



Council Offices, Almada Street
Hamilton, ML3 0AA

Tuesday, 15 September 2020

Dear Councillor

Executive Committee

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

Date: Wednesday, 23 September 2020
Time: 10:00
Venue: By Microsoft Teams and Banqueting Hall,

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

Yours sincerely

Cleland Sneddon
Chief Executive

Members

John Ross (Chair/ex officio), Maureen Chalmers (Depute Chair), Alex Allison, John Anderson, John Bradley, Robert Brown, Stephanie Callaghan, Gerry Convery, Margaret Cooper, Peter Craig, Maureen Devlin, Isobel Dorman, Joe Fagan, Allan Falconer, Eileen Logan, Katy Loudon, Joe Lowe, Monique McAdams, Kenny McCreary, Colin McGavigan, Jim McGuigan, Gladys Miller, Lynne Nailon, Richard Nelson, David Shearer, Margaret B Walker, Jim Wardhaugh, Josh Wilson

Substitutes

Andy Carmichael, Poppy Corbett, George Greenshields, Graeme Horne, Mark Horsham, Martin Grant Hose, Ann Le Blond, Richard Lockhart, Hugh Macdonald, Catherine McClymont, Mark McGeever, Graham Scott, Collette Stevenson, Bert Thomson, David Watson

BUSINESS

1 Declaration of Interests

- 2 **Minutes of Previous Meeting** 5 - 12
Minutes of the meeting of the Executive Committee held on 12 August 2020 submitted for approval as correct record. (Copy attached)

Monitoring Item(s)

- 3 **Revenue Budget Monitoring for Period 5 - 1 April to 14 August 2020** 13 - 28
Report dated 25 August 2020 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 4 **Capital Programme 2020/2021 Update and Monitoring for Period 5 - 1 April to 14 August 2020** 29 - 44
Report dated 27 August 2020 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 5 **Additional Funding from Scottish Government and Other External Sources** 45 - 50
Report dated 26 August 2020 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Item(s) for Decision

- 6 **Recommendations Referred Treasury Management and Annual Investment Strategy 2019-2020** 51 - 54
Report dated 24 August 2020 by the Chief Executive. (Copy attached)
- 7 **South Lanarkshire Integration Scheme Update** 55 - 96
Report dated 17 August 2020 by the Director, Health and Social Care. (Copy attached)
- 8 **Recommendations Referred from Resource Committees** 97 - 100
Report dated 8 September 2020 by the Chief Executive. (Copy attached)

Item(s) for Noting

- 9 **Council Complaints Report- SPSO Annual Overview 2019/2020** 101 - 114
Report dated 28 August 2020 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Urgent Business

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

For further information, please contact:-

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Clerk Telephone: 01698 454669

Clerk Email: pauline.macrae@southlanarkshire.gov.uk

EXECUTIVE COMMITTEE

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Minutes of meeting held via Microsoft Teams and in Committee Room 1 Council Offices, Almada Street, Hamilton on 12 August 2020

Chair:

Councillor John Ross (ex-officio)

Councillors Present:

Councillor Alex Allison, Councillor John Anderson, Councillor John Bradley, Councillor Robert Brown, Councillor Stephanie Callaghan, Councillor Maureen Chalmers (Depute), Councillor Gerry Convery, Councillor Margaret Cooper, Councillor Poppy Corbett (*substitute for Councillor Colin McGavigan*), Councillor Peter Craig, Councillor Maureen Devlin, Councillor Isobel Dorman, Councillor Joe Fagan, Councillor Allan Falconer, Councillor George Greenshields (*substitute for Councillor Jackie Burns*), Councillor Eileen Logan, Councillor Katy Loudon, Councillor Joe Lowe, Councillor Catherine McClymont (*substitute for Councillor Monique McAdams*), Councillor Kenny McCreary, Councillor Jim McGuigan, Councillor Gladys Miller, Councillor Lynne Nailon, Councillor Richard Nelson, Councillor David Shearer, Councillor Margaret B Walker, Councillor Josh Wilson

Councillors' Apologies:

Councillor Jackie Burns, Councillor Monique McAdams, Councillor Colin McGavigan

Attending:

Chief Executive's Service

C Sneddon, Chief Executive

Community and Enterprise Resources

M McGlynn, Executive Director

Education Resources

T McDaid, Executive Director

Finance and Corporate Resources

P Manning, Executive Director; J Burke, Administration Assistant; T Little, Head of Communications and Strategy; P MacRae, Administration Adviser; G McCann, Head of Administration and Legal Services

Housing and Technical Resources

D Lowe, Executive Director

Social Work Resources/Health and Social Care

V de Souza, Director; A Singh, Service Manager (Children and Justice)

Chair's Remarks

The Chair advised that a request to deal with an additional item of business had been received but that, in terms of Standing Order No 4(c) of the Council's Standing Orders on Procedures, this item was not considered to constitute Urgent Business.

1 Declaration of Interests

No interests were declared.

2 Minutes of Previous Meeting

The minutes of the meeting of the Executive Committee held on 24 June 2020 were submitted for approval as a correct record.

Councillor Brown intimated that, with regard to the minute item relating to the outcome of the mid-term review of Connect, there should be reflection of an agreement that information on the impact of COVID-19 be added to Connect, the Council Plan. The inclusion of wording in the minute to that effect was accepted by the Committee

The Committee decided: that the minutes be approved as a correct record subject to the inclusion of a reference in the minute relating to the outcome of the mid-term review that the impact of COVID-19 be added to Connect, the Council Plan.

3 Revenue Budget Monitoring for Period 3 – 1 April to 19 June 2020

A report dated 8 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted:-

- ◆ providing an update on 2020/2021 Revenue Budget for the General Fund, taking account of the financial implications of the coronavirus pandemic
- ◆ comparing actual expenditure against budgeted expenditure for the period ending 19 June 2020
- ◆ detailing the expenditure and income position for the Housing Revenue Account (HRA) to 19 June 2020

The figures showed an underspend of £0.120 million on the General Fund Revenue Account, after COVID-19 spend and funding, and a breakeven position on the Housing Revenue Account. The forecast to 31 March 2021 on the Housing Revenue Account was a breakeven position.

Details of the COVID-19 pressures across Resources were included in Appendix 1 to the report. Details were also provided on the Council's predicted COVID-19 spend of £29.062 million for 2020/2021.

The financial pressures in Children and Families Services were highlighted. This was as a result of additional external residential placements made at the start of 2020. Work was ongoing to reduce the overspend.

The Committee decided:

- (1) that the net underspend of £0.120 million on the General Fund Revenue Account at 19 June 2020, after COVID-19 spend and funding, be noted;
- (2) that the breakeven position on the Housing Revenue Account at 19 June 2020 and the forecast to 31 March 2021 of a breakeven position be noted;
- (3) that the total net expenditure and lost income of £6.216 million in relation to COVID-19, offset by Government Grant included in the Council's position as at 19 June 2020, be noted;
- (4) that an additional payment of £1.269 million in relation to COVID-19 lost income to South Lanarkshire Leisure and Culture (SLLC) at period 3 be approved;
- (5) that the pressures experienced in Children and Families Services be noted; and
- (6) that the Council's predicted COVID-19 spend of £29.062 million for 2020/2021 be noted.

4 Capital Programme 2020/2021 Update

A report dated 10 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted on the physical and financial progress at 19 June 2020 on the various capital programmes.

The General Fund Capital Programme totalled £91.192 million and the Housing Capital Programme £97.303 million.

The delivery of both the General Services and Housing Capital Programmes had been affected by lockdown due to COVID-19. The ongoing implications of this, including the closure of construction sites in advance of the financial year end, had an impact on the level of capital spend achieved in 2019/2020 and would continue to impact on the 2020/2021 Capital Programmes.

At 19 June 2020, £3.947 million had been spent on the General Fund Capital Programme and £3.357 million had been spent on the Housing Capital Programme.

A report reviewing Council's Capital spend in light of COVID-19 restrictions would be submitted to a future meeting of the Committee.

The Committee decided:

- (1) that the position of the various capital programmes for 2020/2021, as detailed in the report, be noted; and
- (2) that the revised programmes be monitored by the Financial Resources Scrutiny Forum.

5 Additional Funding from Scottish Government and Other External Sources

A report dated 9 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted on additional revenue funding, totalling £3.245 million, and capital funding, totalling £1.253 million, which had been made available to the Council by the Scottish Government and other external sources.

The funding had been allocated as follows:-

Revenue Funding

| Resource | 2020/2021 (£m) |
|---------------------------------|---------------------------|
| Community and Enterprise | 1.776 |
| Education | 0.447 |
| Finance and Corporate | 1.022 |
| Total | 3.245 |

Capital Funding

| Resource | 2020/2021 (£m) |
|------------------|---------------------------|
| Education | 1.253 |
| Total | 1.253 |

The Committee decided: that the report be noted.

6 Supplier Development Programme – Update

A joint report dated 28 July 2020 by the Executive Directors (Community and Enterprise Resources) and (Finance and Corporate Resources) was submitted on the Supplier Development Programme (SDP).

The SDP was a business support initiative which aimed to help Small Medium Enterprises (SMEs) improve their performance in winning public sector contracts through offering information, support and training to help them compete in tendering processes.

Initially founded by Glasgow City, East Renfrewshire and South Lanarkshire Councils, the SDP now had subscription from all 32 local authorities. It was managed through a Board of Directors, comprised of elected members and senior officers from 12 of its member authorities. The current membership of the Board was detailed in Appendix 1 to the report.

The Council had initially hosted the SDP for a 2 year period, following which the Executive Committee, at its meeting of 14 April 2016, extended this arrangement by a further 2 years and, subsequently, for another 2 years at its meeting on 28 March 2018.

The team of 1 full time equivalent (FTE) SDP Manager and 3 FTE SDP Officers was employed by South Lanarkshire Council and seconded to the SDP, with fixed-term contracts for the period of the agreement. One of those officers had acquired permanent employment status due to length of service as their employment with Glasgow City Council had transferred under TUPE. The remaining officers were now due to achieve permanent employment status.

The key achievements of the SDP were outlined in the report, including:-

- ◆ 16,219 SME suppliers now registered with SDP, with 1,177 of those in South Lanarkshire, a 44% increase from 2019
- ◆ numerous webinars and training events delivered throughout the year
- ◆ a pan-Lanarkshire event in March 2020 which had attracted 551 bookings from local businesses, although it was noted that this event had been postponed due to COVID-19

The Committee decided:

- (1) that the positive performance of the Supplier Development Programme, hosted within South Lanarkshire Council since 2014, be noted;
- (2) that the Council continue to host the Supplier Development Programme within the Planning and Economic Development Service until further notice; and
- (3) that 1 post of SDP Manager at Grade 4, Level 5 (£47,776 per annum excluding on-costs) and 2 posts of SDP Officer at Grade 3, Level 4 (£38,779 excluding on-costs) respectively, be made permanent and added to the Community and Enterprise Resources' establishment.

[Reference: Minutes of 13 April 2016 (Paragraph 11) and 28 March 2018 (Paragraph 9)]

7 Children in Need of Care and Protection – Inspection Outcome – Evaluation

A report dated 21 July 2020 by the Director, Health and Social Care was submitted on the Joint Inspection of Services for Children in Need of Care and Protection in South Lanarkshire.

Following on from the introduction of the Children and Young People (Scotland) Act 2014 and subsequent Child Protection Improvement Programme and National Care Review, the Care Inspectorate had reviewed and updated its inspection methodology. In the revised model, self-evaluation and inspection would both be used to actively focus on Children in Need of Care and Protection.

The Care Inspectorate methodology for the Joint Inspection of Services for Children in Need of Care and Protection posed 5 inspection specific questions of Children's Services Partnerships which were detailed in the report.

Those self-evaluation questions were posed in conjunction with a series of quality indicators that were subject to inspection by the Care Inspectorate.

The Community Planning Partnership was notified by the Care Inspectorate on 6 August 2019 that it would receive a joint inspection. The inspection took place on the weeks beginning 28 October and 2 December 2019, respectively.

Staff briefings were delivered to over 500 staff and a series of surveys were put to staff, children and young people and parents. The Care Inspectorate also undertook a number of case file readings in terms of child protection and corporate parenting cases.

Based on the inspection, the Partnership had received 'Good' evaluations in respect of leadership and meeting the needs of stakeholders and 'Adequate' in the areas of impact on children and young people and improvements in the safety, wellbeing and life chances of vulnerable children and young people.

The "Adequate" evaluations predominantly related to the Corporate Parenting agenda. Actions recommended in the Improvement Report included actively engaging with care experienced children and young people through the establishment of a Champions Board and the testimony of care leavers of services and supports available to them when leaving care.

The Care Inspectorate concluded in its report that it was confident that the South Lanarkshire Partnership had the capacity to continue to improve on and address the points for action highlighted in its report, and several examples of good practice were highlighted.

The Partnership would actively engage with the Care Inspectorate Link Inspector on the improvement plan, which would be overseen by the Children's Services Strategy Group and reported to the Getting it Right for South Lanarkshire Children's Partnership Board.

Further information on the actions to be taken in respect of the improvement plan would be submitted to future meetings of the Social Work and Education Resources Committees.

Officers responded to members' questions on various aspects of the report.

The Committee decided: that the report be noted.

8 Recovery Board Activity

A report dated 28 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted on the business items considered by the Recovery Board.

The Board had met on 2 occasions, on 8 and 22 July 2020, respectively. A summary of the business considered at those meetings was provided at Appendix 2 to the report.

Officers responded to members' questions on various aspects of the report.

The Committee decided: that the report be noted.

9 South Lanarkshire Council Response to the COVID-19 Pandemic

A report dated 3 August 2020 by the Chief Executive was submitted on actions taken by the Council to support residents, communities and businesses in response to the COVID-19 pandemic.

The pandemic had made a significant impact on the Council. Some services had to be withdrawn or reduced to allow physical distancing measures to be followed, to take account of higher than usual staff absence levels or to allow resources to be concentrated on key frontline services.

Details were given on additional services delivered in support of:-

- ◆ vulnerable residents
- ◆ communities
- ◆ businesses
- ◆ other initiatives

Details were also given to the continued delivery of Council Services, despite the implications of the coronavirus pandemic in respect of:-

- ◆ each of the Council's Resources
- ◆ the Health and Social Care Partnership
- ◆ South Lanarkshire Leisure and Culture (SLLC)

A corporate recovery plan had been presented to the Recovery Board on 8 July 2020, outlining plans in relation to the delivering of Council services, both in the short and long term. The position was, fluid and depended on a number of factors, including future Scottish Government advice relating to the pandemic and the finances available to the Council.

Council and SLLC officers would continue to monitor financial and other pressures on services and reports would continue to be presented to elected members through the appropriate forums to keep them informed as the situation developed.

Members were heard on various aspects of the report.

Councillor Brown, seconded by Councillor Fagan, proposed an amendment to the recommendations detailed in the report in light of the Scottish Qualifications Authority exam results situation that had developed. Councillor Loudon, seconded by Councillor Wilson, proposed a further amendment to the wording of those recommendations, which was accepted by Councillors Brown and Fagan. The amendment was accepted by the Committee.

The Chair and Depute, on behalf of all elected members, expressed their gratitude to staff for their work during the pandemic. The Committee unanimously commended all the management and staff working behind the scenes, at home and on the front line.

The Committee decided:

- (1) that the report be noted;
- (2) that the announcement by the Deputy First Minister that the 2020 Scottish Qualifications Authority awards would now be based on teacher assessments and the "no detriment" principle, and the Priestley review into the next year's process be welcomed;

- (3) that it remained greatly concerned that the Scottish Qualifications Authority caused huge upset and worry to South Lanarkshire students by initially downgrading 8,590 awards from those assessed by teachers (approximately a quarter of the total) on a moderation process which appeared to lack equity and fairness and which particularly disadvantaged young people from more deprived areas;
- (4) that the pledge by the Deputy First Minister that no one would be “crowded out” of a university or college place they would otherwise have been awarded be noted;
- (5) that the re-grading provided an opportunity, particularly in view of high youth unemployment expected over the next 2 years resulting from the COVID-19 economic crisis, for many more students from disadvantaged backgrounds to attend university or college and that the Scottish Government be called on to develop an ambitious programme to fund and support more students to attend, engage and prosper there in a way which would aid the country’s sustainable economic revival;
- (6) that the Executive Director (Education Resources) provide a report on the effect of Pupil Equity Funding and other initiatives in narrowing the educational gap and on the further challenges resulting from COVID-19; and
- (7) that a further and full debate take place on this matter at the next meeting of the Education Resources Committee.

10 Elected Member Representation on Committees/Forums

A report dated 21 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ♦ temporary amendments to Committee and Forum memberships during Councillor Hamilton’s period of family leave.
- ♦ the membership of the Recovery Board
- ♦ a change in membership of the Climate Change and Sustainability Committee

The Chair, on behalf of the members, extended congratulations to Councillor Hamilton on the birth of her child and on the commencement of her family leave.

The Committee decided:

- (1) that the following changes to Committee/Forum memberships, on a temporary basis during the period of Councillor Hamilton’s family leave which commenced on 3 August 2020, be noted:-
 - ♦ Councillor Hamilton’s replacement by Councillor Walker as a member of the Executive Committee, with Councillor Thomson taking Councillor Walker’s place as a substitute member
 - ♦ Councillor Hamilton’s replacement by Councillor Walker as a member of the Climate Change and Sustainability Committee, with Councillor Thomson taking Councillor Walker’s place as a substitute member
 - ♦ Councillor Hamilton’s replacement by Councillor Thomson as a member of the Appeals Panel
 - ♦ Councillor Hamilton’s replacement by Councillor Logan as a member of the Tackling Poverty Working Group, with Councillor Convery taking Councillor Logan’s place as a substitute member
 - ♦ Councillor Hamilton’s replacement by Councillor Walker as a member of the South Lanarkshire Adoption and Fostering Panel

- (2) that the nomination of the members and substitutes of the Recovery Board, outlined in the report, be noted; and
- (3) that the change to the Conservative Group's membership and substitute membership on the Climate Change and Sustainability Committee, as detailed in the report, be approved.

11 Urgent Business

There were no items of urgent business.

Report

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| Report to: | Executive Committee |
| Date of Meeting: | 23 September 2020 |
| Report by: | Executive Director (Finance and Corporate Resources) |

| | |
|----------|---|
| Subject: | Revenue Budget Monitoring for Period 5: 1 April 2020 to 14 August 2020 |
|----------|---|

1. Purpose of Report

1.1. The purpose of the report is to:

- ◆ advise the Committee on the overall financial position of the Council's General Fund Revenue Account and Housing Revenue Account for the period 1 April 2020 to 14 August, and
- ◆ advise the Committee of an update on the 2020/2021 Revenue Budget for the Council's General Fund, taking into account the financial implications of the coronavirus pandemic.

2. Recommendation(s)

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

- (1) that the net overspend of £0.005 million on the General Fund Revenue Account at 14 August 2020, after COVID-19 spend and funding (Section 4 and Appendix 1), be noted;
- (2) that the breakeven position on the Housing Revenue Account at 14 August 2020 (section 5 and Appendix 4 of the report), and the forecast to 31 March 2021 of breakeven, be noted;
- (3) that the total net expenditure and lost income of £9.954 million in relation to COVID-19, offset by Government Grant included in the Council's position as at 14 August 2020 (section 4.3) be noted;
- (4) that the pressures being experienced in Children and Families and Adults and Older People (section 4.14 and 4.15), be noted; and
- (5) that the Council's predicted COVID-19 spend of £4.639 million for 2020/2021 (Table 4), be noted.

3. Background

3.1. General Services Position

The report will summarise the actual expenditure and income to 14 August 2020 compared with the budget for the same period. This includes spend to date due to the COVID-19 outbreak. This is summarised in Section 4.

3.2. Housing Revenue Account Position

The report also shows the expenditure and income position for the Housing Revenue Account (HRA) to 14 August 2020. This is summarised in Section 5.

3.3. **COVID-19 Update**

The Council is incurring additional costs in respect of COVID-19. The detail of this is summarised in section 6.

4. **General Fund Revenue Account Position**

- 4.1. As at 14 August 2020, the overspend before COVID-19 funding is £9.959 million. If we include the COVID-19 funding, the position is an overspend of £0.005 million as detailed in Appendix 1. This reflects the pressures in Social Work Resources' Children and Families, offset by an underspend in Community and Enterprise Resources. This position takes account of the fact that all COVID-19 spend has been funded either from unspent budgets or the relevant Fund (Scottish Welfare Fund, Food Fund, Business Grants, Self-Employed Grants), with the balance of COVID-19 expenditure being funded from the Hardship Fund and Consequentials funding.
- 4.2. The Social Care Mobilisation monies received via the NHS have also been included to offset the Social Work spend incurred.
- 4.3. The total Food Fund, Hardship Fund and Consequentials funding utilised to 14 August 2020 is £9.954 million, which equates to 67.2% of the total funding confirmed to date (including the £0.751 million of funding used in 2019/2020). The COVID-19 pressures across Resources are included in the position in Appendix 1 and are detailed in Appendix 2. In addition, all of the Social Care Mobilisation monies received to date have been spent.
- 4.4. The position across all Resources is an overspend of £6.929 million as shown in Appendix 1 and is the result of COVID-19 and pressures within Social Work Resources. This is net of the Social Care Mobilisation monies which sit in the Resource. Spend in relation to the Food Fund (£3.030 million) is recorded under Corporate Items in Appendix 1. This takes the overspend position to £9.959 million (as reported at 4.1).
- 4.5. The spend in relation to the Food Fund includes the cost of Free School Meals (including paypoint charges), the cost of meal provision in Hubs and for the provision of food to vulnerable people and the Homeless.
- 4.6. Approval was received from this Committee (12 August 2020) to make the additional payment of £1.269 million to SLLC to manage the lost income pressure which is included in the Community and Enterprise Resources COVID costs. The loss of income experienced by SLLC is significant, and consideration on the sustainability of services delivered by the Trust will be required. As at period 5, the pressure is £1.327 million (an increase of £0.058 million on the £1.269 million previously reported). The position will be monitored and updates will be provided in future reports.
- 4.7. **COVID-19 expenditure to Period 5:** The total COVID net expenditure as at 14 August is **£9.954 million** which has been funded from the Food Fund, Hardship Fund and Consequentials funding.
- 4.8. Government funding notified to the Council and the corresponding expenditure budgets in relation to the Self Employed Hardship Fund are included in the Community and Enterprise Resources budget, while the expenditure budget for Discretionary Housing Payments and the expenditure and income for the Scottish Welfare Fund payments and Small Business Support Grants are included in the Finance and Corporate Resources' budget.

- 4.9. In addition to this, the expenditure budget for the recently notified Government funding for the Teachers / Support, Digital Inclusion (revenue element only), Additional Teachers, Transport Mobilisation, Mobilisation have been included within the Education Resources' budget (refer sections 6.4, 6.7 and 6.9 and 6.10). In relation to the Transitional Funding for Childcare the expenditure and income budgets have been included in Education Resource budget refer section 6.11).
- 4.10. Table 1 provides a summary of this position across the various elements.

Table 1 – Summary of the Cost of COVID-19 (to 14 August 2020)

| | Annual Budget £m | Actual to 14 August 2020 £m |
|--|------------------------|--------------------------------------|
| Expenditure / Lost Income: (Excluding Social Care Mobilisation) | | |
| Additional Resource Spend | 0.000 | 5.461 |
| Council Tax Income / CTRS | 0.000 | 0.000 |
| Food Fund Spend | 0.000 | 3.030 |
| Lost Income | 0.000 | 2.684 |
| Total Expenditure / Lost Income | 0.000 | 11.175 |
| | | |
| Less: Unspent Budget | 0.000 | (1.221) |
| Total Net Expenditure / Lost Income | 0.000 | 9.954 |
| | | |
| Funded by: | | |
| Government Funding – Hardship Fund | (2.227) | (2.227) |
| Government Funding – Food Fund (<i>Total allocation</i>) | (3.713) | (3.030) |
| Government Funding – Consequential | (9.233) | (4.697) |
| Total Funding | (15.173) | (9.954) |
| | | |
| Expenditure / Lost Income: Social Care Mobilisation | | |
| Additional Resource Spend | 0.000 | 7.209 |
| Unachieved Savings | 0.000 | 0.242 |
| Lost Income | 0.000 | 0.284 |
| Total Expenditure / Lost Income | 0.000 | 7.735 |
| | | |
| Funded by: | | |
| Government Funding – Social Care Mobilisation (actual received to date £2.976m – balance accrued) | 0.000 | 7.735 |
| Total Funding | 0.000 | 0.000 |

- 4.11. Table 1 shows that, by 14 August 2020, excluding Social Care Mobilisation, already £9.954 million of the confirmed funding provided for COVID-19 has been utilised in 2020/2021. In total 67.2% of funding provided has been used to date. Section 6 of this report provides details of the expected shortfall in funding for 2020/2021 in relation to spend made on COVID-19.
- 4.12. **Social Work:** Table 1 also shows that the Social Care Mobilisation monies received to date have been fully spent. As at 14 August 2020, the Council has received £2.976 million of funding and would need another £4.759 million to meet the spend

of £7.735 million incurred to that point. The COVID-19 spend included in the services devolved to the Integrated Joint Board are being included in the Mobilisation Plan which the Scottish Government are using to allocate funds to the Health and Social Care Partnership. Councils have been told that all reasonable costs will be reimbursed. The Social Work Resources position includes the current expenditure and offsetting income of £7.735 million in relation to the cost of additional beds to facilitate discharge from hospital, PPE equipment, support for carers and staff overtime (Appendix 2). Monies received to date total £2.976 million.

- 4.13. There is a continued assumption that this year's additional costs of COVID-19 faced by services devolved to the IJB will be funded through the Mobilisation plan, therefore will be fully funded and therefore there is no account taken of this pressure in the figures. However, there is the real possibility that through actions taken now, there are legacy costs into future years (such as increased care home placements or use of external Home Care providers). Alongside the Health and Social Care Partnership, the Council will require to consider impact of any legacy overspends within the parameters of the current budget.
- 4.14. **Social Care - Children and Families:** Despite investment in the Service to cover pressures, we have seen financial pressures relating to Children and Families. The main reason is additional external residential placements made in the early part of the year. The overspend at period 5 is £0.203 million. This is a reduction on the £0.323 million overspend reported in period 4 and is the result of the figures being refined with the Service. Work is ongoing with the Service on actions to reduce this overspend further.
- 4.15. **Social Care – Adults and Older People:** In addition to the pressures being experienced in Children and Families, the Resource are starting to also see pressures in relation to increasing costs within the Home Care service. Work is ongoing to identify actions to manage this pressure, therefore no account has been taken in these figures regarding this pressure. At present the pressure faced is estimated at £1.7 million, however actions are identified to reduce this going forwards.
- 4.16. **Loan Charges:** There is currently no variance on the loan charges budget. However, it is worth noting that since the 2020/2021 Revenue Budget was set, there is now a lower requirement to borrow as a result of reduced spend levels within the capital programme, there has been no borrowing taken so far this year and interest rate forecasts are lower. As a result, an underspend is anticipated this year. Work is ongoing to quantify this and it will be brought to Committee at a later date.
- 4.17. **Corporate Items - COVID-19:** The Corporate Items expenditure budget line in Appendix 1 shows the full year budget allocation, including COVID-19 funding, and at the 14 August 2020 is showing an underspend of £6.924 million which offsets the spend and lost income shown across Resources.
- 4.18. **Council Tax:** As a result of COVID-19, it is likely that Council Tax cash income will not be collected to the same level as before. Currently, for April to July, we have seen cancellations of direct debits, lower arrears collections and higher demand for Council Tax Reduction Scheme (CTRS) payments. However, as we will still look to recover any unpaid council tax, comparing the actual impact on this year's budget will mean a minimal impact compared to the budget set therefore no costs have been included in the COVID-19 data or the period 5 position shown in the appendices.

- 4.19. This is still very much an estimate dependant on the level of Council Tax paid in year, and progress on collection of Council Tax debts. The position assumed includes the impact so far on the Council Tax Reduction Scheme.
- 4.20. It should be noted that the Scottish Government has set aside £50 million of funding to assist with the impact of COVID-19 on Council Tax and social security benefits, which will contribute to the costs of CTRS. The report does not currently include the grant income, as no allocation has been confirmed to date. This position will be monitored and reported as more information becomes available. Any allocation to the Council would reduce the Council's liability.
- 4.21. **Former Trading Services Income:** Budgets for former trading services (Roads, Community and Property Services) include income from the HRA and from Capital. In the current COVID-19 financial climate it remains the position that these Revenue Services still need to recover costs as planned.
- 4.22. Arrangements have been made to ensure that budgeted income from the HRA and Capital continues to flow to these services. The position in this paper assumes that this continues to happen.

5. Housing Revenue Account Position

- 5.1. As at 14 August 2020, Appendix 4 of the report shows a breakeven position against the phased budget on the Housing Revenue Account.
- 5.2. The Housing Revenue Account is incurring additional costs in respect of COVID-19. This includes a reduction in rental income collected, an increase in rent loss due to properties remaining void for longer periods, and the purchase of additional PPE. The COVID 19 lockdown has also caused an underspend on Repairs and Maintenance due to the inability to carry out work within homes.
- 5.3. As noted at 4.21 we have assumed that the HRA will continue to make payments to the former Trading Accounts at budgeted levels. These payments will continue until works recommence.
- 5.4. Within the break-even position, we have an anticipated year end transfer to reserves relating to the net underspend on repairs and maintenance due to COVID-19 lockdown. This funding will be required in future years to complete the repairs and maintenance work which we have currently been unable to carry out.
- 5.5. The forecast to 31 March 2021 on the Housing Revenue Account is a breakeven position.

6. Updated Revenue Budget Position 2020/2021 - COVID-19 Expenditure and Income Impacts

- 6.1. The Council's recovery plan was approved by the Executive Committee on 24 June 2020. Updates are being provided to the COVID-19 Recovery Board on a 4 weekly basis (previously fortnightly).
- 6.2. The full year net costs previously reported to this Committee were estimated at £29.062 million. However, the most recent report to the Recovery Board (16 September 2020) showed a revised cost of £4.639 million, following updates to the Education funding figures. These are detailed below.
- 6.3. **Education Resources Costs Update:** The previous net cost projection of £29.062 million included £13.200 million associated with returning to school, based on the

initial blended school model. Based on the return to schools on a full time basis £13.200 million can be removed from the costs. However, the continued requirement for safety and hygiene regimes means that these costs, estimated at £0.850 million requires to be included. The safe re-opening of schools return to school has allowed a further refinement of other costs and has allowed a net reduction in costs, including loss of income and spend not made of £0.635 million. Taking these together, results in a **net reduction in costs of £12.985 million.**

- 6.4. In addition to this, £30 million has been made available by the Scottish Government to provide laptops for disadvantaged children and young people, and to roll out digital devices to school pupils to enable them to study online. The Council's share of the allocation has been confirmed as £1.469 million, of which £0.216 million is revenue funding. While the Council will spend all of the allocation of £1.469 million, £0.459 million of costs were already included in the Education cost of recovery, and therefore this funding allocation **reduces the net cost to the Council by the £0.459 million.**
- 6.5. Taking both of these items together allows a **reduction in costs of £13.444 million.**
- 6.6. **Education Funding Update:** In early August, a number of funding streams were identified in relation to Education to support the safe re-opening of schools, totalling £130 million nationally. This is split between 2020/2021 and 2021/2022, reflecting the 2020/2021 academic year which spans two financial years. Details of the Council's share of these funding streams is detailed below.
- 6.7. The Council's share of the £50 million for additional teachers and support staff has been confirmed (£2.167 million) for 2020/2021, with the Council receiving a further £0.975 million for Teachers and £0.108 million for Support in 2021/2022. In addition, the Council has also received confirmation of its share of the £30 million for Additional Teachers (£1.300 million) and of the £1.500 million Transport mobilisation funding (£0.072 million). These have been included in Education Resources' budgets in Appendix 1.
- 6.8. In addition, there are two further national funds, which the Council expect to receive a share of. The first of these is the £20 million investment monies to assist with the mobilisation of schools, particularly rural transport and cleaning. The Council's share is estimated at £1.300 million and this is included in the figures. The second of these is the £30 million further mobilisation fund where bids will require to be made and allocations will be based on evidence of need, therefore nothing has been included in the figures.
- 6.9. Finally, the Council has been notified of an allocation of transitional funding for Childcare Providers, who will apply to the Council for payments from this funding. The Council's allocation is £0.608 million and as it is ring-fenced for spend on childcare providers, therefore has no impact on the net COVID costs contained in this report.
- 6.10. Taking the items in 6.7 and 6.8 above, allows a **reduction in the COVID-19 costs to the Council of £4.839 million.**
- 6.11. **SLLC Loss of Income:** SLLC are anticipating an improvement on the previous position anticipated. This follows an exercise to refine costs/income loss, as well as receiving confirmation of grant funding and also more certainty regarding the expected funding from the Government's Job Retention Scheme. These will allow a **reduction of £3.200 million** to the overall projected loss of income position being

forecast. This is still very much an estimated position and will depend on the level of attendance at venues over the coming months.

- 6.12. **Consequential Funding:** The Scottish Government have received £49 million in additional consequential funding which will be passed in full to councils in full. At a meeting of COSLA Leaders (28 August 2020), it was agreed to distribute this funding based on Grant Aided Expenditure + Special Island Needs Allowance which is in line with the distribution method used for previous flexible funding for councils. The Council's allocation has not been confirmed but is estimated at £2.940 million. This estimate has been included in the cost calculations and allows the net **cost to be reduced by the £2.940 million**.
- 6.13. Table 3 shows the movement in the projected costs taking into account the movements detailed in sections 6.3 to 6.12. The net costs to the Council would reduce to £4.639 million.

Table 3 – Movement in Net Costs to the Council 2020/2021

| | £m |
|---|--------------|
| Previously Reported Net Cost for 2020/2021 (Recovery Board, 5 August) | 29.062 |
| Less: Reduction in Education Costs including loss of income and spend not made (<i>section 6.5</i>) | (13.444) |
| Less: Additional Education Funding (<i>section 6.7 and 6.8</i>) | (4.839) |
| Less: SLLC – Reduction in Loss of Income (<i>section 6.11</i>) | (3.200) |
| Less: Consequential Funding (<i>section 6.12</i>) | (2.940) |
| Revised Net Cost to the Council | 4.639 |

- 6.14. The position above does not include any costs in relation to the service delegated to the Integrated Joint Board (IJB) (section 4.12 and 4.13). The Council has submitted estimates of the total costs of the Social Care services delegated to the IJB to the Scottish Government as part of their mobilisation plan, totalling £23.6 million. We are still assuming that the Scottish Government will fully fund these costs, however, if we do not receive all of the funding this is a risk to the Council's financial position.
- 6.15. The revised net costs to the Council for 2020/2021, along with the Government Grant available, are summarised in Table 4. Table 4 also includes the level of savings not achievable and the SLLCT shortfall. The Table finally shows the net position assuming that the additional cost of Capital is managed through the Capital Programme.

Table 4: Net Cost to the Council for 2020/2021 (Revised)

| | £m |
|---|---------------|
| Identify Costs for 2020/2021 including Recovery plans | 27.682 |
| Lost Income | 9.051 |
| Spend Not Made | (4.802) |
| Net Cost to the Council in 2020/2021 <i>Detailed across Resources in Appendix 1</i> | 31.931 |
| Government Grant Confirmed to Date (mid-August 2020) - Hardship Fund balance (£2.227m), Food Fund (£1.937m and £1.776m), Consequential (£9.233m), Education Funding (£2.167m), IT Equipment Funding (£1.469m), Teachers (£1.300m), Transport Mobilisation (£0.072m), Mobilisation (est. £1.300m), and Consequential (est. 2.940m) | (24.421) |
| Net Cost to the Council for 2020/2021 (after Government Grant) | 7.510 |
| Savings Not Achievable | 1.020 |
| SLLCT Shortfall | 3.200 |
| Revised Net Cost to the Council for 2020/2021 | 11.730 |
| Less: Costs Associated with Capital | (7.091) |
| Revised Net Cost to the Council excluding Capital <i>(shown in Appendices 4)</i> | 4.639 |

- 6.16. The lost income in Table 4 above includes income in relation to SLLC. The figure shown has been updated following refinement of the estimates by SLLC. However, the final position will depend on the return to service and also on the uptake of those services.
- 6.17. The net cost reported in Table 4 includes a number of assumptions including the assumption that a level of charge is made to HRA and capital programmes (£23.485 million). If this level of recharge was not made the level of costs would increase to £28.124 million (see Appendix 4).
- 6.18. **Education Flexible Funding**
Previous Scottish Government announcements have given councils flexibility on how they use their Pupil Equity Fund (PEF) monies this financial year. For the Council, there is up to £3.100 million of this flexible funding which could be used to contribute towards the costs of COVID-19. At this point, this has not been included in the figures for Education in this report. Guidance from the Government is that while flexibility is being extended in the use of the PEF money, it is expected that spend is still directed toward addressing inequity.
- 6.19. An analysis of additional spend that could fall into the category of addressing inequity has identified £1.500 million that is required by schools and therefore not available to assist with managing the costs of COVID. This leaves a balance of £1.600 million that could be spend through the flexibility offered by the Government. The situation regarding the remaining monies will continue to be monitored.
- 6.20. For information, there is also £0.200 million of SAC Schools Programme funding granted to schools for this year. However, there is no facility to re-direct any unallocated money and again, this is not included in the figures for Education in this report.

- 6.21. **Council Tax / CTRS** - The figure does not include any impact of COVID-19 on Council Tax or CTRS, on the basis that a recent projection of the net income position, compared to budget for the year, shows a minimal variance.

7. Funding Update

- 7.1. Work continues on ensuring we are aware of all opportunities on funding to help meet costs pressures.
- 7.2. **UK Government Consequential:** The Scottish Government is committed to passing the previously announced £49 million additional consequential to Local Government in full. At a meeting of COSLA Leaders on 28 August 2020, it was agreed that the £49 million would be distributed now and can be used flexibly.
- 7.3. In addition, a loss of income scheme in England has resulted in further consequential for Scotland, however, the figure will not be known until English Councils have submitted their information to the Government.
- 7.4. It has been identified that there are restrictions on the English Scheme, which excludes commercial rental income and lost income for ALEO's which are significant issues for Scottish councils. The loss of income would only apply to sales, fees and charges where the Council has income budgets in relation to the delivery of services.
- 7.5. At a meeting of COSLA Leaders on 28 August, it was agreed that the loss of income for ALEO's should be included in the Scottish scheme. Civil servants will work with COSLA and Local Government stakeholders to design a Loss of Income scheme appropriate for Scotland and this work is underway.
- 7.6. The Government has also announced £107 million for cultural recovery, of which £32.5 million is committed. COSLA is seeking advice on the information being put to Ministers on the remaining £75 million as this could impact on the wide range of cultural services run or supported by councils and could go towards protecting communities from the impact that service closures or reductions in grant support would have.
- 7.7. **Fiscal Flexibility:** As reported previously, six requests have been made to the Government for fiscal flexibilities including permission to borrow for revenue costs, flexibility on how capital grant is used, as well as holidays for debt interest and principal payments. The flexibilities requested also include being able to meet the costs of any deficit in our financial position over a number of years, and for flexibility in using any unspent business grants.
- 7.8. Of the six previous requests around fiscal flexibilities, only two are still being considered: the flexibility to use capital grant to fund revenue and the use of the underspends in the business grants funding. Further discussions have resulted in two additional options being considered which would be subject to the issue of temporary legislation or statutory guidance: Loans Fund principal repayment holiday and Service concessions for PPP/PFI contracts. A further update is expected following discussions due to take place at the end of August.

8. Employee Implications

- 8.1. None.

9. Financial Implications

- 9.1. As detailed within this report.

10. Climate Change, Sustainability and Environmental Implications

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

11. Other Implications

- 11.1. 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.
- 11.2. There are no implications for sustainability in terms of the information contained in this report.

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. There is also no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

25 August 2020

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, Effective, Efficient and Transparent

Previous References

- ◆ None

List of Background Papers

- ◆ Financial ledger and budget monitoring results to 14 August 2020

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
Period Ended 14 August 2020 (No.5)

| <u>Committee</u> | Annual Budget | Annual Forecast | Annual Forecast Variance | Budget Proportion to 14/08/20 | Actual to Period 5 14/08/20 | Variance to 14/08/20 | |
|---|----------------|-----------------|--------------------------|-------------------------------|-----------------------------|----------------------|-------------|
| Departments: | £m | £m | £m | £m | £m | £m | |
| Community and Enterprise Resources | 107.702 | 107.702 | 0.000 | 34.610 | 38.510 | (3.900) | over |
| Facilities Streets Waste and Grounds | 65.599 | 65.599 | 0.000 | 18.863 | 18.704 | 0.159 | under |
| Environmental Services (Inc. Projects) | 0.925 | 0.925 | 0.000 | (1.720) | (1.504) | (0.216) | over |
| Leisure and Culture Services | 19.321 | 19.321 | 0.000 | 9.653 | 9.633 | 0.020 | under |
| Planning and Economic Development | 2.140 | 2.140 | 0.000 | 0.900 | 1.242 | (0.342) | over |
| Roads | 19.717 | 19.717 | 0.000 | 6.914 | 7.575 | (0.661) | over |
| COVID19 | 0.000 | 0.000 | 0.000 | 0.000 | 2.860 | (2.860) | over |
| Education Resources | 353.129 | 353.129 | 0.000 | 96.206 | 97.680 | (1.474) | over |
| Education | 353.129 | 353.129 | 0.000 | 96.206 | 96.317 | (0.111) | over |
| COVID19 | 0.000 | 0.000 | 0.000 | 0.000 | 1.363 | (1.363) | over |
| Finance and Corporate Resources | 36.097 | 36.097 | 0.000 | 19.164 | 19.944 | (0.780) | over |
| Finance Services - Strategy | 1.982 | 1.982 | 0.000 | 1.298 | 1.293 | 0.005 | under |
| Finance Services - Transactions | 13.685 | 13.685 | 0.000 | 7.144 | 7.268 | (0.124) | over |
| Audit and Compliance Services | 0.330 | 0.330 | 0.000 | 0.231 | 0.234 | (0.003) | over |
| Information Technology Services | 4.707 | 4.707 | 0.000 | 4.220 | 4.006 | 0.214 | under |
| Communications and Strategy Services | 0.957 | 0.957 | 0.000 | 0.546 | 0.616 | (0.070) | over |
| Administration and Licensing Services | 4.204 | 4.204 | 0.000 | 2.320 | 2.486 | (0.166) | over |
| Personnel Services | 10.232 | 10.232 | 0.000 | 3.405 | 3.469 | (0.064) | over |
| COVID19 | 0.000 | 0.000 | 0.000 | 0.000 | 0.572 | (0.572) | over |
| Housing and Technical Resources | 13.994 | 13.994 | 0.000 | 1.681 | 2.124 | (0.443) | over |
| Housing Services | 8.543 | 8.543 | 0.000 | 1.416 | 1.416 | 0.000 | - |
| Property Services | 5.451 | 5.451 | 0.000 | 0.265 | 0.265 | 0.000 | - |
| COVID19 | 0.000 | 0.000 | 0.000 | 0.000 | 0.443 | (0.443) | over |
| Social Work Resources | 172.411 | 172.411 | 0.000 | 62.456 | 62.788 | (0.332) | over |
| Performance and Support Services | 8.044 | 8.044 | 0.000 | 3.069 | 3.011 | 0.058 | under |
| Children and Families | 35.610 | 35.610 | 0.000 | 12.708 | 12.911 | (0.203) | over |
| Adults and Older People | 127.251 | 127.251 | 0.000 | 46.271 | 46.271 | 0.000 | - |
| Justice and Substance Misuse | 1.506 | 1.506 | 0.000 | 0.408 | 0.372 | 0.036 | under |
| COVID19 | 0.000 | 0.000 | 0.000 | 0.000 | 0.223 | (0.223) | over |
| Joint Boards | 2.245 | 2.245 | 0.000 | 0.732 | 0.732 | 0.000 | - |
| | 685.578 | 685.578 | 0.000 | 214.849 | 221.778 | (6.929) | over |

| <u>Committee</u> | Annual Budget | Annual Forecast | Annual Forecast Variance | Budget Proportion to 14/08/20 | Actual to Period 5 14/08/20 | Variance to 14/08/20 | |
|------------------------------------|----------------|-----------------|--------------------------|-------------------------------|-----------------------------|----------------------|-------------|
| | £m | £m | £m | £m | £m | £m | |
| Service Departments Total | 685.578 | 685.578 | 0.000 | 214.849 | 221.778 | (6.929) | over |
| CFCR | 1.531 | 1.531 | 0.000 | 0.000 | 0.000 | 0.000 | - |
| Loan Charges | 49.743 | 49.743 | 0.000 | 17.765 | 17.765 | 0.000 | - |
| Corporate Items | 5.706 | 5.706 | 0.000 | 0.053 | 0.053 | 0.000 | - |
| Corporate Items – COVID-19 | 15.173 | 15.173 | 0.000 | 9.954 | 3.030 | 6.924 | under |
| Corporate Items – 21/22 Strategy | 5.389 | 5.389 | 0.000 | 0.000 | 0.000 | 0.000 | - |
| Total Expenditure | 763.120 | 763.120 | 0.000 | 242.621 | 242.626 | (0.005) | over |
| Council Tax | 159.471 | 159.471 | 0.000 | 56.954 | 56.954 | 0.000 | - |
| Less: Council Tax Reduction Scheme | (21.304) | (21.304) | 0.000 | (7.609) | (7.609) | 0.000 | - |
| Net Council Tax | 138.167 | 138.167 | 0.000 | 49.345 | 49.345 | 0.000 | - |
| General Revenue Grant | 344.036 | 344.036 | 0.000 | 129.825 | 129.825 | 0.000 | - |
| General Revenue Grant- COVID19 | 20.541 | 20.541 | 0.000 | 9.233 | 9.233 | 0.000 | - |
| Non Domestic Rates | 226.179 | 226.179 | 0.000 | 91.842 | 91.842 | 0.000 | - |
| Transfer from Reserves | 34.197 | 34.197 | 0.000 | 34.197 | 34.197 | 0.000 | - |
| Total Income | 763.120 | 763.120 | 0.000 | 314.442 | 314.442 | 0.000 | - |
| Net Expenditure / (Income) | 0.000 | 0.000 | 0.000 | (71.821) | (71.816) | (0.005) | over |

SOUTH LANARKSHIRE COUNCIL
Revenue Budget Monitoring Report
Period Ended 24 August 2020 (No.5)

Budget Category**Service Departments:****Expenditure**

| | Annual Budget | Annual Forecast | Annual Forecast Variance | Budget Proportion to 14/08/20 | Actual to Period 5 14/08/20 | Variance to 14/08/20 | |
|---|------------------|--------------------|--------------------------------|-------------------------------------|--------------------------------------|----------------------------|------------------|
| | £m | £m | £m | £m | £m | £m | |
| Employee Cost | 528.801 | 528.801 | 0.000 | 186.989 | 188.292 | (1.303) | over |
| Property Costs | 52.801 | 52.801 | 0.000 | 9.461 | 10.266 | (0.805) | over |
| Supplies and Services | 57.724 | 57.724 | 0.000 | 16.655 | 12.636 | 4.019 | under |
| Transport Costs | 40.491 | 40.491 | 0.000 | 14.307 | 14.073 | 0.234 | under |
| Administration Costs | 15.081 | 15.081 | 0.000 | 4.957 | 5.101 | (0.144) | over |
| Payments to Other Bodies | 116.174 | 116.174 | 0.000 | 64.371 | 64.513 | (0.142) | over |
| Payments to Contractors | 199.058 | 199.058 | 0.000 | 60.828 | 63.817 | (2.989) | over |
| Transfer Payments | 5.733 | 5.733 | 0.000 | 3.337 | 3.247 | 0.090 | under |
| Housing Benefits | 70.686 | 70.686 | 0.000 | 23.325 | 23.049 | 0.276 | under |
| Financing Charges (controllable) | 2.011 | 2.011 | 0.000 | 1.056 | 1.074 | (0.018) | over |
| Total | 1,089.168 | 1,089.168 | 0.000 | 385.286 | 386.068 | (0.782) | over |
| Service Departments Total | 1,088.560 | 1,088.560 | 0.000 | 385.286 | 386.068 | (0.782) | over |
| CFCR | 1.531 | 1.531 | 0.000 | 0.000 | 0.000 | 0.000 | - |
| Loan Charges | 49.743 | 49.743 | 0.000 | 17.765 | 17.765 | 0.000 | - |
| Corporate Items | 5.706 | 5.706 | 0.000 | 0.053 | 0.053 | 0.000 | - |
| Corporate Items - COVID-19 | 15.173 | 15.173 | 0.000 | 9.954 | 3.030 | 6.924 | under |
| Corporate Items - 21/22 Strategy | 5.389 | 5.389 | 0.000 | 0.000 | 0.000 | 0.000 | - |
| Total Expenditure | 1,166.102 | 1,166.102 | 0.000 | 413.058 | 406.916 | 6.142 | under |
| Income | | | | | | | |
| Housing Benefit Subsidy | 65.542 | 65.542 | 0.000 | 19.984 | 19.847 | (0.137) | under rec |
| Other Income | 337.440 | 337.440 | 0.000 | 151.185 | 145.175 | (6.010) | under rec |
| Council Tax (Net of Council Tax Reduction Scheme) | 138.167 | 138.167 | 0.000 | 49.345 | 49.345 | 0.000 | - |
| General Revenue Grant | 344.036 | 344.036 | 0.000 | 129.825 | 129.825 | 0.000 | - |
| General Revenue Grant - COVID-19 | 20.541 | 20.541 | 0.000 | 9.233 | 9.233 | 0.000 | - |
| Non Domestic Rates | 226.179 | 226.179 | 0.000 | 91.842 | 91.842 | 0.000 | - |
| Transfer from Reserves | 34.197 | 34.197 | 0.000 | 34.197 | 34.197 | 0.000 | - |
| Total Income | 1,166.102 | 1,166.102 | 0.000 | 485.611 | 479.464 | (6.147) | under rec |
| Net Expenditure / (Income) | 0.000 | 0.000 | 0.000 | (72.553) | (72.548) | (0.005) | over |

COVID-19 Expenditure to 14 August 2020

Additional Costs

| Service | Description of Cost | Value £m |
|--|--|--------------|
| Community and Enterprise Resources | | |
| Fleet, Environmental and Projects | Staffing costs supporting COVID response | 0.118 |
| Facilities, Streets, Waste and Grounds | Staffing costs supporting COVID response | 0.026 |
| Planning and Economic Development | Staffing costs supporting COVID response | 0.003 |
| Facilities, Streets, Waste and Grounds | PPE, Equipment and cleaning materials for staff. | 0.581 |
| Facilities, Streets, Waste and Grounds | Fleet costs including fuel supporting COVID19 response | 0.031 |
| Facilities, Streets, Waste and Grounds and Fleet, Environmental and Projects | Printing and Stationery, signage and mobile phones | 0.044 |
| Facilities, Streets, Waste and Grounds | Increase in domestic waste tonnage | 0.730 |
| Leisure | Impact of lost income on SLLCT establishments | 1.327 |
| Education Resources | | |
| Schools | Supply Teachers (April, May and June) | 0.502 |
| Support Services | Education Additional Staffing (to August) | 0.084 |
| YFCL | Hub School Janitors (April and May) | 0.020 |
| YFCL | YFCL Sessional Additional Hours (April and May) | 0.021 |
| YFCL | Summer Hubs Sessional Sat (July and August) | 0.133 |
| Schools | Facilities Orders (Hand sanitisers / soap dispensers / bins / wipes / hand towels) | 0.209 |
| Schools / ELC | Central Orders (Gloves /wipes / aprons / masks) | 0.163 |
| Schools / ELC | SW Recharges (Wipes / aprons / masks) | 0.028 |
| Schools | Hub Schools Supplies / Materials | 0.052 |
| Schools | Schools Hand Washing Supplies / Home Working Materials etc | 0.025 |
| Schools | Hub Schools Replenishment of Supplies / Materials | 0.023 |
| Schools | Signage / Posters / Stickers | 0.060 |
| ELC | ELC Provision to Key Workers | 0.043 |
| Finance and Corporate Resources | | |
| IT Services | IT related spend to allow home working and PPP cleaning | 0.146 |
| Finance (Transactions), Personnel and Communications and Strategy | Additional staff costs to process Business Grants, Scottish Welfare Fund applications, work on Wellbeing line and provision of additional information on social media. | 0.356 |
| All | PPE, Telephones and mail to support COVID response | 0.070 |
| Housing and Technical Resources | | |
| Housing and Property Services | Temporary accommodation costs for homeless people, set up costs for temporary mortuary facility and the cost of PPE for housing and property services staff. | 0.443 |
| Social Work Resources | | |
| Children & Family, Justice | Staffing costs to maintain service in children's home, support to vulnerable families and young people and costs related to the early release from prison | 0.223 |
| Total Additional Costs as at Period 5 | | 5.461 |

Council Tax and Council Tax Reduction Scheme (CTRS)

| Service | Description of Lost Income | Value £m |
|---|---|--------------|
| Council Tax | Loss of 2020/21 Council Tax Income including cancelled Direct Debits at end July 2020 | 0.000 |
| Council Tax | Loss of Council Tax arrears collection income at end July 2020 | 0.000 |
| CTRS | Cost of additional payments as at end July 2020 | 0.000 |
| Additional Cost/Lost Income as at Period 5 | | 0.000 |

Expenditure on Food Fund

| Service | Description of Lost Income | Value £m |
|--|--|--------------|
| Corporate Items | Expenditure on Food Fund related items including Free School Meals provision, paypoint costs for Free School Meals, provision of meals to hubs and social work and food to vulnerable households | 3.030 |
| Additional Costs as at Period 5 | | 3.030 |

Lost Income

| Service | Description of Lost Income | Value £m |
|---|--|--------------|
| Community and Enterprise Resources | | |
| Planning and Economic Development | Reduced income from Planning applications | 0.350 |
| Roads | Reduced Parking income and income from Roads Act legislation | 0.782 |
| Facilities, Streets, Waste and Grounds | Reduced school meals, care of gardens and special uplifts income | 0.939 |
| Fleet, Environmental and Projects | Reduced income from taxi inspections. | 0.046 |
| Education Resources | | |
| Early Years | Reduced income from Early Years Fees, playgroups and nursery milk claims | 0.295 |
| Support Services | Reduced income from Music Tuition fees | 0.059 |
| Support Services | Reduced income from Privilege transport | 0.005 |
| Finance and Corporate Resources | | |
| Administration, Legal and Licensing | Reduced income for Licensing and Registration | 0.128 |
| Communications and Strategy | Reduced print room income. | 0.080 |
| Total Lost Income as at Period 5 | | 2.684 |

Unspent Budget

| Service | Description of Lost Income | Value £m |
|---|--|----------------|
| Community and Enterprise Resources | | |
| Facilities, Streets, Waste and Grounds | Reduced expenditure on food purchases | (0.953) |
| Facilities, Streets, Waste and Grounds | Reduced expenditure on fireworks display | (0.020) |
| Education Resources | | |
| Support Services | West Partnership Income | (0.012) |
| Schools | Gas (April and May) | (0.103) |
| YFCL | Holiday Lunch Clubs | (0.133) |
| Unspent Budget as at Period 5 | | (1.221) |

| | | |
|--|--|--------------|
| Net Cost of COVID-19 as at Period 5 | | 9.954 |
|--|--|--------------|

SOUTH LANARKSHIRE COUNCIL
Revenue Budget Monitoring Report
Period Ended 14 August 2020 (No.5)
Housing Revenue Account

| | Annual Budget | Forecast for Year | Annual Forecast Variance | Budget Proportion to 14/08/20 | Actual to Period 5 14/08/20 | Variance to 14/08/20 | | % | Note |
|----------------------------------|---------------|-------------------|--------------------------|-------------------------------|-----------------------------|----------------------|-----------|--------|------|
| | £m | £m | £m | £m | £m | £m | | | |
| Employee Costs | 13.721 | 13.721 | 0.000 | 4.801 | 4.712 | 0.089 | under | 1.9% | 1 |
| Property Costs | 46.661 | 46.661 | 0.000 | 17.185 | 17.180 | 0.005 | under | 0.0% | |
| Supplies & Services | 0.996 | 0.996 | 0.000 | 0.238 | 0.249 | (0.011) | over | (4.6%) | |
| Transport & Plant | 0.195 | 0.195 | 0.000 | 0.024 | 0.022 | 0.002 | under | 8.3% | |
| Administration Costs | 5.644 | 5.644 | 0.000 | 1.628 | 1.624 | 0.004 | under | 0.2% | |
| Payments to Other Bodies | 3.176 | 3.176 | 0.000 | 1.159 | 1.159 | 0.000 | - | 0.0% | |
| Payments to Contractors | 0.100 | 0.100 | 0.000 | 0.085 | 0.089 | (0.004) | over | (4.7%) | |
| Transfer Payments | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | - | n/a | |
| Financing Charges | 19.448 | 19.448 | 0.000 | 5.807 | 5.790 | 0.017 | under | 0.3% | |
| Total Controllable Expenditure | 89.941 | 89.941 | 0.000 | 30.927 | 30.825 | 0.102 | under | 0.3% | |
| Total Controllable Income | (107.634) | (107.634) | 0.000 | (35.548) | (34.899) | (0.649) | under rec | (1.8%) | 2 |
| Transfer to/(from) Balance Sheet | (0.315) | (0.315) | 0.000 | (0.093) | (0.640) | 0.547 | over rec | 588.1% | 3 |
| Net Controllable Expenditure | (18.008) | (18.008) | 0.000 | (4.714) | (4.714) | 0.000 | - | 0.0% | |
| Add: Non Controllable Budgets | | | | | | | | | |
| Financing Charges | 18.008 | 18.008 | 0.000 | 6.710 | 6.710 | 0.000 | - | 0.0% | |
| Total Budget | 0.000 | 0.000 | 0.000 | 1.996 | 1.996 | 0.000 | - | 0.0% | |

Variance Explanations

1. Employee Costs

This underspend reflects the level of turnover within the Service.

2. Income

The under recovery of income reflects the delay in the level of additional new build properties due to COVID19 lockdown.

3. Transfer to/(from) Balance Sheet

This reflects the current anticipated year end transfer from reserves. The transfer will depend on the final outturn, and currently the transfer required is higher than anticipated due to the under recovery of income as a result of COVID19 lockdown. The position will be closely monitored as lockdown arrangements change over the coming months.

Presentation of costs including recharging to HRA and Capital

| | £m | £m |
|---|--------------------|-----------------|
| Overall Costs and loss of income <i>(including lost income from Property services, and Ground / facilities and waste services)</i> | | 55.416 |
| SLLC and Savings not Achievable | | <u>4.220</u> |
| | | 59.636 |
| Less: Recharging to HRA, General Fund and Capital | ** (23.485) | |
| Less: Capital costs being met from capital | <u>(7.091)</u> | <u>(30.576)</u> |
| | | |
| Revised costs | | 29.060 |
| | | |
| Less: Government Grant confirmed | | <u>(24.421)</u> |
| | | |
| Net costs to the council (excluding capital) | | 4.639 |

**** As shown at Section 6.17 – if costs are not recharged to HRA and Capital the overall costs increase to £28.124m (£23.485m + £4.639m)**

Report

4

Report to: **Executive Committee**
 Date of Meeting: **23 September 2020**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Capital Programme 2020/2021 Update and Monitoring
for Period 5 – 1 April to 14 August 2020**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ Propose a 2020/2021 Capital Programme for the following two programmes:
 - ♦ General Fund Programme (including Education, Social Work, Roads and Other General Services),
 - ♦ Housing Investment Programme.
- ♦ update the Executive Committee of progress on the Capital Programme for the period 1 April to 14 August 2020.

2. Recommendation(s)

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

- (1) That the revised 2020/2021 Capital Programmes for General Services of £81.003 million (section 4.7) and Housing of £48.172 million (Section 5.3), be approved;
- (2) that the adjustments to the General Fund programme listed at Appendix 2, be approved;
- (3) that the Period 5 position (ended 14 August 2020) of the General Fund Capital Programme itemised at Appendices 3 and 4 and the Housing Capital Programme at Appendix 5, be noted and
- (4) that the revised programmes be monitored by the Financial Resources Scrutiny Forum.

3. Background

- 3.1. As noted in the latest report to this Committee (12 August 2020), the starting budget for the 2020/2021 General Services Capital Programme, including carry forward, is £106.733 million. For the Housing Capital Programme, the starting budget for the year is £97.303 million.
- 3.2. It was also noted that the progress in delivery of the new year programmes has been affected by the lockdown due to COVID-19. The ongoing implications of this, including the closure of construction sites in advance of the financial year end, had an impact on the level of capital spend achieved in 2019/2020 and this has continued into 2020/2021 with an initial four month delay experienced across the Capital Programme. In addition, the ongoing requirements of social distancing will have implications on the project delivery timescales moving forward.

3.3. Over the early months of the new financial year, as lockdown restrictions started to ease, consideration has been given to establishing an achievable Capital Programme for the current year. This report will summarise the expected spend position for the financial year 2020/2021, along with an update on the position as at 14 August 2020, for the following:

- ◆ General Fund Capital Programme including Education, Social Work, Roads and Transportation and General Services (Section 4).
- ◆ Housing Capital Programme (Section 5).

4. General Fund - 2020/2021 Capital Programme Update

- 4.1. As noted at section 3.1, a revised starting budget for the year, including carry forward, of £106.733 million is available.
- 4.2. As noted in 3.3, Resources have worked to establish an achievable Capital Programme for the current year. Appendix 1 details the original budget allocation for the year as well as the revised budget allocation now proposed as a result of the COVID-19 pandemic. This revised allocation also takes account of additional funding awarded to the Council over the summer months, including allocations from Strathclyde Passenger Transport and Sustrans. This is summarised across Resources in Table 1, and totals £73.112 million. This is a reduction of £33.621 million on the original budget.

Table 1: Revised 2020/2021 Capital Programme

| Resource | Original Budget 2020/2021 (£m) | Revised Budget 2020/2021 (£m) | Movement Decrease / (Increase) (£m) |
|---|---|--|--|
| Community and Enterprise | 48.200 | 35.401 | 12.799 |
| Education | 35.000 | 21.453 | 13.547 |
| Finance and Corporate | 5.249 | 4.749 | 0.500 |
| Housing and Technical | 12.467 | 10.665 | 1.802 |
| Social Work | 5.817 | 0.844 | 4.973 |
| | | | |
| Resources' Capital Programme | 106.733 | 73.112 | 33.621 |
| | | | |
| Additional Costs (<i>section 4.4</i>) | - | 7.091 | (7.091) |
| H&T Overheads (<i>section 4.5</i>) | - | 0.800 | (0.800) |
| | | | |
| TOTAL EXPENDITURE | 106.733 | 81.003 | 25.730 |

- 4.3. **Additional Costs:** The increased costs associated with protracted timescales for projects as they work under social distancing regimes are still being discussed with contractors and are therefore not included in the revised spend prediction. This will only become apparent when all projects affected restart and have had sufficient time to fully understand the implications of Social Distancing on the programme / sequencing of the project. The Executive Committee will be advised when this becomes clearer, and exceptions will be presented for approval, to allow the programme to be adjusted.
- 4.4. In addition, other costs in relation to contractor claims and loss of income totalling £7.091 million have been estimated. These additional costs have now been added to the Council's capital expenditure requirement in 2020/2021.

- 4.5. The budgeted spend also includes an additional allocation of £0.800 million which is required to manage the level of overheads to be applied by Property Services. .
- 4.6. It is estimated that the Capital Programme of £73.112 million already includes recharges of £13.900 million from Property Services, therefore an additional £0.800 million has been added to the 2020/2021 Capital Programme.
- 4.7. The adjustments noted at sections 4.4 and 4.5, total £7.891 million and when added to the deliverable spend of £73.112 million, take the Programme budget to **£81.003 million**.
- 4.8. In-year, the budget requirement of £81.003 million is a **reduction of £25.730 million** (24.11%) from the original budget of £106.733 million.
- 4.9. **Impact on Funding:** This reduction in spend of £25.730 million is made up of projects which will not achieve spend of £38.501 million, offset by additional spend due to additional funding awarded (£4.880 million) and additional in-year costs (£7.891 million). Table 2 shows the original and revised funding package. As a result of the delays experienced in project spend, there is a reduction of £25.730 million in the amount of funding being used this year.

Table 2 – Revised Funding Package 2020/2021

| | Original Funding 2020/2021 (£m) | Revised Funding 2020/2021 (£m) | Movement Decrease / (Increase) (£m) |
|--------------------------------------|--|---|--|
| General Capital Grant | 21.373 | 21.373 | - |
| Other Specific Grants | 21.525 | 16.903 | 4.622 |
| City Deal / Developers Contributions | 7.971 | 7.021 | 0.950 |
| Reserves | 1.994 | 1.133 | 0.861 |
| External Income | 2.168 | 5.291 | (3.123) |
| Borrowing | 46.313 | 27.782 | 18.531 |
| Roads Revenue Contribution | - | 1.500 | (1.500) |
| Revenue Contribution | 5.389 | - | 5.389 |
| TOTAL FUNDING | 106.733 | 81.003 | 25.730 |

- 4.10. Table 2 shows that grant / specific revenue / reserves funding of £1.810 million borrowing of £18.531 million and the revenue contribution of £5.389 million will no longer be required in 2020/2021.
- 4.11. **General Services - Period 5 Position:** Since the revised budget position detailed in section 4.7. was reported to the Recovery Board on the 20 August, amendments to the Capital Programme for period 5 have been proposed by Resources. They total an increase of £2.113 million and are detailed in Appendix 2. Therefore, a revised budget for the General Fund Programme of £83.116 million is presented in Appendix 3.
- 4.12. The programme spend and funding for the General Fund is summarised in Appendix 4. As noted in 4.11, the total capital spending programme for the year is £83.116 million.
- 4.13. Budget for the period is £11.399 million and spend to the 14 August 2020 is £11.399 million.
- 4.14. Actual funding received to 14 August 2020 is £49.464 million

5. Housing Programme - 2020/2021 Capital Programme Update

- 5.1. As noted at section 3.1, a revised starting budget for the year of £97.303 million is available for the Housing Capital Programme. The two main elements of the capital programme were the continuation to plan and undertake the works needed to keep Council homes to the SHQS and improve the quality of housing for tenants in line with the requirements of EESSH (£26.537 million) and a significant work stream to increase the supply of Council housing (£70.766 million).
- 5.2. As with the General Services Programme, there have been delays in projects caused by lock down and it is also anticipated that there will be protracted timescales for projects while works are subject to the social distancing regime and a potential increase in costs associated with new working practices.
- 5.3. For the Housing Capital Programme, current estimates from Housing and Technical Resources estimate an **outturn of circa £48.172 million**.
- 5.4. This figure includes a revised forecast for increasing the supply of Council housing of £30.039 million, based on a combination of delayed or interrupted site start dates and elongated work delivery schedules as a result of Covid-19. This will therefore require £40.727 million to be carried forward into future financial years to complete the original plans. This figure does not include any potential increase in costs associated with new working practices as a result of Covid-19. Any impact of this will require to be incorporated into the revised thirty year HRA business plan.
- 5.5. The revised forecast for the remaining planned expenditure of £26.537 million has been reduced to £13.268 million, in line with the current Building Services expectations on the revenue repairs programme of being able to deliver 6 months of the originally planned workload during 2020/2021. This is an ambitious goal for the service and detailed plans are continuing to be developed and adapted as further government guidance is provided.
- 5.6. In addition to the planned works, there will be higher costs incurred. For HRA capital this is estimated at around £4.865 million at present. This is included in the revised programme of £48.172 million.
- 5.7. **2020/2021 Funding:** As noted above the revised overall expenditure requires a revised funding package to match the £48.172 million expenditure planned.
- 5.8. A key element of this year's funding package was Scottish Government grant – Additional Council Houses to deliver the Scottish Government's increased supply targets. A revised forecast based on the revised plans should allow for grant of £19.924 million to be achieved. This is continuously monitored as part of regular meetings with the Scottish Government. The balance of £4.722 million will slip into future financial years.
- 5.9. The remaining slippage in funding is in relation to planned borrowing (£43.095m) and CFCR (£1.314m) for 2020/2021 totalling £44.409m and reflects the impact of 5.6 noted above.
- 5.10. Appendix 5 summarises the position on the Housing programme. The revised capital programme for the year is £48.172 million. Programmed funding for the year also totals £48.172 million.

5.11. **Housing Programme - Period 5 Position:** Budget for the period is £8.989 million and spend to 14 August 2020 amounts to £8.991 million.

5.12. As at 14 August 2020, £8.991 million of funding had been received.

6. Employee Implications

6.1. None.

7. Financial Implications

7.1. The financial implications are included in sections 4 and 5 of the report. These cover the budget and period 5 monitoring position for the General Services and Housing Capital Programmes respectively.

7.2. Regular monitoring of both the General Fund Programme and the Housing Programme will be carried out in detail by the Financial Resources Scrutiny Forum and reported on a regular basis to the Executive Committee.

8. Climate Change, Sustainability and Environmental Implications

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

9. Other Implications

9.1. The main risk associated with the Council's Capital Programme 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.

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 existing policy, function or strategy and therefore no impact assessment is required.

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

Paul Manning

Executive Director (Finance and Corporate Resources)

27 August 2020

Link(s) to Council Values/Ambitions/Objectives

- Accountable, Effective, Efficient and Transparent

Previous References

- South Lanarkshire Council, 26 February 2020

List of Background Papers

Capital Ledger prints to 14 August 2020

Contact for Further Information

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

Lorraine O'Hagan, Finance Manager (Strategy)

Ext: 2601 (Tel: 01698 452601)

E-mail: lorraine.o'hagan@southlanarkshire.gov.uk

List of Projects 2020/2021

| Project Name | Original Budget 2020/2021 | Budget Required 2020/2021 | Movement |
|---|--------------------------------------|--------------------------------------|--------------------------------|
| | £m | £m | £m |
| Community and Enterprise Resources | | | |
| Extension / Improvement of Cemeteries | 1.903 | 0.185 | 1.718 |
| Zero Waste Fund Projects | 0.218 | 0.100 | 0.118 |
| Craighead Pavilion & Stadium Upgrade | 0.059 | 0.059 | - |
| Springhall Urban Greenspace Development (Springhall Cage) | 0.174 | 0.150 | 0.024 |
| Country Parks – Horseshoe Bridge | 0.200 | 0.010 | 0.190 |
| Allotments | 0.120 | - | 0.120 |
| War Memorials (Strathaven Statue) | 0.045 | 0.045 | - |
| Bin Storage Areas | 0.102 | 0.060 | 0.042 |
| Play Parks | 0.076 | 0.005 | 0.071 |
| Cashless System | 0.014 | 0.014 | - |
| James Hamilton Heritage Park | 0.015 | 0.015 | - |
| Memorial Headstone Remedial Works | 0.300 | 0.100 | 0.200 |
| Replacement Workshop Facility | 0.041 | 0.041 | - |
| Larkhall Leisure Centre | 0.500 | - | 0.500 |
| Springhall Community Centre – Upgrade | 0.229 | 0.293 | (0.064) |
| Hamilton Mausoleum | 0.475 | - | 0.475 |
| Tom Craig Centre – Upgrade of Lesser Hall | 0.118 | 0.118 | - |
| Existing Synthetic & Grass Pitches | 0.269 | 0.269 | - |
| Upgrades to Community Infrastructure | 0.086 | 0.062 | 0.024 |
| Priority Repairs to Building Infrastructure | 0.023 | 0.023 | - |
| Crematorium Shelter | 0.100 | - | 0.100 |
| Other minor property works | 0.222 | 0.051 | 0.171 |
| Flare System | 0.036 | 0.036 | - |
| Abington Campus for Enterprise | 0.483 | 0.483 | - |
| Rural Development Centre, Lanark | 0.800 | - | 0.800 |
| East Kilbride Town Centre Masterplan | 0.060 | 0.060 | - |
| Town Centre Regeneration Fund | 2.955 | 1.095 | 1.860 |
| City Deal – CGA's | 5.888 | 2.306 | 3.582 |
| Vacant & Derelict Land | 1.182 | 1.000 | 0.182 |
| Clyde Gateway | 0.819 | - | 0.819 |
| Other Roads Infrastructure Programme | 2.439 | 2.439 | - |
| Cycling, Walking & Safer Streets | 1.497 | 1.497 | - |
| National Strategic Cycle Routes (NSCR) | 0.114 | 0.175 | (0.061) |
| Bridges | 2.492 | 0.200 | 2.292 |
| Roads Investment Programme | 12.513 | 13.539* | (1.026) |
| Horsley Brae Contribution | 0.400 | 0.400 | - |
| Sustrans – Places for Everyone | 0.064 | 0.274 | (0.210) |
| Sustrans – School Cycle Parking | - | 0.016 | (0.016) |
| Sustrans – Spaces for People | - | 1.200 | (1.200) |
| Strategic Timber Transport Scheme | - | 0.385 | (0.385) |
| SPT | 0.537 | 1.220 | (0.683) |
| Transport Scotland – Clydesdale Transport Appraisal | 0.025 | 0.082 | (0.057) |
| HPIN Electric Vehicle Charging | 0.500 | 0.486 | 0.014 |
| Hamilton International Technology Park | 0.139 | 0.139 | - |
| Roads Depot – Salt Barn Improvements | 0.645 | - | 0.645 |
| Project Name | Original Budget 2020/2021 | Budget Required 2020/2021 | Inc / Dec) Movement |

| | £m | £m | £m |
|---|---------------|---------------|---------------|
| Community and Enterprise Resources (continued) | | | |
| City Deal – Roads projects | 9.323 | 6.769 | 2.554 |
| Total Community and Enterprise Resources | 48.200 | 35.401 | 12.799 |

*Includes £1.5m contribution from Roads Revenue.

| Project Name | Original Budget 2020/2021 | Budget Required 2020/2021 | Inc / Dec) Movement |
|--|---------------------------------|---------------------------------|------------------------|
| | £m | £m | £m |
| Education Resources | | | |
| Accommodation Pressures | 4.350 | 3.551 | 0.799 |
| Growth and Capacities | 1.356 | 0.605 | 0.751 |
| City Deal – Education Projects | 3.487 | 0.500 | 2.987 |
| Early Years 1,140 Hours | 20.614 | 12.880 | 7.734 |
| Education ICT | 4.605 | 3.500 | 1.105 |
| Primary Schools Modernisation Programme | 0.588 | 0.417 | 0.171 |
| Total Education Resources | 35.000 | 21.453 | 13.547 |
| | | | |
| Finance and Corporate Resources | | | |
| IT Infrastructure Refresh | 0.710 | 0.710 | - |
| Oracle Upgrade | 0.370 | 0.370 | - |
| New Website / CRM / MDM / Customer Portal /Integration Tools | 0.400 | 0.400 | - |
| Digital Connectivity | 0.355 | 0.355 | - |
| Caird Data Centre | 2.364 | 2.364 | - |
| Climate Change / Digital Transformation Fund | 1.000 | 0.500 | 0.500 |
| Mobile Working | 0.050 | 0.050 | - |
| Total Finance and Corporate Resources | 5.249 | 4.749 | 0.500 |

| Project Name | Original Budget 2020/2021 | Budget Required 2020/2021 | Inc / Dec) Movement |
|---|------------------------------|------------------------------|------------------------|
| | £m | £m | £m |
| Housing and Technical Resources | | | |
| Private Housing Scheme of Assistance | 1.000 | 0.750 | 0.250 |
| Prioritised Urgent Investment | 2.654 | 2.225 | 0.429 |
| Lifecycle Replacement Schools | 0.750 | 0.562 | 0.188 |
| Principal Offices – Fabric and Service Investment | 0.640 | 0.480 | 0.160 |
| Lock Up Areas – Housing Estates | 0.200 | - | 0.200 |
| Community Facilities Fund | 0.100 | 0.025 | 0.075 |
| Headquarters Fabric Upgrade | 0.824 | 0.818 | 0.006 |
| Council Offices – Brandon Gate | 0.070 | - | 0.070 |
| Planned Asset Management Programme | 4.726 | 4.726 | - |
| Gypsy Travellers Sites | 0.080 | 0.080 | - |
| Civic Centre Fabric Upgrade | 0.753 | 0.753 | - |
| CEEF Programme | 0.670 | 0.246 | 0.424 |
| Total Housing and Technical Resources | 12.467 | 10.665 | 1.802 |
| | | | |
| Social Work Resources | | | |
| Social Work Care Homes | 5.417 | 0.744 | 4.673 |
| Community Alarms | 0.400 | 0.100 | 0.300 |
| Total Social Work Resources | 5.817 | 0.844 | 4.973 |
| | | | |
| Total Resources | 106.733 | 73.112 | 33.621 |
| | | | |
| Additional Costs | - | 7.891 | (7.891) |
| | | | |
| Total 2020/2021 Capital Programme | 106.733 | 81.003 | 25.730 |

Proposed Adjustments (Period 5)**Community and Enterprise Resources****Abington Play Area**

Approval is sought to increase the 2020/2021 Capital Programme by £0.136m to enable the redevelopment of Abington Play Area. This will be funded by contributions from Clyde Wind Farm (£0.068m) and the Education Resources Capital Programme (£0.068m), as part of the original play park was utilised when building the new primary school.

£0.136m
(£0.068m)

Carstairs Village Play Area

Approval is sought to increase the 2020/2021 Capital Programme by £0.096m to enable the redevelopment of Carstairs Village Play Area. This will be funded by contributions from the following sources:

£0.096m

- EB Scotland (£0.025m);
- Renewable Energy Fund (£0.031m);
- Levensseat (£0.029m)
- School Parent Teacher Association (£0.006m);
- Quarry Fund (£0.004m);
- Tesco Bags for Help (£0.001m)

Wooddean Park, Bothwell - Play Area

Approval is sought to increase the 2020/2021 Capital Programme by £0.222m to enable the redevelopment of the existing play area within Wooddean Park, Bothwell. This will be funded by contributions from the following sources:

£0.222m

- Land Trust (£0.040m)
- SUEZ grant award (£0.050m)
- Planning Gain (£0.132m)

Switched on Fleet

Approval is sought to increase the 2020/2021 Capital Programme by £0.090m to progress the installation of additional electric vehicle charging points. This will be funded by a grant from the Energy Saving Trust.

£0.090m

Cambuslang Park and Ride

An allocation of £0.400m has been set-aside as a contribution towards the North Lanarkshire Council led road improvement works at Horsley Brae. However, as this project will not be taken forward by North Lanarkshire Council at this time, approval is requested to transfer this allocation to allow works to progress on the Cambuslang Park and Ride project.

£0.400m
(£0.400m)

Education Resources

Digital Inclusion

Approval is sought to increase the 2020/2021 Capital Programme by £1.253m to reflect funding awarded from the Scottish Government. This funding will be utilised to equip children and young people experiencing digital exclusion with appropriate digital devices and internet connectivity to ensure they can continue to connect with their schools, teachers and learning. £1.253m

Housing and Technical Resources

St Vincent Place, Lanark

The purchase of the currently leased Education Universal Connections at 13 St Vincent Place, Lanark was approved at the Housing and Technical Resources Committee on 5 February 2020. Approval is sought to increase the 2020/2021 Capital Programme by £0.223m to reflect this purchase. This will be funded from a previously received receipt. £0.223m

Travelling People's Sites

Approval is sought to increase the 2020/2021 Capital Programme to reflect funding award from the Scottish Government, which will be used to support investment in Gypsy /Traveller sites. A range of works to improve the site including improved community facilities, heating and digital inclusion have been planned. These works must go beyond those required to meet minimum site and fire safety standards. Some of this allocation may be utilised through the Housing Investment Programme. £0.133m

Minor Adjustments £0.028m

TOTAL ADJUSTMENTS £2.113m

APPENDIX 3

SOUTH LANARKSHIRE COUNCIL
CAPITAL EXPENDITURE 2020/2021
GENERAL SERVICES PROGRAMME
FOR PERIOD 1 APRIL 2020 TO 14 AUGUST 2020

£m

| | |
|---------------------------------|---------------|
| Total Original Budget | 81.003 |
| Proposed Adjustments – Period 5 | 2.113 |
| Total Revised Budget | 83.116 |

| <u>Resource</u> | <u>2020/2021 Budget</u> | <u>Period 5 Proposed Adjustments</u> | <u>Revised 2020/2021 Budget</u> |
|---|------------------------------------|---|--|
| | £m | £m | £m |
| Community & Enterprise | 35.401 | 0.554 | 35.955 |
| Education | 21.453 | 1.203 | 22.656 |
| Finance & Corporate | 4.749 | - | 4.749 |
| Housing & Technical | 10.665 | 0.356 | 11.021 |
| Social Work | 0.844 | - | 0.844 |
| Total Resources Capital Programme | 73.112 | 2.113 | 75.225 |
| Additional Costs | 7.091 | - | 7.091 |
| Housing and Technical Resources – Additional Overheads | 0.800 | - | 0.800 |
| TOTAL CAPITAL PROGRAMME | 81.003 | 2.113 | 83.116 |

APPENDIX 4

SOUTH LANARKSHIRE COUNCIL
CAPITAL EXPENDITURE 2020/2021
GENERAL FUND PROGRAMME
FOR PERIOD 1 APRIL 2020 TO 14 AUGUST 2020

| | <u>2020/2021</u> <u>Original</u> <u>Budget</u> <u>(inc C/F)</u> £m | <u>2020/202</u> <u>1</u> <u>Revised</u> <u>Budget</u> £m | <u>2020/2021</u> <u>Budget to</u> <u>14/08/20</u> £m | <u>2020/2021</u> <u>Actual to</u> <u>14/08/20</u> £m |
|--|--|--|---|---|
| Expenditure | | | | |
| General Fund Programme | 81.003 | 83.116 | 11.399 | 11.399 |
| Income | | | | |
| | <u>2020/2021</u> <u>Original</u> <u>Budget</u> £m | <u>2020/202</u> <u>1</u> <u>Revised</u> <u>Budget</u> £m | | <u>2020/2021</u> <u>Actual to</u> <u>14/08/20</u> £m |
| Prudential Borrowing | 27.782 | 23.918 | | 23.918 |
| Developers Contributions | 7.021 | 7.171 | | 0.615 |
| Partners (Including SPT, Sustrans, Blantyre Construction Ltd, Transport Scotland, and Renewable Energy Fund) | 5.291 | 5.644 | | 0.252 |
| Scottish Government: | | | | |
| - General Capital Grant | 21.373 | 21.373 | | 7.124 |
| Scottish Government: | | | | |
| - Cycling, Walking and Safer Streets | 1.497 | 1.497 | | - |
| - Vacant and Derelict Land | 1.000 | 1.000 | | 0.485 |
| - Early Years 1,140 Hours | 12.829 | 12.829 | | 12.829 |
| - Regeneration Capital Grant | 0.482 | 0.482 | | 0.482 |
| - Town Centre Regeneration Fund | 1.095 | 1.095 | | 1.095 |
| - Travelling People's Sites | - | 0.133 | | - |
| - Digital Inclusion | - | 1.253 | | - |
| Glasgow City Region City Deal | - | 4.057 | | - |
| Specific Reserves | 1.133 | 1.133 | | 1.133 |
| Revenue Contribution | 1.500 | 1.531 | | 1.531 |
| TOTAL FUNDING | 81.003 | 83.116 | | 49.464 |

APPENDIX 5

SOUTH LANARKSHIRE COUNCIL CAPITAL EXPENDITURE 2020/2021 HOUSING PROGRAMME FOR PERIOD 1 APRIL 2020 TO 14 AUGUST 2020

| | <u>2020/2021</u> <u>Annual</u> <u>Budget</u> £m | <u>2020/2021</u> <u>Budget to</u> <u>14/08/20</u> £m | <u>2020/2021</u> <u>Actual to</u> <u>14/08/20</u> £m |
|--|---|---|--|
| EXPENDITURE | | | |
| 2020/2021 Budget incl carry forward from 2019/20 | 48.172 | 8.989 | 8.991 |
| | | | |
| | <u>2020/202</u> <u>1 Annual</u> <u>Budget</u> £m | | <u>2020/202</u> <u>1 Actual</u> <u>to</u> <u>14/08/20</u> £m |
| INCOME | | | |
| Capital Funded from Current Revenue | 18.134 | | 8.991 |
| Prudential Borrowing | 9.994 | | - |
| Scottish Government Specific Grant: | | | |
| – New Build | 18.124 | | - |
| – Open Market Purchase Scheme | 1.800 | | - |
| – Mortgage to Rent | 0.120 | | - |
| TOTAL FUNDING | 48.172 | | 8.991 |

Report

5

| | |
|------------------|---|
| Report to: | Executive Committee |
| Date of Meeting: | 23 September 2020 |
| Report by: | Executive Director (Finance and Corporate Resources) |

| | |
|----------|---|
| Subject: | Additional Funding from Scottish Government and Other External Sources |
|----------|---|

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ advise Members of additional funding that has been made available to the Council by the Scottish Government and other external sources since the last report to this Committee (12 August 2020).

2. Recommendation(s)

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

- (1) that the additional revenue funding of £5.808m, and additional capital funding of £0.254m, as detailed at Appendix 1 of the report, be noted.

3. Background

3.1. The Council is periodically advised of additional funding which is made available from the Scottish Government and other sources to enable various initiatives to be undertaken.

3.2. Additional funding may either be paid through the General Revenue Grant mechanism or by the completion of appropriate grant claims.

3.3. Details of the additional funding are attached at Appendix 1 to the report. The report details additional funding that has been reported by Resources as part of the additional resources notification process, as well as any additional funding that has increased the Council's budget by more than £0.100 million.

3.4. As a result of COVID19, the Scottish Government has identified a number of funding streams to assist councils in managing the additional costs related to the crisis. Since the last report to the Committee, further funding in relation to COVID19 has been identified and is reflected in Appendix 1. Further funding that has been identified nationally, but where individual allocations have not yet been confirmed to local authorities, will be reflected in a future report to this Committee, including:

- Mobilisation Funding for Education (£20m available nationally)
- Consequentials (£49m available nationally)
- Additional Mobilisation Funding for Education - based on need (£30m available)

4. Employee Implications

- 4.1. None.

5. Financial Implications

- 5.1. Additional revenue funding of £4.075 million has been identified for 2020/2021, with a further £1.733m identified for 2021/2022.
- 5.2. Additional capital funding of £0.254 million has been identified for 2020/2021.
- 5.3. Resource budgets will be updated to reflect this additional funding as required, and where appropriate, details of spending plans will be presented to Resource Committees for approval.

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. There are no other implications in terms of the information contained in this report.

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 existing policy, function or strategy and therefore no impact assessment is required.
- 7.2. There was also no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

27 August 2020

Link(s) to Council Objectives/Values

- ♦ Accountable, Effective and Efficient

Previous References

- ♦ Executive Committee, 12 August 2020

List of Background Papers

- ♦ Additional Funding Reports:
8 July 2020 to 26 August 2020

Contact for Further Information

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

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E-mail: lorraine.o'hagan@southlanarkshire.gov.uk

Additional Revenue Funding

| Resource | Description | 2020 / 2021 £m | 2021 / 2022 £m | Total £m | Method |
|---------------------|---|-------------------------------|-------------------------------|---------------------|---------------------------|
| Education Resources | COVID-19 - Additional Funding for Teachers and Support Staff for Education Recovery | 2.167 | 1.083 | 3.250 | Scottish Government Grant |
| Education Resources | COVID-19 - Additional Funding for Teachers for Education Recovery | 1.300 | 0.650 | 1.950 | Scottish Government Grant |
| Education Resources | COVID-19 – Transition Support Fund for Childcare Providers | 0.608 | 0.000 | 0.608 | Scottish Government Grant |
| | TOTAL REVENUE FUNDING | 4.075 | 1.733 | 5.808 | |

Additional Capital Funding

| Resource | Description | 2020 / 2021 £m | Total £m | Method |
|------------------------------------|---|-------------------------------|---------------------|-----------------------|
| Community and Enterprise Resources | Abington Village Play Area Redevelopment | 0.068 | 0.068 | Clyde Wind Farm Grant |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.025 | 0.025 | EB Scotland Grant |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.031 | 0.031 | REF |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.029 | 0.029 | Levensseat |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.006 | 0.006 | School and PTA Funds |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.004 | 0.004 | Quarry Fund |
| Community and Enterprise Resources | Carstairs Village Play Area Redevelopment | 0.001 | 0.001 | Tesco |
| Community and Enterprise Resources | Wooddean Park Play Area Phase 1 | 0.040 | 0.040 | LandTrust |
| Community and Enterprise Resources | Wooddean Park Play Area Phase 1 | 0.050 | 0.050 | SUEZ |
| | TOTAL CAPITAL FUNDING | 0.254 | 0.254 | |

Report

6

Report to: **Executive Committee**
 Date of Meeting: **23 September 2020**
 Report by: **Chief Executive**

Subject: **Recommendations Referred by Finance and Corporate Resources Committee - Treasury Management Activity Report 2019/2020, Prudential Code Indicators and Annual Investment Report 2019/2020**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ request approval of the following recommendations referred to this Committee by the Finance and Corporate Resources Committee of 19 August 2020:-
 - ◆ that the Treasury Management Activity Report for 2019/2020 and the 2019/2020 Treasury Management and Prudential Code Indicators be noted
 - ◆ that the Council's Annual Investment Report for 2019/2020 be endorsed and referred to the Council for formal approval

2. Recommendation(s)

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

- (1) that the recommendation of the Finance and Corporate Resources Committee of 19 August 2020 in relation to Treasury Management Activity Report for 2019/2020 and the 2019/2020 Treasury Management and Prudential Code Indicators be noted; and
- (2) that the recommendation of the Finance and Corporate Resources Committee of 19 August 2020 in relation to the Annual Investment Report for 2019/2020 be endorsed and referred to the Council for formal approval.

3. Recommendation Referred by Finance and Corporate Resources Committee of 19 August 2020 – Treasury Management Activity for 2019/2020 and 2019/2020 Treasury Management and Prudential Code Indicators and Annual Investment Report 2019/2020 – Extract of Minute

3.1. A report dated 13 July 2020 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ Treasury Management activity and interim Prudential Code Indicators for 2019/2020
- ◆ the proposed Annual Investment Report for 2019/2020

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 2019/2020 and the Treasury Management and Prudential Code Indicators for 2019/2020 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 2019/2020 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 2019/2020 and Appendix 4 detailed the permitted investments that the Council had approved for the financial year 2019/2020.

No borrowing in advance was taken during 2019/2020.

The Committee decided:

- (1) that the Treasury Management Activity Report for 2019/2020 and the 2019/2020 Treasury Management and Prudential Code Indicators be noted and referred to the Executive Committee for noting; and
- (2) that the 2019/2020 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.

4. Employee Implications

- 4.1. All employee implications were highlighted as part of the original reports to Resource Committee.

5. Financial Implications

- 5.1. All financial implications were highlighted as part of the original reports to Resource Committee.

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. Any risks or other implications were highlighted as part of the original reports to the Resource Committee.

8. Equality Impact Assessment and Consultation Arrangements

- 8.1. Equality impact assessment and consultation arrangements were highlighted as part of the original reports to the Resource Committees.
- 8.2. There is no requirement to carry out an Equality Impact Assessment or consultation in terms of the proposals contained in this report.

Cleland Sneddon
Chief Executive

24 August 2020

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent

Previous References

- ◆ Minutes of Finance and Corporate Resources of 19 August 2020 (Paragraph 13)

List of Background Papers

- ◆ Individual report to Resource Committee

Contact for Further Information

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

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Report

| | |
|------------------|---|
| Report to: | Executive Committee |
| Date of Meeting: | 23 September 2020 |
| Report by: | Director, Health and Social Care |

| | |
|----------|--|
| Subject: | South Lanarkshire Integration Scheme Update |
|----------|--|

1. Purpose of Report

1.1. The purpose of the report is to: -

- ♦ seek approval of the updated South Lanarkshire Integration Scheme

2. Recommendation(s)

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

- (1) that the updated South Lanarkshire Integration Scheme, attached as Appendix 1 to the report, be approved.

3. Background

- 3.1. As part of the requirements of the Public Bodies (Joint Working) (Scotland) Act 2014 (thereafter referred to as The Act), councils and NHS Boards are required to review their Integration Scheme at least once every five years.
- 3.2. The purpose of the Integration Scheme is to essentially set out the rules of engagement/workings of Health and Social arrangements and importantly the functions which the Council and NHS Board choose to delegate to the Integration Joint Board from a strategic oversight perspective. The Act stipulates that delegated functions will, as a minimum, cover adult Health and Social Care but can, with agreement of the Parties, include other areas of service.
- 3.3. Following approval through both South Lanarkshire Council's Executive Committee and NHS Lanarkshire Board, the South Lanarkshire Integration Scheme was submitted to for approval to the Scottish Parliament in June 2015 and given assent in September 2015.
- 3.4. Similar to many other council and NHS Board areas, Integration Schemes are now due to be reviewed as the five-year window has almost run its term. Given the current situation with the COVID pandemic and to ensure that the focus was firmly on dealing with this, the Scottish Government asked councils and NHS Boards who had not reviewed their Integration Scheme within this window to undertake a very Light Touch Review. The rationale being that where they planned a more wholesale re-look at their Scheme, then this could be done at a point where a degree of normality had returned.

- 3.5. This report sets out the process through which the South Lanarkshire Integration Scheme has been reviewed to comply with the light touch request and the further plans to undertake a more comprehensive review of the current Scheme

4. Current Position and Next Steps

- 4.1. The current version of the Integration Scheme, attached as Appendix 1, is the outcome of a desktop-based exercise involving a small group of staff from the Council's Legal Services and members of the Health and Social Care Management Team.
- 4.2. This exercise was Light Touch and sought to update the terminology within the 2015 Integration Scheme to reflect the present environment. It is important to note that no changes have been made or proposed to the delegated functions and consequently the role and span of the IJB remains the same.
- 4.3. The revised Integration Scheme was presented to the Strategic Commissioning Group on 17 June 2020 where comments were sought from this widely represented forum and incorporated into the final draft.
- 4.4. Unlike the submission of the original Integration Scheme for approval, there is no requirement to re-submit this Light Touch Review to the Scottish Government. However, any future and more comprehensive review will require to be submitted to the Scottish Government for Cabinet Secretary approval.
- 4.5. Over the next six months, it is proposed that the Integration Scheme is re-looked at in more detail and recommendations brought back to both the Council and NHS Board. This piece of work will be led by the Head of Commissioning and Performance and a timeline will be developed with a view to having this work completed in time for the new financial year 2021/22. This Review will consider some of the recommendations cited in the Scottish Government's Ministerial Strategic Group report on Health and Social Care Integration with particular regards to strategic planning, finance, governance, information sharing, collaborative leadership and meaningful/sustained engagement.

5. Employee Implications

- 5.1. There are no employee implications associated with this report.

6. Financial Implications

- 6.1. None as all current delegated functions remain unchanged from the original Integration Scheme and financial reporting is a standing item on the IJB and Performance, Audit and Finance Sub Committee.

7. Climate Change and Sustainability

- 7.1 There are no climate change or sustainability issues associated with this report

8. Other Implications

- 8.1. There are no risk implications associated with this report.
- 8.2. There are no other issues associated with this report.

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.

Val de Souza
Director, Health and Social Care

17 August 2020

Link(s) to Council Objectives/Values

- ◆ Improve later life
- ◆ Protect vulnerable children, young people and adults
- ◆ Deliver better health and social care outcomes for all

Previous References

- ◆ Executive Committee 11 February 2015

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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South Lanarkshire

Health and Social Care Integration Scheme

September 2020

Contents

Introduction to Scheme

- 1. The Parties**
- 2. Definitions and Interpretations**
- 3. Integration Model**
- 4. Local Governance Arrangements**
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- 6. Local operational Delivery Arrangements**
- 7. Clinical and Care Governance**
- 8. Chief Officer**
- 9. Workforce**
- 10. Finance**
- 11. Participation and Engagement**
- 12. Information Sharing and Data Handling**
- 13. Complaints**
- 14. Claims Handling, Liability and Indemnity**
- 15. Risk Management**
- 16. Dispute Resolution Mechanism**

Introduction

The Public Bodies (Joint Working) (Scotland) Act 2014 (thereafter known as The Act) requires Health Boards and Local Authorities to integrate planning for, and delivery of certain adult health and social care services. This document sets the agreement through which NHS Lanarkshire Health Board and South Lanarkshire Council has done this and continues to do this.

The creation of an integrated Partnership required South Lanarkshire Council and NHS Lanarkshire Health Board to undertake a significant change agenda with the aim of creating services and supports which build on a solid foundation of success to date.

The overall aim of the arrangement is the creation and continuation of a Partnership which further improves outcomes for people who use health and social care services and their carers. Therefore, a primary focus of the Partnership will be delivering on the nine national health and wellbeing outcomes of:

- ◆ People are able to look after and improve their own health and wellbeing and live in good health for longer
- ◆ People, including those with disabilities, long term conditions, or who are frail, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community
- ◆ People who use health and social care services have positive experiences of those services and have their dignity respected
- ◆ Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services
- ◆ Health and social care services contribute to reducing health inequalities
- ◆ People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and wellbeing
- ◆ People who use health and social care services are safe from harm
- ◆ People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide
- ◆ Resources are used effectively and efficiently in the provision of health and social care services

From a South Lanarkshire perspective, our local vision reflects and underpins the higher level national outcomes. This is evidenced by the progress towards a personal outcomes approach which involves working with people to jointly agree how we support them to meet their aspirations and goals in life. Consequently, this drive towards supporting people to meet their outcomes has resulted in a shared partnership vision based upon:

“Working together to improve health and wellbeing in the community – with the community”

In pursuit of this vision, and central to our philosophy, will be the following commitments:

- ◆ We will focus on promoting health improvement and tackling the underlying causes of ill - health
- ◆ We will continue to develop a health and social care system which is integrated around the needs of individuals, their carers and family members
- ◆ We will be working with people, their carers and families who have a range of complex support needs to identify the outcomes they want to achieve in life. In doing so, our aim will be to provide care and support to help them realise these outcomes
- ◆ We will put the leadership of clinicians and professionals at the heart of service delivery for people who require support and their carers

- ◆ We will work with partners in the third and independent sectors to remove unhelpful boundaries and using combined resources to achieve maximum benefit for patients, service users, carers and families
- ◆ We will work with a range of agencies and partners to address health and social inequalities and the subsequent impact of this experienced by people in their communities

The following detail provides information relating to 'how' the Partnership has been created to deliver against the national outcomes and intentions of the Act. The Integration Scheme is the vehicle through which assurance is given to South Lanarkshire Council, NHS Lanarkshire Health Board and the Scottish Government that the intentions of the Act are being delivered by the Integration Joint Board. The Integration Scheme forms the basis of a legal agreement with the Government and lasts for a maximum duration of five years, after which point it will be refreshed. However, in circumstances where there is agreement between the parties, the Integration Scheme can be refreshed within an earlier timeframe.

1. The Parties

- ♦ **South Lanarkshire Council**, established under the Local Government etc (Scotland) Act 1994 and having its principal offices at Almada Street, Hamilton, ML3 0AA (hereinafter referred to as the Council).

And

- ♦ **NHS Lanarkshire Health Board**, established under section 2 (1) of the National Health Service (Scotland) Act 1978 and having its principal offices at Kirklands, Fallside Road, Bothwell, G71 8BB (hereinafter referred to as the NHS Board) (together referred to as the Parties).

In the implementation of their obligations under the Act, the Parties hereby agree as follows:

2. Definitions and Interpretations

- 2.1. There are a number of definitions which require to be interpreted and understood consistently within this Integration Scheme as follows:

The Act – means the Public Bodies (Joint Working) (Scotland) Act 2014

Appropriate Person – means a member of the NHS Board but does not include any person who is both a member of the NHS board and a councillor

The Parties – means South Lanarkshire Council and NHS Lanarkshire Health Board

NHS Board – means NHS Lanarkshire Health Board

The Council – means South Lanarkshire Council

Integration Joint Board – means the Integration Joint Board to be established by Order under section 9 of Act

The Integration Scheme – refers to this particular document and the detail and is a direct response to the requirement of the Act

Joint Strategic Commissioning Plan – means the plan which the Integration Joint Board is required to prepare and implement in relation to the delegated functions of health and social care services in accordance with section 29 of the Act

Outcomes – refer to the nine nationally set outcomes prescribed by the Scottish Ministers under section 5 (1) of the Act

References to sections of the Act or other Pieces of Legislation – will also mean references to any subsequent amendments to the Act or other pieces of legislation

3. Integration Model

- 3.1. The Council and NHS Board have implemented a *body corporate* model for the integration of health and social care services. Under Section 1(4)(a) of the Act this involves the delegation of functions by the Council to a body corporate that is to be established by order under section 9 (an Integration Joint Board) and delegation of functions by the NHS Board to the Integration Joint Board.

4. Local Governance Arrangements

- 4.1. The Council and NHS Board each appoints 4 representatives to be voting members of the Integration Joint Board in accordance with the requirements of the Public bodies (Joint Working) Integration Joint Boards) (Scotland) Order 2014 SSI no 285. The Integration Joint Board members appointed by the parties hold office for a period of 3 years. Integration Joint Board members appointed by the parties will cease to be members of the Integration Joint Board in the event that they cease to be representatives of the NHS board or an Appropriate Person or a South Lanarkshire Council Councillor in terms of the Public Bodies (Joint Working) (Integration Joint Boards)(Scotland) Order 2014 SSI no 285.

- 4.2. The Integration Joint Board also includes the following in terms of the Public Bodies (Joint Working) (Integration Joint Boards)(Scotland) Order 2014 SSI no 285 :
- ◆ the Chief Social Work Officer of the Council
 - ◆ the Chief Officer of the Integration Joint Board
 - ◆ the proper officer of the Integration Joint Board appointed under section 95 of the Local Government (Scotland) Act 1973
 - ◆ a registered medical practitioner whose name is included in the list of primary medical services performers prepared by the Health Board in accordance with the regulations made under section 17P of the National Health Service (Scotland) Act 1978 (b)
 - ◆ a registered nurse who is employed by the Health Board or by a person or body with which the Health Board has entered into a general medical services contract
 - ◆ a registered medical practitioner employed by the Health Board and not providing primary medical services
- 4.3. The Integration Joint Board has appointed (in addition to the above), at least one member in respect of each of the following groups in terms of the Public Bodies (Joint Working) (Integration Joint Boards)(Scotland) Order 2014 SSI no 285:
- ◆ at least one member of staff of the constituent authorities engaged in the provision of services provided under integration functions
 - ◆ at least one member from a third sector body carrying out activities related to health or social care in the South Lanarkshire area
 - ◆ at least one member being a user of health and social care services residing in the South Lanarkshire area
 - ◆ at least one member providing unpaid care in the South Lanarkshire area
 - ◆ any additional member as the Integration Joint Board sees fit, for example there is an older person's representative on the South Lanarkshire IJB
- 4.4. The first chair of the Integration Joint Board was a Board Member nominated by the Council and held office as chair for a period of 12 months. The party which has not appointed the chair nominates the vice chair and the vice chair then holds office for a period of 12 months. At the end of the period of 12 months responsibility for appointing the chair and vice chair will switch to the other party and a new chair and vice chair will be appointed for a period of 2 years. Thereafter, responsibility for appointing the chair and vice chair will alternate between the parties and the appointments will be made for a period of 3 years.

5. Delegation of Functions

- 5.1. The functions that are delegated by the NHS Board to the Integration Joint Board are set out in Part 1 of Annex 1. The services to which these functions relate, which are currently provided by the NHS Board and which are integrated, are set out in Part 2 of Annex 1. The functions in Part 1 are being delegated only to the extent they relate to services listed in Part 2 of Annex. However, by way of summary, these are as follows:
- 5.1.1. Hospital Services relating to adults and children within the scope of the Integration Joint Board from a strategic planning perspective include:
- 5.1.2. Accident and emergency services provided in a hospital;
- 5.1.2.1. Inpatient hospital services relating to the following branches of medicine
- General medicine
 - Geriatric medicine
 - Rehabilitation medicine
 - Respiratory medicine

- Palliative care services provided in a hospital;

5.1.2.2. Paediatrics

5.1.2.3. Psychiatry of learning disability

5.1.2.4. Inpatient hospital services provided by general medical practitioners

5.1.2.4.1. Services provided in a hospital in relation to an addiction or dependence on any substance

5.1.2.5. Mental health services provided in a hospital except secure forensic mental health services

5.1.3. Functions in relation to the Community Health Services delegated in respect of adults and children are noted below:

- ◆ District nursing services
- ◆ Health Visiting
- ◆ Addiction services
- ◆ Allied health professionals in an outpatient department, clinic, or outwith a hospital
- ◆ Public dental services
- ◆ Primary medical services
- ◆ General dental services
- ◆ Ophthalmic services
- ◆ Pharmaceutical services
- ◆ Primary care out-of-hours
- ◆ Geriatric medicine
- ◆ Palliative care
- ◆ Community learning disability services
- ◆ Mental health services
- ◆ Continence services
- ◆ Kidney dialysis services
- ◆ Services provided by health professionals that aim to promote public health
- ◆ Community Paediatrics

5.2 The functions delegated by the Council to the Integration Joint Board are set out in Part 1 of Annex 2. The services to which these functions relate are set out in Part 2 of Annex 2 and relate to adult services only.

Social Work Services for Adults and Older People

- ◆ Services and support for adults with physical disabilities and learning disabilities
- ◆ Mental health services
- ◆ Drug and alcohol services
- ◆ Adult protection and domestic abuse
- ◆ Carers support services
- ◆ Community care assessment teams
- ◆ Support services
- ◆ Care home services
- ◆ Adult placement services
- ◆ Health improvement services
- ◆ Aspects of housing support, including aids and adaptations

- ◆ Day services
- ◆ Local area co-ordination
- ◆ Respite provision
- ◆ Occupational therapy services
- ◆ Re-ablement services, equipment and telecare

5.3. Annex 3 sets out arrangements for hosted services. This relates specifically to health services which span more than one Integration Joint Board and are subject to Integration Joint Board approval.

6. Local operational Delivery Arrangements

- 6.1. The Integration Joint Board meets up to six times per year in public and publishes all agendas, papers and minutes with responsibility for the delivery of integrated functions as set out in annexes 1, 2 and 3 and provides operational oversight of all integrated services, with the exception of those acute services set out as per 6.2 below. It will do this directly for all services except those set out in 6.2 and the operational role of the Chief Officer is set out within section 8.
- 6.2. The NHS Board retains direct operational oversight of the acute services as set out in section 5.1.1.1 and 5.1.1.2 and provides information on a regular basis to the Integration Joint Board about the delivery of these services. Therefore, the Acute Executive Director provides updates to the IJB and the Chief Officer on the operational delivery of integrated functions delivered within an acute setting.
- 6.3. The Integration Joint Board is responsible for the development of a Joint Strategic Commissioning Plan as per Section 29 of the Act. This Plan sets out arrangements for carrying out the integration functions and how these contribute to achieving the nine National Health and Wellbeing outcomes as outlined in Annex 4.
- 6.4. A locality model has been developed by the Integration Joint Board to underpin the development of the Joint Strategic Commissioning Plan.
- 6.5. From an acute hospital services perspective, operational plans for integrated acute service delivery is subject to directions from the IJB about the exercise of delegated functions in relation to these services. It will also be informed and directed by the Joint Strategic Commissioning Plan.
- 6.6. The Chief Officer is responsible for directly implementing the Integration Joint Board's directions (at the centre) to locality delivery on the ground.
- 6.7. From an operational and performance management perspective, the Integration Joint Board receives regular reports from the Chief Officer and other responsible officers of the NHS Board and the Local Authority on the delivery of integrated services and will issue directions in response to those reports to ensure improved performance. This includes a range of thematic reports including, but not limited to the following:
- ◆ Financial reports pertaining to actual budgets and forecasts of expenditure
 - ◆ Annual budget setting recommendations
 - ◆ Transitional funding reports
 - ◆ Performance reports including progress against the 9 National Health and Wellbeing Outcomes
 - ◆ Regulatory and inspection reports
 - ◆ Complaints

- ◆ Clinical and care governance reports to be assured of the delivery of safe and effective services
- ◆ Risk management reports
- ◆ Staff and workforce reports
- ◆ Workforce planning reports
- ◆ Improvement plans and reports

6.8. Corporate Services Support

6.8.1 In supporting the work of the Integration Joint Board to fully discharge its duties under the Act, the Parties agree to provide the Integration Joint Board with access to all relevant corporate resources such as:

- ◆ Financial
- ◆ Legal
- ◆ Human Resources
- ◆ I.T.
- ◆ Planning and Performance support
- ◆ Risk management
- ◆ Audit
- ◆ Administration support

6.8.2 Arrangements for providing corporate support services in respect of delegated functions and the associated service provision has been agreed by the Parties. This will be reviewed on an ongoing basis by the Chief Officer and the responsible officers of the Parties.

6.9. Support for Strategic Planning

6.9.1. As outlined in Section 30(3) of the Act, the Integration Joint Board must have regard to the effect that their Joint Strategic Commissioning Plan will have on facilities, services or resources which are used in relation to arrangements set out or being considered to be set out in a Strategic Plan prepared by another Integration Joint Board.

6.9.2. In assessing the health element of this, the NHS Board will provide the necessary activity and financial data for services, facilities and resources that relate to the planned use of services provided by other Health Boards by people who live within the area of the Integration Joint Board.

6.9.3. In assessing the social care element of this, the Council will provide the necessary activity and financial data for services, facilities and resources that relate to the planned use of services provided by other Councils by people who live within the area of the Integration Joint Board.

6.9.4. In circumstances where the NHS Board or Council intend to change service provision of non – integrated services that will impact directly on the Joint Strategic Commissioning Plan, they will advise the Integration Joint Board of this.

6.10 Performance Measurement

6.10.1 Through the development of the Joint Strategic Commissioning Plan, the 9 National Health and Wellbeing outcomes are used to develop a performance reporting framework which underpins the Plan.

6.10.2 The Parties have established an integrated performance reporting framework which considers and develops a local suite of measures and targets that relate to the provision of integration functions. The measures and targets are aligned to the 9 National Health and Wellbeing outcomes and any subsequent guidance/ core suite of indicators. The Parties

develop the targets, measures and other arrangements that are devolved to the Integration Joint Board. In developing this, the parties share with the IJB other relevant NHS Board and Local Authority targets and measures which the IJB must take account of.

6.10.3 The Parties, in conjunction with the IJB also consider and develop a list of targets, measures and arrangements that relate to the functions that are not delegated which the IJB must take account of when it is preparing the strategic plan.

6.10.4 The work in respect of 6.10.2 and 6.10.3 takes into account the;

- ◆ National Health & Wellbeing Outcomes;
- ◆ Delegated performance targets related to the commissioning and delivery accountabilities of NHS Lanarkshire or North Lanarkshire Council;
- ◆ Delayed discharge;
- ◆ Recovery activity;
- ◆ Locally agreed outcomes and targets identified through Community Planning and from the Local Outcome Improvement Plan and attributable to Health and Social Care;
- ◆ Outcomes and targets, including Health Improvement, for each of the localities identified and agreed in line with the local needs determined for each population; and
- ◆ The Nationally prescribed core suite of integration indicators

6.10.5 The reporting of information against this suite of indicators is provided by the Parties to the Integration Joint Board as a means of measuring progress and impact.

6.10.6 Where responsibility for the target is shared, the Parties set out in a document the accountability and responsibility of each of them.

6.10.7 Where the responsibility for the targets span integrated and non – integrated services, that the NHS Board, Council and the Integration Joint Board will work together to produce and deliver the measures and targets which assess performance. This will be evidenced through a standing performance item on IJB meetings and also picked up through the IJB Annual Performance Report

6.10.8 A Performance, Audit and Finance Sub Committee which is accountable to the Integration Joint Board has been established as a non-decision making body to provide further scrutiny on matters related to finance, risk, performance and audit matters.

7. Clinical and Care Governance

7.1. The Parties and the Integration Joint Board are accountable for ensuring appropriate clinical and care governance arrangements are in place for their duties under the Act.

7.2. The Parties remain responsible for the clinical and professional accountability of the services which the Joint Integration Board has directed the Parties to deliver and for the services delivered in respect of functions that are not delegated to the IJB

7.3 The Parties remain individually responsible for the assurance of the quality and safety of services commissioned from the third and independent sectors in line with the requirements set out within the strategic plan and any directions issued by the Joint Integration Board that relate to or have an impact on, integrated and non-integrated service provision

7.4. The Integration Joint Board has regard to the Clinical and Care framework that is set out in Section 7.6 when developing and agreeing its strategic plan and corresponding directions to the Parties.

- 7.5. As set out in Section 6.7, the Integration Joint Board receive regular reports from professional leadership members for medical, nursing, AHPs, and Social Work to assure itself that clinical and care governance requirements are being met through these existing arrangements and that safe, effective person centred care is being consistently delivered.
- 7.6. Clinical and Professional Governance framework
- 7.6.1. The Parties have in place clinical and care governance arrangements to provide assurance that the services that are delivered are safe, effective, person centred and focussed on personal outcomes.
- 7.7. The Parties recognise that the establishment and continuous review of the arrangements for Clinical and Care Governance and Professional Governance are essential in delivering their obligations and quality ambitions.
- 7.8. In NHS Lanarkshire this is overseen by the Healthcare Quality Assurance and Improvement Committee, a committee of the Health Board which supports the Health Board in its responsibilities, with regards to issues of clinical risk, control and governance and associated assurance in the area of quality assurance and improvement through a process of constructive challenge.
- 7.9. The Committee is responsible for the development of a strategic approach to quality assurance and improvement across the organisation, ensuring that quality standards are being set, met and continuously improved for clinical activity. It also ensures that effective arrangements for supporting, monitoring and reporting on quality assurance and improvement are in place and working, demonstrating compliance with statutory requirements in relation to clinical governance and authorising an accurate and honest annual clinical governance statement.
- 7.10. In South Lanarkshire Council the Chief Social Work Officer holds professional accountability for social work and social care services as outlined in more detail in 7.20.
- 7.11. The Parties are committed to progressing a shared Clinical and Care Governance framework for integrated services. The professional leadership of the Parties, as set out in 7.18, work together to develop this clinical and care governance framework. It is based on a self – assessment exercise that helped the Parties to identify areas of common practice, provided opportunities to learn from one another and streamline processes.
- 7.12. Existing processes, procedures and reporting structures for clinical and care governance of integrated services will continue to be reviewed in light of the agreed clinical and care framework. The framework encompasses the following:
- ◆ Professional regulation, workload and workforce development;
 - ◆ Information assurance;
 - ◆ Service user experience and safety and quality of integrated service delivery and personal outcomes;
 - ◆ Person Centred Care;
 - ◆ Management of clinical risks; and
 - ◆ Learning from adverse clinical and non-clinical events
- 7.13. Each of these domains is underpinned by mechanisms to measure quality, clinical and service effectiveness and sustainability. They are compliant with statutory, legal and policy obligations strongly underpinned by human rights values and social justice. Service delivery is evidence-based, underpinned by robust mechanisms to integrate professional education, research and development.

- 7.14. The Parties and the Integration Joint Board have approved the framework and are responsible for ensuring that it is embedded within service planning, delivery and performance reporting mechanisms. The Integration Joint Board is responsible for ensuring effective mechanisms for service user and carer feedback and for complaints handling as laid out in sections 11 and 13 of this Scheme.
- 7.15. The Area Clinical Forum, Managed Clinical Networks, GP Sub Committee, Area Medical Committee, Medical Staff Committee and any other appropriate professional groups, and the Adult and Child Protection Committees provide advice directly to the Integration Joint Board or through its professional members.
- 7.16. The Healthcare Quality Assurance and Improvement Committee and the Chief Social Work Officer and his/her delegates provide advice, oversight and guidance to the Integration Joint Board and Strategic Planning Group in respect of Clinical and Care Governance and Professional Governance, for the delivery of health and social care services across the localities identified in the strategic plan.
- 7.17. Chief Officer
- 7.17.1. The Chief Officer has access to professional advice from the Chief Social Work Officer; the Medical Director and the Nursing Director in both their operational role as a senior officer of the parties and as accountable officer to the IJB.
- 7.18 Professional Leadership
- 7.18.1 Explicit lines of professional and operational accountability are essential to assure the Integration Joint Board and the Parties of the robustness of governance arrangements for their duties under the Act. They underpin delivery of safe, effective and person centred care in all care settings delivered by employees of NHS Lanarkshire and South Lanarkshire Council and of the third and independent sectors.
- 7.19. NHS Lanarkshire Board is accountable for Clinical Governance. Professional governance responsibilities are carried out by the professional leads through to the health professional regulatory bodies.
- 7.20. The Chief Social Work Officer in South Lanarkshire holds professional accountability for social work and social care services. The Chief Social Work Officer reports directly to the Chief Executive and elected members of South Lanarkshire Council in respect of professional social work matters. He/she is responsible for ensuring that social work and social care services are delivered in accordance with relevant legislation and that staff delivering such services do so in accordance with the requirements of the Scottish Social Services Council.
- 7.21. The Medical Director and/or the Director of Nursing, Midwifery and Allied Health Professions, through delegated authority, hold professional accountability for the delivery of safe and effective clinical services within NHS Lanarkshire and report regularly on these matters to the Health Board.
- 7.22. The Integration Joint Board has three health professional advisors, as set out in section 4.2. These members of the Integration Joint Board are professionally accountable to the Medical Director and the Nurse Director as appropriate.
- 7.23. This arrangement does not limit the ability of the Medical Director and/or the Director of Nursing to provide advice directly to the Integration Joint Board. Where this advice is offered, the Integration Joint Board must respond in writing and notify the Parties.

- 7.24. The Chief Social Work Officer, through delegated authority holds professional accountability for the delivery of safe and effective social work and social care services within the Council. An annual report on these matters is provided to the relevant Council committee and will also be made available to the Integration Joint Board. The Chief Social Work Officer, through his/her membership of the IJB and Social Work Committee provides consistent advice and support to both the Committee and the IJB in relation to these reports.
 - 7.25. The Chief Social Work Officer provides professional advice to the Integration Joint Board in respect of the delivery of social work and social care services by Council staff and commissioned care providers in South Lanarkshire.
- 8. Chief Officer**
- 8.1. The Integration Joint Board appointed a Chief Officer in accordance with section 10 of the Act.
 - 8.2. The Chief Officer is accountable directly to the Integration Joint Board for the preparation, implementation and reporting on the Strategic Plan, including overseeing the operational delivery of delegated services as set out in Annex 1 and 2 that do not relate to acute or Accident and Emergency Services provided within NHS Board. The services set out in section 5.1.1.1 and 5.1.1.2 continue to be operationally managed by the NHS Board through the Director of Acute Services in line with the Integration Joint Board's Joint Strategic Commissioning Plan. Therefore, the Acute Director provides updates to the Integration Joint Board and the Chief Officer on the operational delivery of integrated functions delivered within an acute setting.
 - 8.3. The Chief Officer reports to the Council's Chief Executive and the NHS Board's Chief Executive. The Chief Officer's formal contract of employment is with one of the Parties and whichever holds the contract of employment, manages the Chief Officer on a day to day basis.
 - 8.4. At the request of the IJB where there is to be a prolonged period where the Chief Officer is absent or otherwise unable to carry out their responsibilities, the Council's Chief Executive and NHS Board Chief Executive will jointly propose an appropriate interim arrangement for approval by the Integration Joint Board's Chair and Vice-Chair.
 - 8.5. The Chief Officer's objectives are set through a discussion with the Chief Executives of the Council and NHS Board. This forms the basis of the Chief Officer's performance appraisal with said Chief Executives.
 - 8.6. The Chief Officer is a full member of both the Council's and NHS Board's corporate management teams, as well as a member of the Integration Joint Board.
 - 8.7. The Chief Officer liaises with the Executive Director of the NHS Board's Acute Division in respect of agreeing how the Joint Strategic Commissioning Plan informs and contributes to the strategic planning of NHS acute services and provision (as per the Act) and the delivery of agreed targets of mutual responsibility.
 - 8.8. The Chief Officer has established and maintains effective working relationships with a range of key stakeholders across the NHS Board, the Council, the Third and Independent Sectors, service users and carers, the Scottish Government, Trade Unions and relevant professional organisations.
 - 8.9. Current hosted services arrangements are as set out in Annex 3. However, with regards to the future shaping of these services from a strategic planning perspective, the Integration

Joint Board discusses with relevant neighbouring Integration Joint Boards how these are shaped now and in the future. The Chief Officer takes direction from the Integration Joint Board in respect of this.

9. Workforce

- 9.1. Staff managed within the functions delegated to the Integration Joint Board remain either employees of the Council or NHS Board and therefore are subject to the terms and conditions and policies and procedures as specified by whichever of the two employing organisations that their contract of employment is with. Therefore, this Integration Scheme does not change who staff are employed by, nor the terms and conditions in their contract of employment. The employment status of staff does not change as a result of this Scheme – employees of the Parties remain employed by their respective organisations.
- 9.2. In developing the staff working within those delegated functions (integrated services), the NHS Board and Council work together to produce a range of plans covering the following aspects:
 - ◆ Workforce planning and development
 - ◆ Organisational development
 - ◆ Learning and development of staff
 - ◆ Engagement of staff and development of a healthy organisational culture
- 9.3. The above plans have been developed with the full input of all key stakeholders, and approved and implemented by the Integration Joint Board.
- 9.4. These plans take account the priorities set out within the Joint Strategic Commissioning Plan to ensure that staff working within integrated services have the necessary skills and expertise to deliver against the agreed priorities.
- 9.5. As these plans are required on an ongoing basis, the NHS Board and Council will review them along with the Integration Joint Board annually in line with the Joint Strategic Commissioning Plan.

10. Finance

- 10.1.1 Contributions from the Council and the NHS Board for delegated functions to the Integration Joint Board are overseen by the Chief Officer and the Integration Joint Board Chief Financial Officer. A resource plan and budget based on available resources is developed with the Integration Joint Board Chief Financial Officer being responsible for the preparation of the annual financial statements as required by section 39 of the Act.
- 10.2. In subsequent years, the Chief Officer and Chief Financial Officer develop an integrated budget based on the Joint Strategic Commissioning Plan and present it to the both Parties for consideration as part of both of their annual budget setting processes. The Parties evaluate the case for the Integrated Budget against their other priorities and agree their respective contributions accordingly. The outcome of this work is presented to the Integration Joint Board. Following on from the budget process, the Chief Officer and the Integration Joint Board Chief Financial Officer prepare a financial plan supporting the Joint Strategic Commissioning plan.
- 10.3. The budget is evidenced based with transparency of assumptions including, but not limited to pay award, contractual uplift and savings requirements etc.
- 10.4. The method for determining the amount set aside for hospital services follows guidance issued by the Integrated Resources Advisory Group and is based initially on the notional direct costs of the relevant populations' use of in scope hospital services as provided by the

Information Services Division (ISD) Scotland. The NHS Board Director of Finance and Integration Joint Board Chief Financial Officer keeps under review developments in national data sets or local systems that might allow more timely or more locally responsive information, and if enhancements can be made, propose this to the Integration Joint Board. If the Joint Strategic Commissioning Plan sets out a change in hospital capacity, the resource consequences are determined through a bottom up process based on:

- ◆ Planned changes in activity and case mix due to interventions in the Joint Strategic Commissioning Plan;
- ◆ Projected activity and case mix changes due to changes in population need;
- ◆ Analysis of the impact on the affected hospital budget, taking into account cost-behaviour i.e. fixed, semi – fixed and variable costs and timing difference i.e. the lag between reduction in capacity and the release of resources.

- 10.5 Each of the Parties agree the formal budget setting timelines and reporting periods as defined in the Financial Regulations.
- 10.6 A schedule of notional payments is provided by the Council and NHS Board to the Integration Joint Board following the approval of the Joint Strategic Commissioning Plan and the Financial Plan.
- 10.7 The Chief Financial Officer is required to develop a medium to longer term financial strategy in consultation with the NHS Director of Finance and Council's Section 95 Officer.
- 10.8 It remains the duty of the Council Section 95 Officer and the NHS Board Accountable Officer to monitor and regulate the financial performance of their respective share of the resources available to the Integration Joint Board during each reporting period, throughout the financial year.
- 10.9 It is the responsibility of the Council Section 95 Officer and the NHS Board Accountable Officer to comply with the agreed reporting timetable and to make available to the Integration Joint Board Chief Financial Officer the relevant financial information, including on the sum set aside in line with 10.14.5 below, required for timely financial reporting to the Integration Joint Board. This includes such details as may be required to inform financial planning of revenue expenditure.
- 10.10 The frequency of reporting is set out in the Financial Regulations and is at least on a quarterly basis. In advance of each financial year a timetable for financial reporting is submitted to the Integration Joint Board for approval.
- 10.11 Regular management reports are prepared in line with the financial regulations which are agreed by the Integration Joint Board, and includes actual and projected outturns. The existing budgetary control frameworks adopted by each of the Parties forms the basis of generating the required information.
- 10.12 The Integration Joint Board's Chief Financial Officer manages the respective financial plan so as to deliver the agreed outcomes within the Joint Strategic Commissioning Plan viewed as a whole.
- 10.13 The parties do not expect that there is a schedule of cash payments, but rather annual accounting entries for the agreed budgets. There may be a requirement for an actual cash transfer to be made between the Council and the NHS to reflect the difference between the payment being made and the resources delegated to the party by the Integration Joint

Board. Any cash transfer will take place at least annually. Any change to frequency will be jointly agreed by the Integration Joint Board, the Council and the NHS.

- 10.14 The process for managing any in-year financial variations is detailed within the Financial Regulations and are summarised below:
- 10.15 If the Integration Joint Board's Chief Financial Officer is advised that a significant change is likely to the Integration Joint Board's overall financial position and the deviation involves a change of policy of the Integration Joint Board or results in revenue implications for future years, a report will be provided for the Integration Joint Board in good time detailing the financial consequences to enable appropriate action to be taken timeously.
- 10.15.1 If an overspend is forecast on either Parties in scope budget, the Chief Officer and the Integration Joint Board's Chief Financial Officer will aim to agree a recovery plan with the relevant Party to balance the overspending budget and determine the actions required to be taken to deliver the recovery plan. If the overspend arises from assumptions in the Integration Joint Board's Joint Strategic Commissioning Plan on the impact of service changes that are not realised as anticipated this should be subject to a report and corrective action. This corrective action may include a recovery plan which should consider revisions to the commissioning of services and / or financial plans to account for the changed circumstances, and the use of any available reserves.
- 10.15.2 If the recovery plan is unsuccessful then the Parties have the option to agree that either:
- a) the relevant party provides additional resources to the Integration Joint Board which is then recovered in future years from subsequent underspends in that party's contribution, (subject to scrutiny of the reasons for the overspend and assurance that there is a plan in place to address this) or;
 - b) the relevant party makes additional one-off adjustment to the resources that it is making available to the Integration Joint Board.
- 10.14.4 Unplanned underspends that arise due to *material* differences between assumptions used in setting the budget and actual events effectively represent an overfunding by the Council or NHS Board with respect to planned outcomes. The circumstances surrounding the action required to address unplanned underspends is set out in the Financial Regulations and Reserves Policy, which will be subject to agreement by the Council, NHS Board and the Integration Joint Board. The options will include the underspend either being returned to the relevant party in year through an adjustment to their respective contributions, or maintained by the Integration Joint Board to be carried through the General Fund balance.
- 10.14.5 The Parties do not expect to reduce their in year payment, or the services delegated to the Integration Joint Board without the consent of the Integration Joint Board and the other Party outwith the following circumstances:
- a) Unplanned underspends as defined in 10.14.4 above and the Financial Regulations and Reserves Policy
 - b) Where the budget assumed a specific allocation from the Scottish Government which did not materialise in year to the extent anticipated. (The converse of this also applies in that should a specific allocation pertaining to a delegated function exceed the anticipated level, an additional payment to the Integration Joint Board may be agreed)
- 10.14.6 Monitoring arrangements will include the impact of activity on set aside budgets.

- 10.15 The Accounting Standards as adapted for the public sector apply to the Integration Joint Board. The Code of Practice on Local Authority Accounting in the UK is the applicable guidance for their interpretation.
- 10.16 The financial statements of the Integration Joint Board will be completed to meet the audit and publication timetable specified in regulations (Regulations under section 105 of the Local Government (Scotland) Act 1973).
- 10.17 Initially, recording of financial information in respect of the Integration Joint Board will be processed via the Council ledger. The means for recording financial information will be reviewed by the Chief Financial Officer to ensure this method remains appropriate giving due regard to the needs of the Integration Joint Board. Should an amendment to this method be required, the CFO will consult with both parties and present recommendations to the Integration Joint Board for approval.
- 10.18 The financial ledger transactions relating to the Integration Joint Board will be carried out prior to the end of the financial year with post year-end adjustments for material information only. Year-end balances and transactions will be agreed timeously in order to allow completion of the Accounts in line with required timescales. This date will be agreed annually by the Integration Joint Board, the NHS Board and the Council.
- 10.19 From an asset management and capital planning perspective, in the short term, the Integration Joint Board will not be empowered to own capital assets and the regimes of the Council and NHS Board will apply to capital assets used to provide the delegated services. Ownership of assets and associated liabilities will remain with each of the parties.
- 10.20 The Chief Officer will consider all of the resources which are required to deliver the integration outcomes including the relevant non-current assets owned by the NHS Board and the Council. The Chief Officer will consult with the Council and NHS Board parties to make best use of existing resources.
- 10.21 Should the Integration Joint Board believe there is a requirement to develop assets in order to facilitate the delivery of the Joint Strategic Commissioning Plan's outcomes, then the Chief Officer must present a business case to the Council and NHS Board for consideration. This should be submitted as part of the party's capital planning process. Partnership discussion would be required at an early stage for jointly funded projects.
- 10.22 Detailed Financial Regulations governing the Integration Joint Board have been agreed between the Council and the NHS Board and approved by the Integration Joint Board.

11. Participation and Engagement

- 11.1. Participation and engagement with all stakeholders is central to the development of the Integration Scheme and is a stated requirement as outlined in Section 6 (2) of the Act. The list of stakeholders who have been directly engaged with to date includes
- ◆ Staff from all disciplines across health and social care, for example clinicians, Nurses, Allied Health Professionals (AHPs), social workers, home care workers, performance and support staff (finance, administration, personnel and planning), General Practitioners, members of the local Public Partnership Forums, the Third Sector, Independent Sector and other relevant party agencies
- 11.2 There was initially a range of planned activity and a variety of methods used to consult with stakeholders including half day seminars in each of the four localities. These events have

continued to be used as a vehicle for directly engaging localities in the development of the integration agenda.

- 11.3 In February/ March, 2015 a more formal consultation process was undertaken on the Integration Scheme, with a draft circulated for comment and feedback across all party agencies. This involved producing user friendly commentary and information for stakeholders which gave an overview of the content of the Integration Scheme and the purpose and importance of this. In totality, the stakeholders who were consulted were:
- ◆ Health and social care professionals
 - ◆ Service users and carers of health and social care services
 - ◆ Commercial and Non – Commercial Providers of Health and Social Care
 - ◆ Non – Commercial Providers of Housing
 - ◆ Independent Sector
 - ◆ Third Sector bodies carrying out activities relating to health and social care
 - ◆ Staff likely to be affected by integration
 - ◆ Other Partnerships who could be affected by the Integration Scheme, namely the North Lanarkshire Partnership
- 11.4 The feedback from that process has resulted in the Integration Scheme being further refined to reflect the views of stakeholders in shaping the final content and direction outlined in the final draft submitted for approval to the Scottish Government.
- 11.5 The Parties agree that they will make available to the Integration Joint Board existing forums and stakeholder groups with an interest in health and social care that are already established.
- 11.6 Further to the participation and engagement activity outlined above, the NHS Board and the Council undertook to support the Integration Joint Board in developing a Participation and Engagement Strategy to support the work of the Integration Joint Board moving forward.
- 11.7 In resourcing this, the Parties will provide support from staff working within the field of communications and public relations.
- 11.8 Commissioned by the SLHSCP the South Lanarkshire Health and Social Care Forum plays a key role for community participation and engagement. The forum is an independent group of community volunteers who work to engage health service and social care users, carers and communities in how to improve local health and social care services, support wider public involvement in planning and decision-making about local health and social care services, and keep local people informed about the range and location of services. It has four local forums in line with locality areas.
- 11.9 SLHSCP Communications Strategy outlines how the partnership will communicate effectively aligned to supporting the delivery of strategic objectives and national health and wellbeing outcomes. The strategy is linked to the Strategic Commissioning Plan and is based upon good practice guidance. Communication workshops will continue to be delivered to target and drive forward campaigns which will be measured by individuals and community groups themselves.
- 11.10 Supporting this, the IJB has also agreed a Participation and Engagement Strategy which outlines how the IJB will undertake ongoing and sustained engagement with all key stakeholders

12. Information Sharing and Data Handling

- 12.1 In the first instance, the Parties agreed to be bound by the current Lanarkshire information sharing agreement and good practice guide, which has been incrementally developed over the last ten years by the Lanarkshire Data Sharing Partnership Board. The Lanarkshire Data Sharing Partnership Board is the key multi – agency forum within current partnership arrangements and includes representation from North and South Lanarkshire Councils, NHS Lanarkshire Board, Police Scotland, Fire Service and Third Sector. All staff employed by the Parties will continue to comply with all current policies and protocols with regards to information sharing.
- 12.2 The protocol and procedures for sharing information were reviewed and updated to reflect the new governance arrangements that pertain to health and social care by the Lanarkshire Data Sharing Partnership. The Chief Officer of the Integration Joint Board has joined the LDSP and the revised protocol has been provided to the Parties and the Integration Joint Board.
- 12.3 Through the strategic direction provided by the Integration Joint Board as detailed in the Joint Strategic Commissioning Plan, there may be circumstances in which the Integration Joint Board directs the Parties to further develop approaches to information sharing and data handling. In such instances, the Parties will present any changes or amendments to the protocol for the Integration Joint Board to consider.
- 12.4 It is the intention to ensure that any resultant information sharing agreements will be established and maintained within legislative or regulatory requirements in place at that time, primarily with respect to confidentiality, data protection and privacy.
- 12.5 The parties entered into an Information Sharing Protocol (Scottish Accord on the Sharing of Personal Information SASPI) in relation to health and social care integration, primarily to support strategic planning and commissioning and service design/redesign.

13. Complaints

- 13.1 The current arrangements for complaints handling across health and social care in South Lanarkshire are well publicised via hard copy information and electronic means to ensure the public have readily available access to information regarding how to complain. The NHS Board and the Council will assist the Integration Joint Board in continuing to ensure that these processes are clear, well publicised and easily accessible to members of the public. This will involve the Integration Joint Board working with the NHS Board and the Council to review public information and effectiveness of this.
- 13.2 The system as it stands, operates whereby each of the Parties has its own process and timescales for responding to a complaint. This is outlined below:
- ◆ Where the complaint has a social care dimension to it, then it will continue to follow the Social Work complaints procedures and timescales
 - ◆ Where the complaint has a health care dimension to it, then it will continue to follow the NHS Board process, which in effect is that set under the 2012 Charter of Patient Rights and Responsibilities developed by NHS Scotland
 - ◆ Where the complaint is multi – faceted and has a multi – agency dimension to it, the Chief Officer will then designate one of the existing processes to take the lead for investigating and coordinating a response
 - ◆ Each of the current arrangements have key timescales attached to them
 - ◆ Complaints can be made either via the Council through the website or by telephoning Customer Services 0303 123 1015 or via the NHS Board through the website or phoning

the general enquiry line on 0300 3030 243.

- 13.3 Any revisions to update or improve these existing processes will involve the NHS Board and the Council assisting the Integration Joint Board to review and update the current processes.
- 13.4 As with other areas of management information and feedback, the Chief Officer will receive a regular complaints report outlining all complaints for that period which have either been actioned to a conclusion or are a work in progress, together with the stage they are at. This will be augmented by sharing experiences from complaints and feedback from wider reviews undertaken.

14. Claims Handling, Liability and Indemnity

- 14.1 The Parties and the Integration Joint Board recognise that they could receive a claim arising from or which relates to the work undertaken on behalf of the Integration Joint Board.
- 14.2 The Parties agree to ensure that any such claims are progressed quickly and in a manner which is equitable between them.
- 14.3 So far as reasonably practicable the normal common law and statutory rules relating to liability will apply.
- 14.4 In the event of any claim against the Integration Joint Board or in respect of which it is not clear which Party should assume responsibility the Chief Officer (or his/her representative) will liaise with the Chief Executives of the Parties (or their representatives) and determine which Party should assume responsibility for progressing the claim.
- 14.5 If a claim is settled by either Party and it thereafter transpires that liability (in whole or in part) should have rested with the other Party, then that Party shall indemnify the Party which settled the claim.
- 14.6 Any claim by a third party in respect of any damages or loss that is purely financial shall be met by the Party responsible in law for such loss. This would include the Integration Joint Board.
- 14.7 Claims regarding policy and/or strategic decisions made by the Integration Joint Board shall be the responsibility of the Integration Joint Board. The Integration Joint Board may require to engage independent legal advice for such claims and the costs of this will be shared between the Parties.
- 14.8 If a claim has a “cross boundary” element whereby it relates to another integration authority area, the Chief Officers of the integration authorities concerned shall liaise with each other until an agreement is reached as to how the claim should be progressed and determined.
- 14.9 The Parties and the Integration Joint Board will ensure appropriate risk financing arrangements are in place to meet the cost of claims and other associated costs.
- 14.10 The Parties and the Integration Joint Board will develop a procedure for claims relating to hosted services. Such claims may follow a different procedure than set out above.
- 14.11 Claims which pre-date the establishment of the Integration Joint Board will be dealt with by the Parties through the procedures used by them prior to integration.

15. Risk Management

15.1 The Parties will assist the Integration Joint Board in developing risk management strategy and methodology. The risk management strategy and methodology was formally considered for endorsement by the Integration Joint Board by 31 December 2015 and has been reviewed and updated since inception. The risk management strategy and methodology ensures:

- ◆ Identification, assessment and prioritisation of risk related to the delivery of services, particularly those which are likely to affect the Joint Board's delivery of the Joint Strategic Commissioning plan
- ◆ Read across between the Parties top risks with those of the IJB, particularly where there is a tangible impact on the IJBs ability to deliver its Strategic Commissioning Plan
- ◆ Identification and description of processes for mitigating these risks
- ◆ Agreed reporting standards.

15.2 The risk management strategy and methodology sets out:

- ◆ How the Parties and the Integration Joint Board prepares risk registers and arrangements to amend and update such registers
- ◆ Risks that should be reported from the date of delegation of functions and Resources
- ◆ Frequency which the risk register will be reported to the Integration Joint Board and the Performance, Audit and Finance Sub Committee
- ◆ An agreed risk monitoring framework
- ◆ That any changes to the risk management strategy shall be requested through a formal paper to the Integration Joint Board
- ◆ Protocols for sharing risk information.

15.3 The Parties will make relevant resources available to support the Integration Joint Board in its risk management. This will include identifying a person responsible for drawing together the risks from the organisations.

15.4 The initial risk register was produced by 31 March 2016.

15.5 In addition to the above, the NHS Board, the Council and Integration Joint Board will consider and agree which risks should be taken from their own risk registers and placed on the shared risk register. Where these risks change, the NHS Board, the Council and Integration Joint Board will notify each other of where they have changed.

16. Dispute Resolution Mechanism

16.1 Where either of the Parties fails to agree with the other on any issue related to this Scheme or any of the duties or powers placed on them under the Act, then they will follow the process set out below:

- The Chief Executives of the NHS Board and the Council, will meet to resolve the issue within 14 working days of a written request for such a meeting made by any of the Parties. The written request will contain a suggested place, time and date to meet. The Chief Officer will also be invited to attend this meeting in an operational capacity
- If unresolved, the NHS Board and the Council will each prepare a written note of their position on the issue and exchange it with the others and will meet once more within 14 working days of the date of exchange of notes to resolve the matter
- In the event that the issue remains unresolved, representatives of the NHS Board and the Council will proceed to mediation with a view to resolving the issue. The mediator will be chosen by agreement amongst the Parties. The Parties shall attempt to agree

upon the appointment of a mediator, upon receipt, by any of them, of a written notice to concur in such appointment. Should the Parties fail to agree within fourteen days, any Party, upon giving written notice, may apply to the President of the Law Society of Scotland for the appointment of a mediator. The costs of mediation will be shared between the Parties.

16.2 Where the issue remains unresolved after following the processes as outlined in 16.1, the Parties agree the following process to notify Scottish Ministers that agreement cannot be reached:

- ◆ The Parties will write to the Scottish Ministers within 28 days of any Party refusing to accept any resolution suggested by mediation
- ◆ As part of the submission to the Scottish Ministers the Parties will send their respective written notes of their position as set out in sub clause b) above together with a jointly worded summary of the issue in dispute requesting directions from the Scottish Ministers to resolve the dispute.

Part 1

Functions delegated by the Health Board to the Integration Joint Board

Set out below is the list of functions that must be delegated by the Health Board to the Integration Joint Board as set out in the Public Bodies (Joint Working) (Prescribed Health Board Functions) (Scotland) Regulations 2014.

SCHEDULE 1 Regulation 3

Functions prescribed for the purposes of section 1(8) of the Act

| <i>Column A</i> | <i>Column B</i> |
|---|---|
| The National Health Service (Scotland) Act 1978 | |
| All functions of Health Boards conferred by, or by virtue of, the National Health Service (Scotland) Act 1978 | <p>Except functions conferred by or by virtue of—</p> <p>section 2(7) (Health Boards);</p> <p>section 2CB((Functions of Health Boards outside Scotland);</p> <p>section 9 (local consultative committees);</p> <p>section 17A (NHS Contracts);</p> <p>section 17C (personal medical or dental services);</p> <p>section 17I (use of accommodation);</p> <p>section 17J (Health Boards' power to enter into general medical services contracts);</p> <p>section 28A (remuneration for Part II services);</p> <p>section 38 (care of mothers and young children);</p> <p>section 38A (breastfeeding);</p> <p>section 39 (medical and dental inspection, supervision and treatment of pupils and young persons);</p> <p>section 48 (provision of residential and practice accommodation);</p> <p>section 55 (hospital accommodation on part payment);</p> |

section 57 (accommodation and services for private patients);

section 64 (permission for use of facilities in private practice);

section 75A (remission and repayment of charges and payment of travelling expenses);

section 75B(reimbursement of the cost of services provided in another EEA state);

section 75BA(reimbursement of the cost of services provided in another EEA state where expenditure is incurred on or after 25 October 2013);

section 79 (purchase of land and moveable property);

section 82 use and administration of certain endowments and other property held by Health Boards);

section 83(power of Health Boards and local health councils to hold property on trust);

section 84A (power to raise money, etc., by appeals, collections etc.);

section 86 (accounts of Health Boards and the Agency);

section 88 (payment of allowances and remuneration to members of certain bodies connected with the health services);

section 98 (charges in respect of non-residents);
and

paragraphs 4, 5, 11A and 13 of Schedule 1 to the Act (Health Boards);

and functions conferred by—

The National Health Service (Charges to Overseas Visitors) (Scotland) Regulations 1989
;

The Health Boards (Membership and Procedure) (Scotland) Regulations 2001/302;
The National Health Service (Clinical Negligence and Other Risks Indemnity Scheme) (Scotland) Regulations 2000;

The National Health Services (Primary Medical Services Performers Lists) (Scotland) Regulations 2004;

The National Health Service (Primary Medical Services Section 17C Agreements) (Scotland) Regulations 2004;

The National Health Service (Discipline Committees) Regulations 2006;

The National Health Service (General Ophthalmic Services) (Scotland) Regulations 2006;

The National Health Service (Pharmaceutical Services) (Scotland) Regulations 2009;

The National Health Service (General Dental Services) (Scotland) Regulations 2010; and

The National Health Service (Free Prescription and Charges for Drugs and Appliances) (Scotland) Regulations 2011/55.

Disabled Persons (Services, Consultation and Representation) Act 1986

Section 7

(Persons discharged from hospital)

Community Care and Health (Scotland) Act 2002

All functions of Health Boards conferred by, or by virtue of, the Community Care and Health (Scotland) Act 2002.

Mental Health (Care and Treatment) (Scotland) Act 2003

All functions of Health Boards conferred by, or by virtue of, the Mental Health (Care and Treatment) (Scotland) Act 2003.

Except functions conferred by—

section 22 (Approved medical practitioners);

section 34 (Inquiries under section 33: co-operation);

section 38 (Duties on hospital managers: examination notification etc.);

section 46 (Hospital managers' duties: notification);

section 124 (Transfer to other hospital);

section 228 (Request for assessment of needs: duty on local authorities and Health Boards);

section 230 (Appointment of a patient's responsible medical officer);

section 260 (Provision of information to patients);

section 264 (Detention in conditions of excessive security: state hospitals);

section 267 (Orders under sections 264 to 266: recall);

section 281 (Correspondence of certain persons detained in hospital);

and functions conferred by—

The Mental Health (Safety and Security) (Scotland) Regulations 2005;

The Mental Health (Cross Border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2005;

The Mental Health (Use of Telephones) (Scotland) Regulations 2005; and

The Mental Health (England and Wales Cross border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2008.

Education (Additional Support for Learning) (Scotland) Act 2004

Section 23

(other agencies etc. to help in exercise of functions under this Act)

Public Services Reform (Scotland) Act 2010

All functions of Health Boards conferred by, or by virtue of, the Public Services Reform (Scotland) Act 2010

Except functions conferred by—

section 31(Public functions: duties to provide information on certain expenditure etc.); and

section 32 (Public functions: duty to provide information on exercise of functions).

Patient Rights (Scotland) Act 2011

All functions of Health Boards conferred by, or by virtue of, the Patient Rights (Scotland) Act 2011

Except functions conferred by The Patient Rights (Complaints Procedure and Consequential Provisions) (Scotland) Regulations 2012/36.

Part 2

Services currently provided by the Health Board which are to be integrated

The functions that are set out in Part 1 are delegated in relation to the services as set out below and relate to both adults and children

SCHEDULE 2 Regulation 3

PART 1

Interpretation of Schedule 3

1. In this schedule—

“Allied Health Professional” means a person registered as an allied health professional with the Health Professions Council;

“general medical practitioner” means a medical practitioner whose name is included in the General Practitioner Register kept by the General Medical Council;

“general medical services contract” means a contract under section 17J of the National Health Service (Scotland) Act 1978;

“hospital” has the meaning given by section 108(1) of the National Health Service (Scotland) Act 1978;

“inpatient hospital services” means any health care service provided to a patient who has been admitted to a hospital and is required to remain in that hospital overnight, but does not include any secure forensic mental health services;

“out of hours period” has the same meaning as in regulation 2 of the National Health Service (General Medical Services Contracts) (Scotland) Regulations 2004; and

“the public dental service” means services provided by dentists and dental staff employed by a health board under the public dental service contract.

PART 2

2. Accident and Emergency services provided in a hospital.

3. Inpatient hospital services relating to the following branches of medicine—

- (a) general medicine;
- (b) geriatric medicine;
- (c) rehabilitation medicine;
- (d) respiratory medicine; and
- (e) psychiatry of learning disability.

4. Palliative care services provided in a hospital.

5. Inpatient hospital services provided by General Medical Practitioners.

6. Services provided in a hospital in relation to an addiction or dependence on any substance.

7. Mental health services provided in a hospital, except secure forensic mental health services.

PART 3

8. District nursing services.
9. Services provided outwith a hospital in relation to an addiction or dependence on any substance.
10. Services provided by allied health professionals in an outpatient department, clinic, or outwith a hospital.
11. The public dental service.
12. Primary medical services provided under a general medical services contract, and arrangements for the provision of services made under section 17C of the National Health Service (Scotland) Act 1978, or an arrangement made in pursuance of section 2C(2) of the National Health Service (Scotland) Act 1978.
13. General dental services provided under arrangements made in pursuance of section 25 of the National Health (Scotland) Act 1978.
14. Ophthalmic services provided under arrangements made in pursuance of section 17AA or section 26 of the National Health Service (Scotland) Act 1978.
15. Pharmaceutical services and additional pharmaceutical services provided under arrangements made in pursuance of sections 27 and 27A of the National Health Service (Scotland) Act 1978.
16. Services providing primary medical services to patients during the out-of-hours period.
17. Services provided outwith a hospital in relation to geriatric medicine.
18. Palliative care services provided outwith a hospital.
19. Community learning disability services.
20. Mental health services provided outwith a hospital.
21. Continence services provided outwith a hospital.
22. Kidney dialysis services provided outwith a hospital.
23. Services provided by health professionals that aim to promote public health.
24. Health Visiting Services

Annex 2

Part 1

Functions delegated by the Local Authority to the Integration Joint Board

Set out below is the list of functions delegated by the South Lanarkshire Council to the Integration Joint Board.

SCHEDULE Regulation 2

PART 1

Functions prescribed for the purposes of section 1(7) of the Public Bodies (Joint Working) (Scotland) Act 2014

| <i>Column A</i> <i>Enactment conferring function</i> | <i>Column B</i> <i>Limitation</i> |
|---|--|
| National Assistance Act 1948 | |
| Section 48 (Duty of councils to provide temporary protection for property of persons admitted to hospitals etc.) | |
| The Disabled Persons (Employment) Act 1958 | |
| Section 3 (Provision of sheltered employment by local authorities) | |
| The Social Work (Scotland) Act 1968 | |
| Section 1 (Local authorities for the administration of the Act.) | So far as it is exercisable in relation to another integration function. |
| Section 4 (Provisions relating to performance of functions by local authorities.) | So far as it is exercisable in relation to another integration function. |
| Section 8 (Research.) | So far as it is exercisable in relation to another integration function. |

| <i>Column A</i> <i>Enactment conferring function</i> | <i>Column B</i> <i>Limitation</i> |
|--|--|
| Section 10 (Financial and other assistance to voluntary organisations etc. for social work.) | So far as it is exercisable in relation to another integration function. |
| Section 12 (General social welfare services of local authorities.) | Except in so far as it is exercisable in relation to the provision of housing support services. |
| Section 12A (Duty of local authorities to assess needs.) | So far as it is exercisable in relation to another integration function. |
| Section 12AZA (Assessments under section 12A - assistance) | So far as it is exercisable in relation to another integration function. |
| Section 13 (Power of local authorities to assist persons in need in disposal of produce of their work.) | |
| Section 13ZA (Provision of services to incapable adults.) | So far as it is exercisable in relation to another integration function. |
| Section 13A (Residential accommodation with nursing.) | |
| Section 13B (Provision of care or aftercare.) | |
| Section 14 (Home help and laundry facilities.) | |
| Section 28 (Burial or cremation of the dead.) | So far as it is exercisable in relation to persons cared for or assisted under another integration function. |
| Section 29 (Power of local authority to defray expenses of parent, etc., visiting persons or attending funerals.) | |
| Section 59 (Provision of residential and other establishments by local authorities and maximum period for repayment of sums borrowed for such provision.) | So far as it is exercisable in relation to another integration function. |

The Local Government and Planning (Scotland) Act 1982

| <i>Column A</i> <i>Enactment conferring function</i> | <i>Column B</i> <i>Limitation</i> |
|--|--|
| Section 24(1) (The provision of gardening assistance for the disabled and the elderly.) | |
| Disabled Persons (Services, Consultation and Representation) Act 1986 | |
| Section 2 (Rights of authorised representatives of disabled persons.) | |
| Section 3 (Assessment by local authorities of needs of disabled persons.) | |
| Section 7 (Persons discharged from hospital.) | In respect of the assessment of need for any services provided under functions contained in welfare enactments within the meaning of section 16 and which have been delegated. |
| Section 8 (Duty of local authority to take into account abilities of carer.) | In respect of the assessment of need for any services provided under functions contained in welfare enactments (within the meaning set out in section 16 of that Act) which are integration functions. |
| The Adults with Incapacity (Scotland) Act 2000 | |
| Section 10 (Functions of local authorities.) | |
| Section 12 (Investigations.) | |
| Section 37 (Residents whose affairs may be managed.) | Only in relation to residents of establishments which are managed under integration functions. |
| Section 39 (Matters which may be managed.) | Only in relation to residents of establishments which are managed under integration functions. |
| Section 41 (Duties and functions of managers of authorised establishment.) | Only in relation to residents of establishments which are managed under integration functions |
| Section 42 (Authorisation of named manager to withdraw from resident's account.) | Only in relation to residents of establishments which are managed under integration functions |
| Section 43 (Statement of resident's affairs.) | Only in relation to residents of establishments which are managed under integration functions |
| Section 44 (Resident ceasing to be resident of authorised establishment.) | Only in relation to residents of establishments which are managed under integration functions |

| <i>Column A</i> <i>Enactment conferring function</i> | <i>Column B</i> <i>Limitation</i> |
|--|---|
| Section 45 (Appeal, revocation etc.) | Only in relation to residents of establishments which are managed under integration functions |
| The Housing (Scotland) Act 2001 | |
| Section 92 (Assistance for housing purposes.) | Only in so far as it relates to an aid or adaptation. |
| The Community Care and Health (Scotland) Act 2002 | |
| Section 5 (Local authority arrangements for of residential accommodation outwith Scotland.) | |
| Section 14 (Payments by local authorities towards expenditure by NHS bodies on prescribed functions.) | |
| The Mental Health (Care and Treatment) (Scotland) Act 2003 | |
| Section 17 (Duties of Scottish Ministers, local authorities and others as respects Commission.) | |
| Section 25 (Care and support services etc.) | Except in so far as it is exercisable in relation to the provision of housing support services. |
| Section 26 (Services designed to promote well-being and social development.) | Except in so far as it is exercisable in relation to the provision of housing support services. |
| Section 27 (Assistance with travel.) | Except in so far as it is exercisable in relation to the provision of housing support services. |
| Section 33 (Duty to inquire.) | |
| Section 34 (Inquiries under section 33: Co-operation.) | |
| Section 228 (Request for assessment of needs: duty on local authorities and Health Boards.) | |
| Section 259 (Advocacy.) | |
| The Housing (Scotland) Act 2006 | |
| Section 71(1)(b) (Assistance for housing purposes.) | Only in so far as it relates to an aid or adaptation. |

| <i>Column A</i> | <i>Column B</i> |
|--------------------------------------|-------------------|
| <i>Enactment conferring function</i> | <i>Limitation</i> |

The Adult Support and Protection (Scotland) Act 2007

Section 4

(Council's duty to make inquiries.)

Section 5

(Co-operation.)

Section 6

(Duty to consider importance of providing advocacy and other.)

Section 11

(Assessment Orders.)

Section 14

(Removal orders.)

Section 18

(Protection of moved person's property.)

Section 22

(Right to apply for a banning order.)

Section 40

(Urgent cases.)

Section 42

(Adult Protection Committees.)

Section 43

(Membership.)

Social Care (Self-directed Support) (Scotland) Act 2013

Section 5

(Choice of options: adults.)

Section 6

(Choice of options under section 5: assistances.)

Section 7

(Choice of options: adult carers.)

Section 9

(Provision of information about self-directed support.)

Section 11

(Local authority functions.)

| <i>Column A</i> <i>Enactment conferring function</i> | <i>Column B</i> <i>Limitation</i> |
|--|---|
| Section 12 (Eligibility for direct payment: review.) | |
| Section 13 (Further choice of options on material change of circumstances.) | Only in relation to a choice under section 5 or 7 of the Social Care (Self-directed Support) (Scotland) Act 2013. |
| Section 16 (Misuse of direct payment: recovery.) | |
| Section 19 (Promotion of options for self-directed support.) | |
| Carers (Scotland) Act 2016 (b) | |
| Section 6 (Duty to provide Adult carer support plan) | |
| Section 21 (Duty to set local eligibility criteria) | |
| Section 24 (duty to provide support) | |
| Section 25 (provision of support to carers:break from caring) | |
| Section 31 (duty to prepare local carer strategy) | |
| Section 34 (information and advice service for carers) | |
| Section 35 (short breaks services statements) | |

PART 2

Functions, conferred by virtue of enactments, prescribed for the purposes of section 1(7) of the
Public Bodies (Joint Working) (Scotland) Act 2014

| <i>Column A</i> | <i>Column B</i> |
|--|-------------------|
| <i>Enactment conferring function</i> | <i>Limitation</i> |
| The Community Care and Health (Scotland) Act 2002 | |
| Section 4 | |
| The functions conferred by Regulation 2 of the Community Care (Additional Payments) (Scotland) Regulations 2002(| |

Part 2

Services currently provided by the Local Authority which are to be integrated

Scottish Ministers have set out in guidance that the services set out below must be integrated and this is the full list of services that will be integrated from South Lanarkshire Council perspective
These are delegated in so far as they relate to adults only.

- Social work services for adults and older people
- Services and support for adults with physical disabilities and learning disabilities
- Mental health services
- Drug and alcohol services
- Adult protection and domestic abuse
- Carers support services
- Community care assessment teams
- Support services
- Care home services
- Adult placement services
- Health improvement services
- Aspects of housing support, including aids and adaptations
- Day services
- Local area co-ordination
- Respite provision
- Occupational therapy services
- Re-ablement services, equipment and telecare

Annex 3

Hosted Services Proposed Arrangements between North and South Lanarkshire Integration Joint Boards

Where a Health Board spans more than one Integration Joint Board, one of them might manage a service on behalf of the other(s). This Annex sets out those arrangements which the Parties wish to put in place. Such arrangements are subject to the approval of the Integration Joint Board but will not be subject to Ministerial approval.

| Services to be hosted by the South Lanarkshire Integration Joint Board | Services to be hosted by the North Lanarkshire Integration Joint Board |
|---|---|
| Community Dental Services | Care Home Liaison |
| Diabetes | Community Children's Services |
| Health and Homelessness | Paediatrics |
| Primary Care Administration | Dietetics |
| Palliative Care | Mental Health and Learning Disability |
| GP Out of Hours | Psychology |
| Traumatic Brain Injury | Continence Services |
| Occupational Therapy | Podiatry |
| Physiotherapy | Sexual Health |
| | Speech and Language |
| | Substance Misuse |
| | Prisoner Health Care |

Annex 4

Health and Wellbeing Outcomes

Outcome 1 – People are able to look after and improve their own health and wellbeing and live in good health for longer

Outcome 2 – People, including those with disabilities, long term conditions, or who are frail, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community

Outcome 3 – People who use health and social care services have positive experiences of those services and have their dignity respected

Outcome 4 – Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services

Outcome 5 – Health and social care services contribute to reducing health inequalities

Outcome 6 – People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and wellbeing

Outcome 7 – People who use health and social care services are safe from harm

Outcome 8 – People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide

Outcome 9 – Resources are used effectively and efficiently in the provision of health and social care services

Report

8

| | |
|------------------|----------------------------|
| Report to: | Executive Committee |
| Date of Meeting: | 23 September 2020 |
| Report by: | Chief Executive |

| | |
|----------|--|
| Subject: | Recommendations Referred by Resource Committees |
|----------|--|

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ request approval of the following recommendations referred to this Committee by the:-
 - ◆ Education Resources Committee of 18 August 2020
 - ◆ Social Work Resources Committee of 19 August 2020
 - ◆ Finance and Corporate Resources Committee of 19 August 2020

2. Recommendation(s)

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

- (1) that the recommendations referred by the Education Resources Committee, the Social Work Resources Committee and the Finance and Corporate Resources Committee in relation to their Resource Plans 2020/2021 be approved.

3. Background

3.1. Education Resource Plan 2020/2021— Extract of Minute

A report dated 10 August 2020 by the Executive Director (Education Resources) was submitted on the Education Resource Plan for 2020/2021.

Details were provided on the Resource Plan for 2020/2021, attached as Appendix 1 to the report, which outlined the:-

- ◆ key areas of focus for the year ahead
- ◆ objectives and outcomes
- ◆ measures and actions
- ◆ resourcing of the Plan
- ◆ organisational structure of the Resource

The Resource had established a number of objectives to support the delivery of the Connect priorities in 2020/2021 which were detailed in Appendix 2 to the report.

In line with the Council's performance management arrangements, a mid-year progress report on actions identified in the 2020/2021 Resource Plan would be submitted to a future meeting of the Committee.

The Committee recommended to the Executive Committee: that the Education Resource Plan for 2020/2021 be approved and uploaded to the Council's website.

[Reference: Minutes of Education Resources Committee of 18 August 2020 (Paragraph 11)]

3.2. **Social Work Resource Plan 2020/2021 - Extract of Minute**

A report dated 31 July 2020 by the Director, Health and Social Care was submitted on the Social Work Resource Plan 2020/2021.

Details were provided on the Resource Plan for 2020/2021, attached as Appendix 1 to the report, which outlined the:-

- ◆ key areas of focus for the year ahead
- ◆ objectives and outcomes
- ◆ measures and actions
- ◆ resourcing of the Plan
- ◆ organisational structure of the Resource

The Resource had established a number of objectives to support the delivery of the Connect priorities in 2020/2021 which were detailed in Appendix 2 to the report.

In line with the Council's performance management arrangements, a mid-year progress report on actions identified in the 2020/2021 Resource Plan would be submitted to a future meeting of the Committee.

The Committee recommended to the Executive Committee: that the Social Work Resource Plan for 2020/2021 be approved and uploaded to the Council's website.

[Reference: Minutes of Social Work Resources Committee of 19 August 2020 (Paragraph 8)]

3.3 **Finance and Corporate Resource Plan 2020/2021— Extract of Minute**

A report dated 10 August 2020 by the Executive Director (Finance and Corporate Resources) was submitted on the Finance and Corporate Resource Plan for 2020/2021.

Details were provided on the Resource Plan for 2020/2021, attached as Appendix 1 to the report, which outlined the:-

- ◆ key areas of focus for the year ahead
- ◆ objectives and outcomes
- ◆ measures and actions
- ◆ resourcing of the Plan
- ◆ organisational structure of the Resource

In line with the Council's performance management arrangements, a mid-year progress report on actions identified in the 2020/2021 Resource Plan would be submitted to a future meeting of the Committee.

The Committee recommended that the Finance and Corporate Resource Plan

to the Executive Committee: for 2020/2021 be approved.

[Reference: Minutes of Finance and Corporate Resources Committee of 19 August 2019 (Paragraph 11)]

4. Employee Implications

- 4.1. All employee implications were highlighted as part of the original reports to Resource Committees.

5. Financial Implications

- 5.1. All financial implications were highlighted as part of the original reports to Resource Committees.

6 Climate Change, Sustainability and Environmental Implications

- 6 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. Any risks or sustainability issues or other implications were highlighted as part of the original reports to the Resource Committees.

8. Equality Impact Assessment and Consultation Arrangements

- 8.1. Equality impact assessment and consultation arrangements were highlighted as part of the original reports to the Resource Committees.
- 8.2. There is no requirement to carry out an Equality Impact Assessment or consultation in terms of the proposals contained in this report.

Cleland Sneddon
Chief Executive

8 September 2020

Link(s) to Council Values/Ambitions/Objectives

- ◆ Accountable, effective, efficient and transparent

Previous References

- ◆ Minutes of Education Resources Committee, 18 August 2020
- ◆ Minutes of Social Work Resources Committee, 19 August 2020
- ◆ Minutes of Finance and Corporate Resources Committee, 19 August 2020

List of Background Papers

- ◆ Individual reports to Resource Committees

Contact for Further Information

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

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Lynn.Paterson@southlanarkshire.gov.uk

Report

9

| | |
|------------------|---|
| Report to: | Executive Committee |
| Date of Meeting: | 23 September 2020 |
| Report by: | Executive Director (Finance and Corporate Resources) |

| | |
|----------|--|
| Subject: | Council Complaints Report: SPSO Annual Overview 2019/2020 |
|----------|--|

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide a report on the performance of the Council's handling of complaints received during the period 1 April 2019 to 31 March 2020 against the Scottish Public Services Ombudsman (SPSO) national indicators; and
- ◆ identify improvement activity as a result of the analysis of complaints (see 6.3);
- ◆ provide customer feedback on complaint handling.

2. Recommendation(s)

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

- (1) that complaints performance and areas highlighted for improvement be noted.

3. Background

3.1. The Council is required to monitor and assess complaints handling performance to:

- ◆ provide assurance in relation to how the Council have performed
- ◆ facilitate continuous improvement
- ◆ assist in benchmarking performance between local authorities.

The performance indicators for the local authority model complaints handling procedure are the minimum requirements for a local authority to self-assess and report on performance, and to undertake benchmarking activities.

3.2. Compliance with the procedure is monitored by the SPSO through the Complaints Handlers Network on a quarterly and annual basis.

4. Overview

4.1. The CMT receive regular quarterly reports on Council complaints and an annual report is shared with elected members. The Council continues to work to improve performance and learn from complaints to improve services.

4.2. As reported previously to the Executive Committee, the SPSO introduced a suite of performance indicators which the Council is required to report against following the introduction of the new Complaints Handling Procedure. These are:

Indicator 1 - Complaints received per 1000 of population

- Indicator 2 - % of closed complaints at stages 1 and 2
- Indicator 3 - % of complaints upheld, partially upheld and not upheld
- Indicator 4 - Average time in days to respond to stage 1 and 2 complaints
- Indicator 5 - % responded to within timescales stages 1 and 2
- Indicator 6 - % of complaints where an extension is authorised at stage 1 and 2
- Indicator 7 - Learning from complaints
- Indicator 8 - Customer satisfaction

5. Indicator performance

5.1. As per the 2011 census South Lanarkshire currently has a population of just over 314,000 people and, in the period April 2019 to March 2020, a total of 908 complaints were dealt with. This means there were 2.89 complaints for every 1000 head of population. Compared to 2018/2019 where complaints were 2.91 per 1000 head of population, this indicator has therefore achieved a reduction of 0.02 complaints per 1000 head of population.

5.2. The complaints closed in this period are detailed by Resource at Appendix 1. The figures presented are shown as a percentage of all complaints recorded in the CRM, EDRMS, Flare, Confirm and Objective systems and overall they currently show that:

- 78% of complaints received are closed at Stage 1, i.e. within 5 working days,
- 13% are closed at Stage 2, i.e. within 20 working days, and
- 9% have been escalated from Stage 1 to Stage 2 and closed.

5.3. Of the complaints received:

At Stage 1, 43% of complaints are upheld and 57% of complaints are not upheld. This represents a 5% increase in upheld complaints at Stage 1 in comparison with complaints processed in 2018/2019

At stage 2, 19% of complaints are upheld and 81% of complaints are not upheld. This represents a 1% decrease in upheld complaints at Stage 2 in comparison with complaints processed in 2018/2019.

Of the complaints that were escalated from Stage 1 to Stage 2, 31% of complaints are upheld and 69% of complaints are not upheld. This represents a 12% increase in upheld escalated complaints in comparison with complaints processed in 2018/2019.

In terms of upheld complaints across the Resources, most complaints are upheld in Housing and Technical Resources (49% of all complaints) and fewest were upheld in Education Resources (24% of all complaints).

5.4. Responding to complaints:

The Complaints Handling Procedure dictate that Stage 1 complaints are responded to within 5 working days, and Stage 2 within 20 working days. In South Lanarkshire, the average number of days taken to respond to complaints at a Council wide level for Stage 1 is 4.66 working days and for Stage 2 is 11.57 working days.

These working day statistics show minor change in performance from the 2018/2019 results where the average working days to respond to stage 1 was 4.23, and at 11.6 days for Stage 2.

This average response time statistics represent a decline in the complaints handling performance at Stage 1 compared with 2018/2019, but overall complaints response takes 0.34 days less than the SPSO recommended timescale of 5 working days. Stage 2 response times are well within the recommended 20 day timescale of the Complaints Handling Procedure, with these responses being provided within 11.6 days.

- 5.5. Overall, 74% of Stage 1 complaints are responded to within the 5 working day timescale. This represents an overall decrease of 7% in comparison to complaints received in 2018/2019 where 81% of complaints were dealt with within this timeframe.

For Stage 2 complaints 77% are dealt with within the 20-day timescale, and of the complaints escalated from Stage 1 to Stage 2, 85% are dealt within timescale.

Resources are using extensions at Stage 1 on a limited basis with 74 complaints (10.5% of all Stage 1 complaints) having an extension agreed.

With respect to Stage 2, 6 complaints (5.1% of all Stage 2 complaints) have had an extension agreed.

Of note in the tables in Appendix 1 are indicators that the Community and Enterprise complaints are on average dealt with within 6.75 working days at Stage 1 and 16.5 working days at Stage 2. Community and Enterprise complaints escalated from Stage 1 to Stage 2 are dealt with in an average of 16 working days.

- 5.6 Potential factors in failing to meet the 5 working day timescale may be attributed to issues where more detailed investigation of the complaint may be required. Some complaints can often be of a complex nature and due to this complexity would be likely to take longer than the 5 day timescale. Confidence in managers to recognise the likelihood of a need for more complex investigations and escalate complaints directly to Stage 2 should be encouraged at an early stage to allow the necessary time to investigate and respond to complaints.

These results are cascaded to Resources and to Resource Complaints Champions to formulate action plans to continue to make improvements to the timescales involved in handling complaints, and to maintain employee awareness of the options available in the procedure for escalating complaints to the next stage where it is appropriate to do so.

The figures presented in the Appendix 1 of this report show specific areas for improvement at Resource level, however, it should be noted that where the majority of complaints are processed at Stage 2, performance is well within the timescales set out within the Complaints Handling Procedure.

- 5.7 The lack of consistent and appropriate use of a single recording system by other Resources continues to create an element of delay and is an area for improvement whereby increasing the use of a single system would help reduce unnecessary delays. The ongoing introduction of the Objective file plan system is expected to bring about a uniformity in terms of data recording and reporting.
- 5.8. It should be noted that Resources do have the opportunity to place more complaints directly to Stage 2 if it is appropriate rather than escalating from Stage 1 to Stage 2. There were 86 complaints this year that were escalated from Stage 1 to 2. In the

2018/2019 report this figure was 78. This represents an increase of 10% in escalated complaints over the last year, and in turn indicates that more complaints have been progressed directly to Stage 2. Managers should ensure that their employees are encouraged to progress more complex complaints directly to Stage 2 where the procedure gives adequate time to properly investigate and respond to these.

The purpose of the 2-stage procedure is to handle complaints effectively at the first time of asking and not to give multiple attempts at resolving complaints. Where a complaint is further escalated to the SPSO they are interested in whether, first and foremost, the Council has followed the procedure correctly and appropriately.

- 5.9. This is now the 8th year of operating this Complaints Handling Procedure. Previous years reports from 2013/14, 2014/15, and 2015/16 have indicated an average timescale of handling Stage 1 complaints of 5 working days, reducing to 4.9 working days in 2016/17 and to 4.8 working days in 2017/18. This further reduced in 2018/19 to an average of 4.23 working days. This year, 2019/20 has seen a slight decline in this performance trend from 2018/19 with a Stage 1 response average of 4.66 days.
- 5.10. Resource representatives provide information each quarter to demonstrate instances of learning from complaints as per the requirements of SPSO Indicator 7. The regular good practice examples of learning from complaints received from across Resources are highlighted on a quarterly basis in the CMT reports and are published on the Complaints Performance pages of the Council website.

6. Customer Satisfaction

- 6.1. To meet the requirements of the SPSO performance indicator 8 – Customer Satisfaction the Council ask for feedback from customers who have used the Council's complaints procedure.

This gives an insight into how the customer feels about how we have handled their complaint and helps to inform service improvements. As in previous years, the survey has been conducted by email with all customers who agree to participate, sent a link to the survey. This is in line with the complaints handling procedure.

Please refer to Appendix 2 for the respondent's feedback for the period from 1 April 2019 to 31 March 2020.

- 6.2. The key points of note from the customer survey results are as follows:
- Most of the respondents (83%) knew that the Council had a complaints process and 83% found it easy to make their complaint. 67% said that they would be willing to use the process again.
 - 67% of the respondents felt that the explanation given on how the Council reached their decision was not full and clear and only 17% were satisfied with the outcome of their complaint.
 - Customers scored the Council on how well employees had dealt with their complaint in terms of their knowledge as 17%, their friendliness 34% and their understanding of the complaint 17%.

7. Employee Implications

- 7.1. Employees are key to effective service delivery and in trying to resolve complaints. Training is available to all employees through a range of methods including full handbooks, quick guides, e-learning, and good practice.

8. Complaints referred to SPSO

- 8.1. During 2019 – 2020 a total of 36 complaints were dealt with by the SPSO. Most of these complaints related to Social Work Resources (27.7%).

Of the complaints closed off by SPSO, a total of 2 were partially upheld. Both relating to Social Work.

The remaining complaints closed were not upheld, not pursued, or were premature.

Further detail is provided in Appendix 3

9. Financial Implications

- 9.1. There are no additional financial implications arising from this report.

10. Climate Change, Sustainability and Environmental Implications

- 10.1. There are no implications for climate change, sustainability and environmental implications.

11. Other Implications

- 11.1. There is a risk of damage to the Council's reputation. If complaints are not handled effectively, there can be an adverse effect on the public perception of the Council which can lead to a lack of trust in the services provided.
- 11.2. Internal audit has analysed our implementation of the new process and are satisfied with the process being properly in place.

12. Equality Impact Assessment and Consultation Arrangements

- 12.1. Council Resources and the Corporate Management Team have been consulted on the data required for this report. Customers are consulted on the process every quarter.
- 12.2. There is no requirement to carry out an equality impact assessment in relation to the proposals within this report. However, the learning from complaints is used to ensure Council services are accessible to all members of the community and, wherever possible, to prevent discrimination, harassment or victimisation from occurring.

Paul Manning

Executive Director (Finance and Corporate Resources)

28 August 2020

Link(s) to Council Objectives

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

Previous References

- ◆ None

List of Background Papers

- ◆ Monitoring information provided by each Resource
- ◆ Complaints handling customer feedback report

List of Appendices

- ◆ Appendix 1 – Scottish Public Services Ombudsman's Performance indicators from 1 April 2019 to 31 March 2020
- ◆ Appendix 2 - Overview of responses for the complaints handling customer feedback survey from 1 April 2019 to 31 March 2020
- ◆ Appendix 3 - Overview of complaints 1 April 2019 to 31 March 2020 being investigated by SPSO

Contact for Further Information

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

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Email: gill.bhatti@southlanarkshire.gov.uk

SPSO performance indicators (KPI's) from 1 April 2019 to 31 March 2020

Complaints closed at stage one and stage two as a percentage of all complaints closed (SPSO indicator 2) Percentages are shown with actual numerical figures shown in brackets. Due to percentage rounding, percentage totals may not be 100%

| Resource (total no. closed) | % (no.) closed at stage 1 | % (no.) closed at stage 2 | % (no.) closed at stage 2 - escalated from stage 1 |
|------------------------------------|----------------------------------|----------------------------------|---|
| Community and Enterprise (279) | 75% (208) | 20% (56) | 5% (15) |
| Education (82) | 48% (40) | 38% (31) | 13% (11) |
| Finance and Corporate (148) | 84% (125) | 2% (3) | 14% (20) |
| Housing and Technical (220) | 86% (190) | 2% (5) | 11% (25) |
| Social Work (179) | 80% (143) | 12% (21) | 8% (15) |
| Total (908) | 78% (706) | 13% (116) | 9% (86) |

Number of complaints upheld/not upheld at each stage as a percentage of complaints closed in full at each stage (SPSO indicator 3) Percentages are shown with actual numerical figures shown in brackets.

| Resource | % (no.) upheld at stage 1 | % (no.) not upheld at stage 1 | % (no.) upheld at stage 2 | % (no.) not upheld at stage 2 |
|--------------------------|----------------------------------|--------------------------------------|----------------------------------|--------------------------------------|
| Community and Enterprise | 45% (93) | 55% (115) | 11% (6) | 89% (50) |
| Education | 30% (12) | 70% (28) | 19% (6) | 81% (25) |
| Finance and Corporate | 29% (36) | 71% (89) | 33% (1) | 67% (2) |
| Housing and Technical | 50% (95) | 50% (95) | 20% (1) | 80% (4) |
| Social Work | 49% (70) | 51% (73) | 40% (8) | 60% (12) |
| Total | 43% (306) | 57% (400) | 19% (22) | 81% (93) |

| Resource | % (no.) of escalated complaints upheld | % (no.) of escalated complaints not upheld |
|--------------------------|---|---|
| Community and Enterprise | 27% (4) | 73% (11) |
| Education | 18% (2) | 82% (9) |
| Finance and Corporate | 15% (3) | 85% (17) |
| Housing and Technical | 44% (11) | 56% (14) |
| Social Work | 47% (7) | 53% (8) |
| Total | 31% (27) | 69% (59) |

Average time in working days for a full response to complaints at each stage (working days) (SPSO indicator 4)

| Resource | Stage 1 | Stage 2 | Escalated |
|--------------------------|-------------|--------------|--------------|
| Community and Enterprise | 6.75 | 16.5 | 16 |
| Education | 4.75 | 15.25 | 11.5 |
| Finance and Corporate | 2.06 | 1.33 | 4.31 |
| Housing and Technical | 4.25 | 8.25 | 17 |
| Social Work | 5.5 | 16.5 | 10.75 |
| Total | 4.66 | 11.57 | 11.91 |

Percentage of complaints at each stage which were closed in full within the set timescales of 5 and 20 working days (SPSO indicator 5). Percentages are shown with actual numerical figures shown in brackets.

| Resource | % (no.) Stage 1 within 5 | % (no.) Stage 2 within 20 | % (no.) Escalated within 20 |
|--------------------------|--------------------------|---------------------------|-----------------------------|
| Community and Enterprise | 55% (115) | 71% (40) | 67% (10) |
| Education | 70% (28) | 74% (23) | 91% (10) |
| Finance and Corporate | 92% (115) | 100% (3) | 70% (14) |
| Housing and Technical | 86% (164) | 100% (5) | 96% (24) |
| Social Work | 70% (100) | 86% (18) | 100% (15) |
| Total | 74% (522) | 77% (89) | 85% (73) |

Percentage of complaints at stage 1 and 2 where an extension to the 5 or 20 working day timeline has been authorised (SPSO indicator 6). Percentages are shown with actual numerical figures shown in brackets.

| Resource | %/No. at Stage 1 | %/No. at Stage 2 |
|--------------------------|------------------|------------------|
| Community and Enterprise | 100% (62) | 0 |
| Education | 0 | 0 |
| Finance and Corporate | 10% (2) | 0 |
| Housing and Technical | 63% (10) | 37% (6) |
| Social Work | 0 | 0 |

Statement outlining changes or improvements to services or procedures as a result of the consideration of complaints (SPSO indicator 8)

| Learning outcomes from complaints |
|---|
| Complaints Performance - <u>you said we did</u> information |

Community and Enterprise:

A customer complained about information that was published on the Council website in relation to conservation areas. We checked the information on the Council website and found that it had not been updated following a change in legislation. This led to the information on that topic being amended and a wider review of the information on the planning webpages which resulted in details in several areas of the Council website being updated. The service will improve through ensuring accuracy of public information following legislation changes.

Customer complained that their red bin for food and garden waste was not being collected. We apologised to the customer and advised that a recent change was made to the collection programme for food and garden bins for a number of properties in their area. Unfortunately, there was a breakdown in communication with the crew who should have emptied customer's bins. The customer's street has now been assigned to one of the Council's dedicated food and garden waste collection crews. The change to the collection programme was made to balance the resources we use to provide the red (food/garden) bins collection service. The customer's street has been assigned to one of the Council's dedicated food and garden waste collection crews and this should alleviate any repeat of the problem in the future.

Customer complained that an additional uplift service to accommodate medical waste not being provided. The service apologised to the customer and confirmed that they have been added to a list for an additional weekly medical uplift and were also provided with the schedule for the bin to be presented. Learning from this incident will help to ensure the same issue is not repeated in the future for other customers.

Domestic waste collection was suspended on 26 March 2020 due to working practices being reviewed in light of the Covid19 crisis. Following a number of complaints from customers an additional waste pickup was arranged for Saturday 4 April to deal with the waste backlog.

Education:

A parent raised a complaint regarding their child's attendance not being marked up correctly. An apology was provided to the parent for this and this in turn has led to improved quality assurance around pupil attendance recording, preventing a reoccurrence of this type of complaint.

Customer was unhappy that school photos were taken at start of term and before the photography consent form had been signed. Customer received an apology for this and school was reminded that the forms were to be signed before photographs are taken.

Customer was unhappy that after reporting a bullying issue her son was taken off the school bus instead of the other pupil who was responsible for the bullying issue. This was corrected and the complainant's son was put back onto the school bus.

Mum complained that a child that had assaulted her son at school was still in the same class as him and requested that the child is moved to a different class. On this occasion the complaint was resolved after the child was moved to another class.

Finance and Corporate:

Finance – Transactions. A customer felt that the length of time to obtain a refund was excessive. We explained the reason for the timescale and apologised for the delay which was caused by a high volume of requests. We will continue to try to ensure all timescales are met and that timescales are correctly communicated to customers.

Administration and Legal Services (Licensing and Registration Section). Customer maintained the documents they had provided were sufficient to confirm his right to work in the UK. The original enquiry our service made to Home Office was a general enquiry rather than specific to the applicant. Once applicant's details were provided, the Home Office confirmed that no other documents were required. An apology and explanation of what went wrong were given to applicant. Staff were reminded to provide full details of applicant when requesting information from Home Office.

Finance Services (Transactions). A Benefits and Revenue customer was issued a refund that was incorrect due to their Direct Debit funds showing in a suspense account, rather than in their Council Tax account. An apology was provided to the customer for the inconvenience caused and the processes that led to the refund being issued were investigated. Following this, and the customer's complaint, a process has now been put in place for the suspense account to be checked along with the actual Council Tax account before any refund is processed.

Finance Services (Transactions). Customer was unhappy at receiving a Council Tax arrears letter for her deceased father. A re-fresher session was organised with the team to cover the procedures for dealing with Council Tax owing on an Executors account. Customer was accepting of the explanation of the process involved and the outcome of her complaint. By keeping staff abreast of policies and procedures and liaising with customers and explaining the reasons for our policies and procedures can help to minimise complaints.

Finance Services (Licensing and Registration). Customer was unhappy with service provided while registering a death. Reminded member of staff to explain fully registration process including Tell Us Once. By providing customers with full details of process in a clear manner to avoid any misunderstandings.

Housing and Technical:

A customer was unhappy that they had not received a response to emails that had been sent into the Housing office. Staff were reminded of customer care standards in terms of replying and acknowledging customer correspondence. We continue to monitor complaints through service/management reports and regular meetings of complaint groups.

Customer was unhappy that the security entrance key for their property was not provided at the time they signed for the tenancy. We acknowledged and apologised that the security entrance key was not available at this time. We advised the customer that one would be ordered at the first opportunity and that an officer would make contact when the keys arrived in the office. We continue to monitor complaints through service/management reports and through regular meetings of complaint groups.

Customer was unhappy as lifts were out of service in a Tower Block in the Rutherglen/Cambuslang area and about the consequential inconvenience this caused to the complainant's elderly parents. All residents were contacted to advise lifts out of service. In the event of similar events occurring in the future, personal contact will be made immediately with residents if lifts are out of service and appropriate support for residents can be put in place.

Customer unhappy as he was not advised of the start date for Controlled Entry System update. All residents lettered to advise of Controlled Door Entry System Update. Residents will be lettered to advise of any works/updates being carried out.

Social Work:

A customer was unhappy with communication and a delay in arranging a service. An apology given to the customer and arrangements were made to explore appropriate services that were available to meet their needs. This complaint highlighted the importance of good communication which was reiterated to employees.

The customer was unhappy with a delay in getting additional support. We apologised for the inconvenience caused and a visit was arranged urgently. The importance of communication was highlighted as was the importance of progressing requests within timescales.

Complaint from customer regarding the lack of clarification on the assessment process and the length of time taken to complete their assessment. The manager made contact and apologised for the delay and sent a copy of the completed assessment. The worker also visited to progress the support planning. The importance of communication was highlighted to staff and progressing requests within timescales.

Complaint from customer that they were unhappy with the level of care and support for respite. Met with the family and offered a re-assessment to ensure appropriate level of support provided. Have regular reviews with the family to ensure their needs are being met.

Complaints handling customer feedback survey (SPSO indicator 7)

Overview of responses from 1 April 2019 to 31 March 2020

Note: data based on 6 respondents

| Question | % response |
|--|-------------------------|
| Aware that the Council had a complaints process | 83% |
| Satisfied with the ease of making their complaint | 83% |
| Satisfied with the information and advice provided by employees | 17% |
| Satisfied with how well they were kept informed about the progress of their complaint | 33% |
| Satisfied with the speed with which their complaint was dealt with | 17% |
| Satisfied with the response/explanation received | 0% |
| Satisfied with how the complaint was handled overall | 17% |
| The explanation given of how the decision was reached in the response was full and clear | 33% |
| Satisfied with the outcome of the complaint | 17% |
| Reason for dissatisfaction with Council's decision: <ul style="list-style-type: none"> • Council Policy • How the complaint was handled • How the outcome of the complaint was communicated • Other reason <p>The main other reasons over complication of procedure, element of complaint not addressed, and still no reply received</p> | 0% 20% 20% 60% |
| Felt treated fairly and sensitively | 33% |
| Customers were asked to rate the following in terms of how employees dealt with their complaint. The % is the number of customers who rated excellent or good: <ul style="list-style-type: none"> • Knowledge of Council employees • Friendliness of Council employees • How well Council employees understood the complaint | 17% 34% 17% |
| Complaints process easy to use | 67% |
| How willing would you be to make another complaint in the future if the need arises? | 67% |
| 4 of the complaint received related to Housing, 2 were for Roads and Transportation | |

Statistical Report on SPSO Complaints for 2019-20

| Table 1 - SPSO Complaints 2019-20 | | | | | | | | | |
|---|----------------------|------------|-------------|--------------|-------------|-----------------------|----------------|------------|--------------|
| No of Complaints dealt with during 2019-2020 | Com & Ent | | | | Educ | Fin & Corp | H&T | SWk | Total |
| | Com | Ent | Plan | Total | | | | | |
| Jan to March 2019 (c/fwd to 2019-20) | 0 | 1 | 0 | 1 | 1 | 1 | 0 | 2 | 5 |
| April to June 2019 | 0 | 1 | 0 | 1 | 2 | 1 | 2 | 3 | 9 |
| July to September 2019 | 0 | 0 | 3 | 3 | 1 | 0 | 3 | 1 | 8 |
| October to December 2019 | 0 | 0 | 3 | 3 | 0 | 0 | 0 | 3 | 6 |
| January to March 2020 | 1 | 0 | 0 | 1 | 3 | 1 | 2 | 1 | 8 |
| Total dealt with during 2019-2020 | 1 | 2 | 6 | 9 | 7 | 3 | 7 | 10 | 36 |

| Table 2 - Annual Return - April 2019 to March 2020 | | | | | | | | | |
|--|----------------------|------------|-------------|--------------|-------------|-----------------------|----------------|------------|--------------|
| Current/Ongoing Complaints | Com & Ent | | | | Educ | Fin & Corp | H&T | SWk | Total |
| | Com | Ent | Plan | Total | | | | | |
| Initial enquiry/Early resolution stage | 1 | 0 | 0 | 1 | 0 | 0 | 1 | 1 | 3 |
| With Investigations Team | 0 | 0 | 1 | 1 | 0 | 0 | 0 | 2 | 3 |
| Decision Letter - Not pursued/Outwith Jurisdiction/Premature | 0 | 1 | 4 | 5 | 5 | 1 | 6 | 4 | 21 |
| Decision Letter - Not upheld/No recommendations | 0 | 1 | 1 | 2 | 1 | 0 | 0 | 1 | 4 |
| Decision Letter - Not upheld/With recommendations | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 1 |
| Decision Letter - Part upheld/No recommendations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Decision Letter - Part upheld/With recommendations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 2 |
| Decision Letter - Upheld/No recommendations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Decision Letter - Upheld/With recommendations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Public Investigation Report Published | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Withdrawn | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ongoing | 0 | 0 | 0 | 0 | 1 | 1 | 0 | 0 | 2 |
| Total of breakdown of complaints being dealt with by SPSO | 1 | 2 | 6 | 9 | 7 | 3 | 7 | 10 | 36 |

| Table 3 - Complaints Closed to Date | | | | | | | | | |
|--|----------------------|-------------|-------------|--------------|-------------|-----------------------|----------------|------------|--------------|
| Complaints Closed to date | Com & Ent | | | | Educ | Fin & Corp | H&T | SWk | Total |
| | Com | Ent | Plan | Total | | | | | |
| Yes | 0 | 2 | 5 | 7 | 5 | 2 | 7 | 9 | 30 |
| % complaints closed to date | 0% | 100% | 83% | 78% | 71% | 67% | 100% | 90% | 83% |
| No | 1 | 0 | 1 | 2 | 2 | 1 | 0 | 1 | 6 |
| % complaints not yet closed | 100% | 0% | 17% | 22% | 29% | 33% | 0% | 10% | 13% |