 9)]

13 Oracle/HR/Finance Replacement

A report dated 10 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the options available for the replacement or upgrade of core HR/Finance systems.

The Council was moving towards a more transformational approach to service delivery which required change in the way it worked to ensure the best use of resources. A new modern system for HR and Finance to support the future needs of the whole Council was the next step to deliver transformational and cultural change across Resources.

The current Oracle E-Business Suite (EBS) system had been in place since 1999 and would no longer be supported after December 2023. A working group had been formed to consider the options available, direct activity and progress to a recommendation.

A summary of the options available, along with an appraisal of the options in terms of costs, benefits, contractual considerations and governance arrangements associated with the preferred option, were detailed in the report. Each option had been scored against the criteria used in the Transformational Review Framework, as detailed in Appendix 2 to the report.

Oracle Fusion was the preferred option and it was anticipated that cashable savings of £2.253 million, as outlined in Appendix 1 of the report, would be realised by 2024/2025. The project was expected to take around 15 to 18 months, with an expected go live date between January and March 2023. Funding sources identified to contribute towards the implementation and ongoing running costs of the system were detailed in Appendix 3 to the report.

Approval for the allocation of funding for this project would be included in the Capital Programme 2021/2022 Update report to be considered by the Executive Committee on 22 September 2021.

Information was provided on:-

- ◆ the proposed creation of a project team of 30 FTE to be added to the current establishment
- ◆ a procurement exercise to be undertaken for the appointment of a Systems Integration (SI) Partner to cover the implementation period

- ◆ a new contractual arrangement to be put in place with Oracle Fusion for an initial period of 5 years, with options for a 3- year extension in year 6 and a 2-year extension in year 9, giving a total contract period of up to 10 years

The Committee decided:

- (1) that the need to upgrade the current HR/Finance system be noted;
- (2) that the evaluation of the range of options be noted;
- (3) that the upgrade of HR/Finance systems to Oracle Fusion as the preferred option be noted;
- (4) that arrangements to secure the project team, as detailed in Section 8 of the report, be approved; and
- (5) that approval for the allocation of capital funding be sought at the Executive Committee meeting on 22 September 2021.

14 Common Good Update

A report dated 1 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ the Common Good final accounts for the year ended 31 March 2021
- ◆ the cyclical spend committed against the Common Good repairs and maintenance budgets for both Lanark and Hamilton
- ◆ projects committed from the Common Good budgets for Lanark, Hamilton and Biggar
- ◆ the funding request from Lanark Development Trust
- ◆ public consultations relating to the Common Good

The Common Good funds held within South Lanarkshire Council were Lanark, Biggar, Hamilton and Rutherglen. The Common Good accounts for 2020/2021 were detailed in Appendix 1 to the report and showed that, at the year end, the Common Good balance invested in the Council's Loan Fund was £0.841 million.

The Common Good accounts in Lanark and Hamilton held a number of properties. On 2 October 2013, this Committee had approved an annual cyclical maintenance plan of £15,000 for both Lanark and Hamilton Common Good properties.

The report provided an update in relation to the following:-

- ◆ current expenditure and commitments in relation to the Lanark and Hamilton Common Good repairs and maintenance budgets for 2021/2022
- ◆ projects currently committed from the Lanark, Hamilton and Biggar Common Good Funds
- ◆ a potential request from the Lanark Community Development Trust (LCDT) for a contribution towards a commemorative sculpture of a Clydesdale horse to be sited at Lanark Auction Market
- ◆ consultations under Section 104 of the Community Empowerment (Scotland) Act 2015 relating to the Common Good

The Head of Finance (Strategy) responded to members' questions on various aspects of the report.

The Committee decided:

- (1) that the accounts for Common Good for the year ended 31 March 2021 be noted;
- (2) that the cyclical spend committed against the Common Good repairs and maintenance budgets for Lanark and Hamilton be noted;
- (3) that the projects committed from the Lanark and Hamilton Common Good funds be noted;
- (4) that the potential request for funding from Lanark Community Development Trust from the Lanark Common Good fund, as detailed at Section 10 of the report, be noted; and
- (5) that details of consultations relating to Common Good be noted.

[Reference: Minutes of 2 June 2021 (Paragraph 10)]

15 Governance of Charitable Trust Funds – 2020/2021 Expenditure

A report dated 4 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on payments made to beneficiaries from the 64 Charitable Trust Funds administered by the Council which, at 1 April 2020, were valued at £1.184 million.

During 2020/2021, expenditure totalling £0.018 million had been distributed to beneficiaries of the Trust Funds and this expenditure was offset by income of £0.034 million from interest or dividends received from investments. In addition, funds of the Loudon Bequest, which were managed by Barclays Wealth, had been reinvested. This had resulted in a total closing balance on the Trust Funds, as at 31 March 2021, of £1.91 million.

Details of all active funds and payments made in 2020/2021, together with the balances of the funds as at 31 March 2021, were provided in Appendix 1 to the report.

On 25 April 2018, this Committee had approved a proposal to modernise the charitable trust funds and the Council's Legal Services had been working with the Office of the Scottish Charity Regulator (OSCR) to formally adopt trust deeds. OSCR had approved the establishment of the South Lanarkshire Charitable Trust on 16 December 2019 and the South Lanarkshire Education Trust on 17 December 2019.

Funds from the existing Trusts would now be transferred to the South Lanarkshire Charitable Trust and the South Lanarkshire Educational Trust. Work had commenced on the applications to OSCR for approval for a Charity Reorganisation Scheme. It was anticipated that the majority of the funds would transfer over in the next 3 to 4 months, however, this was dependent on OSCR timescales.

The Committee decided: that the report be noted.

[Reference: Minutes of 19 August 2020 (Paragraph 17)]

16 Annual Procurement Report 2020/2021

A report dated 12 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the Annual Procurement Report for 2020/2021.

The Procurement (Scotland) Reform Act 2014 required contracting authorities to prepare and publish an Annual Procurement Report on their regulated procurement activities. The Act stated that the Report must include information under the following headings:-

- ◆ regulated procurement activity
- ◆ regulated procurement strategy and compliance
- ◆ community benefits
- ◆ supported businesses
- ◆ future planning
- ◆ any other relevant information

A summary of procurement activity was provided in the report and the Council's Annual Procurement Report for 2020/2021 was attached as Appendix 1 to the report.

The Committee decided: that the Annual Procurement Report for 2020/2021 be noted.

[Reference: Minutes of 28 October 2020 (Paragraph 10)]

17 Finance and Corporate Resource Plan – Quarter 4 Progress Report 2020/2021

A report dated 22 July 2021 by the Executive Director (Finance and Corporate Resources) was submitted on the Finance and Corporate Resource Plan for 2020/2021.

Details were provided on:-

- ◆ progress made in implementing the priority projects identified in the Resource Plan 2020/2021, as detailed in the Quarter 4 Progress Report, attached as Appendix 1 to the report
- ◆ key achievements made by the Resource to date, as detailed in Section 4.3 of the report
- ◆ those measures which had changed in blue/red/amber/green status during the period from Quarter 2 to Quarter 4, as detailed in Appendix 2 to the report

A further analysis had been introduced to aid scrutiny of performance, which was to highlight and explain all measures that had changed in blue/red/amber/green (BRAG) status from Quarter 2 to Quarter 4. Measures with a 'report later' status would be followed up and reported to Committee in the 2021/2022 Quarter 2 progress report.

The Committee decided:

- (1) that the Quarter 4 Progress Report for 2020/2021, as summarised in paragraph 4.2 and detailed in Appendix 1 to the report, be noted;
- (2) that the key achievements made by the Resource to date, as detailed in paragraph 4.3 of the report, be noted; and
- (3) that the additional scrutiny of changes in the blue/red/amber/green (BRAG) status between Quarter 2 and Quarter 4, as summarised in paragraph 4.5 and detailed at Appendix 2 to the report, be noted.

[Reference: Minutes of 19 August 2020 (Paragraph 16)]

18 Safety at Sports Grounds – Issue of Special Safety Certificate – Foys Stadium

A report dated 3 August 2021 by the Executive Director (Finance and Corporate Resources) was submitted on action taken, in terms of Standing Order No 36(c) because of the timescales involved, by the Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, to approve the issue of a Special Safety Certificate for the West Stand, Hamilton Academical Football Club (HAFC) Stadium Limited, Foys Stadium, Cadzow Avenue, Hamilton for the purpose of holding a boxing event on 31 July 2021.

An application had been received from Hamilton Academical Football Club to hold a boxing event on 31 July 2021.

A site inspection had taken place on 31 July 2021 and representatives had been satisfied with arrangements for the event.

The Committee decided:

that the action taken, in terms of Standing Order No 36(c), by the Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, to approve the issue of a Special Safety Certificate for the West Stand, Hamilton Academical Football Club (HAFC) Stadium Limited, Foys Stadium, Cadzow Avenue, Hamilton for the purpose of holding a boxing event on 31 July 2021 be noted.

19 Urgent Business

There were no items of urgent business.

Report

3

Report to:	Finance and Corporate Resources Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Revenue Budget Monitoring 2021/2022 - Finance and Corporate Resources
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide information on the actual expenditure measured against the revenue budget for the period 1 April 2021 to 10 September 2021 for Finance and Corporate Resources

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the overspend of £6.332 million on the Finance and Corporate Resources' revenue budget, as detailed in Appendix A of the report, and the forecast to 31 March 2022 of breakeven, be noted; and
- (2) that the proposed budget virements be approved.

3. Background

- 3.1. This is the second revenue budget monitoring report presented to the Finance and Corporate Resources Committee for the financial year 2021/2022.
- 3.2. The report details the financial position for Finance and Corporate Resources on Appendix A, along with variance explanations in Appendices B-I where appropriate.
- 3.3. The Resource has incurred expenditure in relation to COVID-19, and in order to separate these costs from the Resource's normal activities, a separate Service has been included at Appendix I.

4. Employee Implications

4.1. None.

5. Financial Implications

- 5.1. As at 10 September 2021, there is an overspend of £6.332 million against the phased budget. This includes COVID-19 costs of £6.281 million as shown in Appendix I, as well as lost income of £0.020 million in Administration, Legal and Licensing. If you remove the impact of COVID-19 and lost income, the Resource is showing an overspend of £0.031 million as at 10 September 2021.
- 5.2. The budget included in Appendix I for COVID-19 relates to Scottish Government funding in relation to COVID-19 Business Support Grants.

- 5.3. The financial forecast for the revenue budget to 31 March 2022 is a breakeven position, excluding the COVID-19 costs and loss of income.
- 5.4. Virements are proposed to realign budgets. These movements have been detailed in the appendices to this report, as appropriate.

6. Climate Change, Sustainability and Environmental Implications

- 6.1. There are no implications for climate change, sustainability or the environment in terms of the information contained in this report.

7. Other Implications

- 7.1. The main risk associated with the Council's Revenue Budget is that there is an overspend. The risk has been assessed as low given the detailed budget management applied across the Resources. The risk is managed through four weekly Budget Monitoring Meetings at which any variance is analysed. In addition, the probable outturn exercise ensures early warning for corrective action to be taken where appropriate.

8. Equality Impact Assessment and Consultation Arrangements

- 8.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.
- 8.2. There is also no requirement to undertake any consultation in terms of the information contained in the report.

Paul Manning

Executive Director (Finance and Corporate Resources)

23 September 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Value: Accountable, Effective, Efficient and Transparent

Previous References

- ◆ Finance and Corporate Resources Committee, 1 September 2021

List of Background Papers

- ◆ Financial ledger and budget monitoring results to 10 September 2021

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Finance and Corporate Resources Summary

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21
	£000	£000	£000	£000	£000	£000		
<u>Budget Category</u>								
Employee Costs	31,730	31,730	0	13,674	14,089	(415)	over	(3.0%)
Property Costs	2,732	2,732	0	927	825	102	under	11.0%
Supplies & Services	7,559	7,559	0	5,303	10,955	(5,652)	over	(106.6%)
Transport & Plant	75	75	0	41	50	(9)	over	(22.0%)
Administration Costs	8,511	8,511	0	4,837	4,727	110	under	2.3%
Payments to Other Bodies	17,942	17,942	0	8,844	9,215	(371)	over	(4.2%)
Payments to Contractors	271	271	0	41	57	(16)	over	(39.0%)
Transfer Payments	68,542	68,542	0	27,131	25,777	1,354	under	5.0%
Financing Charges	643	643	0	334	644	(310)	over	(92.8%)
Total Controllable Exp.	138,005	138,005	0	61,132	66,339	(5,207)	over	(8.5%)
Total Controllable Inc.	(101,279)	(101,279)	0	(42,218)	(41,093)	(1,125)	under recovered	(2.7%)
Net Controllable Exp.	36,726	36,726	0	18,914	25,246	(6,332)	over	(33.5%)

Variance Explanations

Variance explanations are shown in Appendices B to I as appropriate.

Budget Virements

Budget virements are shown in Appendices B to I as appropriate.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Finance - Strategy Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	2,789	2,789	0	1,195	1,222	(27)	over	(2.3%)	1
Property Costs	0	0	0	0	0	0	-	n/a	
Supplies & Services	19	19	0	13	14	(1)	over	(7.7%)	
Transport & Plant	0	0	0	0	1	(1)	over	n/a	
Administration Costs	112	112	0	7	11	(4)	over	(57.1%)	
Payments to Other Bodies	516	516	0	174	174	0	-	0.0%	
Payments to Contractors	22	22	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	16	16	0	8	9	(1)	over	(12.5%)	
Total Controllable Exp.	3,474	3,474	0	1,397	1,431	(34)	over	(2.4%)	
Total Controllable Inc.	(1,597)	(1,597)	0	0	0	0	-	n/a	
Net Controllable Exp.	1,877	1,877	0	1,397	1,431	(34)	over	(2.4%)	

Variance Explanations**1. Employee Costs**

This overspend relates to lower than anticipated staff turnover across the Service to date.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Finance - Transactions Services

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	10,165	10,165	0	4,360	4,357	3	under	0.1%	
Property Costs	1,973	1,973	0	664	658	6	under	0.9%	
Supplies & Services	776	776	0	510	509	1	under	0.2%	a
Transport & Plant	8	8	0	2	3	(1)	over	(50.0%)	
Administration Costs	962	962	0	513	521	(8)	over	(1.6%)	
Payments to Other Bodies	1,516	1,516	0	825	825	0	-	0.0%	
Payments to Contractors	249	249	0	41	55	(14)	over	(34.1%)	
Transfer Payments	68,542	68,542	0	27,131	25,719	1,412	under	5.2%	1
Financing Charges	131	131	0	74	81	(7)	over	(9.5%)	a
Total Controllable Exp.	84,322	84,322	0	34,120	32,728	1,392	under	4.1%	
Total Controllable Inc.	(72,076)	(72,076)	0	(28,709)	(27,379)	(1,330)	under recovered	(4.6%)	2
Net Controllable Exp.	12,246	12,246	0	5,411	5,349	62	under	1.1%	

Variance Explanations**1. Transfer Payments**

This underspend reflects the impact of benefits at this point in the year (offset by under recovery in income below).

2. Income

The income under recovery relates mainly to Housing Benefit Subsidy Income (offset by underspend in Transfer Payments above), and, also under recoveries in Housing Benefit Overpayments, Statutory Additions and DWP Admin Subsidy.

Budget Virements

- a. Realignment of budget between Supplies & Services and Financing Charges to reflect service delivery: Net Effect £0.000m: Supplies & Services (£0.030m), Financing Charges £0.030m

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Audit Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	544	544	0	237	280	(43)	over	(18.1%)	1
Property Costs	0	0	0	0	0	0	-	n/a	
Supplies & Services	7	7	0	3	3	0	-	0.0%	
Transport & Plant	0	0	0	0	0	0	-	n/a	
Administration Costs	7	7	0	1	2	(1)	over	(100.0%)	
Payments to Other Bodies	0	0	0	0	1	(1)	over	n/a	
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	4	4	0	2	2	0	-	0.0%	
Total Controllable Exp.	562	562	0	243	288	(45)	over	(18.5%)	
Total Controllable Inc.	(238)	(238)	0	0	(47)	47	under	n/a	
Net Controllable Exp.	324	324	0	243	241	2	under	0.8%	

Variance Explanations**1. Employee Costs**

This overspend relates to lower than anticipated staff turnover across the Service to date.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Information Technology Services

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	4,966	4,966	0	2,135	2,196	(61)	over	(2.9%)	1,a
Property Costs	579	579	0	197	99	98	under	49.7%	2
Supplies & Services	5,259	5,259	0	3,864	3,952	(88)	over	(2.3%)	3,b
Transport & Plant	4	4	0	1	3	(2)	over	(200.0%)	
Administration Costs	1,727	1,727	0	1,110	1,117	(7)	over	(0.6%)	
Payments to Other Bodies	30	30	0	0	0	0	-	n/a	a
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	72	72	0	28	307	(279)	over	(996.4%)	4
Total Controllable Exp.	12,637	12,637	0	7,335	7,674	(339)	over	(4.6%)	
Total Controllable Inc.	(7,311)	(7,311)	0	(2,442)	(2,743)	301	over recovered	12.3%	5,b
Net Controllable Exp.	5,326	5,326	0	4,893	4,931	(38)	over	(0.8%)	

Variance Explanations

- Employee Costs**
This overspend relates to lower than anticipated staff turnover across the Service to date.
- Property Costs**
This underspend in electricity is due to reduced usage of the Caird Data Centre in advance of the planned moves.
- Supplies and Services**
The overspend reflects greater than anticipated licence and server support costs and is offset by an over recovery in income (see 5 below).
- Financing Charges**
The overspend reflects increased expenditure on leasing of IT equipment and is offset by an over recovery in income (see 5 below).
- Income**
The over recovery in income from recharges offsets the overspend noted in 3 and 4 above.

Budget Virements

- Transfer from Reserves to reflect service delivery. Net Effect £0.060m: Employee Costs £0.030m, PTOB £0.030m
- Realignment of expenditure and income budgets for Caird Data Centre. Net Effect £0.000m: Supplies & Services (£0.719m), Income £0.719m

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Personnel Services

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	6,925	6,925	0	2,978	2,998	(20)	over	(0.7%)	a,b
Property Costs	122	122	0	42	39	3	under	7.1%	
Supplies & Services	279	279	0	133	115	18	under	13.5%	
Transport & Plant	20	20	0	6	7	(1)	over	(16.7%)	
Administration Costs	967	967	0	449	415	34	under	7.6%	
Payments to Other Bodies	6,727	6,727	0	279	306	(27)	over	(9.7%)	b
Payments to Contractors	0	0	0	0	2	(2)	over	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	41	41	0	29	31	(2)	over	(6.9%)	b
Total Controllable Exp.	15,081	15,081	0	3,916	3,913	3	under	0.1%	
Total Controllable Inc.	(4,776)	(4,776)	0	(372)	(445)	73	over recovered	19.6%	1,b
Net Controllable Exp.	10,305	10,305	0	3,544	3,468	76	under	2.1%	

Variance Explanations**1. Income**

This over recovery reflects income from DWP for the Kickstart scheme and is partly offset by associated payments to employers.

Budget Virements

- Transfer of Staff to Community and Enterprise Resources. Net Effect (£0.045m): Employee Costs (£0.045m).
- Transfer of Community Participation and Empowerment Team to Communications and Strategy Service: Net Effect (£1.657m). Employee Costs (£0.736m), Payment to Other Bodies (£0.954m), Financing Charges (£0.001m) and Income £0.034m.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Administration, Legal and Licensing Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	3,878	3,878	0	1,686	1,747	(61)	over	(3.6%)	1
Property Costs	18	18	0	7	0	7	under	100.0%	
Supplies & Services	118	118	0	61	89	(28)	over	(45.9%)	
Transport & Plant	14	14	0	4	4	0	-	0.0%	
Administration Costs	2,225	2,225	0	982	947	35	under	3.6%	
Payments to Other Bodies	739	739	0	314	297	17	under	5.4%	a
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	33	33	0	15	34	(19)	over	(126.7%)	
Total Controllable Exp.	7,025	7,025	0	3,069	3,118	(49)	over	(1.6%)	
Total Controllable Inc.	(2,918)	(2,918)	0	(951)	(864)	(87)	under recovered	(9.1%)	2
Net Controllable Exp.	4,107	4,107	0	2,118	2,254	(136)	over	(6.4%)	

Variance Explanations**1. Employee Costs**

The overspend is mainly due to lower than anticipated staff turnover across the Service to date.

2. Income

The under recovery of income is mainly due to the current public health pandemic and under recoveries relating to private hire operators.

Budget Virements

- a. Transfer from Reserves for Community Area Grants. Net Effect £0.060m: Payment to Other Bodies £0.060m

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

Communications and Strategy Services

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	2,436	2,436	0	1,056	1,014	42	under	4.0%	a
Property Costs	40	40	0	17	17	0	-	0.0%	a
Supplies & Services	712	712	0	330	301	29	under	8.8%	a
Transport & Plant	29	29	0	28	29	(1)	over	(3.6%)	
Administration Costs	1,218	1,218	0	482	405	77	under	16.0%	1, a
Payments to Other Bodies	801	801	0	199	199	0	-	0.0%	a
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	346	346	0	178	179	(1)	over	(0.6%)	
Total Controllable Exp.	5,582	5,582	0	2,290	2,144	146	under	6.4%	
Total Controllable Inc.	(3,041)	(3,041)	0	(982)	(853)	(129)	under recovered	(13.1%)	2,a
Net Controllable Exp.	2,541	2,541	0	1,308	1,291	17	under	1.3%	

Variance Explanations**1. Administration Costs**

The underspend is due to lower cost of printing and advertising expenditure, offset by an under recovery in income (see 2 below).

2. Income

The under recovery is due to less than anticipated income from recharges to other Resources, offsetting an underspend in expenditure (see 1 above).

Budget Virements

- a. Transfer of Community Participation and Empowerment Team to Communications and Strategy Service: Net Effect £1.657m. Employee Costs £0.737m, Property Costs £0.040m, Supplies and Services £0.102m, Administration Costs £0.016m, Payment to Other Bodies £0.796m and Income (£0.034m)

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 10 September 2021 (No.6)

COVID - 19

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 10/09/21	Actual 10/09/21	Variance 10/09/21		% Variance 10/09/21	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	27	27	0	27	275	(248)	over	(918.5%)	1
Property Costs	0	0	0	0	12	(12)	over	n/a	
Supplies & Services	389	389	0	389	5,972	(5,583)	over	(1435.2%)	2
Transport & Plant	0	0	0	0	3	(3)	over	n/a	
Administration Costs	1,293	1,293	0	1,293	1,309	(16)	over	(1.2%)	
Payments to Other Bodies	7,613	7,613	0	7,053	7,413	(360)	over	(5.1%)	3
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	58	(58)	over	n/a	4
Financing Charges	0	0	0	0	1	(1)	over	n/a	
Total Controllable Exp.	9,322	9,322	0	8,762	15,043	(6,281)	over	(71.7%)	
Total Controllable Inc.	(9,322)	(9,322)	0	(8,762)	(8,762)	0	-	n/a	
Net Controllable Exp.	0	0	0	0	6,281	(6,281)	over	n/a	

Variance Explanations**1. Employee Costs**

The overspend relates to overtime and includes the cost of the Wellbeing helpline and also additional time required to process the Business Support Grants and other benefits, including Social Welfare Payments and Council Tax Reduction Scheme applications in relation to COVID-19.

2. Supplies and Services

The overspend relates mainly to Family Pandemic Payments, Free School Meals provided over the Easter period and £100 spring hardship payments.

3. Payments to Other Bodies

This overspend is payments made to support third sector organisations covered by the financial insecurities funding.

4. Transfer Payments

This overspend reflects the impact of benefits for individuals in homeless accommodation.

Report

4

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Capital Budget Monitoring 2021/2022 - Finance and Corporate Resources**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide information on the progress of the capital programme for Finance and Corporate Resources for the period 1 April 2021 to 10 September 2021

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the Finance and Corporate Resources capital programme of £3.176 million, and expenditure to date of £0.378 million, be noted.

3. Background

- 3.1. This is the second capital monitoring report presented to the Finance and Corporate Resources Committee for the financial year 2021/2022. Further reports will follow throughout the year.
- 3.2. As noted in the last report to this Committee (1 September 2021), the budget for Finance and Corporate Resources for financial year 2021/2022, including carry forward, was £2.776 million.
- 3.3. Since that meeting, the Executive Committee (3 November 2021) have agreed changes to the Finance and Corporate Resources Capital Programme totalling a net increase of £0.400 million. The details are shown in Appendix A. This takes the Finance and Corporate Resources programme for 2021/2022 to £3.176 million.
- 3.4. The report details the financial position for Finance and Corporate Resources in Appendix A.

4. 2021/2022 Capital Programme Update

- 4.1. As detailed in Section 3.3, the revised capital programme for Finance and Corporate Resources for 2021/2022 is £3.176 million. Anticipated spend to date was £0.484 million and spend to 10 September 2021 amounts to £0.378 million. This represents a position of £0.106 million behind profile and this mainly reflects the timing of spend on the Caird Data Centre project.

5. Employee Implications

- 5.1. There are no employee implications as a result of this report.

6. Financial Implications

- 6.1. The financial implications are detailed in section 4 of the report.

7. Climate Change, Sustainability and Environmental Implications

- 7.1. There are no implications for climate change, sustainability or the environment in terms of the information contained in this report.

8. Other Implications

- 8.1. The main risk associated with the Council's Capital Programme is that there is an overspend. The risk has been assessed as low given the detailed project management plans prepared and monitored for each project. The risk of overspend is managed through four weekly Investment Management Meetings.

9. Equality Impact Assessment and Consultation Arrangements

- 9.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.
- 8.2. There is also no requirement to undertake any consultation in terms of the information contained in the report.

Paul Manning

Executive Director (Finance and Corporate Resources)

20 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, Effective, Efficient and Transparent

Previous References

- ◆ Finance and Corporate Resources Committee, 1 September 2021
- ◆ Executive Committee, 3 November 2021

List of Background Papers

- ◆ Financial ledger to 10 September 2021

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:

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**South Lanarkshire Council
Capital Expenditure 2021-2022
Finance and Corporate Resources Programme
For Period 1 April 2021 – 10 September 2021**

<u>Finance and Corporate Resources</u>	Total Original Budget £000	Budget Adjustments £000	Slippage £000	Total Budget £000	Anticipated Spend £000	Actual Expenditure £000
Information Technology Services	2,776	400	-	3,176	484	378
TOTAL	2,776	400	-	3,176	484	378

For Information Only

Budget Adjustments presented to Executive Committee 3 November 2021:

Budget Adjustments

Audio Visual Upgrade - Council Chambers and Committee Room 1	£0.400m
Total Budget Adjustments	£0.400m

Report

5

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Finance and Corporate Resources - Workforce
Monitoring – July to August 2021**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide employment information for the period July to August 2021 relating to Finance and Corporate Resources

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

(1) that the following employment information for the period July to August 2021 relating to Finance and Corporate Resources be noted:-

- ◆ attendance statistics
- ◆ occupational health
- ◆ accident/incident statistics
- ◆ discipline, grievance and Dignity at Work cases
- ◆ analysis of leavers and exit interviews
- ◆ staffing watch as at 12 June 2021

3. Background

3.1. As part of the Council's performance management arrangements, regular workforce monitoring reports are submitted to Committee. This report for Finance and Corporate Resources provides information on the position for the period July to August 2021.

4. Monitoring Statistics

4.1. Attendance Statistics (Appendix 1)

Information on absence statistics is analysed for the month of August 2021 for Finance and Corporate Resources.

The Resource absence figure for August 2021 was 3.6%, which is an increase of 0.3% when compared to last month and is 1.1% lower than the Council-wide figure. Compared to August 2020, the Resource absence figure has increased by 1.6%.

Based on the absence figures at August 2021 and annual trends, the projected annual average absence for the Resource for 2021/2022 is 3.2%, compared to a Council-wide average figure of 4.8%.

For the financial year 2021/2022, the projected average days lost per employee equates to 7.6 days, compared with the overall figure for the Council of 10.8 days per employee.

The attendance information contained in this report includes absences as a result of Covid-19, and employees are being supported through this difficult time to maintain attendance levels where they can. As this report was being prepared, at 6 October 2021, the Council overall absence level was 6.26% with 1.18% of this relating to Covid-19 for sickness and special leave.

4.2. Occupational Health (Appendix 2)

In terms of referrals to occupational health, which include medical examinations and physiotherapy, 54 referrals were made this period, an increase of 30 when compared with the same period last year.

4.3. Accident/Incident Statistics (Appendix 2)

There were no accidents/incidents recorded within the Resource this period, which remains unchanged when compared with the same period last year.

4.4. Discipline, Grievance and Dignity at Work (Appendix 2)

There were no disciplinary hearings held within the Resource this period, which remains unchanged when compared with the same period last year. There were no grievances raised within the Resource this period, which remains unchanged when compared with the same period last year. There were no Dignity at Work complaints raised within the Resource this period, which remains unchanged when compared with the same period last year.

4.5. Analysis of Leavers (Appendix 2)

There were 6 leavers in the Resource this period who were eligible for an exit interview. This figure has increased by 4 when compared with the same period last year. Exit interviews were held with 33% of employees, compared with 100% for the same period last year.

4.6. When processing an employee termination, managers are asked to identify whether they intend to replace the employee who had left the Council. If they indicate that they do not intend to replace the employee, they are asked to select from four options:-

- ◆ plan to hold for savings
- ◆ fill on a fixed term basis pending savings
- ◆ transfer budget to another post
- ◆ end of fixed term contract

4.7. Appendix 2a provides a breakdown of vacant posts and whether these are being replaced or held for savings. In the period July to August 2021, 11 (9.76 FTE) employees in total left employment. Managers indicated that 10 posts (9.22 FTE) are being replaced and 1 post (0.54 FTE) was being held pending a service review.

5. Staffing Watch

5.1. There has been a decrease of 4 in the number of employees in post from 13 March 2021 to 12 June 2021.

6. Employee Implications

6.1. There are no implications for employees arising from the information presented in this report.

7. Financial Implications

7.1. All financial implications are accommodated within existing budgets.

8. Climate Change, Sustainability and Environmental Implications

- 8.1. There are no climate change, sustainability or environmental implications arising from the information presented in this report.

9. Other Implications

- 9.1. There are no implications for risk in terms of the information contained within this report.

10. Equality Impact Assessment and Consultation Arrangements

- 10.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.
- 10.2. There was no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

11 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent
- ◆ Fair, open and sustainable
- ◆ Ambitious, self aware and improving
- ◆ Excellent employer
- ◆ Focused on people and their needs
- ◆ Working with and respecting others

Previous References

- ◆ Finance and Corporate Resources – 1 September 2021

List of Background Papers

- ◆ Monitoring information provided by Finance and Corporate Resources.

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

Laurane Rhind, Personnel Services Manager

Ext: 4239 (Tel: 01698 454721)

E-mail: Laurane.Rhind@southlanarkshire.gov.uk

Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Finance and Corporate Resources

APT&C				Manual Workers				Resource Total				Council Wide				
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022	
April	3.5	3.5	2.6	April	7.1	8.5	0.0	April	3.6	3.6	2.6	April	4.0	4.4	4.3	
May	3.2	2.3	3.3	May	0.0	16.0	0.0	May	3.2	2.4	3.3	May	4.4	3.1	4.9	
June	3.3	1.9	3.5	June	0.5	7.4	0.0	June	3.2	1.9	3.5	June	4.4	2.7	4.7	
July	3.3	2.0	3.3	July	2.4	3.5	0.0	July	3.2	2.0	3.3	July	3.4	2.3	4.0	
August	3.6	1.8	3.6	August	5.9	12.1	0.0	August	3.6	2.0	3.6	August	3.7	3.1	4.7	
September	3.3	2.3		September	3.5	13.4		September	3.3	2.4		September	4.5	4.2		
October	3.7	3.2		October	3.6	10.2		October	3.7	3.3		October	4.6	4.8		
November	3.9	3.1		November	2.6	11.4		November	3.8	3.2		November	5.5	5.8		
December	4.6	2.7		December	1.3	11.4		December	4.5	2.8		December	5.7	5.6		
January	3.9	2.8		January	0.0	7.0		January	3.9	2.8		January	5.3	4.8		
February	4.1	3.5		February	7.6	0.0		February	4.1	3.5		February	5.6	4.8		
March	4.5	3.5		March	4.6	0.0		March	4.5	3.5		March	6.2	4.9		
Annual Average	3.7	2.7	3.1	Annual Average	3.3	8.4	4.5	Annual Average	3.7	2.8	3.2	Annual Average	4.8	4.2	4.8	
Average Apr-Aug	3.4	2.3	3.3	Average Apr-Aug	3.2	9.5	0.0	Average Apr-Aug	3.4	2.4	3.3	Average Apr-Aug	4.0	3.1	4.5	
No of Employees at 31 August 2021			952	No of Employees at 31 August 2021			0	No of Employees at 31 August 2021			952	No of Employees at 31 August 2021			16424	

For the financial year 2021/22, the projected average days lost per employee equates to 7.6 days.

Appendix 2		
FINANCE AND CORPORATE RESOURCES		
	Jul-Aug 2020	Jul-Aug 2021
MEDICAL EXAMINATIONS		
Number of Employees Attending	5	12
EMPLOYEE COUNSELLING SERVICE		
Total Number of Referrals	0	15
PHYSIOTHERAPY SERVICE		
Total Number of Referrals	6	10
REFERRALS TO EMPLOYEE SUPPORT OFFICER	13	17
REFERRALS TO COGNITIVE BEHAVIOUR THERAPY	0	0
TOTAL	24	54
CAUSE OF ACCIDENTS/INCIDENTS	Jul-Aug 2020	Jul-Aug 2021
Specified Injuries*	0	0
Over 7 day absences	0	0
Over 3 day absences**	0	0
Minor	0	0
Near Miss	0	0
Violent Incident: Physical****	0	0
Violent Incident: Verbal*****	0	0
Total Accidents/Incidents	0	0
*A Specified Injury is any fracture (other than to the fingers, thumbs or toes), amputation, loss of sight, serious burns, crushing injury, scalping, loss of consciousness caused by asphyxiation/ head injury, a chemical or hot metal burn to the eye or penetrating injury as defined by the HSE.		
**Over 3 day / over 7day absence is an injury sustained outwith specified injury category that results in a period of absence of absence as defined by the HSE.		
***Near Miss - Any unexpected, unplanned occurrence (except Dangerous Occurrences) that does not lead to injury of persons, damage to property, plant or equipment but may have done so in different circumstance.		
****Physical violent incidents are included in the "Specified" figures, where applicable, to provide the "Total Specified" figures.		
****Physical violent incidents and ***** Verbal Violent Incidents are included in the "Over 3-day or Over 7-day" figures, where applicable, to provide the "Total Over 3-day or Over 7-day" figures.		
*****Physical Violent Incidents and ***** Verbal Violent Incidents are included in the "Minor" figures, where applicable, to provide the "Total Minor" figures.		
RECORD OF DISCIPLINARY HEARINGS	Jul-Aug 2020	Jul-Aug 2021
Total Number of Hearings	0	0
Total Number of Appeals	0	0
Appeals Pending	0	0
Time Taken to Convene Hearing Apr - Jun 2021		
0-3 Weeks	4-6 Weeks	Over 6 Weeks
0	0	0
RECORD OF GRIEVANCE HEARINGS	Jul-Aug 2020	Jul-Aug 2021
Number of Grievances	0	0
Number Resolved at Stage 1	0	0
Number Resolved at Stage 2	0	0
Number Resolved at Stage 3	0	0
Still in Progress	0	0
RECORD OF DIGNITY AT WORK	Jul-Aug 2020	Jul-Aug 2021
Number of Incidents	0	0
Number Resolved at Informal Stage	0	0
Number Resolved at Formal Stage	0	0
Number of Appeals	0	0
Appeals in Process	0	0
Still in Process	0	0
ANALYSIS OF REASONS FOR LEAVING	Jul-Aug 2020	Jul-Aug 2021
Career Advancement	0	1
Poor Relationship with Manager/Colleagues	0	0
Moving Outwith Area	0	0
Personal Reasons	1	0
Travelling Difficulties	0	0
Further Education	0	0
Childcare/caring responsibilities	0	0
Dissatisfaction With Terms and Conditions	0	0
Other	1	1
Number of Exit Interviews conducted	2	2
Total Number of Leavers Eligible for Exit Interview	2	6
Percentage of interviews conducted	100%	33%

Reason	Jul-Aug 2021		Cumulative total	
	FTE	H/C	FTE	H/C
Terminations/Leavers	9.76	11	24.19	29
Being replaced	9.22	10	20.25	24
Filling on a temporary basis	0.00	0	0.00	0
Plan to transfer this budget to another post	0.00	0	0.00	0
End of fixed term contract	0.00	0	0.00	0
Held pending service Review	0.54	1	1.14	2
Plan to remove for savings	0.00	0	2.80	3

JOINT STAFFING WATCH RETURN
FINANCE AND CORPORATE RESOURCES

As at 12 June 2021

Total Number of Employees

MALE		FEMALE		TOTAL
F/T	P/T	F/T	P/T	
204	13	365	284	866

*Full - Time Equivalent No of Employees

Salary Bands

Director	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Fixed SCP	Teacher	TOTAL
2.00	121.76	337.32	223.28	54.74	25.30	6.00	1.00	0.00	771.4

As at 13 March 2021

Total Number of Employees

MALE		FEMALE		TOTAL
F/T	P/T	F/T	P/T	
200	16	349	305	870

*Full - Time Equivalent No of Employees

Salary Bands

Director	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Fixed SCP	Teacher	TOTAL
2.00	112.37	338.88	227.40	55.54	25.30	6.00	1.00	0.00	768.49

Report

6

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Council-wide Workforce Monitoring – July - August 2021**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide employment information relating to the Council for the period July to August 2021

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

(1) that the following employment information for the period July to August 2021 relating to the Council be noted:-

- ◆ attendance statistics
- ◆ occupational health
- ◆ accident/incident statistics
- ◆ discipline, grievance and Dignity at Work cases
- ◆ analysis of leavers and exit interviews
- ◆ recruitment monitoring
- ◆ staffing watch as at 12 June 2021

3. Background

3.1. As part of the Council's performance management arrangements, regular workforce monitoring reports are submitted to the Committee. This report for the Council provides information on the position for the period July to August 2021.

4. Attendance Statistics

4.1. Information on absence statistics for the Council and each Resource, as analysed for August 2021, is provided in Appendices 1 to 8. Points to note are:-

The Council's absence rate for August 2021, shown in Appendix 1, is 4.7%, which represents an increase of 0.7% when compared with last month and the figure has increased by 1.6% when compared to August 2020.

When compared to August 2020, the APT&C absence rate has increased by 1.7%, the teachers' figure has increased by 0.8% and the manual workers' figure has increased by 2.2%.

Based on annual trends and the absence rate to August 2021, the projected average absence rate for the Council for the financial year 2021/2022 is 4.8%.

For the financial year 2021/2022, the projected average days lost per employee equates to 10.8 days.

In comparison to August 2020 (Appendix 8):-

- ◆ Psychological and musculoskeletal conditions are the main reasons for absence.
- ◆ Total days lost due to psychological conditions have increased by 1314 days.
- ◆ Total days lost due to musculoskeletal conditions have increased by 120 days.
- ◆ Total days lost due to respiratory conditions have increased by 1856 days.
- ◆ Total days lost due to stomach, bowel, blood and metabolic disorders have increased by 520 days.

Managers follow the procedures outlined in the Maximising Attendance Policy to support employees to remain at work, or to return to work after a sickness absence. There are comprehensive employee supports in place and additionally, Personnel Services work in close partnership with line managers and Resource Management Teams on a case management basis to ensure that appropriate actions are taken.

The attendance information contained in this report includes absences as a result of Covid-19, and employees are being supported through this difficult time to maintain attendance levels where they can. At the time of this report, the Council overall absence level was 6.26% with 1.18% of this relating to Covid-19 for sickness and special leave.

5. Occupational Health

5.1. Information on Occupational Health for the period July to August 2021 is provided in Appendix 9.

- ◆ during the period there were 265 employees referred for a medical examination, an increase of 57 when compared to the same period last year. Both musculoskeletal and psychological conditions continue to be the main reason for medical referrals.
- ◆ a total of 239 employees attended physiotherapy treatment, showing an increase of 53 when compared to the same period last year. Of the 239 employees referred, 37% remained at work whilst undertaking treatment.
- ◆ during this period 248 employees were referred to the Employee Support Officer, showing an increase of 71 when compared with the same period last year. Of the referrals made this period, 88% related to personal reasons.
- ◆ 74 employees were referred to the PAM Assist counselling service this period, showing an increase of 5 when compared with the same period last year. All of the referrals made this period were from management and none were made directly by employees. Personal reasons accounted for 64% of the referrals made, 20% were for work related reasons and 16% were for other reasons.
- ◆ 6 employees were referred for Cognitive Behavioural Therapy this period, this figure has decreased by 18 when compared to the same period last year.

6. Accidents/Incidents

6.1. The accident/incident report for July to August 2021 is contained in Appendix 10.

- ◆ the number of accidents/incidents recorded was 74, this figure has decreased by 2 from the same period last year.
- ◆ there were no specified injuries recorded, this figure remains unchanged from the same period last year.
- ◆ there were 70 minor accidents/incidents, this figure has increased by 1 from the same period last year.

- ◆ there was 1 accident resulting in an absence lasting over 3 days during the period, this figure has decreased by 1 from the same period last year.
- ◆ there were 3 accidents resulting in an absence lasting over 7 days during the period, this figure has decreased by 2 from the same period last year.

7. Discipline, Grievance, Dignity at Work Hearings and Mediation Referrals

7.1. Information on Disciplinary, Grievance Hearings, Dignity at Work and Mediation Referrals for July to August 2021 is contained in Appendices 11, 12a and 12b.

- ◆ in total, 19 disciplinary hearings were held across Resources within the Council, an increase of 13 when compared to the same period last year.
- ◆ action was taken in 18 of these cases. No appeals were raised.
- ◆ our target is to convene disciplinary hearings within 6 weeks, 58% of hearings met this target.
- ◆ during the period, no appeals were heard by the Appeals Panel.
- ◆ at the end of August 2021, no Appeals Panels were pending.
- ◆ during the period, no grievance cases were raised.
- ◆ during the period, no Dignity at Work cases were raised.
- ◆ during the period, no referrals for mediation were submitted.

8. Analysis of Leavers and Exit Interviews

8.1. Information on the number of leavers and exit interviews for the period July to August is contained in Appendix 13. Exit interviews are conducted with employees who leave voluntarily.

Labour Turnover

Using information compiled from Resources and Staffing Watch information as at 12 June 2021, the Council's turnover figure for July to August 2021 is as follows:-

159 leavers eligible for exit interviews/15,134 employees in post = Labour Turnover of 1.1%.

Based on the figure at August 2021, the projected annual labour turnover figure for the financial year 2021/2022 for the Council is 4.7%.

8.2. Analysis of Leavers and Exit Interviews

- ◆ there were a total of 159 employees leaving the Council that were eligible for an exit interview, an increase of 79 when compared with the same period last year.
- ◆ exit interviews were held with 28% of leavers, which is an increase of 2% when compared with the same period last year.

8.3. When processing an employee termination, managers are asked to identify whether they intend to replace the employee who had left the Council. If they indicate that they do not intend to replace the employee, they are asked to select from four options:-

- ◆ plan to hold for savings
- ◆ fill on a fixed term basis pending savings
- ◆ transfer budget to another post
- ◆ end of fixed term contract

- 8.4. Appendix 13a provides information relating to vacant posts and whether these are being replaced or held for savings. From July to August 2021 382 (283.48 FTE) employees left employment. Managers indicated that 373 (277.38 FTE) would be replaced, 4 posts (2.88 FTE) were being filled on a temporary basis, 3 posts (2.00 FTE) were due to the end of fixed term contracts, 1 post (0.54 FTE) is being left vacant pending savings/ service review and 1 post (0.68 FTE) is being removed for savings.

9. Recruitment Monitoring

- 9.1. Information on Recruitment Monitoring for July to August 2021 is contained within Appendix 14.

From an analysis of Equal Opportunities Monitoring Forms, the main points to note are:-

- ◆ overall, 2,276 applications and 2,253 completed Equal Opportunities Monitoring Forms were received
- ◆ of the 97 applicants who declared themselves as disabled, 51 were shortlisted for interview and 11 were appointed. Of those interviewed, 21.6% were appointed
- ◆ of the 71 applicants of a black/ethnic minority background, 19 were shortlisted for interview and 3 were appointed. Of those interviewed, 15.8% were appointed
- ◆ Of the 23 applicants who declared themselves as veterans, 9 were shortlisted for interview and none were appointed.

10. Staffing Watch

- 10.1. There has been an increase of 240 in the number of employees in post from 13 March 2021 to 12 June 2021. Details of the staffing watch are contained in Appendix 15.

11. Employee Implications

- 11.1. There are no implications for employees arising from the information presented in this report.

12. Financial Implications

- 12.1. All financial implications are accommodated within existing budgets.

13. Climate Change, Sustainability and Environmental Implications

- 13.1. There are no climate change, sustainability or environmental implications arising from the information presented in this report.

14. Other Implications

- 14.1. There are no implications for risk in terms of the information contained within this report.

15. Equality Impact Assessment and Consultation Arrangements

- 15.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.

- 15.2. There was no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning
Executive Director (Finance and Corporate Resources)

11 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent
- ◆ Fair, open and sustainable
- ◆ Ambitious, self aware and improving
- ◆ Excellent employer
- ◆ Focused on people and their needs
- ◆ Working with and respecting others

Previous References

- ◆ Finance and Corporate Resources Committee – 1 September 2021

List of Background Papers

- ◆ Monitoring information provided by Resources

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

Laurane Rhind, Personnel Services Manager

Ext: 4721 (Tel: 01698 454721)

E-mail: Laurane.Rhind@southlanarkshire.gov.uk

**Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Council Wide**

APT&C				Teachers				Manual Workers				Council Wide							
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022				
	%	%	%		%	%	%		%	%	%		%	%	%				
April	4.0	4.2	4.1	April	2.9	2.9	2.5	April	5.2	6.0	6.2	April	4.0	4.4	4.3				
May	4.4	2.9	4.7	May	3.2	1.4	3.2	May	5.6	4.9	6.7	May	4.4	3.1	4.9				
June	4.4	2.5	4.4	June	2.7	0.9	2.6	June	5.7	4.5	7.0	June	4.4	2.7	4.7				
July	3.5	2.2	4.1	July	1.2	0.5	1.1	July	5.1	4.0	6.3	July	3.4	2.3	4.0				
August	3.9	2.9	4.6	August	1.3	1.2	2.0	August	5.5	5.1	7.3	August	3.7	3.1	4.7				
September	4.5	4.1		September	2.5	2.7		September	6.1	5.8		September	4.5	4.2					
October	4.7	4.7		October	2.6	3.2		October	6.1	6.4		October	4.6	4.8					
November	5.7	5.6		November	3.8	4.6		November	6.6	7.3		November	5.5	5.8					
December	5.7	5.3		December	3.8	4.7		December	7.2	6.9		December	5.7	5.6					
January	5.2	4.5		January	3.4	2.7		January	7.1	7.2		January	5.3	4.8					
February	5.6	4.3		February	3.8	2.5		February	7.3	7.4		February	5.6	4.8					
March	6.2	4.6		March	4.8	2.9		March	7.3	7.2		March	6.2	4.9					
Annual Average	4.8	4.0	4.6	Annual Average	3.0	2.5	2.9	Annual Average	6.2	6.1	6.8	Annual Average	4.8	4.2	4.8				
Average Apr-Aug	4.0	2.9	4.4	Average Apr-Aug	2.3	1.4	2.3	Average Apr-Aug	5.4	4.9	6.7	Average Apr-Aug	4.0	3.1	4.5				
No of Employees at 31 August 2021				7538	No of Employees at 31 August 2021				4200	No of Employees at 31 August 2021				4686	No of Employees at 31 August 2021				16424

For the financial year 2021/22, the projected average days lost per employee equates to 10.8 days.

**Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Community and Enterprise Resources**

APT&C				Manual Workers				Resource Total				Council Wide				
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022	
April	4.0	3.1	2.3	April	4.4	5.3	5.7	April	4.3	5.0	5.2	April	4.0	4.4	4.3	
May	3.6	2.4	2.7	May	5.1	4.3	6.4	May	4.9	4.0	5.9	May	4.4	3.1	4.9	
June	3.9	1.6	2.8	June	5.5	4.0	6.6	June	5.3	3.6	6.0	June	4.4	2.7	4.7	
July	3.9	1.8	2.9	July	4.3	3.6	5.3	July	4.3	3.4	4.9	July	3.4	2.3	4.0	
August	4.0	1.7	2.9	August	5.1	4.9	6.4	August	4.9	4.4	5.9	August	3.7	3.1	4.7	
September	2.9	1.6		September	5.9	5.8		September	5.4	5.1		September	4.5	4.2		
October	3.4	3.1		October	5.9	6.3		October	5.5	5.8		October	4.6	4.8		
November	4.8	3.6		November	6.6	7.1		November	6.4	6.6		November	5.5	5.8		
December	5.4	3.1		December	7.0	6.4		December	6.8	5.9		December	5.7	5.6		
January	4.1	3.4		January	6.6	6.0		January	6.2	5.6		January	5.3	4.8		
February	3.8	2.8		February	7.1	6.5		February	6.6	5.9		February	5.6	4.8		
March	4.5	2.6		March	7.1	6.8		March	6.7	6.2		March	6.2	4.9		
Annual Average	4.0	2.6	2.8	Annual Average	5.9	5.6	6.3	Annual Average	5.6	5.1	5.8	Annual Average	4.8	4.2	4.8	
Average Apr-Aug	3.9	2.1	2.7	Average Apr-Aug	4.9	4.4	6.1	Average Apr-Aug	4.7	4.1	5.6	Average Apr-Aug	4.0	3.1	4.5	
No of Employees at 31 August 2021			550	No of Employees at 31 August 2021			3028	No of Employees at 31 August 2021			3578	No of Employees at 31 August 2021			16424	

For the financial year 2021/22, the projected average days lost per employee equates to 14.0 days.

**Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Education Resources**

APT&C				Teachers				Resource Total				Council Wide				
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022	
April	3.5	3.9	4.8	April	2.9	2.9	2.5	April	3.2	3.3	3.5	April	4.0	4.4	4.3	
May	4.2	2.2	5.7	May	3.2	1.4	3.2	May	3.6	1.8	4.4	May	4.4	3.1	4.9	
June	3.8	1.8	4.7	June	2.7	0.9	2.6	June	3.2	1.3	3.5	June	4.4	2.7	4.7	
July	2.4	1.3	3.4	July	1.2	0.5	1.1	July	1.7	0.9	2.1	July	3.4	2.3	4.0	
August	2.8	2.7	3.8	August	1.3	1.2	2.0	August	2.0	1.8	2.8	August	3.7	3.1	4.7	
September	4.3	4.8		September	2.5	2.7		September	3.3	3.6		September	4.5	4.2		
October	4.5	5.4		October	2.6	3.2		October	3.5	4.1		October	4.6	4.8		
November	5.8	6.6		November	3.8	4.6		November	4.7	5.5		November	5.5	5.8		
December	5.5	6.5		December	3.8	4.7		December	4.6	5.5		December	5.7	5.6		
January	5.1	4.8		January	3.4	2.7		January	4.2	3.6		January	5.3	4.8		
February	5.7	4.7		February	3.8	2.5		February	4.6	3.5		February	5.6	4.8		
March	7.1	5.6		March	4.8	2.9		March	5.8	4.1		March	6.2	4.9		
Annual Average	4.6	4.2	5.1	Annual Average	3.0	2.5	2.9	Annual Average	3.7	3.3	3.9	Annual Average	4.8	4.2	4.8	
Average Apr-Aug	3.3	2.4	4.5	Average Apr-Aug	2.3	1.4	2.3	Average Apr-Aug	2.7	1.8	3.3	Average Apr-Aug	4.0	3.1	4.5	
No of Employees at 31 August 2021			3309	No of Employees at 31 August 2021			4200	No of Employees at 31 August 2021			7509	No of Employees at 31 August 2021			16424	

For the financial year 2021/22, the projected average days lost per employee equates to 7.9 days.

Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Finance and Corporate Resources

APT&C				Manual Workers				Resource Total				Council Wide				
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022	
April	3.5	3.5	2.6	April	7.1	8.5	0.0	April	3.6	3.6	2.6	April	4.0	4.4	4.3	
May	3.2	2.3	3.3	May	0.0	16.0	0.0	May	3.2	2.4	3.3	May	4.4	3.1	4.9	
June	3.3	1.9	3.5	June	0.5	7.4	0.0	June	3.2	1.9	3.5	June	4.4	2.7	4.7	
July	3.3	2.0	3.3	July	2.4	3.5	0.0	July	3.2	2.0	3.3	July	3.4	2.3	4.0	
August	3.6	1.8	3.6	August	5.9	12.1	0.0	August	3.6	2.0	3.6	August	3.7	3.1	4.7	
September	3.3	2.3		September	3.5	13.4		September	3.3	2.4		September	4.5	4.2		
October	3.7	3.2		October	3.6	10.2		October	3.7	3.3		October	4.6	4.8		
November	3.9	3.1		November	2.6	11.4		November	3.8	3.2		November	5.5	5.8		
December	4.6	2.7		December	1.3	11.4		December	4.5	2.8		December	5.7	5.6		
January	3.9	2.8		January	0.0	7.0		January	3.9	2.8		January	5.3	4.8		
February	4.1	3.5		February	7.6	0.0		February	4.1	3.5		February	5.6	4.8		
March	4.5	3.5		March	4.6	0.0		March	4.5	3.5		March	6.2	4.9		
Annual Average	3.7	2.7	3.1	Annual Average	3.3	8.4	4.5	Annual Average	3.7	2.8	3.2	Annual Average	4.8	4.2	4.8	
Average Apr-Aug	3.4	2.3	3.3	Average Apr-Aug	3.2	9.5	0.0	Average Apr-Aug	3.4	2.4	3.3	Average Apr-Aug	4.0	3.1	4.5	
No of Employees at 31 August 2021			952	No of Employees at 31 August 2021			0	No of Employees at 31 August 2021			952	No of Employees at 31 August 2021			16424	

For the financial year 2021/22, the projected average days lost per employee equates to 7.6 days.

**Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Housing & Technical Resources**

APT&C				Manual Workers				Resource Total				Council Wide							
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022				
April	3.9	4.1	3.2	April	6.7	3.5	3.6	April	5.0	3.8	3.3	April	4.0	4.4	4.3				
May	4.2	2.8	2.9	May	5.1	2.0	4.2	May	4.5	2.5	3.4	May	4.4	3.1	4.9				
June	4.8	3.2	3.5	June	5.0	2.0	6.2	June	4.9	2.7	4.6	June	4.4	2.7	4.7				
July	4.1	2.7	4.0	July	5.4	2.7	5.7	July	4.6	2.7	4.7	July	3.4	2.3	4.0				
August	4.0	2.5	4.9	August	5.7	3.4	7.9	August	4.7	2.8	6.2	August	3.7	3.1	4.7				
September	4.4	2.1		September	5.8	3.3		September	5.0	2.6		September	4.5	4.2					
October	4.3	2.9		October	6.6	3.9		October	5.2	3.3		October	4.6	4.8					
November	5.5	3.7		November	6.1	5.6		November	5.7	4.5		November	5.5	5.8					
December	5.2	3.3		December	6.3	4.8		December	5.6	3.9		December	5.7	5.6					
January	5.8	3.5		January	5.9	4.4		January	5.8	3.9		January	5.3	4.8					
February	5.8	3.2		February	5.7	4.7		February	5.8	3.8		February	5.6	4.8					
March	5.1	3.1		March	6.5	4.5		March	5.7	3.6		March	6.2	4.9					
Annual Average	4.8	3.1	3.4	Annual Average	5.9	3.7	4.9	Annual Average	5.2	3.3	4.0	Annual Average	4.8	4.2	4.8				
Average Apr-Aug	4.2	3.1	3.7	Average Apr-Aug	5.6	2.7	5.5	Average Apr-Aug	4.7	2.9	4.4	Average Apr-Aug	4.0	3.1	4.5				
No of Employees at 31 August 2021				883	No of Employees at 31 August 2021				584	No of Employees at 31 August 2021				1467	No of Employees at 31 August 2021				16424

For the financial year 2021/22, the projected average days lost per employee equates to 10.8 days.

**Absence Trends - 2019/2020, 2020/2021 & 2021/2022
Social Work Resources**

APT&C				Manual Workers				Resource Total				Council Wide			
	2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022		2019 / 2020	2020 / 2021	2021 / 2022
April	5.0	5.5	4.5	April	6.9	10.2	9.6	April	5.6	7.1	6.2	April	4.0	4.4	4.3
May	5.6	4.4	5.0	May	7.7	8.1	9.3	May	6.3	5.7	6.5	May	4.4	3.1	4.9
June	5.8	3.9	3.9	June	6.9	7.6	7.6	June	6.2	5.2	5.2	June	4.4	2.7	4.7
July	5.1	3.7	6.1	July	7.7	6.3	10.3	July	5.9	4.6	7.5	July	3.4	2.3	4.0
August	5.9	4.4	7.3	August	6.7	6.7	10.2	August	6.2	5.2	8.2	August	3.7	3.1	4.7
September	6.2	5.4		September	6.8	7.5		September	6.4	6.1		September	4.5	4.2	
October	6.1	5.9		October	6.5	8.2		October	6.2	6.7		October	4.6	4.8	
November	6.8	6.6		November	6.8	8.9		November	6.8	7.4		November	5.5	5.8	
December	6.9	6.5		December	8.7	10.3		December	7.5	7.7		December	5.7	5.6	
January	6.2	5.8		January	9.5	13.1		January	7.3	8.3		January	5.3	4.8	
February	6.8	5.1		February	8.8	12.6		February	7.5	7.6		February	5.6	4.8	
March	6.8	4.6		March	8.5	10.6		March	7.4	6.6		March	6.2	4.9	
Annual Average	6.1	5.2	5.6	Annual Average	7.6	9.2	9.9	Annual Average	6.6	6.5	7.0	Annual Average	4.8	4.2	4.8
Average Apr-Aug	5.5	4.4	5.4	Average Apr-Aug	7.2	7.8	9.4	Average Apr-Aug	6.0	5.6	6.7	Average Apr-Aug	4.0	3.1	4.5

No of Employees at 31 August 2021			1844	No of Employees at 31 August 2021			1074	No of Employees at 31 August 2021			2926	No of Employees at 31 August 2021			16424
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For the financial year 2021/22, the projected average days lost per employee equates to 15.3 days.

Absence by long and short term

From: 1 June - 31 August 2021

Resource	No of employees	June 2021			July 2021			August 2021		
		Total Short Term %	Total Long Term %	Resource Total Absence %	Total Short Term %	Total Long Term %	Resource Total Absence %	Total Short Term %	Total Long Term %	Resource Total Absence %
Community and Enterprise	3578	1.8	4.2	6.0	1.3	3.6	4.9	2.6	3.3	5.9
Education	7509	1.1	2.4	3.5	0.2	1.9	2.1	1.3	1.5	2.8
Finance and Corporate	952	1.2	2.3	3.5	0.9	2.4	3.3	1.3	2.3	3.6
Housing & Technical	1467	1.9	2.7	4.6	1.8	2.9	4.7	2.5	3.7	6.2
Social Work	2918	1.6	4.9	6.5	2.0	5.5	7.5	2.0	6.2	8.2
Council Overall for June - August 2021	16424	1.4	3.3	4.7	1.0	3.0	4.0	1.8	2.9	4.7

**Attendance Monitoring
Absence Classification**

From : 1 August - 31 August 2021

Reasons	Community and Enterprise Resources		Education Resources		Finance and Corporate		Housing and Technical Resources		Social Work Resources		Total WDL By Reason	Percentage
	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%		
Musculoskeletal	1189	27	707	17	73	11	509	28	1106	25	3584	23
Psychological	1226	28	1085	26	279	42	489	26	1562	35	4641	30
Stomach, Bowel, Blood, Metabolic Disorders	312	7	452	11	56	9	106	6	408	9	1334	9
Respiratory	888	20	827	20	115	17	342	18	503	11	2675	17
Other Classification	817	18	1044	25	135	21	404	22	823	19	3223	21
Total Days Lost By Resource	4432	100	4115	100	658	100	1850	100	4402	100	15457	100
Total Work Days Available	75642		148616		18475		29993		53635			

From : 1 August - 31 August 2020

Reasons	Community and Enterprise Resources		Education Resources		Finance and Corporate		Housing and Technical Resources		Social Work Resources		Total WDL By Reason	Percentage
	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%		
Musculoskeletal	947	31	478	19	19	5	182	23	749	27	2375	25
Psychological	925	30	960	38	182	51	365	46	895	32	3327	35
Stomach, Bowel, Blood, Metabolic Disorders	258	8	198	8	33	9	77	10	248	9	814	9
Respiratory	239	8	236	9	0	0	75	9	269	10	819	9
Other Classification	707	23	629	25	122	34	100	13	625	22	2183	23
Total Days Lost By Resource	3076	100	2501	100	356	100	799	100	2786	100	9518	100
Total Work Days Available	69747		135889		18232		28157		53340			

*WDL = Work Days Lost

OCCUPATIONAL HEALTH REPORTS

FROM: 1 July 2021 - 31 August 2021 comparison with 1 July 2020 - 31 August 2020

Medical Referrals							
	Community and Enterprise	Education		Finance and Corporate	Housing & Technical	Social Work	Totals
		Teachers	Others				
TOTAL (Jul-Aug 2021)	80	13	19	12	34	107	265
TOTAL (Jul-Aug 2020)	61	5	19	5	29	89	208

No of Employees Referred For Physiotherapy		
RESOURCE	Jul-Aug 2020	Jul-Aug 2021
Community and Enterprise	54	49
Education (Teachers)	16	30
Education (Others)	30	34
Finance and Corporate	6	10
Housing and Technical	21	42
Social Work	59	74
TOTAL	186	239

No of Employees Referred To Employee Support Officer		
RESOURCE	Jul-Aug 2020	Jul-Aug 2021
Community and Enterprise	38	61
Education	59	60
Finance and Corporate	13	17
Housing and Technical	19	28
Social Work	48	82
TOTAL	177	248

No of Employees Referred For Cognitive Behavioural Therapy		
RESOURCE	Jul-Aug 2020	Jul-Aug 2021
Community and Enterprise	4	0
Education	2	4
Finance and Corporate	0	0
Housing and Technical	2	0
Social Work	4	0
Not Disclose	12	2
TOTAL	24	6

Analysis of Counselling Referrals by Cause												
	Reason											
	Work Stress		Addiction		Personal		Anxiety/ Depression		Bereavement		Total	
	M	S	M	S	M	S	M	S	M	S	M	S
TOTAL (Jul-Aug 2021)	15	0	0	0	47	0	4	0	8	0	74	0
TOTAL (Jul-Aug 2020)	2	0	0	0	52	0	8	0	7	0	69	0
										Total Referrals (Jun-Aug 2021)		74
										Total Referrals (Jun-Aug 2020)		69

M = MANAGEMENT REFERRAL S = SELF REFERRAL

*Resources nil responses are not included in figures

ANALYSIS OF ACCIDENTS/INCIDENTS
Comparison
CAUSE OF ACCIDENTS/INCIDENTS TO EMPLOYEES

FROM: 1 July 2021 - 31 August 2021 comparison with 1 July 2020 - 31 August 2020

	Community and Enterprise		Education		Finance and Corporate		Housing & Tech		Social Work		TOTAL	
	2021	2020	2021	2020	2021	2020	2021	2020	2021	2020	2021	2020
Fatal	0	0	0	0	0	0	0	0	0	0	0	0
Specified Injury	0	0	0	0	0	0	0	0	0	0	0	0
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	0	0	0
Total Specified Injury*	0	0	0	0	0	0	0	0	0	0	0	0
Over 7-day	2	3	0	0	0	0	0	0	1	2	3	5
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	0	0	0
Violent Incident: Verbal	0	0	0	0	0	0	0	0	0	0	0	0
Total Over 7-day**	2	3	0	0	0	0	0	0	1	2	3	5
Over 3-day	1	1	0	0	0	0	0	0	0	1	1	2
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	0	0	0
Violent Incident: Verbal	0	0	0	0	0	0	0	0	0	0	0	0
Total Over 3-day**	1	1	0	0	0	0	0	0	0	1	1	2
Minor	9	5	1	0	0	0	1	1	4	6	15	12
Near Miss	4	0	0	0	0	0	0	0	0	0	4	0
Violent Incident: Physical	1	0	43	12	0	0	0	0	1	39	45	51
Violent Incident: Verbal	1	1	3	0	0	0	0	0	2	5	6	6
Total Minor***	15	6	47	12	0	0	1	1	7	50	70	69
Total Accidents/Incidents	18	10	47	12	0	0	1	1	8	53	74	76

*A Specified Injury is any fracture (other than to the fingers, thumbs or toes), amputation, loss of sight, serious burns, crushing injury, scalping, loss of consciousness caused by asphyxiation/ head injury, a chemical or hot metal burn to the eye or penetrating injury as defined by the HSE.

**Over 3 day / over 7day absence is an injury sustained outwith major injury category that results in a period of absence of absence as defined by the HSE.

*** A minor injury is an injury not covered by " Over 7-day", "Over 3-day" or "Specified".

RECORD OF DISCIPLINARY HEARINGS

FROM: 1 July 2021 - 31 August 2021 comparison with 1 July 2020 - 31 August 2020

RESOURCE	No of Disciplinary Hearings				Outcome of Disciplinary Hearings								No of weeks to convene Disciplinary Hearing			% Held within 6 Weeks
	APT&C	Manual/ Craft	Teachers	Total	No Action				Action Taken				3	4-6	6+	
					APT&C	Manual / Craft	Teachers	Total	APT&C	Manual / Craft	Teachers	Total				
COMMUNITY AND ENTERPRISE	0	5	N/A	5	0	0	N/A	0	0	5	N/A	5	1	2	2	60%
EDUCATION	5	0	0	5	0	0	0	0	5	0	0	5	2	1	2	60%
FINANCE AND CORPORATE	0	0	N/A	0	0	0	N/A	0	0	0	N/A	0	0	0	0	0%
HOUSING & TECHNICAL	1	1	N/A	2	0	0	N/A	0	1	1	N/A	2	1	0	1	50%
SOCIAL WORK	3	4	N/A	7	0	1	N/A	1	3	3	N/A	6	3	1	3	57%
TOTAL (Jul-Aug 2021)	9	10	0	19	0	1	0	1	9	9	0	18	7	4	8	58%
TOTAL (Jul-Aug 2020)	2	4	0	6	0	0	0	0	2	4	0	6	3	0	3	50%

RESOURCE	No of Appeals				Outcome of Appeals												Appeals Pending
	APT&C	Manual/ Craft	Teachers	Total	Upheld				Upheld in Part				Not Upheld				
					APT&C	Manual/ Craft	Teachers	Total	APT&C	Manual/ Craft	Teachers	Total	APT&C	Manual/ Craft	Teachers	Total	
	TOTAL (Jul-Aug 2021)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL (Jul-Aug 2020)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

*Resources nil responses are not included in figures

N.B. Non-White employees refers to those employees who have indicated that they are:- Any other mixed background, Indian, Pakistani, Bangladeshi, Chinese, Any other Asian background, Caribbean, African and any other black background.

APPEAL'S PANEL

FROM: 1 July 2021 - 31 August 2021

APPEAL'S PANEL	UPHELD	UPHELD IN PART	NOT UPHELD	WITHDRAWN	TOTAL	APPEALS PENDING TO DATE
	0	0	0	0	0	0

RECORD OF GRIEVANCES

FROM: 1 July 2021 - 31 August 2021 comparison with 1 July 2020 - 31 August 2020

GRIEVANCES	No of Grievances	No Resolved at Stage 1	No Resolved at Stage 2	No Resolved at Stage 3	Still in Process
TOTAL (Jul-Aug 2021)	0	0	0	0	0
TOTAL (Jul-Aug 2020)	9	0	0	0	9

DIGNITY AT WORK

FROM: 1 July 2021 - 31 August 2021 comparison with 1 July 2020 - 31 August 2020

DIGNITY AT WORK	No of Incidents	No Resolved at Informal Stage	No Resolved at Formal Stage	No of Appeals	Appeals in Process	Still in Process
TOTAL (Jul-Aug 2021)	0	0	0	0	0	0
TOTAL (Jul-Aug 2020)	4	0	0	0	0	4

*Resources nil responses are not included in figures

Appendix 12b

REFERRALS FOR WORKPLACE MEDIATION

As at August 2021

WORKPLACE MEDIATION	Jul-21	Aug-21
No of Referrals	0	0
*No of Successful Cases	0	0
*No of Unsuccessful Cases	0	0
No of cases unsuitable for mediation	0	0

WORKPLACE MEDIATION	Jul-20	Aug-20
No of Referrals	0	0
*No of Successful Cases	0	0
*No of Unsuccessful Cases	0	0
No of cases unsuitable for mediation	0	0

*successful/unsuccessful case outcomes may be shown outwith the month they were referred.

ANALYSIS OF LEAVERS AND EXIT INTERVIEWS

Exit Interviews (Jul-Aug 2021)

REASONS FOR LEAVING	Community and Enterprise	Education	Finance and Corporate	Housing & Technical	Social Work	Total	%
Career Advancement	3	5	1	2	7	18	41%
Child Caring / Caring Responsibilities	1	1	0	0	0	2	5%
Disatisfaction with terms and conditions	0	0	0	0	0	0	0%
Further Education	1	4	0	0	1	6	14%
Moving outwith area	0	3	0	0	2	5	11%
Personal Reasons	0	0	0	0	0	0	0%
Poor relationship with managers / colleagues	1	1	0	1	2	5	11%
Travelling difficulties	0	1	0	0	0	1	2%
Other	1	3	1	0	2	7	16%
Number of exit interviews conducted	7	18	2	3	14	44	
Total no of leavers per resource eligible for an exit interview	35	78	6	10	30	159	
% of leavers interviewed	20%	23%	33%	30%	47%	28%	

Exit Interviews (Jul-Aug 2020)

Number of exit interviews conducted	1	12	2	1	5	21	
Total no of leavers per resource eligible for an exit interview	12	50	2	2	14	80	
% of leavers interviewed	8%	24%	100%	50%	36%	26%	

* Note these totals include temporary employees

July - August 2021	Number of leavers		Replace Employee		Filling on a temp basis		Plan to transfer this budget to another post		End of fixed term post		Leave vacant pending service review		Plan to remove for Savings	
Resource	Total FTE*	Total H/C**	FTE	H/C	FTE	H/C	FTE	H/C	FTE	H/C	FTE	H/C	FTE	H/C
Community & Enterprise	39.56	72	38.55	71	0.00	0	0.00	0	1.00	1	0.00	0	0.00	0
Education	177.28	228	174.61	225	1.00	1	0.00	0	1.00	1	0.00	0	0.68	1
Finance & Corporate	9.76	11	9.22	10	0.00	0	0.00	0	0.00	0	0.54	1	0.00	0
Housing & Technical	14.86	17	14.86	17	0.00	0	0.00	0	0.00	0	0.00	0	0.00	0
Social Work	42.03	54	40.15	50	1.88	3	0.00	0	0.00	1	0.00	0	0.00	0
Total	283.48	382	277.38	373	2.88	4	0.00	0	2.00	3	0.54	1	0.68	1
Cumulative Total	479.08	661	460.67	637	3.88	5	0.74	1	6.00	7	3.81	6	3.98	5

RECRUITMENT MONITORING
Analysis of Gender, Disability, Ethnicity and Age

FROM : 1 July - 31 August 2021

Total Number of applications received:	<u>2276</u>
Total Number of Equal Opportunities Monitoring forms received:	<u>2253</u>
Total Number of posts recruited for:	<u>188</u>
Total Number of appointments:	<u>299</u>

Gender / Disability / Age						
	Applied	Interviewed	Appointed	% of Applicants interviewed	% of Applicants appointed	% of Interviewees appointed
Total EO Forms Received	2253	883	296			
Total No of Male Applicants	1154	475	121	41.2%	10.5%	25.5%
Total No of Female Applicants	1098	408	175	37.2%	15.9%	42.9%
Total No of Disabled Applicants	97	51	11	52.6%	11.3%	21.6%
Total No of applicants aged under 50	1925	718	236	37.3%	12.3%	32.9%
Total No of applicants aged over 50	301	118	61	39.2%	20.3%	51.7%
Total No of White applicants	2158	861	293	39.9%	13.6%	34.0%
Total No of Black/Ethnic minority applicants*	71	19	3	26.8%	4.2%	15.8%
Total No of Veteran applicants	23	9	0	39.1%	0.0%	0.0%

FROM : 1 July - 31 August 2020

Total Number of applications received:	<u>1603</u>
Total Number of Equal Opportunities Monitoring forms received:	<u>1478</u>
Total Number of posts recruited for:	<u>91</u>
Total Number of appointments:	<u>490</u>

Gender / Disability / Age						
	Applied	Interviewed	Appointed	% of Applicants interviewed	% of Applicants appointed	% of Interviewees appointed
Total EO Forms Received	1478	799	449			
Total No of Male Applicants	558	297	175	53.2%	31.4%	58.9%
Total No of Female Applicants	915	488	273	53.3%	29.8%	55.9%
Total No of Disabled Applicants	78	42	9	53.8%	11.5%	21.4%
Total No of applicants aged under 50	1239	655	395	52.9%	31.9%	60.3%
Total No of applicants aged over 50	233	120	48	51.5%	20.6%	40.0%
Total No of White applicants	1410	765	439	54.3%	31.1%	57.4%
Total No of Black/Ethnic minority applicants*	49	19	6	38.8%	12.2%	31.6%
Total No of Veteran applicants	N/a	N/a	N/a			

QUARTERLYJOINT STAFFING WATCH RETURN : NUMBER EMPLOYED ON 12 June 2021**Analysis by Resource**

Resource	Total Number of Employees				
	Male		Female		Total
	F/T	P/T	F/T	P/T	
Community & Enterprise Resources	3282	1344	244	191	1503
Education - Others	3082	146	86	614	2236
Education - Teachers	3835	681	70	2308	776
Finance & Corporate Resources	866	204	13	365	284
Housing & Technical	1315	843	25	318	129
Social Work Resources	2754	208	194	998	1354
Total All Staff	15134	3426	632	4794	6282

Full-Time Equivalent									
Salary Band									
Total	Director	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Fixed SCP	Teacher
2298.44	1.00	1584.83	405.87	234.69	48.05	15.00	4.00	5.00	0.00
2244.44	1.00	1123.95	850.01	138.81	51.64	12.60	4.00	58.63	3.80
2506.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	4.60	2500.40
771.40	2.00	121.76	337.32	223.28	54.74	25.30	6.00	1.00	0.00
1259.50	1.00	212.56	639.60	362.88	31.46	10.00	2.00	0.00	0.00
2389.67	0.00	1233.82	562.85	541.00	23.00	27.00	2.00	0.00	0.00
8963.45	(excluding Teachers)								
11469.45	5.00	4276.92	2795.65	1500.66	208.89	90.90	18.00	69.23	2504.20

QUARTERLYJOINT STAFFING WATCH RETURN : NUMBER EMPLOYED ON 13 March 2021**Analysis by Resource**

Resource	Total Number of Employees				
	Male		Female		Total
	F/T	P/T	F/T	P/T	
Community & Enterprise Resources	3092	1204	246	189	1453
Education - Others	3003	141	81	563	2218
Education - Teachers	3845	685	71	2311	778
Finance & Corporate Resources	870	200	16	349	305
Housing & Technical	1311	837	26	320	128
Social Work Resources	2773	210	200	989	1374
Total All Staff	14894	3277	640	4721	6256

Full-Time Equivalent									
Salary Band									
Total	Director	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Fixed SCP	Teacher
2146.11	1.00	1420.89	415.11	238.06	46.05	16.00	4.00	5.00	0.00
2173.08	1.00	1080.74	824.42	138.29	49.04	12.06	4.00	58.73	4.80
3515.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	4.60	3509.40
768.49	2.00	112.37	338.88	227.40	55.54	25.30	6.00	1.00	0.00
1254.48	1.00	211.81	632.16	366.05	31.46	10.00	2.00	0.00	0.00
2408.42	1.00	1252.14	556.49	546.79	24.00	26.00	2.00	0.00	0.00
8750.58	(excluding Teachers)								
12265.58	6.00	4077.95	2767.06	1516.59	206.09	90.36	18.00	69.33	3514.20

Report

7

Report to:	Finance and Corporate Resources Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Treasury Management Activity – Second Quarter Review
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide a second quarter review of Treasury Management Activity for 2021/2022

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the contents of this report be noted.

3. Background

3.1 In order to provide members with information on the Council's Treasury Management activities, a quarterly report is presented to this Committee. This report covers the period 1 April 2021 to 30 September 2021.

4. Market Performance

4.1. After the Bank of England left the base rate unchanged at 0.75% in January 2020, the onset of the coronavirus epidemic in March of that year resulted in two emergency cuts, first to 0.25% and then to 0.10%.

4.2. As at 30 September 2021, the base rate remained at 0.10% and the Bank of England Asset Purchase Programme (commonly referred to as its policy of quantitative easing) was £895 billion.

4.2. At the time of writing this report, the Council's Treasury Management Advisers are predicting no further changes in the UK Base Rate during the remainder of 2021/2022 but are forecasting an increase to 0.25% in early 2022/2023.

5. Debt Management and Borrowing Strategy

5.1. The Council began the year with debt of £1,005.540 million with fixed rate loans from the Public Works Loans Board (PWLb) making up 99.15% of the debt.

5.2. Table 1 shows the movement in borrowing from 1 April 2021 to 30 September 2021. Short term borrowing reflects borrowing which will mature in the coming year, or where the debt can be recalled in the coming year.

Table 1 – Movement in Borrowing to 30 September 2021

	Balance as at 01/04/2021 £m	New Borrowing £m	Debt Maturing £m	Debt Repaid £m	Balance as at 30/09/2021 £m	Increase/ Decrease in Borrowing £m
Short Term Borrowing	40.954	0.000	(39.377)	0.00	1.577	(39.377)
Long Term Borrowing	964.586	0.000	0.00	0.00	964.586	0.000
TOTAL BORROWING	1,005.540	0.000	(39.377)	0.00	966.163	(39.377)

- 5.3. In 2012/2013, HM Treasury introduced a “certainty rate” to enable eligible local authorities to access cheaper PWLB funding, with a 20 basis point (0.20%) reduction on the standard rate. South Lanarkshire Council has access to this reduced rate.
- 5.4. The Council has an expected borrowing requirement of £193.938 million during 2021/2022.
- 5.5. The Executive Director (Finance and Corporate Resources), under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into consideration the differential between investment earnings and debt costs that remains high.
- 5.6. No borrowing has been taken so far in the current financial year. Instead, cash balances have been used to fund capital spend. Borrowing to replace these balances will be required going forward.

6. Investment Activity

- 6.1. On a daily basis, the Treasury Management section within Finance and Corporate Resources manages the Council’s cash balances. These balances can result from day to day cash flow situations where income has been received before expenditure has taken place, and from the balances held in earmarked reserves for use at a later date. It is the responsibility of the section to manage these funds. The primary consideration when making deposits is the security of funds. Secondary to this, consideration is given to ensuring we have access to funds when necessary, and that these funds are working as well as they can for the Council.
- 6.2. The Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy Report for 2021/2022 was approved by South Lanarkshire Council on 10 March 2021. This included details of permitted investments for the Council.
- 6.3. Prior to depositing funds with any bank or building society, checks are made with the Council’s treasury adviser, Link Asset Services, that the institution is considered safe and that any deposit conforms to their recommended time duration as determined by their Rating Methodology. This methodology uses credit ratings, rating watches and outlooks and credit default swap (CDS) prices to establish a suggested time duration for deposits.
- 6.4. Deposits made in the period 1 April 2021 to 30 September 2021 totalled £858.590 million. This is the cumulative deposits placed over this period. This is broken down per sector and institution in Table 2. 58.83% of these deposits were made in the UK Government through the Debt Management Office (DMO) deposit facility.

- 6.5. In order to manage their cash flow over the short term, local authorities, as part of normal treasury management activity, will place money on deposit with other local authorities. Deposits placed with other local authorities account for 16.65% of deposits with the remaining 24.52% placed in call accounts with Bank of Scotland and The Royal Bank of Scotland.
- 6.6. Deposits in the UK Government are considered to be the most secure and this is reflected in the low interest rate for deposits in the DMO.

Table 2 – Investment Activity 1 April 2021 to 30 September 2021

Counterparty	Deposit Totals (£m)	% of Total Deposits	Average Interest Rate
Deposits in UK Government			
Debt Management Account Deposit Facility	505.100	58.83%	0.01%
Total Deposits in UK Government	505.100	58.83%	0.01%
Deposits in UK Local Authorities	143.000	16.65%	0.04%
Deposits in UK Banks and Building Societies:			
Bank of Scotland	59.500	6.93%	0.01%
Royal Bank of Scotland	150.990	17.59%	0.01%
Total Deposits in UK Banks and Building Societies	210.490	24.52%	0.01%
Total Deposits 01/04/2021 to 30/09/2021	858.950	100.00%	0.02%

- 6.7. The average interest rates achieved from the deposits are also shown in Table 2. As the base interest rate has been at, or below, 0.75% since March 2009, interest rates achievable for deposits remain low.
- 6.8. Actual deposits as at 30 September 2021 totalled £226.930 million.

7. Management of Risk

- 7.1. It is recognised that no Treasury Management activity is without risk and practices are put in place in order to limit risk. As noted in section 6.2, the Treasury Management Strategy was approved in March 2021 and set a framework for Treasury Management activities in 2021/2022. It also set limits on debt and investments in order to mitigate risks.
- 7.2. The Annual Investment Strategy for 2021/2022, also approved in March 2021, included details on how risk would be managed for all permitted investments. This included criteria for placing deposits with the Debt Management Office (DMO), UK Local Authorities, Banks and Building Societies and Money Market Funds.

- 7.3. Part of the criteria for counterparties is meeting minimum credit ratings with the three main rating agencies. A credit rating evaluates the credit worthiness of an organisation. It is an evaluation made by a credit rating agency of the organisation's ability to pay back the debt and the likelihood of default.
- 7.4. Tables 3 to 5 show a breakdown of deposits with details of the credit ratings of banks and building societies used from 1 April 2021 to 30 September 2021. Deposits with the DMO are with the UK Government and so have a rating equivalent to the UK's sovereign rating. Deposits with local authorities are considered to be of very high credit quality.

Table 3 – Fitch Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits with DMO / UK Government (AA-)		505.100m	58.83%
Deposits with Local Authorities		143.000m	16.65%
A+	F1	210.490m	24.52%
Total		858.590m	100.00%

Table 4 – Moody's Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits with DMO / UK Government (Aa3)		505.100m	58.83%
Deposits with Local Authorities		143.000m	16.65%
A1	P-1	210.490m	24.52%
Total		858.590m	100.00%

Table 5 – Standard and Poor's Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits with DMO / UK Government (AA)		505.100m	58.83%
Deposits with Local Authorities		143.000m	16.65%
A+	A-1	59.500m	6.93%
A	A-1	150.990m	17.59%
Total		858.590m	100.00%

- 7.5. The tables above show that 75.48% of deposits were made with counterparties of very high credit quality (DMO/UK Government and other local authorities).
- 7.6. The remaining deposits were in instant access accounts with The Royal Bank of Scotland and Bank of Scotland.
- 7.7. The graph at Appendix 1 shows the duration of deposits made from 1 April 2021 to 30 September 2021. The graph shows that, since 1 April 2021, all deposits have been made for 1 year or less. The maximum maturity period of 326 days was for a deposit of £10.000 million.

8. Next Quarter Investment Plans

- 8.1. The current investment framework will be continued in the next quarter. Deposits will continue to be placed with the institutions where their ratings are consistent with the Council's approved criteria. Deposits will also continue to be placed with the DMO and UK local authorities.
- 8.2. Treasury Bills will be used when they return a higher yield than deposits in the DMO for the same, very low risk.
- 8.3. Deposits may also be placed with selected Money Market Funds that meet the Council's approved criteria.
- 8.4. We will continue to work with our Treasury Management Advisers, Link, to ensure we gain all information available on counterparties before any deposits are made.

9. Treasury Management Indicators

- 9.1. The purpose of these indicators is to contain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of an adverse movement in interest rates. However, if these are set to restrictive limits, they will impair the opportunities to reduce costs/improve performance. The indicators are detailed in sections 9.2 to 9.5.
- 9.2. **Limits for External Debt:** The operational and authorised limits for external debt for 2021/2022 were set in the Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy 2021/2022 approved by South Lanarkshire Council on 10 March 2021. These are shown in Table 6, along with a column showing the difference between the actual debt level and the limits (headroom).

Table 6 – Limits for External Debt

	Estimate as per 2021/22 Strategy	Minimum Headroom to Limits in period	Headroom as at 30/09/2021
	£m	£m	£m
Operational Limit for external debt	1,340.000	334.460	373.837
Authorised Limit for external debt	1,360.000	354.460	393.837

- 9.3. The indicator shows that we have not breached the operational and authorised limits to 30 September 2021. There has been a minimum level of headroom of £393.837 million between actual and authorised level for external debt in the period to 30 September 2021.
- 9.4. **Limits on Maturity Structure:** By setting limits on the maturity structure of borrowing, the exposure to large concentrations of debt needing to be replaced at the same time in the future at currently unknown rates can be limited. This effectively places a limit on exposure to longer term interest rate movement. This is shown in Table 7.

Table 7 – Limits on Maturity Structure

Maturity Structure of Borrowing				
	Upper Limit	Lower Limit	Maximum for period to 30/09/21	Actuals as at 30/09/21
Under 12 months	30%	0%	4.07%	0.16%
12 months and 24 months	30%	0%	4.54%	4.54%
24 months and 5 years	50%	0%	12.20%	12.20%
5 years and 10 years	60%	0%	35.41%	35.41%
10 years and 20 years	60%	0%	12.42%	12.42%
20 years and 30 years	70%	0%	0.05%	0.05%
30 years and 40 years	80%	0%	35.22%	35.22%
40 years and 50 years	90%	0%	0.00%	0.00%
50 years and above	90%	0%	0.00%	0.00%

9.5. The indicator shows that the upper limits for all maturity profiles have not been breached to 30 September 2021.

10. Employee Implications

10.1. There are no employee implications.

11. Financial Implications

11.1. The current rate of interest receivable remains low.

11.2. Any deposit interest received offsets Loan Charges made to the Council's Revenue budget. The level of deposit interest factored into the Council's budget is minimal, therefore the low level of interest received will have no impact on existing budgets.

11.3. The costs of borrowing for capital expenditure have been built into the long term Revenue Budget Strategy.

12. Climate Change, Sustainability and Environmental Implications

12.1. There are no implications for climate change or sustainability in terms of the information contained in this report.

12.2. There is also no requirement to carry out an environmental impact assessment in terms of the information contained within this report.

13. Other Implications (Including Environmental and Risk Issues)

13.1. Section 7 of this report provides details of how investment risk is managed.

14. Equality Impact Assessment and Consultation Arrangements

14.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

14.2. There is no requirement to carry out any consultation in terms of the information provided in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

1 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ♦ Accountable, effective, efficient and transparent

Previous References

- ♦ Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy 2021/2022, South Lanarkshire Council, 10 March 2021
- ♦ Treasury Management Activity – First Quarter Review, Finance and Corporate Resources Committee, 1 September 2021

List of Background Papers

- ♦ None

Contact for Further Information

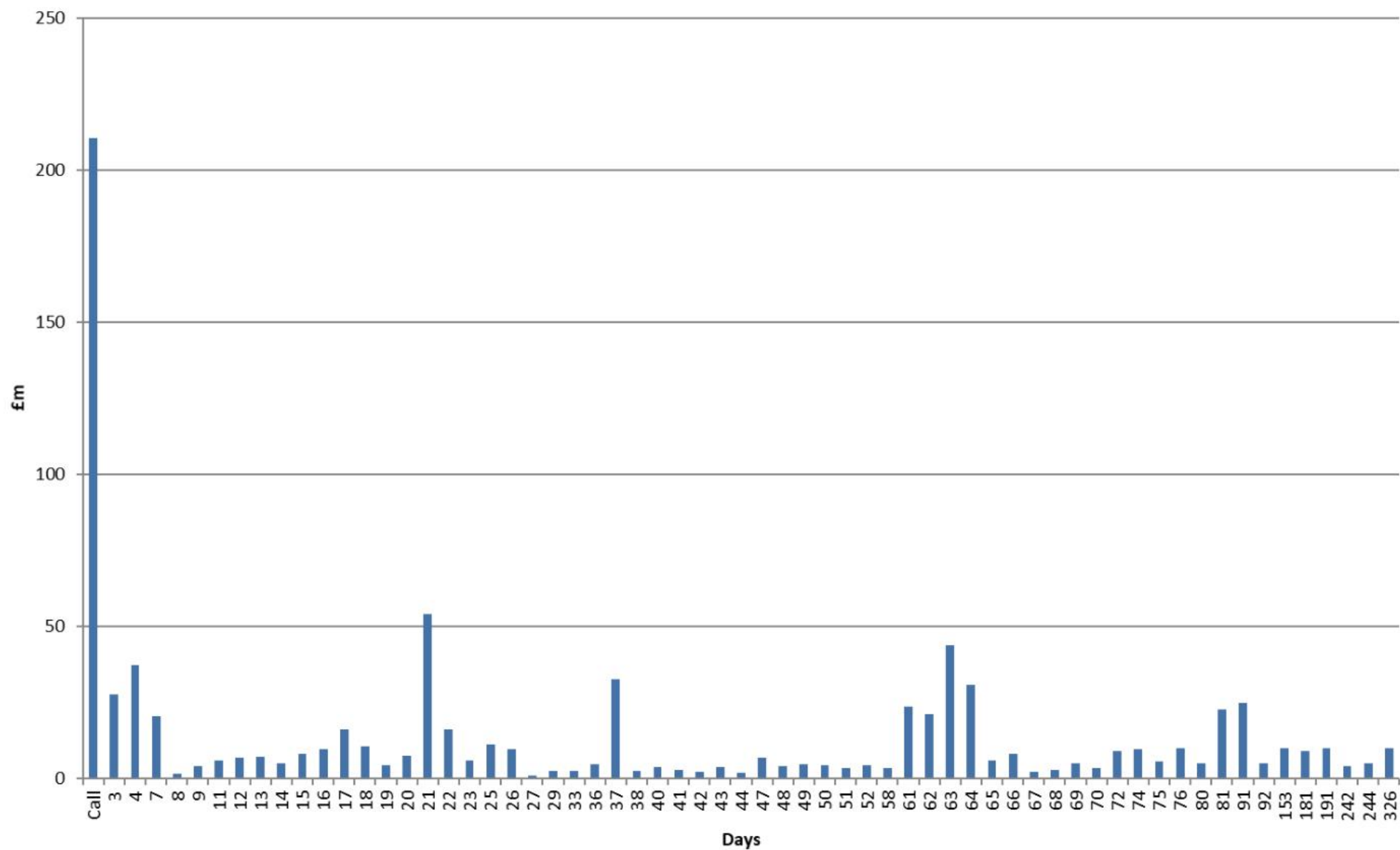
If you would like to inspect the background papers or want further information, please contact:-

Jackie Taylor, Head of Finance

Ext: 5637 (Tel: 01698 455637)

E-mail: jackie.taylor@southlanarkshire.gov.uk

Maturity of Deposits Placed 1 April 2021 - 30 September 2021



Report

8

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Common Good - Update**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise members of the audited Common Good Accounts for the year ended 31 March 2021
- ◆ seek approval for a request from Lanark Community Development Trust for a contribution of £3,000 from the Lanark Common Good Fund

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the audited accounts for Common Good for the year ended 31 March 2021 (section 4), be noted; and
- (2) that the request from Lanark Community Development Trust for a contribution of £3,000 from the Lanark Common Good Fund be approved (Section 5).

3. Background

- 3.1. The Common Good is a fund of money/assets and is administered by a Scottish local authority in respect of former burghs within the area of the local authority.
- 3.2. Common Good property is administered separately from other local authority assets for accounting purposes. What the authority can do with the assets is subject to a system of statutory control. This control has the potential to limit the extent to which the authority can dispose of or deal with the asset and on what terms.
- 3.3. The Common Good funds held within South Lanarkshire Council are Lanark, Biggar, Hamilton and Rutherglen. Accounts are prepared on an annual basis, as part of the Council's year end process. The position for the year ended 31 March 2021 is detailed in Section 4.
- 3.4. In addition to the accounts position covered in Section 4, this report will provide details of a request from Lanark Community Development Trust for a contribution of £3,000 from the Lanark Common Good Fund in Section 5.

4. Common Good Annual Accounts 2020/2021

- 4.1. The unaudited accounts for 2020/2021 were presented to a meeting of this Committee on 1 September 2021. The audit has now been completed with no changes to the annual accounts. Appendix 1 to this report shows the audited accounts for 2020/2021.

- 4.2. The Appendix shows that as at the end of 2020/2021, the Balance Invested in South Lanarkshire Council's Loans Fund is £0.841 million. This is the cash that is held by the Council on behalf of the Common Good funds, and which is readily available to meet expenditure. Table 1 provides the details across the Funds:-

Table 1 - Advances to South Lanarkshire Council Loans Fund

Fund	Lanark	Biggar	Hamilton	Rutherglen	Total
	£m	£m	£m	£m	£m
Balance	0.333	0.032	0.348	0.128	0.841

5. Request for Contribution from Lanark Common Good Fund

- 5.1. As previously reported to this Committee on 1 September 2021, The Lanark Community Development Trust (LCDT) had requested a contribution of up to £10,000 from the Lanark Common Good Fund funding for a commemorative sculpture of a Clydesdale Horse to be sited beside Lanark Auction market.
- 5.2. Having secured funding of £48,000 against a target of £55,000, and with fundraising ongoing, LCDT agreed to delay their request until they reached the conclusion of their fundraising. If a shortfall remained in the funding for the project, then they would reinstate their request for a contribution from the Lanark Common Good Fund which could be brought to a future meeting of this Committee for consideration.
- 5.3. LCDT has now raised £52,000 from various sources including grant funding, public and business donations, and a crowdfunding appeal, and has submitted a request for the remaining £3,000 to be met by a contribution from the Lanark Common Good Fund.
- 5.4. LCDT believe that it is important to incorporate public art in Lanark as a way of celebrating its heritage and traditions with residents and visitors alike. The project is intended to advance education by providing a catalyst for the local community, local schools and visitors to learn more about their heritage and the history of Lanark.
- 5.5. A programme of presentations in all the local primary schools is ready to be delivered as soon as Covid restrictions allow. Each child will be given a copy of a booklet about the history of the Clydesdale Horse.
- 5.6. The Royal Burgh of Lanark Community Council (RBLCC) were consulted for their views on this project and the original request to consider funding. RBLCC supported the project and fed back that they believed that fundraising by the LCDT should continue, and an approach made to Common Good if a shortfall remains.

6. Employee Implications

- 6.1. None.

7. Financial Implications

- 7.1. All costs identified will be met from the Lanark Common Good Fund.

8. Other Implications

- 8.1. The ongoing repairs and maintenance support the viability of Common Good assets and reduces the Council's risk to increased liabilities in the future.

9. Climate Change, Sustainability and Environmental Implications

- 9.1. There are no implications for climate change, sustainability or the environment in terms of the information contained in this report.

10. Equality Impact Assessment and Consultation Arrangements

- 10.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy, and therefore, no impact assessment is required.
- 10.2. While there no requirement to undertake any consultation in terms of the information contained in this report, a copy of this report has been sent to The Royal Burgh of Lanark Community Council for information.

Paul Manning

Executive Director (Finance and Corporate Resources)

12 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent

Previous References

- ◆ Finance and Corporate Resources Committee, 1 September 2021

List of Background Papers

- ◆ None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

Jackie Taylor, Head of Finance

Ext: 5637 (Tel: 01698 455637)

E-mail: jackie.taylor@southlanarkshire.gov.uk @southlanarkshire.gov.uk

Appendix 1

2020/2021 Annual Accounts	Lanark	Biggar	Hamilton	Rutherglen	Total
	£000	£000	£000	£000	£000
Income and Expenditure Accounts					
Income for the Year	14	-	133	-	147
Expenditure for the Year	(22)	-	(75)	-	(97)
Surplus / (Deficit) to the Balance Sheet	(8)	-	58	-	50
Balance Sheet					
Fixed Assets					
Property, Plant and Equipment	1,500	-	1,464	-	2,964
Investments					
Advances to South Lanarkshire Council Loans Fund	333	32	348	128	841
Debtors	-	-	53	-	53
Total Assets	1,833	32	1,865	128	3,858
Current Liabilities					
Creditors	(3)	-	(13)	-	(16)
Total Assets less Current Liabilities	1,830	32	1,852	128	3,842
Represented By:					
Common Good Account	1,364	32	1,257	128	2,781
Surplus / (Deficit)	(8)	-	58	-	50
Amortisation of Revaluation Reserve	4	-	1	-	5
Gain / Loss on Revaluation	-	-	-	-	-
	1,360	32	1,316	128	2,836
Revaluation Reserve					
Opening Balance	469	-	532	-	1,001
Gain / Loss on Revaluation	5	-	5	-	10
Amortisation of Revaluation Reserve	(4)	-	(1)	-	(5)
Closing Balance	470	-	536	-	1,006
Total	1,830	32	1,852	128	3,842

Report

9

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Revenue Collection and Approval for Write Offs**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise Committee of Revenue Collection performance for financial year 2021/2022 to 30 September 2021
- ◆ advise Committee of the latest position regarding the Business Rates Incentivisation Scheme (BRIS)
- ◆ seek approval for write offs

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s): -

- (1) that performance in the collection of revenue be noted;
- (2) that the current position in respect of BRIS be noted; and
- (3) that write offs for the following be approved: -

◆ Council Tax	£168,766.22
◆ Non-Domestic Rates	£10,970.77
◆ Sundry Debt	£154,087.49
◆ Housing Rent and associated charges	£133,877.04

3. Background

3.1. Responsibility for the collection of Council Tax, Non-Domestic Rates (NDR) and Sundry Debt is the responsibility of Finance and Corporate Resources. This report and the attached appendix provide information on collection performance and proposals for write off.

4. Current Collection Performance

- 4.1. The first table in Appendix 1 presents the collection performance for Council Tax, NDR and Sundry Debts for financial year 2021/2022.
- 4.2. The annual Council Tax collection target for 2021/2022 has been set at 94.0%. Council Tax collection is currently 59.94%, ahead of target by 0.88% and ahead of comparable performance in 2020/2021 by 1.49%.
- 4.3. A Non-Domestic Rates (NDR) collection target of 96.0% has been set for 2021/2022. NDR collection is currently 47.0%, ahead of target by 0.1% and ahead of comparable performance in 2020/2021 by 6.2%.
- 4.4. The 2021/2022 annual target for Sundry Debt collection has been set at 92.0%. Sundry Debt collection to 30 September 2021 was 96.9%, ahead of target by 4.9% and ahead of comparable performance in 2020/2021 by 1.6%.

5. Arrears Collection Performance

- 5.1. Arrears collection performance for Council Tax, NDR and Sundry Debt is presented in the second table of Appendix 1.
- 5.2. The 2021/2022 arrears annual target for Council Tax has been set at £3.200 million, with collection to 30 September 2021 of £2.519 million, ahead of target by £0.294 million (9.2%) and ahead of comparable performance in 2020/2021 by £0.703 million.
- 5.3. The 2021/2022 arrears target for NDR has been set at £6.000 million, with collection to 30 September 2021 of £6.206 million, ahead of target by £0.650 million (10.8%) and ahead of comparable performance in 2020/2021 by £5.809 million. The high arrears collection is directly related to a higher value of additions made to the valuation roll by the Assessor in March 2021.
- 5.4. The 2021/2022 arrears target for Sundry Debt has been set at £9.447 million, with collection to 30 September 2021 of £7.288 million, behind target by £0.005 million (0.1%) and behind comparable performance in 2020/2021 by 0.4%.

6. Business Rates Incentivisation Scheme

- 6.1. The Business Rates Incentivisation Scheme (BRIS) is a Scottish Government initiative to incentivise growth of the local business tax base, with a view to increasing NDR income yields.
- 6.2. The Scottish Government sets annual targets for growth (buoyancy) and Councils who achieve their target retain 50% of the additional income generated above the target. The buoyancy target is a measure of the increase in the total rateable value of the non-domestic properties on the Valuation Roll (including certain categories of public undertakings).
- 6.3. On 3 September 2021, the Scottish Government advised that the Council is to retain £0.225 million of BRIS income in relation to 2019/2020 as the buoyancy achieved of 1.38% was 0.38% above target.
- 6.4. As a result of the impact of Covid-19, the Scottish Government also confirmed that the scheme has been suspended for both 2020/2021 and 2021/2022.

7. Proposals for Write Off

- 7.1. Approval for write off of the following irrecoverable debts is requested from Committee. The Council has the power to write off accounts where the debtor is deceased, sequestrated, in liquidation or the debt is prescribed or where the debt is deemed uneconomical to pursue.
- 7.2. The proposed write off of Council Tax accounts dating from 1993/1994 to 2021/2022 totals £168,766.22, relating mainly to prescribed debt, sequestrations and estates of the deceased.
- 7.3. The value of accounts currently marked for write off in the Non-Domestic Rates system from rating years 2019/2020 to 2021/2022 totals £10,970.77. These debts are deemed to be irrecoverable because the debtor is in liquidation, has ceased trading or has been sequestrated.
- 7.4. Following consultation and agreement with Resources, the proposed write off of Sundry Debt totals £154,087.49.

- 7.5. Approval is sought for the write off of former tenant rent arrears of £112,625.59, factoring arrears of £283.32 and Housing Benefit Overpayments of £20,968.13.
- 7.6. A full list of all debts proposed for write off is held by the Executive Director (Finance and Corporate Resources).
- 8. Employee Implications**
- 8.1. None.
- 9. Financial Implications**
- 9.1. Provision has been made for the financial impact of all write offs.
- 10. Climate Change, Sustainability and Environmental Implications**
- 10.1. There are no direct climate change, sustainability and natural environment implications arising from this report.
- 11. Other Implications**
- 11.1. The main risk associated with the Council's revenue collection is a failure to monitor collection rates and take effective corrective action where required, resulting in a significant reduction in collection performance and Council funding. The risk is managed through monthly performance reporting and review of performance at monthly Senior Management Meetings.
- 11.2. There are no implications for sustainability in terms of the information contained in this report.
- 12. Equalities Impact Assessment and Consultation Arrangements**
- 12.1. There is no requirement to carry out an impact assessment in terms of the proposals within this report.
- 12.2. There is no requirement to undertake any consultation in relation to the content of this report.

Paul Manning
Executive Director (Finance and Corporate Resources)

21 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent
- ◆ Ambitious, self-aware and improving

Previous References

- ◆ Finance and Corporate Resources Committee - 1 September 2021

List of Background Papers

- ◆ System Reports from Council Tax, Non-Domestic Rates, Sundry Debt and Academy Housing

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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SOUTH LANARKSHIRE COUNCIL
REVENUES COLLECTION
FOR PERIOD ENDING 30 SEPTEMBER 2021

	Annual Cash Budget £000's	Budget Target to 30/09/21 £000's	Actual to 30/09/21 £000's	Variance to 30/09/21 £000's		% Variance to annual budget	Notes
FINANCIAL YEAR 2021/2022							
Council Tax	137,049	86,108	87,391	1,283	over	0.88%	
Non-Domestic Rates	315,830	154,296	154,504	208	over	0.1%	
Sundry Debt	106,049	106,049	111,652	5,603	over	4.9%	
ARREARS							
Council Tax	3,200	2,225	2,519	294	over	9.2%	
Non-Domestic Rates	6,000	5,556	6,206	650	over	10.8%	
Sundry Debt	9,447	7,293	7,288	(5)	under	-0.1%	

Report

10

Report to:	Finance and Corporate Resource Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate)

Subject:	Community Asset Transfer
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ update the Committee on the Community Asset Transfer process and seek approval for the creation of a fixed term Development Officer (Community Asset Transfer) post

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that 1 FTE post of Development Officer (Community Asset Transfer), as detailed in Section 7, be added to the establishment within the Community Engagement Team for a fixed period of 23 months, be approved;
- (2) that the criteria for community asset transfer support grant as set out in Section 7, be noted; and
- (3) that the criteria for property investment as detailed in Section 7, be noted.

3. Background

3.1. The 2021/2022 General Revenue budget included £250,000 for the purpose of supporting the delivery of sustainable Community Asset Transfer proposals.

3.2. Following a review of the existing Community Asset Transfer process and of how this fund would be put to best use to enhance it for applicants, the funding is anticipated to be spent across 3 financial years:-

- ◆ Year 1: £40,000
- ◆ Year 2: £100,000
- ◆ Year 3: £110,000

3.3. As the level of interest in Community Asset Transfer and the requests for support in developing proposals are in excess of currently available staff resources, then in order to more effectively support community asset transfer it is proposed that a temporary post be created within the Community Engagement Team. The postholder will develop guidance, assist organisations develop their capacity and access support to create business cases as well as act as a liaison between the community and Council departments. Duration of the post will be 23 months.

- 3.4. The following sections of the report set out how this support will be delivered to increase the likelihood and number of successful community asset transfers in future.

4. Development of Community Organisation Capacity

- 4.1. Many organisations have aspirations and enthusiasm for community asset transfer, however the journey from initial concept through to a property being handed over to community control can be lengthy. Organisations often require support and independent professional advice to develop their ideas into sustainable proposals. The nature and extent of the support need varies significantly depending upon the nature of the organisation and the complexity of the project.
- 4.2. As a result there will be 2 aspects to the development of organisational capacity:-
1. Self Help Resources and access to general advice, aimed at organisations starting out on the journey to community asset transfer
 2. A community asset transfer support grant to enable organisations to access independent professional advice for organisations preparing their formal applications
- 4.3. Self Help Resources
- 4.3.1. The Scottish Government has published comprehensive guidance on Community Asset Transfer for Public Bodies and Community Organisations. Over and above this there are numerous organisations such as the Community Ownership Support Service, Social Enterprise Scotland, Voluntary Actions South Lanarkshire (VASLAN), Office of the Scottish Charity Register (OSCR) and Business Gateway that provide specific advice to organisations considering asset transfer.

Community organisations often need guidance in identifying the support options that best fit their proposals and struggle to know “where to start”.

Resources will be developed for publication on the Council’s website that will assist organisations to get started and signpost the various supports available. Workshops and events will also be run to increase understanding of the process. This work will be undertaken by the new postholder.

- 4.3.2. Organisation Preparedness/Health Check
- The Council will offer organisations a “health check” of their proposed asset transfer requests in advance of a formal application so that proposals are as strong as possible when formally submitted thus increasing the likelihood of success.

- 4.3.3. Support Grant
- As each asset transfer is unique, the type of professional advice required by an organisation varies considerably from proposal to proposal. In many instances external funding support is available to cover the costs of professional advice from solicitors, surveyors, accountants etc but in some geographical areas and some contexts this external funding is not easily accessible. In particular, it is important that organisations obtain legal advice, however, few organisations seek this until quite late in the process.

Grants will therefore be made available to organisations to fund the development business plans/assess community benefits/obtain independent professional advice including surveying and legal advice.

5. Property Investment

- 5.1. In addition to the support for capacity building within groups, further use of the fund will be made available for investment within properties which are involved in an asset transfer process. Many of these do not require a major transformation of the existing property, however identifying funding specifically for property repairs and improvements is often a barrier to asset transfer. This is particularly true if the transfer is a short-term lease to enable an organisation to test out an idea or for a smaller organisation such as a Men's Shed.
- 5.2. Repairs and minor redesign can facilitate an organisation to take early entry to a property and demonstrate that their proposed project is viable, which in turn can lead to either longer leases or asset transfer by sale.
- 5.3. Alternatively, organisations can use the agreement by the Council to carry out repairs as "in kind" match funding when applying to other external funders for support, increasing the investment in the property and the project.
- 5.4. Repairs and maintenance work would require to be carried out by the Council and its approved contractors; however, the extent and the timing of works will vary from property to property depending upon the organisations proposals and external funding options. Any works will be focused upon removing barriers to asset transfer and supporting organisations to take entry to assets and are likely to focus upon wind and watertight and legislative repairs.
- 5.5. The allocation of the funding will be directly related to the advancement of a community asset transfer application. Works will only be organised where a valid asset transfer application, either for lease or sale, is at an advanced stage and is being recommended to Committee for approval.

6. Current Community Asset Transfer Work

- 6.1. The Council annually reports its performance in relation to requests for Community Asset Transfer to the Scottish Government in June each year. For 2020/2021 the return was:-
 - ◆ Total number of applications received - 3
 - ◆ Number of successful applications - 1
 - ◆ Number yet to be determined - 1
 - ◆ Withdrawn prior to Decision Notice - 1
- 6.2. There are currently 4 formal applications going through the assessment process. There are currently discussions ongoing with 16 organisations at various stages of the process.

7. Employee Implications

- 7.1. To support this activity a 23 month fixed term post will be created within the Community Engagement and Participation Team. This post has been evaluated in accordance with the Council's Competence Initiative and Grading scheme. The following post should be added to the establishment on a fixed term basis for 23 months.

Post title	Number of posts	Grade / SCP	Hourly Rate	Annual salary (excluding on-costs)	Gross salary (including on-costs 30.3%)
Development Officer (Community Asset Transfer)	1FTE	Grade 3 level 2-4	£18.08 £21.25	£32,994 £38,779	£49,007 £50,529

8. Financial Implications

8.1. £90,000 of the budget has provisionally been set aside for the costs associated with the new post.

8.2. Discussions have taken place with the external funding team to identify the simplest way to administer applications for grant and the criteria that would be used to assess applications. Applications will be made through the existing online system "Grantviser" and be managed by the external funding team. This will enable the funding team to also identify any other funding opportunities.

8.3. With regards to the support grant this will be fully managed by the external funding team and follow the similar criteria as that used for Renewable Energy Fund (REF), namely:-

- ◆ will be capped at £10,000 per organisation
- ◆ would require 2 or 3 quotes
- ◆ 4 weeks for a decision

With the additional criteria that the application was related to the development of a community asset transfer request.

If there is high level of demand, priority will be given to those organisations that cannot easily obtain funding for professional advice from other sources.

8.4. With regards to requests for property investment, requests for the allocation of funds will be referred to the Prioritised Investment Group as this group already has in place arrangements for considering the implications of property repair and investment and has cross Resource representation.

To make best use of the fund applications will be capped at £20,000 per property and the criteria for funding will include:-

- ◆ A valid asset transfer request has already been received
- ◆ The request relates to items of repairs and maintenance essential to keep the building functioning and that would not generally be funded from other sources
- ◆ The work facilitates continuation of community use and prevents delay in asset transfer/property handover

This ties in with the criteria that were established for the Community Projects Fund.

9. Climate Change, Sustainability and Environmental Implications

- 9.1. There are no specific issues in relation to climate change, sustainability and environment contained within this report, and any implications will be considered as part of the assessment of individual asset transfer projects.

10. Other Implications

- 10.1. There are no implications for sustainability or risk in terms of the information contained within this report.

11. Equality Impact Assessment and Consultation Arrangements

- 11.1. Discussions have taken place with the Community Engagement Team and the External Funding Team.
- 11.2. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.

Paul Manning

Executive Director (Finance and Corporate Resources)

20 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent
- ◆ Work with communities and partners to promote high quality, thriving and sustainable communities

Previous References

- ◆ None

List of Background Papers

- ◆ None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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Report

11

Report to:	Finance and Corporate Resources Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Consolidation of Service Delivery
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1. Purpose of Report

1.1. The purpose of the report is to: -

- ◆ Provide an update on the consolidation of service delivery within the print centre team within Communications and Strategy.

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s): -

- (1) that the contents of the report be noted
- (2) that the changes to the establishment, as detailed in section 5, are approved

3. Background

3.1. There have been two Service reviews carried out within Communications and Strategy (CS) since 2010, within the printing section and associated services area. This has reduced the team size and changed work processes to deliver efficiencies both within the service and across the council. Efficiencies include digital transformation of tasks, increased flexibility, length of time in production processes and a change in working patterns to remove all overtime costs.

3.2. Developments in service provision, and the council department needs, have changed the way in which CS now operates. The emphasis is on the digital strategy, applying changes such as removing external print (and spend, where possible), to provide a more responsive service which aligns with other digital processes in delivering communications and campaigns. CS continue to encourage services to redirect to digital format where possible. These changes have resulted in contractual alterations to the hardware and software and the core set of skills required, as well as increasing the productivity time each day.

4. Next Steps

4.1. The change in productivity has meant a development of how we deliver the service. Employees now work more flexibly from 8am – 6pm over a pattern of four days, with one non-working day in rotation. This provides the employees and the service a mutual benefit. It does however mean an increased requirement for employees, in particular the printing assistant, to be able to carry out the same tasks across areas of service delivery.

- 4.2 Employees have been trained in all the new process. There is an ongoing requirement for flexibility and the configuration of the team should reflect this. There is an increased demand for print assistant tasks and a reduction in clerical tasks, so an additional print assistant post is required.
- 4.3. Throughout the current pandemic as suppliers came offline the CS team continued to assist services and other councils in their delivery and recovery. This demonstrated the need for this service to be increasingly flexible and employees to have different skills.
- 4.4. The service will continue to assess the impact of digital delivery and will provide committee with updates as required.

5. Employee Implications

- 5.2 The required changes to the establishment are detailed below:

Post	Proposed Number of Posts (FTE)	Grade	SCP Range	Hourly Rate	Annual Salary	Gross Cost inc on costs 30.3%
Production Assistant	+ 1.0	Grade 2 Level 1 – 2	34 - 40	£11.78 - £12.86	£23,139 - £24,809	£28,011 - £30,579
Production Operative	- 1.0	Grade 1 Level 1 - 3	20 - 27	£9.60 – £10.64	£17,519 - £19,368	£22,827 - £25,300

6. Financial Implications

- 6.2 The additional Production Assistant post will be funded through the merging of 1.5 FTE Production Operative posts, the original Grade 1 Level 1-3 post above, and the vacant Grade1 L4, 0.5 post as outlined below. This will result in the removal of the 0.5 vacant post below which will result in an overall reduction the employee budget in 2022-2023.

Post	Proposed Number of Posts (FTE)	Grade	SCP Range	Hourly Rate	Annual Salary	Gross Cost inc on costs 30.3%
Production operative	- 0.5	Grade 1 Level 4	30 - 31	£11.12 - £11.29	£20,292 - £20,603	£13,220 - £13,423

7. Climate Change, Sustainability and Environmental Implications

- 7.1. There are no implications for climate change in terms of the information contained in this report.
- 7.2. There are no implications for sustainability in terms of the information contained in this report.
- 7.3. There are no implications for the environment in terms of the information contained in this report.

8. Other Implications

- 8.1 We will further report a wider assessment of CS future service delivery for digital impact to committee in 2022 to approve recommendations on consolidation and employee implications.

9. Equality Impact Assessment and Consultation Arrangements

- 9.1. This report does not introduce a new policy, function, or strategy, or recommend a change to an existing policy, function, or strategy and, therefore, no impact assessment is required. The Council's recruitment procedures in relation to equality and diversity will be followed.
- 9.2. Consultation has taken place with the Trade Unions regarding the recommendations contained within this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

2 November 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable effective, efficient and transparent
- ◆ Excellent employer
- ◆ Achieve results through leadership, good governance, and organisational effectiveness.

Previous References

None

List of Background Papers

None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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Report

12

To:	Finance and Corporate Resources Committee
Date:	10 November 2021
Prepared by:	Executive Director (Finance and Corporate Resources)

Subject:	Live Streamed Meetings - Subtitles
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1. Purpose of this Report

1.1. The purpose of the report is to:-

- ◆ provide an update on the current arrangements for Live Streamed meetings and future arrangements

2. Recommendations

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the contents of this report be noted; and
- (2) that the updated arrangements for providing accessible meetings be noted.

3 Background

3.1. A few councils in Scotland have been live-streaming or webcasting Committee meetings for some years, e.g., City of Edinburgh, Highland Council, Comhairle Nan Eilean Siar. Other councils across Scotland decided to record or live-stream meetings as a response to the COVID-19 pandemic.

3.2. The other councils do not provide subtitles on recorded meetings other than those automatically available on YouTube. South Lanarkshire Council initially were unable to live stream meetings and instead recorded meetings which were subsequently subtitled by an external provider of subtitle services before uploading to YouTube. The Council has since rolled out live streaming of meetings and all Council, Committee and Forum meetings are now livestreamed.

4. Current Position

4.1. The option to professionally subtitle meetings is currently causing delays in the process of uploading the subtitled version of meetings and, in addition, is proving costly. Based on costs to date, a full year cost will be in the range of £80,000 to £100,000. This does not include the significant level of employee time taken to check the work before uploading. It should be noted that there is no legal requirement to subtitle live streamed meetings and no other council has done this.

4.2. The automatic subtitles, available via the YouTube platform, works well for other authorities and this, together with the formal minutes of meetings, provides a good sense of the meeting content. Officers view this as a good option, improving on the speed of information being available.

- 4.3 Additional support, in the form of BSL signers, is provided at any meeting attended by Councillor Ferguson. This does not currently apply to any member awareness events which he does not attend.

5. Future Provision

- 5.1. The Council is in the process of procuring an upgrade to the Audio-Visual system in the Council Chamber and installing the system in Committee Room 1 with the aim of improving the overall livestream viewer experience. The timescale for completion of the procurement and installation is not before the end of February 2022.
- 5.2. Councillors have expressed the desire for live captioning during live streams. Although major companies are working on this, to date no reliable solution has been developed.
- 5.3. Although there is no live caption option, the viewer may access the subtitles the next day. These are not one hundred percent accurate but as the minutes are the true record of the meeting and not the webcast, the subtitles do not have to meet the same standard of accuracy as the minutes. Links to the Agenda Papers will be added to the YouTube front screen of the recording to improve accessibility and address any issues with the captioning. YouTube subtitling is available at no cost.
- 5.4. To ensure equal access to information, in future any members' awareness seminar will also include a BSL signer as part of the recording.

6. Employee Implications

- 6.1. The current method of subtitling is both time-consuming and costly, placing a significant burden on the employees in addition to their existing duties.

7. Financial Implications

- 7.1. The costs of professionally subtitling meetings are estimated at £80-£100k per annum excluding employee costs.

8. Climate Change, Sustainability and Environmental Implications

- 8.1. There are no climate change, sustainability, or environmental implications in terms of this report.

9. Other Implications

- 9.1. None.

10. Equality Impact Assessment and Consultation Arrangements

- 10.1. There was no requirement to undertake an equality impact assessment or consultation in relation to the proposals contained within this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

14 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ♦ Accountable, effective, efficient, and transparent

Previous References

- ◆ None

List of Background Papers

- ◆ None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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Report

13

Report to:	Finance and Corporate Resources Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Update of the Finance and Corporate Resources Risk Register and Risk Control Plan
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ present an update on the Risk Register and Risk Control actions for Finance and Corporate Resources

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the contents of the Resource Risk Register be noted; and
- (2) that it be noted that the outstanding Risk Control Actions will be progressed by relevant officers.

3. Background

- 3.1. The Council's Risk Management Strategy promotes consideration of risk in service delivery, planning and decision making processes. The strategy requires Resources to record and review risks and control actions regularly. Finance and Corporate Resources follow the guidance in developing, monitoring and updating the risk register on an ongoing basis.
- 3.2. The purpose of the register is to ensure that the Resource is fully aware of its top risks; that these risks are prioritised; and that controls are in place to eliminate or minimise the impact of the risks.
- 3.3. The Resource scores the risks in accordance with the Council scoring mechanism, based on likelihood and impact. This results in risks being scored between 1 and 25 (low – very high).
- 3.4. Risks are scored on their inherent score (risk if we do nothing) and their residual risk (risk after applying controls).
- 3.5. The last update of the Finance and Corporate Resources Risk Register was reported to Committee on 20 January 2021.
- 3.6. The Resource's top risk register and risk control plan has been reviewed. This work was completed in August 2021.

- 3.7. The Central Risk Management team annually review Resource compliance with the Risk Management Strategy. The outcome of the 2019/2020 review identified that Finance and Corporate Resources achieved 100 per cent compliance, scoring 45 out of a possible 45.

4. Resource Risk Management

- 4.1. Each Resource has a Resource Risk Management Group which has responsibility for the promotion and management of risk.
- 4.2. The Finance and Corporate Resources Risk Management Group continues to meet on a regular basis.
- 4.3. The work of the group over the last year has focused on the review and update of the Resource Risk Register and ensuring that the register reflected the Council Plan and individual Service Plans.

5. Risk Register

- 5.1. Work has been completed by the Resource Risk Group to finalise the review of the Resource Risk Register. The update considered risks at a Service level, as well as strategic Council risks.
- 5.2. The Resource Risk Register will be monitored on an ongoing basis to allow new risks to be added and for the control measures and scores of the existing risks to be reviewed considering new information.
- 5.3. Risks can result from internal or external influences, with examples being the impact of projected funding cuts, legislative changes, or the impact of internal service changes.
- 5.4. The development process for the Resource Plan requires a risk assessment process to be undertaken as appropriate resulting in some actions within the Resource Plan having a corresponding risk identified within the risk register.
- 5.5. The main changes to the register are summarised below:-
- ◆ The residual risk score for 'Covid-19 pandemic' has reduced from 20 to 16
 - ◆ The residual risk score for 'EU Exit' has reduced from 20 to 12
 - ◆ The risk card for 'Potential liability arising from claims of historic abuse' has been re-written to reflect upon recent developments and changes to legislation
 - ◆ The risk description for 'Death or injury to employees, service users or members of the public affected by Council operations' has been amended to capture wider health, safety and wellbeing issues
 - ◆ Risk descriptions, controls and actions have been updated as required on individual risks, following discussion with risk owners
- 5.6. Risks scored 15 to 25 are considered to be very high risks and risks scored 8 to 12 are considered to be high risks. Very high and high risks are monitored closely. The top risks identified for the Resource, that is those that are residually scored as being very high and high, are attached at Appendix 2.
- 5.7. Appendix 3 provides a comparison of risk scores for 2020 and 2021. This appendix also details changes in risk descriptions.

- 5.8. Risks evaluated residually as being medium or low risk will be monitored to ensure that they continue to be adequately managed.

6. Insurance Hotspots

- 6.1. The Council's insurers have been undertaking an analysis of the public liability, employer's liability, motor and property claims experiences for the last 2 years, with a view to identifying areas where a number of similar types of claim or high value claims were originating. This work was delayed due to the pandemic and is now due to be completed by the end of 2021. Action plans will be agreed with Resources to mitigate against hotspot areas.
- 6.2. It is anticipated that no actions for Finance and Corporate Resources will result from the insurance hotspots review.

7. Scope and appetite for risk

- 7.1. The Council aims to be risk embracing, that is it will accept a tolerable level of risk in seeking service efficiencies and in agreeing control measures.
- 7.2. The level of risk facing the Council is measured both before (inherent risk) and after (residual risk) consideration of controls. The Council should never carry a very high residual risk exposure as this would indicate instability, but a low residual risk exposure should also be avoided as this indicates lack of innovation.
- 7.3. The Council's universal risk tolerance levels were updated as part of the review of the risk management strategy last year, with the ideal risk profile defined as:-
- ◆ No more than 10 per cent of residual risks at a very high level
 - ◆ No more than 15 per cent of risks at a high level
 - ◆ Around 50 to 60 per cent of residual risks at a medium level
 - ◆ No more than 30 per cent of residual risks at a low level
- 7.4. Table 1 below shows the top risks heat map, i.e. it details the total number of risks for each individual residual risk score. Table 2 below notes the overall risk profile for the top risks.

Table 1 – Finance and Corporate Resources Heat Map

Likelihood	5 Almost Certain				1	
	4 Likely			2	1	
	3 Possible		8	7	4	
	2 Unlikely	2	14	8	4	
	1 Rare	4	8	8		
		1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
		Impact				

Table 2 – Finance and Corporate Resources Risk Profile

Risk Category	Risk Rating	Number of residual risks	Percentage of residual risks
1	Very high	2	2.8%
2	High	17	23.9%
3	Medium	30	42.3%
4	Low	22	31.0%
		71	100.0%

- 7.5. Despite the fact that the profile noted in Table 2 is out with the ideal universal risk exposure defined by the Risk Management Strategy, this risk exposure is reasonable given the number of high level risks currently being faced by the Resource.
- 7.6. Finance and Corporate Resources has ensured that all inherent risks scored at a very high and high level have cost effective control measures in place. Where further control measures are required, these are included within the Resource risk control plan.

8. Risk Control Actions

- 8.1. 1 risk control action was due for delivery between April and August 2021 and was completed on time.
- 8.2. 8 actions due for completion during 2020/2021 have been completed. 57% (8/14) of control actions were completed on time against an overall Resource target of 90%. 6 actions have been delayed and carried forward due to the pandemic and are identified in Appendix 4.
- 8.3. Details of the completion of risk control actions during 2020/2021 and 2021/2022 to date are contained in Table 3 below.

Table 3 – Completion of top risk control actions

	2020/2021	2021/22 (as at 31 August 2021)
Total number of actions due	14	1
Completed on time	8	1
Completed late	0	0
Carried forward to 2021/22	4	-
To be completed at a later date	2	11

- 8.4. Progress with completion of Resource Risk Control Actions is monitored by the Central Risk Management team. This is also reviewed by the Resource Risk Group.
- 8.5. There are currently 11 risk control actions due for completion during the remainder of 2021/2022, with a further 5 actions due to be completed in future years. Details of these actions are noted at Appendix 4. The outstanding actions to mitigate risks within the Risk Control Plan will be progressed by the relevant officers.

9. Major projects, partnerships or change

- 9.1. Within Finance and Corporate Resources 4 partnerships have been identified. 1 of these is considered to be high risk, the Community Planning Partnership (CPP). The remaining 3 partnerships have been assessed as being low risk.

- 9.2. Appropriate risk management arrangements are in place for the CPP with regular reports on their risk register and action plan presented to the CPP Board.

10. Next steps

- 10.1. The Resource Risk Management Group will continue to meet on a regular basis. The risk register will be reviewed on an ongoing basis by the group to ensure that risks remain valid for the appropriate Service areas and to identify new areas of risk that affect the Resource. An update report will be provided to Committee on an annual basis.

11. Employee Implications

- 11.1. Time will be required by the Resource Risk Management Group in the management of the Resource Risk Register and Risk Control Plan.

12. Financial Implications

- 12.1. There are no direct financial implications associated with the Resource's top risks. There are a number of proposed risks which are classified under the heading of financial, including additional costs stemming from Covid-19. Where this is the case, the appropriate controls and actions have been included in the risk control cards and progress will be monitored.

13. Climate Change, Sustainability and Environmental Implications

- 13.1. Sustainable development issues are included within the Council's top risk register through being linked directly to the Council plan objective 'make communities safer, stronger and sustainable'

14. Other Implications

- 14.1. Failure to demonstrate that risk is actively considered and managed cannot only lead to avoidable financial loss but could also affect delivery of services and could affect the Resources' reputation.

15. Equality Impact Assessment and Consultation Arrangements

- 15.1. This report does not introduce a new policy, function or strategy or recommend a change to existing policy, function or strategy and therefore, no impact assessment is required.
- 15.2. Consultation on the content of this report has been undertaken with the Resource Management Team.

Paul Manning
Executive Director (Finance and Corporate Resources)

6 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective and efficient

Previous References

- ◆ Report to Finance and Corporate Resources Committee – 20 January 2021 – Update of Finance and Corporate Resources Risk Register and Risk Control Plan

List of Background Papers

- ◆ None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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Appendix 1 – Risk scoring matrix and likelihood and impact definitions

Likelihood

Score	1	2	3	4	5
Description	Rare	Unlikely	Possible	Likely	Almost certain
Likelihood of occurrence	1 in 10 years	1 in 3 years	1 in 2 years	Annually	Monthly
Probability of occurrence	The event may occur in certain circumstances	The event could occur	The event may occur	The event will probably occur	The event is expected to occur or occurs regularly

Impact

	Reputation	Financial	Service delivery/ Time to recover	Compliance	Safety
1 Negligible	Public concern restricted to local complaints	<£50,000 per annum	No impact to service quality; limited disruption to operations.	No external interest	Minor injury – no lost time
2 Minor	Minor adverse local/public/media attention and complaints	£50,000-£250,000 per annum	Minor impact to service quality; minor service standards are not met; short term	Very minor attention from legislative/regulatory body	Minor injury – resulting in lost time
3 Moderate	Adverse national media Public attention	£250,000 to £500,000 per annum	Significant fall in service quality; major partnership relationships strained; serious disruption in service standards	Short-term attention from legislative/regulatory body	Major injury or ill health resulting in lost time
4 Major	Serious negative national or regional criticism	£500,000 to £1million per annum	Major impact to service delivery; multiple service standards are not met; long term disruption to operations; multiple partnerships affected	Medium-term attention from legislative/regulatory body	Fatality; Or injuries to several people
5 Catastrophic	Prolonged international, regional and national condemnation	>£1million per annum	Catastrophic fail in service quality and key service standards are not met; long term catastrophic interruption to operations; several major partnerships are affected	National impact with rapid intervention of legislative/regulatory body	Multiple fatalities; Or injuries to large number of people

The assessments for impact and likelihood combine to provide an overall inherent risk score on the scale of between 1 and 25, using the Council's recognised risk matrix.

Risk matrix

Likelihood	5 Almost Certain	5	10	15	20	25
	4 Likely	4	8	12	16	20
	3 Possible	3	6	9	12	15
	2 Unlikely	2	4	6	8	10
	1 Rare	1	2	3	4	5
		1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
		Impact				

The risk score is calculated as follows:

Likelihood score x Impact score = Risk Score

Appendix 2

Finance and Corporate Resources Risk Register (as at 31 August 2021) Extract of risks with residual score category of Very High and High

Risk Category	Key risk	Inherent Risk Score	Sample of Controls	Residual Risk Score
1 Very High (15-25)	Reduction in external funding and fees/income received by the council, as well as increased service demands, results in savings difficulties Council Top Risk	25	<ul style="list-style-type: none"> An embedded and systematic approach to savings identification Robust processes in place to report annual budget and Council Tax proposals to Elected Members Council's long term financial strategy includes scenario planning 	20
	The Council does not provide an adequate response to the effects of a global pandemic illness within communities; maintaining critical services; providing support to the community and business; deliver emergency response commitments as a Category One Responder; and protecting the wellbeing of employees and service users as far as reasonably practicable. Responding to the pandemic will impact on everything else the council does. Council Top Risk	25	<ul style="list-style-type: none"> Increased IT server capacity identified; Internet circuit bandwidth updated; IT Software licences to allow agile working procured; Increased numbers of agile workers; Increased number of laptops Changes made to Registration processes – all staff centralised at HQ, death registrations available remotely, birth registrations in person and at HQ only, civil ceremonies being carried out at Town House, Hamilton and external venues as required CoSLA additional expense return completed as required by Finance Services (Strategy). Specific cost centres established to monitor spending 	16

2 High (8-12)	Historic childhood abuse Council Top Risk	16	<ul style="list-style-type: none"> • Ongoing input to discussions between COSLA and the Scottish Government in respect of a fair and meaningful contribution to the Redress Scheme by Local Authorities • Regular actuarial reviews of post insurance fund exposures undertaken to establish potential liability for the council 	12
	The Council is significantly affected by the impact of the UK leaving the European Union Council Top Risk	25	<ul style="list-style-type: none"> • The HM Treasury has provided assurances around the current EU funded programme for all projects • Council Resources have reviewed their contingency plans to ensure that they are sufficiently robust to deal with any significant negative impact that may arise from the UK leaving the EU. 	12
	Fraud, theft, organised crime and cyber attacks Council Top Risk	20	<ul style="list-style-type: none"> • Anti-Fraud and Corruption Strategy • Whistle-blowing procedures • Cyber security and information security training • The Council has in place a technical IT infrastructure that provides information security protocols in line with industry best practice. This is subject to regular independent review to ensure its continued effectiveness. 	12
	Information Governance not subject to adequate control Council Top Risk	20	<ul style="list-style-type: none"> • Awareness raising • Information Governance Group in place • Information Governance Strategy 	12
	Failure to respond - major event/emergency Council Top Risk	16	<ul style="list-style-type: none"> • Media response policy • IT business continuity plans • Emergency Management Team 	12

Insurance fund insufficient to meet known liabilities	20	<ul style="list-style-type: none"> • Regular actuarial reviews • Management of claims trends • Review of operation of Council's insurance fund. 	12
Procurement activity is affected by a lack of resources, non-compliance or legal challenge Council Top Risk	25	<ul style="list-style-type: none"> • Procurement Strategy and action plan • Contracts register in place • Procurement Annual Report published 	9
IT development and functionality does not keep pace with changing service requirements Council Top Risk	20	<ul style="list-style-type: none"> • IT Asset Management Plan • ICT Development Fund • IT Programme Board 	9
Lack of capacity and skills to meet increased service demands Council Top Risk	20	<ul style="list-style-type: none"> • Workforce Strategy • Performance Appraisal Process • Learning and Development Strategy 	9
Inaccurate information relating to council services reported via media	12	<ul style="list-style-type: none"> • Timeous response to media enquiries • Guidelines on media enquiries contained within Corporate Standards • Contact sheets provided to the media 	9
Audit plan not delivered	12	<ul style="list-style-type: none"> • Managed systematic approach to work allocation and monitoring arrangements • Capacity planning 	9
Difficulties in placing insurance cover	16	<ul style="list-style-type: none"> • Support from appointed insurance broker • Sound experience in placing covers • Regular reviews to ensure optimal balance between retention of risk and purchased covers 	9
Failure to deliver the Modern Apprenticeship programme	12	<ul style="list-style-type: none"> • Compliance process in place • Commitment from senior management 	9

			<ul style="list-style-type: none">• Appropriately trained and qualified staff available to delivery relevant internal programmes	
Failure to ensure the health, safety and wellbeing of employees and the protection of service users and members of the public in the delivery of council services Council Top Risk	20	<ul style="list-style-type: none">• Occupational Health and Safety Management System embedded throughout the Council• Risk assessments and safe systems of work developed and implemented• Resource H&S Groups in place	8	
Failure to achieve the outcomes of the Community Plan Council Top Risk	20	<ul style="list-style-type: none">• Partnership Progress Group established• Community Engagement Manager and team in place• Neighbourhood plans developed	8	
Community Alarms - Failure to properly prepare and successfully transition from the current analogue service to a digital solution within the pre-determined timescale	20	<ul style="list-style-type: none">• Project plan in place• Project Review Board established• Sessions held to scope full organisation requirements	8	
Failure to manage financial aspects of City Deal	25	<ul style="list-style-type: none">• Financial aspects reviewed for each business case at all stages of the project• Assurance frameworks• Specific project risk registers in place	8	

Appendix 3: Comparison 2021 and 2020 council top risk register Risk Category

Risk Category	Key risk	2020 Residual risk score	2021 Residual risk score	Change in residual risk scores	Changes to key risk descriptions
1 Very High (15-25)	Reduction in external funding and fees/income received by the council, as well as increased service demands, results in savings difficulties Council Top Risk	20	20	=	Deletion of “maintaining front line services” from the key risk description. Addition of “external” to the key risk description in respect of funding and fees/income
	The Council does not provide an adequate response to the effects of a global pandemic illness within communities; maintaining critical services; providing support to the community and business; deliver emergency response commitments as a Category One Responder; and protecting the wellbeing of employees and service users as far as reasonably practicable. Responding to the pandemic will impact on everything else the council does. Council Top Risk	20	16	↓	Addition of “providing support to the community and businesses” to the key risk description.
2 High (8-12)	Historic childhood abuse Council Top Risk	12	12	=	Key risk description amended from “Potential liability arising from claims of historic abuse “

The Council is significantly affected by the impact of the UK leaving the European Union Council Top Risk	20	12	↓	
Fraud, theft, organised crime and cyber attacks Council Top Risk	12	12	=	
Information Governance not subject to adequate control Council Top Risk	12	12	=	
Failure to respond - major event/emergency Council Top Risk	12	12	=	
Insurance fund insufficient to meet known liabilities	12	12	=	
Procurement activity is affected by a lack of resources, non-compliance or legal challenge Council Top Risk	9	9	=	
IT development and functionality does not keep pace with changing service requirements Council Top Risk	9	9	=	Key risk description amended from "IT Development and functionality does not meet service requirements"
Lack of capacity and skills to meet increased service demands Council Top Risk	9	9	=	
Inaccurate information relating to council services reported via media	9	9	=	
Audit plan not delivered	9	9	=	
Difficulties in placing insurance cover	9	9	=	
Failure to deliver the Modern Apprenticeship programme	9	9	=	
Failure to ensure the health, safety and wellbeing of employees and the protection of service users and members of the public in	8	8	=	Key risk description amended from "Death of injury to employees,

	the delivery of council services Council Top Risk				services users or members of the public affected by council operations”
	Failure to achieve the outcomes of the Community Plan Council Top Risk	8	8	=	
	Community Alarms - Failure to properly prepare and successfully transition from the current analogue service to a digital solution within the pre-determined timescale	8	8	=	
	Failure to manage financial aspects of City Deal	8	8	=	

Appendix 4 – Finance and Corporate Resources 2021 Risk Control Plan

Action:	Who:	Target date:
Review the priorities in the Community Plan to ensure that they are informed by our local communities	Community Engagement Manager	September 2021
Review of Contract Standard Terms and Conditions	Head of Administration and Legal Services	September 2021
Develop Digital and IT Strategies for 2022 – 2025 (Action carried forward from 2020/2021)	Head of IT Services	September 2021
Provide input and support to council transformation plans.	Head of IT Services	September 2021
Undertake Actuarial Review of insurance fund pre-fund liabilities (historic abuse) as at 31 March 2021	Head of Finance (Transactions)	October 2021
Complete exit from IT Caird Data Centre and Migration to Hybrid Cloud solution	Head of IT Services	December 2021
Consult with insurers on measures to mitigate risks identified in claims leakage reports	Head of Finance (Transactions)	December 2021
Finalise A2D Project Plan (Action carried forward from 2020/2021)	Programme Co-Ordinator, IT Services	December 2021
Progress agile working across the council through full deployment of Windows 10 laptops / Office 365 / Soft Phones (Action carried forward from 2020/2021)	Head of IT Services	March 2022
Implement actions per ICT Asset Management Plan	Head of IT Services	March 2022
Complete outstanding PIAs and publish summary details on the internet (Action carried forward from 2020/2021)	Legal Services Manager/Assistant Registrar	March 2022
Partners and communities work together to produce a new Community Plan reflecting the post pandemic needs of South Lanarkshire	Community Engagement Manager	May 2022
Implementation of EDRMS Phase 2 (Action carried forward from 2020/2021)	Head of IT Services	June 2022
A2D - Approve service provision model (Action carried forward from 2020/2021)	Programme Co-Ordinator, IT Services	June 2022
Review of CPP Structures to ensure that they are fit for purpose	Community Engagement Manager	August 2022
A2D - Digital solution procured and implemented	Programme Co-Ordinator, IT Services	March 2024

Report

14

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **10 November 2021**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Early Retirement, Voluntary Severance and Switch 2**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ advise on the early retirement, voluntary severance, re-employment of early retirees and re-deployment of employees during the period 1 April 2021 to 30 September 2021

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the early retirement, voluntary severance, re-employment of early retirees and redeployment of employees on the Switch 2 register during the period 1 April 2021 to 30 September 2021 be noted.

3. Background

3.1. The Council analyses the number of employees being released through early retirement and voluntary severance and all the associated costs. This forms part of the ongoing monitoring process derived from the Audit Scotland report, "Bye now pay later". This report provides information on the Council's position for the 6 month period from 1 April 2021 to 30 September 2021.

4. Current Position

Early Retirements (Efficiency of the Service/Voluntary Redundancy) and Voluntary Severance

- 4.1. During the period no early retirements on the grounds of efficiency of the service; voluntary redundancy or voluntary severance were granted. This represents no change when compared to the previous 6 month period.
- 4.2. During the period, no requests were made to re-employ early retirees who previously received an early exit package and this represents no change when compared to the previous 6 month period.

5. Early Retirements – Ill Health

5.1. In terms of early retirement on the grounds of ill-health, there are no capitalisation costs to the Council. During the 6 month period the following ill-health retirements were approved:-

Resource	No. of Early Retirements on ill health grounds
Community and Enterprise	7
Education	4
Social Work	10
Total	21

5.2. The Local Government Pension Scheme (LGPS) regulations allow for 2 tiers of ill health retirement in situations where the member's ill-health or infirmity of mind or body renders them permanently incapable of discharging efficiently the duties of their current employment. Tier 1 relates to members with no reasonable prospect of obtaining gainful employment before their state pension age. Tier 2 relates to members with a reasonable prospect of obtaining gainful employment before their state pension age.

5.3. During the 6 month period, 21 of the 23 ill health retirement requests made were granted under the provisions of tier 1 and tier 2 of the Local Government and Scottish Teachers' Pension Schemes. Two applications resulted in no award being granted.

5.4. Annual Trend Analysis

Annual Period	1/4/17 - 31/3/18	1/4/18 – 31/3/19	1/4/19 – 31/3/20	1/4/20 – 31/3/21	1/4/21 – 30/9/21
No. of ill-health retirements	37	46	37	43	21*

*denotes 6 month period

5.5. During the period 1 April 2020 to 31 March 2021, the number of ill health retirements granted increased by 6 compared to the previous year. This increase was due to the number of employees with serious medical conditions who met the criteria for ill health retirement. Based on the ill health retirements awarded during the 6 month period, it is anticipated that the annual figure for 1 April 2021 to 31 March 2022 is likely to be comparable with the previous year.

6. Switch 2

6.1. Switch 2 is monitored and approved centrally within Personnel Services. During the 6 month period, 58 employees and modern apprentices were redeployed to suitable alternative posts within the Council as follows:-

Resource	No. of employees	No. of Modern Apprentices	Total
Community and Enterprise	5	0	5
Education	2	0	2
Finance and Corporate	21	5	26
Housing and Technical	11	2	13
Social Work	11	1	12
TOTALS	50	8	58

- 6.2. This figure is an increase of 44 compared to the previous 6 month period. Of the 50 employees and 8 Modern Apprentices redeployed, 29 were placed into permanent roles and 29 into fixed term roles. In line with the Switch 2 policy, employees placed on a fixed term basis will be matched to permanent posts as they become available.

6.3. Annual Trend Analysis

Annual Period	1/04/17– 31/03/18	1/4/18 – 31/03/19	1/4/19– 31/3/20	1/04/20 – 31/03/21	1/04/21 – 30/09/21
No. of Switch 2 matches	102	71	47	43	58*

*denotes 6 month period

- 6.4. During the period 1 April 2020 to 31 March 2021, the number of employees re-deployed decreased by 4 compared to the previous year. Based on the number of redeployments during the period, it is anticipated that the annual figure for 1 April 2021 to 31 March 2022 is likely to significantly increase compared to the previous year. This is due a number of ongoing service reviews across the organisation.

7. Flexible Retirement

- 7.1. The approval of those who have been granted flexible retirement is monitored within Personnel Services, Finance and Corporate Resources. During the 6 month period, 73 requests were approved as detailed below, with no cost to the Council.
- 7.2. Included in these figures are phased retirement and winding down applications from teaching staff. These options are available to teachers and are similar to the LGPS flexible retirement provisions.

Resource	No. of Flexible Retirements	No. of Phased Retirements/ Winding Down
Community and Enterprise	14	
Education	9	26
Finance and Corporate/ Housing and Technical	8	
Social Work	16	
Total		73

- 7.3. During the 6 month period, the average age of employees granted flexible retirement was 62 years, and this is comparable with the previous 6 month period.

7.4. Annual Trend Analysis

Annual Period	1/04/17– 31/03/18	1/4/18 – 31/03/19	1/4/19– 31/3/20	1/4/20– 31/03/21	01/04/21 - 30/09/21
No. of Flexible Retirement	159	141	159	125	73*

*denotes 6 month period

- 7.5. During the period 1 April 2020 to 31 March 2021, the number of flexible retirements decreased by 34 compared to the previous year. Based on the 73 requests received during the period, it is anticipated that the number of requests received from 1 April 2021 to 31 March 2022 are likely to increase compared to the previous year.

- 7.6. Flexible retirement refusals are monitored within Personnel Services, Finance and Corporate Resources and no requests were declined during this period.
- 7.7. In addition to an increase in flexible retirement requests during the period, a significant increase has also been noted in the number of employees choosing to fully retire from their employment and access their pension benefits. During the 6 month period, 202 employees have retired from their posts. This is an increase when compared to the period from 1 April 2020 to March 2021 which saw a total of 290 employees retire.
- 8. Employee Implications**
- 8.1. In respect of the 2 employees refused ill-health retirement, incapability dismissals may have been considered.
- 9. Financial Implications**
- 9.1. No early retirement or voluntary severance releases took place during the period and therefore no costs were incurred.
- 10. Climate Change, Sustainability and Environmental Implications**
- 10.1. There are no climate change, sustainability or environmental implications as a result of this report.
- 11. Other Implications**
- 11.1. The early release of employees across the Council must be properly managed to minimise the risk of adversely impacting service levels through the loss of vital skills and experience. In accordance with agreed policies, the redeployment of employees through the Switch 2 process continues to be considered as a matter of priority.
- 12. Equality Impact Assessment and Consultation Arrangements**
- 12.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.
- 12.2. All early releases are handled in line with agreed policies and procedures therefore no further consultation is required.

Paul Manning
Executive Director (Finance and Corporate Resources)

6 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Excellent employer
- ◆ Accountable, effective, efficient and transparent

Previous References

- ◆ Finance and Corporate Resources Committee, 2 June 2021: Early Retirement, Voluntary Severance and Switch 2 Report

List of Background Papers

- ◆ None

Contact for Further Information

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Report

15

Report to:	Finance and Corporate Resources Committee
Date of Meeting:	10 November 2021
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Safety at Sports Grounds – Re-issue of General Safety Certificate for the Foy's Stadium
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise of the action taken, in terms of Standing Order No 36(c) because of the timescales involved, to re-issue the reviewed General Safety Certificate for the North and West Stands, Hamilton Academical Football Club, Foy's Stadium, Cadzow Avenue, Hamilton

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the action taken, in terms of Standing Order No 36(c) by the Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, to re-issue the General Safety Certificate for the North and West Stands, Hamilton Academical Football Club, Foy's Stadium, Cadzow Avenue, Hamilton, be noted.

3. Background

- 3.1. In terms of the Fire Safety and Safety of Places of Sport Act 1987, a General Safety Certificate is required for a stand at a sports ground which can accommodate at least 500 spectators under cover to view the activities at the ground. A stand which falls within this classification is referred to as a "regulated stand". The Foy's Stadium (formerly known as New Douglas Park) had previously been identified as sports grounds with regulated stands.
- 3.2. The revised format of the General Safety Certificates for New Douglas Park was approved by the Finance and Corporate Resources Committee at its meetings on 11 December 2013 and the Certificates required to be reviewed and re-issued annually.

4. COVID-19 Pandemic

- 4.1. As a result of the COVID-19 pandemic and the resultant Health Protection (Coronavirus, Restrictions) (Scotland) Regulations 2020, all fixtures during the 2020/2021 season were played behind closed doors.
- 4.2. The General Safety Certificate was not re-issued, however, the sports ground management and the safety team produced a Match Day Operations Plan for Behind Closed Doors, including risk assessments, which was distributed to representatives of the South Lanarkshire Sports Grounds Safety Advisory Group.

- 4.3. A representative of the Council's Fleet and Environmental Services, the Council's lead Service in terms of COVID-19 compliance, reviewed the documentation provided by the Stadium Management/Safety Team and attended a site visit at the Foy's Stadium on 29 July 2020. The Technical Officer made an observation regarding the isolation room procedures which were covered in the Operations Plan. Advice was also provided regarding mitigation procedures in relation to the use of the gym by the away team coaches and this had also been reflected in the Operations Plan. The Technical Officer had also enquired as to what the Club's procedures were in relation to positive COVID-19 tests and the Deputy Safety Officer had undertaken to update the risk assessment.
- 4.4. On the basis of the feedback received from the Safety Advisory Group representatives and the outcome of the site visit, the Council had confirmed in writing that it was satisfied with the arrangements and that suitable and appropriate measures, in terms of COVID-19 compliance, were in place to ensure the reasonable safety of persons attending the Foy's Stadium for fixtures behind closed doors.

5. Re-issue of the General Safety Certificate

- 5.1. At the annual safety inspection which took place on 11 August 2021, the North and West Stands at the Foy's Stadium were found to be well maintained and the Council's Planning and Building Standards Service was satisfied as to the condition of the primary structural elements of both the North and West Stands.
- 5.2. All of the relevant inspection certificates and test records were available for inspection with the exception of the turnstiles and PA system, copies of which have since been provided to the Council.
- 5.3. The certificate for the engineer's structural inspection had not identified any apparent structural defects. A number of observations had been made on minor defects and the Stadium Manager has since advised that all of the recommended actions have been completed.
- 5.4. A small number of actions and housekeeping issues had been identified during the inspection, the majority of which the Stadium Manager had advised were completed or were being progressed. The Council would continue to liaise with the Stadium Manager to ensure that all items were completed.
- 5.5. No match day inspection was carried out last season due to all matches being played behind closed doors.
- 5.6. Ground management and the South Lanarkshire Sports Grounds Safety Advisory Group have reviewed the General Safety Certificate and the safety management arrangements at the Foy's Stadium and the following changes have been made to the Certificate:-
- ◆ separate Certificates had previously been issued for the North and West Stands and both Stands were now covered by the same General Safety Certificate
 - ◆ the geographical extent of the terms and conditions of the Certificate were now included
 - ◆ the Certificate now specified a period of 2½ hours immediately prior to the commencement of the specified activity and 1 hour immediately following completion of the specified activity when the Holder should ensure compliance with the terms and conditions of the Certificate

- ◆ the capacity of the West Stand, as specified in Appendix 2 of the General Safety Certificate, had been increased from 3,264 to 3,288 to include the provision for 24 disabled spectators within the seating deck area
- ◆ the operational manual has been reviewed and updated and now includes Zone Ex and COVID-19 arrangements

5.7. The Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, approved the reviewed General Safety Certificate for the North and West Stands at the Foy's Stadium to allow it to be issued with immediate effect.

6. Employee Implications

6.1. None.

7. Financial Implications

7.1. The Council is authorised by regulations to charge fees for work reasonably done as a result of an application for the issue, amendment, replacement, transfer or cancellation of a safety certificate.

8. Climate Change, Sustainability and Environmental Implications

8.1. There are no climate change, sustainability or environmental implications arising from the information presented in this report.

9. Other Implications

9.1. There is a risk to the Council as the body responsible for administering safety certificates for sports grounds that any incident involving public safety where proper guidelines have not been followed could damage the Council's reputation. This risk is mitigated by the requirements and conditions contained within the General Safety Certificates on ground management to implement measures within the Guide to Safety at Sports Grounds (Sixth edition) to ensure the reasonable safety of persons attending the sports ground.

9.2. In addition to this, annual inspections and annual event inspections will be carried out at the Foy's Stadium which include checks of safety procedures, physical inspections of the Stands and checks of inspection and test certificates of various installations and equipment.

10. Equality Impact Assessment and Consultation Arrangements

10.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

10.2. Consultation has taken place with ground management at the Foy's Stadium and the South Lanarkshire Sports Grounds Safety Advisory Group which comprises of representatives of the following:-

- ◆ relevant services within South Lanarkshire Council
- ◆ NHS Lanarkshire
- ◆ Police Scotland
- ◆ Scottish Ambulance Service
- ◆ Scottish Fire and Rescue Service

Paul Manning
Executive Director (Finance and Corporate Resources)

19 October 2021

Link(s) to Council Values/Ambitions/Objectives

- ◆ Make communities safer, stronger and sustainable

Previous References

- ◆ Finance and Corporate Resources Committee – 7 August 2019

List of Background Papers

- ◆ General Safety Certificate for Regulated Stands – North and West Stands, Foy's Stadium, Cadzow Avenue, Hamilton

Contact for Further Information

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