



Council Offices, Almada Street
Hamilton, ML3 0AA

Friday, 16 February 2018

Dear Councillor

Finance and Corporate Resources Committee

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

Date: Wednesday, 15 November 2017

Time: 14:00

Venue: Committee Room 1, Council Offices, Almada Street, Hamilton, ML3 0AA

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

Members are reminded to bring their fully charged tablets to the meeting

Yours sincerely

Lindsay Freeland
Chief Executive

Members

Gladys Miller (Chair), Graeme Horne (Depute Chair), Collette Stevenson (Depute Chair), Alex Allison, John Anderson, Walter Brogan, Robert Brown, Janine Calikes, Graeme Campbell, Peter Craig, Maureen Devlin, Isobel Dorman, Joe Fagan, Geri Gray, Eric Holford, Eileen Logan, Hugh Macdonald, Monique McAdams, Ian McAllan, Catherine McClymont, Mark McGeever, Jim McGuigan, John Ross (ex officio), Graham Scott, Jim Wardhaugh, Jared Wark

Substitutes

John Bradley, Andy Carmichael, Poppy Corbett, Margaret Cowie, Mary Donnelly, Ian Harrow, Richard Lockhart, Katy Loudon, Lynne Nailon, Margaret B Walker, Sheena Wardhaugh, Josh Wilson

BUSINESS

- 1 Declaration of Interests**
- 2 Minutes of Previous Meeting** 5 - 18
Minutes of the meeting of the Finance and Corporate Resources Committee held on 6 September 2017 submitted for approval as a correct record. (Copy attached)
- 3 Minutes of Appeals Panel** 19 - 22
Minutes of the meetings of the Appeals Panel held on 12 and 25 October 2017 submitted for approval as a correct record. (Copies attached)
- 4 Minutes of Grievance and Disputes Panel** 23 - 26
Minutes of the meetings of the Grievance and Disputes Panel held on 31 August and 7 September 2017 submitted for approval as a correct record. (Copies attached)

Monitoring Item(s)

- 5 Revenue Budget Monitoring 2017/2018 - Finance and Corporate Resources** 27 - 36
Report dated 26 September 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 6 Capital Budget Monitoring 2017/2018 - Finance and Corporate Resources** 37 - 40
Report dated 11 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 7 Finance and Corporate Resources - Workforce Monitoring - July to September 2017** 41 - 46
Report dated 11 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 8 Council-wide Workforce Monitoring - July to September 2017** 47 - 66
Report dated 11 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 9 Treasury Management Activity - Second Quarter Review** 67 - 74
Report dated 17 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 10 Finance and Corporate Resources' Resource Plan - Quarter 2 Progress Report 2017/2018** 75 - 110
Report dated 16 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Item(s) for Decision

- 11 Revenue Collection and Approval for Write-Offs** 111 - 116
Report dated 16 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 12 Mobile Men's Shed Project** 117 - 120
Report dated 3 November 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Item(s) for Noting

- 13 2016/2017 Year End Insured Risks Report** 121 - 138
Report dated 16 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 14 2017 Information and Communication Technology (ICT) Asset Management Plan** 139 - 142
Report dated 24 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)
- 15 Early Retirement, Voluntary Severance and Switch 2** 143 - 148
Report dated 16 October 2017 by the Executive Director (Finance and Corporate Resources). (Copy attached)

Urgent Business

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

For further information, please contact:-

Clerk Name: Stuart McLeod

Clerk Telephone: 01698 454815

Clerk Email: stuart.mcleod@southlanarkshire.gov.uk

FINANCE AND CORPORATE RESOURCES COMMITTEE

2

Minutes of meeting held in Committee Room 1, Council Offices, Almada Street, Hamilton on 6 September 2017

Chair:

Councillor Gladys Miller

Councillors Present:

Alex Allison, John Anderson, Walter Brogan, Robert Brown, Janine Calikes, Graeme Campbell, Andy Carmichael (*substitute for Councillor Scott*), Peter Craig, Maureen Devlin, Mary Donnelly (*substitute for Councillor Horne*), Isobel Dorman, Joe Fagan, Eric Holford, Eileen Logan, Monique McAdams, Ian McAllan, Catherine McClymont, Hugh Macdonald, Mark McGeever, Jim McGuigan, Collette Stevenson (Depute), Jim Wardhaugh, Jared Wark

Councillors' Apologies:

Geri Gray, Graeme Horne (Depute), John Ross (ex officio), Graham Scott

Attending:

Finance and Corporate Resources

P Manning, Executive Director; G Bow, Administration Manager; C Fergusson, Finance Manager (Transactions); T Little, Head of Communications and Strategy; G McCann, Head of Administration and Legal Services; K McVeigh, Head of Personnel Services; F Morrison, Revenue and Benefit Manager; J Taylor, Head of Finance (Strategy); B Teaz, Head of Information Technology Services

1 Declaration of Interests

The following interests were declared:-

Councillor(s)	Item(s)	Nature of Interest(s)
Dorman and Fagan	Civic Government (Scotland) Act 1982 (As Amended):- <ul style="list-style-type: none">♦ Review of Licensing Fees♦ Licensing of Private Hire Car Drivers – Route Tests	Relative of Persons in the Taxi Trade
McClymont	Lanark Common Good – 2017 Christmas Tree Project	Previous involvement in the matter

2 Minutes of Appeals Panel

The minutes of the meeting of the Appeals Panel held on 24 August 2017 were submitted for approval as a correct record.

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

3 Minutes of Grievance and Disputes Panel

The minutes of the meeting of the Grievance and Disputes Panel held on 17 August 2017 were submitted for approval as a correct record.

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

4 Revenue Budget Monitoring 2017/2018 - Finance and Corporate Resources

A report dated 9 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted comparing actual expenditure for the period 1 April to 21 July 2017 against budgeted expenditure for 2017/2018 for Finance and Corporate Resources.

The Committee decided:

- (1) that the breakeven position on the Finance and Corporate Resources' revenue budget, as detailed in Appendix A to the report, be noted;
- (2) that the forecast to 31 March 2018 of a breakeven position be noted; and
- (3) that the budget virements, as detailed in the appendices to the report, be approved.

5 Capital Budget Monitoring 2017/2018 - Finance and Corporate Resources

A report dated 1 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted advising of progress on Finance and Corporate Resources' capital programme for 2017/2018 and summarising the expenditure position at 21 July 2017.

The Committee decided: that the Finance and Corporate Resources' capital programme of £2.033 million, and expenditure to date of £0.220 million, be noted.

6 Finance and Corporate Resources - Workforce Monitoring - April to June 2017

A report dated 1 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the following employee information for Finance and Corporate Resources for the period April to June 2017:-

- ◆ attendance statistics
- ◆ occupational health statistics
- ◆ accident/incident statistics
- ◆ disciplinary hearings, grievances and Dignity at Work cases
- ◆ analysis of leavers and exit interviews
- ◆ Staffing Watch as at 10 June 2017

The Committee decided: that the report be noted.

7 Council-wide Workforce Monitoring - April to June 2017

A report dated 1 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the following Council-wide employee information for the period April to June 2017:-

- ◆ attendance statistics
- ◆ occupational health statistics
- ◆ accident/incident statistics
- ◆ disciplinary hearings, grievances, Dignity at Work cases and mediation referrals
- ◆ analysis of leavers and exit interviews
- ◆ recruitment monitoring
- ◆ Staffing Watch as at 10 June 2017

The Committee decided: that the report be noted.

8 Treasury Management Activity - First Quarter Review

A report dated 3 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the first quarter review of Treasury Management activity for 2017/2018.

Details were given on:-

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

The Committee decided: that the report be noted.

9 Finance and Corporate Resources' Resource Plan - Quarter 4 Progress Report 2016/2017

A report dated 25 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the Finance and Corporate Resources' Resource Plan for 2016/2017. Details were provided on progress made at the end of quarter 4, covering the period from 1 April 2016 to 31 March 2017, in implementing the priority projects identified in the Resource Plan.

The Committee decided: that the report be noted.

[Reference: Minutes of 23 November 2016 (Paragraph 10)]

10 Revenue Collection and Approval for Write-Offs

A report dated 7 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ collection performance for 2017/2018 on revenues income which comprised Council Tax, non-domestic rates, sundry debts and arrears
- ◆ performance against the Business Rates Incentivisation Scheme (BRIS) target
- ◆ the write-off of irrecoverable Hamilton Town Centre Improvement District (BID) levies, sundry debt, former tenant rent arrears, factoring arrears and housing benefit overpayments

The BRIS was intended to incentivise growth of the local business tax base with a view to increasing non-domestic rates income yields. The Scottish Government would set annual targets for growth (buoyancy) and councils that met their target would retain 50% of the additional income generated. The annual buoyancy target for South Lanarkshire Council for 2017/2018 had been set at 1.7% and performance against the target for the first quarter to 30 June 2017 was - 0.19%. This meant that the Council's tax base required to achieve growth of 1.89% by 31 March 2018 to secure additional funding under the Scheme.

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

- ◆ BID levies totalling £1,218.38
- ◆ sundry debts to a value of £710,653.76
- ◆ former tenant rent arrears totalling £317,210.22, factoring arrears totalling £12,770.31 and housing benefit overpayments totalling £24,653.49

The Committee decided:

- (1) that the Council's performance in the collection of revenues be noted;
- (2) that the Council's performance against the Business Rates Incentivisation Scheme target be noted; and
- (3) that the write-off of the following irrecoverable debts be approved:-
 - ◆ Hamilton Town Centre Business Improvement District levies totalling £1,218.38
 - ◆ sundry debts to a value of £710,653.76
 - ◆ house rent totalling £317,210.22
 - ◆ factoring arrears totalling £12,770.31
 - ◆ housing benefit overpayments totalling £24,653.49

11 Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy 2016/2017

A report dated 1 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ Treasury Management activity and interim Prudential Code Indicators for 2016/2017
- ◆ the proposed Annual Investment Report for 2016/2017

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 introduction of the Prudential Framework in April 2004 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 2016/2017 and the Treasury Management and Prudential Code Indicators for 2016/2017 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 2016/2017 had been approved by the Council at its meeting on 1 March 2016 and 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 2016/2017 and Appendix 4 detailed the permitted investments that the Council had approved for the financial year 2016/2017.

The Committee decided:

- (1) that the Treasury Management Activity Report for 2016/2017 be noted;
- (2) that the 2016/2017 Prudential Indicators be noted;
- (3) that the Treasury Management Strategy be endorsed and referred to the Executive Committee for formal approval; and
- (4) that the 2016/2017 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.

[Reference: Minutes of South Lanarkshire Council (Special) of 1 March 2016 (Paragraph 4)]

12 Finance and Corporate Resources' Workforce Plan 2017 to 2020 - Right People, Right Place, Right Time

A report dated 21 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the Finance and Corporate Resources' Workforce Plan for the period 2017 to 2020 and the associated strategic actions for the Council.

The Council's Workforce Planning Strategy had been approved by the Executive Committee at its meeting on 13 April 2016. Each Resource had been engaged in workforce planning activity, with Executive Directors taking responsibility for progressing the associated outcomes identified in their Resources' Workforce Plan.

The Council's Workforce Plan had been agreed by the Executive Committee at its meeting on 8 March 2017 and it was also agreed that Resource specific workforce plans would be reported to Resource Committees.

Workforce data had been analysed for each Service within the Resource to identify challenges and opportunities. The data analysis for each service area was detailed in the Finance and Corporate Resources' Workforce Plan for 2017 to 2020, which was attached as Appendix 1 to the report. The following key issues had been identified:-

- ◆ there was sufficient employee turnover across lower grades to contribute to the identified savings
- ◆ there was a low turnover in specialist areas which might lead to a difficulty in achieving savings
- ◆ in some service areas, transferrable skills were required to ensure business continuity
- ◆ the Resource required to take steps to ensure that there was appropriate succession planning arrangements in place

An action plan had been developed to ensure that workforce planning activity was co-ordinated and progressed by appropriate officers on an ongoing basis and this was included in the Workforce Plan.

The Committee decided:

- (1) that the Finance and Corporate Resources' Workforce Plan for the period 2017 to 2020 be approved; and

- (2) that the action plan to progress the Workforce Plan be noted.

[Reference: Minutes of the Executive Committee of 8 March 2017 (Paragraph 9) and 13 April 2016 (Paragraph 8)]

13 Discretionary Housing Payment Policy

A report dated 7 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on proposals for a revised Discretionary Housing Payment Policy.

The Discretionary Housing Payment (DHP) Scheme was a national Scheme introduced by the Department for Work and Pensions (DWP) in 2001. The Scheme provided funding to local authorities which enabled them to make discretionary awards to benefit claimants, in both the public and private sector, who found it difficult to meet their housing costs, including rent payments, Council Tax payments, rent deposits, rent in advance and removal costs.

The Council's previous DHP Policy had been approved by the Housing and Technical Resources Committee on 20 March 2013. The Policy had now been updated to reflect changes to housing costs due to the Government's Welfare Reform Programme and the introduction of Universal Credit.

It was anticipated that high demands would be placed on the DHP fund and, as such, a Policy was required to ensure that the fund was distributed in a fair and effective manner.

DHPs were not a payment of Housing Benefit, however, the customer required to be in receipt of Housing Benefit or Universal Credit with housing costs to qualify for DHP and there had to be a shortfall between the Housing Benefit or the housing element of the Universal Credit award and the contractual rent.

Payments were discretionary and claimants did not have a statutory right to payment.

The Policy, which was attached as Appendix 1 to the report, detailed how the Council would operate the DHP Scheme.

The Policy would be publicised to ensure that all agencies that provided support for residents were made aware of the funding available and how it could be utilised to support their client group. This would also include information on the decision-making and application process.

The Policy would be supported by a comprehensive set of procedures and guidance to ensure transparency, consistent practice and effective management of the process.

DHP funding was not intended to, and could not, provide financial assistance to all tenants affected by Welfare Reform changes. All applications would be assessed on an individual basis and payments would be limited to the funds available.

The Committee decided:

- (1) that the Discretionary Housing Policy, as detailed in Appendix 1 to the report, be endorsed; and
- (2) that the Discretionary Housing Policy be referred to the Executive Committee for formal approval.

[Reference: Minutes of Housing and Technical Resources Committee of 20 March 2013 (Paragraph 12)]

14 Review of Ceremony Fees and Nationality Checking Service Fees

A report dated 26 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted proposing:-

- ◆ an increase in fees for carrying out marriage ceremonies
- ◆ that fees for the Nationality Checking Service be amended to bring them into line with the Home Office application process

As ceremony fees had been relatively static over the past few years, it was considered necessary to implement an increase in the fees for marriage ceremonies to cover the cost of service delivery and to maintain the quality of service. There was no proposal to increase fees for naming ceremonies or the renewal of vows due to a lack of demand.

The current and proposed fees in respect of ceremonies were detailed in Appendix 1 to the report.

The Home Office had altered the method of processing applications for British Citizenship and no longer considered combined or family applications. As a result, changes had been introduced to the appointment process for the Nationality Checking Service to ensure that it was consistent with Home Office procedures. This had resulted in an increased cost for service delivery and, in order to ensure costs were fully met, it was necessary to increase the fees as detailed in Appendix 2 to the report.

Councillor Anderson, seconded by Councillor Macdonald, moved that the recommendations contained in the report be approved. Councillor McClymont, seconded by Councillor Devlin, moved as an amendment that consideration of the report be continued until the next meeting of this Committee to allow more detailed information to be made available on how the proposed increase in fees had been determined. On a vote being taken by a show of hands, 9 members voted for the amendment and 13 for the motion which was declared carried.

The Committee decided:

- (1) that the revised fees for marriage ceremonies, as detailed in Appendix 1 to the report, be approved; and
- (2) that the realignment of fees for the Nationality Checking Service, as detailed in Appendix 2 to the report, be approved.

[Reference: Minutes of the Executive Committee of 26 January 2015 (Paragraph 2)]

15 Civic Government (Scotland) Act 1982 (As Amended) - Review of Licensing Fees

A report dated 26 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted requesting approval to increase fees for applications under the Civic Government (Scotland) Act 1982 (as amended).

In terms of the Civic Government (Scotland) Act 1982 (as amended), fees required to be set at a level to cover the cost of administering the licensing system.

Fees were reviewed annually to take account of any changes in inflation to ensure that the cost of administering the licensing system was met in terms of the legislation. As a result of the previously low inflation rate, the fees had not been increased since 2015. Inflation was now increasing and, in order to ensure the Council's costs were fully recovered, it was now considered necessary to increase the fees. The proposed revised fees, as detailed in Appendix 1 to the report, represented an approximate increase of 3%, which was in line with inflation. Some of the fees had been realigned to reflect increased costs from suppliers for items such as

taxi/private hire plates. In addition, a number of premises applications relating to variations and temporary applications had required a percentage of the application fee to be realigned to reflect the actual work carried out.

The Committee decided: that the revised fees for applications under the Civic Government (Scotland) Act 1982 (as amended), as detailed in Appendix 1 to the report, be approved.

[Reference: Minutes of the Executive Committee of 26 January 2015 (Paragraph 2)]

Councillors Dorman and Fagan, having declared an interest in the above and following item, withdrew from the meeting during their consideration

16 Civic Government (Scotland) Act 1982 (As Amended) Licensing of Private Hire Car Drivers - Route Tests

A report dated 2 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ♦ the introduction of a requirement, with effect from 1 January 2018, for all applicants submitting a private hire car driver's licence to sit and pass a route test on the same basis as taxi drivers prior to the issue of the licence
- ♦ the removal of the facility where applicants for a taxi driver's licence were offered a private hire car driver's licence if they failed 3 route tests

Due to an amendment to the Civic Government (Scotland) Act 1982, by the Air Weapons and Licensing Act 2005, a local authority could now require a private hire car driver to sit a route test prior to the issue of their licence.

The requirement for taxi drivers to sit a route test prior to their licence being issued had been introduced in 1999 and, due to the amendment in legislation in 2016, it was now proposed that route tests be extended to private hire car drivers. This would ensure a consistent approach and improve the standard of service provided by private hire car drivers. The route test would apply to applicants who lodged their application after 1 January 2018.

Applicants had the opportunity to sit the route test as many times as they wished within a 3 month period, with the fee of £25 being payable for each test. In the event that a private hire car driver failed the route test, the application would be refused.

Previously, a taxi driver who failed 3 route tests would be offered a private hire car driver's licence. If the requirement for private hire car drivers to sit the route test was approved, this arrangement would be discontinued.

The Committee decided:

- (1) that the introduction of the requirement for all applicants for a private hire car driver's licence, after 1 January 2018, to sit and pass a route test, be approved; and
- (2) that the facility to offer taxi driver's licence applicants a private hire car driver's licence, if they failed 3 route tests, be removed.

17 Community Empowerment and Common Good Property - Scottish Government's Consultation on Draft Guidance

A report dated 3 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on the Scottish Government's consultation on Draft Guidance on Community Empowerment and Common Good Property.

The consultation related to guidance for local authorities on how to fulfil the requirements of Part 8 of the Community Empowerment (Scotland) Act 2015 in relation to Common Good property.

Part 8 of the Community Empowerment (Scotland) Act 2015 placed new duties on local authorities in relation to Common Good property. The consultation covered statutory guidance relating to those processes and requested views on issues such as timescales, information about assets, local consultation and publicising proposals.

The Council's proposed response was attached as Appendix 1 to the report.

The Committee decided: that the response to the Scottish Government's consultation on Draft Guidance on Community Empowerment and Common Good Property, attached as Appendix 1 to the report, be approved and submitted to the Scottish Government by the deadline of 29 September 2017.

18 Lanark Common Good - 2017 Christmas Tree Project

A report dated 14 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on an application from the Lanark Development Trust for funding of £4,000 from the Lanark Common Good Fund for the 2017 Christmas Tree Project.

The Lanark Community Development Trust (LCDT) was a registered charity which was working with the local community to develop a "Vision for Lanark". The Trust aimed to develop and deliver priority community projects which had a social, environmental and economic impact. This included a programme of developments which was hoped to attract more visitors to the area.

During 2016, the LCDT received funding for town centre improvements from the Scottish Government's Town Centre Communities Capital Fund. One of the improvement projects was to supply local shops with reusable Christmas trees and lights mounted on brackets, which would be further used for hanging baskets in the spring/summer. The total cost of the project was £5,500.

50 shops had taken part in the 2016 project, each having paid £30 towards the cost, with the LCDT funding the remaining £4,000.

The project had been widely welcomed and was viewed as enhancing the appearance of Lanark Town Centre.

The LCDT intended to roll out the Christmas Tree Project to a further 50 shops within Lanark Town Centre for 2017. The cost of the proposed project was £5,500. Each of the shops would again make a contribution of £30, which left a shortfall of £4,000, and the Trust had requested that this be met from the Lanark Common Good Fund.

The Committee decided: that the application by the Lanark Community Development Trust for funding of £4,000 from the Lanark Common Good Fund for the 2017 Christmas Tree Project be approved.

Councillor McClymont, having declared an interest in the above item, withdrew from the meeting during its consideration

19 Common Good - Update

A report dated 31 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted on:-

- ◆ the Common Good final accounts, subject to audit, as at 31 March 2017
- ◆ the cyclical spend committed against the Common Good repairs and maintenance budgets for both Lanark and Hamilton
- ◆ the disposal of 37 to 41 Townhead Street, Hamilton

The Council held Common Good funds within Lanark, Biggar, Hamilton and Rutherglen. The Common Good accounts for 2016/2017, subject to final audit, were detailed in Appendix 1 to the report.

The Common Good accounts in Lanark and Hamilton held a number of properties. An active approach to maintenance supported the liability of those assets and reduced the Council's risk to greater liability in the future. At its meeting on 2 October 2013, this Committee had approved an annual cyclical maintenance plan of £15,000 for both Lanark and Hamilton Common Good properties.

Details of current and potential commitments in relation to the Lanark Common Good repairs and maintenance budget were provided in the report. There were currently no commitments against the Hamilton Common Good repairs and maintenance budget.

At its meeting on 28 June 2017, the Executive Committee had declared the properties at 37 to 41 Townhead Street, Hamilton as surplus to the Council's requirements. The properties had been purchased with Common Good funds and it was anticipated that the sale would generate a capital receipt of £10,000 which would be credited to the Hamilton Common Good Fund.

The Committee decided:

- (1) that the final accounts for Common Good for the year ended 31 March 2017, subject to audit, be noted;
- (2) that the cyclical spend committed against the Common Good repairs and maintenance budgets for Lanark and Hamilton be noted; and
- (3) that the disposal of the properties at 37 to 41 Townhead Street, Hamilton and the anticipated capital receipt of £10,000, to be credited to the Hamilton Common Good Fund, be noted.

[Reference: Minutes of 2 October 2013 (Paragraph 11), 29 October 2014 (Paragraph 17) and Minutes of the Executive Committee of 28 June 2017 (Paragraph 14)]

20 Governance of Charitable Trust Funds - 2016/2017 Expenditure

A report dated 21 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted on payments made to beneficiaries of the 69 charitable trust funds administered by the Council which, as at 1 April 2016, were valued at £1.225 million.

During 2016/2017, expenditure totalling £0.062 million had been distributed to beneficiaries of the trust funds. The expenditure was offset by income of £0.007 million from interest or dividends received from investments. In addition, funds of the Loudon Bequest, which were managed by Barclays Wealth, had been reinvested, meaning the balance of funds had increased by £0.028 million. This had resulted in a total closing balance on the trust funds, as at 31 March 2017, of £1.198 million.

Details of all active funds and payments made in 2016/2017, together with the balances of the funds as at 31 March 2017, were provided in Appendix 1 to the report.

Discussions were ongoing with the Office of the Scottish Charity Regulator (OSCR) in relation to the modernisation of trust fund constitutions and the removal of obstacles, such as restrictions on the distribution of capital and where the purpose of a trust fund was either unknown or was no longer relevant.

The Committee decided: that the report be noted.

[Reference: Minutes of 23 November 2016 (Paragraph 18)]

21 Procurement Strategy Action Plan Update - 2016/2017

A report dated 3 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on progress made in relation to the Procurement Strategy Action Plan for the period January 2017 to March 2020.

The Council's latest Procurement Strategy, covering the period January 2017 to March 2020, which had been approved by the Executive Committee at its meeting on 8 February 2017, reflected those actions continued from the previous Strategy, including the introduction and roll out of supplier and contract management modules for appropriate contracts.

This report covered the year end position for 2016/2017 and included the first 3 months of the 2017/2018 Strategy.

The Procurement Strategy Action Plan was attached as Appendix 1 to the report and included details on progress which had been achieved and actions which had been completed. A summary of the main achievements and remaining actions, which would form part of a continual improvement programme, were summarised in the report.

The Action Plan would continue to be monitored and updates would be reported to this Committee on a 6 monthly basis.

The Committee decided: that progress on the Procurement Strategy Action Plan be noted.

[Reference: Minutes of the Executive Committee of 8 February 2017 (Paragraph 8)]

22 Safety at Sports Grounds - Re-issue of General Safety Certificates - Superseal Stadium, Hamilton

A report dated 16 August 2017 by the Executive Director (Finance and Corporate Resources) was submitted on action taken, in terms of Standing Order No 36(c), in view of the timescales involved, by the Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, to re-issue General Safety Certificates for the North and West Stands, Hamilton Academical Football Club, Superseal Stadium, Cadzow Avenue, Hamilton.

The revised format of the General Safety Certificates for the North and West Stands at New Douglas Park (now known as the Superseal Stadium) had been approved by this Committee at its meeting on 11 December 2013 and the certificates were required to be reviewed and re-issued annually.

Following the annual safety inspection, the North and West Stands at the Superseal Stadium had been found to be well maintained and in a good state of repair. The engineer's annual inspection report had identified a small number of minor defects which had been attended to.

The stadium management had provided copies of the appropriate annual inspection and test certificates and the relevant records had been made available for inspection.

The stadium management and the South Lanarkshire Sports Grounds Safety Advisory Group had reviewed the revised General Safety Certificates and the safety management arrangements at the Superseal Stadium. The following revisions had been made to the Certificates:-

- ◆ the name of the stadium had been changed from New Douglas Park to the Superseal Stadium
- ◆ the name of the Holder of the Certificates had been changed to James Thompson, Stadium Manager
- ◆ the operational manual had been reviewed and updated where necessary

The Executive Director (Finance and Corporate Resources), in consultation with the Chair and an ex officio member, approved the reviewed General Safety Certificates for the North and West Stands at the Superseal Stadium to allow them to be re-issued prior to the start of the new football season which commenced on Saturday 5 August 2017.

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

[Reference: Minutes of 11 December 2013 (Paragraph 12) and 20 April 2016 (Paragraph 13)]

23 Early Retirement, Voluntary Severance and Switch 2

A report dated 21 July 2017 by the Executive Director (Finance and Corporate Resources) was submitted on early retirements, voluntary severances, re-employment of early retirees and the Switch 2 programme for the period 1 October 2016 to 31 March 2017.

The Committee decided: that the report be noted.

[Reference: Minutes of 23 November 2016 (Paragraph 19)]

24 Urgent Business

There were no items of urgent business.

APPEALS PANEL

3

Minutes of meeting held in Committee Room 3, Council Offices, Almada Street, Hamilton on 12 October 2017

Chair:

Councillor Gladys Miller

Councillor Present:

John Anderson

Councillor's Apology:

Sheena Wardhaugh

Attending:

Finance and Corporate Resources

P McGilvray, Personnel Officer; S McLeod, Administration Officer; E Maxwell, Personnel Adviser

1 Declaration of Interests

No interests were declared.

2 Urgent Business

There were no items of urgent business.

3 Exclusion of Press and Public

The Panel decided:

that, in terms of Section 50A(4) of the Local Government (Scotland) Act 1973, the press and public be excluded from the meeting for the next item of business on the grounds that it was likely that there would be disclosure of exempt information in terms of Paragraph 1 of Part I of Schedule 7A of the Act.

4 Appeal Against Dismissal

The Panel considered an appeal (Ref 6/17) by an employee against his dismissal.

The appellant was present and represented by M Gallagher, UNISON. The Council was represented by a Human Resources Business Partner. The Council called a witness and the appellant's representative called the appellant. All parties were heard in relation to the appeal and then withdrew from the meeting.

The Panel decided:

that the grounds of the appeal had been substantiated in part and the appeal be upheld to the extent that:-

- ♦ the dismissal be substituted with a period of unpaid absence from the date of the dismissal until 12 October 2017
- ♦ the appellant be issued with a final written warning

APPEALS PANEL

3

Minutes of meeting held in Committee Room 3, Council Offices, Almada Street, Hamilton on 25 October 2017

Chair:

Councillor Gladys Miller

Councillors Present:

Alex Allison, Mary Donnelly

Attending:

Finance and Corporate Resources

E Maxwell, Personnel Adviser; T Slater, Administration Officer

1 Declaration of Interests

No interests were declared.

2 Urgent Business

There were no items of urgent business.

3 Exclusion of Press and Public

The Panel decided:

that, in terms of Section 50A(4) of the Local Government (Scotland) Act 1973, the press and public be excluded from the meeting for the next item of business on the grounds that it was likely that there would be disclosure of exempt information in terms of Paragraph 1 of Part I of Schedule 7A of the Act.

4 Appeal Against Dismissal

The Panel considered an appeal (Ref 7/17) by an employee against his dismissal.

The appellant was present and represented by A Cairns, General Municipal Boiler Makers and Allied Trade Unions. The Council was represented by a Human Resources Business Partner. Both sides called witnesses. All parties were heard in relation to the appeal and then withdrew from the meeting.

The Panel decided:

that the grounds of the appeal had not been substantiated and the appeal be not upheld.

GRIEVANCE AND DISPUTES PANEL

4

Minutes of meeting held in Committee Room 3, Council Offices, Almada Street, Hamilton on 31 August 2017

Chair:

Councillor Collette Stevenson

Councillors Present:

Isobel Dorman, Andy Carmichael

Attending:

Finance and Corporate Resources

E Maxwell, Personnel Adviser; T Slater, Administration Officer

1 Declaration of Interests

No interests were declared.

2 Urgent Business

There were no items of urgent business.

3 Exclusion of Press and Public

The Panel decided:

that, in terms of Section 50A(4) of the Local Government (Scotland) Act 1973, the press and public be excluded from the meeting for the next item of business on the grounds that it was likely that there would be disclosure of exempt information in terms of Paragraph 1 of Part I of Schedule 7A of the Act.

4 Grievance

The Panel considered a grievance (G/3/17) by an employee of the Council.

The employee was present and represented by D Waplington of NASUWT. The Council was represented by a manager from the employee's Resource. All parties were heard in relation to the matter and then withdrew from the meeting.

The Panel decided:

that the grounds of the grievance had not been substantiated and the grievance be not upheld.

GRIEVANCE AND DISPUTES PANEL

4

Minutes of meeting held in Committee Room 3, Council Offices, Almada Street, Hamilton on 7 September 2017

Chair:

Councillor Collette Stevenson

Councillors Present:

Robert Brown, Mary Donnelly

Attending:

Finance and Corporate Resources

E Maxwell, Personnel Adviser; T Slater, Administration Officer

1 Declaration of Interests

No interests were declared.

2 Urgent Business

There were no items of urgent business.

3 Exclusion of Press and Public

The Panel decided:	that, in terms of Section 50A(4) of the Local Government (Scotland) Act 1973, the press and public be excluded from the meeting for the next item of business on the grounds that it was likely that there would be disclosure of exempt information in terms of Paragraph 1 of Part I of Schedule 7A of the Act.
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4 Grievance

The Panel considered a grievance (G/4/17) by an employee of the Council.

The employee was present and represented by C Jordan of UNISON. The Council was represented by a Head of Service from the employee's Resource. All parties were heard in relation to the matter and then withdrew from the meeting.

The Panel decided:

- (1) that the grounds of the grievance had not been substantiated and the grievance be not upheld; and
- (2) that the employee would retain their parking space until a review of the employee's health conditions, with clarification of car parking distances, was undertaken by Occupational Health.

Report

5

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Revenue Budget Monitoring 2017/2018 - Finance and Corporate Resources**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide information on the actual expenditure measured against the revenue budget for the period 1 April to 15 September 2017 for Finance and Corporate Resources
- ◆ provide a forecast for the year to 31 March 2018

2. Recommendation(s)

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

- (1) that the breakeven position on the Finance and Corporate Resources' revenue budget, as detailed in Appendix A of the report, and the forecast to 31 March 2018 of breakeven, be noted; and
- (2) that the proposed budget virements be approved.

3. Background

3.1. This is the second revenue budget monitoring report presented to the Finance and Corporate Resources Committee for the financial year 2017/2018.

3.2. The report details the financial position for Finance and Corporate Resources on Appendix A, along with variance explanations in Appendices B-G.

4. Employee Implications

4.1. None

5. Financial Implications

5.1. As at 15 September 2017, there is a breakeven position against the phased budget. The financial forecast for the revenue budget to 31 March 2018 is a breakeven position.

5.2. Virements are proposed to realign budgets. These movements have been detailed in the appendices to this report, as appropriate.

6. Other Implications

6.1. 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.

6.2. There are no implications for sustainability in terms of the information contained in this report.

7. Equality Impact Assessment and Consultation Arrangements

7.1. 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.

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

Paul Manning

Executive Director (Finance and Corporate Resources)

26 September 2017

Link(s) to Council Values/Objectives

♦ Accountable, Effective and Efficient

Previous References

♦ Finance and Corporate Resources Committee – 6 September 2017

List of Background Papers

♦ Financial ledger and budget monitoring results to 15 September 2017

Contact for Further Information

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

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SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Finance and Corporate Resources Summary

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	34,327	34,327	0	15,250	15,241	9	under	0.1%	
Property Costs	2,458	2,458	0	950	962	(12)	over	(1.3%)	
Supplies & Services	5,771	5,771	0	2,955	2,916	39	under	1.3%	
Transport & Plant	115	115	0	19	13	6	under	31.6%	
Administration Costs	6,851	6,851	0	2,740	2,741	(1)	over	0.0%	
Payments to Other Bodies	3,726	3,726	0	1,214	1,175	39	under	3.2%	
Payments to Contractors	245	245	0	24	45	(21)	over	(87.5%)	
Transfer Payments	97,075	97,075	0	43,065	43,065	0	-	0.0%	
Financing Charges	783	783	0	132	118	14	under	10.6%	
Total Controllable Exp.	151,351	151,351	0	66,349	66,276	73	under	0.1%	
Total Controllable Inc.	(118,481)	(118,481)	0	(48,133)	(48,060)	(73)	under recovered	(0.2%)	
Net Controllable Exp.	32,870	32,870	0	18,216	18,216	0	-	0.0%	

Variance Explanations

Variance explanations are shown in Appendices B to G.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Finance Services

Budget Category	Annual Budget £000	Forecast for Year £000	Annual Forecast Variance £000	Budget Proportion 15/09/17 £000	Actual 15/09/17 £000	Variance 15/09/17 £000		% Variance 15/09/17	Note
Employee Costs	15,889	15,889	0	7,081	6,984	97	under	1.4%	1,a,b
Property Costs	1,874	1,874	0	669	669	0	-	0.0%	
Supplies & Services	848	848	0	438	448	(10)	over	(2.3%)	
Transport & Plant	11	11	0	6	1	5	under	83.3%	
Administration Costs	1,416	1,416	0	461	443	18	under	3.9%	2
Payments to Other Bodies	2,553	2,553	0	355	342	13	under	3.7%	
Payments to Contractors	244	244	0	23	38	(15)	over	(65.2%)	
Transfer Payments	97,075	97,075	0	43,065	43,065	0	-	0.0%	
Financing Charges	255	255	0	88	71	17	under	19.3%	
Total Controllable Exp.	120,165	120,165	0	52,186	52,061	125	under	0.2%	
Total Controllable Inc.	(104,352)	(104,352)	0	(44,339)	(44,355)	16	over recovered	0.0%	a
Net Controllable Exp.	15,813	15,813	0	7,847	7,706	141	under	1.8%	

Variance Explanations**1. Employee Costs**

The underspend is due to vacancies which are being considered in line with service requirements.

2. Administration Costs

The underspend is due to less than budgeted expenditure on legal expenses and fees required for the collection of Council Tax.

Budget Virements

a. Realignment of blue badge employee budget. Net Effect 0: Employee Costs £0.123m and Income (£0.123m).

b. Transfer to centrally held funds for realignment of pay award allocation (£0.077m): Employee Costs (£0.077m)

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Audit Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	628	628	0	312	314	(2)	over	(0.6%)	
Property Costs	0	0	0	0	0	0	-	n/a	
Supplies & Services	10	10	0	5	2	3	under	60.0%	
Transport & Plant	0	0	0	0	0	0	-	n/a	
Administration Costs	8	8	0	2	1	1	under	50.0%	
Payments to Other Bodies	0	0	0	0	0	0	-	n/a	
Payments to Contractors	1	1	0	1	7	(6)	over	(600.0%)	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	5	5	0	2	2	0	-	0.0%	
Total Controllable Exp.	652	652	0	322	326	(4)	over	(1.2%)	
Total Controllable Inc.	(229)	(229)	0	(1)	(1)	0	-	0.0%	
Net Controllable Exp.	423	423	0	321	325	(4)	over	(1.2%)	

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Information Technology Services

Budget Category	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
Employee Costs	5,319	5,319	0	2,310	2,310	0	-	0.0%	
Property Costs	462	462	0	239	247	(8)	over	(3.3%)	
Supplies & Services	3,494	3,494	0	1,946	1,901	45	under	2.3%	1
Transport & Plant	10	10	0	4	4	0	-	0.0%	
Administration Costs	1,473	1,473	0	765	773	(8)	over	(1.0%)	a
Payments to Other Bodies	0	0	0	0	0	0	-	n/a	
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	444	444	0	0	0	0	-	n/a	
Total Controllable Exp.	11,202	11,202	0	5,264	5,235	29	under	0.6%	
Total Controllable Inc.	(7,239)	(7,239)	0	(1,974)	(1,945)	(29)	under recovered	(1.5%)	2
Net Controllable Exp.	3,963	3,963	0	3,290	3,290	0	-	0.0%	

Variance Explanations**1. Supplies and Services**

The underspend is due to less than anticipated computer equipment purchased on behalf of the Leisure Trust to date and is partially offset by an under recovery of income from recharges (See 2 below).

2. Income

The under recovery is due to less than anticipated income from recharges to the Leisure Trust for computer equipment purchased to date and is offset by reduced expenditure above.

Budget Virements

- a.** Transfer from reserves for Local Government Digital Transformational Partnership £0.030m: Administration Costs £0.030m.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Personnel Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	6,512	6,512	0	2,892	2,901	(9)	over	(0.3%)	
Property Costs	93	93	0	30	41	(11)	over	(36.7%)	
Supplies & Services	371	371	0	115	103	12	under	10.4%	
Transport & Plant	58	58	0	5	5	0	-	0.0%	
Administration Costs	1,394	1,394	0	369	388	(19)	over	(5.1%)	
Payments to Other Bodies	416	416	0	175	168	7	under	4.0%	
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	37	37	0	18	22	(4)	over	(22.2%)	
Total Controllable Exp.	8,881	8,881	0	3,604	3,628	(24)	over	(0.7%)	
Total Controllable Inc.	(2,307)	(2,307)	0	(490)	(493)	3	over recovered	0.6%	
Net Controllable Exp.	6,574	6,574	0	3,114	3,135	(21)	over	(0.7%)	

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Administration, Legal and Licensing Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	4,228	4,228	0	1,885	1,927	(42)	over	(2.2%)	1
Property Costs	29	29	0	12	5	7	under	58.3%	
Supplies & Services	165	165	0	81	88	(7)	over	(8.6%)	
Transport & Plant	8	8	0	3	3	0	-	0.0%	
Administration Costs	2,046	2,046	0	932	945	(13)	over	(1.4%)	a
Payments to Other Bodies	703	703	0	642	623	19	under	3.0%	
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	35	35	0	18	17	1	under	5.6%	
Total Controllable Exp.	7,214	7,214	0	3,573	3,608	(35)	over	(1.0%)	
Total Controllable Inc.	(1,996)	(1,996)	0	(617)	(587)	(30)	under recovered	(4.9%)	
Net Controllable Exp.	5,218	5,218	0	2,956	3,021	(65)	over	(2.2%)	

Variance Explanations**1. Employee Costs**

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

Budget Virements

a. Transfer for Members Superannuation costs £0.056m: Administration Costs £0.056m.

SOUTH LANARKSHIRE COUNCIL

Revenue Budget Monitoring Report

Finance and Corporate Resources Committee: Period Ended 15 September 2017 (No.7)

Communications and Strategy Services

	Annual Budget	Forecast for Year	Annual Forecast Variance	Budget Proportion 15/09/17	Actual 15/09/17	Variance 15/09/17		% Variance 15/09/17	Note
	£000	£000	£000	£000	£000	£000			
<u>Budget Category</u>									
Employee Costs	1,751	1,751	0	770	805	(35)	over	(4.5%)	1
Property Costs	0	0	0	0	0	0	-	n/a	
Supplies & Services	883	883	0	370	374	(4)	over	(1.1%)	a
Transport & Plant	28	28	0	1	0	1	under	100.0%	
Administration Costs	514	514	0	211	191	20	under	9.5%	
Payments to Other Bodies	54	54	0	42	42	0	-	0.0%	
Payments to Contractors	0	0	0	0	0	0	-	n/a	
Transfer Payments	0	0	0	0	0	0	-	n/a	
Financing Charges	7	7	0	6	6	0	-	0.0%	
Total Controllable Exp.	3,237	3,237	0	1,400	1,418	(18)	over	(1.3%)	
Total Controllable Inc.	(2,358)	(2,358)	0	(712)	(679)	(33)	under recovered	(4.6%)	2,a
Net Controllable Exp.	879	879	0	688	739	(51)	over	(7.4%)	

Variance Explanations**1. Employee Costs**

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

2. Income

The under recovery is due to less than anticipated income from external work completed to date.

Budget Virements

- a. Realignment of Commercial Work and Paper budgets to reflect current service delivery. Net Effect 0: Supplies and Services (£0.210m) and Income £0.210m.

Report

6

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Capital Budget Monitoring 2017/2018 - Finance and Corporate Resources**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide information on the progress of the capital programme for Finance and Corporate Resources for the period 1 April to 15 September 2017

2. Recommendation(s)

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

- (1) that the Finance and Corporate Resources capital programme of £1.933 million, and expenditure to date of £0.458 million, be noted.

3. Background

- 3.1. This is the second capital monitoring report presented to the Finance and Corporate Resources Committee for the financial year 2017/2018. Further reports will follow throughout the year.
- 3.2. The budget reflects the approved programme for the year (as approved at Council meeting on 16 February 2017), exceptions approved during 2016/2017 and monies carried forward for projects from 2016/2017. It also includes budget adjustments approved by the Executive Committee up to and including its meeting on 8 November 2017.
- 3.3. The report details the financial position for Finance and Corporate Resources in Appendix A.

4. Employee Implications

4.1. None

5. Financial Implications

5.1. The total capital programme for Finance and Corporate Resources for 2017/2018 is £1.933 million. Anticipated spend to date was £0.570 million with £0.458 million of expenditure being incurred (23.69% of full budget). This represents a position of £0.112 million behind profile.

6. Other Implications

- 6.1. The main risk associated with the Council's Capital Programme is that there is an overspend. The risk has been assessed as low given the detailed project management plans prepared and monitored for each project. The risk of overspend is managed through four weekly Investment Management Meetings.
- 6.2. There are no implications for sustainability in terms of the information contained in this report.

7. Equality Impact Assessment and Consultation Arrangements

- 7.1. 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.
- 7.2. There is also no requirement to undertake any consultation in terms of the information contained in the report.

Paul Manning

Executive Director (Finance and Corporate Resources)

11 October 2017

Link(s) to Council Values/Objectives

- ◆ Value: Accountable, Effective and Efficient

Previous References

- ◆ South Lanarkshire Council – 16 February 2017
- ◆ Finance and Corporate Resources Committee – 6 September 2017
- ◆ Executive Committee – 8 November 2017

List of Background Papers

- ◆ Financial ledger to 15 September 2017

Contact for Further Information

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

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**South Lanarkshire Council
Capital Expenditure 2017-2018
Finance and Corporate Resources Programme
For Period 1 April 2017 – 15 September 2017**

	Budget £000	Budget b/f £000	Total Original Budget £000	Budget Adjustments £000	Slippage £000	Total Budget £000	Budget to Date £000	Actual Expenditure £000
Finance Services	0	293	293	0	(163)	130	89	182
Information Technology Services	1,026	285	1,311	592	(100)	1,803	481	276
TOTAL	1,026	578	1,604	592	(263)	1,933	570	458

Report

7

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Finance and Corporate Resources – Workforce
Monitoring – July to September 2017**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide employment information for the period July to September 2017 relating to Finance and Corporate Resources

2. Recommendation(s)

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

(1) that the following employment information for the period July to September 2017 relating to Finance and Corporate Resources be noted:-

- ◆ attendance statistics
- ◆ occupational health
- ◆ accident/incident statistics
- ◆ discipline, grievance and Dignity at Work cases
- ◆ analysis of leavers and exit interviews

3. Background

3.1. As part of the Council's performance management arrangements, regular workforce monitoring reports are submitted to Committee. This report for Finance and Corporate Resources provides information on the position for the period July to September 2017.

4. Monitoring Statistics

4.1. Attendance Statistics (Appendix 1)

Information on absence statistics is analysed for the month of September 2017 for Finance and Corporate Resources.

The Resource absence figure for September 2017 was 4.1%, which represents an increase of 0.7% when compared to last month and is 0.1% higher than the Council-wide figure. Compared to September 2016, the Resource absence figure has increased by 1.7%.

Based on the absence figures at September 2017 and annual trends, the projected annual average absence for the Resource for 2017/2018 is 3.2%, compared to a Council-wide average figure of 4.2%.

For the financial year 2017/2018, the projected average days lost per employee equates to 7.8 days, compared with the overall figure for the Council of 8.8 days per employee.

4.2. Occupational Health (Appendix 2)

In terms of referrals to occupational health, which include medical examinations and physiotherapy, 102 referrals were made this period, an increase of 52 when compared with the same period last year.

4.3. Accident/Incident Statistics (Appendix 2)

One accident/incident was recorded within the Resource this period, this figure has decreased by 5 when compared with the same period last year.

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

During the period, 1 disciplinary hearing was held within the Resource which remains unchanged when compared with the same period last year. There were no grievance hearings, a decrease of 1 when compared to the same period last year. There were no Dignity at Work hearings held within the Resource this period, which remains unchanged when compared with the same period last year.

4.5. Analysis of Leavers (Appendix 2)

There were 12 leavers in the Resource this period, an increase of 2 when compared with the same period last year. Exit interviews were held with 3 of these employees.

5. Employee Implications

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

6. Financial Implications

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

7. Other Implications

- 7.1. There are no implications for sustainability or risk in terms of the information contained within 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 an existing policy, function or strategy and therefore no impact assessment is required.
- 8.2. There was no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

11 October 2017

Link(s) to Council Values/Objectives

- ◆ Accountable, effective and efficient
- ◆ Fair and open
- ◆ Self aware and improving
- ◆ Excellent employer
- ◆ People focused
- ◆ Working with and respecting others

Previous References

- ◆ Finance and Corporate Resources – 6 September 2017

List of Background Papers

- ◆ Monitoring information provided by Finance and Corporate Resources.

Contact for Further Information

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

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ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Finance and Corporate Resources

APT&C				Manual Workers				Resource Total				Council Wide							
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018				
April	3.1	2.6	2.8	April				April	3.1	2.6	2.8	April	3.8	4.3	3.9				
May	2.9	2.2	3.2	May		0.0	May	2.9	2.2	3.2	May	3.9	4.4	4.2					
June	3.7	2.2	3.3	June		0.0	June	3.7	2.2	3.3	June	3.5	4.1	3.9					
July	3.5	2.0	3.1	July		0.0	July	3.5	2.0	3.0	July	2.9	3.3	3.0					
August	3.0	2.2	3.5	August		0.0	August	3.0	2.2	3.4	August	3.3	3.6	3.2					
September	1.7	2.4	4.1	September		0.0	September	1.7	2.4	4.1	September	3.8	4.1	4.0					
October	2.3	2.6		October			October	2.3	2.6		October	4.1	4.4						
November	2.3	3.1		November			November	2.3	3.1		November	4.7	4.9						
December	2.5	2.6		December			December	2.5	2.6		December	4.7	4.9						
January	2.7	2.6		January			January	2.7	2.6		January	4.6	4.5						
February	3.9	3.8		February			February	3.9	3.8		February	5.0	5.0						
March	2.7	3.7		March			March	2.7	3.7		March	5.2	4.7						
Annual Average	2.9	2.7	3.2	Annual Average		0.0	Annual Average	2.9	2.7	3.2	Annual Average	4.1	4.4	4.2					
Average Apr-Sep	3.0	2.3	3.3	Average Apr-Sep		0.0	Average Apr-Sep	3.0	2.3	3.3	Average Apr-Sep	3.5	4.0	3.7					
No of Employees at 30 September 2017				1059	No of Employees at 30 September 2017				10	No of Employees at 30 September 2017				1069	No of Employees at 30 September 2017				15048

For the financial year 2017/18, the projected average days lost per employee equates to 7.8 days.
 Figures for manual workers only applicable from May 2017/2018

FINANCE AND CORPORATE RESOURCES

	Jul-Sep 2016	Jul-Sep 2017
MEDICAL EXAMINATIONS		
Number of Employees Attending	14	32
EMPLOYEE COUNSELLING SERVICE		
Total Number of Referrals	3	9
PHYSIOTHERAPY SERVICE		
Total Number of Referrals	20	36
REFERRALS TO EMPLOYEE SUPPORT OFFICER	8	16
REFERRALS TO COGNITIVE BEHAVIOUR THERAPY	5	9
TOTAL	50	102

CAUSE OF ACCIDENTS/INCIDENTS	Jul-Sep 2016	Jul-Sep 2017
Minor	1	0
Violent Incident: Physical****	1	0
Violent Incident: Verbal*****	4	1
Total Accidents/Incidents	6	1

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

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

***Near Miss - Any unexpected, unplanned occurrence (except Dangerous Occurrences) that does not lead to injury of persons, damage to property, plant or equipment but may have done so in different circumstance.

****Physical violent incidents are included in the "Specified" figures, where applicable, to provide the "Total Specified" figures.

****Physical violent incidents and ***** Verbal Violent Incidents are included in the "Over 3-day or Over 7-day" figures, where applicable, to provide the "Total Over 3-day or Over 7-day" figures.

****Physical Violent Incidents and ***** Verbal Violent Incidents are included in the "Minor" figures, where applicable, to provide the "Total Minor" figures.

RECORD OF DISCIPLINARY HEARINGS	Jul-Sep 2016	Jul-Sep 2017
Total Number of Hearings	1	1

Time Taken to Convene Hearing Jul-Sep 2017

0-3 Weeks
0

4-6 Weeks
1

Over 6 Weeks
0

RECORD OF GRIEVANCE HEARINGS	Jul-Sep 2016	Jul-Sep 2017
Number of Grievances	1	0
Number Resolved at Stage 2	1	0

RECORD OF DIGNITY AT WORK	Jul-Sep 2016	Jul-Sep 2017
Number of Incidents	0	0

ANALYSIS OF REASONS FOR LEAVING	Apr-Jun 2016	Apr-Jun 2017
Further Education	0	1
Childcare/caring responsibilities	0	2
Number of Exit Interviews conducted	0	3

Total Number of Leavers Eligible for Exit Interview	10	12
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Percentage of interviews conducted	0%	25%
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Report

8

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Council-wide Workforce Monitoring – July to September 2017**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide employment information relating to the Council for the period July to September 2017

2. Recommendation(s)

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

(1) that the following employment information for the period July to September 2017 relating to the Council be noted:-

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

3. Background

3.1. As part of the Council's performance management arrangements, regular workforce monitoring reports are submitted to Committee. This report for the Council provides information on the position for the period July to September 2017.

4. Attendance Statistics

4.1. Information on absence statistics for the Council and each Resource, as analysed for September 2017, is provided in Appendices 1 – 8. Points to note are:-

The Council's absence rate for September 2017, shown in Appendix 1, is 4.0%, this figure has increased by 0.8% when compared to last month and has decreased by 0.1% when compared to September 2016.

When compared to September 2016, the APT&C absence rate figure has increased by 0.3%, teachers' absence rate has decreased by 0.2% and the manual workers' figure has decreased by 0.4%.

The projected average absence rate for the Council for the financial year 2017/2018 is 4.2%.

For the financial year 2017/2018, the projected average days lost per employee equates to 8.8 days.

In comparison to September 2016 (Appendix 8):-

- ◆ Musculoskeletal and psychological conditions remain the main reasons for absence.
- ◆ Total days lost due to musculoskeletal conditions have decreased by 198 days.
- ◆ Total days lost due to psychological conditions have decreased by 243 days.
- ◆ Total days lost due to stomach, bowel, blood and metabolic disorders have increased by 111 days.
- ◆ Total days lost due to respiratory conditions have decreased by 122 days.

5. Occupational Health

5.1. Information on Occupational Health for the period July to September 2017 is provided in Appendix 9.

- ◆ during the period there were 340 employees referred for a medical examination, a decrease of 16 when compared to the same period last year. Both musculoskeletal and psychological conditions continue to be the main reason for medical referrals.
- ◆ a total of 508 employees attended physiotherapy treatment, showing an increase of 3 when compared to the same period last year. Of the 508 employees referred, 77% remained at work whilst undertaking treatment.
- ◆ during this period there were 223 employees referred to the Employee Support Officer showing a decrease of 25 when compared with the same period last year. Of those referrals made this period, 90% related to personal reasons.
- ◆ 109 employees were referred to 'TimeforTalking' counselling service this period, showing a decrease of 20 when compared with the same period last year. Of the 109 referrals made this period, 99 were from management and 10 were from employees. Personal reasons accounted for 63% of the referrals made, 30% were for work related reasons and 7% were for other reasons.
- ◆ 52 employees were referred for Cognitive Behavioural Therapy this period, an increase of 6 when compared to the same period last year.

6. Accidents/Incidents

6.1. The quarterly accident/incident report for July to September 2017 is contained in Appendix 10.

- ◆ the number of accidents/incidents recorded was 174, this figure has increased by 21 from the same period last year.
- ◆ there were 4 specified injury accidents/incidents recorded, this figure has increased by 2 from the same period last year.
- ◆ there were 164 minor accidents/incidents, this figure has increased by 17 from the same period last year.
- ◆ there was 1 accident resulting in an absence lasting over 3 days during the period, this figure remains unchanged from the same period last year.
- ◆ there were 5 accidents resulting in absences lasting over 7 days during the period, this figure has increased by 2 from the same period last year.

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

7.1. Information on Disciplinary, Grievance Hearings, Dignity at Work and Mediation Referrals for July to September 2017 is contained in Appendices 11, 12a and 12b.

- ◆ in total, 49 disciplinary hearings were held across Resources within the Council, a decrease of 17 when compared to the same period last year.
- ◆ action was taken in 44 of these cases. No appeals were raised against the outcomes.
- ◆ our target is to convene disciplinary hearings within 6 weeks, 71% of hearings met this target.
- ◆ during the period, 1 appeal was upheld by the Appeals Panel.
- ◆ at the end of September 2017, 5 Appeals Panels were pending.
- ◆ during the period, 8 grievance cases were raised, one was resolved at stage 3 and 7 still in process
- ◆ during the period, 8 Dignity at Work cases were raised and 8 were still in process
- ◆ during the period, 2 referrals for mediation were submitted

8. Analysis of Leavers and Exit Interviews

8.1. Information on the number of leavers and exit interviews for the period July to September 2017 is contained in Appendix 13. Exit interviews are conducted with employees who leave voluntarily.

Labour Turnover

Using information compiled from Resources and Staffing Watch information as at 10 June 2017, the Council's turnover figure for July to September 2017 is as follows:-

247 leavers eligible for exit interviews/14,334 employees in post = Labour Turnover of 1.7%.

Based on the figure at September 2017, the annual labour turnover figure for the financial year 2017/2018 for the Council is 5.3%.

8.2. Analysis of Leavers and Exit Interviews

- ◆ there were a total of 247 employees leaving the Council that were eligible for an exit interview, an increase of 111 when compared with the same period last year.
- ◆ exit interviews were held with 9% of leavers, compared with 16% from the same period last year.

9. Recruitment Monitoring

9.1. Information on Recruitment Monitoring for July to September 2017 is contained within Appendix 14.

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

- ◆ overall, 2,566 applications and 2,403 completed Equal Opportunities Monitoring Forms were received
- ◆ of those applicants who declared themselves as disabled (96), 54 were shortlisted for interview and 3 were appointed
- ◆ of those applicants of a black/ethnic minority background (52), 17 were shortlisted for interview and 3 were appointed.

10. Employee Implications

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

11. Financial Implications

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

12. Other Implications

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

13. Equality Impact Assessment and Consultation Arrangements

- 13.1. 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.
- 13.2. There was no requirement to undertake any consultation in terms of the information contained in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

11 October 2017

Link(s) to Council Values/Objectives

- ◆ Accountable, effective and efficient
- ◆ Fair and open
- ◆ Self aware and improving
- ◆ Excellent employer
- ◆ People focused
- ◆ Working with and respecting others

Previous References

- ◆ Finance and Corporate Resources Committee – 6 September 2017

List of Background Papers

- ◆ Monitoring information provided by Resources

Contact for Further Information

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

Janet McLuckie, Personnel Officer

Ext: 4239 (Tel: 01698 454239)

E-mail: Janet.McLuckie@southlanarkshire.gcsx.gov.uk

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Council Wide

APT&C				Teachers				Manual Workers				Council Wide							
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018				
	%	%	%		%	%	%		%	%	%		%	%	%				
April	4.2	4.0	4.1	April	2.6	2.9	2.1	April	4.3	6.1	5.2	April	3.8	4.3	3.9				
May	4.0	4.2	4.4	May	2.9	3.1	2.7	May	4.4	5.8	5.1	May	3.9	4.4	4.2				
June	3.6	4.1	4.1	June	2.2	2.4	2.2	June	4.5	5.6	4.9	June	3.5	4.1	3.9				
July	3.2	3.5	3.3	July	1.2	1.2	0.8	July	3.9	4.7	4.5	July	2.9	3.3	3.0				
August	3.5	3.7	3.7	August	1.5	1.4	1.0	August	4.3	5.2	4.5	August	3.3	3.6	3.2				
September	3.6	4.1	4.4	September	2.6	2.4	2.2	September	5.1	5.4	5.0	September	3.8	4.1	4.0				
October	4.1	4.5		October	2.8	2.9		October	5.0	5.6		October	4.1	4.4					
November	4.5	5.0		November	3.8	3.1		November	5.9	6.4		November	4.7	4.9					
December	4.2	5.1		December	4.2	3.2		December	6.1	6.3		December	4.7	4.9					
January	4.1	4.7		January	4.0	2.8		January	6.0	5.5		January	4.6	4.5					
February	4.5	5.1		February	4.2	3.7		February	6.5	5.8		February	5.0	5.0					
March	4.7	5.0		March	4.3	3.4		March	6.8	5.4		March	5.2	4.7					
Annual Average	4.0	4.4	4.5	Annual Average	3.0	2.7	2.5	Annual Average	5.2	5.7	5.4	Annual Average	4.1	4.4	4.2				
Average Apr-Sep	3.7	3.9	4.0	Average Apr-Sep	2.2	2.2	1.8	Average Apr-Sep	4.4	5.5	4.9	Average Apr-Sep	3.5	4.0	3.7				
No of Employees at 30 September 2017				6929	No of Employees at 30 September 2017				3748	No of Employees at 30 September 2017				4371	No of Employees at 30 September 2017				15048

For the financial year 2017/18, the projected average days lost per employee equates to 8.8 days.

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Community Services

APT&C				Manual Workers				Service Total				Council Wide			
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018
April	1.8	4.6	3.7	April	4.2	5.7	5.0	April	3.9	5.5	4.7	April	3.8	4.3	3.9
May	2.6	5.1	4.9	May	4.3	5.5	5.5	May	4.2	5.4	5.4	May	3.9	4.4	4.2
June	2.3	4.2	4.9	June	4.5	5.3	5.0	June	4.2	5.1	5.0	June	3.5	4.1	3.9
July	2.1	2.9	3.7	July	3.7	4.1	3.9	July	3.5	3.8	3.9	July	2.9	3.3	3.0
August	3.6	3.0	3.7	August	4.1	4.7	4.3	August	4.0	4.3	4.1	August	3.3	3.6	3.2
September	2.1	4.9	4.0	September	5.0	5.5	4.8	September	4.6	5.3	4.7	September	3.8	4.1	4.0
October	6.7	5.3		October	5.1	5.7		October	5.2	5.6		October	4.1	4.4	
November	2.7	6.4		November	6.1	6.7		November	5.7	6.6		November	4.7	4.9	
December	3.0	6.3		December	6.4	6.3		December	6.0	6.3		December	4.7	4.9	
January	3.2	5.4		January	6.4	5.8		January	6.0	5.7		January	4.6	4.5	
February	3.0	5.7		February	6.7	6.5		February	6.3	6.4		February	5.0	5.0	
March	5.1	5.1		March	6.6	5.7		March	6.3	5.6		March	5.2	4.7	
Annual Average	3.2	4.9	4.9	Annual Average	5.3	5.6	5.4	Annual Average	5.0	5.5	5.3	Annual Average	4.1	4.4	4.2
Average Apr-Sep	2.4	4.1	4.2	Average Apr-Sep	4.3	5.1	4.8	Average Apr-Sep	4.1	4.9	4.6	Average Apr-Sep	3.5	4.0	3.7
No of Employees at 30 September 2017			328	No of Employees at 30 September 2017			2568	No of Employees at 30 September 2017			2896	No of Employees at 30 September 2017			15048

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Education Resources

APT&C				Teachers				Resource Total				Council Wide			
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018
April	4.2	3.4	4.0	April	2.6	2.9	2.1	April	3.2	3.1	2.9	April	3.8	4.3	3.9
May	4.3	3.8	4.7	May	2.9	3.1	2.7	May	3.5	3.4	3.5	May	3.9	4.4	4.2
June	3.6	3.8	3.6	June	2.2	2.4	2.2	June	2.8	3.0	2.8	June	3.5	4.1	3.9
July	2.6	2.9	2.1	July	1.2	1.2	0.8	July	1.8	1.9	1.3	July	2.9	3.3	3.0
August	3.1	3.0	2.7	August	1.5	1.4	1.0	August	2.2	2.0	1.7	August	3.3	3.6	3.2
September	4.6	3.7	4.3	September	2.6	2.4	2.2	September	3.4	2.9	3.0	September	3.8	4.1	4.0
October	4.5	4.2		October	2.8	2.9		October	3.5	3.4		October	4.1	4.4	
November	5.4	5.4		November	3.8	3.1		November	4.5	4.0		November	4.7	4.9	
December	5.0	5.4		December	4.2	3.2		December	4.5	4.1		December	4.7	4.9	
January	4.6	4.7		January	4.0	2.8		January	4.3	3.6		January	4.6	4.5	
February	4.7	5.5		February	4.2	3.7		February	4.4	4.4		February	5.0	5.0	
March	4.9	5.6		March	4.3	3.4		March	4.5	4.3		March	5.2	4.7	
Annual Average	4.3	4.3	4.4	Annual Average	3.0	2.7	2.5	Annual Average	3.6	3.3	3.3	Annual Average	4.1	4.4	4.2
Average Apr-Sep	3.7	3.4	3.6	Average Apr-Sep	2.2	2.2	1.8	Average Apr-Sep	2.8	2.7	2.5	Average Apr-Sep	3.5	4.0	3.7
No of Employees at 30 September 2017			2535	No of Employees at 30 September 2017			3748	No of Employees at 30 September 2017			6283	No of Employees at 30 September 2017			15048

For the financial year 2017/18, the projected average days lost per employee equates to 6.0 days.

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Finance and Corporate Resources

APT&C				Manual Workers				Resource Total				Council Wide							
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018				
April	3.1	2.6	2.8	April			0.0	April	3.1	2.6	2.8	April	3.8	4.3	3.9				
May	2.9	2.2	3.2	May				May	2.9	2.2	3.2	May	3.9	4.4	4.2				
June	3.7	2.2	3.3	June				June	3.7	2.2	3.3	June	3.5	4.1	3.9				
July	3.5	2.0	3.1	July				July	3.5	2.0	3.0	July	2.9	3.3	3.0				
August	3.0	2.2	3.5	August				August	3.0	2.2	3.4	August	3.3	3.6	3.2				
September	1.7	2.4	4.1	September				September	1.7	2.4	4.1	September	3.8	4.1	4.0				
October	2.3	2.6		October				October	2.3	2.6		October	4.1	4.4					
November	2.3	3.1		November				November	2.3	3.1		November	4.7	4.9					
December	2.5	2.6		December				December	2.5	2.6		December	4.7	4.9					
January	2.7	2.6		January				January	2.7	2.6		January	4.6	4.5					
February	3.9	3.8		February				February	3.9	3.8		February	5.0	5.0					
March	2.7	3.7		March				March	2.7	3.7		March	5.2	4.7					
Annual Average	2.9	2.7	3.2	Annual Average	0.0	Annual Average	2.9	2.7	3.2	Annual Average	4.1	4.4	4.2						
Average Apr-Sep	3.0	2.3	3.3	Average Apr-Sep	0.0	Average Apr-Sep	3.0	2.3	3.3	Average Apr-Sep	3.5	4.0	3.7						
No of Employees at 30 September 2017				1059	No of Employees at 30 September 2017				10	No of Employees at 30 September 2017				1069	No of Employees at 30 September 2017				15048

For the financial year 2017/18, the projected average days lost per employee equates to 7.8 days.
 Figures for manual workers only applicable from May 2017/2018

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Housing & Technical Resources

APT&C				Manual Workers				Resource Total				Council Wide							
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018				
April	4.5	4.6	4.3	April	5.0	6.3	4.5	April	4.7	5.1	4.4	April	3.8	4.3	3.9				
May	3.6	4.3	4.2	May	4.7	5.0	3.9	May	3.9	4.5	4.1	May	3.9	4.4	4.2				
June	3.8	4.3	3.9	June	4.6	5.5	4.4	June	4.0	4.7	4.1	June	3.5	4.1	3.9				
July	3.5	4.1	4.3	July	4.1	4.5	4.9	July	3.7	4.2	4.5	July	2.9	3.3	3.0				
August	3.7	4.9	4.7	August	4.3	5.7	4.0	August	3.9	5.1	4.4	August	3.3	3.6	3.2				
September	3.5	5.1	4.3	September	3.8	4.6	4.5	September	3.6	5.0	4.4	September	3.8	4.1	4.0				
October	4.2	5.5		October	4.1	5.0		October	4.2	5.3		October	4.1	4.4					
November	4.4	4.9		November	4.5	6.7		November	4.5	5.5		November	4.7	4.9					
December	4.0	5.0		December	4.9	6.7		December	4.3	5.6		December	4.7	4.9					
January	3.9	5.0		January	4.9	4.3		January	4.2	4.8		January	4.6	4.5					
February	4.2	4.9		February	6.5	4.7		February	4.9	4.8		February	5.0	5.0					
March	4.9	4.7		March	7.3	4.6		March	5.7	4.6		March	5.2	4.7					
Annual Average	4.0	4.8	4.6	Annual Average	4.9	5.3	4.9	Annual Average	4.3	4.9	4.7	Annual Average	4.1	4.4	4.2				
Average Apr-Sep	3.8	4.6	4.3	Average Apr-Sep	4.4	5.3	4.4	Average Apr-Sep	4.0	4.8	4.3	Average Apr-Sep	3.5	4.0	3.7				
No of Employees at 30 September 2017				895	No of Employees at 30 September 2017				553	No of Employees at 30 September 2017				1448	No of Employees at 30 September 2017				15048

For the financial year 2017/18, the projected average days lost per employee equates to 10.6 days.

ABSENCE TRENDS - 2015/2016, 2016/2017 & 2017/2018
Social Work Resources

APT&C				Manual Workers				Resource Total				Council Wide				
	2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018		2015 / 2016	2016 / 2017	2017 / 2018	
April	5.0	4.8	5.0	April	4.2	6.6	5.6	April	4.8	5.4	5.2	April	3.8	4.3	3.9	
May	4.8	5.3	4.9	May	4.5	6.9	4.1	May	4.7	5.8	4.6	May	3.9	4.4	4.2	
June	3.9	5.2	5.3	June	4.3	6.2	4.6	June	4.0	5.5	5.1	June	3.5	4.1	3.9	
July	3.9	5.0	4.8	July	4.0	5.7	4.9	July	4.0	5.3	4.8	July	2.9	3.3	3.0	
August	4.0	4.8	4.9	August	4.0	5.4	4.7	August	4.0	5.0	4.8	August	3.3	3.6	3.2	
September	3.5	4.3	5.0	September	5.3	5.3	5.2	September	4.0	4.7	5.1	September	3.8	4.1	4.0	
October	3.9	4.7		October	4.8	5.6		October	4.2	5.0		October	4.1	4.4		
November	4.4	5.1		November	6.0	5.4		November	4.9	5.2		November	4.7	4.9		
December	4.3	5.6		December	5.5	6.1		December	4.7	5.8		December	4.7	4.9		
January	4.4	5.5		January	5.7	5.5		January	4.8	5.5		January	4.6	4.5		
February	5.2	5.8		February	6.2	4.8		February	5.5	5.4		February	5.0	5.0		
March	5.3	5.6		March	7.2	4.8		March	5.9	5.3		March	5.2	4.7		
Annual Average	4.4	5.1	5.2	Annual Average	5.1	5.7	5.1	Annual Average	4.6	5.3	5.2	Annual Average	4.1	4.4	4.2	
Average Apr-Sep	4.2	4.9	5.0	Average Apr-Sep	4.4	6.0	4.9	Average Apr-Sep	4.3	5.3	4.9	Average Apr-Sep	3.5	4.0	3.7	
No of Employees at 30 September 2017			1852	No of Employees at 30 September 2017			1063	No of Employees at 30 September 2017			2915	No of Employees at 30 September 2017			15048	

For the financial year 2017/18, the projected average days lost per employee equates to 10.8 days.

ABSENCE BY LONG AND SHORT TERM

From: 1 July 2017 - 30 September 2017

Resource	No of employees	July 2017			August 2017			September 2017		
		Total Short Term %	Total Long Term %	Resource Total Absence %	Total Short Term %	Total Long Term %	Resource Total Absence %	Total Short Term %	Total Long Term %	Resource Total Absence %
Community and Enterprise	3333	1.1	2.9	4.0	1.6	2.7	4.3	1.8	3.0	4.8
Education	6283	0.1	1.2	1.3	0.7	1.0	1.7	1.3	1.7	3.0
Finance and Corporate	1069	0.9	2.1	3.0	0.9	2.5	3.4	1.6	2.5	4.1
Housing & Technical	1448	1.5	3.0	4.5	1.5	2.9	4.4	1.9	2.5	4.4
Social Work	2915	1.3	3.5	4.8	1.4	3.4	4.8	1.7	3.4	5.1
Council Overall for July 2017 - September 2017	15048	0.7	2.3	3.0	1.1	2.1	3.2	1.6	2.4	4.0

ATTENDANCE MONITORING
Absence Classification

From : 1 September - 30 September 2017

REASONS	Community and Enterprise Resources		Education Resources		Finance and Corporate		Housing and Technical Resources		Social Work Resources		Total WDL By Reason	Percentage
	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%		
Musculoskeletal	1110	35	813	22	123	15	393	31	804	31	3243	28
Psychological	608	19	994	27	299	36	347	28	716	27	2964	26
Stomach, Bowel, Blood, Metabolic Disorders	321	10	689	19	37	4	227	18	270	10	1544	13
Respiratory	244	8	225	6	81	10	52	4	240	9	842	7
Other Classification	934	29	953	26	289	35	235	19	603	23	3014	26
Total Days Lost By Resource	3217	100	3674	100	829	100	1254	100	2633	100	11607	100
Total Work Days Available	67701		122054		20321		28742		51920			

From : 1 September - 30 September 2016

REASONS	Community and Enterprise Resources		Education Resources		Finance and Corporate		Housing and Technical Resources		Social Work Resources		Total WDL By Reason	Percentage
	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%	Total WDL	%		
Musculoskeletal	1494	46	700	19	37	4	513	41	697	26	3441	30
Psychological	661	21	1106	30	122	15	588	47	730	28	3207	28
Stomach, Bowel, Blood, Metabolic Disorders	508	16	522	14	30	4	127	10	246	9	1433	12
Respiratory	274	9	327	9	26	3	166	13	171	6	964	8
Other Classification	1008	31	966	26	78	9	521	42	749	28	3322	29
Total Days Lost By Resource	3945	100	3621	100	293	100	1915	100	2593	100	12367	100
Total Work Days Available	74665		123265		12004		38498		55759			

***WDL = Work Days Lost**

OCCUPATIONAL HEALTH REPORTS

FROM: 1 July 2017 - 30 September 2017 comparison with 1 July 2016 - 30 September 2016

Medical Referrals							
	Community and Enterprise	Education		Finance and Corporate	Housing & Technical	Social Work	Totals
		Teachers	Others				
TOTAL (Jul-Sep 2017)	95	20	21	32	53	119	340
TOTAL (Jul-Sep 2016)	77	28	25	14	45	167	356

No of Employees Referred For Physiotherapy		
RESOURCE	Jul-Sep 2016	Jul-Sep 2017
Community and Enterprise	137	135
Education (Teachers)	54	44
Education (Others)	65	58
Finance and Corporate	20	36
Housing and Technical	84	75
Social Work	145	160
TOTAL	505	508

No of Employees Referred To Employee Support Officer		
RESOURCE	Jul-Sep 2016	Jul-Sep 2017
Community and Enterprise	60	62
Education	71	59
Finance and Corporate	8	16
Housing and Technical	41	32
Social Work	68	54
TOTAL	248	223

No of Employees Referred For Cognitive Behavioural Therapy		
RESOURCE	Jul-Sep 2016	Jul-Sep 2017
Community and Enterprise	11	5
Education	10	11
Finance and Corporate	5	9
Housing and Technical	5	12
Social Work	15	15
TOTAL	46	52

	Analysis of Counselling Referrals by Cause												
	Reason												
	Work Stress		Addiction		Personal		Anxiety/ Depression		Bereavement		Total		
	M	S	M	S	M	S	M	S	M	S	M	S	
TOTAL (Jul-Sep 2017)	27	6	0	0	65	4	1	0	6	0	99	10	
TOTAL (Jul-Sep 2016)	31	10	0	0	70	9	0	0	9	0	110	19	
								Total Referrals (Jul-Sep 2017)				109	
								Total Referrals (Jul-Sep 2016)				129	

M = MANAGEMENT REFERRAL S = SELF REFERRAL

*Resources nil responses are not included in figures

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

FROM: 1 July 2017 - 30 September 2017 comparison with 1 July 2016 - 30 September 2016

	Community and Enterprise		Education		Finance and Corporate		Housing & Tech		Social Work		TOTAL	
	2017	2016	2017	2016	2017	2016	2017	2016	2017	2016	2017	2016
Fatal	1	0	0	0	0	0	0	0	0	0	1	0
Specified Injury	2	0	1	1	0	0	0	0	0	0	3	1
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	1	0	1
Total Specified Injury*	3	0	1	1	0	0	0	0	0	1	4	2
Over 7-day	2	3	0	0	0	0	2	0	1	0	5	3
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	0	0	0
Violent Incident: Verbal	0	0	0	0	0	0	0	0	0	0	0	0
Total Over 7-day**	2	3	0	0	0	0	2	0	1	0	5	3
Over 3-day	1	1	0	0	0	0	0	0	0	0	1	1
Violent Incident: Physical	0	0	0	0	0	0	0	0	0	0	0	0
Violent Incident: Verbal	0	0	0	0	0	0	0	0	0	0	0	0
Total Over 3-day**	1	1	0	0	0	0	0	0	0	0	1	1
Minor	9	17	6	8	0	1	9	5	6	8	30	39
Near Miss	3	2	0	1	0	0	0	1	4	1	7	5
Violent Incident: Physical	3	3	84	72	0	1	3	3	22	10	112	89
Violent Incident: Verbal	4	1	5	4	1	4	1	0	4	5	15	14
Total Minor***	19	23	95	85	1	6	13	9	36	24	164	147
Total Accidents/Incidents	25	27	96	86	1	6	15	9	37	25	174	153

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

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

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

RECORD OF DISCIPLINARY HEARINGS

FROM: 1 July 2017 - 30 September 2017 comparison with 1 July 2016 - 30 September 2016

RESOURCE	No of Disciplinary Hearings				Outcome of Disciplinary Hearings								No of weeks to convene Disciplinary Hearing			% Held within 6 Weeks
	APT&C	Manual/ Craft	Teachers	Total	No Action				Action Taken				3	4-6	6+	
					APT&C	Manual / Craft	Teachers	Total	APT&C	Manual / Craft	Teachers	Total				
COMMUNITY AND ENTERPRISE	3	18	N/A	21	1	2	N/A	3	2	16	N/A	18	6	8	7	67%
EDUCATION	4	0	1	5	0	0	0	0	4	0	1	5	3	0	2	60%
FINANCE AND CORPORATE	1	0	N/A	1	1	0	N/A	1	0	0	N/A	0	0	1	0	100%
HOUSING & TECHNICAL	1	0	N/A	1	0	0	N/A	0	1	0	N/A	1	1	0	0	100%
SOCIAL WORK	14	7	N/A	21	0	1	N/A	1	14	6	N/A	20	11	5	5	76%
TOTAL (Jul-Sep 2017)	23	25	1	49	2	3	0	5	21	22	1	44	21	14	14	71%
TOTAL (Jul-Sep 2016)	23	41	2	66	5	7	0	12	18	34	2	54	24	15	27	59%

RESOURCE	No of Appeals				Outcome of Appeals												Appeals Pending
	APT&C	Manual/ Craft	Teachers	Total	Upheld				Upheld in Part				Not Upheld				
					APT&C	Manual/ Craft	Teachers	Total	APT&C	Manual/ Craft	Teachers	Total	APT&C	Manual/ Craft	Teachers	Total	
TOTAL (Jul-Sep 2017)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL (Jul-Sep 2016)	6	2	0	8	0	0	0	0	2	0	0	2	4	1	0	5	1

*Resources nil responses are not included in figures

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

APPEALS PANEL

FROM: 1 July 2017 - 30 September 2017

APPEALS PANEL	UPHELD	UPHELD IN PART	NOT UPHELD	WITHDRAWN	TOTAL	APPEALS PENDING TO DATE
	1	0	0	0	1	5

RECORD OF GRIEVANCES**FROM: 1 July 2017 - 30 September 2017 comparison with 1 July 2016 - 30 September 2016**

GRIEVANCES	No of Grievances	No Resolved at Stage 1	No Resolved at Stage 2	No Resolved at Stage 3	Still in Process
TOTAL (Jul-Sep 2017)	8	0	0	1	7
TOTAL (Jul-Sep 2016)	4	0	4	0	0

DIGNITY AT WORK**FROM: 1 July 2017 - 30 September 2017 comparison with 1 July 2016 - 30 September 2016**

DIGNITY AT WORK	No of Incidents	No Resolved at Informal Stage	No Resolved at Formal Stage	No of Appeals	Appeals in Process	Still in Process
TOTAL (Jul-Sep 2017)	8	0	0	0	0	8
TOTAL (Jul-Sep 2016)	0	0	0	0	0	0

*Resources nil responses are not included in figures

REFERRALS FOR WORKPLACE MEDIATION

As at September 2017

WORKPLACE MEDIATION	Jul-17	Aug-17	Sep-17
No of Referrals	0	2	0
*No of Successful Cases	0	0	0
*No of Unsuccessful Cases	0	0	0
No of cases unsuitable for mediation	0	0	0

WORKPLACE MEDIATION	Jul-16	Aug-16	Sep-16
No of Referrals	2	0	3
*No of Successful Cases	2	0	0
*No of Unsuccessful Cases	0	0	0
No of cases unsuitable for mediation	2	0	1

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

ANALYSIS OF LEAVERS AND EXIT INTERVIEWS

FROM: 1 July 2017 - 30 September 2017

LABOUR TURNOVER (Jul-Sep 2017)

	Community and Enterprise	Education	Finance and Corporate	Housing & Technical	Social Work	Total
Total Number of Leavers Per Resource	165	619	18	21	69	892

EXIT INTERVIEWS (Jul-Sep 2017)

REASONS FOR LEAVING	Community and Enterprise	Education	Finance and Corporate	Housing & Technical	Social Work	Total	%
CHILD CARING / CARING RESPONSIBILITIES	0	1	2	1	1	5	22
DISSATISFACTION WITH TERMS AND CONDITIONS	0	2	0	0	0	2	9
CAREER ADVANCEMENT	1	0	0	0	1	2	9
FURTHER EDUCATION	0	0	1	0	0	1	4
MOVING OUTWITH AREA	0	0	0	0	1	1	4
PERSONAL REASONS	1	0	0	0	0	1	4
TRAVELLING DIFFICULTIES	0	1	0	0	0	1	4
OTHER	2	5	0	0	3	10	43
NUMBER OF EXIT INTERVIEWS CONDUCTED	4	9	3	1	6	23	
TOTAL NO OF LEAVERS PER RESOURCE ELIGIBLE FOR AN EXIT INTERVIEW	78	94	12	14	49	247	
% OF LEAVERS INTERVIEWED	5	10	25	7	12	9	

EXIT INTERVIEWS (Jul-Sep 2016)

NUMBER OF EXIT INTERVIEWS CONDUCTED	1	19	0	0	2	22	
TOTAL NO OF LEAVERS PER RESOURCE ELIGIBLE FOR AN EXIT INTERVIEW	49	27	10	10	40	136	
% OF LEAVERS INTERVIEWED	2	70	0	0	5	16	

* Note these totals include temporary employees

RECRUITMENT MONITORING

Analysis of Gender, Disability, Ethnicity and Age

FROM : 1 July 2017 - 30 September 2017

Total Number of applications received:	<u>2566</u>
Total Number of Equal Opportunities Monitoring forms received:	<u>2403</u>
Total Number of posts recruited for:	<u>207</u>
Total Number of appointments:	<u>371</u>

Gender / Disability / Age			
	Applied	Interviewed	Appointed
Total EO Forms Received	2403	1099	345
Total No of Male Applicants	668	257	47
Total No of Female Applicants	1735	732	214
Total No of Disabled Applicants	96	54	3
Total No of applicants aged under 50	2044	834	228
Total No of applicants aged over 50	345	217	33
Total No of White applicants	2332	967	257
Total No of Black/Ethnic minority applicants*	52	17	3

FROM : 1 July 2016 - 30 September 2016

Total Number of applications received:	<u>2624</u>
Total Number of Equal Opportunities Monitoring forms received:	<u>2519</u>
Total Number of posts recruited for:	<u>209</u>
Total Number of appointments:	<u>299</u>

Gender / Disability / Age			
	Applied	Interviewed	Appointed
Total EO Forms Received	2515	869	245
Total No of Male Applicants	641	211	42
Total No of Female Applicants	1866	654	178
Total No of Disabled Applicants	74	40	5
Total No of applicants aged under 50	2149	723	179
Total No of applicants aged over 50	345	139	39
Total No of White applicants	2420	843	218
Total No of Black/Ethnic minority applicants*	59	15	2

*Black/Ethnic Minority applicants includes Mixed, Asian, Black and other backgrounds.

Report

9

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Treasury Management Activity – Second Quarter Review**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide a second quarter review of Treasury Management Activity for 2017/2018

2. Recommendation(s)

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

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

3. Background

3.1 In order to provide members with information on the Council's Treasury Management activities, a quarterly report is presented to this Committee. This report covers the period 1 April to 30 September 2017.

4. Market Performance

- 4.1. As at 30 September 2017, the UK Base Rate was at 0.25% and the Bank of England Asset Purchase Programme (commonly referred to as its policy of quantitative easing) remained at £435bn.
- 4.2. On 2 November 2017, the Bank of England's Monetary Policy Committee (MPC) voted to increase the UK Base Rate to £0.50%.

5. Debt Management and Borrowing Strategy

- 5.1. The Council began the year with debt of £928.489m with fixed rate loans from the Public Works Loans Board (PWLB) making up 98.94% of the debt.
- 5.2. Table 1 overleaf shows the movement in borrowing to 30 September 2017. Short term borrowing reflects borrowing which will mature in the coming year, or where the debt can be recalled in the coming year.

Table 1 – Movement in Borrowing to 30 September 2017

	Balance as at 01/04/2017 £m	New Borrowing £m	Debt Maturing £m	Debt Repaid £m	Balance as at 30/09/2017 £m	Increase/ Decrease in Borrowing £m
Short Term Borrowing	24.325	0.00	(13.151)	0.00	11.174	(13.151)
Long Term Borrowing	904.164	0.00	0.00	0.00	904.164	0.00
TOTAL BORROWING	928.489	0.00	(13.151)	0.00	915.338	(13.151)

- 5.3. In 2012/2013, HM Treasury introduced a “certainty rate” to enable eligible local authorities to access cheaper PWLB funding, with a 20 basis point (0.20%) reduction on the standard rate. South Lanarkshire Council has access to this reduced rate.
- 5.4. The Council has a borrowing requirement of £161.943m during 2017/2018.
- 5.5. The Executive Director (Finance and Corporate Resources), under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into consideration the differential between investment earnings and debt costs that remain high.
- 5.6. The Council’s strategy for managing debt includes the early repayment of some loans within the Loans Fund. These repayments result in reduced principal and interest payments in future years and are necessary to keep loan charges affordable.
- 6. Investment Activity**
- 6.1. On a daily basis, the Treasury Management section within Finance and Corporate Resources manages the Council’s cash funds. These cash balances can result from day to day cash flow situations where income has been received before expenditure has taken place, and from the balances held in earmarked reserves for use at a later date. It is the responsibility of the section to manage these funds. The primary consideration when making deposits is the security of funds. Then consideration is given to ensuring we have access to funds when necessary, and that these funds are working as well as they can for the Council.
- 6.2. The Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy Report for 2017/2018 was presented to South Lanarkshire Council (Special) on 16 February 2017 detailing permitted investments for this Council.
- 6.3. The Council undertakes significant scrutiny of any counterparty that we place money with in partnership with our Treasury Advisers, Capita. This includes information on counterparty credit ratings and details of negative rating watches. Additional market information on counterparties is also considered including share prices, market research information and risk data in the form of Credit Default Swap prices. Only when we are satisfied that there are no issues that raise any concerns about the security of the deposit would the deposit go ahead.
- 6.4. Deposits made in the period 1 April 2017 to 30 September 2017 totalled £534.551m. This is the cumulative deposits placed over this period. This is broken down per sector and institution in Table 3 below. 83.39% of these deposits were made in the UK Government through the Debt Management Office (DMO) deposit facility.

Deposits in the UK Government are considered to be the most secure and this is reflected in the low interest rate for deposits in the DMO.

- 6.5. Local authorities borrow from other local authorities for short term cash flow reasons. This would appear as a deposit for South Lanarkshire Council when another council has borrowed from us.

Table 2 – Investment Activity 1 April 2017 to 30 September 2017

Counterparty	Deposit Totals (£m)	% of Total Deposits	Average Interest Rate
Deposits in UK Government			
Debt Management Account Deposit Facility	445.750	83.39%	0.10%
Treasury-Bills	11.999	2.24%	0.14%
Total Deposits in UK Government	457.749	85.63%	0.10%
Deposits in UK Local Authorities	57.600	10.78%	0.15%
Deposits in UK Banks and Building Societies:			
Bank of Scotland	19.202	3.59%	0.15%
Total Deposits in UK Banks and Building Societies	19.202	3.59%	0.15%
Total Deposits 01/04/2017 to 30/09/2017	534.551	100.00%	0.11%

- 6.6. The average interest rates achieved from the deposits are shown in Table 2. As the base rate has been at, or below, 0.5% since March 2009, interest rates achievable from deposits remain low.
- 6.7. Actual deposits as at 30 September 2017 totalled £96.903m.

7. Management of Risk

- 7.1. It is recognised that no Treasury Management activity is without risk and practices are put in place in order to limit risk. In February 2017, the Treasury Management Strategy was approved which set a framework for Treasury Management activities in 2017/2018 and limits on debt and investments in order to mitigate risks.
- 7.2. The Annual Investment Strategy for 2017/2018, approved in February 2017, also included details on how risk would be managed for all permitted investments. This included criteria for placing deposits with the Debt Management Office, UK Local Authorities, Banks and Building Societies and Money Market Funds.
- 7.3. Part of the criteria for counterparties is meeting minimum credit ratings with the three main rating agencies. A credit rating evaluates the credit worthiness of an organisation. It is an evaluation made by a credit rating agency of the organisation's ability to pay back the debt and the likelihood of default.
- 7.4. Tables 3 to 5 show a breakdown of deposits with details of the credit ratings of banks and building societies used from 1 April 2017 to 30 September 2017. Deposits with the DMO are with the UK Government and so have a rating equivalent to the UK's sovereign rating. Deposits with local authorities are considered to be of very high credit quality.

Table 3 – Fitch Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits in DMO (AA)		457.749m	85.63%
Deposits with Local Authorities		57.600m	10.78%
A+	F1	19.202m	3.59%
Total		534.551m	100.00%

Table 4 – Moody's Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits in DMO (Aa1)/(Aa2)		457.749m	85.63%
Deposits with Local Authorities		57.600m	10.78%
A1	P-1	19.202m	3.59%
Total		534.551m	100.00%

Table 5 – Standard and Poor's Ratings

Long Term Rating	Short Term Rating	Deposits Totals	Percentage of Total Deposits
Deposits in DMO (AA)		457.749m	85.63%
Deposits with Local Authorities		57.600m	10.78%
A	A-1	19.202m	3.59%
Total		534.551m	100.00%

- 7.5. The tables above show that 96.41% of deposits were made with counterparties of very high credit quality (UK Government DMO account, T-Bills and other local authorities).
- 7.6. The remaining deposits were in a call account with Bank of Scotland.
- 7.7. The graph at Appendix 1 shows the duration of deposits made from 1 April 2017 to 30 June 2017. The graph shows that, since 1 April 2017, all deposits have been made for 1 year or less. The maximum maturity period of 49 days was for a deposit of £3m with Dumfries and Galloway Council.
- 8. Next Quarter Investment Plans**
- 8.1. The current investment framework will be continued in the next quarter. Deposits will continue to be placed with the institutions where their ratings are consistent with the Council's approved criteria. Deposits will also continue to be placed with the DMO and UK local authorities.
- 8.2. Treasury Bills will be used when they return a higher yield than deposits in the DMO for the same, very low risk.
- 8.3. Deposits may also be placed with selected Money Market Funds that meet the Council's approved criteria.
- 8.4. We will continue to work with our Treasury Advisers, Capita, to ensure we gain all information available on counterparties before any deposits are made.

9. Treasury Management Indicators

- 9.1. The purpose of these indicators is to contain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of an adverse movement in interest rates. However, if these are set to restrictive limits, they will impair the opportunities to reduce costs/improve performance. The indicators are detailed below.
- 9.2. **Limits on Fixed / Variable Rate Exposure** - Setting an upper limit on fixed and variable rate exposure identifies a limit for exposure to fixed and variable rates of interest. The purpose of this indicator is to provide a measure of stability against the adverse effects of market fluctuations. The levels will allow us to undertake variable / fixed or Equal Instalment of Principal (EIP) borrowing to take full advantage of current interest rates. This is shown in Table 6 below.

Table 6 – Limits on Fixed/Variable Rate Exposure

	Indicator	Maximum for period to 30/09/17
Upper limit of fixed rate exposures	180%	112.69%
Upper limit of variable rate exposures	30%	0.75%

- 9.3. The indicator shows that the upper limits have not been breached to 30 September 2017.
- 9.4. The actual fixed rate exposure is assessed by comparing the amount of Net Debt (which is borrowing less investments) we hold at a fixed rate to the Total Net Debt (both fixed and variable) of the Council. The same is calculated for variable rate exposure. An illustration of this calculation is shown in Table 7 below using figures for debt and investments as at 30 September 2017.

Table 7 – Calculation of Fixed/Variable Rate Exposure as at 30 September 2017

	£m		£m
Total Debt	915.338		
Less Total Investments	(96.903)		
= Total Net Debt	818.435		
Fixed Net Debt		Variable Net Debt	
Fixed Debt	905.838	Variable Debt	9.500
Less Fixed Investments	(0.000)	Less Variable Investments	(96.903)
= Fixed Net Debt	905.838	= Variable Net Debt	(87.403)
Exposure	110.68%	Exposure	(10.68%)
(Fixed Net Debt / Total Net debt)		(Variable Net Debt / Total Net debt)	

- 9.5. **Limits for External Debt** - The operational and authorised limits for external debt for 2017/2018 were set in the Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy 2017/2018 approved by South Lanarkshire Council on 16 February 2017. These are shown in Table 8 overleaf, along with a column showing the difference between the actual debt level and the limits (headroom).

Table 8 – Limits for External Debt

	Estimate as per 2017/18 Strategy	Minimum Headroom to Limits in period	Headroom as at 30/09/17
	£m	£m	£m
Operational Limit for external debt	1,150.000	221.511	234.662
Authorised Limit for external debt	1,170.000	241.511	254.662

9.6. The indicator shows that we have not breached the operational and authorised limits to 30 September 2017. There has been a minimum level of headroom of £241.511m between actual and authorised level for external debt.

9.7. **Limits on Maturity Structure** - By setting limits on the maturity structure of fixed rate borrowing, the exposure to large concentrations of fixed rate debt needing to be replaced at the same time in the future at currently unknown rates can be limited. This effectively places a limit on exposure to longer term interest rate movement. This is shown in Table 9 below.

Table 9 – Limits on Maturity Structure

Maturity Structure of Fixed Rate Borrowings				
	Upper Limit	Lower Limit	Maximum for period to 30/09/17	Actuals as at 30/09/17
Under 12 months	15%	0%	2.65%	1.23%
12 months and 24 months	20%	0%	2.47%	2.47%
24 months and 5 years	50%	0%	9.87%	9.87%
5 years and 10 years	50%	0%	13.00%	13.00%
10 years and 20 years	60%	0%	33.36%	33.36%
20 years and 30 years	70%	0%	2.45%	2.45%
30 years and 40 years	80%	0%	32.73%	32.73%
40 years and 50 years	90%	0%	4.89%	4.89%
50 years and above	90%	0%	0.00%	0.00%

9.8. The indicator shows that the upper limits for all maturity profiles have not been breached to 30 September 2017.

10. Employee Implications

10.1. There are no employee implications.

11. Financial Implications

11.1. The current rate of interest receivable remains low.

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

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

12. Other Implications

- 12.1. Section 7 of this report provides details of how investment risk is managed.
- 12.2. There are no implications in terms of sustainability.
- 12.3. There is no requirement to carry out an environmental impact assessment in terms of the information contained within this report.

13. Equality Impact Assessment and Consultation Arrangements

- 13.1. 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.
- 13.2. There is no requirement to carry out any consultation in terms of the information provided in this report.

Paul Manning

Executive Director (Finance and Corporate Resources)

17 October 2017

Link(s) to Council Values/Objectives

- ♦ Accountable, effective and efficient

Previous References

- ♦ Prudential Indicators, Treasury Management Strategy and Annual Investment Strategy 2017/2018, South Lanarkshire Council, 16 February 2017
- ♦ Treasury Management Activity – First Quarter Review, Finance and Corporate Resources Committee, 6 September 2017

List of Background Papers

- ♦ None

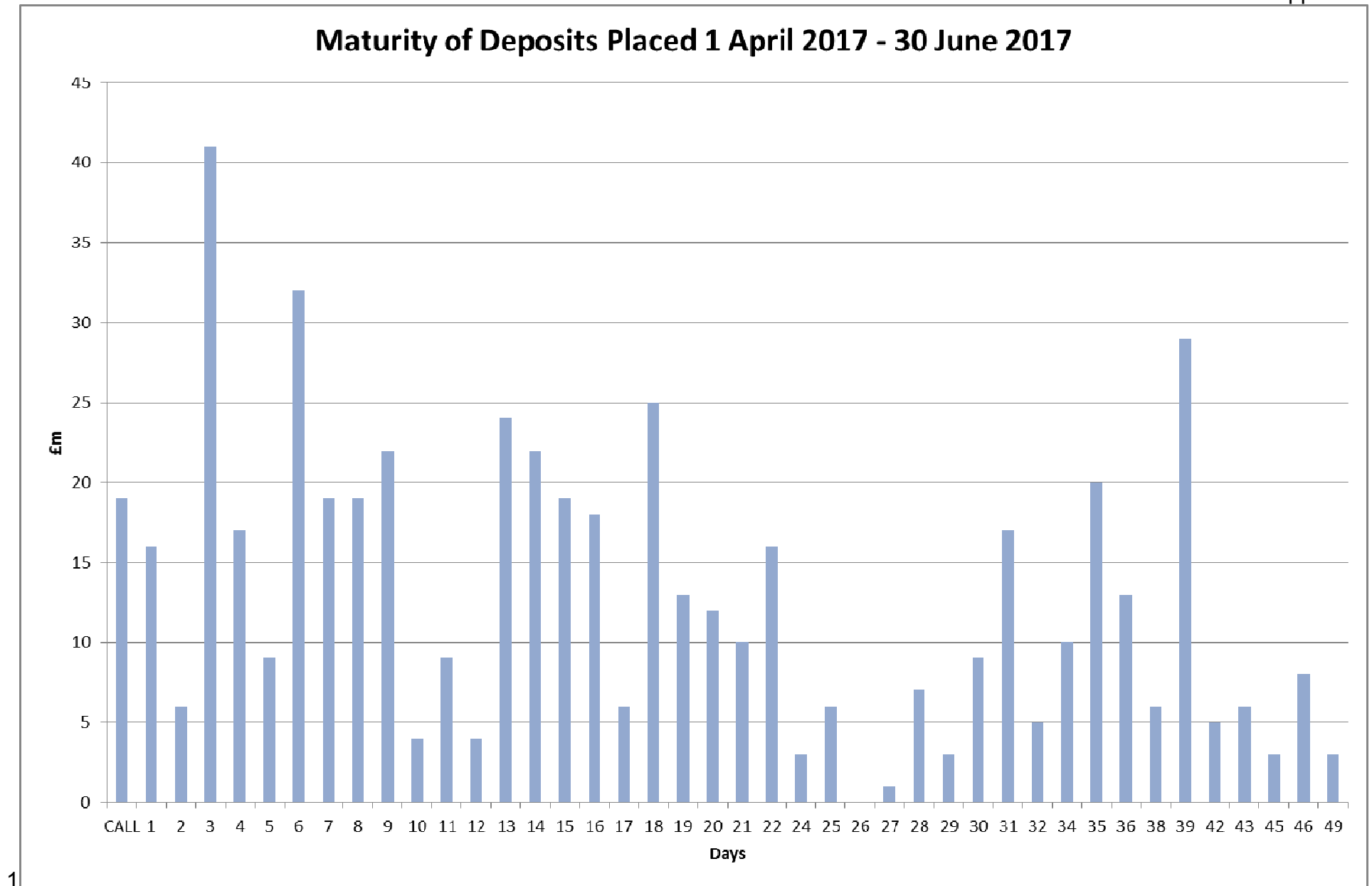
Contact for Further Information

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

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Report

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Finance and Corporate Resources' Resource Plan:
 Quarter 2 Progress Report 2017/2018**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide the Resource Plan Quarter 2 Progress Report 2017-18, for the period 1 April to 30 September 2017

2. Recommendations

2.1. The Committee is asked to approve the following recommendations:-

- (1) that the Quarter 2 Progress Report 2017-18, attached as Appendix 2, be noted; and
- (2) that the achievements made by the Resource to date, as detailed in paragraph 5.3 of this report, be noted.

3. Background

- 3.1. The draft Finance and Corporate Resources' Resource Plan 2017-18 sets out the objectives and actions to be managed and delivered by the Resource for the financial year 2017-18.
- 3.2. The Resource Plan follows the agreed corporate structure and style. The Plan is a key element of the Council's performance management arrangements. It provides details of the context within which the Resource operates and establishes actions and measures for the year ahead based on the objectives set out in the draft Council Plan 'Connect' 2017-22. Both the draft Council Plan 'Connect' 2017-22 and the draft Finance and Corporate Resources' Resource Plan 2017-18 await formal approval.
- 3.3. Performance management is a keystone of Best Value and ensures that the Council can demonstrate sound governance arrangements. The Resource Plan is one part of the Council's framework for planning and budgeting and demonstrates how this leads to effective front line service delivery.
- 3.4. As part of this framework, the Resource Plan reflects the aspirations of the Council Plan, the Community Plan and the Local Outcomes Improvement Plan (LOIP), as well as being complemented by the details of individual Service, Business and other Plans. Ultimately, these details are included in the key work objectives of individual officers. This demonstrates the 'Golden Thread' of performance management which ensures a clear understanding of the Council's vision, values, ambitions and objectives at all levels.

- 3.5. The current format for performance reporting has been established for several years and is used for Executive Directors' reports to the Chief Executive, Resource Management Teams and Resource Committees. The focus has been on reporting progress on Council objectives, statutory performance indicators, other key performance measures and high level Resource priorities.
- 3.6. In preparing the Plan, account has also been taken of the need to ensure a robust response to Risk Management and Control. Risks associated with delivery of the actions in this Resource Plan have been identified and evaluated and are listed in the Resource Risk Register. Where necessary, controls or further actions to mitigate these risks have been agreed. Such actions are tracked through the Resource Risk Control Plan which is kept under review by the Risk Sponsor for the Resource.
- 4. Resource Objectives 2017-18**
- 4.1. The Resource has established a number of objectives to support the delivery of the draft 'Connect' objectives in 2017-18. These are detailed in Appendix 1.
- 5. Quarter 2 Progress Report 2017-18**
- 5.1. Progress against all 2017-18 Resource Plan measures is contained in the Quarter 2 Progress Report 2017-18, attached as Appendix 2. This report has been produced from the Council's performance management reporting system IMPROVe, and uses a traffic light format with the following definitions to give a status report on each measure:-

Status	Definition
Green	The timescale or target has been met as per expectations
Amber	There has been minor slippage against timescale or minor shortfall against target
Red	There has been major slippage against timescale or major shortfall against target
Report later	The information is not yet available to allow us to say whether the target has been reached or not. These will be reported when available
Contextual	Included for 'information only', to set performance information in context

- 5.2. Measures which are classified as 'red' are considered in detail at section 5.4 of this report. To ensure adequate scrutiny of performance across all Resources, the Council's Performance and Review Scrutiny Forum may consider 'red' or 'amber' measures at a future meeting.

The overall summary of progress to date is as follows:-

Status	Measures	
	Number	%
Green	140	85 %
Amber	2	1 %
Red	1	1 %
Report later/Contextual	22	13 %
Totals	165	100 %

5.3. Key achievements for 2017-18 are noted below:-

5.3.1.

Connect Objective: Collaborate with partners and communities to promote high quality, thriving and sustainable communities	
Resource Objective	Achievement
Improve customer experience of Council services	<ul style="list-style-type: none"> • Replacement of glass screens at reception in Rutherglen office to improve communication between staff and customers • Online booking system enhanced to include taxi/private hire car vehicle and meter tests and taxi route tests • Improved quality of ceremonies by upgrading chairs at Rutherglen and ceremony tables at Town House, Hamilton • Relevant pages on Council website reviewed and updated to promote and encourage on line applications and appointment bookings • Freedom of Information (FOI) – model publication scheme for Licensing Divisions reviewed and updated
Other actions in support of this objective	<ul style="list-style-type: none"> • Cycle to Work initiative launched in May 2017

5.3.2. Resources have established their own Resource objectives to support the delivery of 'Connect' objectives. In addition to working towards these objectives, we recognise that the Council will continually aim to improve and ensure effective and efficient use of resources, and that business will be conducted with integrity and transparency and will operate to the highest standards. In order to monitor and report progress against these values, Resource objectives have also been identified, under the heading Delivering the Plan and achieving Best Value.

Delivering the Plan and achieving Best Value	
Resource Objective	Achievement
Provide sound financial stewardship for the Council	<ul style="list-style-type: none"> • Council Tax collection is currently on target and ahead of comparable performance in 2016-17 by 0.02% • 95% of invoices received were paid within 30 days, against a target of 85%
Deliver and communicate the Council Plan and ensure high standards of governance	<ul style="list-style-type: none"> • The Finance and Corporate Resources' Resource Plan 2017-18 is complete. Approval will be sought from the Finance and Corporate Resources Committee once the new Council Plan 'Connect' 2017-22 has been presented for approval at Executive Committee and South Lanarkshire Council. Thereafter, it will be published on the Council's website
Support local democracy, Council committees, elected members and senior managers	<ul style="list-style-type: none"> • External training arranged for Board members and in-house training for Licensing Committee members • Delivered full programme of induction training and briefings to elected members as part of the arrangements for the new Council

Delivering the Plan and achieving Best Value	
Resource Objective	Achievement
Deliver professional legal services	<ul style="list-style-type: none"> • Provided legal advice to four Licensing Divisions and Licensing Committee
Promote equality and the well-being of staff	<ul style="list-style-type: none"> • Mainstreaming Equalities Report on Council website published on behalf of Licensing Board • Healthy Working Lives Gold Award maintained
Develop and implement effective financial strategies	<ul style="list-style-type: none"> • The update of the 2018-19 Financial Strategy was presented to Executive Committee on 26 June 2017
Implement a Digital and ICT Strategy that meets business needs	<ul style="list-style-type: none"> • New integrated web-forms implemented to support Customer Contact and Transactional Working, and deliver service improvements and efficiencies • Agreed design with NHS Lanarkshire for federated IT infrastructure to support partnership working • IT infrastructure health check completed
Develop improvement activity and promote scrutiny	<ul style="list-style-type: none"> • The horizon scanning exercise to identify services/areas from across the Council that may benefit from self assessment and improvement activity is complete. A proposed programme for 2017-18 was presented to and approved by the Corporate Management Team in September 2017 • Preparatory work for a future Best Value (BV) audit has begun with a gap analysis using the Audit Scotland BV Toolkits
Improve the skills, flexibility and capacity of the workforce	<ul style="list-style-type: none"> • The interim liP Review is complete and a report was produced by the Managing Assessor in August 2017 • Staff completed mandatory and other relevant Learn on Line courses

5.4. Areas for improvement

Measures that have been classified as “red” (major slippage against timescale or shortfall against target) are noted below, together with the reason why, and the management action now being taken, where required.

Delivering the plan and achieving Best Value		
Resource Objective: Deliver and communicate the Council Plan and ensure high standards of governance		
Measure	Comments/Progress	Action by Manager (where applicable)
	In Quarter 1, Finance and Corporate Resources received two subject access requests, with one being responded to within the statutory timescale	

6. Employee Implications

- 6.1. The objectives noted within the Resource Plan will inform the Service Action Plans, where applicable, and in turn the Performance Appraisal process for individual employees in 2017-18.

7. Financial Implications

- 7.1. The objectives within the Resource Plan are reflected in the respective Resource Revenue and Capital budgets for 2017-18 and, longer term, within the framework of the Council's approved Financial Strategy.

8. Other Implications

- 8.1. Resource Plan actions are assessed as part of the Resource's risk management arrangements and relevant issues have been added to the Resource Risk Register.
- 8.2. The Resource Plan takes into account Resource responsibilities in relation to sustainable development.

9. Equality Impact Assessment and Consultation Arrangements

- 9.1. Many of the actions detailed within the Resource Plan reflect ongoing strategies and policies which will be or have been the subject of consultation and equality impact assessment.

Paul Manning

Executive Director (Finance and Corporate Resources)

16 October 2017

Link(s) to Council Values/Objectives

- ◆ The Resource Plan has been structured upon the Vision, Values, Ambitions and Objectives in the draft Council Plan 'Connect' 2017-22 (awaiting approval)

Previous References

- ◆ Finance and Corporate Resources Quarter 2 Progress Report 2016-17: 18 November 2016

List of Background Papers

- ◆ Draft Council Plan 'Connect' 2017-22
- ◆ Draft Finance and Corporate Resources' Resource Plan 2017-18

Contact for Further Information

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

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Finance and Corporate Resources' Objectives 2017-18

Connect Objective: Collaborate with partners and communities to promote high quality, thriving and sustainable communities

Resource Objectives:-

- Lead Community Planning
- Facilitate communication and consultation on the Council, its policies and its services
- Improve customer experience of Council services
- Other actions in support of this objective

Delivering the Plan and achieving Best Value

Resource Objectives:-

- Provide sound financial stewardship for the Council
- Deliver and communicate the Council Plan and ensure high standards of governance
- Support local democracy, Council committees, elected members and senior managers
- Deliver professional legal services
- Promote equality and the well-being of staff
- Develop and implement effective financial strategies
- Implement a Digital and ICT Strategy that meets business needs
- Develop improvement activity and promote scrutiny
- Improve the skills, flexibility and capacity of the workforce
- Other actions in support of delivering the Plan and achieving Best Value

Finance and Corporate Resources

improve

Resource Plan

Performance Report 2017-18

Quarter 2 : April 2017 - September 2017

(This represents the cumulative position to September 2017)

How to use this performance report

This performance report is intended to be both informative and easy to use. The guide below is designed to help you get the most out of the report and to answer the most common questions you might have.

Council Plan objective

Resource Plan objective

Resource Plan action & associated measures.

Progress update against measure.

Measure Status – are we on course to achieve?
The “traffic light” codes are:

Green Achieved, or due to achieve with no issues

Amber There may be problems or minor slippage

Red Not on course, major slippage anticipated

Measures which are to be reported later or which are “for information only” are not colour coded

Develop a sustainable Council and communities

Provide services and infrastructure which help local communities to become more sustainable

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	This Year		Last 3 Years		
				Target	To Date	2009/10	2010/11	2011/12
	Council target achieved for waste tonnage per household (target is lower than 1.3 tonnes)	This figure is for quarter one (quarter two figure is not yet available, so will be reported in quarter three).	Green	1.3	0.3	1.3	1.2	1.2
	Council target achieved for municipal waste collected during 2012/13 that was recycled or composted (40% or above)	This figure is for quarter one (quarter two figure not yet available, so will be reported in quarter three).	Green	40.0%	44.1%	40.1%	38.2%	40.5%
Introduce new waste management services to reduce waste and increase recycling	Project for treatment facilities progressed by March 2013	A report is to be presented to the Executive Committee in December 2012 identifying options for a long term solution.	Amber	---	---	---	---	---
Manage flooding priorities and deliver prioritised flood protection schemes	Prioritised flood protection projects delivered by March 2013 in line with available capital / revenue funding	Larch Grove, Hamilton - brief issued to consultant for ground investigation to inform design of works. Site investigation - boreholes complete, further investigation of existing culvert underway to locate buried manhole. Detailed design to be prepared when site investigations complete. Bellfield Road, Coalburn - culvert lining works completed 30 August 2012	Green	---	---	---	---	---
	Preparation of prioritised 5 year programme of flood protection / management projects by March 2013	Currently analysing previous flood events, completed improvement works and known problem areas to allow a 5 year programme to be prepared.	Green	---	---	---	---	---
	Options for aligning the management of flooding priorities reviewed across Community and Enterprise Resources by December 2012	Meeting held between Community and Enterprise Resources staff to discuss integrating response to flooding procedures and other opportunities. Follow up meeting to be scheduled for November.	Green	---	---	---	---	---

Statistics for the current year. The **Target** shows what we want to achieve by the end of the year. The **To Date** column shows how much we have achieved so far.

Statistics for last 3 years, showing how we are doing over time.



Summary - number of measures green, amber and red under each Council Plan objective/theme

Council Objective / Theme	Green	Amber	Red	To be reported later / Contextual	Total
<i>Improve services for older people</i>					
<i>Protect vulnerable children, young people and adults</i>					
<i>Deliver better health and social care outcomes for all</i>					
<i>Improve the quality, access and availability of housing</i>					
<i>Improve the road network, influence improvements in public transport and encourage active travel</i>					
Collaborate with partners and communities to promote high quality, thriving and sustainable communities	12				12
<i>Support the local economy by providing the right conditions for inclusive growth</i>					
<i>Tackle disadvantage and deprivation, and support aspiration</i>					
<i>Improve achievement, raise educational attainment and support lifelong learning</i>					
<i>Ensure schools and other places of learning are inspirational</i>					
<i>Encourage participation in physical and cultural activities</i>					
Delivering the plan and achieving best value	128	2	1	22	153
Total	140	2	1	22	165

Collaborate with partners and communities to promote high quality, thriving and sustainable communities

Lead Community Planning

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Implement the provisions of the Community Empowerment Act	Progress work in relation to the council's response to the Community Empowerment (Scotland) Act 2015	The council is fully compliant with those aspects of the Community Empowerment Act which have been enacted.	Green	---	---	---	---	---

Facilitate communication and consultation on the council, its policies and its services

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Use new technology to ensure that consultation and community engagement are carried out to a consistent standard	Record and report upon outcomes of consultation across the council on the consultation database	The main focus of consultation is currently development of the Carers Strategy which is available online; via mobile devices in community venues and paper copies have also been issued. There has also been online consultation relating to Day Care CSE and also a procurement survey.	Green	---	---	---	---	---
Promote awareness of the council, its policies, role and services	Ensure effective communications using all digital and print formats/channels	Work continues with press releases and social media plus regular publications. Transition continues from print to digital where applicable.	Green	---	---	---	---	---

Collaborate with partners and communities to promote high quality, thriving and sustainable communities**Improve customer experience of council services**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Ensure that the council's website facilitates effective communications between customers and the council	The council's website will be available to the public 98% of any given working day	Year to date, the council's website has been available to the public 98.9%.	Green	98.0%	99.0%	98.0%	98.0%	99.8%
	As more residents access the website through mobiles and tablets, review structure and edit content to meet users' needs and priorities, including regular user experience testing, surveys and focus groups with employees and members of the public	Progress continues as part of the daily business of the Communications and Strategy Team in line with the aspirations of Resources in this area of work. Online form work completed in this quarter is 'Content for changing your council tenancy' and 'Ordering new recycling bins/food liners'. These have been reviewed and updated and continued content reviews and user testing sessions carried out on myaccount.	Green	---	---	---	---	---
Support Continuous Improvement programmes to improve customer service delivery and ensure best use of resources	Assess existing and new customer insight/profiling methods which can be used to support service review and delivery	A review of engagement and consultation activity is on-going.	Green	---	---	---	---	---
	Deliver and support service delivery improvement projects through, for example Lean	Work continues in relation to the unpaid work service and roads payments.	Green	---	---	---	---	---
	Customer consultation further tailored to ensure meets customer needs	Consultation strategy and customer questionnaires reviewed on an ongoing basis.	Green	---	---	---	---	---
Help community organisations and partners communicate effectively and reduce costs	Improve access to the council's print services and communications services for other public sector and community organisations	New Site is working well and has been used in external tenders for other local authorities to promote shared services. Meeting with two additional Scottish councils have taken place this quarter to develop further shared services.	Green	---	---	---	---	---

Collaborate with partners and communities to promote high quality, thriving and sustainable communities

Other actions in support of the objective

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Support the council's Sustainable Development Strategy	Promote sustainable travel by employees through the efficient use of fleet vehicles, greater use of public transport, car sharing, walking and cycling	Cycle to Work Scheme ran from May to July 2017 with 95 employees participating in the scheme.	Green	---	---	---	---	---
Deliver a 10% reduction in vehicle emissions by March 2021 in accordance with the corporate carbon reduction target	Implement fuel efficiency measures to achieve a 4% reduction in vehicle emissions by March 2018 (relative to baseline year of 2014-15)	Monthly reports sent to resources to enable monitoring of mileage on a monthly basis,	Green	---	---	---	---	---
Implement the Climate Change Duties Compliance Improvement Action Plan	Implement actions within the Climate Change Duties Compliance Improvement Action Plan within the agreed timescales	Increasing staff awareness of Climate Change Duties Compliance through briefings.	Green	---	---	---	---	---

Delivering the plan and achieving best value

Provide sound financial stewardship for the council

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Deliver a core Finance function that meets the requirements of the council and external stakeholders	Provide a core accountancy function to provide financial advice and support as required	The provision of the core accountancy function, of financial advice and support, is ongoing throughout the year and is not dependent on any milestones.	Green	---	---	---	---	---
	Employees will be paid correctly and on time	This is reported annually. The figure provided is the final reported position for 2016-17.	Green	100.0%	100.0%	99.9%	99.9%	99.9%
	The cost per dwelling of collecting Council Tax - Target £10.00	Reported in quarter 4.	Report Later	£10.00	-----	£11.35	£0.00	£6.26
	Percentage of income due from Council Tax received by the end of the year - Target 97.125%	Reported in quarter 4.	Report Later	97.1%	-----	95.8%	0.0%	97.1%
	Other Council Tax targets: - in year (incl water) 95.3%	Council Tax collection is currently 58.6%, equal to target and ahead of comparable performance in 2016-17 by 0.02%.	Green	95.3%	58.6%	0.0%	0.0%	95.5%

Delivering the plan and achieving best value**Provide sound financial stewardship for the council**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Other Council Tax targets: - in year (excl water) 95.8%	Council Tax collection at September 2017 when Scottish Water debts are removed is 58.77%.	Green	95.8%	58.8%	95.8%	0.0%	96.0%
	Other Council Tax targets - arrears collection target £3.25m	Collection of Council Tax arrears to date totals £2.344m, ahead of target by £0.160m (4.9%).	Green	£3.250m	£2.344m	£0.000m	£0.000m	£3.483m
	Non Domestic rates - achieve income target of 97.8%	Non Domestic Rates collection is currently 51.6%, below target by 0.4% and behind comparable performance in 2016-17 by 0.5% due to cash flow variances.	Green	97.8%	51.6%	97.8%	97.7%	97.9%
	Sundry debt - target 98.0%	A collection rate of 97.8% has been achieved, 0.2% below target.	Green	98.0%	97.8%	98.2%	0.0%	98.0%
	Factoring - target 80.0%	Ahead of comparable performance in 2016-17 by 6.5%.	Green	80.0%	62.7%	73.1%	66.9%	79.3%
	Benefits Administration - average processing times for new claims - target 21 days	Processing times for new claims is currently 24 days, 3 days over target but annual target of 21 days expected to be achieved.	Green	21 days	24 days	22 days	21 days	22 days
	Benefits Administration - change of circumstances - target 9 days	Processing times for change of circumstance is currently 7 days, 2 days under target.	Green	9 days	7 days	0 days	0 days	6 days
	Benefits Administration - accuracy of processing - target 91.25%	Accuracy performance is currently 91%, behind target by 0.2%.	Green	91.2%	91.0%	0.0%	0.0%	90.6%
	Benefits Administration - Gross admin cost per Housing Benefit/Council Tax Reduction case - target £26	Reported in quarter 4.	Report Later	£26.00	-----	£27.93	£26.15	£20.62
	Creditors are paid correctly and on time in accordance with standing orders and contractual terms: Percentage of invoices sampled that were paid within 30 days - target 85%	95% of invoices received were paid within 30 days. This is primarily due to improved efficiencies and work practices within the team.	Green	85.0%	95.0%	94.0%	95.8%	94.5%
	All responsibilities in relation to VAT, PAYE and other excises are declared and paid within agreed timetable	All responsibilities in relation to VAT, PAYE deadlines have been met, this ensures the council is not penalised for late returns.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Provide sound financial stewardship for the council**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Deliver Treasury Management function as regulated by statute and Codes of Practice to provide Committee with quarterly updates on treasury activity. This includes the Annual Activity report to be completed by September	Annual Activity Report for 2016-17 presented to committee in September 2017. Quarter 1 2017-18 Report presented to committee in September 2017. Quarter 2 2017-18 Report will be presented to committee in November 2017.	Green	---	---	---	---	---
	Support Services as a percentage of total gross expenditure	The latest Local Government Benchmarking Framework results for 2016-17 are due to be published early 2018.	Report Later	-----	-----	4.1%	5.2%	-----
	Participate in financial monitoring and stewardship of new Integrated Health and Social Care Joint Board	Joint working with Chief Financial Officer of South Lanarkshire Health and Social Care Partnership is ongoing.	Green	---	---	---	---	---
	Participate in financial monitoring and stewardship of Glasgow City Region City Deal Project	The financial monitoring of the Glasgow City Region City Deal is ongoing throughout the year and is not dependent on any milestones.	Green	---	---	---	---	---
Effectively implement changes to Teachers pay and leave conditions	Implement the required changes to the payroll system by December	Project suspended by COSLA until August 2018 at the latest.	Report Later	---	---	---	---	---
Control Capital and Revenue budgets, including trading accounts and Housing Revenue Account	Ensure effective management of all Resource budgets and business plans to achieve agreed financial targets	The management of Resource budgets and business plans is ongoing throughout the year and is not dependent on any milestones.	Green	---	---	---	---	---
Prepare Annual Report and Accounts	Accounts for the council and all related/ supported bodies including the Integrated Health and Social Care Joint Board, Valuation Board and related charities completed by 30 June and receipt of clear audit certificate by 30 September	The Accounts for the Council and all related/supported bodies were complete by 30 June 2017. The audit of the Accounts was complete by end September and all bodies received a clean audit certificate.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Provide sound financial stewardship for the council**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Prepare and set Revenue Budget and declare Council Tax by statutory date. Ensure link with budget and service planning	Declare Council Tax and obtain council approval of budget by February	Declaration of Council Tax and the approval of the 2018-19 Budget will be reported at a later date.	Report Later	---	---	---	---	---
Support the delivery of Early Years 1,140 hours national priority implementation August 2020	Contribute to the Early Years 1,140 hours strategic review group in Education and support Education Resources on the financial implications of the new Government's priority	Work is ongoing in the completion of the Early Years 1,140 hours Implementation Strategy, including associated capital and revenue financial implications as well as the Early Years Finance Template due 29 September 2017.	Green	---	---	---	---	---
Ensure council commitment to maintaining teacher numbers and pupil teacher ratio for September 2017 census	Maintain teacher numbers at the annual census in order to meet council commitment and maintain funding streams	Work progressing on the pupil/teacher census for September 2017, with data to be submitted by 17 October 2017. Achievement of the parent/teacher ratio looks positive at this early stage.	Green	---	---	---	---	---
Lead on the financial management implication of Pupil Equity Funding 2017-18	Issue financial guidance to support financial management arrangements and control and governance requirements of Pupil Equity Funding	Financial guidance issued to schools in support of the financial management arrangements around Pupil Equity Funding (PEF). Financial monitoring continues to track spend and commitment in 2017-18 against PEF allocations.	Green	---	---	---	---	---
Provision of financial services support including year end accounts and revenue monitoring to external organisations	Complete successful year end process for external organisations and provision of financial services to partner organisations including monthly, quarterly and year end management and financial statements	The year-end process for external/related organisations was complete by end June. The provision of financial services to these partner organisations is ongoing throughout the year and is not dependent on any milestones.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Deliver the objectives of the Council Plan Connect	Deliver annual Resource Plan and review suite of measures for coverage and relevance (Resource)	The Finance and Corporate Resource Plan 2017-18 is complete. Approval will be sought from Finance and Corporate Resources Committee once the new Council Plan Connect 2017-22 has been presented for approval at Executive Committee. Thereafter it will be published on the council's website.	Green	---	---	---	---	---
	Deliver annual Resource Plan and review suite of measures for coverage and relevance (council-wide)	All Resource Plans for 2017-18 were produced on a consistent basis and in line with the corporate Guidance. Committee approval will be sought once the new Council Plan Connect 2017-22 has been presented for approval at Executive Committee. Thereafter they will be published on the council's website.	Green	---	---	---	---	---
Communicate our vision, values and policies	Continue to promote key strategic plans and strategies	A review of the Council Plan, Connect, has been concluded, with the draft document being presented to the Executive Committee on 8 March 2017. Consultation has continued over the summer and the plan will be promoted extensively to the public and partners once a final version is approved by the new administration.	Green	---	---	---	---	---
Ensure that high standards of governance are being exercised	Develop and deliver the annual council Governance Statement by due date (council-wide)	The Governance Statement has been submitted for inclusion into the accounts by the statutory deadline of 30 September 2017. Preparations are being made for the 2017-18 Annual Governance Statement.	Green	---	---	---	---	---
	Complete Resource Governance self assessment by due date and develop actions to address non-compliant areas (Resource)	Work on the 2017-18 Governance Self-Assessment/Statement of Assurance will begin during October 2017. The Resource will monitor and report on the governance improvement areas identified as a result of the 2016-17 Self-Assessment.	Report Later	---	---	---	---	---

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Deliver annual risk management work plan including review of risk registers	No actions have target completion dates between 1 April and 30 September 2017.	Report Later	-----	-----	0.0%	0.0%	100.0%
	80% of risk control actions completed by due date (council-wide)	No actions due for completion between 1 April and 30 September 2017.	Report Later	80.0%	-----	100.0%	100.0%	100.0%
	80% of risk control actions completed by due date (Resource)	No actions due for completion between 1 April and 30 September 2017.	Report Later	80.0%	-----	100.0%	97.0%	100.0%
	Review of the council's top risks to be completed	Review of risks completed. Report to the Corporate Management Team is scheduled for 19 October 2017.	Green	---	---	---	---	---
Support and facilitate open and transparent governance and decision making arrangements	Feedback from 'end of council term' consultation to be considered as part of the arrangements for the new council	Arrangements reviewed in advance of new Council and are now in place.	Green	---	---	---	---	---
	Review committee administration procedural arrangements following the roll-out of tablet devices and work towards implementation of Phase 2 of the project	Committee administration procedural arrangements continue to be reviewed as progress is being made with the implementation of Phase 2 of the project. Working towards transition to the new electronic committee administration system by end of October.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	----- This Year -----			----- Last 3 Years -----		
			Status	Target	To Date	2014/15	2015/16	2016/17
Promote high standards of Information Governance	Take forward a programme of improvement actions in support of the Information Strategy, Records Management Plan and Internal Audit Plan	The draft refresh of the Information Strategy was submitted to the Information Governance Board on 20 September 2017. The refreshed Strategy will include an updated improvement Action Plan to incorporate actions from the Strategy, the Records Management Plan and Internal Audit Plan. All actions from the previous Action Plan are progressing as per the Plan.	Green	---	---	---	---	---
	Continue to develop South Lanarkshire Council's Records Management Plan following the Keeper's Assessment	<p>A report was submitted to the Corporate Management Team on 21 September 2017 with an update on the Keeper's Assessment Report of the council's Records Management Plan (RMP).</p> <p>The areas mentioned by the Keeper for improvement will be incorporated into the Information Strategy Action Plan which is currently being considered by the Information Governance Board.</p> <p>The council will also be required to submit a Progress Update Report (PUR) to the Keeper one year after the RMP's approval date. This will be part of the RMP's development.</p>	Green	---	---	---	---	---

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Continue to strengthen the good information governance culture in the council through the continued programme of communication to promote the themes of the Information Strategy, Information Security and Records Management Plan	An employee communication concerning "Managing the Shared Network" has been prepared and is awaiting approval for circulation. Thereafter, another topic will be developed for communication.	Green	---	---	---	---	---
	Support the continued learning and development of our employees in the area of information governance	Further development of the Learn On Line (LOL) suite of courses has taken place. Two courses have recently been updated – Identifying Information Requests and Handling Information Requests. A new course on the subject of Cyber Information Security is being initiated. An overview of the entire information management module of LOL courses is taking place with colleagues in Learning and Development.	Green	---	---	---	---	---
	Information governance self assessment audit checklist to be completed annually and all relevant actions to be implemented (Resource)	Actions arising from the checklist process of 2016-17 are being addressed. The Information Governance Board will monitor the preparation for the checklist for 2017-18.	Green	---	---	---	---	---
	Information governance self assessment audit checklist to be completed annually and all relevant actions to be implemented (council-wide)	As reported in the Q1 update, all Resources are addressing the action points which were identified during the Information Governance Self Assessment audit Checklist process of 2016-17. Preparation work for the Annual Checklist Assessment for 2017-18 will commence towards the end of the calendar year with the final checklist being signed off by the end of the financial year.	Green	---	---	---	---	---
Provide an effective grant claims management service	Grant claims are ready for submission in line with Scottish Government timescales	One grant claim, Youth Employment Incentive, was due for submission this period. This was achieved.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Percentage error rate of claims submitted to be no greater than 2% (European Union materiality threshold)	Cumulative error rate for the 2014-20 Programme is currently 0%	Green	2.00%	0.00%	0.00%	0.04%	0.00%
Provide assurance that Internal Audit delivers an independent and objective opinion to the council	Evidence compliance with Public Service Internal Audit Standards (PSIAS) through completion of an external assessment of audit practices against this Standard	External review commenced Q3, 2016-17. Completion of the review slipped due to unplanned work. Planned completion date now anticipated to be Q3 2017-18.	Green	---	---	---	---	---
Deliver an effective internal audit service	Completion of Audit Plan and issue of draft reports by 30 April	Audit Plan assignments progressing with 75% of the plan in progress and 10% issued as draft.	Green	100.0%	10.0%	0.0%	0.0%	-----
	Audit and Compliance Manager to meet Resources on a six monthly basis	Meetings are planned to take place with Resources during Q3 of 2017-18 as part of the 2018-19 audit planning process.	Green	---	---	---	---	---
	Prepare a Statement of Assurance by 30 May	2016-17 Assurance Statement was prepared by 30 May 2017. Statement has been presented to the Corporate Management Team (29 June 2017), Risk and Audit Scrutiny Forum (20 September 2017) and Executive Committee (27 September 2017).	Green	---	---	---	---	---
	90% of audit actions completed by due date (council-wide)	29 actions due, 29 complete (100%); 28 complete on time (97%). [100% of internal audit actions delivered, 97% of which were delivered on time as at the end of September 2017]. 0 external audit actions due.	Green	90.0%	97.0%	89.0%	91.0%	92.0%
	90% of audit actions completed by due date (Resource)	6 actions due - 6 closed. 6 internal audit actions due - 6 closed on time. 0 external audit actions due.	Green	90.0%	100.0%	90.0%	93.0%	100.0%

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Compliance with statutory response timescales for information in terms of the EI(S)Rs and FOISA and for subject access requests under the DPA (Note: results should be considered in the context of the number of requests received)	90% of Freedom of Information (FOISA) requests to be processed within the 20 working day period (Resource)	In Q1 2017-18, Finance and Corporate Resources received 80 requests for information and responded to 77 within the statutory timescales.	Green	90.0%	96.2%	0.0%	87.2%	94.8%
	90% of Freedom of Information (FOISA) requests to be processed within the 20 working day period (council-wide)	In Q1 2017-18, the council received 310 requests for information and responded to 301 within the statutory timescale.	Green	90.0%	97.1%	0.0%	92.1%	96.8%
	90% of Environmental Information (Scotland) Regulations EI(S)R requests to be processed within the 20 working day period unless extended to 40 working days in exceptional circumstances (Resource)	In Q1 2017-18, Finance and Corporate Resources did not receive any requests for information under the EI(S)Rs.	Contextual	-----	-----	0.0%	100.0%	98.7%
	90% of Environmental Information (Scotland) Regulations EI(S)R requests to be processed within the 20 working day period unless extended to 40 working days in exceptional circumstances (council-wide)	In Q1 2017-18, the Council received 83 requests for information under the EI(S)Rs and responded to 80 of them within the statutory timescales.	Green	90.0%	96.4%	0.0%	95.3%	-----
	90% of Data Protection Act (DPA) requests to be processed within 40 calendar days (Resource)	In Q1 2017-18, Finance and Corporate Resources received 2 subject access requests and responded to 1 within the statutory timescales.	Red	90.0%	50.0%	0.0%	77.8%	100.0%
	90% of Data Protection Act (DPA) requests to be processed within 40 calendar days (council-wide)	In Q1 2017-18, the council received 29 subject access requests and responded to 24 within the statutory timescales.	Amber	90.0%	82.8%	0.0%	83.3%	96.7%

Delivering the plan and achieving best value**Deliver and communicate the Council Plan and ensure high standards of governance**

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	----- This Year -----			----- Last 3 Years -----		
			Status	Target	To Date	2014/15	2015/16	2016/17
	Assist the council in relation to preparations for the implementation of the General Data Protection Regulation on 25 May 2018. Including the provision of legal advice and supporting guidance on behalf of the Information Governance Board (IGB). Provide general support to the IGB in its administration. Monitor progress and provide quarterly updates to the Corporate Management Team	Work ongoing. Quarterly update report to Corporate Management Team in November 2017.	Green	---	---	---	---	---

Support local democracy, council committees, elected members and senior managers

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	----- This Year -----			----- Last 3 Years -----		
			Status	Target	To Date	2014/15	2015/16	2016/17
Provide support to elected members	Deliver an ongoing learning and development programme for elected members throughout the year	Initial induction training has been completed for elected members as well as access to Learn on Line and the Improvement Service masterclasses. Arrangements currently being undertaken for further awareness sessions.	Green	---	---	---	---	---
	Provide ongoing IT support to elected members, particularly in relation to the roll out of the tablet devices	There were 82 faults logged and dealt with on behalf of Elected Members from 25 July to 2 October 2017. These faults included issues with Dell Venue 11 Pro Tablets, no WI-FI connection, emails not being received via Smartphone and requests for roaming facility on Smartphone if Elected Members are going abroad.	Green	---	---	---	---	---
Administer the council's Committees, Forums and Joint Boards effectively	100% agendas issued to meet statutory requirement of 3 clear days	Continue to meet this statutory timescale relating to the final agendas.	Green	100.0%	100.0%	100.0%	100.0%	100.0%
	Continue co-ordination of the decision-making timetable for the period of the council	Timetable for five years has been developed. Ongoing work to meet the timetable continues in line with committee cycles.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Support local democracy, council committees, elected members and senior managers**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Provide support to the four Divisional Licensing Boards	Ongoing advice and training given to Board members.	Green	---	---	---	---	---
Provide support to Chief Executive in relation to correspondence, enquiries, consultations and complaints	Achieve 85% of substantive responses within 10 days of receipt	Continue to meet this corporate standard in over 90% of occasions in terms of support with Chief Executive's correspondence.	Green	85.0%	94.0%	89.0%	90.3%	93.8%
Support the democratic functions of the council	Manage election and referendum processes as required and in accordance with the requirements of the Electoral Commission	Successful delivery of the Scottish Local Government Elections and UK Parliamentary General Elections in May and June 2017 respectively	Green	---	---	---	---	---
	Encourage local democracy through support for Community Councils	Ongoing work continues to provide support and advice to Community Councils. Including initial arrangements for an annual event.	Green	---	---	---	---	---
	Continue development of the Election Management System	Actively progressing this with IT colleagues to maximise use in future years.	Green	---	---	---	---	---
	Cost of Democratic Core per 1,000 population	The latest results (2016-17) will not be available until early 2018, at which time they will be analysed and reported.	Report Later	-----	-----	£25,865.7	£24,640.3	-----

Deliver professional legal services

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Ensure that Licensing and Registration Services are provided professionally and promptly	Civic Government licensing processing target - 85% within service targets	Target achieved.	Green	85.0%	95.0%	0.0%	90.0%	99.0%
	Statutory Civic Government (Scotland) Act 1982 statutory timescales - 100% within service targets	Statutory target fully met.	Green	100.0%	100.0%	0.0%	100.0%	100.0%
	Liquor licensing processing target - 85% within service targets	Target achieved.	Green	85.0%	87.0%	0.0%	85.0%	89.0%
	Registration processing target - 90% within service targets	Target achieved.	Green	90.0%	99.0%	0.0%	91.0%	99.0%

Delivering the plan and achieving best value**Deliver professional legal services**

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Ensure that professional legal advice is provided in respect of the council's daily business	Nationality and Settlement Checking Service processing target - 90% within service targets	Target achieved.	Green	90.0%	100.0%	0.0%	88.0%	100.0%
	Citizenship processing target - 90% within service targets	Target achieved.	Green	90.0%	100.0%	0.0%	98.0%	99.0%
	Complaints processing target - 85% within service targets	Target achieved.	Green	85.0%	100.0%	0.0%	90.0%	98.0%
	Legal Services will provide professional and appropriate advice	Legal Services continues to provide advice to all departments of the Council in respect of the Council's daily business, changing legislation and any complex or sensitive situations or challenges.	Green	---	---	---	---	---
	The Licensing and Registration Section will provide professional and appropriate advice	Ongoing training and advice given to members.	Green	---	---	---	---	---
	Legal Services will meet the target of 7,750 chargeable hours per quarter in respect of legal services provided, including: contract law, procurement, conveyancing, tribunal hearings, court actions and legal advice	Although slightly below target at the end of the second quarter of 2017-18 Legal Services are on track to meet the annual target for chargeable hours.	Green	31,000 hours	15,112 hours	0 hours	0 hours	32,986 hours
	Legal Services will report quarterly on the number of cases opened and closed in the year to date	In the second quarter of 2017-18 Legal Services have concluded and closed 932 cases and received instructions on and opened 491 new cases. The figures for the year to date are 953 opened and 1,479 closed.	Green	-----	-----	0.0	0.0	-----

Promote equality and the well being of staff

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Ensure that the council meets its obligations under Health and Safety legislation	Ensure that Resource Health and Safety documented management arrangements reflect the requirements of the Occupational Health and Safety Management System	Documents are monitored to ensure they remain valid - updates will take place as and when required.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Promote equality and the well being of staff**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Completion of the Resource Action Plan to improve safety performance	A new resource safety group has been created and a new action plan created. This has been adopted and will be actively monitored from the next groups meeting onward	Report Later	---	---	---	---	---
	% of audit actions completed	no audits undertaken for FCR in this time period. New mechanisms to collate this information also being introduced making reporting more meaningful and useful - expected Q3	Report Later	-----	-----	0.0%	100.0%	-----
	Number of accidents per 1,000 employees (council-wide)	Based on the first 2 quarters of the year - the Accident Incidence Rate (AIR) is 28.5 Q1 was 16.97 (slight revision) Q2 was 11.56 (drop in figures because of school holidays)	Green	-----	28.5	59.0	44.9	46.1
	Consideration of the findings of the Glasgow Bin Lorry Fatal Accident Inquiry and implementation of improvement actions where deemed appropriate	A management bulletin and new merged medical form are now being prepared.	Report Later	---	---	---	---	---
Ensure the council effectively promotes and provides access to well being supports	Seek opportunities to promote and effectively communicate wellbeing information and activities to our employees	Promotional activities continue to take place as per the Healthy Working Lives Plan. Employee Support Team attended Community and Enterprise Resources Facilities Overview.	Green	---	---	---	---	---
Raise awareness of equality obligations throughout the council	Use equalities monitoring information to identify areas where employee diversity could be targeted to reflect community make-up	The annual equalities report was recently taken to the Equalities forum; and the mainstreaming equalities progress report and refreshed outcomes for 2017-2021 are published on the Council website.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Promote equality and the well being of staff**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Equalities training will be provided to employees and elected members via a combination of elearning and one to one training	Training will be provided to elected members as required and to ensure they can fulfil their roles. EqlA refresher courses have been delivered to support staff completing savings impact assessments. Diversity Awareness training has been delivered to modern apprentices and Disability Awareness continues to be delivered to taxi drivers.	Green	---	---	---	---	---
Develop and implement council wide equality performance measures and publish results in accordance with Public Sector Equalities Duties (PSED)	Use equality data and equality impact assessments to ensure services are meeting the needs of all parts of the community. Where appropriate implement a programme of communication and events to raise awareness of the council's obligations and progress under PSED and publish on the intranet and website	The programme of awareness raising is continuing. During the period this has included the delivery of disability awareness training for taxi drivers and diversity awareness for modern apprentices. Refresher training has been delivered for EqlA assessors to ensure their knowledge is relevant and current. Equality impact assessment is continuing across Resources.	Green	---	---	---	---	---
	Provide annual report to Equal Opportunities Forum on uptake of service, based on the agreed equality outcomes (Resource)	Finance & Corporate Annual Report will be submitted at the Equal Opportunities Forum being held on 9 May 2018.	Report Later	---	---	---	---	---
	Provide annual report to Equal Opportunities Forum on uptake of service, based on the agreed equality outcomes (council-wide)	Council wide Equalities Mainstreaming & Progress Report submitted to Executive Committee 28 June 2017.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Promote equality and the well being of staff**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Number of policies recommended, not recommended or piloted as a result of Equality Impact Assessments undertaken for all relevant policies, strategies and procedures (Resource)	No assessments approved in period; five assessments have been completed in relation to savings proposals and are submitted for approval. YTD – Five impact assessments have been approved	Green	-----	5.0	7.0	6.0	1.0
	Number of policies recommended, not recommended or piloted as a result of Equality Impact Assessments undertaken for all relevant policies, strategies and procedures (council-wide)	Nil assessments approved in the period. 50 impact assessments have been started in the period of these none have been approved, 48 are submitted for approval, these are all in relation to savings proposals. YTD – 19 assessments approved The main focus of activity related to equality impact assessing the savings proposals.	Green	-----	19.0	52.0	102.0	19.0
	The % of the highest paid 5% employees who are women	The latest Local Government Benchmarking Framework results for 2016-17 are due to be published early 2018.	Report Later	-----	-----	48.0%	47.9%	-----
	The gender pay gap between average hourly rate of pay for male and female council employees	The latest Local Government Benchmarking Framework results for 2016-17 are due to be published early 2018.	Report Later	-----	-----	0.0%	6.8%	-----
Ensure equality in pay, linked to protected characteristics in line with duties	Monitor, review and revise the equal pay action on an ongoing basis	Equal Pay action plan completed for full council, personnel working through any actions for checking - no issues of concern noted, will continue to monitor and review	Green	---	---	---	---	---

Delivering the plan and achieving best value**Develop and implement an effective Financial Strategies**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Prepare and implement appropriate financial strategies taking account of economic conditions and local government settlements	Complete the update of 2018-19 financial strategy by summer 2017	The update of the 2018-19 Financial Strategy was presented to Executive Committee on 26 June 2017.	Green	---	---	---	---	---
	Ensure ongoing effective communication and consultation on financial issues with elected members and Executive Directors	Financial Strategy agreed by the Executive Committee in June 2017. A further report will be presented at the Members Seminar in November 2017.	Green	---	---	---	---	---
	Manage the implementation of Welfare Reform throughout the council, including leading the council's Welfare Reform Monitoring Group	Preparations on track for go live in October 2017.	Green	---	---	---	---	---
Develop a Treasury Management Strategy to minimise risk and support the overall Financial Strategy for the council	Prepare the Annual Treasury Management and Investment Strategies and Prudential indicators by February and report on achievement by September	Annual Activity Report for 2016-17 presented to committee in September 2017. Quarter 1 2017-18 Report presented to committee in September 2017. Quarter 2 2017-18 Report will be presented to committee in November 2018.	Green	---	---	---	---	---
Deliver effective operation of service functions within budget	Ensure revenue and capital expenditure is within budget	As at 18 August 2017, the Revenue Budget shows an overspend of £0.706 million (0.35%) against the phased budget. The overspend relates to Social Work Resources who are experiencing budget pressures arising from an increased demand for social care services. Social Work Resources are working to minimise the level of overspend being incurred.	Amber	---	---	---	---	---

Delivering the plan and achieving best value**Develop and implement an effective Financial Strategies**

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Implement the Procurement Strategy Action Plan	Complete actions in action plan within the agreed timescales	All actions within the Procurement Strategy Action Plan undertaken within agreed timescales. The process of review is well underway with activities commenced in all but one council Resource. Work in the remaining Resource will commence before the end of October 2017.	Green	---	---	---	---	---

Implement a Digital and ICT Strategy that meets business needs

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Deliver the core business of IT Services to support council Resources	Critical Business Systems will be available to council Resources for 98 % of core business time	Critical business systems have been available to council resources for 99.9% of core business time.	Green	98.0%	99.9%	99.9%	99.8%	100.0%
	95% of Help Desk calls will be achieved within Service Level Agreement (SLA) targets	100% of help desk calls were achieved within Service Level Agreement (SLA) targets.	Green	95.0%	100.0%	99.0%	99.8%	99.3%
	95% of IT Hardware and Software installations will be achieved within SLA targets	100% of IT hardware and software installations were achieved within SLA targets.	Green	95.0%	100.0%	98.0%	98.8%	99.1%
Communicate our vision, values and policies	IT Services will, in consultation with the council's ICT Programme Board, regularly report progress on the council's Corporate Management Team (CMT) Themes in respect of IT priorities	Update provided to the Corporate Management Team in September 2017 for second quarter.	Green	---	---	---	---	---
	IT Services will maintain 95% of current ICT Projects at Green/Complete at any given point in the service planning year	98% of projects currently green or complete.	Green	95.0%	98.0%	97.1%	95.7%	95.2%

Delivering the plan and achieving best value**Implement a Digital and ICT Strategy that meets business needs**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	IT Projects delivered to support the CMT priority theme of Mobile Working will include implementation of the mobile working solution for Roads Service	Requirements agreed and development of mobile working app in progress for Roads Service.	Green	---	---	---	---	---
	IT Project delivered to support the CMT theme of Customer Contact and Transactional Working will include implementation of MyAccount functionality for citizen authentication to access on-line council services	New integrated web-forms implemented to support Customer Contact & Transactional Working and deliver service improvements and efficiencies. MyAccount functionality developed and being tested.	Green	---	---	---	---	---
	IT Project delivered to support the CMT theme of Health and Social Care Integration will include implementation of effective collaboration solutions between the council and NHS Lanarkshire	Good progress being made on major projects including support of Health and Social Care integration. Implemented SWISplus access in Hairmyres, Monklands and Wishaw A&E. Agreed design with NHS Lanarkshire for federated IT infrastructure to support partnership working.	Green	---	---	---	---	---
	Security policies and frameworks will be maintained to current national and international standards including accreditation to the Public Sector Network (PSN)	IT Infrastructure Health Check completed. PSN re-accreditation submission being prepared.	Green	---	---	---	---	---
Manage and deliver effective IT Security	Security policies in respect of employee use of IT Assets will be current and well communicated	Development of learn-on-line information security courses ongoing.	Green	---	---	---	---	---
	Appropriate technical and software measures will be in place at all times to minimise the risk of IT Asset loss due to malware or infrastructure attacks	Vulnerability scanning ongoing to ensure network assets are being maintained appropriately. IT Patching programme continues.	Green	---	---	---	---	---
	Formal business continuity plans and processes are in place for the council's business critical information systems	IT Services business continuity plans reviewed and updated in September 2017.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Implement a Digital and ICT Strategy that meets business needs**

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	95% of scheduled backups will be successfully completed within the agreed service levels	Of the 86,106 backup jobs run on the Netbackup environment during July to September 2017, 85,261 completed successfully, representing a 99% success rate.	Green	95.0%	99.0%	98.2%	99.2%	98.6%
Manage and deliver sustainable IT Services	IT Contracts and Services will include compliance with, or exceed, National and European legislation in respect of acquisition and disposal of IT Assets	Equipment procured under IT Infrastructure contracts meets all relevant legislation.	Green	---	---	---	---	---
	IT Services will implement the actions from the council's Carbon Reduction Plan as they apply to IT Services	Actioned across the corporate IT Infrastructure to comply with the Carbon Reduction Plan.	Green	---	---	---	---	---
Contribute to National Programmes on Shared Service	The council's Data Centre at CAIRD will continue to be offered as a shared service to the Scottish Public Sector and beyond	Strategic review of Caird Data Centre completed and recommendations approved. Continuing to offer hosting to other public sector organisations until at least 30 June 2019.	Green	---	---	---	---	---
	IT Services will engage with the Scottish Local Government Digital Transformation Board to identify opportunities for shared technology and projects where appropriate	Fully engaged with this initiative and actively working on two projects, "Common Platforms" and "Mobile and Flexible Working".	Green	---	---	---	---	---

Develop improvement activity and promote scrutiny

Action	Measures(<i>non statistical measures shaded grey</i>)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Implement effective Best Value Management arrangements to ensure continuous improvement and efficient and	Lead, facilitate and contribute to best practice and improvement activity across the council and with other agencies	The Risk-based Self-Assessment and Improvement Programme for 2017-18 has been approved by the Corporate Management Team. Officers will take steps to ensure that the programme is progressed.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Develop improvement activity and promote scrutiny**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
effective service delivery	Engage in self evaluation activity and take forward any improvement actions (Resource)	No assessment activity was planned for this period. Services continue to take forward improvement actions identified as a result of previous self evaluation activity. Reports on completed assessments will continue to be presented to the Finance and Corporate Resource Senior Management Team.	Green	---	---	---	---	---
	Engage in self evaluation activity and take forward any improvement actions (council-wide)	From the approved programme for 2017-18, two assessments have already been completed - Waste and Fleet. Services continue to take forward improvement actions identified as a result of previous self evaluation activity. An annual update will report on progress.	Green	---	---	---	---	---
	Ensure that the planned scrutiny activity arising from the Local Scrutiny Plan based on the shared risk assessment process is addressed	The Local Scrutiny Plan (LSP) for 2017-18 did not identify any risk-based scrutiny for the council therefore no specific actions were required as a result. The LSP has been reported to Corporate Management Team (14 September 2017) and the Performance and Review Scrutiny Forum (31 October 2017).	Green	---	---	---	---	---
	Use the results of benchmarking activity (including Local Government Benchmarking Framework) to inform and improve service delivery (Resource)	The latest results (2015-16) have been analysed with improvement actions identified, where applicable. The draft 2016-17 results will be available early 2018 for analysis and comment.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Develop improvement activity and promote scrutiny**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	----- This Year -----			----- Last 3 Years -----		
			Status	Target	To Date	2014/15	2015/16	2016/17
	Use the results of benchmarking activity (including Local Government Benchmarking Framework) to inform and improve service delivery (council-wide)	The latest results (2015-16) have been analysed with improvement actions identified, where applicable. The draft 2016-17 results will be available early 2018 for analysis and comment.	Green	---	---	---	---	---
	Lead the council's approach to benchmarking based on Local Government Benchmarking Framework Family Group activity, case studies and other benchmarking activity	Annual learning events covering most indicators are planned during 2017-18 and any emerging areas of good practice will be studied for potential adoption in South Lanarkshire. The Improvement Service has prioritised expanding the suite of measures relating to children and young people. Measures are being developed in discussion with Social Work Scotland and the Association of Directors of Education in Scotland (ADES).	Green	---	---	---	---	---
Lead on compliance with the national complaints handling procedures as determined by the Scottish Public Services Ombudsman (SPSO)	Maintain awareness of the process and learning from complaints through quarterly and annually reporting	Council Complaints Report including the SPSO Overview for 16/17 identifying areas of good practice and identifying learning opportunities submitted to Executive Committee on 27 September 2017.	Green	---	---	---	---	---
Deliver the reporting framework for the new Council Plan through IMPROVe	Deliver Quarter 2 and Quarter 4 Connect progress reports to Corporate Management Team (CMT) and Executive Committee via IMPROVe	The Connect Q2 progress report 2017-18 will be presented to the Corporate Management Team on 2 November and to the Executive Committee on 8 November 2017.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Develop improvement activity and promote scrutiny**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Review the council's approach to Performance Management on an ongoing basis	Continue to appraise the council's approach to Public Performance Reporting (PPR) taking account of Audit Scotland's Direction	Our Annual Performance Report 2016-17 is being finalised and is due to be presented to the Corporate Management Team and the Executive Committee, with publication on the council's website expected in November 2017. Preparations are ongoing to ensure that we continue to comply with the Accounts Commission Direction regarding public performance reporting requirements.	Green	---	---	---	---	---
Promote the council's approach to employee performance management through Performance Appraisals	Communicate and roll out the revised Performance Appraisal and behaviours framework	Understanding Performance Appraisal e-learning available from April 2017. Finance and Corporate Resources rolled-out Framework for 2017-18 PDR cycle.	Green	---	---	---	---	---
Implement Efficient Government Policy and Action Plan	Prepare an annual Efficient Government Statement by due date showing levels of efficiencies achieved	The Annual Efficiency Statement is complete and was submitted to COSLA in line with timescales set. It was presented to Executive Committee on 30 August 2017.	Green	---	---	---	---	---

Improve the skills, flexibility and capacity of the workforce

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Ensure our commitment to employees through the development and implementation of personnel policies and employee learning and development (L&D) opportunities	Design, co-ordinate and monitor the delivery of council-wide Learning and Development Plans in partnership with Learning and Development Boards	Mid term reports (as at 31 September) being prepared for L&D Boards. This will include the Health and Social Care Partnership Learning & Workforce Development Board.	Green	---	---	---	---	---
	Co-ordinate and monitor the delivery of core L&D activities identified via the Resource Health and Safety Matrices	Mid term compliance reports on current finalised matrices being produced (as at 31 September). Work on-going to produce final matrices for low risk areas.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Improve the skills, flexibility and capacity of the workforce**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
	Increase the level of channel shift from classroom based L&D activities to e-learning	As at September 2017 on target to increase level of channel shift using learn on line and webinars.	Green	---	---	---	---	---
	Increase in-house delivery of L&D classroom based previously delivered by external provision	As at 31 September 2017 on target to increase in house delivery.	Green	---	---	---	---	---
	The council's labour turnover rate will be contained at 5% or less (council-wide)	The council's labour turnover rate remains contained under target rate of 5%.	Green	5.0%	2.6%	3.0%	3.8%	3.0%
	Resource labour turnover rate to be contained at 5% or less (Resource)	The Resource's labour turnover rate remains contained under target rate of 5%.	Green	5.0%	1.7%	3.4%	3.0%	3.2%
	Sickness absence days per teacher	The latest Local Government Benchmarking Framework results for 2016-17 are due to be published early 2018.	Report Later	-----	-----	6.9	6.5	6.5
	Sickness absence days per employee (non teacher)	The latest Local Government Benchmarking Framework results for 2016-17 are due to be published early 2018.	Report Later	-----	-----	11.1	10.3	11.6
	100% coverage of Performance Appraisals (PAs) of employees in scope (Resource)		Report Later	-----	-----	96.0%	96.0%	94.3%
	100% coverage of PAs of employees in scope (council-wide)		Report Later	-----	-----	87.0%	95.5%	87.6%
	Continued accreditation of Investors in People	Interim iIP Review has been completed and report issued by Managing Assessor in August. Accreditation review completed in Education Resources. Preparation underway to complete the review process in November/December 2017.	Green	---	---	---	---	---
Implement the council workforce strategy toolkit and continue the cyclical reporting framework	Complete review of workforce plan and develop actions to respond to workforce changes and meet future needs (Resource)	Workforce plan reported to F&C Committee in September 2017	Green	---	---	---	---	---
	Complete review of workforce plan and develop actions to respond to workforce changes and meet future needs (council-wide)	Resource have reviewed their workforce plans and reported to their respective resource committees. Council wide workforce plan will be reviewed in line with the workforce planning cycle.	Green	---	---	---	---	---

Delivering the plan and achieving best value**Improve the skills, flexibility and capacity of the workforce**

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Implement an effective programme of Modern Apprenticeships	All council apprentices will achieve certification to at least SVQ level 2 (target 100%)	All MAs who finished in the last three months, achieved SVQ certification.	Green	100.0%	100.0%	0.0%	0.0%	0.0%

Other actions in support of delivering the Plan and achieving Best Value

Action	Measures (non statistical measures shaded grey)	Comments/ Progress	Status	----- This Year -----		----- Last 3 Years -----		
				Target	To Date	2014/15	2015/16	2016/17
Develop and Implement a professional and effective Corporate Communications Service	Deliver and manage internal and external communications	Process of reviews and improvements continues across the service, with effective internal and external communications via website/intranet/social media, press releases and the Works and external publications.	Green	---	---	---	---	---
Provide an effective research and intelligence service to support council decision-making by the council and its partners	Develop dashboards and other tools to provide intelligence at a South Lanarkshire and lower levels to aid decision-making and resource allocation	A datazone dashboard has been created to support the work of the Rural Task Force in its work on a rural strategy and tackling deprivation	Green	---	---	---	---	---
	Provide support as required to Joint Strategic Needs and Opportunity Assessments and other investigative exercises involving the council	Work has been undertaken to support the final iteration of the LOIP by Resources and CP partners	Green	---	---	---	---	---
	Provide briefings, reports and analysis as required on social, economic and demographic circumstances, issues and trends - and on policy issues - that may impact on the council, its communities, and services	A range of briefings have been provided to the Chief Executive and various reports on the Statistical Information Portal have been produced.	Green	---	---	---	---	---
Administer grants effectively in line with following the public pound	Continue to audit 100% of grants allocated through Area Committee	Continue to audit all Community Grant recipients in terms of proof of spend.	Green	100.0%	100.0%	100.0%	100.0%	100.0%
	Allocate and distribute annual grants to community councils	Provision of funding to Community Councils for 2017-18 has been carried out.	Green	---	---	---	---	---
Streamline application process for Checking Service/route test applicants	Implementation of online booking system to improve online licensing facility for users	In addition to appointments for registrations the taxi/private hire car trade can book appointments for vehicle/meter tests and route tests on line.	Green	---	---	---	---	---

Report

11

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

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

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise Committee of Revenue Collection performance for financial year 2017/2018 to date
- ◆ advise Committee of performance in the Business Rates Incentivisation Scheme (BRIS) to date
- ◆ seek approval for write offs

2. Recommendation(s)

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

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

◆ Council Tax	£629,547.03
◆ Non Domestic Rates 2015/16 to 2017/18	£2,541,310.39
◆ Non Domestic Rates 2014/2015	£2,041,616.88
◆ BID Levies	£17,451.74
◆ Sundry Debt	£538,683.57
◆ Housing Rent and associated charges	£318,173.37

3. Background

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

4. Current Collection Performance

- 4.1. The first table in Appendix 1 presents the collection performance for Council Tax, NDR and Sundry Debts for financial year 2017/2018 to 30 September 2017.
- 4.2. The annual Council Tax collection target for 2017/2018 has been set at 95.3%. Council Tax collection is currently 58.6%, equal to target and ahead of comparable performance in 2016/2017 by 0.02%.
- 4.3. A NDR collection target of 97.8% has been set for 2017/2018. NDR collection is currently 51.6%, below target by £1.326m (0.4%) and behind comparable performance in 2016/2017 by 0.5%, due to cash flow variances.

- 4.4. The 2017/2018 annual target for Sundry Debt collection has been set at 98%. Sundry Debt collection is currently 97.8%, below target by £0.197m (0.2%).

5. Arrears Collection Performance

- 5.1. Arrears collection performance for Council Tax, NDR and Sundry Debt is presented in the second table of Appendix 1.
- 5.2. The 2017/2018 arrears annual target for Council Tax has been set at £3.250m, with collection of £2.344m, ahead of target by £0.160m (4.9%).
- 5.3. The 2017/2018 arrears target for NDR has been set at £2.800m, with collection of £2.580m, ahead of target by £0.085m (3%).
- 5.4. The 2017/2018 arrears target for Sundry Debt has been set at £9.948m, with collection of £6.616m, below target by £0.049m (0.5%).

6. Business Rates Incentivisation Scheme (BRIS)

- 6.1. The BRIS is a Scottish Government initiative to incentivise growth of the local business tax base, with a view to increasing NDR income yields.
- 6.2. The Scottish Government sets annual targets for growth (buoyancy) and councils who achieve their target retain 50% of the additional income generated.
- 6.3. The provisional annual buoyancy target for South Lanarkshire Council in 2017/2018 has been set by Scottish Government at 1.7%. This is a measure of the increase in the total rateable value of the non-domestic properties on the Valuation Roll (excluding public undertakings).
- 6.4. Performance against the BRIS target is reported to Committee on a quarterly basis. Buoyancy for the second quarter, to the end of September 2017, was +0.03%, a marginal improvement on last quarter.
- 6.5. The tax base must achieve growth of 1.67% during the remaining two quarters of the financial year to secure additional income under the scheme.

7. Proposals for Write Off

- 7.1. Approval for write off of the following irrecoverable debts is requested from Committee. The Council has a statutory obligation to write off accounts where the debtor is deceased, sequestrated, in liquidation or the debt is prescribed.
- 7.2. The proposed write off of Council Tax accounts dating from 1993/1994 to 2017/2018 totals £629,547.03, relating mainly to prescribed debt, sequestrations and estates of the deceased.
- 7.3. The value of accounts currently marked for write off in the NDR system from rating years 2015/2016 to 2017/2018 totals £2,541,310.39. These debts are deemed to be irrecoverable because the debtor is in liquidation, has ceased trading or has been sequestrated.
- 7.4. In accordance with the policy of writing off NDR debt over three years old, debtor balances for 2014/2015 totalling £2,041,616.88 are recommended for write off. As the Council's accounts already contain full provision for these accounts, there will be no financial impact. Members of Committee are advised that recovery action for these debts will continue despite this accounting adjustment.

- 7.5. Approval is sought for the write off of Business Improvement District (BID) Levies totalling £17,451.74, administered by the Council on behalf of the Hamilton and Carlisle BID companies. There is no financial impact on the Council for these write offs.
- 7.6. Following consultation and agreement with Resources, the proposed write off of Sundry Debt totals £538,683.57.
- 7.7. Approval is sought for the write off of former tenant rent arrears of £187,647.57, factoring arrears of £17,809 and Housing Benefit Overpayments of £112,716.80.
- 7.8. A full list of all debts proposed for write off is held by the Executive Director (Finance and Corporate Resources).
- 8. Employee Implications**
- 8.1. None.
- 9. Financial Implications**
- 9.1. Provision has been made for the financial impact of all write offs.
- 10. Other Implications**
- 10.1. The main risk associated with the Council's revenue collection is a failure to monitor collection rates and take effective corrective action where required, resulting in a significant reduction in collection performance and Council funding. The risk is managed through monthly performance reporting and review of performance at monthly Senior Management Meetings.
- 10.2. There are no implications for sustainability in terms of the information contained within this report.
- 11. Equalities Impact Assessment and Consultation Arrangements**
- 11.1. There is no requirement to carry out an impact assessment in terms of the proposals within this report.
- 11.2. There is no requirement to undertake any consultation in relation to the content of this report.

Paul Manning
Executive Director (Finance and Corporate Resources)

16 October 2017

Link(s) to Council Values/Objectives

- ◆ Accountable, effective and efficient
- ◆ Self aware and improving

Previous References

- ◆ Finance and Corporate Resources Committee - 6 September 2017

List of Background Papers

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

Contact for Further Information

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

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SOUTH LANARKSHIRE COUNCIL
REVENUES COLLECTION
FOR PERIOD ENDING 30 SEPTEMBER 2017

	Annual Cash Budget £000's	Budget Target to 30/09/17 £000's	Actual to 30/09/17 £000's	Variance to 30/09/17 £000's		% Variance to annual budget	Notes
FINANCIAL YEAR 2017/2018							
Council Tax	120,032	73,833	73,831	(2)	-	0.0%	
Non Domestic Rates	325,212	172,914	171,588	(1,326)	under	0.4%	
Sundry Debt	88,041	88,041	87,844	(197)	under	0.2%	
ARREARS							
Council Tax	3,250	2,184	2,344	160	over	4.9%	
Non Domestic Rates	2,800	2,495	2,580	85	over	3.0%	
Sundry Debt	9,948	6,665	6,616	(49)	under	0.5%	

Report

12

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **Mobile Men's Shed Project**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide an update on the mobile Men's Shed project
- ◆ request that a post of a 0.5 full time equivalent (FTE) Mobile Men's Shed Project Worker be added to the establishment for a fixed term of 3 years

2. Recommendation(s)

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

- (1) that the content of the report be noted; and
- (2) that the post of a 0.5 full time equivalent (FTE) development worker be added to the establishment for a fixed term of 3 years.

3. Background

- 3.1. Seniors Together is a South Lanarkshire Council project which provides a collective voice for older people on issues which affect their lives. It enables older people to have an active retirement by facilitating the development of activities and opportunities to maintain and improve mental health and wellbeing in later life.
- 3.2. Seniors Together has been instrumental in supporting older men to develop static Men's Sheds in South Lanarkshire. Feedback from those taking part has identified that a mobile Shed, with the support of a development worker, would help to engage isolated older men in activities at locations where there is no Men's Shed and provide support to facilitate older men to set up sheds in their own communities.
- 3.3. The Men's Shed programme started in Australia and has been very successful in engaging older men in sharing and learning new skills while also meeting new friends.

4. Mobile Men's Shed

- 4.1. Seniors Together has recently been awarded funding by the Big Lottery Fund to set up and deliver a mobile Men's Shed which will promote the idea of Men's Sheds throughout the South Lanarkshire area, while also providing older isolated men with the opportunity to meet with their peers and engage in activities such as wood working, hobby crafts and computing. The Council has been awarded £117,000 to deliver the project over three years and some of the costs will cover the recruitment of a part-time development worker while £25,000 of the funding will be used to convert a former mobile library to a mobile Men's Shed.

- 4.2. The mobile Shed will be based for approximately eight weeks at a time in the grounds of leisure and community facilities so that those taking part in Shed activities can also engage with wider programmes which are available in these centres. It is anticipated that those men attending the mobile Shed may have been so isolated that they will not be aware of the wide ranging opportunities available locally. Some may even need support to attend. Older volunteers will be associated with the project and will provide support to more vulnerable older men. These volunteers initially will come from the current static Sheds.
- 4.3. A vehicle which was previously used as a mobile library has been identified for this purpose and will undergo a refurbishment by the Council's Fleet Services before it will be available. A total capital budget of £25,000 is being provided by the Big Lottery Fund for this work with a further £800 for some cosmetic work to the outside of the vehicle. The project is required to begin before 29 December 2017.
- 4.4. The funding provided by the Big Lottery Fund will be for three years and, through the support provided by the development officer, it is anticipated that local men will be involved in setting up at least two static Sheds as a result of the project. Those men who have engaged in the mobile Shed will become part of the South Lanarkshire Men's Shed Network. The Network will provide ongoing support and assistance in securing further funding and development opportunities to ensure the long term sustainability of existing Sheds and Sheds under development as well as supporting the continued growth of Sheds in South Lanarkshire localities.

5. Employee Implications

- 5.1. The mobile Men's Shed funding includes provision to employ a part-time development worker for a fixed term of 3 years. The following table provides details of the addition to the establishment:-

Post	Current Number of Posts (FTE)	Proposed Number of Posts (FTE)	Grade	SCP Range	Hourly Rate	Annual Salary	Gross Cost (inc on costs)
Mobile Men's Shed Project Worker (Temporary)	0	0.5	Grade 3 Level 2	55-65	£14.60	£13,322	£17,358
					- £16.94	- £15,456	- £20,166

- 5.2. This post has been graded using the Job Evaluation scheme.

6. Financial Implications

- 6.1. There are no additional financial implications for the Council as funding will be provided by the Big Lottery Fund amounting to £117,000 over a three year period.

7. Other Implications

- 7.1. There are no implications for sustainability or risk in terms of the information contained within 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 an existing policy, function or strategy and, therefore, no equality impact assessment is required, however, the project is about ensuring equality of opportunity for older people and in some communities it has an intergenerational element.
- 8.2. Consultation has taken place with older men using surveys, focus groups and the current Men's Sheds in operation in South Lanarkshire. The South Lanarkshire Men's Shed Network and the Scottish Men's Sheds Association have also been involved in the overall consultation for this project.

Paul Manning

Executive Director (Finance and Corporate Resources)

3 November 2017

Link(s) to Council Values/Objectives

- ◆ Value: Accountable, effective and efficient
- ◆ Objective: Improve services for older people

Previous References

- ◆ Equal Opportunities Forum – 20 September 2017

List of Background Papers

- ◆ None

Contact for Further Information

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

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Report

13

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **2016/2017 Year End Insured Risks Report**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ highlight trends on an annual basis for insurance claims against the Council

2. Recommendation(s)

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

- (1) that the outcome of the insurance programme review be noted;
- (2) that the Insured Risks Report for year ended 31 March 2017 and positive claims trends be noted; and
- (3) that planned actions to mitigate insurance hotspots be noted.

3. Background

- 3.1. The Council has in place insurance policies for employers' liability, public liability, motor, property and other miscellaneous risks.
- 3.2. The Council's employers' liability policy covers employee injury, disease and death, where the Council is deemed to be negligent.
- 3.3. The public liability policy covers the Council's legal liability to pay claims for death, injury and disease to third parties, as well as third party property damage, where the Council is found to be responsible for such losses.
- 3.4. Motor insurance provides comprehensive cover for all Council vehicles and injuries resulting from motor incidents.
- 3.5. The property insurance policy covers damage/loss to Council buildings and assets.

4. Insurance Programme Review

- 4.1. A full review of the Council's insurance programme was undertaken prior to the renewal of insurance policies on 1 April 2017. The aim of the review was to ensure the optimum balance between self-insurance and purchased insurance cover and also where possible to reduce the total cost of loss to the Council. The total cost of loss includes insurance premiums, fees for such other contracted insurance services and the cost of self-insured losses. All such costs are met from the Council's Self Insurance Fund.

- 4.2. The main change to the insurance programme was that the level of purchased insurance cover was reduced and the level of self-insured risk increased. The amendments to the programme were made in a calculated risk based manner, using historic claims data as an indication of likely future losses. Calculations demonstrate that the changes to the programme are likely to generate savings in the overall cost of risk going forward.
- 4.3. Uninsured excess levels for the Council's main policies, from 1 April 2017, are:-
- ◆ Motor - £0.100m
 - ◆ Employers' liability and public liability - £0.250m
 - ◆ Property - £0.100m (apart from losses for storm damage, flood and escape of water, which have a £0.500m excess)
- 4.4. It is important that all losses are minimised in order to maintain current levels of premiums and to protect insurance fund reserves.

5. Overview and Analysis of Data

- 5.1. Claims which fall under the main policies are handled by the Council's Risk Management section and external claims handlers, Gallagher Bassett. The number and cost of these claims form the basis of this report and compares like years.
- 5.2. Claims will continue to be intimated beyond the financial year end, with numbers increasing by approximately 20 per cent on average. Up to date annual comparisons for the last five years are included at Appendix One. The comparisons show, on the whole, a positive downward trend in the number and cost of claims.
- 5.3. In addition, to allow comparison of the position as at the year-end for the last two years, Appendix Two compares the claim numbers and costs for incidents reported in 2015/2016 as at 31 March 2016 against incidents reported in 2016/2017, as at 31 March 2017. In effect, this compares the equivalent position and removes the impact of late claims notification for these years.

6. Insurance – Total Losses Reported as at 31 March Each Year

- 6.1. Based on the comparisons in Appendix Two, the overall number of claims received to date for incidents occurring during 2016/2017 is 1,001. This is a reduction of 256 claims (20 per cent) on the numbers reported last year for 2015/2016. The numbers are below the average for the last five years (1,261).
- 6.2. The total estimated cost of claims for 2016/2017 is £1.662m. At the same time last year estimated claims costs for 2015/2016 was £2.374m. This is a reduction of £0.712m (30 per cent).
- 6.3. The number and cost of claims has reduced across the four main classes of insurance, employers' liability; public liability; motor and property. This is considered to be a positive position.

7. Claim Highlights

- 7.1. A summary of positive risk management activity and improvements in motor and property claims statistics is noted below.
- 7.2. Following a spate of vehicle thefts in 2015/2016, when six vehicles were stolen with a total value of £0.062m, security guidance was issued to Resources and work is ongoing to improve depot security. No vehicle thefts took place during 2016/2017.

- 7.3. There has been an improvement on the number of “at fault” motor incidents from last year, with 49 fewer claims. The number of “at fault” incidents per vehicle for 2016/2017 is 0.11. This is a 15 per cent improvement on the average for the previous three years, at 0.13 accidents per vehicle. The points system for ‘At Fault’ incidents operated through the Occupational Road Risk Policy, identifies drivers who may benefit support and guidance. Where required assessments and training is provided for these drivers.
- 7.4. Further initiatives to mitigate occupational road risk are being progressed via the Drivers Safety Group. Proposals include an updated road risk guidance, training and fact finding/incident investigation.
- 7.5. The number of property insurance claims (277) intimated for 2016/2017 is down by 23 from the previous year. The value of claims intimated during 2015/2016 was £0.719m, compared to £0.277m for 2016/2017. This represents a 61 per cent reduction in costs and is the lowest value of claims intimated in the last five years.
- 7.6. An improvement in Council house fires claims is the main reason for this improvement. Council house fires have reduced from 38, with an estimated total cost of £0.556m in 2015/2016 to 24, with an estimated cost of £0.129m for 2016/2017.
- 7.7. A number of actions have now been implemented and are ongoing to mitigate the fire risk in Council housing stock. These include:-
 - ◆ mapping of incidents and causes
 - ◆ a targeted programme to install door entry systems
 - ◆ notices have been installed in common closes to encourage residents to keep common areas clear of rubbish/combustibles and to secure close doors (full details noted in Table One below)
 - ◆ house fire procedures and guidance is being developed
 - ◆ standard specification agreed for bins stores within multi-occupancy housing properties

8. Risk Management Fund

- 8.1. A central fund is held by Risk Management to assist Resources in funding for specific risk management initiatives. A bidding process is in place for the limited funds. All bids are considered on their individual merits against set criteria.
- 8.2. Examples of successful bids over the last 12 months, and the resultant positive effects of these measures are detailed in Table One below.

Table One– Successful risk management fund bids

Initiative implemented	Details/Positive effect
Roads inspector training	<p>Failure to defend roads/footway defect claims can be due to the inadequate information in the inspection reports. To mitigate this, inspectors obtained a nationally recognised inspection qualification.</p> <p>The 11 officers who completed the course have been added to the National Register of Approved Inspectors.</p> <p>This will assist officers in identifying the required action to address defects, improve the quality of reports, and will assist in the defence of public liability claims leading to reduced financial loss.</p>
Langlands Grounds Depot – Installation of CCTV	<p>Following a break-in and theft of a motor vehicle, it was recognised that an area used to store vehicles, plant and equipment was exposed and that the depot would benefit from improved security.</p> <p>Following the installation of a remotely monitored CCTV system, no further break-ins or losses have been reported.</p>
Chatelherault/ Dollan Aqua Centre – Fire safety improvements	<p>During the course of cyclical property insurance surveys, two properties were identified as using deep fat fryers on a regular basis.</p> <p>The insurers placed a requirement on the Council to install emergency electrical isolation buttons within the kitchen areas and recommended the installation of fire suppression systems.</p> <p>The enhanced protection will mitigate the fire risk and reduce likelihood of prolonged closures, loss of revenue and increased costs of working.</p>
Fire safety posters	<p>Following a review by the Council's insurer into fires in housing stock, a recommendation was made to improve communication with tenants in respect of communal fires.</p> <p>A notice was developed, in conjunction with Scottish Fire and Rescue Service (SFRS) and Police Scotland, which highlights the dangers of fire and provides details of relevant Council services.</p> <p>The notice also provides information on how to arrange a home fire safety visit from SFRS, reminds tenants not to store furniture and other combustible materials in communal areas and to ensure front/rear doors are secured. This will reduce the fire risk.</p>

- 8.3. Resources are encouraged to implement spend to save initiatives where potential savings are likely to outweigh initial outlay costs. Resource Risk Sponsors are able to provide advice on how to submit bids for assistance with future risk initiatives.

9. Insurance Hotspots

- 9.1. A fresh review of all claims that were intimated to the Council for incidents that occurred during the period 1 April 2014 to 31 December 2016 was undertaken by the Risk Management section. The review identified claims trends for this period and highlighted new emerging areas of risk.
- 9.2. Table Two below provides headline detail of the claim causes and potential problem areas that were identified as hotspots for each class of insurance for all Resources:

Table Two – Insurance hotspots

	Education Resources	Social Work Resources	Housing and Technical Resources	Community and Enterprise Resources
Public Liability	N/A	N/A	<ul style="list-style-type: none"> Slips, trips and falls Damage by operatives during works 	N/A
Employers' Liability	<ul style="list-style-type: none"> Falls from height – standing on tables 	<ul style="list-style-type: none"> Slip, trip, and falls (winter weather) 	<ul style="list-style-type: none"> Incidents involving scaffolding 	N/A
Motor	<ul style="list-style-type: none"> Driver at fault incidents (minibuses) 	<ul style="list-style-type: none"> Reversing incidents Driver at fault incidents (collisions) Damage to vehicles whilst parked/ unknown damage 	<ul style="list-style-type: none"> Reversing incidents Incidents within Business Units 	<ul style="list-style-type: none"> Reversing incidents
Property	<ul style="list-style-type: none"> Water damage Break in and theft Defective/ dangerous playground equipment/ trim trails 	<ul style="list-style-type: none"> Theft/loss of mobile phones 	<ul style="list-style-type: none"> Fires – housing stock 	<ul style="list-style-type: none"> Theft/Loss of plant/ equipment from sites/depots

- 9.3. Forty three actions to mitigate these hotspot areas have been agreed with Resource Risk Sponsors. Completion of these actions will be monitored on a quarterly basis via the Corporate Risk Sponsors Group. The agreed actions are detailed at Appendix Three.
- 9.4. Progress in implementing actions will be reported to the Committee within future Insured Risks Reports.

10. Asbestos Related Disease Claims

- 10.1. There are currently 13 asbestos related employers' liability claims outstanding for employees who were employed at one of the Council's predecessor authorities.

- 10.2. Three new employers' liability claims were intimated during 2016/2017 in respect of alleged asbestos exposure. Where the insurers are known, the claims have been passed onto them to handle. Otherwise, claim settlements and costs will be met from the Council's Self Insurance Fund.

11. Employee Implications

- 11.1. Time and effort will continue to be required by Resource personnel to implement initiatives to mitigate insurance hotspots.

12. Financial Implications

- 12.1. Claims received to date, for incidents which occurred during 2016/2017 are estimated to cost £1.662m. It is reasonable to expect this value to increase due to incidents that have taken place but claims have not yet been received.
- 12.2. All claims costs and estimates for 2016/2017 are currently within uninsured excess limits. Therefore, based on claims intimated to date for incidents which occurred during 2016/2017, it is forecast that the current estimated cost of claims at £1.662m will require to be met from the Council's self-insurance fund.
- 12.3. During 2016/2017, a total of £2.196m was paid out by the Council on all claims, irrespective of their incident date. For claims which occurred between 1 April 2016 and 31 March 2017, £0.405m was paid out by the Council. These costs include claims payments and other associated costs.
- 12.4. The total cost of loss for 2016/2017 was £3.6m. This covers claims costs, insurance premiums, and other costs for contracted insurance services. For 2015/2016 the total cost of loss was £4.2m.
- 12.5. The figures noted above exclude costs associated with the 13 outstanding asbestos related disease claims mentioned in section 10. Any successful claims where insurance cover does not exist will be met from the Council's self-insurance fund.
- 12.6. The insurance programme review detailed at section four of the report, resulted in an overall saving of £0.257m in premiums and fees for 2017/2018. It should be noted, however, that the increased levels of uninsured excesses on the Council's insurance policies means that there is likely to be an increase in the level of self-insured payments each year.
- 12.7. As at 31 March 2017, the balance in the insurance fund was £3.333m, with current contributions from Council Resources at £2.672m per annum.
- 12.8. The balance in the insurance fund will require to be monitored to ensure adequate funds are available to meet known liabilities.
- ## **13. Other Implications**
- 13.1. The cost of insurance claims and premiums is linked to the Council's top risk 'Reduction in external funding and fees/income received by the Council, as well as increased financial pressures/demand for services; results in savings difficulties'.
- 13.2. Failure to adequately manage insurance hotspots is likely to lead to increased claims numbers, self-insurance costs and insurance premiums. This risk is mitigated through the Insurance Hotspots Action Plan and other risk management initiatives implemented by Resources or through the risk management bidding process.

13.3. There are no implications for sustainability in terms of the information contained in this report.

14. Equality Impact Assessment and Consultation Arrangements

14.1. There is no requirement to carry out an impact assessment in terms of the proposals contained within this report.

14.2. Consultation has taken place with Resource Risk Sponsors.

Paul Manning

Executive Director (Finance and Corporate Resources)

16 October 2017

Link(s) to Council Values/Objectives

- ◆ Values: Accountable Effective and Efficient

Previous References

- ◆ Finance and Corporate Resources Committee – 2015/2016 Year End Insured Risks Report – 23 November 2016

List of Background Papers

- ◆ None

Contact for Further Information

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

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Appendix One

Full year claims numbers and values by Resource as at 31 March 2017

All claim types

Number of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	791	754	691	758	453
Education	49	37	42	42	27
Finance and Corporate	1	1	1	3	5
Housing and Technical	674	699	610	477	436
Social Work	87	97	105	75	80
Total	1,602	1,588	1,449	1,355	1,001
Reported at individual year end	1,356	1,449	1,241	1,257	1,001

Cost of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	£984,098	£1,343,978	£909,131	£818,623	£779,968
Education	£536,863	£95,595	£60,008	£109,390	£158,444
Finance and Corporate	£0.00	£0.00	£101	£1,933	£16,766
Housing and Technical	£758,680	£1,260,140	£1,024,466	£964,308	£566,577
Social Work	£127,844	£214,710	£127,841	£99,782	£140,272
Total	£2,407,485	£2,914,423	£2,121,547	£1,994,036	£1,662,027
Reported at individual year end	£2,041,185	£2,795,303	£2,344,876	£2,374,025	£1,662,027

Public Liability Claims

Number of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	461	452	389	420	198
Education	16	8	15	13	7
Finance and Corporate	0	0	1	0	0
Housing and Technical	425	469	373	272	204
Social Work	12	8	7	5	4
Total	914	937	785	710	413

Cost of Claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	£336,067	£912,827	£378,865	£353,337	£478,502
Education	£53,26	£35,745	£37,891	£50,437	£39,027
Finance and Corporate	£0	£0	£101	£0	£0
Housing and Technical	£457,489	£441,014	£249,243	£109,461	£218,929
Social Work	£10,377	£123,990	£2,769	£15,200	£266
Total	£857,199	£1,513,576	£668,869	£528,435	£736,724

Motor

Number of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	268	244	257	283	224
Education	11	13	9	18	9
Finance and Corporate	1	1	0	3	4
Housing and Technical	186	167	184	149	192
Social Work	64	71	86	66	71
Total	530	496	536	519	500

Cost of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	£377,178	£201,944	£316,213	£275,676	£235,256
Education	£2,340	£13,601	£2,344	£19,354	£12,001
Finance and Corporate	£0	£0	£0	£1,993	£6,266
Housing and Technical	£143,119	£94,480	£75,701	£172,499	£185,524
Social Work	£70,968	£36,347	£72,645	£52,178	£111,006
Total	£593,605	£346,372	£466,903	£521,700	£550,052

Employers Liability Claims

Number of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	15	13	20	17	5
Education	7	3	3	2	2
Finance and Corporate	0	0	0	0	0
Housing and Technical	3	1	9	3	1
Social Work	5	8	5	2	3
Total	30	25	37	24	11

Cost of Claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	£144,968	£109,382	£164,635	£131,961	£42,977
Education	£448,185	£15,541	£16,932	£11,171	£28,984
Finance and Corporate	£0.00	£0.00	£0.00	£0.00	£0.00
Housing and Technical	£4,772	£4,709	£77,959	£60,442	£8,439
Social Work	£38,788	£44,883	£50,029	£19,622	£17,500
Total	£636,713	£174,515	£309,555	£223,196	£97,900

Property

Number of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	47	45	25	38	26
Education	15	13	15	9	9
Finance and Corporate	0	0	0	0	1
Housing and Technical	60	62	44	53	39
Social Work	6	10	7	2	2
Total	128	130	91	102	77

Cost of claims

	2012/13	2013/14	2014/15	2015/16	2016/17
Community and Enterprise	£125,885	£119,825	£49,429	£57,649	£23,233
Education	£33,074	£30,709	£2,841	£28,428	£78,432
Finance and Corporate	£0	£0	£0	£0	£10,500
Housing and Technical	£157,600	£719,937	£621,564	£621,906	£153,685
Social Work	£7,711	£490	£2,398	£12,782	£11,500
Total	£324,270	£870,961	£676,232	£720,765	£277,350

Appendix Two

Comparison of claims costs and numbers for claims occurring during the last two years as at their respective year ends

All claim types

Number of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	703	453	-250	-36%
Education	38	27	-11	-29%
Finance and Corporate	3	5	+2	+67%
Housing and Technical	442	436	-6	-1%
Social Work	71	80	+9	+13%
Total	1,257	1,001	-256	-20%

Cost of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	£1,010,354	£779,968	-£230,386	-23%
Education	£122,992	£158,444	+£35,452	+29%
Finance and Corporate	£1,993	£16,766	+£14,773	+741%
Housing and Technical	£1,139,062	£566,577	-£572,485	-50%
Social Work	£99,624	£140,272	+£40,648	+41%
Total	£2,374,025	£1,662,027	-£711,998	-30%

Public Liability Claims

Number of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	375	198	-177	-47%
Education	11	7	-4	-36%
Finance and Corporate	0	0	0	0%
Housing and Technical	242	204	-38	-16%
Social Work	3	4	+1	+33%
Total	631	413	218	-35%

Cost of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	£499,649	£478,502	£21,147	-4%
Education	£43,218	£39,027	£4,191	-10%
Finance and Corporate	£0	£0	£0	0%
Housing and Technical	£275,059	£218,929	£56,130	-20%
Social Work	£700	£266	£434	-62%
Total	£818,626	£736,724	£81,902	10%

Motor Claims

Number of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	279	224	-55	-20%
Education	18	9	-9	-50%
Finance and Corporate	3	4	+1	+33%
Housing and Technical	145	192	+47	+32%
Social Work	64	71	+7	+11%
Total	509	500	-9	-2%

Cost of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	£386,223	£235,256	-£150,967	-39%
Education	£33,120	£12,001	-£21,119	-64%
Finance and Corporate	£1,993	£6,266	+£4,273	+214%
Housing and Technical	£190,294	£185,524	-£4,770	-3%
Social Work	£75,590	£111,006	+£35,416	+47%
Total	£687,220	£550,052	-£137,168	-20%

Employers Liability Claims

Number of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	11	5	-6	-55%
Education	2	2	0	0%
Finance and Corporate	0	0	0	0%
Housing and Technical	2	1	1	-50%
Social Work	2	3	+1	+50%
Total	17	11	-5	-29%

Cost of claims

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	£73,245	£42,977	-£30,268	-41%
Education	£15,596	£28,984	+£13,388	+86%
Finance and Corporate	£0	£0	£0	0%
Housing and Technical	£50,242	£8,439	-£41,803	-83%
Social Work	£10,552	£17,500	+£6,948	+66%
Total	£149,635	£97,900	-£24,493	-16%

Property

Claims Numbers

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	38	26	-12	-32%
Education	7	9	+2	+29%
Finance and Corporate	0	1	+1	+100%
Housing and Technical	53	39	-14	-26%
Social Work	2	2	0	0%
Total	100	77	-23	-23%

Claims Costs

	2015/16 as at 31 March 2016	2016/17 as at 31 March 2017	Difference	Difference Percentage
Community and Enterprise	£51,237	£23,233	-£28,004	-55%
Education	£31,058	£78,432	+£47,374	+153%
Finance and Corporate	£0	£10,500	+£10,500	+100%
Housing and Technical	£623,467	£153,685	-£469,782	-75%
Social Work	£12,782	£11,500	-£1,282	-10%
Total	£718,544	£277,350	-£441,194	-61%

Appendix Three
Insurance Hotspots – Action Plans

Resource	Community and Enterprise Resources	
Class of risk	Hotspot identified	Agreed remedial action
Employers' Liability	General	<ol style="list-style-type: none"> 1. Ensure robust accident investigations are carried out and lessons learned shared as appropriate. 2. Continue to monitor closely and report outcome of detailed claims analysis to Community and Enterprise SMT.
Motor	Reversing incidents	<ol style="list-style-type: none"> 1. Ensure all new drivers attend driving assessment prior to driving SLC vehicles (All Services). 2. Ensure use of reversing assistants (Waste).
Property	Theft/Loss of plant/equipment from sites/depots	<ol style="list-style-type: none"> 1. Complete upgrade of security at Strathaven Grounds Depot. 2. Liaise with Security Manager to review security at relevant Grounds premises and identify where security upgrades are required. Implementing recommendations, where reasonably practicable. 3. Tool Box Talk to be rolled out to all Roads Contracting employees reminding them of existing procedures for security of equipment on site.

Resource	Education Resources	
Class of risk	Hotspot identified	Agreed remedial action
Employers' liability	Falls from height – standing on tables	1. Safe Systems of Work to be re-issued to all staff in to reinforce message.
Public liability	Repeat incidents within Halfmerke Primary School.	1. To be further investigated with School and School Support Co-Ordinator to ensure defect rectified.
Motor	Main area of motor incidents involve Youth Learning Services (YLS)	1. Undertake review of all incidents involving Youth Learning Service. 2. Discussions to be undertaken with drivers to establish the root cause of incidents and implementation of measures to prevent reoccurrence.
Property/Public liability	Defects within schools – playgrounds, external furniture, equipment etc.	1. Reinforce that Janitorial staff complete on a weekly basis the property checklist and copies held within Schools.
Property	Trim trails – defective and dangerous play equipment	1. Undertake audit of equipment held within School playgrounds; and the current inspection/maintenance arrangements that are in place. Defects noted to be repaired timeously.
Property	Damage to Council property caused by third parties	1. Procedural note to be prepared and issued to ensure that recoveries are pursued from third parties who cause damage to Council property.
Property	Break-in at St Ninian's Primary School (high value IT loss)	1. Security Audit of School to be undertaken by Council's Security Manager and remedial action required implemented.
Property	Water damage – expansion joints/valves	1. Situation to be investigated further through Schools Modernisation to establish if there has been a history of problems with expansion joints/valves leaking; and establish what remedial action has been taken to resolve issues.

Resource	Housing and Technical Resources	
Class of risk	Hotspot identified	Agreed remedial action
Employers' liability	Slip, trips and falls (winter weather)	<ol style="list-style-type: none"> 1. Ensure severe weather guidance rolled out following completion of review by Health and Safety. 2. Ensure risk assessments and winter procedures are up to date, and issued to appropriate employees.
Employers' liability	Use of PPE – industrial deafness	<ol style="list-style-type: none"> 1. Use of PPE at all times by all employees to be reinforced via tool box talks.
Employers' liability	Scaffolding incidents	<ol style="list-style-type: none"> 1. Ensure that handover certificates received from contractors, reviewed and details recorded. 2. Qualified Council scaffolders to ensure structures integrity.
Public liability	Slips, trips and falls – defects	<ol style="list-style-type: none"> 1. Housing Services will review the checklists for scheduled estate inspections. Good practice will be established through liaison with Community and Enterprise Resources and the Council's insurers.
Public liability	Damage by operatives during works	<ol style="list-style-type: none"> 1. Tool box talk to be developed and delivered to tradesmen.
Motor	Reversing incidents	<ol style="list-style-type: none"> 1. Undertake review of reversing incidents to establish those vehicles fitted with reversing sensors. If fitted with sensors, establish cause of incidents and take appropriate action to prevent reoccurrence.
Motor	Incidents within Business Units	<ol style="list-style-type: none"> 1. Review of traffic management plan for Hamilton Business Unit to establish if changes are possible to mitigate risks and/or reduce traffic flow. 2. Currently reviewing options in conjunction with Community and Enterprise Resources for disposal of waste materials in the local areas rather than transport back to Business units – this would reduce transportation costs and traffic flow within the Business Units.
Property	House fires	<ol style="list-style-type: none"> 1. Procedures and Guidance on House fires to be developed and rolled out. 2. Posters highlighting fire safety and the need to keep areas clear developed and placed in communal areas of properties in high risk areas.

Resource	Social Work Resources	
Class of risk	Hotspot identified	Agreed remedial action
Employers' liability	Slip, trips and falls (winter weather)	<ol style="list-style-type: none"> 1. Undertake pilot of appropriate footwear. 2. Subject to evaluation of the pilot, consider provision of footwear to staff. 3. Winter severe weather guidance to be updated to cover actions to minimise risk. 4. Risk assessments to be updated to include section on cold weather hazards such as ice, snow and frost; and slips, trips and falls in cold weather. 5. Briefing or Learn-on-Line Module to be developed on dangers that staff could encounter when delivering services during winter weather. 6. Consider trial of salt/grit being made available to staff at identified locations where care is of a critical nature. 7. Consider communication with service users regarding the difficulties the Council may face in delivering services during periods of severe weather. 8. Consider issue of letter to service users to outline what assistance they, their family, neighbours or friends can provide in severe weather to allow the Council to continue delivery of services.
Motor	Reversing incidents	<ol style="list-style-type: none"> 1. Specification of new vehicles to be reviewed, and consideration made to include locators and reversing sensors. 2. Guidance on safe reversing to be provided to drivers.
Motor	Use of mobile phones/reading files whilst driving	<ol style="list-style-type: none"> 1. Staff briefing to be issued to reinforce legislation changes (fines/licence endorsements).
Motor	Own fault collisions (minibuses)	<ol style="list-style-type: none"> 1. Minibus Driver Awareness Scheme (MiDAS) training – records of drivers to be reviewed. Refresher training to be undertaken where required.
Motor	Damage to vehicles whilst parked/unknown damage	<ol style="list-style-type: none"> 1. Practicalities of additional checks at handovers/end of shifts to be considered.
Motor/Property	Security at Depots	<ol style="list-style-type: none"> 1. Security measures at Auchentibber to be reviewed following vandalism to vehicles and break-in and thefts.
Property	Loss of mobile phones	<ol style="list-style-type: none"> 1. Staff briefing to be issued.

Report

14

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

Subject: **2017 Information and Communication Technology (ICT) Asset Management Plan**

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise Committee on the outcomes of the 2017 Information and Communication Technology (ICT) Asset Management Plan

2. Recommendation(s)

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

(1) that the 2017 update to the ICT Asset Management Plan be noted.

3. Background

3.1. The Executive Committee, at its meeting held on 22 September 2010, approved the implementation of an extended model for Corporate Asset Management from 2011. This included developing Asset Plans across a number of service areas, in line with CiPFA guidance, under an overarching Corporate Asset Management Plan, which demonstrates how each area supports corporate objectives. The service areas are Property, Housing, Roads Infrastructure, Fleet and ICT.

3.2. The Asset Management Plan is the seventh ICT Plan in the extended model and its aims are to:-

- ◆ create an effective ICT asset management process
- ◆ modernise working practices and improve service quality
- ◆ effectively manage and maintain all of the Council's ICT assets

4. Outcomes of the 2017 ICT Asset Management Plan

4.1. The Asset Management Plan outlines the priorities and strategies required to develop and support the ICT asset estate which is in place to support the business objectives of the Council whilst ensuring business continuity. The Plan highlights the 4 corporate themes for ICT priorities and also highlights the key support work planned for the year ahead, ensuring that the Council's ICT assets are fit for purpose.

A major programme of work is planned to continue the upgrade of the Council's data network including the replacement of firewall hardware, voice gateway hardware and network switches which are end of life. The modernisation of the Council's telephony network will see the migration of all telephone services to a newly upgraded Cisco Voice over IP environment with the requisite manufacturer support.

The Council email environment is reaching end of life and will be replaced in 2017/18 with Microsoft Office 365 email. Another Microsoft product, Office 2007, will also reach end of life and a replacement for this will be rolled out to the full Council desktop estate.

New servers will be installed for two of the Council's major business critical applications, Financial Management System (FMS) and Human Resources Management System (HRMS), facilitating a move to supported hardware and latest supported and certified software. In the Caird Data Centre, the main activity will be to refresh the fire prevention system gas cylinders.

Key Facts from the ICT Asset Management Plan are included in Appendix 1.

5. Employee Implications

- 5.1. There are no employee implications contained within this report.

6. Financial Implications

- 6.1. The details of the ICT Asset Management Plan will influence future investment decisions and capital bids, but there are no direct financial implications from the production of the Asset Management Plan.

7. Other Implications

- 7.1. The ICT Asset Management Plan assists the Council in managing its assets, efficiently and effectively and to deliver best value. It also helps manage risk across its asset base and key risks within the assets are identified within risk registers contained within the plans.

- 7.2. There are no significant issues in terms of sustainability.

8. Equality Impact Assessment and Consultation Arrangements

- 8.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.
- 8.2. The statutory consultation authorities have confirmed that the Asset Management Plan is exempt from Strategic Environmental Assessment as its implementation will have minimal effect in relation to the environment.
- 8.3. There was no requirement to undertake any consultation in terms of the information contained in the report.

Paul Manning

Executive Director (Finance and Corporate Resources)

24 October 2017

Link(s) to Council Values/Objectives

- ◆ Raise educational attainment for all
- ◆ Efficient and effective use of resources

Previous References

- ◆ Executive Committee – 7 September 2016

List of Background Papers

- ◆ 2017 Information and Communication Technology (ICT) Asset Management Plan

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: brian.teaz@southlanarkshire.gov.uk

ICT Asset Management Plan Key Facts

ICT Assets:

Asset Type	Quantity
IT Hardware:	
Servers (Physical and Virtual)	357
Servers (Curricular)	211
Storage	6
Tape Library	2
Monitors	5932
PCs	4646
PCs (Curricular)	8990
Laptops	1068
Laptops (Curricular)	553
Port Replicators	443
Portable Devices (Curricular)	5279
Networks and Communications:	
Lines (Exchange)	2523
Lines (Private Circuit)	109
Telephone System - Small	213
Telephone System - ISDX	9
Telephone System - IP	2
Comms Firewall	10
Voice Gateway	21
Comms Wireless (Access Points)	158
Comms Wireless (Security Appliances)	2
Switches - Chassis	14
Switches - Ethernet	400
Routers - Access	30
Routers - Chassis	4
Hand held devices	4212
Data SIMs	927
Data Centres :	
Air conditioning Units	13
Fire Suppression System	3
UPS	3
Generator	1
Video Surveillance Equipment	1
Environmental Monitoring System (NETBO	1
Sprinkler System	1
Leak Detection System	1
Software:	
P1 Applications	171

Report

15

Report to: **Finance and Corporate Resources Committee**
 Date of Meeting: **15 November 2017**
 Report by: **Executive Director (Finance and Corporate Resources)**

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

1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise on early retirements, voluntary severances, re-employment of early retirees and re-deployments during the period 1 April to 30 September 2017

2. Recommendation(s)

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

- (1) that the early retirements, voluntary severances, re-employment of early retirees and redeployment of employees on the Switch 2 register during the period 1 April to 30 September 2017 be noted.

3. Background

3.1. The Council analyses the number of employees being released through early retirement and voluntary severance and all of the associated costs. This forms part of the ongoing monitoring process derived from the Audit Scotland report, "Bye now pay later". This report provides information on the Council's position for the 6 month period 1 April to 30 September 2017.

4. Current Position

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

- 4.1. During the period, 9 employees were granted early retirement on the grounds of efficiency of the service; voluntary redundancy or were released through voluntary severance as shown in the table overleaf.
- 4.2. Voluntary severance is dealt with by way of a discretionary payment that can be granted in situations where an employee is not eligible to retire under the Local Government Pension Scheme regulations due to their age or length of service; is not a member of the Local Government Pension Scheme, or where, in exceptional circumstances, an employee has reached retirement age, and where a severance payment would be more beneficial than the award of Compensatory Added Years.

Resource	No. of employees	One- off costs	Annual Costs	Net Annual Savings*
Finance and Corporate Resources	6	£418,396.01	£21,699.81	£403,006.98
Community and Enterprise/ Housing and Technical Resources**	3	£78,966.92	£3,374.44	£149,877.62
TOTALS	9	£497,362.93	£25,074.25	£552,884.60

*Net annual savings taking account of annual costs. Costs detailed include capitalisation costs.

**In terms of data protection, resources with fewer than 2 employees have been merged.

- 4.3. During the 6 month period, the average age of employees who were granted early retirement was 60 years.

4.4. Trend Analysis

Annual Period	1/4/11-31/3/12	1/4/12-31/3/13	1/4/13 – 31/3/14	1/4/14-31/3/15	1/4/15-31/3/16	1/4/16-31/3/17
No. of Early Retirements/ Voluntary Severances	158	38	48	35	9	2

- 4.5. During the period 1 April to 30 September 2017, 9 employees were granted early retirement or voluntary severance as a result of service specific reviews.

5. Early Retirements – Ill Health

- 5.1. In terms of early retirement on the grounds of ill-health, there are no capitalisation costs to the Council. During the 6 month period from 1 April to 30 September 2017, 25 requests were made for ill health retirement and the following retirements were approved:-

Resource	No. of Early Retirements on ill health grounds
Community and Enterprise	5
Education	6
Housing and Technical/ Finance and Corporate	4
Social Work	7
Total	22

- 5.2. The Local Government Pension Scheme regulations allow for 2 tiers of ill health retirement in situations where the member's ill-health or infirmity of mind or body renders them permanently incapable of discharging efficiently the duties of their current employment. Tier 1 relates to members with no reasonable prospect of obtaining gainful employment before the age of 65. Tier 2 relates to members with a reasonable prospect of obtaining gainful employment before the age of 65.

- 5.3. During the 6 month period, 22 ill health retirements were granted under the provisions of tier 1 and tier 2 of the Local Government Pension Scheme and the Scottish Teachers' Pension Scheme and 3 resulted in no award being granted.

5.4. Trend Analysis

Annual Period	1/4/2012 - 31/3/13	1/4/13 – 31/3/14	1/4/14- 31/3/15	1/4/15- 31/3/16	1/4/16- 31/3/17
No. of ill-health retirements	15	14	14	12	28

- 5.5. During the period 1 April 2016 to 31 March 2017, the number of ill health retirements granted increased by 16 compared to the previous year. This reflects an increase in the number of employees requesting ill health retirement and who meet the criteria.

6. Re-employment of Early Retirees

- 6.1. The re-employment of those who have been granted early retirement is monitored and approved centrally within Personnel Services, Finance and Corporate Resources. During the 6 month period from 1 April to 30 September 2017, no requests for re-employment were made and this represents no change when compared to the previous 6 month period.

7. Switch 2

- 7.1. Switch 2 is monitored and approved centrally within Personnel Services, Finance and Corporate Resources. During the 6 month period, a total of 45 employees and Modern Apprentices were redeployed to suitable alternative posts within the Council as follows:-

Resource	No. of employees	No. of Modern Apprentices	Total
Community and Enterprise	8	0	8
Education	0	0	0
Finance and Corporate	4	6	10
Housing and Technical	7	8	15
Social Work	6	4	10
LVJB	0	2	2
TOTALS	25	20	45

- 7.2. This is a decrease of 2 when compared to the previous 6 month period. Of the 25 employees and 20 Modern Apprentices redeployed within the period, 27 have been placed in permanent roles and the remaining 18 in fixed term roles. In line with the Switch 2 policy, those individuals placed on a fixed term basis will continue to be matched to permanent posts as they become available.

7.3 Trend Analysis

Annual Period	1/4/2012 - 31/3/13	1/4/13 – 31/3/14	1/4/14- 31/3/15	1/4/15- 31/3/16	1/4/16- 31/3/17
No. of Switch 2 matches	71	75	75	39	113

- 7.4 During the period 1 April to 31 March 2017, the number of employees re-deployed increased by 74 compared to the previous year.

8. Flexible Retirement

- 8.1. The approval of those who have been granted flexible retirement is monitored centrally within Personnel Services, Finance and Corporate Resources. During the 6 month period, 100 requests were approved as detailed below with no cost to the Council.
- 8.2. Included in these figures are phased retirement and winding down applications for teaching staff, these have been broken down in the table below. There are two options which are available to Teachers within the SPPA guidelines and are similar to the LGPS flexible retirement scheme.

Resource	No. of Flexible Retirements	No. of Phased Retirements/ Winding Down
Community and Enterprise	14	
Education	10	28
Housing and Technical	25	
Social Work	14	
Finance and Corporate	9	
Total		100

- 8.3. During the 6 month period, the average age of employees granted flexible retirement was 61 years which was the same when compared to the previous 6 month period.
- 8.4. Flexible retirement refusals are monitored centrally within Personnel Services, Finance and Corporate Resources and no requests were declined during this period.

9. Employee Implications

- 9.1. In respect of those employees refused ill-health retirement, incapability dismissals may have been considered.

10. Financial Implications

- 10.1. The costs incurred in relation to the Early Retirement/Voluntary Severance granted in the period 1 April to 30 September 2017 were provided for in either 2016/2017 or in the reported outturn position for 2017/2018.

11. Other Implications

- 11.1. The early release of employees across the Council must be properly managed to minimise the risk of adversely impacting service levels through the loss of vital skills and experience. In accordance with agreed policies, the redeployment of employees through the Switch 2 process continues to be considered as a matter of priority.
- 11.2. There are no sustainability implications as a result of 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. All releases were in line with agreed policies and procedures; therefore no further consultation was required.

Paul Manning
Executive Director (Finance and Corporate Resources)

16 October 2017

Link(s) to Council Values/Objectives

- ◆ Excellent Employer
- ◆ Accountable, Effective and Efficient

Previous References

- ◆ Finance and Corporate Resources Committee - 6 September 2017

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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