

# Public Document Pack



## SCOTTISH BORDERS COUNCIL THURSDAY, 2ND APRIL, 2015

A MEETING of the SCOTTISH BORDERS COUNCIL will be held in the COUNCIL CHAMBER, COUNCIL HEADQUARTERS, NEWTOWN ST. BOSWELLS on THURSDAY, 2ND APRIL, 2015 at 10.00 AM

J. J. WILKINSON,  
Clerk to the Council,  
26 March 2015

<b>BUSINESS</b>																																												
1.	<b>Convener's Remarks.</b>																																											
2.	<b>Apologies for Absence.</b>																																											
3.	<b>Order of Business.</b>																																											
4.	<b>Declarations of Interest.</b>																																											
5.	<p><b>Minutes.</b></p> <p>Consider Minutes of Meetings of Scottish Borders Council held on:-</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">12 February 2015</td> <td style="width: 40%; text-align: right;">Pages 1-7</td> </tr> <tr> <td>19 February 2015</td> <td style="text-align: right;">Pages 9-22</td> </tr> </table>	12 February 2015	Pages 1-7	19 February 2015	Pages 9-22	2 mins																																						
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6.	<p><b>Committee Minutes.</b></p> <p><b>Committee Minutes.</b> Consider Minutes of the following Committees:-</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">(a) Health &amp; Social Care Integration Shadow Board</td> <td style="width: 20%;">8 December 2015</td> <td style="width: 40%; text-align: right;">Pages 23-27</td> </tr> <tr> <td>(b) Kelso Common Good Fund</td> <td>4 February 2015</td> <td style="text-align: right;">Pages 29-30</td> </tr> <tr> <td>(c) Jedburgh Common Good Fund</td> <td>4 February 2015</td> <td style="text-align: right;">Pages 31-33</td> </tr> <tr> <td>(d) Cheviot Area Forum</td> <td>4 February 2015</td> <td style="text-align: right;">Pages 35-41</td> </tr> <tr> <td>(e) Police, Fire &amp; Rescue and Safer Communities Board</td> <td>13 February 2015</td> <td style="text-align: right;">Pages 43-50</td> </tr> <tr> <td>(f) Local Review Body</td> <td>16 February 2015</td> <td style="text-align: right;">Pages 51-58</td> </tr> <tr> <td>(g) Hawick Common Good Fund</td> <td>17 February 2015</td> <td style="text-align: right;">Pages 59-63</td> </tr> <tr> <td>(h) Teviot &amp; Liddesdale Area Forum</td> <td>17 February 2015</td> <td style="text-align: right;">Pages 65-68</td> </tr> <tr> <td>(i) Selkirk Common Good Fund</td> <td>18 February 2015</td> <td style="text-align: right;">Pages 69-71</td> </tr> <tr> <td>(j) Galashiels Common Good Fund</td> <td>19 February 2015</td> <td style="text-align: right;">Pages 73-75</td> </tr> <tr> <td>(k) Eildon Area Forum</td> <td>19 February 2015</td> <td style="text-align: right;">Pages 77-81</td> </tr> <tr> <td>(l) Executive (Finance)</td> <td>24 February 2015</td> <td style="text-align: right;">Pages 83-88</td> </tr> <tr> <td>(m) Lauder Common Good Fund</td> <td>24 February 2015</td> <td style="text-align: right;">Pages 89-90</td> </tr> <tr> <td>(n) Scrutiny</td> <td>26 February 2015</td> <td style="text-align: right;">Pages 91-92</td> </tr> </table>	(a) Health & Social Care Integration Shadow Board	8 December 2015	Pages 23-27	(b) Kelso Common Good Fund	4 February 2015	Pages 29-30	(c) Jedburgh Common Good Fund	4 February 2015	Pages 31-33	(d) Cheviot Area Forum	4 February 2015	Pages 35-41	(e) Police, Fire & Rescue and Safer Communities Board	13 February 2015	Pages 43-50	(f) Local Review Body	16 February 2015	Pages 51-58	(g) Hawick Common Good Fund	17 February 2015	Pages 59-63	(h) Teviot & Liddesdale Area Forum	17 February 2015	Pages 65-68	(i) Selkirk Common Good Fund	18 February 2015	Pages 69-71	(j) Galashiels Common Good Fund	19 February 2015	Pages 73-75	(k) Eildon Area Forum	19 February 2015	Pages 77-81	(l) Executive (Finance)	24 February 2015	Pages 83-88	(m) Lauder Common Good Fund	24 February 2015	Pages 89-90	(n) Scrutiny	26 February 2015	Pages 91-92	5 mins
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	<p>(o) Planning &amp; Building Standards 2 March 2015 Pages 93-101</p> <p>(p) Peebles Common Good Fund 4 March 2015 Pages 103-107</p> <p>(q) Pension Fund 5 March 2015 Pages 109-111</p> <p>(r) Community Planning Strategic Board 5 March 2015 Pages 113-119</p> <p>(s) Duns Common Good Fund 5 March 2015 Pages 121-122</p> <p>(t) Berwickshire Area Forum 5 March 2015 Pages 123-129</p> <p>(u) Executive (Performance) 10 March 2015 Pages 131-135</p> <p>(v) Selkirk Common Good Fund 10 March 2015 Page 137</p> <p>(w) Local Review Body 16 March 2015 Pages 139-144</p> <p>(x) Teviot &amp; Liddesdale Area Forum 17 March 2015 Pages 145-148</p>	
7.	<b>Open Questions.</b>	15 mins
8.	<p><b>Local Development Plan: Development Plan Scheme No. 7.</b> (Pages 1 - 10)</p> <p>Consider report by Service Director Regulatory Services seeking approval of the annual update of the Development Plan Scheme. (Copy attached.)</p>	5 mins
9.	<p><b>Borders Railway.</b></p> <p>Consider presentation and reports by Corporate Transformation &amp; Services Director as follows:-</p>	75 mins
	(a) <b>Presentation by Abellio, the new Scotrail Franchise holder as from 1 April;</b>	
	(b) <b>the Borders Railway Blueprint - Delivery of Action Plan;</b>	(Pages 11 - 48)
	(c) <b>the Scottish Borders Work Plan;</b>	(Pages 49 - 60)
	(d) <b>the Borders Railway Celebration Fund; and</b>	(Pages 61 - 72)
	(e) <b>the Galashiels Transport Interchange.</b>	(Pages 73 - 82)
	(Copies attached.)	
10.	<p><b>Integration of Health and Social Care.</b></p> <p>Consider report by Depute Chief Executive People on :-</p>	15 mins
	(a) <b>Draft Strategic Plan (Copy attached); and</b>	(Pages 83 - 102)
	(b) <b>Final Draft of the Scheme of Integration</b>	(Pages 103 - 170)
	(Copy attached.)	
11.	<p><b>Local Government Pension Scheme Reform Governance.</b> (Pages 171 - 188)</p> <p>Consider report by Chief Financial Officer on the amended governance arrangements for the Scottish Borders Council Pension Fund Committee. (Copy attached.)</p>	10 mins
12.	<p><b>Equality Mainstreaming - Update Report 2013-2015.</b> (Pages 189 - 260)</p> <p>Consider report by Service Director Strategy &amp; Policy seeking approval of the Equality Mainstreaming Update Report 2013-2015. (Copy attached.)</p>	10 mins

13.	<p><b>Fifth Review of Local Government Electoral Arrangements - Proposals for Wards.</b> (Pages 261 - 264)</p> <p>Consider report by Chief Executive on the Local Government Boundary Commission for Scotland's proposals for wards in the Scottish Borders Council area and the process for preparing a response by Council. (Copy attached.)</p>	
14.	<p><b>Waste Services.</b> (Pages 265 - 280)</p> <p>Consider report by Service Director Neighbourhood Services on the action which have been taken to mitigate some of the issues caused by the withdrawal of the garden waste service. (Copy attached)</p>	10 mins
15.	<p><b>Public Health Review: NHS Borders and Scottish Borders Council Engagement Process Response.</b> (Pages 281 - 294)</p> <p>Consider report by Joint Director of Public Health. (Copy attached.)</p>	
16.	<p><b>Any Other Items Previously Circulated.</b></p>	
	<p><b>Any Other Items which the Convener Decides are Urgent.</b></p>	
	<p><b>Items Likely To Be Taken In Private.</b></p> <p>Before proceeding with the private business, the following motion should be approved:-</p> <p>"That under Section 50A(4) of the Local Government (Scotland) Act 1973 the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the relevant paragraphs of Part 1 of Schedule 7A to the aforementioned Act."</p>	
17.	<p><b>Minute.</b></p> <p>Consider private Section of Scottish Borders Council Meeting held on:-</p> <p>19 February 2015 <span style="float: right;">Pages 149-150</span></p>	1 mins
18.	<p><b>Committee Minutes.</b></p> <p>Consider private sections of the Minutes of the following Committees:-</p> <p>(a) Jedburgh Common Good Fund 4 February 2015 Page 159  (b) Selkirk Common Good Fund 18 February 2015 Page 153  (c) Lauder Common Good Fund 24 February 2015 Page 155  (d) Pension Fund 5 March 2015 Pages 157-159</p>	5 mins
19.	<p><b>Galashiels Transport Interchange.</b> (Pages 295 - 304)</p> <p>Consider private appendix.</p>	5 mins
20.	<p><b>ICT Review.</b> (Pages 305 - 374)</p> <p>Consider report by Corporate Transformation &amp; Services Director.</p>	10 mins

## **NOTES**

- 1. Timings given above are only indicative and not intended to inhibit Members' discussions.**
  
- 2. Members are reminded that, if they have a pecuniary or non-pecuniary interest in any item of business coming before the meeting, that interest should be declared prior to commencement of discussion on that item. Such declaration will be recorded in the Minute of the meeting.**

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Please direct any enquiries to Louise McGeoch Tel 01835 825005  
email [lmcgeoch@scotborders.gov.uk](mailto:lmcgeoch@scotborders.gov.uk)

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## **LOCAL DEVELOPMENT PLAN: DEVELOPMENT PLAN SCHEME No.7**

**Report by Service Director Regulatory Services**

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### **SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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#### **1 PURPOSE AND SUMMARY**

- 1.1 This report proposes that Council approves the annual update of the Development Plan Scheme.**
- 1.2 Publishing a Development Plan Scheme at least annually is a statutory duty and it must include a participation statement setting out how, when and with whom the Council will consult on the various Local Development Plan stages.
- 1.3 The proposed Development Plan Scheme No 7 (Appendix 1) has been prepared to provide information on the development plan process. It sets out the latest position on the Council's development plans.
- 1.4 In summary, this report brings forward the annual update of the Development Plan Scheme (Development Plan Scheme No7) for Council approval.

#### **2 RECOMMENDATIONS**

##### **2.1 I recommend that Council agrees:**

- (a) To approve the proposed Development Plan Scheme No7, as detailed in Appendix1, for publication, deposit and copying to Scottish Ministers;**
- (b) That the Development Plan Scheme be reviewed and published at least annually, and;**
- (c) To authorise the Service Director, Regulatory Services to make any necessary minor editing and design changes to the Development Plan Scheme prior to publishing it.**

### **3 BACKGROUND**

- 3.1 The Planning etc. (Scotland) Act 2006 requires a Development Plan Scheme (DPS) to be prepared at least annually for the Local Development Plan (LDP). Its purpose is to set out the Council's programme for preparing, reviewing and consulting on its LDP.
- 3.2 After adopting a DPS, the Act requires the Authority to publish it (including electronically), send two copies to Scottish Ministers, and place copies in all public libraries. There is no requirement to consult on the content of development plan schemes and no provision for Ministers to approve them.
- 3.3 The Development Planning Regulations (2008) also require the DPS to contain a timetable.
- 3.4 The DPS must include a Participation Statement (PS) which should indicate when, how and with whom consultation on the LDP is likely to take place. It should also set out the authority's proposals for public involvement in plan-making.
- 3.5 The revised, Scottish Planning Policy (SPP), published June 2014, states that the Planning Service should be plan-led with plans being up-to-date and relevant.
- 3.6 The SPP states that throughout the planning system "*... opportunities are available for everyone to engage in the development decisions which affect them. Such engagement between stakeholders should be early, meaningful and proportionate*".
- 3.7 Best practice in consultation and engagement is set out in Planning Advice Note (PAN) 3/2010 Community Engagement. The aim is to make plan-making more open, inclusive and accessible. People are expected to be engaged early in the LDP process and PAN 3/2010 identifies a number of actions as the means of meeting this requirement.
- 3.8 The formal requirements aside, there is also an expectation in the wider stakeholder community that the PS should contain the activities for consulting stakeholders, tailored to local circumstances and to the issues being dealt with in the plan.

### **4 PROPOSED DEVELOPMENT PLAN SCHEME**

- 4.1 The proposed Development Plan Scheme No 7 (Appendix 1) has been prepared to provide information on the development plan process.
- 4.2 It sets out the latest position on the Council's development plans. The preparation of the Local Development Plan commenced with a pre-Main Issues Report engagement exercise in October 2010. The Main Issues Report has also been produced and was out for public consultation between on 2 April 2012 to 25 June 2012. The LDP Proposed Plan was placed on deposit between 6 December 2013 and 3 March 2014; and is now undergoing Examination by reporters of the Directorate of Planning and Environmental Appeals (DPEA). The Examination commenced 26 November 2014 and the target date for its completion is 23 July 2015.

- 4.3 The Strategic Development Plan (SDP) produced by SESplan (The Strategic Development Planning Authority for Edinburgh and South East Scotland) was formally approved in June 2013. The approval of that Plan included the requirement to produce Supplementary Guidance on Housing Land, and that Supplementary Guidance was adopted on 28 October 2014. SESplan are now in the process of producing SDP2, and the Main Issues Report is currently being prepared with SESplan Committee agreement expected late Spring.
- 4.4 The Act requires that, at the Public Examination stage of the LDP, the appointed reporter examines whether the Council has conformed with, or gone beyond the requirements of the participation statement (PS) that was current at the time the Proposed LDP was published. This has been undertaken and the Reporter has confirmed that he was satisfied with the consultation undertaken and the Examination is underway.
- 4.5 Following receipt of the Examination Report, a report will be presented to Council to consider the Reporter's Recommendations. Recommendations contained within the Examination Report are largely binding on the Council and if accepted, the Council can then proceed to adoption.

## **5 IMPLICATIONS**

### **5.1 Financial**

The programme set out in the Development Plan Scheme No 7 will need to be funded. Budget is allocated to cover anticipated costs.

### **5.2 Risk and Mitigations**

The DPS is required under the terms of the Planning Act. The contents of the DPS set out current and potential future activities aimed at keeping the Development Plan for the Borders up to date to mitigate the risk of non compliance with legislation, thus the need to bring this report to Council to approve a DPS at this time.

### **5.3 Equalities**

There are no direct equality implications arising from this report. There will be a requirement for consultation to be accessible by all sections of the community.

### **5.4 Acting Sustainably**

There are no direct environmental implications arising from this report.

### **5.5 Changes to Scheme of Administration or Scheme of Delegation**

There are no changes to be made.

## **6 CONSULTATION**

- 6.1 Consultation on this report has been undertaken with the Chief Financial Officer, the Service Director Regulatory Services, the Service Director Strategy & Policy, the Chief Officer Audit and Risk, the Chief Officer Human Resources and the Clerk to the Council. Any comments received have been incorporated in the final report.

**Approved by**

**Service Director, Regulatory Services      Signature .....**

**Author(s)**

Name	Designation and Contact Number
T. Connolly	Planner, 01835 825255

**Background Papers:** Nil

**Previous Minute Reference:** Scottish Borders Council, 24 April 2014

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Jacqueline Whitelaw can also give information on other language translations as well as providing additional copies.

Contact us at Jacqueline Whitelaw, Place, Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA, Tel 01835 825431, Fax 01835 825071, email [eitranslationrequest@scotborders.gov.uk](mailto:eitranslationrequest@scotborders.gov.uk).



# **Appendix 1: Development Plan Scheme: No. 7 - April 2014**

## **Introduction**

As part of the Scottish Government's reform of the planning system, the Scottish Borders Council is responsible for the preparation of the new Local Development Plan (LDP). The LDP will be prepared to set out the detailed planning policies and land allocations that follow from the Strategic Development Plan (SDP) for the Edinburgh and South East Scotland area undertaken by SESplan.

The Council adopted the Consolidated Local Plan on 10 February 2011 incorporating the Local Plan Amendment, on the basis of the Structure Plan Alteration approved by Scottish Ministers in June 2009. This provides a robust planning basis for the area pending the new development plans under preparation.

In advance of the production of the Main Issues Report (MIR), the Council carried out an early engagement exercise that informed the production of the MIR. The MIR was subject to a 12 week public consultation which ran from 2 April 2012 to 25 June 2012. In October 2012 a report was presented to Council which sought the agreement to the proposed responses to the consultation comments received on the MIR.

In September 2013 a further report was presented to Council which sought the agreement to the Council's Proposed LDP including the response to the outstanding matters from the Consultation on the MIR. The Proposed LDP was published in December 2013 and the Deposit Period ran from 6 December 2013 through to the 3 March 2014.

A report was presented to Council on 25 September 2014 which sought the agreement to take the representations/issues to Examination, as well as agreement on the proposed responses to those representations/issues received on the Proposed LDP.

The Proposed LDP was submitted to the Directorate of Planning and Environmental Appeals (DPEA) on 22 October 2014 and is currently undergoing Examination. The Examination formally commenced 26 November 2014 and the target date for its completion is 23 July 2015.

## **What is a Development Plan Scheme?**

The DPS sets out the programme for preparing and reviewing the LDP. It is to be updated at least every year to keep you informed about progress on the LDP.

The Scheme includes the following:

- a summary of the development planning system
- a summary and timetable for the development plans currently being prepared
- a Participation Statement with information on when and how you can get involved including a summary of what's involved at the various stages of preparing the LDP.

## What are Development Plans?

The planning system provides the basis for land use management and affects everyone. Development plans contain the strategy for the future development of an area and set out policies and proposals to guide the future development and use of land. The plans are expected to cover topics on the environment, housing, transport and infrastructure, economic development and retailing.

Under the planning system, decisions on where and how development will take place in Scotland will be influenced by three statutory documents:

**National Planning Framework for Scotland:** this is produced by the Scottish Government and sets out, at the national level, the Scottish Government's long term vision for development and investment across Scotland over the next 20 to 30 years. NPF3 was published in June 2014.

<http://www.gov.scot/Resource/0045/00453683.pdf>

**Strategic Development Plan:** these are produced by the Strategic Development Planning Authorities (SDPAs) which are set up for Scotland's four largest city regions. The Scottish Borders lies within the SESplan SDP area that also includes the council areas of East Lothian, Edinburgh, Fife (south), Midlothian and West Lothian. SDPs set out a long term (20 years or more) spatial planning strategy indicating in broad terms where future development will be located and what is needed to deliver it. The DPS for SESplan can be found at [www.sesplan.gov.uk](http://www.sesplan.gov.uk)

**Local Development Plan:** these are produced by the local planning authorities and set out more detailed policies and proposals to guide development. These plans, which are adopted by the local planning authority, must accord with the approved SDP (in the case of the city regions) and seek to implement its requirements on a site-specific basis.

The Strategic Development Plan and the Local Development Plan will form the statutory Development Plan for the Scottish Borders area. In addition, Supplementary Guidance on a specific planning topic may be prepared and form part of the statutory development plan but only where it has been specifically trailed as needed in an SDP or LDP.

## What Development Plans do we have in the Interim?

The new Development Plan system takes some time to complete. However, the new Strategic Development Plan (SDP) was formally approved in June 2013. Therefore, the development plans for the Scottish Borders area are as follows:

### **SESplan Strategic Development Plan 2013-2032:**

The Strategic Development Plan for Edinburgh and South East Scotland was approved in June 2013. The approval included the requirement to produce Supplementary Guidance on Housing Land. The Supplementary Guidance on Housing Land was adopted on 28 October 2014.

### **Consolidated Scottish Borders Local Plan incorporating:**

#### **Scottish Borders Local Plan**

The Scottish Borders Local Plan adopted by the Council in September 2008.

### **Scottish Borders Local Plan Amendment**

The Consolidated Local Plan 2011 adopted by the Council 10 February 2011.

These will be replaced by the Scottish Borders LDP once adopted.

## **What are we going to do in the future under the new Planning Act?**

Following the approval and publication of the SDP by SESplan in June 2013 and the adoption of the Supplementary Guidance on Housing Land in October 2014, the Council has produced the Proposed Local Development Plan (LDP). The Proposed LDP is currently undergoing Examination by reporters of the Directorate of Planning and Environmental Appeals (DPEA). The DPEA have a target date for completion of the Examination of 23 July 2015.

<b><i>LDP Indication of Potential Timeframe (subject to review and update)</i></b>	
Completion of Examination of Proposed LDP	Mid Summer 2015
Proposed Modifications to LDP	Late Summer 2015
Council Consideration of Reporter's Report	Late Summer 2015
Adoption of LDP	Autumn/Winter 2015

## **When will we update our DPS?**

The DPS will be reviewed every year. If there are significant changes to report in the interim then this could lead to an earlier update of the DPS.

## **Participation Statement**

### **Background**

LDP Authorities must include a Participation Statement (PS) in their Development Plan Schemes. It should set out when consultation is likely to take place, with whom, its form and the steps that we will take to involve the public in the LDP's preparation or review stages.

The Scottish Government sets out guidance on how the community can effectively engage in the planning process in Planning Advice Note 3/2010: Community Engagement. Early engagement is defined as being the LDP Main Issues Report (MIR) stage. However, proposals have been developed to extend engagement proposals beyond the PAN's minimum requirement.

Scottish Borders Council has extensively consulted throughout the new Local Development Plan Process and so far our consultation has included:

Pre-Main Issues Report/Early Engagement Stage:

- Local Development Plan page on the Council's website kept updated
- Expressions of Interest Form (available online or by hard copy)
- Community Council Seminar carried out by Planning Aid Scotland
- Letter/Emails informing all on the Council LDP Mailing List
- Article within the Winter edition of the SB Connect
- Consultation with Children & Young People through the Council's Participation Officer

- Presentations to the Teviot and Cheviot Area Committees
- Focus Group meetings (Community Councils and other interested parties)
- Community Group Meetings (at Duns, Peebles and Hawick).

#### Main Issues Report Stage:

- Local Development Plan page on the Council's website kept updated
- Letter/Emails informing all on the Council LDP Mailing List
- Neighbour Notification letters in relation to potential employment, housing or regeneration sites
- Copies of the Main Issues Report were distributed to all Community Councils, Key Agencies and were placed within all Council libraries (including mobile) and contact offices
- Advert in the Local Press (Berwickshire News, Hawick News, Peeblesshire News, Southern reporter and Borders Telegraph)
- Press Release issued in advance of Main Issues Report Consultation and a further issued alerting of close of consultation
- Article within the Spring edition of the SB Connect
- Stakeholder Presentation
- Main Issues Report Exhibitions (venues at: Lauder, Hawick, Galashiels, Peebles, Eyemouth, Jedburgh, Duns, Selkirk and Kelso)
- Banner advertising Main Issues Report Consultation added to staff's email signature
- Advert on the Councils home web page alerting public of consultation
- Tweets posted informing public of the consultation, and further tweets 10 days before the consultation ends, and a week before the consultation ends.

#### Proposed Local Development Plan Stage:

- Local Development Plan page on the Council's website kept updated
- Letter/Emails informing all on the Council LDP Mailing List
- Neighbour Notification letters in relation to potential employment, housing or redevelopment sites
- Copies of the Proposed LDP were distributed to all Community Councils, Key Agencies and were placed within all Council libraries (including mobile) and contact offices
- Advert in the Local Press (Berwickshire News, Hawick News, Peeblesshire News, Southern reporter and Borders Telegraph)
- Article within the Winter edition of the SB Connect
- Proposed LDP Presentation at each of the Area Forums within the Scottish Borders (venues at: Jedburgh, Selkirk, Hawick, Peebles and Duns)
- Press Release issued in advance of the Proposed LDP Representation Period as well as another Press Release in advance of the Area Forum Presentations
- Tweets posted informing public in advance of the Representation Period, numerous during the Representation Period and then a final one two weeks before the Representation Period ended. Additional tweets were also posted in advance of each of the Area Forum Presentations.

### **Potential Programme (subject to review)**

The LDP is now at its final stage of preparation, and the following are the key stages in that process:

#### **1. Public Examination of Proposed LDP (Anticipated Completion Mid Summer 2015)**

*Purpose:* to allow unresolved representations to be heard by an independent reporter appointed by the Scottish Government.

## **2. Proposed Modifications to LDP (Late Summer 2015)**

*Purpose:* to give the Council the opportunity to consider the proposed modifications put forward by the reporter in respect of any unresolved representations following public examination.

## **3. Adoption of LDP (Autumn/Winter 2015)**

*Purpose:* to formally adopt the LDP, and complete the Development Plan for the area.

This reflects our current thinking but the timing and content of the programme are approximate at this stage given the uncertainties involved. This includes the time taken in the Examination process. Subsequent reviews of the DPS will keep the timetable up to date.

Pre-Consultation/Early Engagement on LDP 2 is anticipated to commence in spring 2016.

### **Keeping you informed**

We notify interested parties and stakeholders at periodic stages throughout the LDP process, but we want to do more than that and maintain a flow of project information. The main home for this real time information will be our web site at [www.scotborders.gov.uk](http://www.scotborders.gov.uk). This lets you register your details on the web site, and then be notified of any up and coming developments or events.

We will try to accommodate the range of consultees and interests with an interest in the future of the Borders, including agencies and organisations, community councils, businesses and the general public.

### **Getting Involved?**

In the past some people have, for various reasons, not been able to, or have chosen not to, get involved in the planning process. But it's vital we hear from a wide range of interests. So we want to make it as easy as we can to get people involved in the LDP project by making access to information and communication with us as straightforward as possible. There will be opportunities for people to comment on our process and main plan stage outputs.

We plan to use a range of techniques, including:

- publicising an e-mail address where you can ask questions about the LDP process and get a personal response
- keeping a record of everyone who responds in a database for newsletters or up and coming events
- publishing key documents on our website
- providing paper copies of key plan stage documents at libraries and council area offices
- press releases and awareness-raising publicity at each key stage of the LDP process

- making translations of key documents into the main community languages available on request.

If you want to be involved in the LDP process you can contact us by:

Emailing us at:

[localplan@scotborders.gov.uk](mailto:localplan@scotborders.gov.uk)

or,

Writing to us at:

Forward Planning Team

Environment and Infrastructure Department

Scottish Borders Council

Newtown St Boswells

Melrose

TD6 0SA

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## **BORDERS RAILWAY BLUEPRINT – DELIVERY OF ACTION PLAN**

**Report by Corporate Transformation and Services Director**

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**Scottish Borders Council**

**2 April 2015**

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### **1 PURPOSE AND SUMMARY**

- 1.1 **This report provides an update on the work to date to deliver the Borders Railway Blueprint Action Plan.**
- 1.2 'Borders Railway Maximising the Impact: A Blueprint for the Future' was launched in November 2014 by the First Minister (Annex 1). It aims to maximise the economic benefits of the new Borders Railway connection by helping to stimulate the growth of businesses, generate employment and boost visitor numbers.
- 1.3 The development of the Blueprint has been led by the Scottish Government in partnership with Scottish Enterprise, Transport Scotland, VisitScotland, and City of Edinburgh, Midlothian and Scottish Borders Councils.
- 1.4 Since the launch, work has focused on developing the Action Plan to deliver the key investments and commitments made by partners in the Blueprint. The Action Plan (Annex 2) outlines project activity across three strategic themes: *Great Places for Working and Investing*, *Great Communities for Living and Learning*, and *Great Destinations to Visit*.
- 1.4 The report outlines the Blueprint governance structure, action plan projects and the Council's current contribution to the financial deal.

### **2 RECOMMENDATIONS**

- 2.1 **I recommend that the Council:-**
  - (a) **Notes the significant progress made in developing the Borders Railway Blueprint Action Plan.**
  - (b) **Approves the funding identified in Annex 2 to deliver the Action Plan.**
  - (c) **Agrees that further reports on implementation of the Borders Railway Blueprint Action Plan will form part of the Executive Committee's regular quarterly monitoring of the Council's Corporate Transformation Plan.**

### 3 BACKGROUND

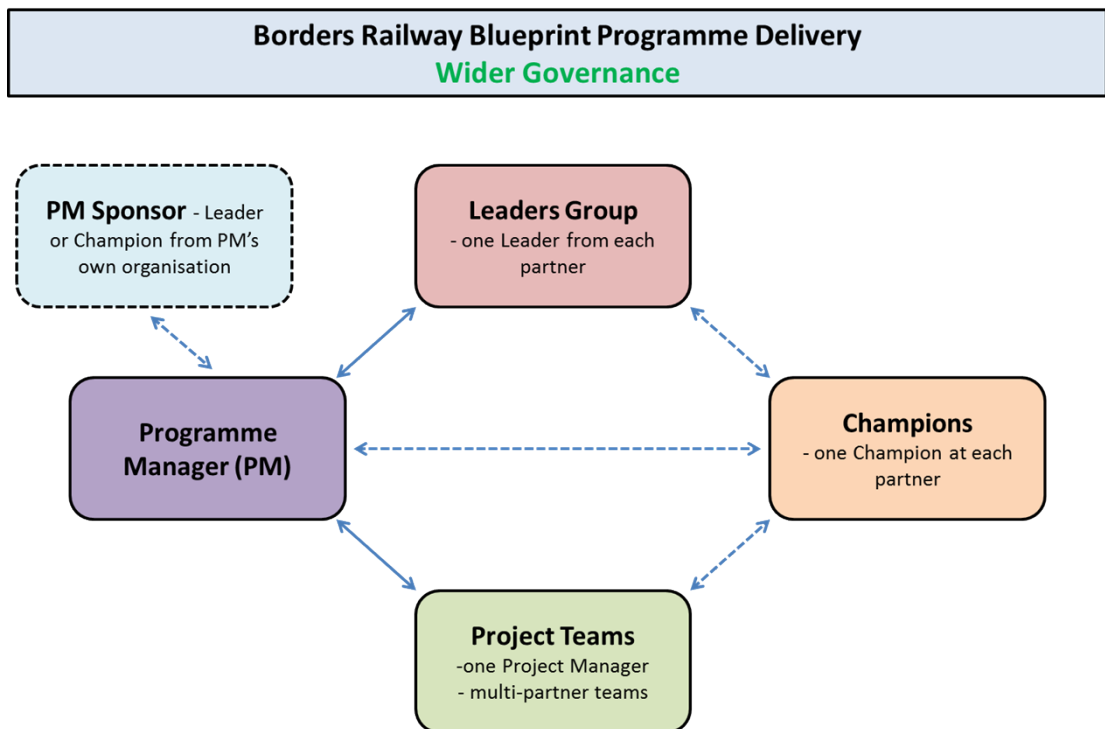
- 3.1 The Borders Railway opens in September 2015. The £294 million investment will deliver the longest new UK domestic railway for more than 100 years. It will provide a modern, sustainable transport connection between Edinburgh, Midlothian and the Scottish Borders, offering a unique economic development opportunity for Scotland.
- 3.2 'Borders Railway Maximising the Impact: A Blueprint for the Future' was launched in November 2014 by the First Minister. It aims to maximise the economic benefits of the new Borders Railway connection, capitalising on the transformational impact of the new line in creating new places to 'live, work, visit, learn, play and grow'.
- 3.3 The development of the Blueprint was led by the Scottish Government, in partnership with Scottish Enterprise, Transport Scotland, VisitScotland, and City of Edinburgh, Midlothian and Scottish Borders Councils. Since the launch, work has focused on developing an Action Plan to deliver the key investments and commitments made by partners in the Blueprint. The Blueprint outlines key investments across three strategic themes: Great Places for Working and Investing, Great Communities for Living and Learning, and Great Destinations to Visit.
- 3.4 In developing the Blueprint, a number of 'tests' were used by the partners to determine which projects and ideas would be included, reflecting the overall aim to maximise the national economic impact of the Railway. These were:
- Ambition –the proposed investments were ambitious;
  - International significance – particularly for 'Great Destinations to Visit' theme, the proposed investments are capable of attracting international interest;
  - National significance – the proposed investments could deliver net additional economic impact at the Scottish level;
  - Balance– the proposals in the Blueprint reflected the Borders Railway route from Edinburgh to Tweedbank across three Council areas;
  - Consensus – the investments contained in the Blueprint were agreed by the participating partners.
- 3.5 The investment proposals published in the Blueprint together form a 'national plan' for collaborating on delivery. They secure a commitment from partners to jointly plan, prioritise and agree resources to deliver these priorities. Some of the proposals reflect work already done by the Council and other partners, and challenge the partners to 'raise the bar' in maximising the impact of the Railway. While not all Railway related activity is cited in the Blueprint Action Plan, this should not underestimate their wider contribution to maximising the impact of the Railway. An example would be the Galashiels Transport Interchange, a key project that will deliver Blueprint impacts, but on its own not a 'Blueprint Investment'.
- 3.6 The Borders Railway Blueprint is attached in Annex 1.



## 4 GOVERNANCE

4.1 The delivery of Borders Railway Blueprint is led by a 'Leadership Group' of senior officers (Chief Executive and Director level) representing the seven partner organisations, chaired by Scottish Enterprise. The Leadership Group takes strategic and investment decisions, directing the overall delivery of the programme. The Leadership Group is supported by a Programme Manager (PM), a full-time resource to coordinate the programme. Projects are delivered by multi-partner 'Project Teams' with named project leads, and are supported by 'Champions' within each partner organisation to provide connections and help to influence and enable project delivery. This governance structure is outlined in Figure 1 below.

**Figure 1. Borders Railway Blueprint Governance Structure**



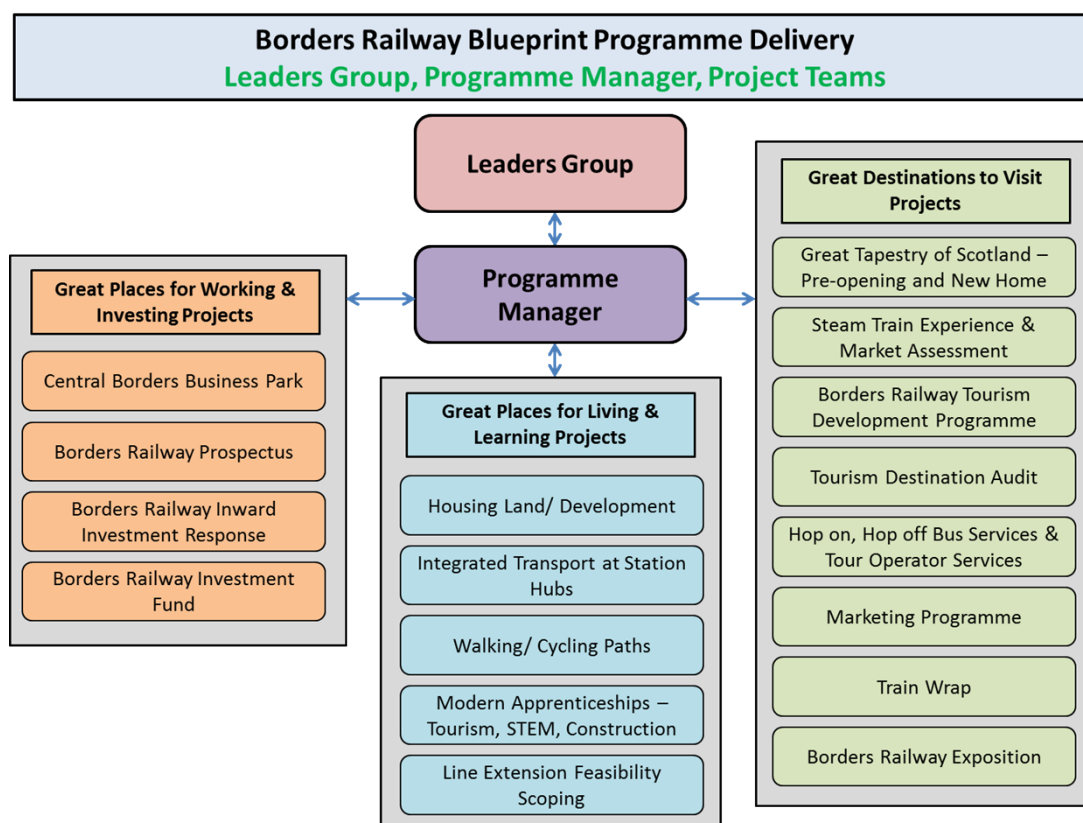
Source: Scottish Enterprise

## 5 THE ACTION PLAN

5.1 The Blueprint sets out a number of investments across the three themes of Great Places for Working and Investing, Great Communities for Living and Learning, and Great Destinations to Visit. Within each theme the key projects are detailed in the Action Plan (Annex 2), which are summarised in Figure 2 and in Annex 3.

5.2 The Action Plan highlights the key stakeholders (defined as 'project leads', 'beneficiaries' and 'customers'), the enablers (other 'third parties' that have a key enabling role in making the project happen – eg Planning or funding funders), outputs/ outcomes, and the indicative cost and timing. The Action Plan was 'tested' and developed further through specific workshops in Midlothian and the Scottish Borders in November 2014 and January 2015.

**Figure 2. Programme Delivery – Themes and Projects**



## 6 THE FINANCIAL DEAL

- 6.1 A commitment has been made by the partners to jointly deliver this programme of projects and develop a corresponding 'Financial Deal' that sets out the funding commitments to each project. Already a number of funding gaps are emerging that will provide a case for the financial commitment offered by the Scottish Government to support delivery of projects.
- 6.2 The principle of the Blueprint is that the Action Plan investments are funded across the partners using other funding sources where appropriate (e.g. Skills Development Scotland, Abellio as Train Operator and/or other private sector sources). The amount of £10m has been committed in principle from the Scottish Government to fund the financial gap in the delivery of the Action Plan projects. The Leadership Group will work closely with Scottish Government to managing the phasing of projects and to allocate the funds appropriately.
- 6.3 The current costs of Blueprint projects are outlined in Annex 2, totalling £16,800,500. The Council has already committed £7,657,500 towards these project costs. A further £257,500 is required to deliver key investments including: Integrated Transport at Station Hubs, Walking & Cycling Paths, Scoping out Feasibility for the Line Extension, Hop on/ Hop off bus pilots and the Marketing Programme. In the near future, an estimated £170,000 is needed towards the costs of the Inward Investment Response, Housing Land Development and the Borders Railway Exposition.

## **7 IMPLICATIONS**

### **7.1 Financial**

- (a) Additional costs associated with these proposals will be partly met from existing capital and revenue budgets reflected in the 2015/16 – 2019/20 Financial Plan. The remaining resources have been identified from partly utilising an earmarked balance approved at the 24<sup>th</sup> February 2015 Executive meeting which ring-fenced resources to 'support Economic Development activity and infrastructure, the Borders Railway blueprint and associated action plan and the development of locality planning during 2015/16'.

### **7.2 Risk and Mitigations**

- (a) The Borders Railway Blueprint was launched in November 2014, and contained a promise by the partners to jointly plan, prioritise and agree resources across our organisations to deliver the ambition to maximise the economic benefits of the Borders Railway. This paper outlines Scottish Borders Council's initial commitment to the delivery of the Blueprint programme. Without this commitment, there is a risk that the Blueprint ambition and the associated economic and community benefits will not be realised.

### **7.3 Equalities**

- (a) An initial Equalities Impact Assessment has been carried out and it is anticipated that the Blueprint will assist the Council to meet the Equality Duty. The Blueprint investments are expected to deliver a number of positive impacts for equalities groups, particularly as a result of enhanced connectivity to and from stations, and from new employment, skills training and business opportunities. We will continue the impact assessment process as we progress this work.

### **7.4 Acting Sustainably**

- (a) A core principle of the Railway Blueprint is to stimulate sustainable economic development. The action plan will deliver benefits for the environment in supporting a 'modal shift' from car to train, and in connecting communities to new work, learning and leisure opportunities.

### **7.5 Carbon Management**

- (a) All Blueprint infrastructure projects, including new buildings, will be designed to deliver cutting-edge low carbon outcomes. Construction methods will use current low carbon principles, and the brief for new developments will include the potential for on-site renewable energy generation. In addition, any major construction projects will require to be screened for Environmental Impact Assessment, which will highlight any environmental sensitivities associated with the proposals.

### **7.6 Rural Proofing**

- (a) Rural proofing is not required as this report does not relate to new or amended Council policy or strategy. However, it is expected that the Blueprint investments will have a regional economic and social impact that reaches far beyond the immediate corridor of the new line, benefiting surrounding rural areas.

**8 CONSULTATION**

8.1 The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR and the Clerk to the Council have been consulted and any comments received have been incorporated into the final report.

**Approved by**

**Rob Dickson**  
**Corporate Transformation and Services Director**

**Signature .....**

**Author(s)**

Name	Designation and Contact Number
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**Background Papers:** N/A

**Previous Minute Reference:** N/A

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Samantha Smith can also give information on other language translations as well as providing additional copies.

Contact us at: Samantha Smith, Chief Executives, Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA, Telephone 01835 826539, Fax 01835 825071, email: [eitranslationrequest@scotborders.gov.uk](mailto:eitranslationrequest@scotborders.gov.uk)

### Annex 3 –

#### Blueprint Themes and Projects

<b>Great Places for Working &amp; Investing</b>	<b>Great Communities for Living &amp; Learning</b>	<b>Great Destinations to Visit</b>
1. Central Borders Business Park	1. Housing Land/ Development	1. Great Tapestry of Scotland
2. Borders Railway Prospectus	2. Integrated transport at Station Hubs	2. Steam Train Experience
3. Borders Railway Inward Investment Response	3. Develop walk/ cycle ways into wider network	3. Borders Railway Tourism Development Programme
4. Borders Railway Investment Fund	4. Modern Apprenticeships	4. Hop on/ off bus and tour operator services
	5. Scope out feasibility for line extension	5. Tourism Marketing Programme
		6. Train Wrap
		7. Borders Railway Exposition

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# Borders Railway

Maximising the Impact:  
A Blueprint for the Future



**BordersRailway**  
Edinburgh • Midlothian • Scottish Borders





The Borders Railway will be one of the most strategic transport projects of the last 45 years. The diagram shows Scotland's cities and connected corridors and the new connection to the Scottish Borders. The new line will be life changing for everyone - on a local, national and international level. The scale of ambition around this project demonstrates passion, confidence and investment in Scotland as a great PLACE.



## Foreword from First Minister



Our ambition is to realise fully the economic benefits of the new Borders Railway.

From September 2015, the Borders Railway will re-establish passenger railway services, for the first time since 1969, between Edinburgh, Midlothian and the Scottish Borders.

On its launch, the line will be transformational in opening up communities as new places to live, work, visit, learn, play and grow. It will be a catalyst for new opportunities – whether for housing developments, businesses or as visitor destinations.

The project will enhance the Midlothian and Scottish Borders economies and deliver prosperity to those areas by providing opportunities all along the line both for existing and new businesses, ensuring that the economy in the region will thrive.

Direct transport links are key to growing Scotland's tourism industry and this new line will transform the tourism economy and support the ambitions for growth in the Scottish Borders, Midlothian and Edinburgh, reconnecting the south east of Scotland to a UK-wide network of rail and air travel hubs, and in turn to millions of potential new domestic and international visitors.

Our ambition is to locate the Great Tapestry of Scotland at Tweedbank in a new purpose built visitor hub highlighting the importance of the textile industry to the Scottish Borders. To further enhance the unrivalled attractions of the region, I am particularly delighted that steam trains will once again be running on the line in the autumn of 2015, in this most scenic and romantic of settings. The new attractions will complement those already available on the line such as the National Mining Museum Scotland at Newtongrange.

The Central Borders Business Park, located in Tweedbank, will be developed to respond to, and capitalise on, this opportunity with the provision of new high quality office accommodation, suites and facilities. The current industrial park will be redeveloped with the refurbishment and reconfiguration of existing buildings which will provide modern manufacturing, office and other facilities to meet the needs of current and new businesses.

The Scottish Government has been working with our partners from Scottish Enterprise, Transport Scotland, VisitScotland and the three local authorities - Scottish Borders, Midlothian and Edinburgh - to realise this ambition and we will continue to collaborate to capitalise on this unique opportunity.

This Blueprint, which has been signed by our partners, sets out how we will achieve our ambition.

A handwritten signature in black ink, which appears to read 'Alex Salmond'.

**Alex Salmond MSP**  
The First Minister  
The Scottish Government  
17 November 2014

# Our Promise

The development, construction and delivery of a new rail service for Scotland demonstrates, in itself, a high degree of vision and ambition.

However, as partners in this once-in-a-generation undertaking, we believe that the Borders Rail project is about much more than simply expanding a community's travel options, important though that is.

The overall vision which drives this fantastic initiative is to create something which delivers a whole range of benefits for the economies of Midlothian, the Scottish Borders and Edinburgh. By better connecting the city region and its communities, the new railway has enormous potential to trigger significant economic benefits for Scotland. It will help stimulate the growth of businesses, generate employment and boost tourist visitor numbers.

## Project Partners



**Councillor David Parker**  
Leader  
Scottish Borders Council



**Councillor Owen Thompson**  
Leader  
Midlothian Council



**Councillor Andrew Burns**  
Leader  
The City of Edinburgh Council



In addition, we fully anticipate that the innovative nature of the project will attract well-deserved recognition on the national and international stage.

We welcome the ambition shown by our colleagues in the Scottish Government in supporting our objectives as we work together to capitalise on an opportunity which will have a truly transformational impact on the region now and for generations to come.

The countdown to launch is now firmly under way and with less than a year to go until passengers board their new service for the first time, the challenge for all those involved in this world-class project is to ensure that we maximise the opportunities on offer.

Since the project was first launched, a huge amount has already been achieved in tackling the challenges of the construction phase and ensuring our vision is realised. Our focus now is on unlocking both the immediate and long-term benefits for our communities, our businesses and people.

This Blueprint maps out in detail the next steps we plan to take in response to the challenge so that we capitalise on the opportunities we have to really make a difference to those communities and to the Scottish economy as a whole.

Working with the Scottish Government, we will jointly plan, prioritise and agree resources across our organisations to stimulate the investment we need to deliver a sustainable legacy of economic growth in Edinburgh, Midlothian, the Scottish Borders and Scotland.

As Community Planning partners, we are committed to delivering the pledges we signed up to both in terms of our individual corporate plans and our targets for the wider economic benefit of the region.

However, we fully recognise that achieving our goals will only be possible with the full support of local people and businesses, our partners in universities, colleges and schools and our colleagues across the public sector.

We will continue to work together towards realising our ambition and delivering what is expected of us – great places for working, investing, living, learning and visiting.



**David Middleton**  
Chief Executive  
Transport Scotland



**Lena Wilson**  
Chief Executive  
Scottish Enterprise



**Malcolm Roughead, OBE**  
Chief Executive  
VisitScotland



# The Journey So Far

In 1849, the Edinburgh-Hawick Branch of the North British Railway Company opened and an extension to Carlisle followed in 1862.

Known as “the Waverley Route” (after the first published novel of celebrated Borders resident Sir Walter Scott), it provided direct rail services between Edinburgh, the textile towns of the Borders and North Yorkshire and onward to London St Pancras, for 107 years.

Despite an estimated 500,000 passenger journeys a year and the carriage of over 50,000 tons of freight a week, by the 1960s the line had been identified by the Beeching Report as not suitable for retention and closed on January 6 1969, a decision that had an adverse effect on subsequent development in the area.

Forty-six years on however, the Borders Railway will begin scheduled services on 6 September 2015. The £294 million project will deliver the longest new domestic railway in the UK for more than 100 years, offering a once-in-a-generation infrastructure investment and economic development opportunity for Scotland. It will provide a modern, sustainable connection between Edinburgh and the communities of Midlothian and the Scottish Borders, increasing their participation and role in the city region, and vice versa.

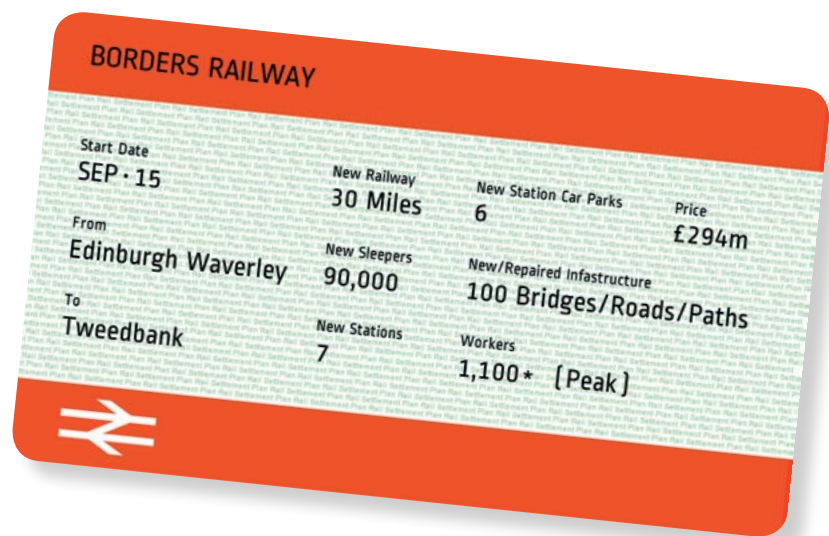
In 2000, the three local authorities began working on the development of a business case for the Borders Railway. As a result of their efforts, and lobbying by the Campaign for Borders Rail and Borders Transport Futures, significant support was secured from Scottish Government, Scottish Enterprise and the rail industry. A Bill in the Scottish Parliament was granted Royal Assent and led to the passing of the Waverley Railway (Scotland) Act 2006.



Responsibility for delivery and funding of the Project transferred to Transport Scotland in 2008. In 2012 the Government announced that Network Rail, as Authorised Undertaker, was required to construct the whole of the railway, including all of the stations. With over 100 planning and prior approval applications, Network Rail and their lead contractor, BAM Nuttall, worked closely with the three Councils and advanced works began in 2013.

In April 2014, actual construction began and has involved:

- extensive mining remediation and just under a million tonnes of earth moved
- 30 miles of new railway and 90,000 sleepers laid
- Development of seven rail stations and six station car parks
- over 100 new and repaired bridges, road and path upgrades
- signalling, telecoms, accommodation works and a train servicing facility
- 1,100 workers at peak construction





Trains will run every half hour and the journey from Edinburgh Waverley to Tweedbank will take less than an hour. Increased travel options, efficient access and better connections to stations at Shawfair, Eskbank, Newtongrange and Gorebridge in Midlothian and Stow, Galashiels and Tweedbank in the Scottish Borders, will be a catalyst for significant development opportunities. A two-way flow, connecting people to jobs, will deliver significant economic and social benefits and fundamentally change the perception of our communities amongst investors, employers, visitors and residents. This Blueprint aims to ensure these economic benefits are realised.

**Our vision:**  
By 2020 the benefits of better transport connectivity will continue to spread across Midlothian and the Scottish Borders. The region will have experienced significant economic and population growth from new and affordable housing, commercial and tourism development, a diversifying business base and new demand for learning and skills. Working in partnership with the business community, the challenge of delivering an ambitious programme of activity will have been met.





*Artist's Vision for Tweedbank Station and Central Borders  
Business Park looking back up the Borders Railway Line to Edinburgh*

# Great Locations for Working and Investing

## Edinburgh, Midlothian and the Scottish Borders contribute significantly to Scottish wealth and jobs

The value of goods and services produced in Edinburgh, Midlothian and the Scottish Borders is just under £20 billion, about 20% of Scotland’s wealth. Over 11,000 businesses in Edinburgh, Midlothian and Scottish Borders operate in Scotland’s growth sectors - food and drink, creative industries, sustainable tourism, energy, financial and business services and life sciences. Accounting for 18% of the council areas’ wealth, they generate £3.5 billion of additional value to the Scottish economy.

While the three council areas punch above their weight in Scottish terms, Midlothian and the Scottish Borders account for around a third of these businesses, but contribute just over a tenth of the value. Midlothian and the Scottish Borders have fewer companies active in business and financial services and creative industries, but proportionately, three times the

number of companies in food and drink and tourism, reflecting their strength in these sectors.

### **Incentivising businesses to grow and expand and delivering a vibrant economy**

We want to grow our businesses and the number of higher value and better paid jobs they provide. The investment in railway infrastructure will make Midlothian and the Scottish Borders better locations for businesses to invest. Now we need to respond with a level of support that incentivises growth in more productive business activity, and capitalises on the advantage we have in tourism and food and drink production. Our overall aim is to increase the proportion of growth sector activity, bringing it closer to Edinburgh levels.

24,000 people a day commute to Edinburgh from Midlothian and the Scottish Borders, three-quarters of the total number of commuters from these areas. Estimates indicate an increase of 57,000 jobs in the Edinburgh City Region by 2030, 60% of these within the City of Edinburgh itself. Our Blueprint will seek to accommodate this growth, making it easier for people in Edinburgh to commute to Midlothian and the Scottish Borders, maximising the two-way flow the Borders Railway will create, widening the labour catchment and making it easier for businesses to recruit. We will continue to develop our work to create a vibrant economy providing access to development land, skilled people and capital.

*“The Borders Railway will be a transformational piece of infrastructure for the Scottish Borders. It will provide a huge boost to businesses like ours, bringing new customers and new opportunities to showcase our products. We are already busy preparing for its arrival.”*

**John Henderson**  
Owner, Born in the Borders





*"We are convinced that the presence of this important rail link we have to the Scottish Borders and Edinburgh and onwards into the national network, will result in enhanced and increased opportunity for business expansion, and will very much help ensure the future prosperity of the region"*

**George Archibald** Chief Executive, The Business Partnership and Midlothian and East Lothian Chamber of Commerce



*“The Borders Railway will help our business attract the best people to work with us. As a location, we will attract more leisure visitors and this will help stimulate footfall in our cafes, shops and restaurants, and long term I anticipate more entrepreneurs relocating here to capitalise on the quality of the place to live and work – it is an opportunity for all of us.”*

**Raymond Kerr** Director and Co-Founder of Qube GB Limited



Combined with the roll-out of fibre-optic high speed broadband and improvements through Digital Scotland, and boosted by inward investment incentives through the new assisted area location in the Railway Corridor area, this part of Scotland will be even more attractive as a location in which to work and invest – a 21st century business destination.

**Investment**

- We will transform Tweedbank Industrial Estate to create the **Central Borders Business Park**, providing high amenity ‘city centre’ office accommodation, suites and facilities. In Phase 1 we aim to provide nearly 2 hectares of new serviced development land and up to 1,000 sqm of office space for sale or let. In subsequent years further expansion will deliver an additional 2,300 sqm of space. Phase 2 will provide a mixture of refurbished and replacement industrial and office space and, in addition, provide up to an extra 3,000 sqm of new mixed-use business space, safeguarding current levels of employment and delivering additional jobs.
- We will launch a **Borders Railway Prospectus** in the form of a PR and marketing campaign which promotes site-specific development opportunities in the Railway Corridor and Station Hub areas to housing, commercial and leisure developers. It will also target new and expanding businesses and public sector agencies who, until now, have not considered the area as a competitive base from which to operate. We will provide an integrated **Borders Railway Inward Investment Response** by Scottish Enterprise, Scottish Development International, Skills Development Scotland and the three Councils, working with these businesses to support their ambitions to grow and maximise new markets.
- We will boost our investment in business infrastructure and support with the **Borders Railway Investment Fund** supporting expanding companies to develop and implement projects.



Central Borders Business Park – detail from artist drawing



Central Borders Business Park – plan



*Detail from Bernat Klein textile*

# Great Communities for Living and Learning

## Midlothian and the Scottish Borders are fully integrated into a growing City Region

In 2012, the population of the Edinburgh, Midlothian and Scottish Borders local authority areas was 680,000 of whom just under 70% were of working age. In the ten years since 2001, although combined working age population has grown, it has done so at a slower rate than Edinburgh and other better connected places in the City Region.

Linked to encouraging a new sustainable way of living will be new housing masterplans along the Borders Railway corridor. Affordability policies will ensure that local people are not priced out, and a strategy of innovative sustainable retrofitting of current housing stock will help reduce living costs.

Current housing masterplans include Shawfair (bordering the City of Edinburgh) and Redheugh to establish a new community at Gorebridge. Along with the neighbouring communities of Danderhall, Newton and Millerhill, Shawfair station will

serve over 4,000 new homes, three new schools and 24 hectares of employment land as part of a £200 million development plan. Redheugh will deliver capacity for 1,300 homes.

Focused around the Scottish Borders' towns of Galashiels, Selkirk, Hawick, Kelso and Jedburgh, there are significant opportunities for housing investment with over 3,700 development sites, as well as settlement expansion close to Tweedbank.

### Attracting skilled people to live in Midlothian and the Scottish Borders

We have delivered the Borders Railway. Now we can attract more people and families to live in Midlothian and the Scottish Borders and enjoy the quality of the place we live in. We want to connect and grow communities – the former coalfield communities of Dalkeith, Woodburn, Mayfield, Easthouses and Gorebridge or the textiles communities of Galashiels – areas that are still responding

to the effects of industrial decline. Total population in the three Council areas is projected to increase by over 20% by 2037 with working age growth lagging at 15%. But within the city region, estimates indicate only a modest population rise in Midlothian and a decline in the Scottish Borders – the challenge is clear.

By improving access to skills and learning, we will continue to develop the workforce our local communities and the wider Scottish economy need.

Edinburgh has the most skilled workforce of any major city in the UK and through our schools, colleges and universities, and by working with industry and Skills Development Scotland, we must raise attainment to respond to the demands of the 'world of work' and the needs of expanding and relocating businesses, as well as Edinburgh employers.



*Borders Campus, Galashiels  
- home to the Scottish School of Textiles & Design*



Ruth Hinks, owner Cocoa Black

*“The railway coming to the Borders provides the College with the opportunity to offer excellent skills and training opportunities to a wider market and also allows us to deliver additional skills to support the business growth and economic developments which will follow the arrival of the train.”*

**Liz McIntyre** Principal and Chief Executive, Borders College



We expect new travel-to-work/ study patterns to emerge, reflecting the new economic geography being created. Eskbank station will provide ready access to the Midlothian Community Hospital and a ten minute rail link between Edinburgh College campuses in Midlothian. Shawfair will link to the Royal Infirmary of Edinburgh, delivering benefits to patients and visitors from Midlothian and the Scottish Borders. New and improved bus routes from the Galashiels Transport Interchange will distribute people across the towns of the Scottish Borders.

With new stations in Galashiels and Tweedbank, Borders College plans to grow the number of pupils participating in the Hospitality and Tourism Academy (in partnership with Queen Margaret University and Edinburgh College), expand its existing engineering provision and widen its STEM (science, technology, engineering and maths) and construction curriculums.

**Investment**

- We will continue to collaborate on our development plans to ensure there is a generous supply of housing land to cater for the increase in people and families living here. Based on the Strategic Development Plan that sets out our housing land requirements between 2009 and 2024, we will have identified land to deliver around 24,000 homes in Midlothian and the Scottish Borders.
- We will integrate rail with other transport modes available around each of the station hubs, delivering existing and new bus services that provide access to housing, work and our tourism attractions and creating a network of road and tourist signage to stations.
- We will fund and deliver a Modern Apprenticeship Programme reflecting the STEM subjects, Tourism/ Hospitality and Construction curriculums.
- We will develop and market fully functional walk and cycle routes and multi-use paths directing pedestrians and cyclists on to the wider path network and into our town centres.
- We will scope potential further feasibility work around extending the Borders Railway line towards Hawick and Carlisle, including turning options at and beyond Tweedbank.





*“We are very excited about the re-opening of the Borders Railway. For commuters and tourists alike, the line will provide opportunities to enjoy the beautiful scenery and many attractions on offer between Edinburgh and the Borders.”*

**Gillian Rankin** Marketing & Events Officer, National Mining Museum Scotland

## Great Destinations to Visit

Tourism is key to the economic development of Edinburgh, Midlothian and the Scottish Borders



Rosslyn Chapel



The tourism sector not only supports 6,000 jobs in the region, it helps to put the area and Scotland on the world stage. In 2013, approximately 4.3 million people visited Edinburgh, the Lothians (including Midlothian) and the Scottish Borders, spending £1.3 billion.

Edinburgh accounts for more than 80% of this expenditure and the Borders Railway will inspire these visitors to spend more time in Midlothian and the Scottish Borders.

We are ready to welcome the world to our great destination. We have already supported the industry with a £12 million investment in Abbotsford, the Home of Sir Walter Scott, invested in the National Mining Museum Scotland at Newtongrange, developed plans for Dalkeith Country Park, and regularly support major national and international

sporting events such as the Melrose 7s and cultural events like the Borders Book Festival.

But that's only the beginning. We're committed to continually supporting our tourism and food and drink sectors to ensure we are ready to capitalise on the excellent opportunity we now have to raise the profile of the area as a key visitor destination.

### **Supporting our businesses to capitalise on new markets**

The Borders Railway is a fundamental part of delivering our Tourism Scotland 2020 Strategy and promoting growth in Scotland's visitor economy to 2020. By 2016, the Borders Railway will be delivering an annual capacity for 1.9 million return journeys and we want to see a significant proportion of these being used by visitors.



The Edinburgh Festival





*“The opening of the Borders Railway in 2015 presents exciting opportunities for the Borders region and for Abbotsford. We are already making plans to create offers and promotions specifically for railway passengers visiting us.”*

**Emma McCallum** Marketing & Communications Officer, Abbotsford – the home of Sir Walter Scott

We are responding to this ambition by developing new and exciting projects that will only happen as a result of the Borders Railway. The Railway offers a major opportunity to become part of the tourist experience in its own right – a direct connection to Edinburgh’s 4.3 million visitors allows us to explore delivery of a steam train experience. We are confident that a regular seasonal steam train and charter service will become a permanent fixture, complementing the new franchisee Abellio’s plans to include the Borders Railway as one of its Great Scenic Railways of Scotland.

Reflecting “Town Centres First” we want to connect visitors to our towns and the attractions they provide and also maximise locations such as Eskbank, Stow and Galashiels stations which lie at the heart of our walking and cycling routes.

Building on this, we want to create a permanent home for the Great Tapestry of Scotland, realising the vision which the Trustees of the project have for the world’s longest tapestry.

Our attractions, accommodation providers, local producers, pubs and restaurants are all developing new ideas and products to further enhance their quality. We’re proud to support their enterprise and hard work.

### Investment

- We aim to deliver a fitting home at Tweedbank for the 160 panels of the **Great Tapestry of Scotland** that is visible from the station, developed and phased to complement both the arrival experience at Tweedbank and the development of the **Central Borders Business Park**.
- Reflecting our ambition and the commitment the Trustees have shown, the Great Tapestry will be a catalyst for creating a destination of national and international significance and will assist the development of a cluster of wider textiles innovation/ heritage activity.
- Coinciding with the opening of the Borders Railway, we will operate a ‘taster’ **Steam Train Experience** until the end of October 2015. Drawing on a market demand analysis which we will commission and building on this pilot, we will work towards developing a regular steam tourist service on the line and explore future investment opportunities to facilitate further growth and enhance services. Working in partnership with Abellio, and as part of the Great Scenic Railways of Scotland journeys, we will train key members of staff to become dedicated tourism ambassadors. At Waverley we will develop signage, livery and information to enhance the tourist embarkation experience.
- Harnessing the enterprise of our businesses, we will launch the **Borders Railway Tourism Business Development Programme** to work with ambitious businesses in the tourism sector to create quality, authentic experiences and innovative new products and services. We will boost this further using the Borders Railway Investment Fund.
- We will complete a **tourism destination audit** for Midlothian and the Scottish Borders and develop tailored visitor itineraries – particularly through digital media – available through Wi-fi on both trains and in stations.
- We will launch and pilot two new dedicated re-branded hop on/ off **open-top bus services** in both Newtongrange in Midlothian and Galashiels/Tweedbank.
- We will deliver an ambitious targeted and coordinated **marketing programme** that brings to life the investments and commitments we are making in this Blueprint. This will target potential leisure and business visitors from domestic and international markets, encouraging them to visit Midlothian and the Scottish Borders as part of their Edinburgh experience.



Abbotsford



Fort William to Mallaig steam train experience

# Great Visitor Attractions



## 1. City of Edinburgh

- National Museum of Scotland
- Edinburgh Castle
- St Giles Cathedral
- Scottish National Gallery
- Edinburgh Zoo
- Royal Botanic Garden
- National War Museum
- Edinburgh Bus Tours
- Scottish Parliament Visitor Centre
- Scotch Whisky Heritage Centre

## Midlothian

- 2. Vogrie Country Park, Gorebridge
- 3. Rosslyn Chapel
- 4. Gore Glen Woodland Park, Newtongrange
- 5. Edinburgh Butterfly & Insect World, Lasswade
- 6. National Mining Museum Scotland Newtongrange
- 7. Roslin Glen Country Park
- 8. Crichton Castle, Pathhead
- 9. Arniston House, Gorebridge
- 10. Dalkeith Country Park

## The Scottish Borders

- 11. Glentress and Innerleithen Mountain Biking
- 12. Heart of Hawick
- 13. Teviot Water Gardens, Kelso
- 14. Melrose Abbey
- 15. Traquair House
- 16. Mary Queen of Scots Visitor Centre
- 17. Dawyck Botanic Gardens
- 18. Floors Castle
- 19. Abbotsford
- 20. Great Tapestry of Scotland, proposal
- 21. Steam Train Experience

# The Next Stages of our Journey

Operational services will begin on the new Borders Railway in September 2015. Track will be laid, signalling tested, drivers trained and seven new stations will welcome their first users.



*Showcasing local food and drink*



*Great Tapestry of Scotland – architect drawing*



*Tour of Britain, Peebles*

Forty six years after the closure of the old Waverley Route, thousands of people in Midlothian and the Scottish Borders will have easy access to rail and millions more to Midlothian and the Scottish Borders.

A pilot of the Steam Train Experience, giving people a chance to experience rail travel from a bygone age, will be operational.

Initial work will also have begun on the Central Borders Business Park, dovetailing with the Great Tapestry of Scotland hub development.

We will continue the work to deliver this Blueprint, and the supporting and complementary activities already being delivered. That will include innovative approaches to promoting the Railway itself including ‘wrapping’ a train with branding as part of a campaign to highlight the tourism potential of the Edinburgh-Tweedbank Corridor.

For the official Opening Celebration weekend, we are planning an exciting programme of activities. The Borders Railway Exposition will showcase what is on offer in the Railway Corridor Area and Station Hubs under various themes including trade and investment, food and drink and textiles manufacture.

This will coincide with the beginning of international events such as the 2015 Walking Festival and the Tour of Britain.

We will exploit the significant and positive media interest from across the world in these and other events by developing a number of targeted media visits.

As our journey continues after the launch in September 2015 we will work hard to deliver the long-term commitments we have made in this Blueprint over the following three years and beyond.

The partnership will work together to deliver the Blueprint Programme. Along with the Scottish Government we are committed to agreeing a Financial Deal that sets our funding commitments for each of the main elements of this Programme, and committing the people and resources to make it a success.

Strong, effective leadership and governance were key to getting us to where we are today and constructing the Borders Railway.

We are now embarking on the next stage of our journey. In developing this ambitious Blueprint to maximise the economic benefits for Scotland, we believe we have put in place a structure to deliver the ongoing legacy our communities rightly expect.

*"The Borders Railway Community Partnership brings together community groups, businesses and local and national organisations to work in partnership to enhance the benefits of the railway to the wider community. We look forward to actively engaging with the communities served by the new Borders Railway in the lead up to its opening and well into the future."*

**Annette Filby** Community Rail Partnership



## Photography Credits

Front cover cameos,  
Jason Baxter  
Midlothian Council  
Page\Park Architects  
Dick Manton  
Brian Allen Perspectives  
Graham Riddell

Page 4, Construction work, Children, Network Rail

Page 6, Construction work, Viaduct, Network Rail  
House building, courtesy of Midlothian Council

Page 7, Artist Impression, Brian Allen Perspectives

Page 8, Image courtesy of the Roslin institute

Page 10, artist drawing detail, Brian Allen Perspectives  
Central Borders Business Park plan, Page\Park Architects

Page 11, Bernat Klein textile, © Graham Riddell

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Page 13, Cocoa Black, courtesy of Scottish Enterprise

Page 14, Optic cables, © Jason Baxter  
Heriot Watt textiles student, © P.Tomkins/VisitScotland /Scottish Viewpoint

Page 15, Lindean Mill glass making, © P.Tomkins/VisitScotland /Scottish Viewpoint

Page 16, Rosslyn Chapel, © P.Tomkins/VisitScotland /Scottish Viewpoint  
National Mining Museum Scotland, ©Richard Campbell/VisitScotland/Scottish Viewpoint

Page 17, Mountain Biking Glentress, VisitScotland

Page 18, Abbotsford, courtesy of The Abbotsford Trust  
West Coast Railways, courtesy of Dick Manton

Page 20, Local food and drink, courtesy of Borders Food Network  
Architect drawing, Page\Park Architects  
Tour of Britain cyclists, © Graham Riddell

Page 21, Edinburgh Calton Hill, ©Robert Pogson/VisitScotland/Scottish Viewpoint

**BordersRailway**  
Edinburgh • Midlothian • Scottish Borders



## Annex 2 - Borders Railway Blueprint: Action Plan – Projects and Finance Overview

### Theme 1. Great Places for Working & Investing

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Central Borders Business Park - Phase 1 (Tweedside Park)</b>	- SE - SBC - Inward investors	- Scottish Government - Land owners - Developers - Planning authority	- Design vision and Master plan	- 1.7 Ha net serviced land; - 950sqm net business space	<b>2,960,000</b>	0	0	1,000,000*	SE	30/04/2017
<b>Central Borders Business Park - Phase 2 (Tweedbank Industrial Estate)</b>	- SBC - SE - Owners - Tenants	- Scottish Government - Land/ property owners	- Design vision and Master plan (as above)	- 2.5 Ha additional serviced development land; - Up to 24,000 sqm new/ refurbished business space	<b>5,000,000</b>	0	0	3,000,000*	SBC	2025
<b>Borders Railway Prospectus</b>	- SBC and MLC - Developers	- CEC (Inward Investment Unit) - Housing Developers - Commercial Developers - Leisure Developers - Partners	- Prospectus (interactive) produced - # of 'sales visits' - SDI, SFT, ScotGov relocations - Developer days/ seminars	- Enquiries, take up - Relocations - Ha/ sqm development	<b>35,000</b>	0	0	17,500	SBC	30/08/2015

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Borders Railway Inward Investment Response</b>	- SE/ SDI - SBC, MLC	- CEC (Inward Investment Unit) - SDI - Scot Gov Relocations	- # enquiries/ leads - Visits/ support	- Enquiries, take up - Relocations - Ha/ sqm development	<b>182,000</b>	60,000	0	0	TBC	31/03/2015-31/3/2018
<b>Borders Railway Investment Fund</b>	- Business Gateway - SBC, MLC, CEC - Local businesses/ attractions	- SE	- # of applications - awards	- Leverage - Sales/ fte jobs - Products delivered	<b>1,000,000</b>	0	0	100,000**	MLC	30/06/2015
<b>Sub Total</b>					<b>9,177,000</b>	60,000	0	4,117,500		

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## Theme 2. Great Places for Living & Learning

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Housing Land/ Development</b>	- SBC, MLC	- Land owners - SESPlan - Developers	- Development constraints identified	- # Additional housing units/ residential development	<b>150,000</b>	50,000	0	0	TBC	TBC



Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Integrated transport at Station Hubs (PT &amp; Signage)</b>	- SBC, MLC - Users	- Scottish Government (Healthy Choices)	- Gap analysis	- Accessibility to/ from train stations	<b>50,000</b>	0	25,000	0	SBC	TBC
<b>Develop walk/ cycle paths into wider network</b>	- SBC/ MLC - Residents/ Communities	- Elected Members - Scottish Government	- x km of path upgrade/ developed	- Accessibility and asset development	<b>240,000</b>	0	25,000	0	SBC	TBC
<b>Modern Apprenticeships - Tourism, Leisure &amp; Hospitality/ STEM/ Construction</b>	- SDS - Young People - Business	- FE - Edinburgh, Midlothian and Borders employers			<b>(full costs TBC)</b>	TBC	0	0	TBC	TBC
<b>Scope out potential feasibility work for extending the line</b>	- SBC - TS, Network Rail - Land interests	- Transport Scotland - Scottish Government - Midlothian, CEC Transport Planning	- Report issued	- Decision to proceed	<b>100,000</b>	40,000	10,000	0	SBC	31/03/2016
<b>Sub Total</b>					<b>540,000</b>	90,000	60,000	0		

### Theme 3. Great Destinations to Visit

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
Great Tapestry of Scotland at Tweedbank (Pre-opening)	- SBC	- Land owners, Developers - GTS Trustees		- Temporary Home for GTS/ Showcases	150,000	0	55,000	0	TBC	
Great Tapestry of Scotland at Tweedbank	- SBC - Tourism sector	- Land owners - Developers - GTS Trustees - ETAG, Marketing Edinburgh		- Permanent Home for GTS - Iconic Building delivered	6,000,000	0	0	3,500,000*	SBC	March 2017
Steam Train Experience	- TS	- Abellio	- Pilot - Service (weekend)	- Increased patronage - Tourism impact	(full costs TBC)	0	0	0	TS	
Tourism Train Market Assessment Study	- SE - TS	- VisitScotland - Abellio	- Demand study produced	- Knowledge of market potential for a service on Borders Railway	20,000	0	0	0	SE	31/05/2015
Borders Railway Tourism Development Programme	- Business Gateway - Tourism Businesses	- SE - ATP - SBC/ MLC - VisitScotland - ETAG, Marketing Edinburgh	- # of new products	- Quality of business/ attraction offer improved	50,000	TBC	0	0	BG	

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Tourism Destination Audit</b>	- SBC - MLC - Attractions/ Business	- Attractions/ Businesses; Borders Food Network - SE, VS - Tour Reps - Inward investment (cf W&I link)	- Research complete	- Itinerary development - Product development - Understanding of destination to understand the product offer	<b>30,000</b>	0	0	15,000	SBC	30/05/2015
<b>Hop on/ hop off bus services &amp; tour operator service pilots</b>	- SBC, MLC - Tour operators	- Edinburgh Bus - Bus operators - Perrymans	- Newtongrange loop - Gala loop	- Increased volume	<b>130,000</b>	0	32,500	0	TBC	01/04/2016
<b>Marketing Programme</b>	- VS - SBC, MLC - Attractions/ Business - Abellio	- Marketing Edinburgh - Midlothian/ Borders ATP - Attractions/ Business - Abbellio, VS	- Content Created - Data capture - PR/Media Profiling	- International/ National /Regional PR - 1m sold per annum by 2020	<b>503,5000</b>	0	100,000	0	VS	2016/17
<b>Train Wrap</b>	- TS - VisitScotland - Creative Agency	- SBC, CEC, MLC - Artist - Abellio	- 1 train x 3 carriages wrapped	-Raise awareness of Borders Railway	<b>70,000</b>	0	0	25,000	TS	17/03/2015

Activity	Stakeholders Impacted	Enablers Required	Outputs	Outcomes	Project Cost (£)	Estimated SBC Funding (£)	Recommended SBC Funding (£)	Confirmed SBC Funding (£)	Lead	By When
<b>Borders Railway Exposition</b>	- SBC, MLC, CEC - Local Business - Media	- VS - Key sector groups - Transport Scotland (Stark Events)		-Raise awareness of Borders Railway Blueprint Themes	<b>90,000</b>	20,000	10,000	0	TBC	31/08/2016
<b>Sub Total</b>					<b>7,083,500</b>	20,000	197,500	3,540,000		
<b>Total</b>					<b>16,800,500</b>	170,000	257,500	7,657,500		

Page 18 approved in capital programme 12<sup>th</sup> February 2015.  
via SE/ South of Scotland Loan Fund (to be delivered as part of new Scottish Local Authority Business Loan Fund)

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## **BORDERS RAILWAY – SCOTTISH BORDERS WORK PLAN**

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### **Report by Service Director Strategy & Policy**

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## **SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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### **1 PURPOSE AND SUMMARY**

- 1.1 **This report sets out the local actions that will be delivered to ensure the area capitalises on the economic opportunities arising from the Borders Railway which will open in September 2015.**
- 1.2 The Borders Railway Blueprint has set a structure for the delivery of the strategic actions along the whole length of the railway corridor. The Scottish Borders Work Plan, detailed in Appendix 1, sets out the local actions that also need to be delivered before the railway opens, and in the medium and longer term.
- 1.3 A wide range of actions are being taken forward, or being proposed. The Council wants to ensure there is good connectivity to and from stations for all users. Actions are identified to ensure the success of the line through effective marketing to local residents. Ensuring local involvement in the opening celebrations is also a priority, as is new tourism product development. A longer term focus is also planned, to ensure appropriate assessment of future impacts and development needs. Finally, actions to spread the economic benefits of the railway are also set out. These local actions are a complement to the strategic actions contained in the Borders Railway Blueprint.

### **2 RECOMMENDATIONS**

- 2.1 **I recommend that the Council:-**
  - (a) **Notes and agrees the actions contained in the Scottish Borders Work Plan at Appendix 1; and**
  - (b) **Agrees that further reports on implementation of the Scottish Borders Work Plan will form part of the Executive Committee's regular quarterly monitoring of the Council's Corporate Transformation Plan.**

### **3 BACKGROUND**

- 3.1 The reopening of the Borders Railway is identified in the Scottish Borders Economic Strategy 2023 as a key opportunity and strategic priority. This is the largest investment in infrastructure for the Scottish Borders in a generation and in response the Council and its Community Planning Partnership partners are working to maximise the positive impact for the economy.
- 3.2 Officers have developed a detailed benefits realisation programme working in partnership with the Council's partners. The Borders Railway Blueprint (see previous Item) has set a structure for the delivery of the strategic actions along the whole length of the railway corridor. The Scottish Borders Work Plan detailed in Appendix 1, sets out the local actions that also need to be delivered before the railway opens, and in the medium and longer term.

### **4 THE SCOTTISH BORDERS WORK PLAN**

- 4.1 The Scottish Borders Work Plan is broken down into a range of objectives and specific actions are set out to help deliver each objective. These local actions complement the strategic actions in the Borders Railway Blueprint and in some instances provide a local dimension to those strategic actions.
- 4.2 **Ensure good connectivity**

Officers are working to ensure good connectivity between the new stations and their surrounding areas. This work recognises the range of users that will use the stations and any associated facilities. Users will arrive and depart by bus, taxi, bicycle, and as pedestrians, as well as by car. The needs of disabled users are also a key consideration. The potential for a concessionary card scheme for rail travel is also being investigated.
- 4.3 **Effective local marketing**

Effective marketing to local residents and commuters will be important to ensure there is good use of the new services. The Council will work with the service provider to ensure their marketing activity is appropriately targeted at the Borders' community. The lack of train services in the Scottish Borders over the last 45 years means that there is no culture of rail travel in the area. It will take time for residents to get used to the new travel opportunities that the railway provides. A long term approach to marketing the service locally is required, so that residents' travel habits adapt over time to include regular rail travel.
- 4.4 The newly formed Borders Railway Community Rail Partnership can play a key role in assisting with this marketing and helping to get the message out to local people about the new rail services. The partnership includes the three local authorities, as well as a range of community groups and organisations with transport interests. Their marketing effort will need to target Midlothian as well as Scottish Borders.

#### 4.5 **Opening Celebrations**

The Scottish Government and Transport Scotland are keen to ensure that the opening of the railway is marked by a series of high profile events in order to celebrate its significance. The opening celebrations will be an opportunity to gain National and International press coverage as well as ensuring local involvement with the communities and schools along the line. More information on the opening celebrations is set out in a separate report being considered at this meeting.

#### 4.6 **Tourism Offer**

A key challenge is to ensure that the tourism 'offer' from the area is co-ordinated. There will be opportunities for increased visitor numbers for attractions such as Abbotsford and Melrose Abbey, but the real gains will come from making wider links and connections. For example, a 'Sir Walter Scott Trail' has been developed by the Council working with a number of local attractions and sites of historical interest with a link to Scott, who has an international appeal. It is expected that new events will also be developed because of the travel connections provided by the railway. The Area Tourism Partnership will work with local tourism businesses to ensure this co-ordination

#### 4.7 **Long term impacts**

There are longer term actions included in the Workplan to ensure that future traffic and land use planning gives due consideration to the requirements and impacts arising from the railway. There is also a need to monitor and evaluate the impacts of the railway over the long term in order to demonstrate its value to the area.

#### 4.8 **Economic Benefits**

The Work Plan highlights the need to spread the economic benefits of the Railway across the Scottish Borders, particularly through tourism related activity. Consideration has also been given to maximising the benefits in the towns around each of the stations. In Stow, as well as being a commuter stop, officers envisage the station having a role as a stop for activity tourists who are aiming to cycle or walk in the Scottish Borders. The appropriate maps and signage to make this effective are being developed. It is hoped that this will also provide opportunities for local tourism and service businesses.

4.9 In Galashiels, the Council has made a major investment, supported by EU funding, in the Transport Interchange and associated business space. The Council has also put in place a Town Centre Coordinator, who is working with Energise Galashiels and other local groups to identify initiatives to help make the town centre more vibrant. The aim is to ensure that the town is able to take advantage of the opening of the railway and to fulfil its function as a 'gateway' to the Scottish Borders. There is a good opportunity at the Borders Campus to make use of the recent investment in student accommodation and education facilities to create a conference venue.

- 4.10 In Tweedbank, the station will have an important role in relation to potential 'charter' trains and onwards links to key tourist attractions across the Scottish Borders. The Council will work with the train operator to make sure that good visitor information is available at the station. It is expected that there will also be opportunities for local tourism and service businesses in the vicinity of the station.

#### **4.11 Programme Monitoring**

Delivery of the Scottish Borders Work Plan is an important part of the successful opening of the railway in September and an important contributory element for its medium and long term success. Consequently monitoring delivery of the Work Plan will be important and so it is recommended that further reports on implementation of the Scottish Borders Work Plan will form part of the Executive Committee's regular quarterly monitoring of the Council's Corporate Transformation Plan.

## **5 IMPLICATIONS**

### **5.1 Financial**

The activity set out in the Scottish Borders Work Plan will be funded from existing base budgets wherever possible. There will be some instances where the funding allocated for delivery of the Railway Blueprint Action Plan will be utilised to support delivery elements of the Scottish Borders Work Plan. At this stage no additional funding is being sought beyond that set out in other reports being considered by Council.

### **5.2 Risk and Mitigations**

The key risk in relation to the Scottish Borders Work Plan is the ability to deliver a successful opening of the Borders Railway at the start of September 2015. This risk is being mitigated by clear planning at the strategic level, through the Railway Blueprint Action Plan, and at the local level, through the Scottish Borders Work Plan. Additional resources have also been identified to ensure the successful delivery of actions in the Blueprint and local Work Plan.

### **5.3 Equalities**

There are no adverse equality implications. The railway and train services will be accessible to disabled people.

### **5.4 Acting Sustainably**

No decision is required that has economic, social or environmental implications. The reopening of the railway will have a positive economic impact on the Scottish Borders and help to make our economy more sustainable in the future.

### **5.5 Carbon Management**

No decision is required that has an effect on carbon emissions. The opportunity for commuters to shift their mode of travel to rail should also help to reduce the overall carbon footprint for the area.

### **5.6 Rural Proofing**

This report does not propose a new or amended policy or strategy.



## 6 CONSULTATION

- 6.1 The Chief Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR, the Service Director Interim Capital Projects and the Clerk to the Council have been consulted and their comments have been incorporated into this report.

### Approved by

**David Cressey**

**Service Director Strategy & Policy**

**Signature .....**

### Author(s)

Name	Designation and Contact Number
Bryan McGrath	Chief Officer Economic Development, Chief Executives, 01835 826525

**Background Papers: Not applicable**

**Previous Minute Reference: Not applicable**

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Bryan McGrath can also give information on other language translations as well as providing additional copies.

Contact us at Bryan McGrath, Chief Executives, Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA, Tel 01835 826525, Fax 01835 825071, email [eitranslationrequest@scotborders.gov.uk](mailto:eitranslationrequest@scotborders.gov.uk).

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## Borders Railway - Scottish Borders Work Plan

March 2015

This Scottish Borders Work Plan sets out the short, medium and longer term actions that the Council and other local partners need to take to ensure the successful opening and operation of the Borders Railway. This Work Plan complements the strategic actions set out in the Borders Railway Blueprint. The Work Plan is necessary to ensure that specific local actions are planned and delivered on time.

Action	Resource	Who	3 Year Target / Measures	Timescale (By)	Where We Want To Be
<b>1) Ensure good connectivity to / from stations (bus, taxi, car, cycle, wheelchair, pedestrian)</b>					
Review how bus services (routes) could link to rail stations and develop a programme to address potential gaps.	SBC Bus operators	SBC Transportation	Appropriate bus services available	May 2015	Joined up timetables that allow onward travel and well-timed connections.
Align timetables – ensure that timetables to make connections between buses and trains work effectively.	First Bus Perrymans	SBC Transportation	Aligned bus / rail timetables	Sept 2015	Joined up timetables that allow onward travel and well-timed connections.
Discuss and agree provision for taxis and taxi supply at each station with local operators.	Staff time	SBC Transportation Regulatory Services	Taxi rank identified at each station	July 2015	Taxi ranks in place at each station.
Provide road and path signage to and from the stations (Stow / Galashiels / Tweedbank)	SBC	SBC Network Team	Integrated road, path and destination signage in place for opening of railway.	Sept 2015	Users know how to get to the stations.
Concessionary Travel Scheme – investigate whether a concession scheme is appropriate and affordable, including comparisons with other areas.	Cost/Benefit Analysis required	SBC Transportation	Passenger numbers rising	June 2015	Make the rail service accessible to all and encourage early ridership.

Action	Resource	Who	3 Year Target / Measures	Timescale (By)	Where We Want To Be
Discuss the potential for community transport to / from stations and develop a programme with 3 <sup>rd</sup> Sector partners, if appropriate.	3 <sup>rd</sup> Sector partners	SBC Transportation CPP The Bridge	Clear community transport links in place.	Spring 2015	All potential transport modes have been linked to stations.
<b>2) Ensure the success of the line through effective marketing to local residents</b>					
Work with ScotRail and the Community Rail Partnership to market the new services to local people, ensuring they are aware of the stations, timetables, services, and costs.	Train operator  Community Rail Partnership	SBC Transportation SBC Comms	Work with train operator on joint promotions.  Passenger numbers rising	Summer 2015	A significant modal shift to rail travel is achieved.
<b>3) Ensure local involvement in the Opening Celebrations</b>					
Golden Tickets – ensure the inaugural rail journeys are experienced by a wide range of people from the Scottish Borders.	SBC  Transport Scotland	SBC Chief Executives	Number of Borderers' receiving a Golden Ticket	June 2015	Opening of railway has involved a wide range of local people.
Borders Railway Celebration Fund – put in place a grant scheme to support communities across the Scottish Borders to celebrate the opening of the Railway.	SBC	SBC Chief Executives	Number of local events	April 2015	Opening of railway has involved a wide range of local groups and residents.
Launch Events - Engage local schools in launch events and investigate options to provide a rail experience for local school children.	Network Rail Launch Group  SBC - Education	Head Teachers of local schools	No. of children involved	June 2015	Opening of railway has achieved national profile and coverage.

Action	Resource	Who	3 Year Target / Measures	Timescale (By)	Where We Want To Be
<b>4) Ensuring the offer for tourists is coordinated and appropriate</b>					
Ensure new product development around: <ul style="list-style-type: none"> <li>- Cycling / Walking</li> <li>- Historic Houses</li> <li>- Golf</li> <li>- Fishing</li> </ul> eg Potential for Borders-wide Tourism Trails.	Area Tourism Partnership Local businesses SBC SNH	Area Tourism Partnership	Visitor numbers / volume / value	End 2015	The railway delivers a flow of additional tourists across the Scottish Borders.
Events – Develop existing and new events to enhance the visitor experience.	SBC EventScotland Local Event Organisers	SBC Chief Executives	Increase in event attendance	2016	Existing and new events have grown due to improved connectivity.
<b>5) Assess long term impacts and subsequent development needs</b>					
Review the planning framework in the next Local Development Plan to ensure complementary development and activities around rail stations.	SBC	SBC Planning	Number of developments in the railway corridor facilitated by the LDP	2016	LDP supports railway related development
Traffic and land use feasibility required to consider routes for a potential replacement Lowood Bridge.	SBC	SBC Planning	Preferred route identified	2016	Anticipate traffic pinch-points
Monitoring and evaluation of impacts will be required. Need a set of linked indicators. <ul style="list-style-type: none"> <li>• Social</li> <li>• Economic</li> <li>• Environmental</li> </ul>	Transport Scotland's Benefits realisation plan is being developed, and takes account of this action plan.	Transport Scotland  SBC Chief Executives	Meet requirements set out in the original Parliamentary Act.	Sept 2015	Understand and measure the actual impacts of the reopened railway line.

Action	Resource	Who	3 Year Target / Measures	Timescale (By)	Where We Want To Be
<b>6) Maximise the benefits across the Scottish Borders</b>					
Work with the Area Tourism Partnership and tourism businesses to ensure: <ul style="list-style-type: none"> <li>i) Promotion of attractions across the Scottish Borders to railway users;</li> <li>ii) Visitors arriving by train can easily visit attractions and use services across the Scottish Borders</li> </ul>	Area Tourism Partnership Local businesses SBC VisitScotland	Area Tourism Partnership VisitScotland	Visitor numbers / volume / value	End 2015	The railway delivers a flow of additional tourists across the Scottish Borders.
<b>7) Maximise the benefits in Galashiels</b>					
Deliver the Galashiels Transport Interchange building	SBC Bus operators Taxi operators Walking/cycling	SBC Capital Projects Team	1 year physical 2 years operational	Before Sept 2015	New Transport Interchange open and operational.
Town Centre activity and promotion – work with local businesses to increase footfall and improve the retail offer.	Town Centre Coordinator	SBC Chief Executives	Lower vacancy rate Higher footfall figures	End 2015	More vibrant town centre
Event Space - Need more events in the town to draw visitors in and increase footfall.	Town Centre Coordinator	SBC Chief Executives	Number of new events held in town centre	End 2015	More vibrant town centre
Borders Campus - opportunity to use accommodation and education facilities to create a conference or business tourism venue.	Heriot Watt University VisitScotland	Heriot Watt	Number of conferences at venue Number of visitors	2017	More business tourism in the town

Action	Resource	Who	3 Year Target / Measures	Timescale (By)	Where We Want To Be
<b>8) Maximise the benefits in Stow</b>					
Support the community to develop the potential of the Station Building eg events, café	SBC	SBC Chief Executives	Consensus around the building	Autumn 2015	Sustainable community facility operating
Local leisure Use: - Cycle marketing - Walking - Other?	SBC	SBC Chief Executives	Additional visitors using Stow Station	2016	More visitors in Stow
<b>9) Maximise the benefits in Tweedbank</b>					
Ensure that a visitor 'welcome' information point / facility is in place.	SBC NR Scotrail	SBC Chief Executives SBC Planning	Visitor numbers / value	Sept 2015	Good information for visitors about local attractions and facilities
Space to set up businesses - Café - Bike hire - Car hire?	NR Scotrail SBC	SBC Chief Executives	Number of local businesses involved	Summer 2015	Businesses are providing services for visitors

B McGrath  
Chief Executives  
March 2015

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## **BORDERS RAILWAY CELEBRATION FUND**

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### **Report by Service Director Strategy and Policy**

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## **SCOTTISH BORDERS COUNCIL**

**2 APRIL 2015**

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### **1 PURPOSE AND SUMMARY**

- 1.1 **This report proposes the creation of a Borders Railway Celebration Fund, an application based grant scheme providing small grants to a range of community groups and organisations from across the Borders**
- 1.2 The Borders Railway Celebration Fund (the Fund) will have the overall aim of encouraging people and communities, from all areas of the Scottish Borders, to come together to celebrate the historic return of the Borders Railway in September 2015. The Fund will encourage as many people as possible to get involved in the celebrations and will be open to all non-profit making voluntary and community organisations, Community Councils, schools, public bodies and places of worship.
- 1.3 Typical awards under the Fund are expected to be for a few hundred pounds but grants up to a typical maximum of £2,500 will be considered for larger projects or for projects that create a lasting legacy of the return of the Borders Railway. The Fund will be open and flexible enough to accommodate a very wide range of project requests.
- 1.4 The Fund will open on 2nd April 2015. Applications can be submitted at any time up to 15th December 2015. Projects (activities) are expected to be fully completed by 31st March 2016. A £50,000 budget is proposed and is identified from the Police and Fire Reserves (Borders Railway) Budget.

### **2 RECOMMENDATIONS**

- 2.1 **I recommend that Scottish Borders Council approves:-**
  - (a) the creation of the Borders Railway Celebration Fund;
  - (b) a virement for 2015/16 only of £50,000 from the Police and Fire Reserves (Borders Railway) Budget to the Strategic Policy Unit – BRCF Budget;
  - (c) that the decision making process for the Fund be fully delegated to the Service Director Strategy And Policy.

### **3 THE BORDERS RAILWAY CELEBRATION FUND**

- 3.1 The Borders Railway Celebration Fund (the Fund) will be set up with the overall aim of encouraging people and communities, from across the Scottish Borders, to come together to celebrate the return of the Borders Railway in September 2015.
- 3.2 The Fund will award grants to projects that bring people together to celebrate the return of the Borders Railway, for example through railway themed events, concerts, trips, open days, street parties. It will also fund projects that bring people together to create a lasting legacy of the return of the Borders Railway, for example railway themed improvements to public spaces, playparks, gardens.
- 3.3 To encourage as many people as possible to get involved in the celebrations, from across the whole Borders area, the Fund will be open to all non-profit making voluntary and community organisations, Community Councils, schools, public bodies and places of worship.
- 3.4 Typical awards under the Fund are expected to be for a few hundred pounds but grants up to a typical maximum of £2,500 will be considered for larger projects or for projects that create a lasting legacy of the return of the Borders Railway. Projects requiring more than £2,500 will be supported to access further funds from various sources.
- 3.5 The fund will be open and flexible and, to facilitate as many projects as possible, the Council expects to make decisions on funding within 3 weeks of the receipt of a fully completed application form. Incomplete applications may take longer. The grant decision making process will be fully delegated to the Service Director Strategy and Policy under the current Scheme of Delegation
- 3.6 The Fund will open on 2nd April 2015 and applications can be submitted at any time up to 15th December 2015, when the fund will close. Projects (activities) are expected to be fully completed by 31st March 2016.
- 3.7 The Fund will be delivered by the Strategic Policy Unit and will sit alongside the SBC Community Grant Scheme, promoting maximum access to local and external match funding and project development support.
- 3.8 A £50,000 budget is identified. A virement from the Police and Fire Reserves (Borders Railway) Budget in 2015/16 will create the Strategic Policy Unit BRCF Budget.

### **4 IMPLICATIONS**

#### **4.1 Financial**

- (a) The Fund will cost £50,000 to set up. This amount will be fully distributed as community grants. The cost of administration will be met within the existing resources of the Strategic Policy Unit.
- (b) A budget of £50,000 is identified and will be vired from the Police and Fire Reserves (Borders Railway) Budget.

#### **4.2 Risk and Mitigations**

- (a) There are no risks associated with the decisions of this report. The new Fund will sit within the approved grant co-ordination, assessment and administrations processes of the Council.

#### 4.3 Equalities

- (a) An Equalities Impact Assessment has been carried out and it is anticipated that there are no adverse equality implications.
- (b) The Fund has wide eligibility and all applicants will be specifically asks for an equality statement. All applications will be assessed in relation to equalities as part of the standard assessment criteria.

#### 4.4 Acting Sustainably

- (a) It is anticipated that there are no adverse implications.

#### 4.5 Carbon Management

- (a) It is anticipated that there are no adverse implications.

#### 4.6 Rural Proofing

- (a) It is anticipated that there are no adverse implications.

#### 4.7 Changes to Scheme of Administration or Scheme of Delegation

- (a) It is proposed that the decision making process of the Fund is fully delegated to the Service Head Strategy and Policy under the current Scheme of Delegation. No changes are therefore required to the Scheme.

### 5 CONSULTATION

- 5.1 The Chief Financial Officer, the Service Director Regulatory Services as Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR, and the Clerk to the Council have been consulted and their comments have been incorporated into the final report.
- 5.2 The Corporate Equalities and Diversity Officer, the Corporate Communications and Marketing Manager, Corporate Transformation and Services Director have also been consulted and any comments received have been incorporated into the final report.

#### Approved by

**Name: David Cressey**

**Signature .....**

**Title: Service Director, Strategy & Policy**

#### Author(s)

Name	Designation and Contact Number
Jean Robertson	Funding and Projects Officer

**Background Papers:** Appendix 1- Borders Railway Celebration Fund Draft Application Form and Guidance Note.

**Previous Minute Reference:**

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Jean Robertson can also give information on other language translations as well as providing additional copies.

Contact us at Jean Robertson, [jjrobertson@scotborders.gov.uk](mailto:jjrobertson@scotborders.gov.uk) 01835826543

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# BORDERS RAILWAY CELEBRATION FUND

## GUIDANCE NOTES AND APPLICATION FORM



### PLEASE READ THESE GUIDANCE NOTES CAREFULLY BEFORE COMPLETING THE APPLICATION FORM

The Borders Railway Celebration Fund (the Fund) is funded by Scottish Borders Council. It has been set up with **the aim** of encouraging people and communities to come together to celebrate the return of the Borders Railway in September 2015.

To encourage as many people as possible to get involved in the celebrations, the Fund will be open to all non-profit making voluntary and community organisations, Community Councils, schools, public bodies and places of worship. All applicants must be based in the Scottish Borders.

Typical awards under the Fund are expected to be for a few hundred pounds but grants up to a typical maximum of £2,500 will be considered for larger projects or for projects that create a lasting legacy of the return of the Borders Railway.

We expect to make decisions on funding within 3 weeks of the receipt of a fully completed application form. Incomplete applications may take longer.

The Fund will open on 2nd April 2015. Applications can be submitted at any time up to 15th December 2015, when the fund will close.

Projects (activities) must be fully completed by 31st March 2016.

To achieve the overall aim of the Fund, we want to fund projects that meet one or both of the following **outcomes**;

- Communities have more opportunities to bring people together to celebrate the return of the Borders Railway (for example through railway themed events, concerts, trips, open days, street parties etc)
- Communities have more opportunities to bring people together to create a lasting legacy of the return of the Borders Railway (for example railway themed improvements to public spaces, playparks, gardens etc)

(Communities can either be geographical or communities of interest.)

Applications will be assessed using the following criteria:

- the need for your project and any evidence you've told us about that supports the need
- how well you have involved the wider community in the development of your project
- whether any other group in your community has already submitted an application for a similar Borders Railway project
- your commitment to equal opportunities

- your financial need for funding (see note below)

**Note : If your group has more savings than the income it receives in a year, you should explain what you are planning to do with this money. If you have not set aside this money for anything in particular we may not be able to give you a grant.**

What we cannot fund:

- individuals
- organisations involved in party political activities
- commercial concerns
- purchase of alcohol
- gifts or prizes for individuals
- applications made by one organisation on behalf of another
- anything you start, spend money on or agree to spend money on before we confirm our funding

Who can apply:

- non-profit making voluntary and community organisations, Community Councils, schools and public bodies
- Places of Worship where the project/activity is for the benefit of the wider community

What you need to apply: (not required from schools, public bodies)

- a signed constitution or set of rules
- a bank or building society account (protected by at least two signatories)
- independently approved accounts which are less than 15 months old (new groups will require to submit an estimate of income and expenditure for the first 12 months of operation)
- all documents must be in the same name

If you are an umbrella body planning to deliver more than one project or if you require funding in excess of £2,500 please contact the Grants Co-ordinator (below) for specific advice.

Application forms for the Borders Railway Celebration Fund can be downloaded from the website listed below. Further advice and application forms also available from:-

**(Please read the Guidance Notes carefully before completing this application)**

YOU MUST ANSWER EACH QUESTION IN THE SPACE PROVIDED – DO NOT SAY ‘SEE ATTACHED’

Please complete in black ink

**Please refer to the application notes on the right-hand side when completing**

**About your Group or Organisation**

1. What is the name of your group or organisation?

This should be the same name that appears on your Constitution

2. Who is the main contact?

This should be the main point of contact for this application. **(In the case of schools, the main contact should be the Headteacher).**

Name	
Position in Group	
Home Address	
Post Code	
Telephone Number	
Email Address	

3. Tell us your group or organisation's bank account details.

The name on your bank account **should be the same** as the name on your Constitution. **(for schools, a school fund account is acceptable).**

Account Name	
Bank/Building Society Name	
Address of Bank/Building Society	
Post Code	
Sort Code	
Account Number/Roll No	

4. List the names and positions of the people who are authorised to sign withdrawals/deposits from this account.

**Bank accounts require a minimum of two unrelated signatories for all withdrawals/deposits.**

Name	Position in your organisation

5. Tell us what your total savings/cash or investments are (all accounts).

Please see the Guidance Notes for savings rule. **(not required from schools or public bodies)**

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6. **Please read note at side.**

Equal opportunities and

(a) In relation to the Equality Scotland Act 2010, tell us, in detail, how

**your group or organisation** reduces discrimination, promotes equality of opportunity etc.

(b) Tell us also in what ways **your project** will reduce discrimination, promote equality of opportunity etc

inclusion is about involving people from different parts of the community in the development and implementation of projects. This might involve taking account of issues around the protected characteristics of age, disability, gender, race, religion, sexual orientation, poverty, health or marital status.

Tell us how your group or organisation takes account of equalities legislation in its day to day running and also in relation to the development of this particular project



**About your Project**

(b) What is the name of your project?

(c) **Please read note at side.** Tell us about your project and what you will spend the grant on.

(d) **Please read note at side.** Tell us fully how you have identified the need for your project.

(e) **Please read note at side.** Tell us fully how you have involved your community in the development of this project?

(f) When is your project due to take place?

(g) Tell us how much money you need for your project?

Item or Activity	Total Cost	Amount Requested from the Scheme
<b>Totals</b>		

12. If the total cost of your project is more than you are requesting from the Fund, tell us how you will meet the shortfall.

Funding Source	Amount	Progress

13. **Please read note at side.** If your project/activities involve work with children, young people or vulnerable adults, tell us what safeguarding policies you have in place and how often these are reviewed.

Your project is the specific activities you plan to carry out with the grant.

Be specific about what you plan to do, how you will do it, when you will do it, who will be included etc

Tell us what you will spend the grant on.

The Fund has a specific aim of bringing people and communities together.

Tell us how you know your project is needed and what benefits it will bring to your community.

Projects should have the support and involvement of your wider community.

It is important that some form of community consultation process has taken place and that this can be demonstrated.

Tell us in what ways you have consulted with your community.

The Fund cannot give grants for activities or expenditure which have already taken place.

Give a detailed breakdown of the main items of expenditure required for the project including VAT if relevant. Groups who are eligible to claim back VAT must not include VAT charges in their project costs.

**Please send us copies of any quotes you have or other evidence of how you have worked out your costs.**

If the project costs are more than you are requesting from the Fund please give details of where the other funding will come from (ie. from your own funds, national lottery, public bodies, trusts, businesses etc)

It is your responsibility to ensure you have acceptable safeguarding policies and procedures in place for projects involving children, young people and vulnerable adults. Advice on requirements can be obtained from Volunteer Centre Borders on 0845-602-3921

**(not required from schools)**

## Declaration

We wish to apply for a grant from the Borders Railway Celebration Fund. The answers to the questions in this form accurately reflect our group/organisation, its finances, our project and our grant request. We will co-operate with the monitoring of any grant made to us and comply with the terms and conditions of the Fund.

To be signed by the main contact

Signed:

Position in group:

Date:

To be signed by an office bearer of the group (this must be a different person from the one above)

Signed:

Position in group:

Date:

### **IMPORTANT**

***Please ensure that you have completed all the questions in the form and the appropriate people have signed it. Please attach the following:***

- A copy of your constitution or set of rules, dated and signed. **(not required for schools, places of worship or public bodies).**
- An **original** bank statement less than three months old, photocopies cannot be accepted. **Schools and public bodies should send a letter confirming which account the Fund should use).**
- A copy of your most recent approved annual accounts. **(not required for schools or public bodies).**  
(New organisations should submit estimates of income and expenditure for the first 12 months)
- Copies of quotes/estimates or any evidence you have that shows how you worked out your costs.

**Please ensure your application is accompanied by the above documentation. Your application may have to be returned to you if it is incomplete.**

This completed form and attachments should be submitted to:-  
**Grants Co-ordinator, Scottish Borders Council, Strategic Policy Unit,  
Newtown St. Boswells, Melrose TD6 0SA. Tel: 01835-826659, Fax: 01835-  
825059, Email: [lcornwall@scotborders.gov.uk](mailto:lcornwall@scotborders.gov.uk)**

**You can get this document on tape, in Braille, large print and various computer formats by contacting the address above.**

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## **GALASHIELS TRANSPORT INTERCHANGE OPERATING MODEL**

**Report by Depute Chief Executive - Place**

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### **SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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#### **1 PURPOSE AND SUMMARY**

- 1.1 **This report provides a summary of the business model for the operation of the Transport Interchange and a recommendation for the charging regimes for bus operators and tenants that will use the building.**
- 1.2 The Transport Interchange is being delivered as the gateway to the Scottish Borders for the Borders railway and as such has been designed to provide a positive interface with sustainable transport users to encourage a modal shift and provide a positive first impression to visitors and investors to the region.
- 1.3 The business plan has been created following industry standards to calculate the running cost of the building and the income generated.
- 1.4 As the business case has been built using contemporary information for other Council buildings, the actual running cost will not be known until after the first year of operation. However, the costs charged to occupiers for the building service charge and departure charge are calculated based on the estimates in the business plan.
- 1.5 The current estimate for the bus departure charge is £2.88 excluding VAT compared to the original bus station charge of £0.35. However, this reflects the quality of the building that is being provided and the increased level of customer service that is being provided to promote sustainable transport and the Scottish Borders.
- 1.6 This report recommends that the departure charge is subsidised by the Council to a level that is comparable with the rest of the UK market so that it does not adversely affect the commercial viability of bus routes in the short term and the additional costs are mitigated through measures to increase the income into the Transport Interchange in the early years.
- 1.7 Annexes 1–3 set out financial information in relation to the Operating Model. They are published as Private papers as they are commercially confidential.

## **2 RECOMMENDATIONS**

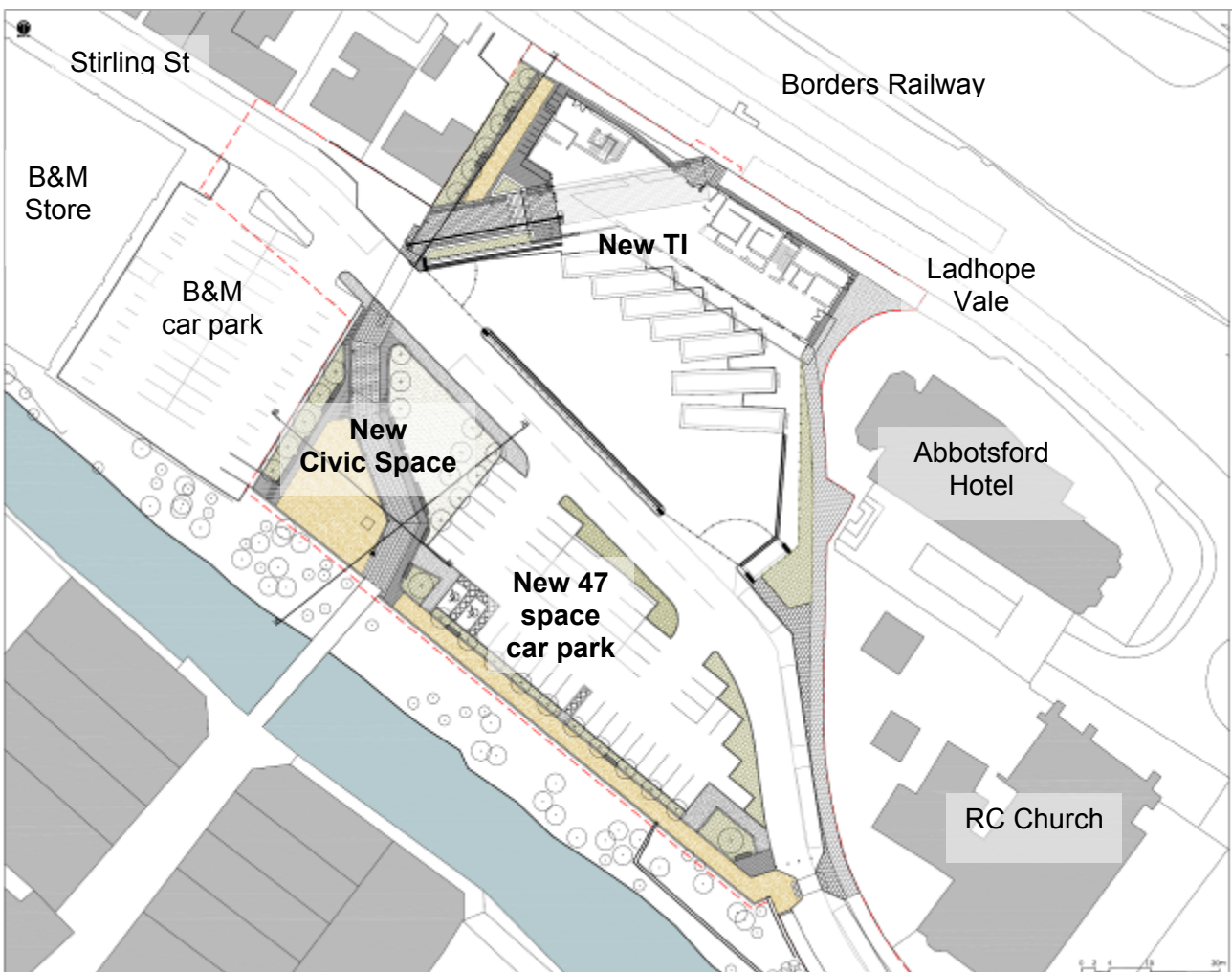
### **2.1 I recommend that Council agrees:-**

- (a) With the operation model for the Transport Interchange as per Section 4 of this report;**
- (b) With the option to subsidise the departure charge by £0.93 per departure, from £2.68 to £1.75, in the early years to ensure the level of the bus services currently expected for the Borders Railway opening; and**
- (c) That the Executive Committee will monitor the operational model of the Transport Interchange on an on-going basis.**

### 3 BACKGROUND

- 3.1 The preferred option for the Transport Interchange, that was approved by Council on 25 February 2010, will deliver the following benefits:
- (a) Create a statement structure that creates a gateway to the Scottish Borders and exemplar first impression to visitors and investors;
  - (b) Improve sustainable transport facilities to encourage a modal shift and provide an attractive, viable alternative to the private car;
  - (c) Sustain/increase the use of public transport to ensure that the frequency of service from the rail provider is maintained;
  - (d) Attract private sector investment into the town by encouraging increased footfall through the Stirling Street area;
  - (e) Knock-on economic benefits to the town centre from increased footfall and private sector investment.

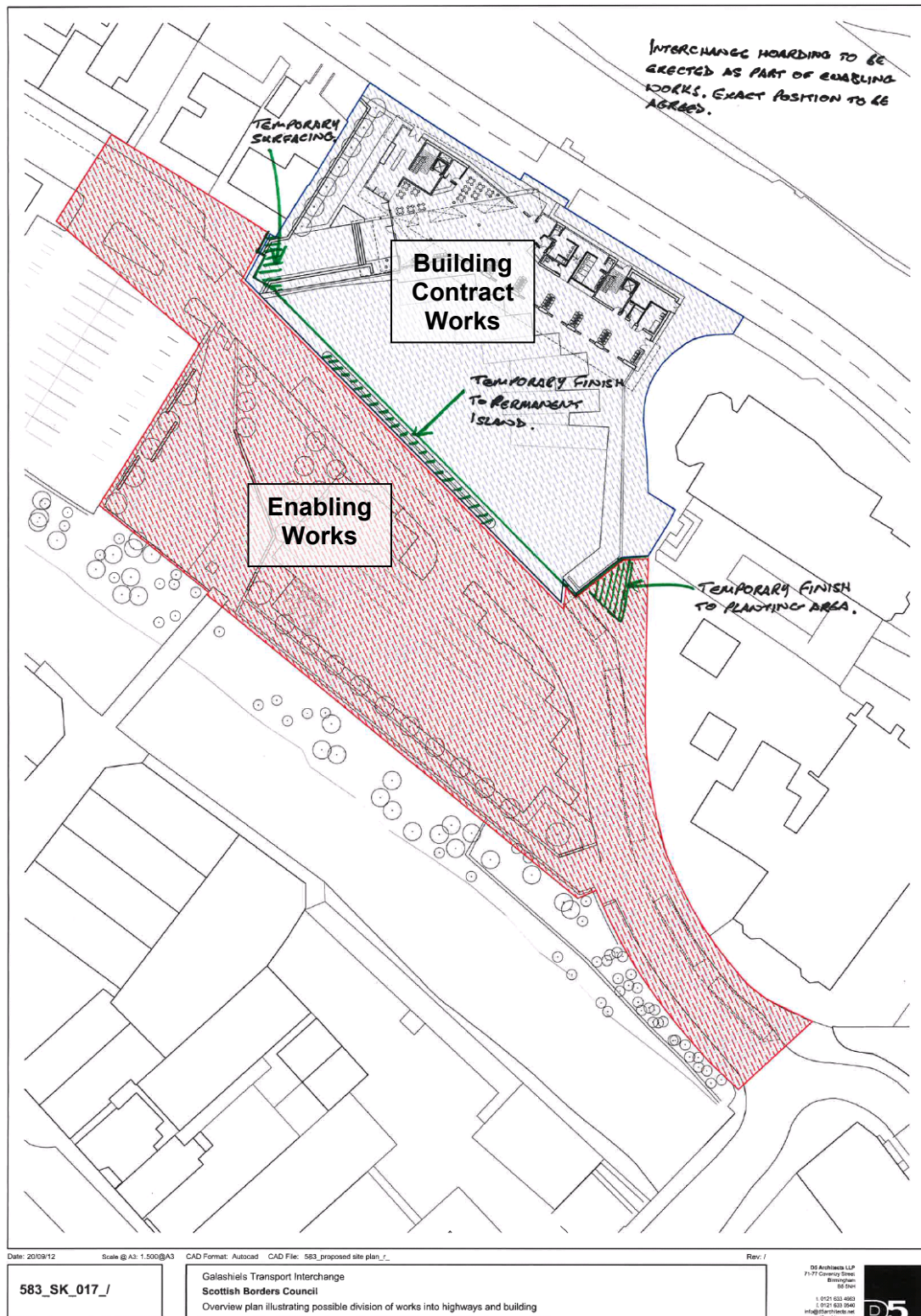
**Figure 1 – Master Plan Layout**



- 3.2 The Executive Committee agreed on 21 May 2013 that the project milestone of the procurement of the construction contractor should commence.
- 3.3 The works were split into two phases (as shown on Figure 2 below), with the enabling works (new road re-alignment, new civic space, building demolition, temporary on-street bus stances and traffic management) commencing in October 2013 and was partially completed by March 2014.

This approach allowed the building construction to commence in June 2014, with the remainder of the infrastructure works to be undertaken from June onwards (demolition of existing bus station and new car park).

**Figure 2 – Schematic of Infrastructure and Building Contract Divide**



- 3.4 Works on site for the new building have progressed well in the last nine months and the recent focus of the project team has been the organisation and delivery of the operational model for the building prior to the commissioning period of the building in late June 2015.

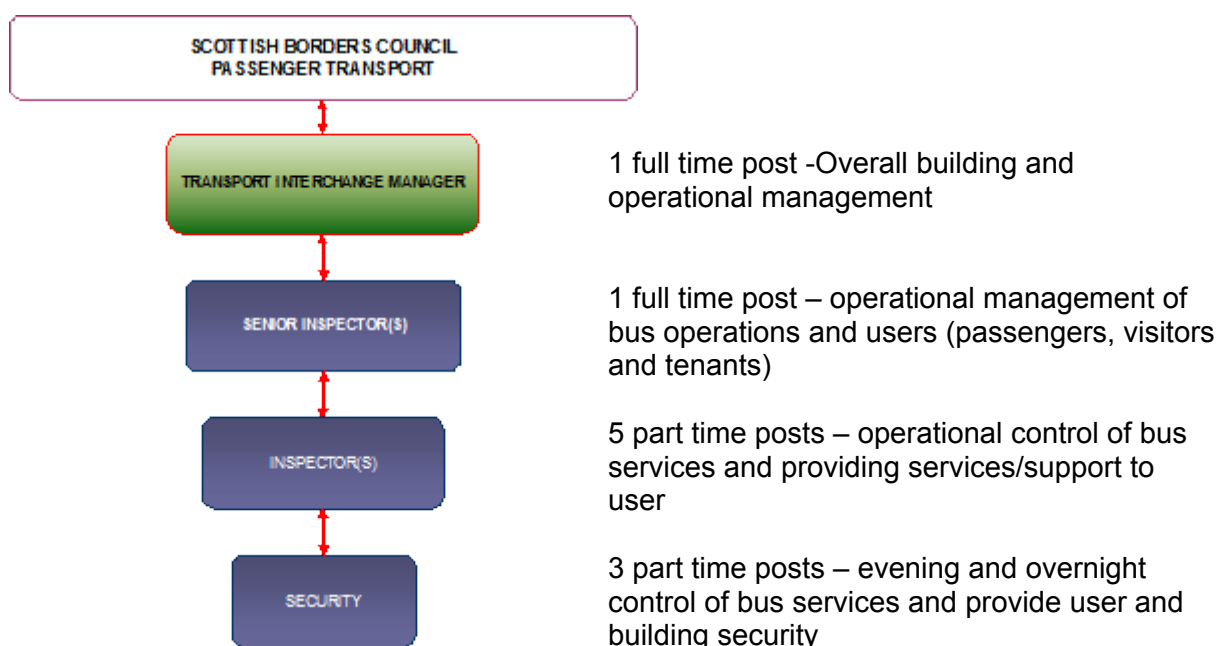


- 3.5 The Transport Interchange Building will be unlike any other building owned and operated by Scottish Borders Council as it will have to provide 21 hour per day public access for bus and train services (05:00 to 02:00) and unrestricted access to the office space provided on the two upper floors.

#### 4 Operational Model

- 4.1 The project team (including Passenger Transport, Estates & Facilities Management and Corporate Finance) have created a ten year operating model for the building based on a twenty-four hour staffing model to inform the revenue budgetary requirements and targets that need to be achieved to run the building and let space within the building.
- 4.2 The main annual cost for the running of the building is staffing, equating to around 48% of the overall cost, and is made up of the structure in Figure 3 to cover the 21 hour per day availability of the building, overnight cleaning and security duties and provide the level of service expected of this new gateway to the Scottish Borders.

**Figure 3 – GTI Resource Structure**



- 4.3 All of the proposed posts will have a range of duties to include the following:
- Control bus operations/conflict;
  - Control bus layover and overnight parking;
  - Provide public support for sustainable transport and tourist information;
  - Aid passengers within the building;
  - Support tenants of the building;
  - Fault reporting and general maintenance;
  - General cleaning duties.
- 4.4 A 24-7 schedule of staffing requirements has been formulated to cover the 21 hour a day public availability that is required, with minimal overlap of resources and cover for holidays and period of staff ill-health. The schedules are provided in Confidential Annex 1.

- 4.5 The staffing schedule shows that the building will actually be staffed for 24 hours per day, with the security staff undertaking cleaning duties in the building in the three hour window that the building is closed to the public.
- 4.6 The building will be under the direct management control of Passenger Transport (designated budget holder) and sits within Commercial Services.
- 4.7 The project team believe that the staffing structure proposed for the Transport Interchange is the minimal required to provide a level of service that supports the users of sustainable transport, promotes bus and train services, provides a positive interface for visitors and investors to the area and ensures that the building is run and maintained to an appropriate standard.
- 4.8 To support the proposed staffing structure in the first few months of the Borders Railway opening, the project team are pursuing the opportunity for volunteer involvement to act as welcome hosts to provide additional points of contact for the public to help integrate the new building and train service into the community.

## **5 Business Plan**

- 5.1 The business plan has been built based on industry guidance from the Royal Institution of Chartered Surveyors and the Competition Commission (note on calculation of departure charge). The ten year profile is provided in Table 1. (A year 1 summary and Table 1 showing the ten year estimate of the business plan is provided in Confidential Annex 2)
- 5.2 The detailed estimates that formulate the overall figures in Table 1 have been calculated based on a consultant produced life cycle analysis, contemporary utility information from the Council's other building stock and graded posts for the staffing structure.
- 5.3 The target occupancy percentages and other income streams have been based on discussion with Estates Management, but the Transport Interchange Manager will be responsible for meeting and exceeding the current expectations to minimise the impact on revenue budgets.
- 5.4 The business plan has calculated the global cost for operating the building and then split the applicable costs for charging under the following headings:
  1. Service Charge – the costs of running the building (staff, utilities, insurance, etc.) and divided by the total floor area to get a cost per square metre.
  2. Departure Charge – all costs associated with areas of the building that are used for the operation of bus services (based on a cost per square metre or service charge) and then divided by the total capacity of the seven bus stances over the year.
- 5.5 The areas of the business plan that result in a reduced annual income versus expenditure resulting in a yearly financial deficit in the early years of operation are associated with:
  1. The Council incurring the running costs (or service charge) for all areas of the building that are not leased.
  2. If the capacity of the bus stances is in excess of the current provision of bus departures, then the Council has to retain the cost of unused capacity.

- 5.6 The issue of the Council retaining the costs of the service charge for empty space within the building and the unused capacity of the bus stance (used capacity estimated at 90%) is compounded by the estimated cost for running the building being higher than what can be recovered by the Service Charge at the market rate of £60/sqm that will be charged to tenants. This results in non-recoverable cost in year one of operation.
- 5.7 All of the issues above result in the year 1 estimated deficit demonstrated in Confidential Annex 2.
- 5.8 The reality of the non-recoverable element of the business plan is that it is currently based on purely estimated information and the business plan is a living document that will have to be updated on an annual basis to include actual costs incurred to replace the estimated information and will be important for the future budgetary profiling of the building.

## **6 Departure Charge to Service Providers**

- 6.1 Using the guidance provided by the Competition Commission (note on calculation of departure charge) and the estimated costs for running the Transport Interchange, the departure charge for the building is currently calculated to be £2.68 (excluding VAT).
- 6.2 One of the objectives for the Transport Interchange project was to create a level playing field for all bus operators in relation to Departure Charges for facilities in Galashiels and an equal charge will be applied to all companies using the Transport Interchange.
- 6.3 Service providers have highlighted their concerns regarding the negative effect that the estimated departure charge of £2.68 per bus departure will have, when compared to the previous departure charge of circa £0.35. Even compared to Edinburgh Bus Station (£2.10), the proposed charge is higher and bus service providers are suggesting that this could compromise the financial viability of some commercial routes and the Council-funded contracted routes.
- 6.4 Bus operators have indicated that the proposed departure charge will add a significant amount of additional cost on to existing services that will not be recovered by additional patronage on day one of the opening of the Transport Interchange and the Borders Railway.
- 6.5 There is an obvious difference in the level of service from the old bus station in Stirling Street and the new Transport Interchange, as the level of infrastructure and services will be improved, so an increased departure charge would always be required to sustain the building.
- 6.6 One of the key objectives of the Transport Interchange is the promotion of sustainable transport modes to generate a modal shift, but we have to be realistic and acknowledge the fact that this will take time to achieve and the bus companies will only benefit from the Transport Interchange and the Borders Railway over a period of time.
- 6.7 Officers anticipate that bus companies will be looking for the Council to reduce/subsidise the proposed departure charge through the current contracts (possible contract variations) or make more routes subsidised.
- 6.8 Passenger Transport have undertaken a review of departure charges in other bus stations throughout the country and the level of departure charging ranges from £1.30 up to £2.10 for similar facilities, so a possible defensible departure charge is in the region of £1.75 (excluding VAT).

- 6.9 An option for reducing the financial impact on service providers and strengthening the position on the value of the departure charge, to defend any approach for further financial contributions to the contracted bus services would be to reduce the service charge from £2.68 to £1.75, that equates to an annual cost demonstrated in Confidential Annex 2 & 3.
- 6.10 This approach would allow the Council to better control the implications of the new service charge in the following ways:
1. The charge of £1.75 is a defensible position on the market standard for this type of facility and there should be no scope to renegotiate existing contracts, bearing in mind it is comparable with other similarly equipped facilities. Also, operators will be reminded that they have not been paying a service charge in Galashiels due to buses operating from the street during the construction works since October 2013.
  2. All of the costs and charges for the Transport Interchange will be reviewed on an annual basis so that actual costs for running the building should hopefully be less than predicted in the business plan. This will ultimately reduce the costs associated with the departure charge and the estimated annual impact.
  3. The Transport Interchange Manager will be tasked with exceeding the targets of the business plan to increase the level of income for the Transport Interchange and thus subsidising the proposed reduction in the service charge in the early years. Areas to be targeted would be accelerating the leasing of building space, looking at additional advertising, conferencing opportunities, etc. A proactive and successful marketing could generate additional income in the region of £50 – £100k per annum in the early years.
  4. As the bus operations are only at 90% capacity, the possible increase to 100% within the bus apron would generate additional income.
- 6.11 This approach should provide the Council with better control of the situation to maintain the current level of service while empowering the Transport Interchange Manager to increase the income targets in the early years to subsidise the reduction in the departure charge.
- 6.12 In the long term the departure charge will be reviewed annually and associated actual costs applied and an annual increase to the £1.75 to cover inflation as a minimum will be considered.
- 6.13 As the contracted bus services are re-procured in future years, the level of departure charge at the Galashiels Interchange can be reassessed and hopefully the competitive procurement of the services will gain financial benefits.
- 6.14 The subsidy in the departure charge would change the revenue profile as per Table 2. It should be noted that none of the additional measures identified in section 6.10 have been incorporated into this budget profile. (The updated year 1 summary and Table 2 showing the ten year estimate of the business plan is provided in Confidential Annex 3).

## **7 IMPLICATIONS**

### **7.1 Financial**

- (a) The operational model and business plan for the Transport Interchange has been included in the revenue plan as per the profile in Table 1 and there are opportunities for the Transport Interchange Manager to increase income and reduce budget deficits earlier in the ten year profile.
- (b) If bus services reduce from the Transport Interchange then that negatively affects the business plan for the building. It is in the Council's best interest to strike the balance of recovering as much income as possible to cover the positive level of service provided by the Transport Interchange and encouraging bus operators to use the facility as part of the existing bus routes.
- (c) There is of course an option to reduce the biggest cost to the building and reduce the staffing and the level of service to the public and the bus service providers. For health and safety reasons the Council is required to provide a bus reversing operative from 8am until 6pm, covering the duties of the Senior and normal Inspectors and evenings for site security. Therefore a reduced service arrangement could save one Inspector level post at £23,932 per annum but it would affect the overall level of service to the public and the emergency planning procedures for the building and bus operations.

### **7.2 Risk and Mitigations**

There is a risk that service providers take a similar stance as they did with the opening of the St. Andrews Square bus station and boycott the use of the Transport Interchange on the grounds of the departure charge and its effect on the commercial viability of bus routes. This would leave the main sustainable access link to the Borders Railway fragmented and cause negative public relations. The reduction in the service charge will have a revenue consequence on the business model for the building, which can be mitigated in the early years, but it will be defensible to service providers as being comparable with the national market.

### **7.3 Equalities**

An Equalities Impact Assessment has been carried out on this proposal and it is anticipated that there are no adverse equality implications.

### **7.4 Acting Sustainably**

The Transport Interchange will promote all sustainable means of transport and therefore promote a positive impact.

### **7.5 Carbon Management**

The Transport Interchange will promote all sustainable means of transport and therefore promote a positive impact on carbon reduction. This effect has not been quantified.

### **7.6 Rural Proofing**

N/A.

### **7.7 Changes to Scheme of Administration or Scheme of Delegation**

N/A.

## 8 CONSULTATION

- 8.1 The Chief Financial Officer, Corporate Transformation Service Director and Service Director Commercial Services have been consulted and their comments have been included in this report.

### Approved by

**Name: Phillip Barr**

**Signature .....**

**Title: Depute Chief Executive - Place**

### Author(s)

Name	Designation and Contact Number
Ewan Doyle	Project Management Team Leader – 01835 825124
Timothy Stephenson	Passenger Transport Manager – 01835 825182

### Background Papers:

**Previous Minute Reference:** Council 25 February 2010, Executive Committee 21 May 2013

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Ewan Doyle can also give information on other language translations as well as providing additional copies.

Contact us at Ewan Doyle, [edoyle@scotborders.gov.uk](mailto:edoyle@scotborders.gov.uk) 01835 825 124

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**DRAFT STRATEGIC PLAN – A CONVERSATION WITH YOU**

**Report by Chief Officer, Health & Social Care Integration**

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**SCOTTISH BORDERS COUNCIL**

**2 APRIL 2015**

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**1 PURPOSE AND SUMMARY**

- 1.1 This paper sets out the documentation to be used for an initial engagement and consultation process for the Strategic Commissioning Plan during April and May 2015.**
- 1.2 As required by the Public Bodies (Joint Working) (Scotland) Act 2014 – The Strategic Commissioning Plan will lay out the health and social care priorities for the Borders within an integrated framework in which the Council will jointly use its resources with NHS Borders.
- 1.3 It is proposed that the appended First Draft of the Strategic Commissioning Plan be used to generate the widest possible interest in engaging people in the early development of the Plan.

**2 RECOMMENDATIONS**

- 2.1 I recommend that the Committee agrees to approve Appendix 1 as the documentation to be used for the first phase of the joint engagement and consultation process in support of the creation of a Borders Strategic Commissioning Plan.**

### **3 BACKGROUND & PROPOSAL**

- 3.1 The Strategic Commissioning Plan is not only a statutory requirement but is also driven by local and national policy and aims to meet the needs of adults now and in the future, by working within available financial and workforce resources and by tackling inequalities, along with offering new ways of working and early preventative measures.
- 3.2 The final Plan is to be of three year's duration and will be reviewed and rolled-on each year.
- 3.3 This is the first version of the Plan and builds on the progress that has already been made by NHS Borders, Scottish Borders Council and their partners to improve and re-design local services.
- 3.4 A wide range of information has been drawn on to start to form a case for change and this consultation draft Plan profiles the all important Strategic Objectives derived from National Outcomes in which future ambitions are directed.

#### **Engagement and Consultation**

- 3.5 The Strategic Commissioning plan requires to be co-produced with all key stakeholders and therefore this first engagement exercise during April and May 2015 will provide an opportunity to do this. Key stakeholders will have the opportunity to express views, opinions and thoughts on the draft plan whilst also contributing to the next version of the plan which will then be subjected to a full formal 3 month consultation exercise from July 2015.
- 3.6 Future work on the Plan will be based on what is learned from this engagement and consultation exercise by listening to people in the Borders – patients, service users, carers, members of the public, clinicians and professionals and other partner organisations.
- 3.7 Other key stakeholders that will be part of this exercise are listed below and a fully detailed Communications and Engagement Plan will underpin this work.
- SBC Elected Members
  - Community planning partners
  - Community councils
  - Area Forums
  - Other Health Boards and special boards
  - NHS Borders Board, Advisory Committees and Non-Executives Directors
  - Independent contractors
  - Participation Network - including public partnership forum and public reference group
  - Scottish Government
  - MPs, MSPs
  - Media
  - Third Sector (voluntary groups/organisations)



- Commissioned service providers
- Joint service providers
- Public Governance Committee
- Cross Borders patient flows/neighbour Boards
- Equality Forum
- Children & Young People

3.8 Community events will also take place across all localities during this exercise in the following towns:

- Duns
- Eyemouth
- Jedburgh
- Kelso
- Galashiels
- Selkirk
- Lauder
- Hawick
- Peebles

3.9 Dates for these sessions are currently being scoped but will take place during May 2015. These will be open to all staff and public and will be widely advertised in advance.

3.10 A launch will take place as part of this exercise and this will include press release, advertisement of the events and awareness of how people can get involved. Full use will be made of all standard SBC and NHS Borders communication channels to deliver key messages and encourage engagement.

## **4 IMPLICATIONS**

### **4.1 Financial**

There are no costs attached to any of the recommendations contained in this report. Associated costs of undertaking the consultation and engagement exercise will be met through financial resources allocated to the project and also through existing staff resource.

### **4.2 Risk and Mitigations**

If Scottish Borders Council and NHS Borders do not conduct an initial consultation exercise there is a potential risk that the requirements of the integration legislation and associated guidance will not be fulfilled i.e. the people who use and provide services and others will not have an opportunity to be involved in the development of the Plan from its earliest stages.

### **4.3 Equalities**

An Equalities Impact Assessment is being conducted alongside the development of the Plan. At this stage no adverse equality implications are being anticipated in response to the recommendation contained in this report.

### **4.4 Acting Sustainably**

The recommendations in this report support community participation through involving the community in developing and implementing the project, improving community capacity and encouraging local action and decision making.

**4.5 Carbon Management**

There should be no impact on the Councils' Carbon emissions.

**4.6 Changes to Scheme of Administration or Scheme of Delegation**

There are no changes to the Scheme of Administration or the Scheme of Delegation as a result of the proposals in this report.

**5 CONSULTATION**

5.1 The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, Clerk to the Council, Director Head Strategy and Policy, Chief Officer Audit and Risk and Chief Officer HR are being consulted and any comments received will be reported at the meeting.

**Approved by**

**Name** Susan Manion **Signature** .....  
**Title** Chief Officer, Health & Social Care Integration

**Author(s)**

Name	Designation and Contact Number
Eric Baijal	Joint Director of Public Health
Bob Howarth	Programme/Planning Manager

**Background Papers:** Nil  
**Previous Minute Reference:** Nil

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Bob Howarth can also give information on other language translations as well as providing additional copies.

Contact Bob Howarth, People Department, Scottish Borders Council, Council Headquarters, Newtown St. Boswells, Melrose TD6 0SA. Tel: 01835 825080

# draft strategic plan

2015 -18

a conversation with you

*Working together with all of our communities to improve and sustain well-being, care and promote equity*



# FOREWORD



NHS Borders and Scottish Borders Council are working together in a new way to bring together health and social care. The purpose is to deliver better outcomes for our residents. Specifically we want to ensure that people live healthier, longer lives, can be independent and have choice and control no matter who they are or where they live in the Scottish Borders.

We know that many individuals and families live in circumstances of economic hardship, that our population is ageing and that we are caring for more people with complex needs. We also know that there are significant differences – inequalities – between and within our communities. We are committed to working alongside all our partners to prevent and undo inequalities.

Health and social care services are being brought together on a multi – agency basis to address these challenges. The Partnership will also work with acute services to reduce avoidable admissions to hospital, as well as the need for emergency admissions to hospital.

We want to ensure that we engage with individuals at an early stage in their health journey. Getting involved at this stage helps prevent conditions becoming chronic and in turn can lead to better long term outcomes. We know that people living with a number of long-term and complex health conditions have a better quality of life when they are able to manage and be more in control of their health and care. And by providing support and assistance can ensure that they live well and independently for longer.

We will work with Public Health specialists to understand and tackle the patterns of ill health in our communities. The present economic climate also means we have to make the most efficient use of the money we have to deliver more personalised, better services.

In order to support this new partnership we have developed an initial three-year strategy to help us plan and deliver services for both current need but also the needs of people in the future.

We want to know what people across the Borders think services should be like in the future. So that we can develop services that are more personalised and responsive to people's needs.

It is also an opportunity for you to comment and share your ideas on our proposals. We want to hear as many views as possible and would encourage you to participate and help shape our plans for the future.

This is not a static document. It is a live strategic plan and as such we look forward to engaging with all those with an interest in health and social care to deliver on our plan between now and 2018.

A handwritten signature in black ink, appearing to read 'Susan Manion'.

**Susan Manion**

Chief Officer Scottish Borders Health and Social Care Partnership  
April 2015

# WHAT IS...

## ... The Scottish Borders Health and Social Care Partnership?

The Scottish Borders Health and Social Care Partnership is an integrated partnership between Scottish Borders Council and NHS Borders which replaces the Community Health Partnership.

The Partnership will be accountable for delivering a range of nationally agreed outcomes which will apply across adult health and social care. There is also a requirement on Health Boards and Local Authorities to integrate adult health and social care budgets and to strengthen the role of clinicians and care professionals, along with charities, voluntary and community groups, in the planning and delivery of services.

## ... The Strategic Commissioning Plan?

The Strategic Commissioning Plan describes how the Scottish Borders Health and Social Care Partnership will make changes and improvements to develop health and social services for adults over the coming three years. It explains what our priorities are, why and how we decided them and how we intend to make a difference working closely with partners in and beyond the Borders.

The Plan is underpinned by a number of national and local policies, strategies and action plans. It will provide the strategic direction for how health and social care services will be shaped in this area in the coming years and describes the transformation that will be required to achieve this vision.

Health, wellbeing and social care are really important to communities and individuals.

## ... Strategic Commissioning?

“Strategic commissioning is the term used for all the activities involved in assessing and forecasting needs, links investment to all agreed desired outcomes, considering options, planning the nature, range and quality of future services and working in partnership to put these in place.” – National Steering Group for Strategic Commissioning 2012

# OUR VISION

## Our Vision

The Scottish Borders Health and Social Care Partnership wants to make the most of opportunities to promote health and wellbeing and achieve the best for the people of the Scottish Borders, joining up what were separate services to provide better adult health and social care.

## Our aims

**In order to achieve our vision, our Partnership plans to:**

- Improve outcomes for service users and carers
- Make services easily accessible with clear available information
- Deliver quality services in a person's own home or community in a timely way
- Have open, transparent and understandable governance arrangements
- Make effective use of resources and delivery of agreed efficiencies across the partnership
- To develop a flexible skilled workforce
- Meet agreed performance targets

# OUR CASE FOR CHANGE

## Why do we need to change?

Making the case for change is at the centre of this plan. We recognise that the way we provide care needs to change in order to meet both current and future challenges. If we do nothing, health and care services as they are will not be able to deliver the high quality service we expect.

**There are a number of reasons why we need to change, which include:**

- Rising demand
- Services are costly
- People could get better results

## Services working in partnership

Through bringing the Scottish Borders Health and Social Care together through our Partnership, we have the opportunity to improve our outcomes through joint working; better communication, improved efficiency and reduced duplication of work and effort.

The people of the Scottish Borders must be at the heart of redesigning services. They will be involved in designing changes to services which will focus on people and put them first. Through working together, we can start to tackle the issues identified in our Joint Needs Assessment, recognising the assets we have available within partnerships and through people whilst also taking advantage of opportunities such as volunteering and learning to maximise outcomes for people and improved wellbeing.

### A SNAPSHOT OF THE SCOTTISH BORDERS

- 1 district general hospital
- 4 community hospitals providing 87 beds for care and rehabilitation
- 4 local authority care home
- 23 GP practices
- 28 pharmacies
- 15 opticians
- 18 dentists
- 1370 people use home care services

# OUR INTEGRATED SERVICES

## Which health and social care services are we integrating?

Our Partnership will be responsible for all adult social care, adult primary and community health care services and elements of adult hospital care which will offer the best opportunities for service redesign. The total resource within the Partnership is £ 136.7 million.

The Partnership has a key relationship with acute services in relation to unplanned hospital admissions and will continue to work in partnership with Community Planning Partners. This includes charities, voluntary and community groups so that, as well as delivering flexible, locally-based services, we can also work in partnership with our communities.

### NHS

- Allied Health Professionals Services
- Community Addiction Services
- Community Geriatric Services
- Community Learning Disability Services
- Community Palliative Care
- Continence Services
- Mental Health Services
- General dental services
- GP Out of hours
- Kidney dialysis (outwith hospitals)
- Public Dental Service
- Primary medical service provided under a general medical services contract
- Community Pharmacy Services
- Ophthalmic Services
- Services provided by health professionals that aim to promote Public Health

### SCOTTISH BORDERS COUNCIL

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

It is forecasted that 1 in 4 people born now will live to be over 100 years old.



# OUR OBJECTIVES

## Our local strategic objectives

1. We will make services more accessible and develop our communities
  - We want to improve access to our services, but also to assist people and communities to help and support themselves too.
  - We will develop local responses to local needs.
  - We will communicate in a clear, open and transparent manner

*Strong communities are a real asset of the Scottish Borders. Community capacity building has the potential to significantly improve the health and independence of people with health and social care needs.*

2. We will improve prevention and early intervention
  - We will prioritise preventative, anticipatory and early intervention approaches.
  - We want to shift and focus services towards the prevention of ill health, to anticipate at an early stage the need for support and to react where possible to prevent crisis.

*Ensuring people who are struggling to manage independently can be rapidly supported through a range of services that meet their individual needs has been a focus for the development of new ways of working.*

3. We will reduce avoidable admissions to hospital
  - We want to reduce unnecessary demand for services including hospital care. If a hospital stay is required we will minimise the time that people are delayed in hospital.

*By having the appropriate support in the right place at the right time, we can ensure people are supported to remain in their own homes.*

# OUR OBJECTIVES cont...

## Our local strategic objectives (continued)

4. We will provide care close to home

- We will support people to live independently and healthily in local communities.

*Easily accessible care which meets the needs of the local communities allows people to receive their care close to home and build stronger relationships with care providers.*

5. We will deliver services within an integrated care model

- We will ensure robust and comprehensive partnership arrangements are in place.
- We will pro-actively integrate health and social care services and resources for adults.
- We will integrate services and staff supported by the development of integrated strategy, systems and procedures

*Through working together, services will become more efficient and effective providing a better service to people who use their services and more satisfaction to those who provide the service.*

6. We will seek to enable people to have more choice and control

- We will ensure the principles of choice and control, as specified in Self Directed Support, are extended across all health and social care services.

*Allowing people to have more choice and control of their health and social care services means they can receive the services they want to receive at times they want to receive them.*

7. We will further optimise efficiency and effectiveness

- We will institute a transformational change programme across the functions delegated to the Partnership.
- We will efficiently and effectively manage resources to deliver Best Value.
- We will support and develop our staff.

*Strategic Commissioning requires us to constantly analyse, plan, do and review our services allowing us flexibility to change the way we do things if certain ways aren't working and to share.*

8. We will seek to reduce health inequalities

- We want to reduce inequality in particular health inequality, and support and protect those vulnerable in our communities.

*Ensuring that people do not miss out on services because for example of a lack of easy access to transport or a health condition.*

# NATIONAL OUTCOMES

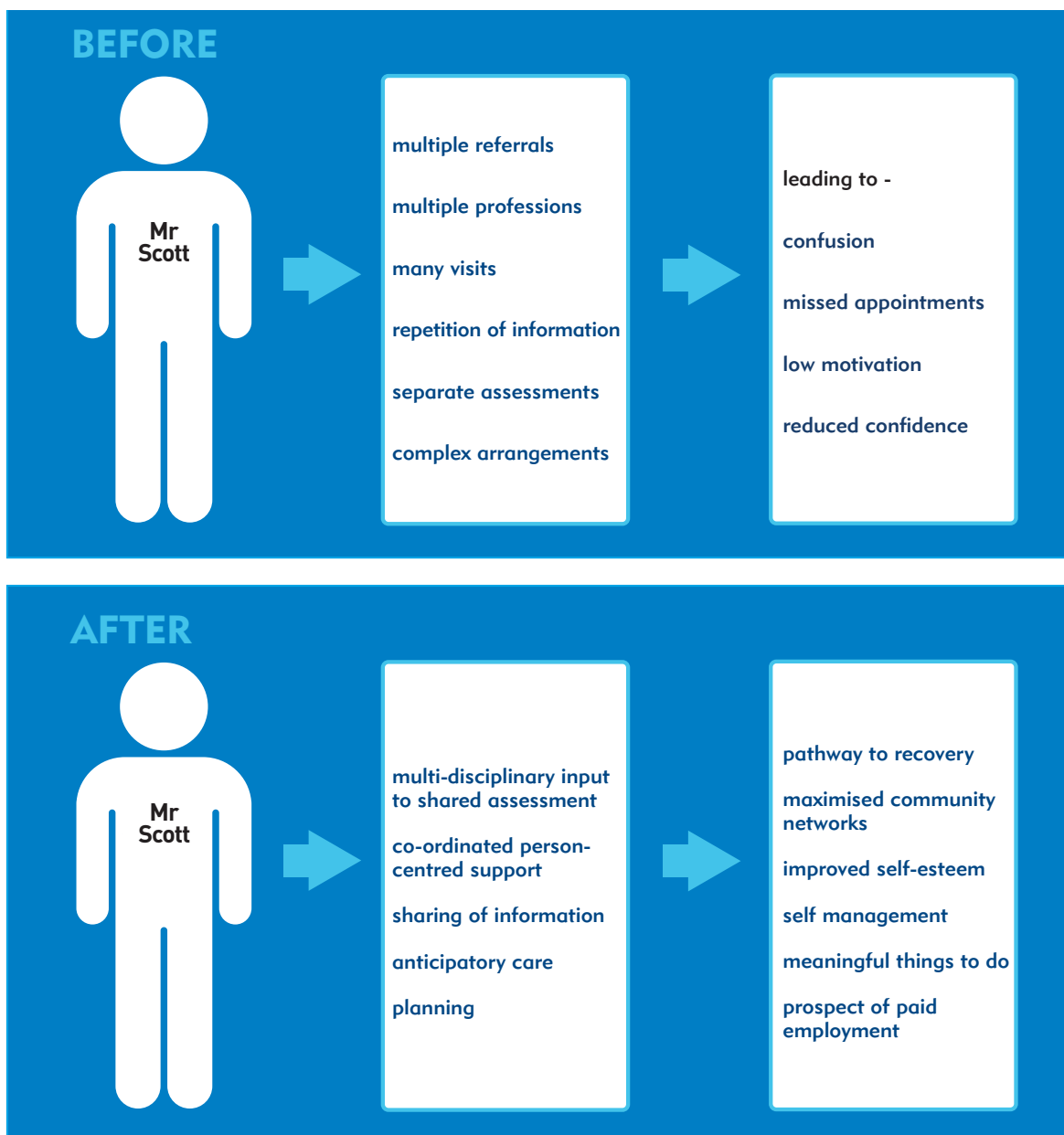
## What are the National Health and Social Care Outcomes?

There are nine National Outcomes agreed by the Scottish Government that our Partnership will need to deliver against:

Nine National Outcomes	
1 Healthier living	People are able to look after and improve their own health and wellbeing, and live in good health for longer
2 Independent living	People, including those with disabilities, long-term conditions, or who are frail, are able to live as far as reasonably practicable, independently at home, or in a homely setting, in their community. This outcome aims to ensure delivery of community based services, with a focus on prevention and anticipatory care, to mitigate against avoidable emergency admissions to hospital. It recognises that independent living is key to improving health and well-being
3 Positive experiences and outcomes	People who use health and social care services have positive experiences of those services, and have their dignity respected. It is important that health and social care services take full account of the needs and aspirations of the people who use services. Person centred planning and delivery of services will ensure that people receive the right service at the right time, in the right place, and services are planned for and delivered for the benefit of people who use the service
4 Quality of life	Health and social care services are centred on helping to maintain or improve the quality of life of service users. Everyone should receive the same quality of service no matter where they live. This outcome provides for any on-going focus on continuous improvement in relation to health and care services.
5 Reduce health inequality	Health and social care services contribute to reducing health inequalities. This outcome is focussing upon the role of services in seeking to reduce the gap in health inequalities.
6 Carers are supported	People who provide unpaid care are supported to reduce the potential impact of their caring role or their own health and well-being. This outcome acknowledges the support carers require including the maintenance of their own health and well-being.
7 People are safe	People who use health and social care services are safe from harm. In carrying out our responsibilities, we must ensure that the planning and provision of health and social services and supports protects individuals from harm.
8 Engaged workforce	People who work in health and social care services are supported to continuously improve the information, support, care and treatment they provide, and feel engaged with the work they do
9 Resources are used effectively and efficiently	To deliver Best Value Services and Supports

# CASE STUDY: MR SCOTT

Mr Scott is a 40-year old man who lives in the Borders. As a result of a range of long-term health and social care problems, he needs care and support. His problems include a diagnosis of Bipolar illness, obesity, type 2 diabetes and a lack of physical and social activity. He is currently unemployed and lives alone. Mr Scott's elderly father recently passed away and as a result he moved from Peebles to Duns to make a new start. Mr Scott is currently claiming welfare benefits.



# POPULATION 2013

All people  
**113,870**



**58,563**

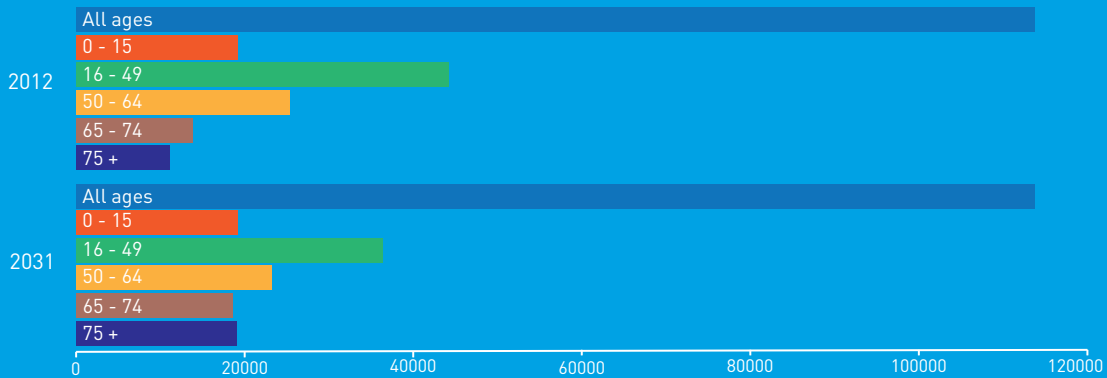


**55,307**

Age 0-15	<b>19,029</b>	<b>17%</b>
Age 16-49	<b>43,617</b>	<b>38%</b>
Age 50-64	<b>25,522</b>	<b>22%</b>
Age 65-74	<b>14,422</b>	<b>13%</b>
Age 75 +	<b>11,280</b>	<b>10%</b>

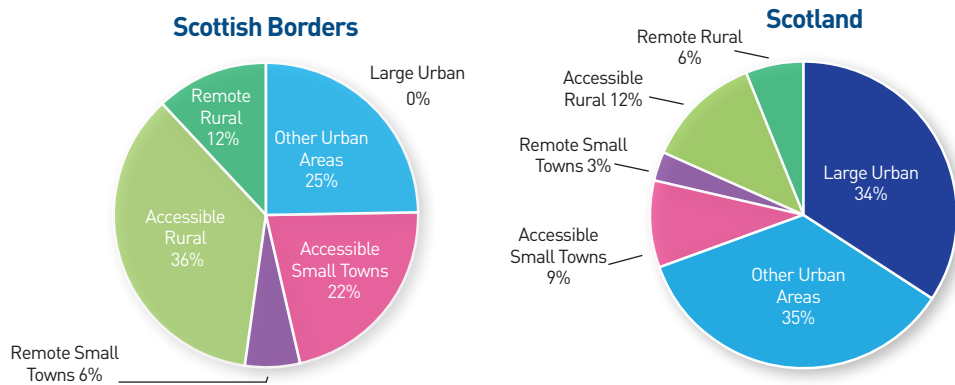
Source: National Records of Scotland, mid-year population estimates

## PROJECTED CHANGES IN POPULATION BY AGE GROUP 2012 TO 2031



Source: National Records of Scotland, 2012-based population projections

## POPULATION SHARES (%) BY URBAN/RURAL AREA 2012



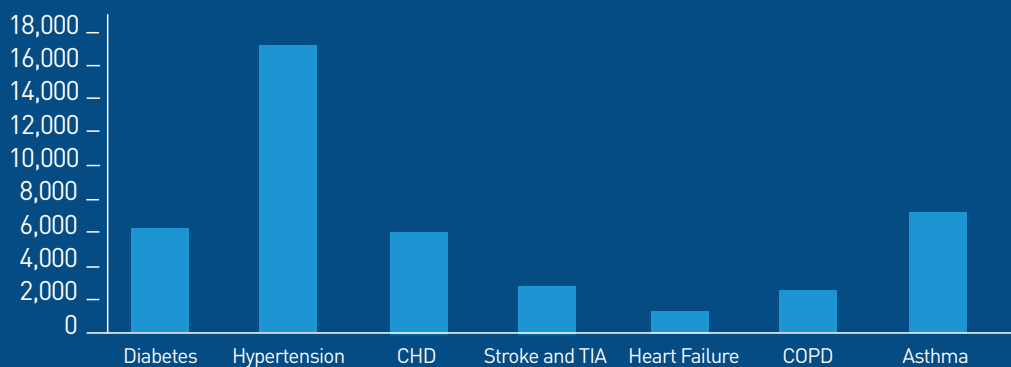
Source: Scottish Government Urban/Rural Classification 2013/14 and National Records of Scotland

## HOUSEHOLD COMPOSITION

	Scottish Borders	Scotland
One-person household, aged under 65	19%	22%
One-person household, aged 65+	15%	13%
Couple/family everyone aged 65+	10%	8%

Source: Scotland Census 2011

## LONG TERM CONDITIONS



Sources: Scottish Diabetes Survey; QOF

## DEMENTIA

People known to GP practices as having dementia (2014)

# 1,027

Over the coming years, the total number of people with dementia in Borders is predicted to

## More than double

Sources: QOF; Scottish Government projections based on Alzheimer Scotland methodology

## DISABILITIES AND SENSORY IMPAIRMENT

**601**

people with Learning Disabilities known to Scottish Borders in 2013

**6,995**

6,995 people with a physical disability in 2011 (Scotland Census)

**500**

people estimated who are blind or have severe sight loss

**1,800**

people estimated with severe or profound hearing loss

**Sources:**

Electronic "Same as You" report 2013  
Scotland Census 2011

Estimated hearing loss/sight loss prevalence rates for UK, applied to Scottish Borders population

## HOSPITAL INPATIENT CARE 2010-2012

**27,734** Emergency admissions to hospital

**3,520** Patients aged 65+ with two or more emergency admissions in a year

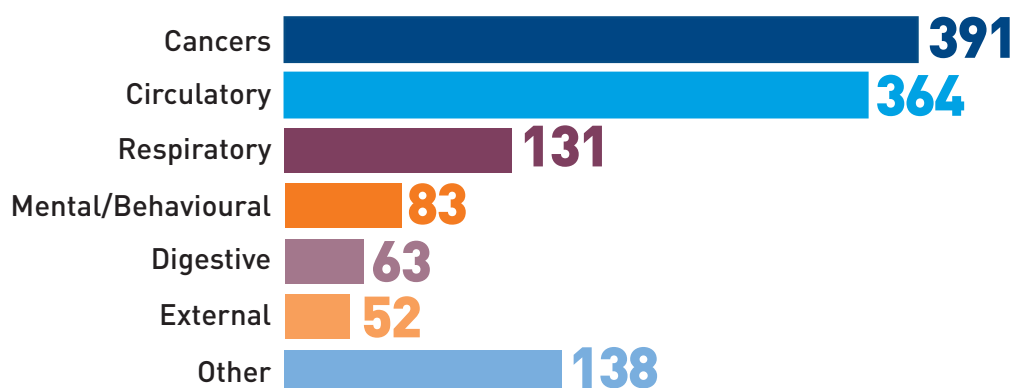
**1,695** Patients hospitalised with coronary heart disease (CHD)

**1,075** Patients hospitalised with cerebrovascular disease (including stroke)

**665** Patients hospitalised with chronic obstructive pulmonary disease (COPD)

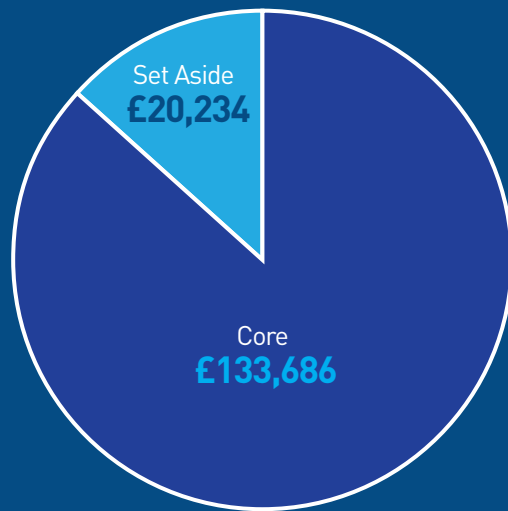
Source: ScotPHO Health and Wellbeing Profiles 2014

## NUMBERS OF DEATHS BY CAUSE IN 2013



Source: National Records of Scotland

# HEALTH AND SOCIAL CARE SPENDING 2012/13



Learning Disability	£18,130
Mental Health	£15,065
Community Hosptials	£4,690
GP Prescribing	£21,552
AHP Services	£5,364
General Medical Service	£15,887
Dental Service	£4,184
Community Pharmacy	£3,690
Older People	£26,669
Physical Disability	£2,897
Localities	£2,636
Other	£15,922

Source: Integrated Resource Framework (IRF) developmental analysis, ISD, NHS National Services Scotland.



# YOUR VIEWS AND CONTRIBUTION

We want to hear your thoughts and views and help us shape our Strategic Plan moving forward. What matters to you is important to us and this is your opportunity to influence the way our services are delivered through Health and Social Care.

Please return this response sheet by xx at the latest to the FREEPOST address detailed below. Alternatively, you can complete the Electronic Feedback Form which you will find by clicking on the following link: xx

QUESTION 1: Do you understand why we need to join up our services?

QUESTION 2: Do you understand the need for change and why this is important for future services?

QUESTION 3: What do you think are the key challenges in your area in delivering health & social care services?

QUESTION 4: Do you agree with the comments outlined within the draft plan?

QUESTION 5: Are there any objectives missing, if so can you please provide an example?

QUESTION 6: Do you have any other comments you wish to make?

### Alternative format/language paragraph

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這份資料冊另備有錄音帶、大字體版本以及多種其他格式。你可以透過以下地址與我們聯絡，索取不同版本。此外，你也可以聯絡以下地址索取本資料的中文和其他外文譯本或索取更多拷貝。亦可要求我們做出安排，由我們的工作人員當面為你解釋你對這份出版物中的不明確之處。

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Чтобы получить данный документ в записи на пленке, в крупношрифтовой распечатке и в других различных форматах, вы можете обратиться к нам по приведенному ниже адресу. Кроме того, по данному адресу можно обращаться за информацией о переводе на различные языки, получении дополнительных копий а также с тем, чтобы организовать встречу с сотрудником, который сможет редставить объяснения по тем разделам публикации, которые вам хотелось бы прояснить.

SCOTTISH BORDERS COUNCIL

Council Headquarters | Newtown St Boswells | MELROSE | TD6 0SA

email: [integration@scotborders.gov.uk](mailto:integration@scotborders.gov.uk)

[www.scotborders.gov.uk/info/900076/current\\_projects/1414/health\\_and\\_social\\_care\\_integration\\_in\\_the\\_borders](http://www.scotborders.gov.uk/info/900076/current_projects/1414/health_and_social_care_integration_in_the_borders)



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## **INTEGRATION OF HEALTH & SOCIAL CARE – SCHEME OF INTEGRATION AND MEMBERSHIP INTEGRATION JOINT BOARD**

**Report by Depute Chief Executive People**

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**Scottish Borders Council**

**2 APRIL 2015**

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### **1 PURPOSE AND SUMMARY**

- 1.1 **This report updates Members on the progress made in the drafting of the Scheme of Integration and its submission to the Scottish Government. The report also seeks amendments to the Health and Social Care Integration Joint Board within the Scheme of Administration to reflect the Scheme of Integration.**
- 1.2 The final draft of the Scheme of Integration has now been submitted to Scottish Ministers and is attached at Appendix 1 for information only. The draft will be appraised by the Scottish Government and there is likely to be a period of refinement in the light of feedback received. A final draft will be brought for consideration to Council once agreement has been reached with Scottish Ministers.
- 1.3 In order to assist the changeover from the Shadow Integration Joint Board to the full Integration Joint Board, it is proposed to amend the current Scheme of Administration to reflect the Scheme of Integration submitted to Scottish Ministers. Detailed in Appendix 2 are the changes proposed to the existing Health and Social Care Shadow Integration Joint Board.

### **2 RECOMMENDATIONS**

- 2.1 **I recommend that Council**
  - (a) **notes the final Scheme of Integration, detailed in Appendix 1, which was submitted to Scottish Ministers on 31 March 2015;**
  - (b) **agrees that the final Scheme of Integration be brought to the earliest Council meeting for ratification, once it has been approved by Scottish Ministers; and**
  - (c) **approves the amendments to the Health and Social Care Integration Joint Board within the Scheme of Administration, as detailed in Appendix 2.**

### **3 SCHEME OF INTEGRATION**

- 3.1 At its meeting held on 18 December 2014, Council agreed to:
- (a) give approval to proceed to consult on the draft Scheme of Integration;
  - (b) delegate authority to the Chief Executive (SBC) – in consultation with the Chief Executive (NHS) and the Shadow Integration Board – to approve the final Scheme for submission to Scottish Ministers by 31 March 2015; and
  - (c) ratify the final integration scheme at the Council meeting on 2 April.
- 3.2 Consultation over the draft Scheme of Integration (“the Scheme”) took place between 22 December 2014 and 13 March 2015. This involved a launch of the Scheme with a news release, emailing of identified stakeholders, publishing details on the Council’s website and a series of public meetings in the five localities in February 2015. Overall there were 9 responses received and the public meetings attracted just under 70 people.
- 3.3 The Scheme has been updated over this period by Project Groups and comments from respondents have been incorporated as appropriate. The draft has also been developed with reference to published guidance from the Scottish Government and a copy of the submitted Scheme is attached for information only at this stage.
- 3.4 The submitted Scheme will now be reviewed by the Scottish Government, a process which is likely to take about 6 weeks. At the end of the review the Partnership will receive feedback on areas where further development and/or clarification is required. This process may be repeated as the Scheme becomes refined. As a result, it is not possible to ratify the Scheme of Integration at this stage

### **4 HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD**

- 4.1 On approval of the Scheme of Integration by Scottish Ministers, Orders will be laid in Parliament to establish the Integration Joint Board. This is anticipated to be in October 2015. The Integration Joint Board must then approve its Strategic Plan before 1 April 2016. The Strategic Plan will contain the date on which functions and resources are to be delegated to the Integration Joint Board, which must be by 1 April 2016 at the latest.
- 4.2 Although the Integration Joint Board exists as an entity from 1 April 2015, the Council and the Health Board cannot formally delegate their functions to this Joint Board until the Strategic Plan is agreed. Until this happens the Integration Joint Board will in effect act in an advisory capacity to both the Council and the Health Board.
- 4.3 In order to assist the changeover from the Shadow Integration Joint Board to the full Integration Joint Board, it is proposed to amend the current Scheme of Administration to better reflect the Scheme of Integration submitted to Scottish Ministers. Detailed in Appendix 2 are the changes proposed to the existing Health and Social Care Shadow Integration Joint Board, namely:

- (a) remove the word "Shadow" from the title of the Board;
- (b) amend the number of Elected Members and NHS Members from 6 to 5 each;
- (c) allow the Board to identify the number of non-voting members of the Board; and
- (b) reflect the sections contained in the Scheme of Integration in the remit of the Integration Joint Board rather than specific functions which will allow any changes made by Scottish Ministers to be incorporated without the need to make changes to the remit until the Strategic Plan has been approved.

## 5 IMPLICATIONS

### 5.1 Financial

There are no specific costs attached to any of the recommendations contained in this report. Group members will be eligible for reasonable expenses and provision for this will be made within the Integration Joint Board budget.

### 5.2 Risk and Mitigations

There is a risk that, if the proposal is not approved, the Council and NHS Borders will not be able to comply with the legislation or, if delayed, will not be able to meet the agreed timescales in terms of having a Strategic Commissioning Plan in place by end of October this year.

### 5.3 Equalities

An Equalities Impact Assessments has been carried out on this proposal. It is anticipated that there will be no adverse equality implications.

### 5.4 Acting Sustainably

There are no adverse effects arising from the proposal.

### 5.5 Carbon Management

There are no adverse effects arising from the proposal.

### 5.6 Rural Proofing

There are no adverse effects arising from the proposal.

### 5.7 Changes to Scheme of Administration or Scheme of Delegation

The changes which are proposed to be made to the Scheme of Administration are detailed in Section 5 of the report and also in Appendix 2.

## 6 CONSULTATION

- 6.1 The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, Service Director Capital Projects, the Chief Officer Audit and Risk, the Chief Officer HR, and the Joint Director of Public Health are being consulted and any comments received will be reported at the meeting

**Approved by**

**Jeanette McDiarmid**  
**Depute Chief Executive People**

**Signature .....**

**Author(s)**

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**Background Papers:** Health and Social Care Integration Scheme for the Scottish Borders submitted to Scottish Ministers

**Previous Minute Reference:** Scottish Borders Council, 18 December 2014

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. James Lamb can also give information on other language translations as well as providing additional copies.

Contact us at Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, Scottish Borders, TD6 0SA tel. 01835 826665 fax. 01835 825431.

# Health and Social Care Integration Scheme for the Scottish Borders

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## Preface

The Public Bodies (Joint Working)(Scotland) Act 2014 requires Health Boards and Local Authorities to integrate planning for, and delivery of, certain adult health and social care services. They can also choose to integrate planning and delivery of other services – additional adult health and social care services beyond the minimum prescribed, and children’s health and social care services:

The Act requires that the Local Authority and the Health Board jointly prepare, consult and then agree an Integration Scheme for the Local Authority Area, prior to them submitting it to Scottish Ministers for final approval. The Act states that the purpose of an integration scheme is to set out:

- which integration model is to apply; and
- the functions that are to be delegated in accordance with that model.

The Act also requires that the Health Board and the Local Authority undertake a joint consultation as part of the preparation of their integration scheme. This Integration Scheme describes how the new Act will be applied within the Scottish Borders.

Individuals and communities in the Scottish Borders have benefited from the integration of designated Health and Social Care services already. This Integration Scheme has been informed by considerable local experience of developing and delivering integration in practice; and also benefitted from a considerable amount of on-going dialogue and positive interaction with a range of stakeholders over recent years. The Health Board and the Local Authority are committed to continuing that constructive engagement.

The legislation supporting Health and Social Care Integration, through the Integrated Joint Board, offers the opportunity for Councillors and Health Board non-Executive Directors to work together to plan for a future health and care service able to meet the demands of the future. The Integrated Joint Board will plan and commission services to ensure we meet our national and local outcomes all based on providing a more person centred approach with a focus on supporting individuals, families and communities.

In line with the legislation, the Integrated Joint Board will not only plan but also oversee the delivery of the integrated services for which it has responsibility. In line with its strategic plan, the Integrated Joint Board will ask that the Council and NHS Board provide services to match what is required and it will oversee performance and targets to ensure that delivery is in line with the outcomes.



## 1. Introduction

- 1.1 The Public Bodies (Joint Working) (Scotland) Act 2014 (the Act) requires Health Boards and Local Authorities to integrate planning for, and delivery of, certain adult health and social care services. They can also choose to integrate planning and delivery of other services – additional adult health and social care services beyond the minimum prescribed by Ministers, and children’s health and social care services.
- 1.2 The Act requires them to prepare jointly an Integration Scheme setting out how this joint working is to be achieved. There is a choice of ways in which they may do this: the Health Board and Local Authority can either delegate .between each other, or can both delegate to a third body called the Integration Joint Board. Delegation between the Health Board and Local Authority is commonly referred to as a “lead agency” arrangement. Delegation to an Integration Joint Board is commonly referred to as a “body corporate” arrangement.
- 1.3 This document uses the model Integration Scheme where the “body corporate” arrangement is used and sets out the detail as to how the Health Board and Local Authority will integrate services. Section 7 of the Act requires the Health Board and Local Authority to submit jointly an Integration scheme for approval by Scottish Ministers.
- 1.4 Once the scheme has been approved by the Scottish Ministers, the Integration Joint Board (which has distinct legal personality) will be established by Order of the Scottish Ministers.
- 1.5 The Act requires that an Integration Scheme once approved must be re-submitted and follow the consultation process set out in the regulations if it is to be amended. Changes to documents referred to within the Integration Scheme (eg Workforce Plan) do not require the Integration Scheme to go through this process – only changes to the Integration Scheme itself.
- 1.6 As a separate legal entity the Integration Joint Board has full autonomy and capacity to act on its own behalf and can, accordingly, make decisions about the exercise of its functions and responsibilities as it sees fit. However, the legislation that underpins the Integration Joint Board requires that its voting members are appointed by the Health Board and the Local Authority, and is made up of Councillors, NHS Non-Executive Directors, and other members of the Health Board where there are insufficient NHS Non-Executive Directors. Whilst serving on the Integration Joint Board its members must carry out their functions under the Act on behalf of the Integration Joint Board itself, and not as delegates of their respective Health Board or Local Authority.
- 1.7 The Integration Joint Board is responsible for the strategic planning of the functions delegated to it and for ensuring oversight of the delivery of its

functions through the locally agreed operational arrangements set out within the Integration Scheme in Section 4. This scheme covers the health and wellbeing of all adults including older people. It does not include childrens services. Further, the Act gives the Health Board and the Local Authority, acting jointly, the ability to require that the Integration Joint Board replaces their Strategic Plan in certain circumstances. In these ways, the Health Board and the Local Authority together have significant influence over the Integration Joint Board, and they are jointly accountable for its actions.

## **2. Vision, Aims and Outcomes of the Integration Scheme**

- 2.1 Scottish Borders Council and Borders Health Borders will build on a history of partnership working. By maximising the opportunities presented through legislation we aim to achieve the highest outcomes for the people of the Scottish Borders. By creating our new integrated arrangements across health and social care we will enhance, strengthen and develop the formerly separate services for the provision of adult health and social care. By integrating service delivery and fulfilling the expectations of our Strategic Plan we seek to enhance and promote the health and wellbeing of the people of the Scottish Borders.
- 2.2 Working with the Third and Independent Sector we will provide a unified approach across the public sector with a common sense of purpose. We will engage with service users, carers, staff and members of the public to empower individuals and communities to be a driving force for how the services will be shaped and developed. In turn we will deliver the best possible services that will be safe, of the highest quality, person centred, efficient and fair.
- 2.3 The main purpose of integration is to improve the wellbeing of people who use health and social care services, particularly those whose needs are complex and involve support from health and social care at the same time. The Integration Joint Board will set out within its Strategic Plan how it will deliver the National Health and Wellbeing Outcomes prescribed by the Scottish Ministers in Regulations under Section 5(1) of the Act namely:
- People are able to look after and improve their own health and wellbeing and live in good health for longer.
  - People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.
  - People who use health and social care services have positive experiences of those services, and have their dignity respected.
  - Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.
  - Health and social care services contribute to reducing health inequalities.

- People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and wellbeing.
- People using health and social care services are safe from harm.
- People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.
- Resources are used effectively and efficiently in the provision of health and social care services.

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## Integration Scheme

### The parties:

**Scottish Borders Council**, established under the Local Government (Scotland) Act 1994 and having its principal offices at Newtown St Boswells, Melrose, Roxburghshire, TD6 OSA (“the Council”);

and

**Borders Health Board**, established under section 2(1) of the National Health Service (Scotland) Act 1978 (operating as “NHS Borders”) and having its principal offices at Borders General Hospital, Melrose, Roxburghshire, TD6 9BS (“NHS Borders”) (together referred to as “the Parties”)

### 1. Definitions and Interpretation

1.1 In this Integration Scheme, the following terms shall have the following meanings:-

- “The Act” means the Public Bodies (Joint Working) (Scotland) Act 2014;
- “Integration Joint Board” means the Integration Joint Board to be established by Order under section 9 of the Act;
- “Outcomes” means the Health and Wellbeing Outcomes prescribed by the Scottish Ministers in Regulations under section 5(1) of the Act
- “The Integration Scheme Regulations” means the Public Bodies (Joint Working) (Integration Scheme) (Scotland) Regulations 2014
- “Integration Joint Board Order” means the Public Bodies (Joint Working) (Proceedings, Membership and General Powers of Integration Joint Boards) (Scotland) Order 2014
- “Scheme” means this Integration Scheme;
- “Strategic Plan” means the plan which the Integration Joint Board is required to prepare and implement in relation to the delegated provision of health and social care services to adults in accordance with section 29 of the Act.
- “Payment” means the term used in legislation to describe the integrated budget contribution to the Integration Joint Board. This payment does not require a cash transaction to be made. The term is also used to describe the non cash transaction the Integration Joint Board makes to the Health Board and Local Authority for carrying out the directed functions.

- “Function” means an activity that is natural to the purpose of a thing or a person i.e. District Nursing is a function and District Nurses provide a service in pursuit of the function.
- 1.2 In implementation of their obligations under the Act, the Parties hereby agree as follows:
- In accordance with section 1(2) of the Act, the Parties have agreed that the integration model set out in sections 1(4)(a) of the Act will be put in place for Scottish Borders, namely the delegation of functions by the Parties to a body corporate that is to be established by Order under section 9 of the Act. This Scheme comes into effect on the date the Parliamentary Order to establish the Integration Joint Board comes into force.

## **2. Local Governance Arrangements**

- 2.1 The remit of the Integration Joint Board is to prepare and implement a strategic plan in relation to the provision of such health and social care services to people in their area in accordance with the requirements of the Act.
- 2.2 The regulations of the Integration Joint Boards procedure, business and meetings form the Standing Orders which will be considered at the first meeting of the Integration Joint Board.
- 2.3 Borders Health Board and Scottish Borders Council will positively support, through appropriate/effective communication and interaction, the Integration Joint Board to allow the achievement of its outcomes, vision, philosophy and principles. The Integration Joint Board will similarly support, through appropriate/effective communication and interaction, Borders Health Board and Scottish Borders Council in their delivery of integrated and non-integrated services. (Appendix 1).
- 2.4 The Integration Joint Board will have a distinct legal personality and the autonomy to manage itself. There is no role for the Scottish Borders Council or Borders Health Board to, acting separately, sanction or veto decisions of the Integration Joint Board. In the event of a dispute arising the dispute resolution mechanism will be followed as set out at Section 14.
- 2.5 The Integration Joint Board may create such Committees that it requires to assist it with the planning and oversight of delivery of services which are within its scope.
- 2.6 The Integrated Joint Board shall comprise five NHS Non-Executive Directors appointed by Borders Health Board, and five Elected Councillors appointed by Scottish Borders Council. In addition, there will be non-voting

representatives drawn from health and social care professionals, staff, the third sector, users, the public and carers as identified by the Integration Joint Board. The Chief Officer of the Integration Joint Board, Chief Financial Officer and the Chief Executives of NHS Borders and Scottish Borders Council, and any other senior officers as appropriate, will be non-voting members.

2.7 The term of office of voting Members of the Integration Joint Board shall last as follows:

(a) for Local Government Councillors, three years, thereafter Scottish Borders Council will identify its replacement Councillor(s) on the Integration Joint Board,

(b) for Borders Health Board nominees, three years, thereafter Borders Health Board will identify its replacement Non Executive(s) on the Integration Joint Board.

2.8 At the first meeting the Integration Joint Board it will elect a Chairperson and Vice Chairperson from the voting membership of the Integration Joint Board. The Chair and Vice-Chair posts shall rotate annually between Borders Health Board and Scottish Borders Council, with the Chair being from one body and the Vice-Chair from the other. The first Chair of the Integration Joint Board will be from Scottish Borders Council.

2.9 The terms of office for the Chair and Vice Chair shall be as described in the Integration Joint Board's standing orders.

### **3. Delegation of Functions**

3.1 The functions that are to be delegated by Borders Health Board to the Integration Joint Board, for the purposes of Integration, are set out in Part 3 of Annex 1 (Appendix 2). The services to which these functions relate, which are currently provided by Borders Health Board and which are to be integrated to support improved outcomes, are:-

- District Nursing
- General Medical Services
- Public Dental Services
- General Dental Services
- Ophthalmic Services
- Community Pharmacy Services
- Community Geriatric Services
- Community Palliative Care
- Community Learning Disability Services
- Mental Health Services including child and adolescent mental health services (CAMHS)
- Continence Services

- Kidney Dialysis outwith the hospital
- Services provided by health professionals that aim to promote public health
- Community Addiction services
- Allied Health Professionals services

3.2 Acute services within the scope of the Integration Joint Board from a strategic planning perspective have funding “set aside”. The “set aside” (i.e. the financial amounts to be made available for planning purposes by the NHS Board to the Integration Joint Board in respect of these acute services) functions to be delegated by Borders Health Board to the Integrated Joint Board, for the purpose of Integration, are set out in Part 2 of Annex 1 (Appendix 2) and are:

- Accident and Emergency
- General Medicine
- Geriatric Medicine
- Rehabilitation Medicine
- Respiratory Medicine
- Psychiatry of Learning Disability
- Palliative Care services
- Inpatient Addiction services

3.3 The functions that are to be delegated by Scottish Borders Council to the Integration Joint Board, for the purposes of Integration, are set out in Part 1 of Annex 2 (Appendix 3). The services to which these functions relate, which are currently provided by Scottish Borders Council and which are to be integrated, are:-

- Social work services for adults and older people
- Services and support for adults with physical disabilities and learning disabilities
- Mental Health Services
- Drug and Alcohol Services
- Community Care and Assessment Teams
- Care Home Services
- Adult Placement Services
- Health Improvement Services
- Aspects of housing support, including aids and adaptations
- Day Services
- Local Area Co-ordination
- Respite Provision
- Occupational Therapy Services
- Re-ablement Services

3.4 There are a number of functions delegated above at 3.1 and 3.2 that apply to children as well as adults. Those are:-

- District Nursing
- Public Dental Services
- General Dental Services
- Ophthalmic Services
- Community Pharmacy Services
- Community Learning Disability Services
- Mental Health Services including child and adolescent mental health services (CAMHS)
- Kidney Dialysis outwith the hospital
- Community Addiction services
- Allied Health Professionals services

#### **4. Local Operational Delivery Arrangements**

4.1 The Integration Joint Board will be responsible for the strategic planning and oversight of the delivery of the services related to the functions delegated to it. This will be carried out by the development of a Joint Strategic Commissioning Plan as per section 29 of the Act. This plan will set out the arrangements for carrying out the integration functions and how these will contribute to achieving the nine National Health and Well-Being outcomes. The Integration Joint Board will give direction to Borders Health Board and Scottish Borders Council to carry out each function delegated to it.

4.2 The governance arrangements for the operational responsibilities and strategic planning responsibilities will be aligned in relation to the delivery of agreed indicators and outcomes. In this context, the Chief Officer will have an operational management structure which facilitates how the Integration Joint Board's directions (at the centre) translates to locality delivery on the ground.

4.3 The Integration Joint Board will have, provided to it, the necessary resources to undertake the functions delegated by Borders Health Board and Scottish Borders Council.

4.4 The NHS Executives and Local Authority Chief Social Work Officer responsible for the operational management of any services not directly managed by the Chief Officer, but within the scope of the Integration Joint Board, will provide updates on a regular basis to the Integration Joint Board

4.5 The Integration Joint Board will:-

- a. Appoint its Chief Officer.
- b. Appoint its Chief Financial Officer.



- c. Convene a Strategic Planning Group specifically to enable the preparation of Strategic Plans in accordance with section 32 of the Act; inform significant decisions outside Strategic Plan in accordance with section 36 of the Act; and review the effectiveness of the Strategic Plan in accordance with section 37 of the Act, in line with the obligations to meet the engagement and consultation standards.
- d. Prepare, approve and implement a Strategic Plan for all of its delegated functions, in accordance with the Act; and supported by an integrated workforce and organisational development plan.
- e. Establish arrangements for locality planning in support of key Outcomes for the agreed localities in the context of the Strategic Plan.
- f. The first Strategic Plan will be presented by the Chief Officer for approval before the integration start date in accordance with the Act.
- g. Approve the allocation of resources to deliver the Strategic Plan within the specific revenue budget as delegated by each Party (in accordance with the standing financial instructions/orders of both Parties), and where necessary to make recommendations to either or both Parties.
- h. Prepare and publish an annual financial statement that sets out the amount that the Integration Joint Board intends to spend in implementation of the Strategic Plan in accordance with the Act.
- i. The Integration Joint Board will share an Annual Report with Borders Health Board and Scottish Borders Council.
- j. The Integration Joint Board will inform the Parties by reporting on the operational performance of those services outlined in 3.1, 3.2, 3.3 and 3.4 above.

4.6 The Integration Joint Board may wish to consider the following:

- a. Establishing a Clinical and Care Governance group to oversee clinical and care governance arrangements for the delegated services, including (where necessary) to make recommendations to either or both Parties.
- b. Maintaining and routinely reviewing an integrated strategic risk register.
- c. Establishing a standing Audit Committee to focus on financial and audit issues, including (where necessary) to make recommendations to either or both Parties.

- d. Establishing a Joint Staff Forum to focus on applying the principles of staff governance across services in partnership with trade unions, and where necessary to make recommendations to either or both Parties without impacting or undermining the consultation and bargaining mechanisms for staff employed by NHS Borders and Scottish Borders Council.

#### **4.7. Targets and Performance Management**

- 4.7.1 The Integration Joint Board will establish a Performance Management Framework which meets the obligations set out in legislation and takes account of targets, measures and objectives which are in force at any given time. This framework will clearly show where there is a contribution to the priorities of the Community Planning Partnership and provides evidence of the impact of our joint working.
- 4.7.2 The Performance Management Framework will, as far as possible, draw on existing data sets and reporting mechanisms. Scottish Borders Council and Borders Health Board have existing performance management processes and the Integration Performance Framework aligns with these processes to avoid duplication and streamline reporting.
- 4.7.3 In meeting the delivery requirements of the national health and wellbeing outcomes, consideration will need to be given to any additional resource requirements for collecting and reporting information that is not currently collected, both in operational and support terms.
- 4.7.4 National and local performance measures will be provided to the Integration Joint Board. The Integration Joint Board will receive regular reports on the delivery of integrated services and issue directions in response to those reports to ensure improved performance. It will share these performance measures with the relevant parties.
- 4.7.5 The Chief Officer will provide regular Strategic Plan Performance Reports to the Integration Joint Board for members to scrutinise performance and impact against planned outcomes and commissioning priorities. This will culminate in the production of an annual performance report to the Board. The Strategic Plan Performance Report will also provide necessary information on the activity and resources that relate to the planned and actual use of services, including the consumption patterns of health and social care resources by locality. The information will provide the opportunity for the Integration Joint Board for resources to be used flexibly, to provide services co-designed with local communities, for their benefit.
- 4.7.6 The national and local performance measures and targets as they relate to the functions outlined in 3.1, 3.2, 3.3 and 3.4 will be delegated in relation to the oversight of operational delivery arrangements and in relation to the strategic planning outcomes and performance reporting. These performance

measures and targets may be fully or partially delegated to the Integration Joint Board.

4.7.7 For those partially delegated performance measures and targets, the reporting arrangements will be undertaken by the NHS Executive and Local Authority Chief Social Work Officer responsible for the operational delivery. The mechanism for reporting will be agreed through the Integration Joint Board, Borders Health Board and Scottish Borders Council as appropriate to reflect oversight of operational delivery where appropriate.

4.7.8 The delegated performance measures and targets will be defined and agreed by the Integration Joint Board by March 2016 as part of the performance management framework.

#### **4.8. Corporate Services Support**

4.8.1 With regard to corporate services support, Scottish Borders Council and Borders Health Board will by the end of March 2016, have:-

- identified the corporate resources used to deliver the delegated functions;
- agreed the corporate support services required to fully discharge Integration Joint Board duties under the Act.

4.8.2 These support services will include, but not be limited to:-

- Finance (including capital planning)
- HR
- ICT
- Administrative Support
- Committee Services
- Internal Audit
- Performance Management
- Risk
- Insurance

4.8.3 By March 2016, Service Level Agreements specifying the associated support services will be agreed. These Service Level Agreements will be kept under review during the initial year and, thereafter, will be reviewed formally (and agreed by all parties) annually.

4.8.4 In regard to support for Strategic Planning there will be set out local arrangements for the preparation of the Strategic Plan with local arrangements from Borders Health Board and Scottish Borders Council, taking into account the relevant activity and financial data covering the services, facilities and resources that relate to the Strategic Plan.

### **5. Clinical and Care Governance**

- 5.1 Assurance to the Integration Joint Board and subsequently, Scottish Borders Council and Borders Health Board in respect of the key areas of governance will be achieved through explicit and effective lines of accountability. This accountability begins in the care setting within an agreed clinical and care governance framework established on the basis of existing key principles embedded in the governance and scrutiny arrangements for Borders Health Board and Scottish Borders Council.
- 5.2 The Borders Health Board, Medical Director, and Director of Nursing and Midwifery, share accountability for clinical governance of NHS services as a responsibility/function delegated from the Chief Executive of Borders Health Board.
- 5.3 These Directors continue to hold accountability for the actions of the Borders Health Board clinical staff who deliver care through health and social care integrated services. They, in turn, continue to attend the Borders Health Board Clinical Governance Committee which oversees the clinical governance arrangements of all services delivered by health care staff employed by Borders Health Board.
- 5.4 The Chief Social Worker will be in attendance at the Integration Joint Board to provide oversight and advice to the Integration Joint Board on the quality of social work services delivered by social work staff through health and social care integrated services. The Chief Social Work Officer will continue to provide professional leadership for social work and be accountable for statutory decisions relating to Social Work. The Chief Social Work Officer is then held to account by the Executive Committee of Scottish Borders Council for such decisions and ensures that links are made across all Social Work services. The Chief Social Work Officer advises Scottish Borders Council on the delivery of social work services through an annual report which will be made available to the Integration Joint Board for assurance purposes.
- 5.5 Scottish Borders Council and Borders Health Board will continue to monitor and report on clinical and care governance matters through their existing mechanisms to comply with legislative and policy requirements. Social Work matters will be reported principally through the Scottish Borders Council Executive Committee and Scottish Borders Council. NHS clinical governance matters will be reported into the Borders Health Board Clinical Governance Committee and to Borders Health Board.
- 5.6 The Integration Joint Board will receive reports from the parties on Clinical and Care Governance matters relating to the delegated functions.
- 5.7 The Integration Joint Board may wish to establish a Clinical and Care Governance Group to oversee the clinical and care governance arrangements for integrated services. Such a group would inform and provide assurance in relation to clinical and care governance to the Integration Joint Board, Scottish Borders Council and Borders Health Board as required. The Integration Joint

Board may also take advice from other appropriate professional forums and groups as outlined in Scottish Government guidance.

- 5.8 The appropriate appointed Clinical Directors at Borders Health Board level (Medical Director, Director of Nursing and Midwifery and Director of Public Health) will support the Chief Officer and the Integration Joint Board in the manner they support Borders Health Board for the range of their responsibilities. If they are members of the Integration Joint Board, they will give that advice directly to the Integration Joint Board. If they are not members of the Integration Joint Board they should ensure the appropriate arrangements are in place to discharge their responsibilities, ensuring the effective functioning of the service. This will be achieved through health and social care staff who have a professional or corporate accountability to those Board Clinical Director posts.
- 5.9 The Chief Social Work Officer will support the Chief Officer and the Integration Joint Board in the same manner they support Scottish Borders Council. As a non-voting member of the Integration Joint Board they should provide this directly to the Integration Joint Board. The Chief Social Work Officer will ensure the appropriate arrangements are in place to discharge their professional responsibilities, ensuring the effective functioning of the service. This will be achieved through the social care staff who have professional or corporate accountability to the Chief Social Work Officer.

## **6. Chief Officer**

- 6.1 The Integration Joint Board shall appoint a Chief Officer in accordance with section 10 of the Act.
- 6.2 The Chief Officer's role will be to provide a single senior point of overall strategic and operational advice to the Integration Joint Board. The Chief Officer will be responsible for monitoring the strategic and operational performance of Integrated Services delegated to the Integration Joint Board.
- 6.3 The NHS Executives responsible for the operational management of services not directly managed by the Chief Officer, but within the scope of the Integration Joint Board, will provide updates on a regular basis to the Integration Joint Board.
- 6.4 The Chief Officer is accountable to the Integration Joint Board for the delivery of the Strategic Plan and line managed through the Scottish Borders Council's Chief Executive and the Borders Health Board's Chief Executive, or other appropriate senior officers agreed by the partners. The Chief Executives will be accountable for operational decision making.
- 6.5 The Chief Officer will be a substantive member of the Partners' relevant senior management teams. This will enable the Chief Officer to work with

senior management of both Partners to carry out the functions of the Integration Joint Board.

- 6.6 The Chief Officer is seconded to the Integration Joint Board from the employing body.
- 6.7 Where there is to be a prolonged period where the Chief Officer is absent or otherwise unable to carry out their responsibilities, the Scottish Borders Council's Chief Executive and Borders Health Board's Chief Executive will jointly propose an appropriate interim arrangement for approval by the Integration Joint Board's Chair and Vice-Chair.
- 6.8 Subject to the prior written consent of the other Party and the consent of the Chair and Vice-Chair of the Integration Joint Board, the Chief Executive of either Party may direct the Chief Officer to be managerially responsible for functions or services which are not delegated under this Scheme. The Chief Officer's accountability for such services shall be directly to the Chief Executive of the Party making the direction.
- 6.9 The Chief Officer will be a member of both the Scottish Borders Council's and Borders Health Board's Senior Management Teams, as well as a non-voting member of the Integration Joint Board.
- 6.10 The Chief Officer is required to maintain effective relationships with a range of key stakeholders across Borders Health Board, the wider NHS, Scottish Borders Council, the Voluntary and Independent Sectors, Service Users, Carers, the Scottish Government, Trades Unions and Professional Organisations.

## **7. Workforce**

- 7.1 All staff will remain employed by their existing organisations and subject to the relevant terms and conditions as specified within those contracts (including the adherence to the corporate policies of their employing organisation).
- 7.2 Any future changes in staff arrangements will be taken forward on a planned and coordinated basis in accordance with established policies and procedures
- 7.3 Core HR services will continue to be provided by the appropriate corporate HR functions in Scottish Borders Council and Borders Health Board.
- 7.4 Borders Health Board and Scottish Borders Council will work together to produce a Joint Organisational Development Plan with an emphasis on engagement and leadership. This plan will be delivered to the Integration Joint Board in April 2015 and highlight the strategic visioning and objectives. A more detailed operational Organisational Development Plan will be developed and implemented through the transitional year to March 2016. A baseline for training and development will be used to establish a joint work

force plan which will support the delivery of integrated services. A similar process is being carried out linked to training and development which will also ensure that staff are appropriately trained. This process will be carried out in the context of the Communication and Engagement Plan. A workforce plan will be ready by March 2016.

- 7.5 In the context of the Organisational Development Plan the Integration Joint Board will ensure that arrangements are in place to build an effective collaborative culture.
- 7.6 These arrangements will be kept under review by the Integration Joint Board who will share the plans with both Borders Health Board and Scottish Borders Council.
- 7.7 The corporate HR functions in Scottish Borders Council and Borders Health Board will provide the workforce planning information required to support the integrated services and lead the development, maintenance and review of a workforce plan which will assist the delivery of the service outcomes outlined in the Strategic Plan
- 7.8 The Integrated Joint Board may establish a Joint Staff Forum reporting to the Integration Joint Board, ensuring the key principles of staff partnership are embedded in the delivery of the agreed outcomes.
- 7.9 Borders Health Board and Scottish Borders Council professional/clinical supervisions arrangements for professional and clinical staff will continue until superseded by any jointly agreed arrangements.

## **8. Finance**

- 8.1 Borders Health Board and Scottish Borders Council will agree and set out the method of determining:–
  - (a) the delegated integrated budget – amounts to be paid by Borders Health Board and Scottish Borders Council to the Integration Joint Board in respect of each of the functions delegated by them to the Integration Joint Board other than those to which paragraph (b) applies.
  - (b) the set aside budget – amounts to be made available by Borders Health Board to the Integration Joint Board in respect of each of the functions delegated by Borders Health Board which are:
    - (i) Carried out in a hospital in the area of Borders Health Board and;
    - (ii) Provided for the areas of two or more local authorities. This is not applicable to Borders Health Board as they are co-terminus with Scottish Borders Council.

- (c) The method by which any variations to the amounts paid or set aside will be determined.
- (d) The conditions that must be met before a variation to the amounts paid or set aside may be made.
- 8.2 The amounts described in (a) and (b) are not subject to Ministerial approval but are subject to the approval of the Integration Joint Board.
- 8.3 The arrangements in relation to the determination of the amounts paid, or set aside, and their variation, to the Integration Joint Board by Borders Health Board and Scottish Borders Council are:-
- 8.4 Payment in the first year to the Integration Joint Board for delegated functions**
- 8.4.1 The baseline payment will be established by reviewing recent past performance and existing plans for Borders Health Board and Scottish Borders Council for the functions to be delegated, adjusted for material items.
- 8.4.2 Delegated baseline budgets for 2015/16 (Appendix 4) will be subject to due diligence and comparison to recurring actual expenditure in the previous three years adjusted for any planned changes to ensure they are realistic. There will be an opportunity in the second year of operation to adjust baseline budgets to correct any inaccuracies. An outline of the agreed due diligence procedure is attached at Appendix 5.
- 8.5 Payment in subsequent years to the Integration Joint Board for delegated functions**
- 8.5.1 In subsequent years the Chief Officer and the Integration Joint Board Chief Financial Officer will develop a case for the Integrated Budget based on the strategic plan. The financial plan will be presented to Borders Health Board and Scottish Borders Council for consideration as part of the annual budget setting process. The case should be evidenced, with full transparency demonstrating the following assumptions:-
- Performance against outcomes
  - Activity changes
  - Cost inflation
  - Price changes and the introduction of new drugs/technology
  - Agreed service changes
  - Legal requirements
  - Transfers to/from the amounts made available by Borders Health Board for hospital services to which (b) applies
  - Adjustments to address equity of resource allocation



8.5.2 Borders Health Board and Scottish Borders Council should consider the following when reviewing the strategic plan:

- The Local Government Financial Settlement
- The uplift applied to NHS Board funding from Scottish Government
- Efficiencies to be achieved

8.5.3 There must be tri-partite agreement on the strategic plan and related financial plan. Further guidance on the development of the financial plan is shown in Appendix 6.

## **8.6 Method for determining the amount set aside for hospital services**

8.6.1 This should be determined by the hospital capacity that is expected to be used by the population of the Integration Joint Board area.

8.6.2 The capacity should be given a financial value using the data from the latest Integrated Resources Framework (IRF).

8.6.3 If the strategic plan sets out a change in hospital capacity the resource consequences will be determined through a bottom up process based on;

- Planned changes in activity and case mix due to interventions in the strategic plan.
- Projected activity and case mix changes due to changes in population need.
- Analysis of the impact on the affected hospital budgets, taking into account cost behaviour (i.e. fixed, semi fixed and variable costs) and timing differences (i.e. the lag between reduction in capacity and the release of resources).

## **8.7 In-year variations**

8.7.1 Neither Borders Health Board nor Scottish Borders Council may reduce the payment in-year to the Integration Joint Board to meet exceptional unplanned costs within the constituent authorities. The express consent of the Integration Joint Board and constituent authorities would be required for any such change.

8.7.2 The Chief Officer of the Integration Joint Board will deliver the agreed outcomes within the total agreed delegated resources. Where there is a forecast outturn overspend against an element of the operational budget the Chief Officer and the Chief Financial Officer of the Integration Joint Board must agree a recovery plan to balance the overspending budget with the relevant finance officer of the constituent authority. The recovery plan will need to be approved by the Integration Joint Board.

- 8.7.3 Should the recovery plan be unsuccessful the Integration Joint Board may request that the payment from Borders Health Board and Scottish Borders Council be adjusted, to take account of any revised assumptions. It will be the responsibility of the authority who originally delegated the budget to make the additional payment to cover the shortfall.
- 8.7.4 In the case of joint services any additional payment will be agreed pro rata in line with the original budget level.
- 8.7.5 The Integration Joint Board should make repayment in future years following the same methodology as the additional payment. If the shortfall is related to a recurring issue the Integration Joint Board should include the issue in the strategic plan and financial plan for the following year.
- 8.7.6 Additional adjustments may be required, for example, when errors in the methodology used to determine the delegated budget are found. In these circumstances the payment for this element should be recalculated using the revised methodology.
- 8.7.7 Where there is a planned underspend in operational budgets arising from specific action by the Integration Joint Board it will be retained by the Integration Joint Board. This underspend may be used to fund additional capacity in-year or, with agreement with the partner organisations, carried forward to fund capacity in subsequent years. . The carry forward will be held in an ear-marked balance within Scottish Borders Council's general reserve. If an underspend arises from a material error in the assumptions made to determine the initial budget, the methodology of the payment may need to be recalculated using the revised assumptions.
- 8.7.8 Any unplanned underspend will be returned to Borders Health Board or Scottish Borders Council by the Integration Joint Board either in the proportion that individual pressures have been funded or based on which service the savings are related to.
- The Integration Joint Board will have financial accountability for the funding received as payments from Borders Health Board and Scottish Borders Council. This financial accountability will not apply to notional funding for Set Aside Budgets included within the strategic plan.
  - The Integration Joint Board follows best practice guidelines for audit. This will involve Internal Audit, External Audit and the establishment of an Audit Committee. Details of this are included in the Appendix 7 – Audit Arrangements.
  - The Integration Joint Board will appoint a Chief Financial Officer, to fulfil the duties outlined in Appendix 8 – Guidance on Role of Chief Financial Officer. This post will be a part time post and funded from existing resources as a secondment from either Borders Health Board or

Scottish Borders Council. The initial appointment will be for a period of two years.

- The Integration Joint Board and their Chief Financial Officer will receive financial management support from Borders Health Board and Scottish Borders Council who will:
- Record all financial information in respect of the Integration Joint Board in an integrated database.
- This information will be used as the basis of preparing regular comprehensive reports to the Integration Joint Board.
- Support the Chief Financial Officer of the Integration Joint Board to allow them to carry out their functions in preparation of the annual accounts, financial statement prepared under section 39 of the Act, the financial elements of the strategic plan and other reports that may be required.
- Ensure monthly financial monitoring reports relating to the performance of the Integration Joint Board against the delegated budget will be submitted to the Chief Officer within 15 working days of the month end for reporting to the Integration Joint Board.
- Ensure quarterly reports will be prepared on the financial performance against the strategic plan.
- Provide a schedule of payments to the Integration Joint Board following approval of the strategic plan and its related financial plan. It is intended that this will be a one-off payment made during April/May of each financial year. This payment may be subject to in-year adjustments for material issues.
- In advance of each financial year a timetable of financial reporting will be submitted to the Integration Joint Board for approval.

## **9. Participation and Engagement**

9.1 Section 6(2)(a) of the Public Bodies (Joint Working) (Scotland) Act 2014 requires Local Authorities and Health Boards to prepare an Integration Scheme. Before submitting the Integration Scheme to Scottish Ministers for approval, the Local Authority and Health Boards have consulted with:-

- Staff of the Local Authority likely to be affected by the Integration Scheme;
- Staff of the Health Board likely to be affected by the Integration Scheme;
- Health professionals;
- Users of health care;
- Carers of users of health care;
- Commercial providers of health care;

- Non-commercial providers of health care;
- Social care professionals;
- Users of social care;
- Carers of users of social care;
- Commercial providers of social care;
- Non-commercial providers of social care;
- Non-commercial providers of social housing; and
- Third sector bodies carrying out activities related to health or social care.

9.2 Staff and practitioner events were held from October 2014 to January 2015. Engagement events took place in February 2015 in all 5 localities in Scottish Borders. The consultation over the Scheme of Integration was launched on 22 December 2014 (closing on 13 March 2015 – 12 week statutory consultation period) with a press release and emails to all identified stakeholders. The Draft Scheme of Integration was posted on both the Scottish Borders Council and Borders Health Board websites along with details of how people could respond or provide their comments and feedback. This included electronic forms and an email address as well as telephone and postal address.

9.3 Feedback from all of the above has been used to inform the final Scheme of Integration.

9.4 There are national standards for community engagement and participation which underpin how Scottish Borders Council and Borders Health Board operate. A framework has been developed to take into account these requirements, specifically Scottish Government Planning Advice note 2010 and CEL 4(2010) 'Informing, engaging and consulting people in developing health and community care services'

9.5 Communication and Engagement is vital to the success of integrated services and the reputation of all partners involved. The Parties will support the Integration Joint Board to develop a Communications and Engagement Plan that incorporates the continuing role of the Strategic Planning Group in the development, review and renewal of the Strategic Plan. To do this, the Parties will provide appropriate resources and support to develop both a Communications Strategy and supporting action plan. The Strategy will ensure that Communications and Engagement/co-production is effectively linked to the role of the Strategic Planning Group. The Strategy and first iteration of the Communication and Engagement Plan will be in place by April 2016.

## **10. Information-Sharing and data handling**

10.1 Scottish Borders Council, the Borders Health Board and the Integration Joint Board agree to be bound by the Information Sharing Protocol.

- 10.2 The Audit Committee will ensure appropriate arrangements are in place in respect of information governance.
- 10.3 All staff are bound by the data confidentiality policies of their employing organisations and the requirements of the Information Sharing Protocol that is in place.
- 10.4 With respect to individually identifiable material, data and information will be held in both electronic and paper format and only be accessed by authorised personnel to provide the service user with the appropriate service within the partnership. It may be necessary to share information with external agencies and in that case consent will be sought from the service user if no statutory requirement exists. In order to comply with the Data Protection Act 1998 all parties will always ensure that any personal data that is processed will be handled fairly, lawfully and with justification.
- 10.5 **Information Sharing and Confidentiality:** Both parties are signatories to the Pan Lothian and Borders Partnership General Protocol for Sharing Information (General Protocol). This protocol describes the key principles the parties must adhere to for information to be shared lawfully, securely and confidentially. This will build on and develop existing joint project management arrangements. Other signatories will be added as appropriate.
- 10.6 A joint data and information sharing group will be established. This will encompass children's services which are not wholly within the scope of the Integration Joint Board's remit. The group will apply the above mentioned general protocol. The group will review existing procedures and ensure they are fit for purpose under the new joint arrangements. These arrangements will be in place by April 2016.
- 10.7 Both parties agree to be bound by this Information Sharing Protocol. The national protocol on information sharing – Scottish Accord for the Sharing of Personal Information (SASPI) – will be adopted in due course.
- 10.8 **The Public Records (Scotland) Act:** Both parties are scheduled Public Authorities under the Public Records (Scotland) Act and have a duty to create and have approved a records management plan. The Integration Joint Board will become a body under the duties of the Act and will comply with the requirements of the Act. Reference to information management procedures of the integrated service will be recorded in both plans, including information sharing and other record keeping arrangements and duties that pertain to services contracted out to third party service providers or external agencies will also be included.
- 10.9 **Record keeping:** The parties will work towards common records and templates that are readily available for staff to use, in particular:
- Data sharing agreement template

- Consent forms for data sharing
  - A data sharing log (this will be a public document)
  - Data sharing agreement Review form
- 10.10 Responsibility for the maintenance and distribution of joint service templates, logs and Board records sits with the Chief Officer of Integrated Services. File plans and records retention schedules for records created solely by the Integrated Services will be devised and approved by the Integration Joint Board.
- 10.11 Responsibility for records created, retained and disposed by each organisation remains with that organisation. Each party will maintain their existing records according to their own policies and disposal schedule.
- 10.12 **Security:** The success of information sharing relies on a common understanding of security. The information sharing protocol refers to the expected standard but each party must maintain its own guidance to ensure it meets that standard and that controls to manage the following elements are included:-
- Safe storage of documents transported between work and site. Access to electronic and physical records. Use of laptops, memory sticks and other portable data devices when working off site (including at home);
  - Confidential destruction;
  - Security marking on electronic communications when applicable
- 10.13 **Access to information - Freedom of Information (FOI):** Both Borders Health Board and Scottish Borders Council will receive Freedom of Information requests and will manage these requests through their own existing processes. Both parties process involves a central FOI Co-ordinator for each organisation, a 10 day timescale for departments to respond to the FOI Co-ordinator and Service Director sign off prior to the response being returned to the requestor. The Co-ordinators of both organisations will work closely together and communicate regularly in relation to FOI.
- 10.14 Where FOI's relate to a joint service, the receiving organisation will forward the FOI to the relevant Service Manager who will provide the requested information on behalf of both organisations. The receiving organisation will undertake the progress monitoring, responsibility for redacting, quality checking and responding to the applicant. A list of services that are in scope for Integration and their Managers will be developed and shared between the two organisations. All FOI's that relate to Joint Services will be signed off by the Chief Officer for Integration.

- 10.15 Should one organisation receive a request that also relates to the other, this request will be managed by the receiving organisation by partnership working of both organisations FOI Co-ordinators.
- 10.16 Both organisations will use the same performance measures and report regularly to the Integration Joint Board and to the Office of the Scottish Information Commissioner (OSIC).
- 10.17 FOI requestors will be logged. Requests for review will be administered by the organisation who dealt with the request and will include review panel members from both organisations.
- 10.18 **Subject Access Requests:** The differing charging regimes in each organisation for Subject Access and Access to Medical Records requests prevents a joint approach being adopted for gathering of personal information. Therefore, each party will manage its requests following that organisation's procedures.
- 10.19 If a subject access request refers to the integrated service it may be necessary to send out two responses. The requestor should be informed at the outset that this will happen. There will be no change to the process for managing access to deceased persons records.
- 10.20 **Privacy and confidentiality:** Most of the information the integrated services will handle will be personal and confidential in nature. All staff with access to shared information will
1. receive regular training in handling personal data compliantly;
  2. have access to systems and records removed as soon as they leave the post that allows them to share information;
  3. be subject to appropriate level of vetting by HR. This particularly applies to existing staff that may not have been subject to checks in their current role but require it in their integrated services post.
- 10.21 **Information Governance:** The Information Governance reporting arrangements for each party are as follows:
1. Borders Health Board: The Information Governance Committee reports to the Borders Health Board's Audit Committee.
  2. Scottish Borders Council: Information Management is currently under review at Scottish Borders Council. However, under the proposed structure The Information Governance Group reports to the Corporate Management Team.

## 11. Complaints

11.1 The Parties agree that complaints by patients/carers/service users will be managed and responded to by the appropriate lead organisation and agree to the following arrangements in respect of this:

- A framework has been developed that clearly shows the lead organisation for each integrated service and the contact details for those who will be responsible for progressing any complaints received. The lead organisation will take responsibility for the triage of the complaint, and liaise with the other organisation to develop a joint response where required.
- There will be three established processes for a complaint to follow depending on the lead organisation.
  1. Statutory Social Work.
  2. NHS.
  3. Independent Contractors – All Independent Contractors involved with the Integration Joint Board, will be required to have a Complaints Procedure in place. Where complaints are received that relate to a service provided by an Independent Contractor, the lead organisation will refer the complainant to the Independent Contractor for resolution of their complaint. This may be done by either provision of contact details or by the lead organisation passing the complaint on, depending on the approach preferred by the complainant.
- Each organisation will have a clearly defined description of what constitutes a complaint contained within their organisations complaints handling documentation.
- Should there be any data sharing requirements in relation to any complaint, the data sharing protocol set out in section 15 of the Scheme of Integration – Data Sharing, will detail how this will be managed.
- All complaints will be signed as per the lead organisations procedure and monitored by the Chief Officer for Health and Social Care.
- Staff shall follow the complaints handling process of their employing organisation. The employing organisation will take responsibility for the triage of the complaint, and liaise with the other organisation where required.
- The current process for gathering service user/patient/carer feedback within NHS and SBC, how it has been used for improvement, and how it is reported will continue.



- Existing performance information and lessons learned relating to complaints investigations, will be collected and reported to the Integration Joint Board in line with Section 8 of the Scheme of Integration – Clinical & Care Governance.
- Performance information and lessons learned relating to complaints investigations will be reported to the Integration Joint Board at their next meeting following reporting to the Borders Health Board or Scottish Borders Council.
- The proposed arrangements will be monitored and evaluated annually.

## **12. Claims Handling, Liability & Indemnity**

- 12.1 Borders Health Board will continue to follow their CNORIS programme for their services and Scottish Borders Council will continue with their current insurance processes. This will be applied to all integrated services.
- 12.2 Where there is a shared liability negotiations will take place as to the proportionality of each parties liability on a claim by claim basis.

## **13. Risk Management**

- 13.1 The Corporate services in Borders Health Board and Scottish Borders Council will support the Chief Officer and the Integration Joint Board on the development of a risk monitoring and risk management framework. By April 2016 the Integration Joint Board will have collectively developed a comprehensive Integrated Risk Register. There will be regular reviews by the Integration Joint Board of the strategic risk register which will identify, assess and prioritise risks related to the planning and delivery of delegated functions, particularly any which are likely to affect delivery of the Strategic Plan; and identify and describe processes for mitigating those risks. This process will also take due cognisance of the overall corporate risk registers of both Parties.
- 13.2 The Chief Officer is responsible for drawing to the attention of the Integration Joint Board any new or escalating risks that lead to a substantial change to the Integrated Risk Register outwith the routine review process.
- 13.3 The Borders Health Board and Scottish Borders Council and the Integration Joint Board will consider and agree which risks should be taken from their own risk registers and placed on the Integrated Risk Register. The approved Integrated Risk Register will be shared with both of the Parties on a regular basis as defined within the Joint Management Risk Strategy.
- 13.4 Business Continuity plans will be in place and tested on a regular basis for the integrated services.









## 14. Dispute resolution mechanism

14.1 Where either of the Parties fails to agree with the other on any issue related to this Scheme, then they will follow the process as set out below:

- (a) The Chief Executives of Borders Health Board and Scottish Borders Council, will meet to resolve the issue;
- (b) If unresolved, the Borders Health Board, and Scottish Borders Council will each prepare a written note of their position on the issue and exchange it with the others;
- (c) In the event that the issue remains unresolved, the Chief Executives (or their representatives) of Borders Health Board, Scottish Borders Council will proceed to mediation with a view to resolving the issue.
- (d) A professional independent mediator will be appointed. The mediation process will commence within 28 calendar days of the agreement to proceed.
- (e) The Mediator shall have the same powers to require any Partner to produce any documents or information to him/her and the other Partner as an arbiter and each Partner shall in any event supply to him such information which it has and is material to the matter to be resolved and which it could be required to produce on discovery; and
- (f) The fees of the Mediator shall be borne by the Parties in such proportion as shall be determined by the Mediator having regard (amongst other things) to the conduct of the parties.
- (g) Where the issue remains unresolved after following the processes outlined above, the Parties agree the following process to notify Scottish Ministers that agreement cannot be reached.

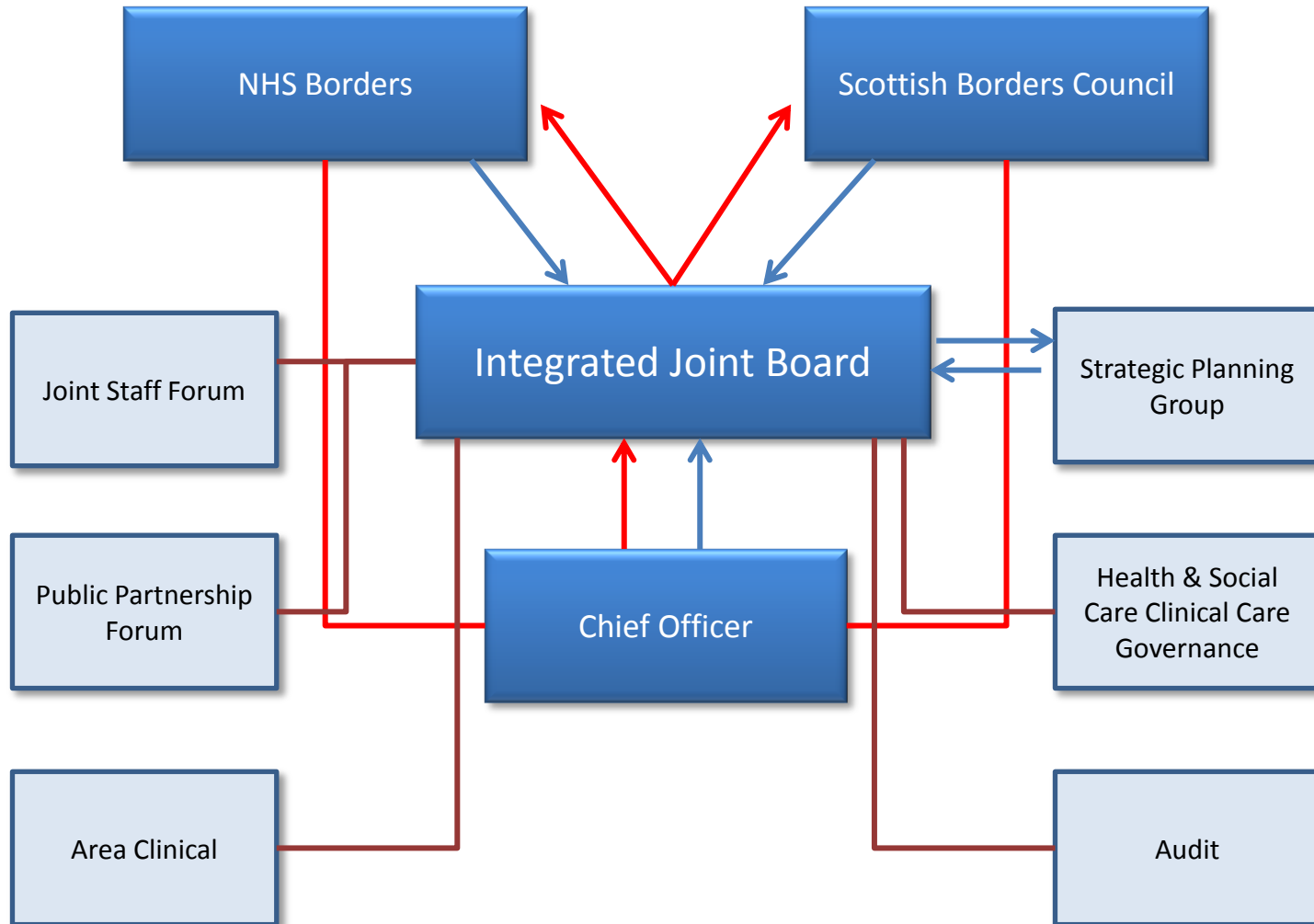
14.2 The Chief Executive's shall write to Scottish Ministers detailing the unresolved issue, the process followed and findings of the mediator and seek resolution from Scottish Ministers.

## **APPENDIX OF DOCUMENTS – HEALTH AND SOCIAL CARE SCHEME OF INTEGRATION**

<b>Appendix No</b>	<b>Document</b>
 APPENDIX 1 IJB Governance SOI.pptx <b>1</b>	Integration Joint Board Governance Arrangements
 APPENDIX 2 Functions Delegated   <b>2</b>	Functions delegated by the Health Board to the Integration Joint Board
 APPENDIX 3 Functions Delegated   <b>3</b>	Functions delegated by the Local Authority to the Integration Joint Board
 APPENDIX 4 Delegation of Functio <b>4</b>	Delegation of Functions – Indicative Base Budgets
 APPENDIX 5 Due Diligence.docx <b>5</b>	Due Diligence
 APPENDIX 6 Financial Planning.docx <b>6</b>	Financial Planning
 APPENDIX 7 Audit Arrangements.docx <b>7</b>	Audit Arrangements
 APPENDIX 8 Chief Financial Officer.docx <b>8</b>	Chief Finance Officer Role

# Integration Joint Board Governance Arrangements

APPENDIX 1



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## Annex 1

## Part 1

## Functions delegated by the Health Board to the Integration Joint Board

Set out below is the list of functions that must be delegated by the Health Board to the Integration Joint Board as set out in the Public Bodies (Joint Working) (Prescribed Health Board Functions) (Scotland) Regulations 2014. Further health functions can be delegated as long as they fall within the functions set out in Schedule One of the same instrument;

## SCHEDULE 1 Regulation 3

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

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*Column A*

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*Column B*

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**The National Health Service (Scotland) Act 1978**

All functions of Health Boards conferred by, or by virtue of, the National Health Service (Scotland) Act 1978

Except functions conferred by or by virtue of—

- section 2(7) (Health Boards);
- section 2CA<sup>(1)</sup> (Functions of Health Boards outside Scotland);
- section 9 (local consultative committees);
- section 17A (NHS Contracts);
- section 17C (personal medical or dental services);
- section 17I<sup>(2)</sup> (use of accommodation);
- section 17J (Health Boards' power to enter into general medical services contracts);
- section 28A (remuneration for Part II services);
- section 38<sup>(3)</sup> (care of mothers and young children);

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<sup>(1)</sup> Section 2CA was inserted by S.S.I. 2010/283, regulation 3(2).

<sup>(2)</sup> Section 17I was inserted by the National Health Service (Primary Care) Act 1997 (c.46), Schedule 2 and amended by the Primary Medical Services (Scotland) Act 2004 (asp 1), section 4. The functions of the Scottish Ministers under section 17I are conferred on Health Boards by virtue of S.I. 1991/570, as amended by S.S.I. 2006/132.

<sup>(3)</sup> The functions of the Secretary of State under section 38 are conferred on Health Boards by virtue of S.I. 1991/570.

section 38A<sup>(4)</sup> (breastfeeding);

section 39<sup>(5)</sup> (medical and dental inspection, supervision and treatment of pupils and young persons);

section 48 (provision of residential and practice accommodation);

section 55<sup>(6)</sup> (hospital accommodation on part payment);

section 57 (accommodation and services for private patients);

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

section 75A<sup>(7)</sup> (remission and repayment of charges and payment of travelling expenses);

section 75B<sup>(8)</sup> (reimbursement of the cost of services provided in another EEA state);

section 75BA<sup>(9)</sup> (reimbursement of the cost of services provided in another EEA state where expenditure is incurred on or after 25 October 2013);

section 79 (purchase of land and moveable property);

section 82<sup>(10)</sup> (use and administration of certain endowments and other property held by Health Boards);

section 83<sup>(11)</sup> (power of Health Boards and local health councils to hold property on trust);

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<sup>(4)</sup> Section 38A was inserted by the Breastfeeding etc (Scotland) Act 2005 (asp 1), section 4. The functions of the Scottish Ministers under section 38A are conferred on Health Boards by virtue of S.I. 1991/570 as amended by S.S.I. 2006/132.

<sup>(5)</sup> Section 39 was relevantly amended by the Self Governing Schools etc (Scotland) Act 1989 (c.39) Schedule 11; the Health and Medicines Act 1988 (c.49) section 10 and Schedule 3 and the Standards in Scotland's Schools Act 2000 (asp 6), schedule 3.

<sup>(6)</sup> Section 55 was amended by the Health and Medicines Act 1988 (c.49), section 7(9) and Schedule 3 and the National Health Service and Community Care Act 1990 (c.19), Schedule 9. The functions of the Secretary of State under section 55 are conferred on Health Boards by virtue of S.I. 1991/570.

<sup>(7)</sup> Section 75A was inserted by the Social Security Act 1988 (c.7), section 14, and relevantly amended by S.S.I. 2010/283. The functions of the Scottish Ministers in respect of the payment of expenses under section 75A are conferred on Health Boards by S.S.I. 1991/570.

<sup>(8)</sup> Section 75B was inserted by S.S.I. 2010/283, regulation 3(3) and amended by S.S.I. 2013/177.

<sup>(9)</sup> Section 75BA was inserted by S.S.I. 2013/292, regulation 8(4).

<sup>(10)</sup> Section 82 was amended by the Public Appointments and Public Bodies etc. (Scotland) Act 2003 (asp 7) section 1(2) and the National Health Service Reform (Scotland) Act 2004 (asp 7), schedule 2.

<sup>(11)</sup> There are amendments to section 83 not relevant to the exercise of a Health Board's functions under that section.

section 84A<sup>(12)</sup> (power to raise money, etc., by appeals, collections etc.);

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

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

section 98 <sup>(13)</sup> (charges in respect of non-residents); and

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

and functions conferred by—

The National Health Service (Charges to Overseas Visitors) (Scotland) Regulations 1989 <sup>(14)</sup>;

The Health Boards (Membership and Procedure) (Scotland) Regulations 2001/302;  
The National Health Service (Clinical Negligence and Other Risks Indemnity Scheme) (Scotland) Regulations 2000/54;

The National Health Services (Primary Medical Services Performers Lists) (Scotland) Regulations 2004/114;

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

The National Health Service (Discipline Committees) Regulations 2006/330;

The National Health Service (General Ophthalmic Services) (Scotland) Regulations 2006/135;

The National Health Service (Pharmaceutical Services) (Scotland) Regulations 2009/183;

The National Health Service (General Dental Services) (Scotland) Regulations 2010/205; and

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<sup>(12)</sup> Section 84A was inserted by the Health Services Act 1980 (c.53), section 5(2). There are no amendments to section 84A which are relevant to the exercise of a Health Board's functions.

<sup>(13)</sup> Section 98 was amended by the Health and Medicines Act 1988 (c.49), section 7. The functions of the Secretary of State under section 98 in respect of the making, recovering, determination and calculation of charges in accordance with regulations made under that section is conferred on Health Boards by virtue of S.S.I. 1991/570.

<sup>(14)</sup> S.I. 1989/364, as amended by S.I. 1992/411; S.I. 1994/1770; S.S.I. 2004/369; S.S.I. 2005/455; S.S.I. 2005/572 S.S.I. 2006/141; S.S.I. 2008/290; S.S.I. 2011/25 and S.S.I. 2013/177.

The National Health Service (Free Prescription and Charges for Drugs and Appliances) (Scotland) Regulations 2011/55<sup>(15)</sup>.

### **Disabled Persons (Services, Consultation and Representation) Act 1986**

#### Section 7

(Persons discharged from hospital)

### **Community Care and Health (Scotland) Act 2002**

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

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

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

Except functions conferred by—

section 22 (Approved medical practitioners);

section 34 (Inquiries under section 33: co-operation)<sup>(16)</sup>;

section 38 (Duties on hospital managers: examination notification etc.)<sup>(17)</sup>;

section 46 (Hospital managers' duties: notification)<sup>(18)</sup>;

section 124 (Transfer to other hospital);

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

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

section 260 (Provision of information to patients);

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<sup>(15)</sup> S.S.I. 2011/55, to which there are amendments not relevant to the exercise of a Health Board's functions.

<sup>(16)</sup> There are amendments to section 34 not relevant to the exercise of a Health Board's functions under that section.

<sup>(17)</sup> Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards under that Act.

<sup>(18)</sup> Section 46 is amended by S.S.I. 2005/465.



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

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

section 281<sup>(19)</sup> (Correspondence of certain persons detained in hospital);

and functions conferred by—

The Mental Health (Safety and Security) (Scotland) Regulations 2005<sup>(20)</sup>;

The Mental Health (Cross Border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2005<sup>(21)</sup>;

The Mental Health (Use of Telephones) (Scotland) Regulations 2005<sup>(22)</sup>; and

The Mental Health (England and Wales Cross border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2008<sup>(23)</sup>.

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

##### Section 23

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

#### **Public Services Reform (Scotland) Act 2010**

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

Except functions conferred by—

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

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

#### **Patient Rights (Scotland) Act 2011**

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<sup>(19)</sup> Section 281 is amended by S.S.I. 2011/211.

<sup>(20)</sup> S.S.I. 2005/464, to which there are amendments not relevant to the exercise of the functions of a Health Board. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of “managers” relevant to the functions of Health Boards.

<sup>(21)</sup> S.S.I. 2005/467. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of “managers” relevant to the functions of Health Boards.

<sup>(22)</sup> S.S.I. 2005/468. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of “managers” relevant to the functions of Health Boards.

<sup>(23)</sup> S.S.I. 2008/356. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of “managers” relevant to the functions of Health Boards.

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

Except functions conferred by The Patient Rights (Complaints Procedure and Consequential Provisions) (Scotland) Regulations 2012/36<sup>(24)</sup>.

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<sup>(24)</sup> S.S.I. 2012/36. Section 5(2) of the Patient Rights (Scotland) Act 2011 (asp 5) provides a definition of “relevant NHS body” relevant to the exercise of a Health Board’s functions.

## Part 2

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

Set out below is the list of services that the minimum list of delegable functions is exercisable in relation to. Further services can be added as they relate to the functions delegated.

#### SCHEDULE 2 Regulation 3

### PART 1

#### Interpretation of Schedule 3

1. In this schedule—

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

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

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

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

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

“out of hours period” has the same meaning as in regulation 2 of the National Health Service (General Medical Services Contracts) (Scotland) Regulations 2004<sup>(25)</sup>; and

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

### PART 2

2. Accident and Emergency services provided in a hospital.

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

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

4. Palliative care services provided in a hospital.

5. Inpatient hospital services provided by General Medical Practitioners.

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

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<sup>(25)</sup> S.S.I. 2004/115.

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

### PART 3

8. District nursing services.

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

10. Services provided by allied health professionals in an outpatient department, clinic, or outwith a hospital.

11. The public dental service.

12. Primary medical services provided under a general medical services contract, and arrangements for the provision of services made under section 17C of the National Health Service (Scotland) Act 1978, or an arrangement made in pursuance of section 2C(2) of the National Health Service (Scotland) Act 1978<sup>(26)</sup>.

13. General dental services provided under arrangements made in pursuance of section 25 of the National Health (Scotland) Act 1978<sup>(27)</sup>.

14. Ophthalmic services provided under arrangements made in pursuance of section 17AA or section 26 of the National Health Service (Scotland) Act 1978<sup>(28)</sup>.

15. Pharmaceutical services and additional pharmaceutical services provided under arrangements made in pursuance of sections 27 and 27A of the National Health Service (Scotland) Act 1978<sup>(29)</sup>.

16. Services providing primary medical services to patients during the out-of-hours period.

17. Services provided outwith a hospital in relation to geriatric medicine.

18. Palliative care services provided outwith a hospital.

19. Community learning disability services.

20. Mental health services provided outwith a hospital.

21. Continence services provided outwith a hospital.

22. Kidney dialysis services provided outwith a hospital.

23. Services provided by health professionals that aim to promote public health.

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<sup>(26)</sup> Section 2C was inserted by the Primary Medical Services (Scotland) Act 2004 (asp 1), section 1(2) and relevantly amended by the National Health Service Reform (Scotland) Act 2004 (asp 7), schedule 1, and the Tobacco and Primary Medical Services (Scotland) Act 2010 (asp 3), section 37.

<sup>(27)</sup> Section 25 was relevantly amended by the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13), section 15.

<sup>(28)</sup> Section 17AA was inserted by the National Health Service (Primary Care) Act 1997 (c.46), section 31(2) and relevantly amended by the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13), section 25. Section 26 was relevantly amended by the Health and Social Security Act 1984 (c.48), Schedule 1, and the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13) section 13.

<sup>(29)</sup> Section 27 was relevantly amended by the Health Services Act 1990 (c.53), section 20; the National Health Service and Community Care Act 1990 (c.19), Schedule 9; the Medicinal Products: Prescription by Nurses etc. Act 1992 (c.28), section 3; the National Health Service and Community Care Act 1997 (c.46), Schedule 2 and the Health and Social Care Act 2001 (c.15), section 44.





## Annex 2

## Part 1

## Functions delegated by the Local Authority to the Integration Joint Board

Set out below is the list of functions that must be delegated by the local authority to the Integration Joint Board as set out in the Public Bodies (Joint Working) (Prescribed Local Authority Functions etc.) (Scotland) Regulations 2014. Further local authority functions can be delegated as long as they fall within the relevant sections of the Acts set out in the Schedule to the Public Bodies (Joint Working) (Scotland) Act 2014;

## SCHEDULE Regulation 2

## PART 1

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

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

**National Assistance Act 1948<sup>(1)</sup>**

Section 48

(Duty of councils to provide temporary protection for property of persons admitted to hospitals etc.)

**The Disabled Persons (Employment) Act 1958<sup>(2)</sup>**

Section 3

(Provision of sheltered employment by local authorities)

<sup>(1)</sup> 1948 c.29; section 48 was amended by the Local Government etc. (Scotland) Act 1994 (c.39), Schedule 39, paragraph 31(4) and the Adult Support and Protection (Scotland) Act 2007 (asp 10) schedule 2 paragraph 1.

<sup>(2)</sup> 1958 c.33; section 3 was amended by the Local Government Act 1972 (c.70), section 195(6); the Local Government (Scotland) Act 1973 (c.65), Schedule 27; the National Health Service (Scotland) Act 1978 (c.70), schedule 23; the Local Government Act 1985 (c.51), Schedule 17; the Local Government (Wales) Act 1994 (c.19), Schedules 10 and 18; the Local Government etc. (Scotland) Act 1994 (c.49), Schedule 13; and the National Health Service (Consequential Provisions) Act 2006 (c.43), Schedule 1.

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
<b>The Social Work (Scotland) Act 1968<sup>(3)</sup></b>	
Section 1 (Local authorities for the administration of the Act.)	So far as it is exercisable in relation to another integration function.
Section 4 (Provisions relating to performance of functions by local authorities.)	So far as it is exercisable in relation to another integration function.
Section 8 (Research.)	So far as it is exercisable in relation to another integration function.
Section 10 (Financial and other assistance to voluntary organisations etc. for social work.)	So far as it is exercisable in relation to another integration function.
Section 12 (General social welfare services of local authorities.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 12A (Duty of local authorities to assess needs.)	So far as it is exercisable in relation to another integration function.

<sup>(3)</sup> 1968 c.49; section 1 was relevantly amended by the National Health Service (Scotland) Act 1972 (c.58), schedule 7; the Children Act 1989 (c.41), Schedule 15; the National Health Service and Community Care Act 1990 (c.19) (“the 1990 Act”), schedule 10; S.S.I. 2005/486 and S.S.I. 2013/211. Section 4 was amended by the 1990 Act, Schedule 9, the Children (Scotland) Act 1995 (c.36) (“the 1995 Act”), schedule 4; the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13) (“the 2003 Act”), schedule 4; and S.S.I. 2013/211. Section 10 was relevantly amended by the Children Act 1975 (c.72), Schedule 2; the Local Government etc. (Scotland) Act 1994 (c.39), Schedule 13; the Regulation of Care (Scotland) Act 2001 (asp 8) (“the 2001 Act”) schedule 3; S.S.I. 2010/21 and S.S.I. 2011/211. Section 12 was relevantly amended by the 1990 Act, section 66 and Schedule 9; the 1995 Act, Schedule 4; and the Immigration and Asylum Act 1999 (c.33), section 120(2). Section 12A was inserted by the 1990 Act, section 55, and amended by the Carers (Recognition and Services) Act 1995 (c.12), section 2(3) and the Community Care and Health (Scotland) Act 2002 (asp 5) (“the 2002 Act”), sections 8 and 9(1). Section 12AZA was inserted by the Social Care (Self Directed Support) (Scotland) Act 2013 (asp 1), section 17. Section 12AA and 12AB were inserted by the 2002 Act, section 9(2). Section 13 was amended by the Community Care (Direct Payments) Act 1996 (c.30), section 5. Section 13ZA was inserted by the Adult Support and Protection (Scotland) Act 2007 (asp 10), section 64. Section 13A was inserted by the 1990 Act, section 56 and amended by the Immigration and Asylum Act 1999 (c.33), section 102(2); the 2001 Act, section 72 and schedule 3; the 2002 Act, schedule 2 and by S.S.I. 2011/211. Section 13B was inserted by the 1990 Act sections 56 and 67(2) and amended by the Immigration and Asylum Act 1999 (c.33), section 120(3). Section 14 was amended by the Health Services and Public Health Act 1968 (c.46), sections 13, 44 and 45; the National Health Service (Scotland) Act 1972 (c.58), schedule 7; the Guardianship Act 1973 (c.29), section 11(5); the Health and Social Service and Social Security Adjudications Act 1983 (c.41), schedule 10 and the 1990 Act, schedule 9. Section 28 was amended by the Social Security Act 1986 (c.50), Schedule 11 and the 1995 Act, schedule 4. Section 29 was amended by the 1995 Act, schedule 4. Section 59 was amended by the 1990 Act, schedule 9; the 2001 Act, section 72(c); the 2003 Act, section 25(4) and schedule 4 and by S.S.I. 2013/211.



<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 12AZA (Assessments under section 12A - assistance)	So far as it is exercisable in relation to another integration function.
Section 12AA (Assessment of ability to provide care.)	
Section 12AB (Duty of local authority to provide information to carer.)	
Section 13 (Power of local authorities to assist persons in need in disposal of produce of their work.)	
Section 13ZA (Provision of services to incapable adults.)	So far as it is exercisable in relation to another integration function.
Section 13A (Residential accommodation with nursing.)	
Section 13B (Provision of care or aftercare.)	
Section 14 (Home help and laundry facilities.)	
Section 28 (Burial or cremation of the dead.)	So far as it is exercisable in relation to persons cared for or assisted under another integration function.
Section 29 (Power of local authority to defray expenses of parent, etc., visiting persons or attending funerals.)	
Section 59 (Provision of residential and other establishments by local authorities and maximum period for repayment of sums borrowed for such provision.)	So far as it is exercisable in relation to another integration function.
<b>The Local Government and Planning (Scotland) Act 1982<sup>(4)</sup></b>	
Section 24(1) (The provision of gardening assistance for the disabled and the elderly.)	
<b>Disabled Persons (Services, Consultation and Representation) Act 1986<sup>(5)</sup></b>	

<sup>(4)</sup> 1982 c.43; section 24(1) was amended by the Local Government etc. (Scotland) Act 1994 (c.39), schedule 13.

<sup>(5)</sup> 1986 c.33. There are amendments to sections 2 and 7 which are not relevant to the exercise of a local authority's functions under those sections.

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 2 (Rights of authorised representatives of disabled persons.)	
Section 3 (Assessment by local authorities of needs of disabled persons.)	
Section 7 (Persons discharged from hospital.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments within the meaning of section 16 and which have been delegated.
Section 8 (Duty of local authority to take into account abilities of carer.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments (within the meaning set out in section 16 of that Act) which are integration functions.
<b>The Adults with Incapacity (Scotland) Act 2000<sup>(6)</sup></b>	
Section 10 (Functions of local authorities.)	
Section 12 (Investigations.)	
Section 37 (Residents whose affairs may be managed.)	Only in relation to residents of establishments which are managed under integration functions.
Section 39 (Matters which may be managed.)	Only in relation to residents of establishments which are managed under integration functions.
Section 41 (Duties and functions of managers of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions
Section 42 (Authorisation of named manager to withdraw from resident's account.)	Only in relation to residents of establishments which are managed under integration functions
Section 43 (Statement of resident's affairs.)	Only in relation to residents of establishments which are managed under integration functions
Section 44 (Resident ceasing to be resident of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions

<sup>(6)</sup> 2000 asp 4; section 12 was amended by the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13), schedule 5(1). Section 37 was amended by S.S.I. 2005/465. Section 39 was amended by the Adult Support and Protection (Scotland) Act 2007 (asp 10), schedule 1 and by S.S.I. 2013/137. Section 41 was amended by S.S.I. 2005/465; the Adult Support and Protection (Scotland) Act 2007 (asp 10), schedule 1 and S.S.I. 2013/137. Section 45 was amended by the Regulation of Care (Scotland) Act 2001 (asp 8), Schedule 3.

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 45 (Appeal, revocation etc.)	Only in relation to residents of establishments which are managed under integration functions
<b>The Housing (Scotland) Act 2001<sup>(7)</sup></b>	
Section 92 (Assistance to a registered for housing purposes.)	Only in so far as it relates to an aid or adaptation.
<b>The Community Care and Health (Scotland) Act 2002<sup>(8)</sup></b>	
Section 5 (Local authority arrangements for of residential accommodation outwith Scotland.)	
Section 14 (Payments by local authorities towards expenditure by NHS bodies on prescribed functions.)	
<b>The Mental Health (Care and Treatment) (Scotland) Act 2003<sup>(9)</sup></b>	
Section 17 (Duties of Scottish Ministers, local authorities and others as respects Commission.)	
Section 25 (Care and support services etc.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 26 (Services designed to promote well-being and social development.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 27 (Assistance with travel.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 33 (Duty to inquire.)	
Section 34 (Inquiries under section 33: Co-operation.)	
Section 228 (Request for assessment of needs: duty on local authorities and Health Boards.)	

<sup>(7)</sup> 2001 asp 10; section 92 was amended by the Housing (Scotland) Act 2006 (asp 1), schedule 7.

<sup>(8)</sup> 2002 asp 5.

<sup>(9)</sup> 2003 asp 13; section 17 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), section 111(4), and schedules 14 and 17, and by the Police and Fire Reform (Scotland) Act 2012 (asp 8), schedule 7. Section 25 was amended by S.S.I. 2011/211. Section 34 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedules 14 and 17.

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>
Section 259 (Advocacy.)	
<b>The Housing (Scotland) Act 2006<sup>(10)</sup></b>	
Section 71(1)(b) (Assistance for housing purposes.)	Only in so far as it relates to an aid or adaptation.
<b>The Adult Support and Protection (Scotland) Act 2007<sup>(11)</sup></b>	
Section 4 (Council's duty to make inquiries.)	
Section 5 (Co-operation.)	
Section 6 (Duty to consider importance of providing advocacy and other.)	
Section 11 (Assessment Orders.)	
Section 14 (Removal orders.)	
Section 18 (Protection of moved persons property.)	
Section 22 (Right to apply for a banning order.)	
Section 40 (Urgent cases.)	
Section 42 (Adult Protection Committees.)	
Section 43 (Membership.)	
<b>Social Care (Self-directed Support) (Scotland) Act 2013<sup>(12)</sup></b>	
Section 3 (Support for adult carers.)	Only in relation to assessments carried out under integration functions.

<sup>(10)</sup> 2006 asp 1; section 71 was amended by the Housing (Scotland) Act 2010 (asp 17) section 151.

<sup>(11)</sup> 2007 asp 10; section 5 and section 42 were amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedules 14 and 17 and by the Police and Fire Reform (Scotland) Act 2012 (asp 8), schedule 7. Section 43 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedule 14.

<sup>(12)</sup> 2013 asp 1.

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>
Section 5 (Choice of options: adults.)	
Section 6 (Choice of options under section 5: assistances.)	
Section 7 (Choice of options: adult carers.)	
Section 9 (Provision of information about self-directed support.)	
Section 11 (Local authority functions.)	
Section 12 (Eligibility for direct payment: review.)	
Section 13 (Further choice of options on material change of circumstances.)	Only in relation to a choice under section 5 or 7 of the Social Care (Self-directed Support) (Scotland) Act 2013 .
Section 16 (Misuse of direct payment: recovery.)	
Section 19 (Promotion of options for self-directed support.)	

## PART 2

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

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>
<b>The Community Care and Health (Scotland) Act 2002</b>	
Section 4 <sup>(13)</sup> The functions conferred by Regulation 2 of the Community Care (Additional Payments) (Scotland) Regulations 2002 <sup>(14)</sup>	

<sup>(13)</sup> Section 4 was amended by the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13), schedule 4 and the Adult Support and Protection (Scotland) Act 2007 (asp 10), section 62(3).

<sup>(14)</sup> S.S.I. 2002/265, as amended by S.S.I. 2005/445.

## **Part 2**

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

Scottish Ministers have set out in guidance that the services set out below must be integrated. Further services can be added where they relate to delegated functions;

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

## APPENDIX 4

Range of services and indicative base budgets to be delegated by NHS Borders to the Integration Joint Board\*

<b>Service</b>	<b>Base Budget 2015-16 (£'000s)</b>	<b>Base WTE</b>
Learning Disability Service	3,642	21
Mental Health Service	13,077	302
Alcohol and Drug Service	871	3
Community Nurse ex HV/SN	4,061	104
GP Prescribing	21,552	-
AHP Services	5,364	146
General Medical Services	15,887	-
Community Hospitals	4,690	122
BAES	246	-
Other	2,130	-
Sexual Health	566	6
Public Dental Services	4,184	85
Community Pharmacy Services	3,690	-
Continence Services	430	3
Smoking Cessation	250	4
Accommodation Costs	985	-
Resource Transfer	2,563	-
Primary and Community Management	1,466	22
Health Promotion	421	8
Ophthalmic Services	1,577	-
<b>Total**</b>	<b>87,652</b>	<b>826</b>

\*Alcohol and Drugs funding excludes funding recurrently allocated to BAS which is Included in Mental Health

\*\* The above figures are based on 2015/16 opening recurring direct budgets.

Range of services and indicative base budgets to be delegated by Scottish Borders Council to the Integration Joint Board\*

<b>Service</b>	<b>Base Budget 2015-16 (£'000s)</b>	<b>Base WTE</b>
Learning Disability Service	14,488	101
Mental Health Service	1,988	23
Alcohol and Drug Service	197	4
Older People Services	23,669	484
Physical Disability Service	2,897	5
Assessment and Care Management	238	8
Management and Planning	669	11
Localities	2,636	61
BAES	471	11
Duty Hub	51	5
Extra Care Housing	353	-
Joint Health Improvement	116	-
Respite	42	-
Other	(248)	6
<b>Total</b>	<b>47,567</b>	<b>719</b>

\* The above figures are based on 2015/16 opening budgets

**NHS BORDERS - Indicative base budgets which relate to set aside services for NHS Borders\***

<b>Service</b>	<b>Base Budget 2014-15 (£'000s)</b>	<b>Base WTE</b>
Accident and Emergency including OOH	4,051	73
Medicine for the Elderly	5,662	131
General Medicine inc Palliative Care, Respiratory, Renal	10,521	178
<b>Total</b>	<b>20,234</b>	<b>382</b>

\* The above figures are based on 2015/16 opening recurring direct budgets



**DUE DILIGENCE****Introduction**

The Professional Guidance, Advice and Recommendations for Shadow Integration Arrangements has a section on Financial Assurance relating to the Integration Scheme in the first instance. This has been supplemented by guidance issued in October 2014 by the Integrated Resources Advisory Group (IRAG).

While the Integration Joint Board Chief Financial Officer will have responsibility to establish financial governance systems for the proper use of the delegated resources. The appointment to Chief Financial Officer will not be made until after the Integration Joint Board has been established. Therefore the responsibility for appropriate due diligence and financial planning for the Integration Joint Board continues to lie with the Health Board Director of Finance and Scottish Borders Council's Chief Financial Officer (Section 95 Officer) until this appointment is made.

The Chief Internal Auditor of Scottish Borders Council, as the Chief Internal Auditor of the Integration Joint Board, will apply professional judgement to the due diligence process undertaken.

**Financial Assurance**

A formal process of financial assurance will involve a detailed review of all relevant records to assess the resources and risks associated with them. Each organisation will be able to place reliance on assurances from each other for their respective delegated resources.

The assurance process should be proportionate to the potential risks and should cover the whole transition period from pre-integration through implementation to post integration.

The financial assurance process should focus on two main areas:

- **Financial Governance**

NHS Borders Director of Finance and Scottish Borders Council's Chief Financial Officer discharge their responsibility, as it relates to the resources that are delegated to the integration Joint Board, by setting out in the Integration Scheme:

- The purposes for which resources are to be used.
- The systems and monitoring arrangements for financial performance management.

NHS Borders Director of Finance and Scottish Borders Council's Chief Financial Officer have responsibility to ensure that the Integration Scheme enables them to discharge their responsibilities in this respect.

- **Financial Assurance and Risk Assessment**

The Integration Joint Board Chief Financial Officer will have a responsibility to establish financial governance systems for the proper use of the delegated resources. This appointment will not be made until the Integration Joint Board has been established, therefore the responsibility for the appropriate due diligence and financial planning for the Integration Joint Board will remain with Borders Health Board Director of Finance and Scottish Borders Council's Section 95 Officer until the appointment is made.

## **Budget Mapping**

There is preliminary agreement on the services that will become the responsibility of the Integration Joint Board. The mapping of budgets, related staff and activities will give a greater understanding of the overall finances available to the partnership and will assist in planning future services. This is in line with the regulations for services delegated to the Integration Joint Board.

Five year's budgets and expenditure levels have been included that clearly highlight the level of expenditure and budget within these services.

The financial information provides clarity on the level of funding included in these budgets

Including:

- Movements from the prior year
- Pay uplift
- Non-pay uplift
- Demographic investment
- Developments

- Efficiency savings delivered in prior year and planned to be delivered in the current year, assessed both financially and for service impact. It is agreed that any slippage on efficiency from prior years will be carried into the first year of the Integration Joint Board.
- Any other issue that has impacted on budget/expenditure levels

## **Capital Budgets and Assets**

While not a direct budget of the Integration Joint Board there is clarity on the capital plan and the use of capital assets relating to both NHS Borders and Scottish Borders Council associated with the provision of services.

## **Risks**

Risks have been quantified where possible and measures to mitigate risk identified.

## **Reporting**

The Shadow Integration Joint Board receives regular reports on the assurance work until the Integration Joint Board is established. The Integration Joint Board Audit Committee will receive them thereafter.

The Internal Auditors for NHS Borders and Scottish Borders Council will provide reports on the assurance process to the relevant Audit Committees. These reports will be shared with the Integration Joint Board.

Following establishment of the Joint Integration Board the three Audit Committees must receive a post-integration report. This report must be prepared within the first year and contain:

- An evaluation of the actual risk and financial performance against the pre-integration assumptions.
- Performance on relevant integration milestones.
- Lessons learned.
- Assessment as to whether the Integration Joint Board is on course to deliver the long term benefits.

## **Service Planning**

Any impact of finance changes on the service plans will be highlighted to the Integration Joint Board.

## **The Role of the Audit Committee**

The three Audit Committees will verify that officers have effective assurance processes in place. Where possible these Audit Committees should obtain assurance on:

- The financial guidance to be included in the integration scheme.
- The plans for financial governance, assurance and risks.
- The agreed financial metrics used to assess whether the objectives of integration have been met.
- A process for obtaining baseline data is in place.

Following establishment of the Integration Joint Board Audit Committee an assurance report will be issued containing the following:

- A review of the financial guidance included in the integration scheme. This will ensure that the guidance enables the Integration Joint Board to carry out its functions.
- Formally assess whether the resources to be made available to the Integration Joint Board are adequate for it to deliver its objectives.

- The financially associated risks and assumptions are reasonable and clearly understood.
- That the respective risk management arrangements have been updated to incorporate risks associated with integration

### FINANCIAL PLANNING

The Chief Officer and the Integration Joint Board Chief Financial Officer, with the support of the management teams of NHS Borders and Scottish Borders Council, will develop on an annual basis a five year financial revenue plan based on the strategic plan. The strategic plan will be developed to ensure that the Integration Joint Board's objectives and outcomes will be met and this position will be represented in the financial plan. The associated financial plan must be agreed by NHS Borders and Scottish Borders Council and the Integration Joint Board.

The financial plan will be reviewed and updated each year to reflect:

- Performance against outcomes
- Activity changes
- Pay increases
- Price changes and the introduction of new drugs/technology
- Agreed service changes including the effect of demographic challenges
- Legal/statutory amendments/requirements
- Resource transfer inflationary uplift (either national or local)

As part of the development of the strategic plan (between October and February) the Integration Joint Board will work in conjunction with NHS Borders and Scottish Borders Council to agree both capital and revenue plans for the partnership. This will ensure the revenue consequences of capital, proposed savings and any revenue developments are incorporated in the agreed financial plans.

Service developments reviewed as part of the strategic plan will be subject to Integration Joint Board and corporate consideration, evaluation and prioritisation before inclusion in the financial plan. Any excess of spending plans over available resources will require to be balanced by savings. All revenue savings proposals must be deliverable and achievable within the identified financial year unless otherwise stated.

Capital and assets will continue to be controlled and managed by NHS Borders and Scottish Borders Council. The Integration Joint Board will need to develop business cases for any planned investment or change in the use of assets for consideration by both NHS Borders and Scottish Borders Council. five year capital plans will be produced by NHS Borders and Scottish Borders Council.

National guidance, the Single Outcome and Local Delivery Plan agreement and corporate priorities of the NHS Boards and Scottish Borders Council will be used as the basis for prioritising the resources available to the partnership.

The level of payment from both NHS Borders and Scottish Borders Council to the Integration Joint Board will be based on the approved financial plan. This will set the

total payment that the Integration Joint Board can make to both NHS Borders and Scottish Borders Council for services.

Borders Health Board will include it in its payment to the Integration Joint Board the Resource Transfer payment with Scottish Borders Council making a corresponding reduction in its payment to the Integration Joint Board to cover the loss of resource transfer income.

## FINANCIAL PLANNING TIMETABLE

	<b>SBC</b>	<b>NHS Borders</b>	<b>Integrated Joint Board</b>
September	CMT – agrees position statement and scenarios		
October	Budget Working Group - reviews CMT work	Draft budget issued by SG and impact on the financial plan reviewed . Assess financial impact of service delivery requirements. Discussion of the financial outlook with the Clinical Executive Strategy Group and Board Executive Team	Draft budget outlook presented to IJB
November	First draft budget to CMT and BWG	Recosting of the baseline pay budget and roll forward of supplies Engagement with services on the financial outlook	Key commissioning intentions costed. Negotiations with partner organisations
December		Draft budget to Board Executive team	First draft of budget to IJB based on delegated outcomes
January	Payment to Integration Joint Board to be calculated	Recommendations by the Clinical Executive Strategy Group on service delivery requirements to be supported Engagement with key groups (including IJB) on the financial plan	Engagement with partner bodies Draft payment schedule
February		Budget finalised by SG. Board discussion and review of the financial	Final draft of budget presented ot IJB

		plan Draft plan submitted to SG for comment and review	
March		Final plan submitted to SG and approval of the financial plan by the Board	Budget approved by IJB

### AUDIT ARRANGEMENTS

#### Introduction

The Professional Guidance, Advice and Recommendations for Integration Arrangements has a section on Financial Assurance relating to the Integration Scheme in the first instance. This has been supplemented an update issued in October 2014 by the Integrated Resources Advisory Group (IRAG).

These audit arrangements should be read in conjunction with the role of Audit Committees outlined in Finance Appendix 2 Due Diligence.

The Integration Joint Board will be required to follow good practice for Audit. This will involve Internal Audit, External Audit and the establishment of an Audit Committee.

#### 1. Internal Audit

It is the responsibility of the Integration Joint Board to establish adequate and proportionate internal audit arrangements. It is their role to review the adequacy of the procedures for risk management, governance and control of the delegated resources. The Internal Audit service will be provided by the Internal Audit team from Scottish Borders Council through a service level agreement. In addition to this the Chief Internal Auditor from Scottish Borders Council should fulfil the role in the Integration Joint Board in addition to their current role.

As the Integration Joint Board is not empowered to provide services the Internal Audit plan of the Integration Joint Board is expected to be limited to:

- The strategic plan and planning process and the adequacy of the governance arrangements.
- Financial plan underpinning the strategic plan.
- Relevant issues raised from NHS Borders Health Board and Scottish Borders Council Internal Auditors.

The Internal Audit plan of the Integration Joint Board should be developed by the Chief Internal Auditor of the Integration Joint Board and approved by the Integration Joint Board Audit Committee. This should be shared with the relevant committees of NHS Borders and Scottish Borders Council.

The Chief Internal Auditors for the Integration Joint Board, Scottish Borders Council and NHS Borders will share information and co-ordinate activities with each other, external providers of assurance to ensure proper coverage and avoid duplication of effort.



The Internal Audit service will be provided by the Internal Audit team from Scottish Borders Council through a service level agreement. In addition to this the Chief Internal Auditor from Scottish Borders Council should fulfil the role in the Integration Joint Board in addition to their current role.

The Integration Joint Board Chief Internal Auditor should report to the Chief Officer and the Integration Joint Board on the annual audit plan, delivery of the plan and recommendations and should provide an annual Internal Audit report, including the audit opinion. The annual Internal Audit report should be shared with NHS Borders and Scottish Borders Council through the reporting arrangements in those bodies for Internal Audit.

The operational delivery of services within NHS Borders and Scottish Borders Council on behalf of the Integration Joint Board will be covered by their respective Internal Audit arrangements as at present.

## 2. External Audit

The Integration Joint Board will require an External Audit and this will be carried out by external auditors appointed to the Integration Joint Board by the Accounts Commission.

## 3. Audit Committee

The Integration Joint Board will require a form of Audit Committee. The Integration Joint Board should make appropriate and proportionate arrangements, for consideration of the audit provision and annual financial statements, which are compliant with good practice governance standards in the public sector. This should include any reports from Internal Audit, External Audit and the annual accounts. The Audit Committee should meet at least twice per year.

It will be the responsibility of the Integration Joint Board to agree the membership having regard to the agreed remit, skills and good practice for a public sector Audit Committee<sup>1</sup>. It is anticipated that members of the Integration Joint Board will serve in this capacity.

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<sup>1</sup> On Board: A Guide for Board Members on Public Bodies in Scotland, 2006 , section 4.8 Audit Committees <http://www.scotland.gov.uk/Topics/Government/public-bodies/On-Board>

**CHIEF FINANCE OFFICER ROLE**

<b>JOB PURPOSE</b>
Is responsible to the Chief Officer for the planning, development and delivery of the Integration Joint Board's five year financial strategy.
Is responsible for the provision of strategic financial advice and support to the Integration Joint Board and Chief Officer and for the financial administration and financial governance of the Integration Joint Board.
The post holder is the Accountable Officer for financial management and administration of the Integration Joint Board. The Chief Finance Officer's responsibility includes assuring probity and sound corporate governance and responsibility for achieving Best Value.
<b>DIMENSIONS</b>
Is a key member of the Senior Leadership Team, helping it to plan, develop and implement business strategy and to resource and deliver the Integration Joint Board's strategic objectives sustainably and in the public interest.
Is responsible for developing the financial strategy of the Integration Joint Board.
Must lead the promotion and delivery by the Integration Joint Board of good financial management so that public money is safe-guarded at all times and used appropriately, economically, efficiently and effectively.
<b>KEY RESULT AREAS</b>
<b>Developing and implementing Organisational Strategy</b>
Providing a strategic financial focus to the strategy of the Integration Joint Board.
Establish a process of regular in-year reporting and forecasting in conjunction with the Health Board and Local Authority Directors of Finance to provide the Chief Officer and the Integrated Joint Board with management accounts for the Integration Joint Board.
Develop business cases for the resources of the Integration Joint Board in line with the method set out in the integration scheme in conjunction with the Chief Officer.
Work collaboratively with the Partnership Senior Management Team to achieve the objectives of the Partnership.
Identify priority areas for action and contribute to policy development to address these in the short, medium and long-term in a way which draw on a sound theoretical base and personal experience and knowledge of financial management.
Supporting the Chief Officer to ensure efforts within the Partnership are co-

ordinated to improve health, reduce inequalities, improve health and social care services, and increase social inclusion based on the user's journey.
<b>Influencing Decision Making</b>
Responsible for ensuring effective liaison and working relationships with all financial functions within the Health Board, Council and other partnerships.
Contribute to relevant wider NHS, Council and Community Planning Partnership Strategy.
Contribute to the delivery of a comprehensive and coherent performance management system, facilitating real performance improvement across the Partnership, reducing duplication and delivering excellence in governance.
<b>Financial Information for Decision Makers</b>
Deliver professional, consistent and appropriate financial management across the Partnership in line with statutory accounting guidance and regulations.
<b>Value For Money</b>
Responsibility for Best Value assessment contributing to the Partnership's strategic plan, playing a key role in the production and development of the plan.
Monitor and advise on the strategic financial implications/considerations of Best Value.
<b>Safeguarding Public Money</b>
Manage all aspects and take a lead role in the development of financial governance, control and compliance, management of risk, insurance and deliver a comprehensive financial management system for the Health and Social Care Partnership.
<b>Assurance and Scrutiny</b>
Plan, monitor, co-ordinate and ensure completion of the annual closure of the Partnership's accounts and the production of the annual financial statements, ensuring compliance with statutory reporting requirements.
Establish procedures in conjunction with the Health Board's Accountable Officer and Local Authority Section 95 Officer to allow the best practice principles as set out in the Code of Guidance on Funding External Bodies and Following the Public Pound to be followed.
Act as point of contact with the External Auditor in respect of the audit of the financial statements and liaising with them during this process.
Receive assurance from Health Board and Local Authority Directors of Finance re anti-fraud measures within their organisations and to develop any necessary local

procedures to monitor anti-fraud measures designed to reduce risk.

Ensure that Financial Risk Management is properly addressed within the Integration Joint Board.

**SCHEME OF ADMINISTRATION  
SECTION XV**

**SCOTTISH BORDERS HEALTH AND SOCIAL CARE  
INTEGRATION JOINT BOARD  
(incorporating the COMMUNITY HEALTH AND CARE PARTNERSHIP)**

**General**

The Integration Joint Board shall be an Advisory Committee of NHS Borders and Scottish Borders Council meeting together during the shadow period up to 1 April 2016 or until the Strategic Plan is approved if earlier.

**Constitution**

- (a) Five Elected Members of Scottish Borders Council being:-
- (i) the Leader
  - (ii) the Depute Leader (Finance)
  - (iii) the Depute Leader (Health Service)
  - (iv) Executive Member for Social Work
  - (vi) One other Elected Member
- (b) Five Members of NHS Borders
- (c) A number of advisory (non-voting) members as identified by the Joint Integration Board, including:
- (i) Health and Social Care representatives
  - (ii) Chief Social Work Officer
  - (iii) Chief Financial Officer of the Joint Integration Board
  - (iv) from the staff side
  - (v) from the third sector
  - (vi) from carers
  - (vii) from service users
  - (viii) Chief Officer of the Joint Integration Board

**Chairman**

The first Chairman of the Board shall be from the body not employing the Integration Board's Chief Officer, with the Vice-Chairman from the body employing the Chief Officer. The Chairman shall not have a casting vote.

**Quorum**

Three Elected Members from Scottish Borders Council and three members from NHS Borders shall constitute a Quorum

**Budgets**

Any delegated budgets shall operate as aligned budgets and shall require the final approval of Scottish Borders Council and NHS Borders respectively.

### **Functions Referred**

The following functions of the Council and NHS Board, within policy, budget and legislative requirements, shall stand referred to the Board: -

1. All arrangements relating to matters detailed in, and limited to, the Scheme of Integration concerning:
  - (a) Local Governance Arrangements
  - (b) The specific services delegated
  - (c) Local Operational Delivery Arrangements
  - (d) Clinical and Care Governance
  - (e) Chief Officer
  - (f) Workforce
  - (g) Finance
  - (h) Participation and Engagement
  - (i) Information Sharing and data handling
  - (j) Complaints
  - (k) Claims Handling, Liability & Indemnity
  - (l) Risk Management
  - (m) Dispute Resolution

### **Functions Delegated**

Where detailed in the Scheme of Integration, functions are referred to the Board for consideration and recommendation only and must receive approval of the Council.

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## **LOCAL GOVERNMENT PENSION SCHEME REFORM GOVERNANCE**

**Report by Chief Financial Officer**

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### **SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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#### **1 PURPOSE AND SUMMARY**

- 1.1 **This report proposes the amended governance arrangements for the Scottish Borders Council Pension Fund Committee following changes in the legislation including the requirement to create a Pension Board.**
- 1.2 This report details the background to the requirement to create a Pension Board with Employer and Trade Union Representatives, with a constitution based on a model set out nationally and its function set out in new Local Government Pension Scheme (Governance) (Scotland) Regulations 2015.
- 1.3 The report presents the proposed constitution for the Pension Board in Appendix 1, the amendment to the Scheme of Administration (Appendices 2 and 3) for the resulting changes required to the Pension Fund Committee and the requirement to create a new Pension Fund Investment and Performance Sub-Committee.
- 1.4 The report seeks the identification of an Elected Member to sit as the Council's representative on the Pension Board.

#### **2 RECOMMENDATIONS**

##### **2.1 It is recommended that the Council:**

- (a) **agrees the creation of a Pension Board for the Scottish Borders Council Pension Fund with a constitution as set out in Appendix 1;**
- (b) **agrees the amendment of the Council's Scheme of Administration to incorporate the changes to the Executive's functions to include the following under "Staffing":**  
*Employer discretions under Local Government Pension Scheme, within the terms of the relevant legislation;*
- (c) **agrees the amendment of the Council's Scheme of Administration to incorporate the changes to the Pension Fund Committee's functions as set out in Appendix 2;**
- (d) **agrees the amendment of the Council's Scheme of Administration to incorporate the creation of a Pension Fund Investment and Performance Sub-Committee as set out in Appendix 3 and the addition of 24 August 2015 and 4 February 2016 to the Council's Meeting Calendar for this Sub-Committee; and**
- (e) **appoint an Elected Member to represent the Council on the Pension Board.**

### **3 BACKGROUND**

- 3.1 The Public Service Pensions Act 2013 included several key provisions relating to the public service pension schemes established under Section 1 of the Act. One of these provisions related to the establishment of Pension Boards for every Fund and a Scheme Advisory Board for each Public Service Pension Scheme.
- 3.2 The Scottish Local Government Pensions Advisory Group (SLOGPAG) was tasked to support the Scottish Public Pensions Authority (SPPA) to develop the regulations for these new provisions in relation to the Local Government Pension Scheme (LGPS) in Scotland.
- 3.3 As a result of bilateral meetings between COSLA and the Trade Unions, a Heads of Agreement was reached in relation to the agreed principles for the governance of the Scottish LGPS. This Agreement was reported to the Pension Fund Committee at its meeting on 4 September 2014.
- 3.4 A workshop was held with the Elected Members who sit on the Pension Fund Committee on 12 November 2014 to discuss the implications of the legislation and the draft regulations. This informed a potential way forward as to how to implement the requirements of the draft Regulations and inform the proposals presented to Trade Unions and other Employers in the Scottish Borders Council Pension Fund (the Pension Fund).
- 3.5 A presentation was made to the Trade Union Joint Group on 27 November 2014 with the outcome of the Elected Member workshop and the associated proposals for the new Committee Structure and the Pension Board.
- 3.6 During December 2014 and January 2015 the Corporate Finance Manager met with the Finance Director of Scottish Borders Housing Association (SBHA), the Business Manager for Borders Sport & Leisure Trust (BSLT) and the Director - Finance and Resources of Borders College to brief them on the proposals for the changes in the governance arrangements.
- 3.7 The Pension Fund membership for SBHA, BSLT and Borders College represents 89% of the non-Scottish Borders Council membership of the Fund. When the Council is then taken into account these four scheme employers represent 99% of the total membership of the Pension Fund.
- 3.8 The Local Government Pension Scheme (Governance) (Scotland) Regulations 2015 (the Regulations) were laid before the Scottish Parliament in late February 2015 and apply from 1 April 2015. It is these Regulations that set out the legislative requirements for the Pension Board.
- 3.9 The finalised model constitution for Pension Boards was issued by SLOGPAG and agreed by COSLA at the end of January 2015.



## 4 PENSION BOARD

4.1 Under the Regulations the Pension Board has responsibility for assisting the scheme manager (i.e. Scottish Borders Council) in relation to:

- a) securing compliance with relevant legislation relating to the governance and administration of the Pension Fund; and
- b) securing compliance with the requirements imposed in relation to the Scheme by the Pension Regulator.

4.2 The Pension Board is required to comprise of:

4 representatives appointed by Scheme Employers, and  
4 representatives appointed by relevant Trade Unions.

4.3 The Regulations state that in order to fulfil this responsibility, the Pension Board and the Pension Fund Committee will meet at the same place and time to consider the same agenda. This will be referred to as the Joint Meeting and the Chairman of this will be the Chairman of the Pension Fund Committee.

## 5 PENSION BOARD CONSTITUTION

5.1 The Regulations state that Pensions Boards "may adopt or tailor to their circumstances" the model constitution issued by Scottish Government, which is in effect the document issued by SLOGPAG.

5.2 **Appendix 1** contains the proposed constitution, based on the principles of the model constitution provided by SLOGPAG on behalf of Scottish Ministers with some amendments to meet local requirements. The key points of note in the constitution are highlighted below.

5.3 **Scheme Employer Representatives** (Appendix 1 Paras 3.5 – 3.8)  
It is proposed that the four Scheme Employer Representatives are made up of an Elected Member from Scottish Borders Council, a representative from Borders College and two representatives from Admitted Bodies.

5.4 **Trade Union Representatives** (Appendix 1 Para 3.9)  
The national model proposes four Trade Union Representatives each from a different Trade Union. However, in the Scottish Borders there is no real presence from UCAT and therefore there are only three Trade Union bodies to represent the members of the Pension Fund. It is proposed to allocate each Trade Union a place on the Pension Board and then to have the Council's Trade Union Joint Consultative Group to agree how the fourth member is appointed.

5.5 **Term of Appointment** (Appendix 1 Para 3.10)  
In order to align the membership of the representatives on the Pension Board with the Local Government election cycle, the term of appointment provision allows for a term of four years or to the next local government election whichever is the earlier.

5.6 **Joint Secretaries** (Appendix 1 Section 5)  
The Scheme Employers and the Trade Unions will each nominate a Joint Secretary to liaise with the Pension Board members and other colleagues to support the smooth operation of the Pension Board and assist in the resolution of any issues.

- 5.7 **Chair and Vice-Chair** (Appendix 1 Para 6.1 and 6.2)  
The constitution contains provision for a Vice-Chair of the Pension Board as well as a Chair. The Vice-Chair is intended to come from the opposite group of representatives to the Chair. For example, if an Employer Representative is the Chair of the Pension Board, a Trade Union Representative will be the Vice-Chair.
- 5.8 **Meetings** (Appendix 1 Para 6.6- 6.9)  
The constitution provides for the Pension Board to meet on its own immediately after the joint meeting with the Pension Fund Committee in order that they can raise any concerns about decisions under the Dispute Resolution Process promptly. In addition, the constitution provides for the Chair or, where appropriate, the Vice-Chair to have a casting vote on the Pension Board.
- 5.9 **Quorum** (Appendix 1 Section 7)  
The constitution defines that for business to be transacted by the Pension Board, it requires four representatives to be present with a minimum of one Trade Union and one Employer Representative present and either the Chair or the Vice-Chair.
- 5.10 **Dispute Resolution** (Appendix 1 Section 7)  
The Dispute Resolution process is set out in the Regulations and the model constitution and the proposed approach for the Pension Board reflects this. Additional clarification has been given as to how long the Pension Board has to raise a referral on a decision by the Pension Fund Committee in order to avoid decisions being placed under query for overly lengthy periods.
- 5.11 **Training** (Appendix 1 Para 8.1)  
It is proposed that the Pension Board's training requirements are incorporated into the Pension Fund's Training Policy for completeness and to ensure that the members of the Pension Board and the Pension Fund Committee have access to the same training. The Training Policy will be updated and presented to the joint meeting of the Pension Fund Committee and Pension Board in June 2015.
- 5.12 It should be recognised that once the Pension Board is formed it has the ability to amend its constitution as it sees fit within the parameters of the Regulations.

## 6 PENSION FUND COMMITTEE

- 6.1 As a result of the engagement process detailed in Section 3 above, it is proposed to amend the Council's Scheme of Administration.
- 6.2 The first requirement is to remove the reference to Employer discretions from the Pension Fund Committee's functions and add this to the Executive's. The amendment required is therefore to add the following to the Executive's Functions within the Scheme of Administration:  
"Staffing  
Employer discretions under Local Government Pension Scheme, within the terms of the relevant legislation."
- 6.3 As a result of the requirement to create a Pension Board that meets jointly with the Pension Fund Committee, it is proposed that the Pension Fund Committee creates a formal sub-committee for the investment and performance aspect of the Committee's remit. This is to avoid the joint meetings becoming too long and unwieldy. In addition, as employers and Trade Unions will be represented on the Pension Board, it is proposed to

- remove the five non-voting members from the Pension Fund Committee.
- 6.4 The proposed amendment to the Scheme of Administration for the Pension Fund Committee is contained in **Appendix 2**.
- 6.5 The creation of a Pension Fund Investment and Performance Sub-Committee through an addition to the Scheme of Administration is contained in **Appendix 3**. There is provision for two members of the Pension Board to have non-voting membership of the Sub-Committee. It is proposed that this Sub-Committee will only meet twice a year and it will be the intention to invite all fund managers to present on this day.
- 6.6 It will be the intention for these new arrangements to be implemented immediately following approval by the Council in order to meet with the requirements of the new Regulations.
- 6.7 The changes proposed do not change the decision making role for the Pension Fund and that remains with the Pension Fund Committee.

## **7 IMPLEMENTATION**

- 7.1 Letters have been sent to the Trade Unions and the Scheme Employers to request nominations for the Pension Board. The deadline for this has been set at 1 April 2015. This will enable the officers to assess the training needs of the members of the Pension Board and develop the appropriate training plan.
- 7.2 The Council's Trade Unions have indicated that they will be allocating the fourth representative to Unison based on the national agreement between trade unions to allocate "spare seats" on the basis of proportionality.
- 7.3 The Council will be required to nominate a Scheme Employer representative to the Pension Board, and this cannot be an existing member of the Pension Fund Committee due to the role of the Pension Board.
- 7.4 It is proposed to use the existing Pension Fund Committee dates in the Committee calendar for the joint meetings with the Pension Board. In addition two additional dates will be required to be added for the meeting of the new Pension Fund Investment and Performance Sub-Committee.
- 7.5 The dates identified for the various meetings are:

*Joint Pension Fund Committee/Pension Board*

18 June 2015

3 September 2015

10 December 2015

3 March 2016

*Pension Fund Investment and Performance Sub-Committee*

24 August 2015

4 February 2016

## **8 IMPLICATIONS**

### **8.1 Financial**

Any costs associated with the implementation of the new governance arrangements will be met by the Pension Fund; however, these are not expected to be significant.

### **8.2 Risk and Mitigations**

The introduction of the Pension Board into the Pension Fund governance arrangements is intended to be an additional support for the Council as Scheme Manager to meet its compliance requirements in relation to relevant regulations and the requirements of the Pensions Regulator.

### **8.3 Equalities**

An Equalities Impact Scoping Assessment has been carried out on this proposal and it is anticipated that there are no adverse equality implications.

### **8.4 Acting Sustainably**

There are no significant impacts on the economy, community or environment arising from the proposals contained in this report.

### **8.5 Carbon Management**

There are no significant effects on carbon emissions arising from the proposals contained in this report.

### **8.6 Rural Proofing**

This report does not relate to new or amended policy or strategy and as a result rural proofing is not an applicable consideration.

### **8.7 Changes to Scheme of Administration or Scheme of Delegation**

The changes to the Scheme of Administration are set out in sections 5 and 6 of this report.

## **9 CONSULTATION**

- 9.1 The Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR, and the Clerk to the Council have been consulted as part of the development of the report to the Pension Fund Committee and their comments have been incorporated into the final report.
- 9.2 SBHA, BSLT and Borders College officers have been contacted and given an overview of the proposals and implications for their organisations.
- 9.3 The Trade Union Joint Consultative Group at the Council has had a presentation on the outline proposals.
- 9.4 The Pension Fund Committee supported the model constitution at their meeting on 29 January 2015, subject to any changes arising from the issue of the final Regulations in February.

**Approved by**

**David Robertson**  
**Chief Financial Officer**

**Signature .....**

**Author(s)**

Name	Designation and Contact Number
Lynn Mirley	Corporate Finance Manager, 01835 825016

**Background Papers:**

Local Government Pension Scheme (Governance) Scotland Regulations 2015  
Pension Board Model Constitution issued by SLOGPAG January 2015

**Previous Minute Reference:** Pension Fund Committee, 29 January 2015

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. The Corporate Finance Manager can also give information on other language translations as well as providing additional copies.

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## SCOTTISH BORDERS COUNCIL PENSION FUND

### PENSION BOARD

### CONSTITUTION

#### 1. Introduction

- 1.1 Scottish Borders Council is the Administering Authority for the Local Government Pension Scheme (LGPS) set up for the Scottish Borders geographic area, known as the Scottish Borders Council Pension Fund (the Fund).
- 1.2 The Council has delegated its responsibilities of Scheme Manager to the **Pension Fund Committee**.
- 1.3 The Council is required to establish a Pension Board separate from the Pension Fund Committee which acts as the Scheme Manager for the Fund.
- 1.4 The **Scottish Borders Council Pension Board** (the Pension Board) is established under the provisions of the Local Government Pension Scheme (Governance) (Scotland) Regulations 2015.
- 1.5 This constitution was approved by Scottish Borders Council on 2 April 2015 [TBC].

#### 2. Objectives

- 2.1 The Pension Board is the body responsible for assisting the Scheme Manager in relation to:
  - a) securing compliance with the regulations and other legislation relating to the governance and administration of the Scheme and any statutory pension scheme that is connected with it;
  - b) securing compliance with requirements imposed in relation to the Scheme and any connected scheme by the Pensions Regulator; and
  - c) such other matters as the regulations may specify .
- 2.2 The Pension Board will have the remit to determine the areas they wish to consider including, amongst others:
  - a) Reports produced for the Pension Fund Committee;
  - b) Seek reports from the Scheme Manager on any aspect of the Fund;
  - c) Monitor investments and the investment principles/strategy/guidance;
  - d) The Annual Report and Accounts for the Fund;
  - e) External voting and engagement provisions in relation to investments;
  - f) Pension Fund Administrative Strategy and associated performance;
  - g) Actuarial reports and valuations;
  - h) Funding Strategy Statement and associated policy; and
  - i) Any other matters that the Pension Board deems appropriate within the responsibilities set out in 2.1 above.

### 3. Membership

- 3.1 The Pension Board will consist of eight members.
- 3.2 Membership of the Pension Board will consist of equal numbers of trade union representatives and employer representatives, the latter being drawn from the Council and scheduled or admitted bodies in membership of the Fund.
- 3.3 Pension Board representatives cannot be members of the Pension Fund Committee.
- 3.4 Pension Board representatives are required to adhere to the Model Code of Conduct as specified by Scottish Government (details can be found at the link <http://www.scotland.gov.uk/Topics/Government/local-government/governance/ethical-standards/codes>)

#### Scheme Employer Representatives

- 3.5 There will be four Scheme Employer Representatives appointed by the respective employer organisations as follows:

Scottish Borders Council	1 member
Scheduled bodies – Borders College	1 member
Admitted bodies –	2 members

- 3.6 Scottish Borders Council employer representative will be an Elected Member who is not a member of the Pension Fund Committee.
- 3.7 Borders College will appoint their representative and communicate this as per the procedure set out in 3.10 below.
- 3.8 Each Admitted Body within the Pension Fund will be contacted and offered the opportunity to put forward a representative for the Pension Board. In the event that more than two representatives are put forward, then the representatives from the Admitted Bodies with the largest membership in the Pension Fund will be nominated.

#### Trade Union Representatives

- 3.9 There will be four Trade Union Representatives appointed by the Trade Unions as follows:
- |        |          |
|--------|----------|
| GMB    | 1 member |
| UNISON | 1 member |
| Unite  | 1 member |

The fourth trade union representative will be agreed by the Council's Trade Union Consultative Group.

#### Term of Appointment

- 3.10 Representatives of the Board will serve for a period of four years, or to the next local government election, whichever is earlier and may be reappointed to serve further terms.



## **Withdrawal and Replacement of Representatives**

- 3.11 Scheme Employers and Trade Union bodies retain the right to withdraw their representatives and identify replacements as they deem appropriate, and they will be responsible for advising the Council's Democratic Services Team, normally at least two months prior to a Pension Board meeting.

### **Substitutes**

- 3.12 Scheme Employers and Trade Union bodies can appoint a named substitute for their representative and will serve for the same period of appointment as the other Board representatives as set out in 3.9 above. Such substitutes must undertake and complete the same training as set out in 6 below. An individual substituting for the Chair or Vice-Chair will not assume that role on the Board, only the role of representing the specified Scheme Employer or Trade Union.

### **Advisors and Officers**

- 3.13 Advisors to the Board and/or Officers of the Scottish Borders Council may attend meetings of the Pension Board in a non-voting capacity at the request of the Chair of the Pension Board. There is no requirement to remunerate the advisors.

## **4. Conflict of Interest**

- 4.1 No person may be appointed to the Pension Board that has a significant conflict of interest.
- 4.2 A conflict of interest is defined as a financial or other interest which is likely to prejudice a person's exercise of functions as a member of the Pension Board. It does not include a financial or other interest arising merely by virtue of that person being a member of the scheme or any connected scheme for which the Board is established.
- 4.3 The Pension Board shall adopt appropriate policies and protocols for handling any conflicts that were unanticipated and might arise during membership.

## **5. Joint Secretaries**

- 5.1 The role of Joint Secretary for the Pension Board should be undertaken by two officers who are appointed by the Scheme Employers and the relevant Trade Unions. These officers should be identified from within existing resources.
- 5.2 There is no expectation that the Joint Secretary to the Pension Board will undertake secretariat tasks or functions in relation to the Pension Board, as these will be undertaken by the Council's Democratic Services Team.
- 5.3 The Joint Secretaries' role is to liaise with Pension Board members and other colleagues to support the smooth operation of Pension Board meetings and to assist in the resolution of any issues arising within normal Pension Board meetings or processes.

## **6. Meetings**

- 6.1 The Chair of the Pension Board will be rotated on an annual basis between the Trade Union and Scheme Employer Representatives on the Pension Board. The duties of the Chair will be the same as those set out in the Scottish Borders Council Procedural Standing Orders.
- 6.2 The Vice-Chair of the Pension Board will also be rotated on an annual basis on the opposite rotation to the Chair so that at all times there is a Trade Union Representative and Scheme Employer Representative in these two positions. The duties of the Vice-Chair will be to deputise for the Chair in the event of their absence.

- 6.3 It will be up to the Scheme Employer Representatives and the Trade Union Representatives to nominate one of their number for appointment to the Chair/Vice-Chair role. This nomination should be communicated to the Council's Democratic Services Team and will stand for a period of four years, or to the next local government election, whichever is earlier.
- 6.4 Pension Board meetings will be administered by the Council's Democratic Services Team as agreed with Joint Secretaries. All reasonable administration costs shall be met by the Pension Fund.
- 6.5 While the statutory roles and function of the Pension Fund Committee and Pension Board are separate, the normal practice will be that both bodies will meet at the same time to consider the same agenda, with the Chair of the Pension Fund Committee chairing the concurrent meeting. The aim is to engender a positive and proactive partnership culture where in practice the two bodies act as one. As a result the Pension Board will meet on average quarterly.
- 6.6 In order to meet the responsibilities of the objectives of the Pension Board, it will be normal practice for the Pension Board to meet immediately after the joint meeting with the Pension Fund Committee. One of the purposes of this meeting will be to identify any matters that the Pension Board wishes to raise under the Dispute Resolution process set out in 8 below.
- 6.7 It will require at least 3 members (each from different representative body) of the Pension Board to requisition an additional special meeting of the Pension Board separate from the Pension Fund Committee in exceptional circumstances. The Joint Secretaries of the Board should notify the members of the Pension Fund Committee of the meeting and its purpose.
- 6.8 The Pension Board may establish sub-committees to take forward aspects of work relating to its Objectives as set out in Section 2 above.
- 6.9 For meetings of the Pension Board that are not held concurrently with the Pension Fund Committee, the Chair of the Pension Board will have the casting vote in the event of a tied vote situation. In the absence of the Chair, the Vice-Chair will Chair the meeting and have the casting vote in the event of a tied vote situation.

## **7. Quorum**

- 7.1 For the purposes of the Pension Board when meeting independently of the Pension Fund Committee, no business can be transacted at a meeting unless there are four members of the Pension Board present. Of these four members there must be at least one Trade Union Representative and one Employer Representative present and either the Chair or Vice Chair.

## **8. Dispute Resolution between Pension Fund Committee and Pension Board**

- 8.1 At the joint meeting referred to in 6.7 above, if the Pension Fund Committee and Pension Board cannot reach joint agreement on any matter the process for resolving any differences between the two bodies is set out in 8.3 below.
- 8.2 Whilst this process is undertaken the decision of the Pension Fund Committee is still competent.

- 8.3 In the first instance, if at least half of the members of the Pension Board agree, then the Pension Board can refer back a decision of the Pension Fund Committee for further consideration if any of the following grounds are met:
- That there is evidence or information which it is considered needs re-evaluating or new evidence or data which the Pension Fund Committee did not access or was not aware of at the point of decision making and which is considered material to the decision taken;
  - That the decision of the Pension Fund Committee could be considered illegal or contrary to regulations;
  - That the decision of the Pension Fund Committee is contrary to a relevant Code of Practice published by the Pensions Regulator; or
  - That the decision is not in the interest of the continued financial viability of the Scottish Borders Council Pension Fund or is against the principles of proper and responsible administration of the Scottish Borders Council Pension Fund.
- 8.4 This referral must be communicated to the Clerk to the Council within 10 working days of the joint meeting with the Pension Fund Committee which made the decision being required to be reconsidered.
- 8.5 If there is no agreement after the matter has been referred back to the Pensions Fund Committee, then the difference in view between the Pension Board and the Pension Fund Committee will be published in the form of a joint secretarial report from the Pension Board on the Pension Fund website and included in the Pension Fund's Annual Report.
- 8.6 The Scottish LGPS Scheme Advisory Board may also consider and take a view on the matter and, if considered appropriate, provide advice to Scottish Borders Council as the Scheme Manager or the Pension Board in relation to the matter.

## 9. Training

- 9.1 All members (and named substitutes) of the Pension Board must undertake a training programme in accordance with any guidance issued by the Pensions Regulator and the Pension Fund Training Policy and complying with best practice training requirements of the Pension Fund Committee.
- 9.2 The Pension Fund Committee will include the members of the Pension Board within the Annual Training Programme for the Pension Fund, and members of the Pension Board will be required to participate in the Programme.
- 9.3 The Pension Board shall agree policies and arrangements for the acquisition and retention of knowledge and understanding for Pension Board members.
- 9.4 Scottish Borders Council as the Scheme Manager will keep an updated list of the documents with which they consider Pension Board members need to be conversant to effectively carry out their role and make sure that both the list and the documents are accessible.

## 10. Access to Information

- 10.1 Scottish Borders Council as the Scheme Manager and Pension Board will together ensure that information is published about the activities of the board including:
- the full terms of reference for the Pension Board, including details of how they will operate
  - the Pension Board appointment process
  - who each individual Pension Board member represents and
  - any specific roles and responsibilities of individual Pension Board members.
- 10.2 The minutes of the Pension Board will be published on the Pension Fund website. The Pension Board may undertake such communications and stakeholder engagement as it deems appropriate to perform its functions.

## **PENSION FUND COMMITTEE**

### **Constitution**

Seven Members of the Council comprising –

- (a) the Depute Leader (Finance)
- (b) the Executive Member for HR and Corporate Improvement
- (c) three other Members of the Administration
- (d) two members from the Opposition

### **Quorum**

Four members of the Committee shall constitute a Quorum.

### **Functions Referred**

The following functions of the Council shall stand referred to the Committee -

1. All matters relating the Council's role as the Administering Authority for the Scottish Borders Council Pension Fund, within the terms of all relevant Local Government Pension Scheme legislation and the requirements of the Pension Regulator.

### **Functions Delegated**

All of the functions delegated to the Committee.

### **Joint Meeting with the Pension Board**

While the statutory roles and function of the Pension Fund Committee and Pension Board are separate, the normal practice will be that both bodies will meet at the same time to consider the same agenda, with the Chair of the Pension Fund Committee chairing the concurrent meeting. The aim is to engender a positive and proactive partnership culture where in practice the two bodies act as one.

### **Dispute Resolution between Pension Board and Pension Fund Committee**

Within the regulations there is a prescribed approach to dispute resolution between the Pension Board and the Pension Fund Committee.

- 1) At the joint meeting referred to above, if the Pension Fund Committee and Pension Board cannot reach joint agreement on any matter the process for resolving any differences between the two bodies is set out in 3) below.
- 2) Whilst this process is undertaken the decision of the Pension Fund Committee is still competent.

- 3) In the first instance, if at least half of the members of the Pension Board agree, then the Pension Board can refer back a decision of the Pension Fund Committee for further consideration if any of the following grounds are met:
- That there is evidence or information which the Pension Board considers needs re-evaluating or new evidence or data which the Pension Fund Committee did not access or was not aware of at the point of decision making and which is considered material to the decision taken;
  - That the decision of the Pension Fund Committee could be considered illegal or contrary to regulations;
  - That the decision of the Pension Fund Committee is contrary to a relevant Code of Practice published by the Pensions Regulator; or
  - That the decision is not in the interest of the continued financial viability of the Scottish Borders Council Pension Fund or is against the principles of proper and responsible administration of the Scottish Borders Council Pension Fund.
- 4) This referral must be communicated to the Clerk to the Council within 10 working days of the joint meeting with the Pension Fund Committee which made the decision being required to be reconsidered.
- 5) If there is no agreement after the matter has been referred back to the Pensions Fund Committee, then the difference in view between the Pension Board and the Pension Fund Committee will be published in the form of a joint secretarial report from the Pension Board on the Pension Fund website and included in the Pension Fund's Annual Report.
- 6) The Scottish LGPS Scheme Advisory Board may also consider and take a view on the matter and, if considered appropriate, provide advice to Scottish Borders Council as the Scheme Manager or the Pension Board in relation to the matter.

**(PENSION FUND COMMITTEE)  
PENSION FUND INVESTMENT AND PERFORMANCE SUB-COMMITTEE**

**Constitution**

Nine members, being the seven members of the Pension Fund Committee and two non-voting members nominated by Pension Board.

**Chairman**

The Chairman shall be the Chairman of the Pension Fund Committee.

**Functions Referred**

The following functions of the Council shall stand referred to the Sub-Committee -

1. Reviewing the Pension Fund's Statement of Investment Principles.
- #2. Where appropriate, recommending changes to the Pension Fund Committee in relation to the Statement of Investment Principles.
3. Ensuring appropriate investment management arrangements are in place for monies of the Pension Fund and to review investment manager performance.
4. Overseeing the contractual review of the fund managers and investment adviser(s) and custodian.
- #5. Where appropriate, making recommendations to the Pension Fund Committee in relation to the appointment or removal of a fund manager, investment adviser or custodian.
- #6. Overseeing the overall approach to investment risk management and where appropriate recommending changes to the Pension Fund's Risk Register.

**Functions Delegated**

All functions above NOT marked #. Those functions marked # are referred to the Sub-Committee for consideration and recommendation only and must receive approval of the Pension Fund Committee.

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**SCOTTISH BORDERS COUNCIL EQUALITY UPDATE REPORT  
2013–2015**

**Report by Service Director Strategy and Policy**

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**SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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**1 PURPOSE AND SUMMARY**

- 1.1 **The report seeks approval of the Equality Mainstreaming Update Report 2013–2015 in order that it may be published to meet the legal deadline.**
- 1.2 The Council has a statutory requirement under the Equality Act 2010, Scottish Specific Duties to mainstream meeting the Public Sector Equality Duty throughout its functions. As part of this duty the Council is required to publish a report on the progress it has made every two years. The Council must publish its Update Report by 23 April 2015.

**2 RECOMMENDATIONS**

- 2.1 **I recommend that the Council approves the Equality Mainstreaming Update Report 2013–2015, as set out in Annex 1 for publication.**

### **3 BACKGROUND**

- 3.1 Under the public sector general equality duty, created by the Equality Act 2010, the Council must have due regard to eliminating discrimination, advancing equality of opportunity and fostering good relations in the exercise of its functions.
- 3.2 In May 2012 the Scottish Government published specific duties to assist listed public authorities such as the Council to meet the general duty. These are statutory requirements to:
  - (a) report on mainstreaming the equality duty;
  - (b) publish equality outcomes and report progress;
  - (c) assess and review policies and practices;
  - (d) gather and use employee information;
  - (e) publish gender pay gap information;
  - (f) publish statements on equal pay;
  - (g) consider award criteria and conditions in relation to public procurement.
- 3.3 To meet the Scottish Specific Duty, Scottish Borders Council published its first Equality Mainstreaming report in April 2013. This report set out the approach the Council would take to mainstreaming the Equality Duty and also contained its Equality Outcomes (details of which can be found in Appendix 1 of Annex 1).
- 3.4 Mainstreaming equality is about integrating an equality perspective into the everyday work of the Council, involving managers and policy makers across all Council services, as well as equality specialists and community planning partners.
- 3.5 Equality mainstreaming is a long term approach that aims to make sure that policy making within the Council is fully sensitive to the diverse needs and experiences of everyone affected. The approach helps to provide better information, transparency and openness in the way we make decisions about our services and resources.

### **4 CURRENT SITUATION**

- 4.1 Scottish Borders Council is now required to publish an Equality Mainstreaming Update Report (Annex 1) which details the work and progress the Council has undertaken to mainstream the Equality Duty. This report must also contain updated information on the Council's Equality Outcomes (Appendix 1 of Annex 1) and Workforce Data (Appendix 2 of Annex 1).
- 4.2 In order to gain an understanding of how effective work has been across the Council, the Corporate Equality Officer Forum carried out a self-evaluation exercise in which all service areas across the Council were asked to evaluate their performance of the Equality Duty. This evaluation forms the mainstay of the Equality Mainstreaming Update Report 2013–2015 and has provided the information required to assist in making further progress with mainstreaming the equality duty.
- 4.3 The Council has a statutory requirement to produce and publish its Equality Mainstreaming Report and Equality Employee information no later than 23 April 2015.

## 5 IMPLICATIONS

### 5.1 Financial

The successful publication of the Equality Mainstreaming Report and Equality Outcomes will assist in reducing the corporate risk of successful litigation against the Council as we meet our legal obligation.

### 5.2 Risk and Mitigations

The risks of not publishing the report include:

- (a) Risk of Legal challenge;
- (b) Risk to Organisational Reputation.

### 5.3 Equalities

Through the successful implementation of the Equality Mainstreaming Report and Equality Outcomes there will be a strong and sustained positive impact on equality of opportunity, fostering good relations and eliminating discrimination, victimisation and harassment.

### 5.4 Acting Sustainably

This report provides information on the Council's approach to mainstreaming the Equality Duty. By its nature, this approach helps ensure sustainability.

### 5.5 Carbon Management

There are no effects on carbon emissions.

### 5.6 Rural Proofing

This report provides information on the Council's approach to mainstreaming the Equality Duty. By its nature, this approach helps to address many of the issues the Council encounters due to the rural nature of the area it serves.

### 5.7 Changes to Scheme of Administration or Scheme of Delegation

There are no changes to be made.

## 6 CONSULTATION

6.1 The Corporate Management Team, Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR and the Clerk to the Council have been consulted and any comments received have been incorporated into the final report.

6.2 The Procurement Officer and the Corporate Communications and Marketing Manager have also been consulted and any comments received have been incorporated into the final report.

### Approved by

**Name: David Cressey**

**Signature .....**

**Title: Service Director Strategy & Policy**

### Author(s)

Name	Designation and Contact Number
Rosie Kennedy	Corporate Equality & Diversity Officer, Strategy & Policy Unit Ext. 8145

**Background Papers:** Scottish Borders Council's Equality Mainstreaming Report and Equality Outcomes 2013 - 2017

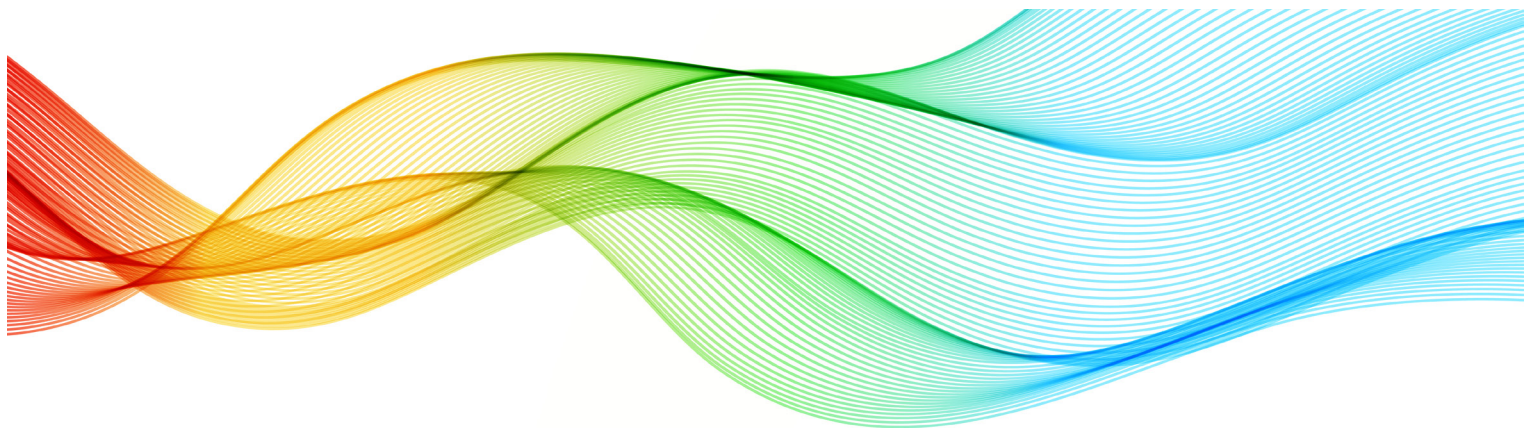
**Previous Minute Reference:** 25 April 2013

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. The Corporate Equality and Diversity Officer can also give information on other language translations as well as providing additional copies.

Contact us at Rosie Kennedy, [rosie.kennedy@scotborders.gov.uk](mailto:rosie.kennedy@scotborders.gov.uk) 01835 828145

# scottish borders council's equality mainstreaming

UPDATE REPORT 2013 TO 2015



You can get this document on audio CD, in large print, and various other formats by contacting us at the address below. In addition, contact the address below for information on language translations, additional copies, or to arrange for an officer to meet with you to explain any areas of the publication that you would like clarified.

Equality and Diversity Officer (Rosie Kennedy)  
Strategic Policy Unit | Scottish Borders Council  
Council Headquarters | Newtown St Boswells | Melrose TD6 0SA  
Telephone: 01835 824000

## FOREWORD FROM THE CHIEF EXECUTIVE

This document presents Scottish Borders Council's Equality Mainstreaming Update Report for the period 2013- 2015. The Council is committed to tackling discrimination, advancing equality of opportunity and promoting good relations both within our workforce and the wider community. Mainstreaming equality is the process by which we will work towards achieving this as an organisation.

Mainstreaming equality is about integrating an equality perspective into the everyday work of the Council, involving managers and policy makers across all council services, in collaboration with Community Planning Partners.

Equality mainstreaming is a long term approach that aims to make sure that policy making within the Council is fully sensitive to the diverse needs and experiences of everyone affected. The approach will help to provide better information, transparency and openness in the way we make decisions about our services and resources.

We first published our Equality Mainstreaming report in April 2013, which set out the approach the Council would take to meeting the Public Sector Equality Duty.

This report provides an update on the progress we have made alongside the next steps which we will take as we continue to work at embed the Equality Duty within all our services.



Tracey Logan  
Scottish Borders Council Chief Executive

## FOREWORD FROM THE ELECTED MEMBER CHAMPION FOR EQUALITY & DIVERSITY

I became involved with the Council's Equality and Diversity work following publication of our first Equality Mainstreaming Report in 2013. As Chair of the Councils Equality Review group, I developed a deeper understanding of the challenges, opportunities and value the Equality Duty presents to the Council and was pleased to be appointed Equality Champion for the Council at the end of the review.

Much of my work has involved engaging with a diverse array of people from different equality groups. I have learned so much through hearing different people's experiences of living in the Scottish Borders and the varying challenges they face. This has only served to enhance my view that mainstreaming and meeting the Equality Duty within the way the Council functions is fundamentally important.

As Champion I am clear that all Council Members and Officers must take on board the importance and value of implementing all the statutory requirements such as Equality Impact Assessment. These requirements serve to ensure we are able to deliver better outcomes for everyone within the Scottish Borders.

In the last two years the Council has taken some significant steps forward to meeting the Equality Duty as highlighted within this report. It is important however that we continue to work together and show leadership to ensure we build upon this important work.



John Greenwell  
Scottish Borders Council Champion for Equality & Diversity

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# INTRODUCTION

## ‘The Equality Duty’

The Equality Act 2010 placed an equality duty on all public bodies in the United Kingdom. It consists of a general equality duty, supported by specific duties which are imposed by secondary legislation. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

These are sometimes referred to as the three aims or arms of the general equality duty. The Act explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

## ‘Mainstreaming the Equality Duty’

In Scotland public bodies are required to perform a set of specific duties to assist them in meeting the general duty. Part of this requirement is to report on their efforts to mainstream meeting the general duty.

## ‘Scottish Borders Council’s Approach’

Scottish Borders Council published its first Equality Mainstreaming report in April 2013. This report set out the approach we would take to mainstreaming the Equality Duty and also contained our Equality Outcomes.

You can find our first mainstreaming report here: [http://www.scotborders.gov.uk/info/751/equality\\_diversity\\_and\\_citizenship/1266/reporting\\_on\\_equality](http://www.scotborders.gov.uk/info/751/equality_diversity_and_citizenship/1266/reporting_on_equality)

We are required to provide an update on the progress we have made over the last two years which forms the basis of this report.

## Self-Evaluation - How are we doing?

In our first Mainstreaming Report we set out our approach to embedding the equality duty within the operations and core functions of the Council.

In order to gain an understanding of how effective our work has been we have recently carried out a self-evaluation exercise in which we asked all service areas across the Council to evaluate their performance of the Equality Duty.

This evaluation forms the mainstay of this report and has provided us with the information we require to assist us in making further progress with mainstreaming the equality duty.

## Are we meeting the Equality Duty?

The Council is working towards achieving full compliance with the duty across all service areas. On self-evaluation most service areas felt they were fully or partially compliant.

We asked service areas what they are doing to meet the duty and here is what they said:



We have policy in place to guide us



We have been undertaking specific pieces of work targeted at meeting the duty



We have been improving accessibility and making reasonable adjustments



We have been undergoing training to help us better understand and meet the Duty



We have been providing opportunities for people who have an equality characteristic

## A Word on Policy

Having appropriate policy in place is an important part of our mainstreaming approach. It is helpful to formulate the way we do something into a policy to ensure we have a consistent, transparent and fair approach.

We have a number of different policies in place which have been developed over the last few years to assist us to meet the duty. Some of our equality policies have been developed corporately such as our Interpretation and Translation policy. Others have been developed

at service level to support specific needs. The self-evaluation exercise we carried out showed that most service areas within the Council use equality policies to assist them to meet the Equality Duty. Our next steps will be to support those service areas who have not yet done this, to develop and implement appropriate policy.



## Making Equality Our Business?

### Leadership

Soon after the introduction of the Council's Mainstreaming report, an Officer and Elected Member Review Group was set up. The purpose of the Group was to:

Assess the Council's position in relation to the Equality Duty

Raise the profile of the agenda

Establish leadership and governance structures

Investigate and put forward recommendations to Council to assist meeting the Equality Duty

The Review group heard evidence and experience from a variety of community groups, officers and individuals in relation to equality, diversity and service delivery.

The Review Group found a number of improvement areas and put forward a set of recommendations which the Council approved (June 2014). These recommendations have been taken into account in the development of this report and some have now been implemented including the appointment of an Elected Member Champion for Equality and Diversity and establishment of an Equality Impact Assessment Project.

## *'We incorporate our equality duty when planning our business, developing strategies and policies and writing reports'*

A fundamental component of mainstreaming the equality duty is to incorporate it into core business functions of the Council. The majority of Council Service areas felt that they either fully or partially consider the Equality duty when carrying out these functions. Our next steps will be to ensure that all Council services areas feel confident that they are fully considering the Equality Duty within their functions.

### *Measuring our Performance*

Taking action, being able to monitor and evidence progress is a key element of our approach to mainstreaming the equality duty. Some service areas have already established performance indicators to help them measure progress, others are starting to develop them. One of our next steps will be to ensure that all service areas have identified and are working towards suitable equality performance indicators. This will include work towards our Equality Outcomes. You can find information on the work and progress we have already made with our Equality Outcomes in Appendix one.

## **Inform & Engage**

### *Data Collection*

Collecting equalities data and information is extremely useful as it helps the Council to understand the people and communities we serve. We asked service areas what equality and diversity data they collected and they said they were more likely to collect equality data on age, disability, gender and ethnicity.

Some service areas in the Council do not collect any equality data. These service areas tend to perform back office functions and are not customer facing. One of our next steps will be to improve collecting data on the additional characteristics; Maternity/Paternity, Marriage/Civil partnership status, Religion or Belief, Sexual Orientation and Carer Status

## *"How do you use the information people give you?"*

We asked service area how they use the information they collect on equality characteristics and here is what they said:



Statutory Reporting



Informing & Improving Service Delivery



Informing Our Engagement Process



To Help Us Develop Strategies and Policies

## *Monitoring and Evaluating our Work*

Monitoring and evaluating the work we undertake is also an important factor in helping us to improve. A third of service areas have already built in consideration of the equality duty within their monitoring and evaluation. We will aim to support more of our service areas to also incorporate this within their work.

### **Case Study: Gypsy Traveller Initiative**

An SBC supported initiative to engage with gypsy travellers has been underway since June 2010. The initiative aims to make contact with gypsy and travelling people locating on unauthorised sites in the Scottish Borders. This involves an outside specialist appointed by Scottish Borders Council making contact with gypsies and travellers when they arrive in the Scottish Borders. This work is overseen by a Gypsy/Traveller Officer Group.

The specialist engages with the community and asks about the services they may need and length of time they plan to stay for. This information is then passed on to other SBC Services and agencies including Lothian and Borders Police and NHS Borders. A *'Guide for Gypsy/Travelling People Staying on Unauthorised Sites in the Scottish Borders'* is provided to gypsy/travellers who stay on unauthorised sites that are owned by the Council. This sets out the services available to them and their responsibilities whilst staying on the site.

Strategy & Policy, Chief Executives Department

## Consultation and Engagement

As well as collecting data we also consult and engage to inform what we do. The feedback we get from different groups of people is really valuable as it helps us develop and improve our services. Our service areas tend to focus their efforts on involving and engaging with the groups their work is likely to effect. We continue to work closely with community groups who represent the views of those with Equality Characteristics such as Elder Voice, Borders Equality Forum and Borders LGBT Forum and are grateful to these groups for their valuable contributions to our work.

## Equality Impact Assessment

Equality impact assessment is an important aspect of the specific duties. Over the last few years we have been developing our approach to equality impact assessments. All Council service areas are required to carry out the impact assessment process when writing and developing strategies and policies; and when designing services; when financially and business planning.



Getting to grips with conducting the process in an appropriate way has been challenging. Our original process was unwieldy and cumbersome which left officers struggling to understand how and when to apply it to their work. We have been working to improve this situation. We have in place a project team who are currently working on refining the process so that it works better internally within the Council. Our next steps will be to implement the new process and increase the numbers of good quality impact assessments the council produce and publish.

## 'We need some training'

In order to ensure that we are fulfilling the requirements of the duty and use the equality impact assessment process in the best possible way, we recognise that Council officers and elected members require training to empower them with the skills and knowledge they need. We have developed our own bespoke training package with some officers now trained in the new process. Our next steps will be to ensure all appropriate officers and Elected Members are trained.

## Accessibility

Improving accessibility is a key part of our approach to mainstreaming the Equality Duty. This can mean making physical changes and adaptations, designing and delivering our services in different ways or changing our approach to a particular issue or scenario.

Last year over two thirds of Council service areas said they had made specific adjustments to accommodate different needs when delivering their services. We continually strive to improve accessibility to ensure that those who need to access our services can.

### Case Study

#### Childcare Support for Course Attendees

We provide a creche facility for participants on the Health Issues in the Community course. This allows those with childcare responsibilities to participate. We have also provided additional support for a participant whom English is a second language to enable them to gain accreditation.

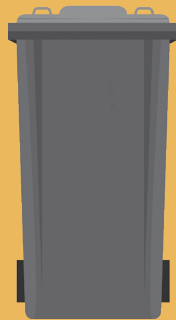
[Joint Health Improvement,](#)  
[Chief Executive Department](#)



### **Case Study: Assisted Waste Uplift Service**

This service is available to householders who are unable to present their wheeled bins for collection due to a disability or health related condition. A qualifying assessment is undertaken prior to the service being offered to the relevant householder.

Waste Services supply stickers which are located on the wheeled bins, ensures the refuse operatives that the property qualifies for an assisted uplift. The refuse operatives then remove and return these bins to the agreed location



Neighbourhood Services,  
Place Department

generating benefits not only to the organisation, but also to society and the economy, whilst minimising damage to the environment.

The Council procure quite a number of goods and services, last year 66% of service areas said they had procured something. The Council procurement service supports service areas to procure the things they need through following fair and thorough process.

Equality clauses are built into the tendering and purchasing processes at SBC. Contracts and processes contain details which ensure non-discrimination and encourage activity with Third Sector and Supported Businesses. These clauses are monitored via contract management over the life of the relationship with the Supplier.

### **Procurement and Payment Services**

The Council buys (procures) Supplies, Services and Works to the value of approximately £130 million per annum.

*[proh-kyoor-muhnt]* – “The act of obtaining or buying goods and services/works. The process includes preparation and processing of a demand as well as the end receipt and approval of payment”.

Public procurement is the process by which public bodies acquire goods, services and works from third parties (“Suppliers”) to meet customer and service user needs. Procurement covers all activities from identification of a requirement through to the end of the useful life or disposal of an asset.

There is now much greater emphasis on Sustainable Public Procurement. This is the process whereby the Council meets its need for goods, services and works in a way that achieves value for money on a whole life basis

### **Community Benefits**

SBC Procurement have recently implemented a new “Adding Value to Communities through Procurement” policy which aims to provide additional benefit beyond the core purpose of a contract opportunity to help maximise the impact of our spending on the local community. This is achieved through the inclusion of specific clauses in contracts known as community benefit clauses.



## Mainstreaming the Equality Duty as an Employer

Scottish Borders Council is committed to promoting equality and diversity and a culture that actively values difference. We recognise that people with different backgrounds and experiences can bring valuable insight and skills to the workplace which enhance the way we work.

The Council aims to be an inclusive organisation, where diversity is valued, respected and built upon. This helps us to recruit and retain a diverse workforce that reflects the communities we serve.

### *How do we promote Equality of Opportunity within employment?*

The Council aims to provide equality of opportunity and facilities which support the needs of its diverse workforce and job applicants. Our Employee Development Application (EDA) – gathers information on any ‘special requirements’ staff may have – e.g. wheelchair access, hearing/sight difficulty, dietary needs, etc. ensuring all staff can benefit from the numerous learning and development opportunities.

#### Example 1

We have considered the needs of different religious groups and their observance during the working day and have where necessary made available a private space for prayer.

### *In addition we have:*

Introduced a new Dignity and Respect policy	Developed an Equal Pay policy
Are developing Mental Health First Aiders for the workforce	Occupational Health Services providing additional Counselling
Equality Impact Assessment training	An e-learning programme
Monitoring training for managers to support apprenticeship placements	Linked equality employee data to our HR information and technology systems
Equality Performance Indicators (PI) in our business plans	Achieved Investors In People (IIP)

## Training and Development

Human Resources (HR's) Organisational Design and Development Team try to ensure that learning and development opportunities are available and accessible to all staff working throughout the Council. The delivery of training has changed substantially offering greater opportunities for learning and development including flexibility across the Council by location; twilight, mid-morning and afternoon sessions. The most significant change has been the development of SBLearn, our e-learning platform which staff have access to at work and at home, via the intranet. Training packages include Equality & Diversity, Child Protection and Data Protection as mandatory courses.

## Human Resources Policies

Through Equality Impact Assessments Human Resources (HR) has been reviewing its policies, procedures and processes to make sure they meet the equality act legislation and a full scale review is currently taking place. In addition, HR is currently reviewing Human Rights Legislation and its impact on the Council.

### Example 2

Our Managers are open to requests for variations in work practices to ensure that officers of all genders are not subject to discrimination in employment opportunities due to home /private life requirements. We actively support work at home and flexible working patterns to support ever changing modern living.

## Human Resources Partnership Working

The Council's Human Resources Service area continues to work in partnership with other community planning partners, such as Borders College and the Open University.

### Example 3

We have provided NHS Borders with support through an agreement which provides additional capacity to enable them to take forward mainstreaming of the equality duty into their policies and working practices.

## Supported Employment

In April 2013, we established a corporate Employment Support Service to improve the performance of the Council in relation to providing supported employment and working towards a workforce more representative of the general population.

Within the Employment Support Service and in partnership with HR, a Works Opportunity Policy has been agreed and implemented through the establishment of a Steering Group. In the financial year 2014-15 25 Modern Apprentices have been employed by Scottish Borders Council and it is planned for a further 36 for 2015-2016. As part of on-going organisational change within the Council. We plan to encourage more placements as part of our organisation change and development plan, which will help to capitalise on available skills and talent.



## Case Study:

# A Stepping Stone to Employment - Modern Apprentice Human Resources



## Profile

**Name:** Scott Hamilton

**Age:** 18

**History:** Scott lives in St Boswells on a family farm. He attended Earlston High School where he gained 5 Highers. The Human Resources team at Council HQ took on Scott as a modern apprentice at the end of October 2014

**Scott said:** before working in Human Resources Team is a great opportunity to learn, gain experience and work alongside great colleagues. The large range of work I undertake on a daily basis will prove invaluable when it comes to my CV and future career."

"I previously applied for a role within SBC which led to attending an interview, but unfortunately I was unsuccessful. My contact details were kept on record with a view to being contacted when other suitable jobs became available. Much to my surprise it wasn't too long before I received a phone call and I was informed the modern apprenticeship scheme was open for applicants. I was encouraged to apply and I did."

"On the interview day, I felt nervous and a little apprehensive even though this was my second interview I didn't really know what to expect. After the formalities of introductions, the interview went extremely well. It was welcoming, friendly and I soon started to relax and feel comfortable. All too soon the interview was over and it felt as though I just had a chat."

"I started with SBC at the end of October 2014 and thoroughly enjoying it. I spent my first 6 weeks in Human Resources Shared Services team and then 6 weeks in Workforce Development. I am currently based within Workforce Planning where most of my time is getting to know the computer systems, workload processes (especially how things are co-ordinated). I also book training courses and tests, via email. A large part of the job is also ensuring that we have enough candidates for the training courses. I do this by analysing worksheets and data records for example checking renewal dates. Once a course is completed I add the details to Resource Link (IT system), and process the Certificates, which requires me to use the photocopier. I guess you can say that I can use a wide range of office equipment which I now feel confident managing. Throughout all of this learning, I've been mentored and well supported by my colleagues that I work alongside, so I really do

feel part of the team."

"All this makes me feel happy and good about myself. I realise that in today's current economic climate jobs are rare but I feel privileged. I've an excellent opportunity to learn, gain experience and most importantly get paid!"

"Of course all of these means that there's no weekday lie-ins. I'm up sharp helping on the farm and then mostly work 9.00 – 5.00p.m at SBC. Again, I'm lucky because I'm allowed to work flexible hours – which suits me down to the ground."

"What I like about the job is working alongside good team members. I like learning to understand the processes from start to finish as this helps me realise what's involved and how it all comes together. I would certainly recommend to friends how good the modern apprenticeship programme is. Put simply, where else could you get guaranteed employment for 15 months, a SVQ Level 2 Certificate in Business Administration and make friends".

"Its early days for me on the programme, but I'm already thinking about what happens when the programme comes to an end. Hopefully (keeping fingers crossed), I continue my employment with SBC but if not I'll have gained experience, a Level 2 Certificate and most importantly be able to demonstrate in job applications my skills, capabilities and achievements – all of which was achievable through the modern apprenticeship programme."

Senior Employment Development Officer, Alasdair Scott added: "Scott's modern apprenticeship has been a positive one for all concerned and one which will hopefully be replicated throughout the Council as more opportunities develop."

Graham Caird, Training Coordinator said, *'It's a great opportunity to have Scott working with ourselves. It enables SBC to help build for the future and gives Scott a real experience in a working environment.'*



# MAINSTREAMING THE EQUALITY DUTY IN EDUCATION

Like the rest of the Council the Education service is working towards achieving full compliance with the Equality Duty. In this section you will find further specific details of the departments work to date.

## What is Education doing to meet the duty?



We have policy in place to guide us



We have been undergoing training to help us better understand and meet the Duty

## Policies & Strategies

In the self-evaluation, the Education service said they follow corporate policy to assist them in meeting the equality duty. They are also developing their own service area specific Inclusion Strategy to assist them to better meet the duty.

The service area was confident that the whole service area knew how and when to appropriately apply the Interpretation and Translation Policy and use these services on an 'as required basis'.

## Education's Business Functions & the Equality Duty

The Education service have made a good start in building consideration of the equality duty into their core functions. In the self-evaluation the service area were confident that they

currently fully consider the Duty when writing strategies and policies. However their next steps will be to ensure that the duties are fully considered when conducting other functions such as business planning, service design and financially planning.

## Measuring Our Performance

Education has not identified any specific performance indicators to measure their performance of the equality duty. However they have recently added a module to their data management software which will allow them to record incidents of bullying by protected characteristic. Their next steps will be to establish appropriate performance indicators for the Equality Duty.

## Monitoring and Evaluating

The service area is confident that they have incorporated meeting the equality duties within their monitoring and evaluation frameworks

## Data Collection

Education currently collects data on the following Equality Characteristics:

- Age
- Disability
- Ethnicity &
- Gender

A next step for the Education service will be to collect information on the other protected characteristics and to establish how they can use the data collection to further the Equality Duty.

## Consultation and Engagement

We asked the Education service if they had involved those with equality characteristics in their work. They said they had consulted and engaged with;

- People of different ages,
- People with disabilities,
- Men and women;&
- People with different ethnicities.

Like other areas within the Council, the Education service area's next steps will be to establish ways to engage with people with other equality.

Characteristics such as people with different sexual orientations and people with different religions and beliefs.



## Curriculum for Excellence

The Curriculum for Excellence has been introduced into Scottish Borders Schools. Health and Wellbeing has a central role within the new curriculum. Everyone who works within a school is responsible for helping to develop positive and respectful relationships with and between young people and for protecting their mental, emotional and social wellbeing.

All young people in our educational settings will learn about wellbeing and we will support them to develop the knowledge, understanding, skills, capabilities and attributes they need for their own emotional, social and physical wellbeing both now and in the future.



## Accessibility

The Education Service have been working to promote accessibility and inclusion within learning settings. The Accessibility Strategy for Schools group is now starting to consider the next three year strategy. The Access to the Curriculum work continues with many pupils having support from the Accessibility Officer or via the Teachers of Information, Communications, Technology (ICT).

### Case Study

Youth Chex funded projects including:

- The 'Citizens Advice Bureau's Young Peoples Project'. This project aimed to increase equality of access to advice and information for young people in an appropriate context and environment.
- Riding for disabled children and young people.

### Case Study

Earlston High School Cluster has been working with the Children in Scotland Access All Areas project. This project which involved both staff and pupils, looks at how children and young people can be enabled to access as full a school life as possible.

## OUR NEXT STEPS

Scottish Borders Council has made a good start to mainstreaming the Equality Duty as laid down by the Equality Act 2010. However on a journey to achieving better outcomes for those with equality characteristics. We will continue over the coming period to work hard to further embed the Equality Duty within our work. After a thorough analysis of our self-evaluation we have set ourselves some further milestones, these are:

### **Corporate:**

- All service areas will establish equality duty performance indicators
- All service areas will be aware and implementing all Corporate Equality & Diversity policies
- We will develop our monitoring and evaluation protocols (both at service level & corporately)
- All service areas will use the equality impact assessment (EIA) process when carrying out core business functions
- We will improve the number of service areas who are appropriately conducting the EIA process and publishing on the website
- All service area will have officer trained in the current EIA process and requirements

### **Education Service:**

- As above

### **Human Resources:**

- As above; Plus
- Data Gathering - Consideration of a methodology for improving the level of data that is currently held for each of the characteristics. Specifically:
  - ◆ Recruitment
  - ◆ Grievance & Disciplinary
  - ◆ Training

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Designed by Scottish Borders Council Graphic Design Section. JD/March2015

# Equality Outcomes Update 2013-2015

Under the Equality Act (2010) Scottish Specific Duties, Scottish Borders Council was required to produce a set of equality outcomes which were informed by engagement with different equality groups and stakeholders. The Council set its outcomes in 2013 which were designed to help it achieve its vision and meet the general equality duty; to eliminate discrimination and harassment; promote equality of opportunity and promote good relations.

Since the introduction of our Equality Outcomes, Scottish Borders Council has undertaken considerable amounts of work to help move closer to achieving them.

The tables below sets out our equality outcomes and the indicators the Council use to measure its progress towards achieving them, followed by some information on the work which has been undertaken to support achieving each one.

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### Table Key

**The Councils Equality Outcome:** The outcome which the council is aiming to achieve

**Outcome 1 :** We are seen as an inclusive equal opportunities employer where all staff feel valued and respected and our workforce reflects our community.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
1_1	% of our workforce aged 16 to 29	↑↓	10.38%	9.04%	<input checked="" type="checkbox"/>	<input type="checkbox"/>	HR Data Collection

The performance indicator reference

Description of the performance measure.

The direction progress towards the outcome has taken since the last report.

Performance data. Please note where bracketed date is below the data this indicates the timeframe the data was taken from.

Stage progress is in.

Where the data we use comes from.

**Outcome 1 :** We are seen as an inclusive equal opportunities employer where all staff feel valued and respected and our workforce reflects our community.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
1_1	% of our workforce aged 16 to 29	↓	10.38%	9.04%	<input checked="" type="checkbox"/>		Human Resources (HR) Data Collection
1_2	% of our workforce who have declared a disability	↑	1.31%	2.58%	<input checked="" type="checkbox"/>		HR Data Collection
1_3	% of our workforce who have stated they are LGB	↑	0.52%	0.73%	<input checked="" type="checkbox"/>		HR Data Collection
1_4	Highest paid 2% who are women	↑	36.6%	38.4%	<input checked="" type="checkbox"/>		Statutory Performance Indicator (SPI)
1_5	Highest paid 5% who are women	↑	37.7%	41.0%	<input checked="" type="checkbox"/>		SPI
1_6	% of our workforce who are from an ethnic minority	↓	2.8%	0.44%	<input checked="" type="checkbox"/>		HR Data Collection
1_7	No. of employees offered employment under the Work opportunities Scheme	↑	No Baseline	53		<input checked="" type="checkbox"/>	Work Opportunities Scheme Recording
1_9	SBC: Investors in people Attainment	→	100%	100%		<input checked="" type="checkbox"/>	HR Data Collection

### Our Action:

Responses from our self-evaluation exercise indicated that Departments felt that by following the Council's policies they were ensuring inclusion. These policies include

Attendance Management  
 Code of Conduct Policy  
 Dignity & Respect Policy  
 Equal Opportunities Policy  
 Family Friendly Policy  
 Grievance and Discipline Policy  
 Job Allocation Policy

Training & Development Policy  
 Recruitment and Selection Policy  
 Maternity, Paternity and Adoption Policy  
 Work Opportunities Scheme  
 Guide to working time regulations  
 Homeworking Policy

**Additionally:**

Service areas indicate that they are making good use of flexible working practices for childcare needs and workplace adjustments to enable staff to continue in or access employment.

76% of service areas reported that reasonable adjustments have been made under Department of Work and Pensions Access to Work Scheme - a grant scheme to offer practical support should staff have a disability, health or mental health condition to ensure reasonable adjustments can be made to help people stay in work.

73% of service areas indicated that they had an understanding of the employee demographic within their service area in relation to the nine Protected Characteristics.

78% have actively promoted equality of opportunity within employment practices (recruitment, training and development). Specifically training, where all employees are encouraged to participate in the mandatory Equality & Diversity Training. Departments have also supported employees in their development by undertaking relevant training/development in relation to their employment.

**Outcome 2:** Our services meet the needs of, and are accessible to, all members of our community and our staff treat all services users, clients and colleagues with dignity and respect.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
2_1	% Of Disabled People who rate SBC as good or excellent	N/A	None (2013 survey)	64%	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
2_2	% of Females who rate SBC as good or excellent	N/A	None (2013 survey)	67%	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
2_3	% of Males who rate SBC as good or excellent	N/A	None (2013 survey)	70%	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
2_4	% of People aged 50+ who rate SBC as good or excellent	N/A	None (2013 survey)	67%	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
2_5	% of People under 50 who rate SBC as good or excellent	N/A	None (2013 survey)	68%	<input checked="" type="checkbox"/>		Scottish Borders Household Survey

## Our Action:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- Training.
- Development of policy.
- Improving access to service through redesign and adjustments.
- Using technology to improve accessibility.
- Improving choice within services.
- Developed performance measures to measure accessibility.
- Engaging people with equality characteristics to
- Taking a person centred approach to ensure services are tailored to need.
- Ensuring the information we produce is in accessible formats.
- Incorporation of behavioural standards into an employee development skills matrix.

### **Case Study: Passenger Transport**

*Department: Place*

In support of the need to deliver high quality transport services for SBC's customers, SBC drivers are soon to undertake driving training delivered by MiDAS training. The training provides good practice in respect of passengers using SBC's minibuses, and also enhanced training in support of SBC's Physical Disability Strategy. The intention is to have all of this training completed within twelve months from September 2013.

Conversion of all of local bus services to low floor wheelchair access buses (with the exception of a few minibus infrequent services) continues to take place. In addition on request bus timetable publicity material is produced in large print and other formats.

Practises such as, annual consultations (with bus users), survey questionnaires, trial transport projects are regularly undertaken in order to ensure that service provision is meeting customer needs.

SBC operates The Taxi to Health Care Scheme and provides door-to-door travel to meet appointment times to a variety of health services including patients:-

- GP
- Community Hospitals/Day Hospitals
- Day Centre

The scheme will also provide a connect service to pick up passengers at their door and drop them off at their nearest bus stop to achieve a direct connection to the Borders General Hospital for appointments.

The scheme will operate in the rural localities in Berwickshire, or locations without a direct bus route to their required health service. Residents living in the towns of Duns, Eyemouth, Chirnside, or Coldstream are not eligible for the scheme, unless disabled.



**Outcome 3:** Everyone has the opportunity to participate in public life and the democratic process.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
3_1	% turn out at local elections	N/A	56% (2012)	N/A	<input checked="" type="checkbox"/>		Legal & Democratic Data Collection
3_2	% of Councillors who are female	↓	18% (2012)	15% (2015)	<input checked="" type="checkbox"/>		Legal & Democratic Data Collection
3_3	Number of Councillors who are male	↓	82% (2012)	85% (2015)	<input checked="" type="checkbox"/>		Legal & Democratic Data Collection
3_4	% of Female residents who were Fairly or Very satisfied with the opportunities for participating in the local decision making process provided by Scottish Borders Council	↑	30.9% (2011)	42% (2013)			Scottish Borders Household Survey
3_5	% of male residents who were Fairly or Very satisfied with the opportunities for participating in the local decision making process provided by Scottish Borders Council	↑	36.3% (2011)	49% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
3_6	% of disabled residents who were Fairly or Very satisfied with the opportunities for participating in the local decision making process provided by Scottish Borders Council	↑	32% (2011)	36% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
3_7	% of Older (50+) residents who were Fairly or Very satisfied with the opportunities for participating in the local	N/A	Not Available	46% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey

	decision making process provided by Scottish Borders Council						
3_8	% of Younger Work Age (under 50) residents who were satisfied with the opportunities for participating in the local decision making process provided by Scottish Borders Council	N/A	Not Available	46% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey

### Our Action:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- Improving volunteering , consultation and engagement opportunities.
- Developing a community engagement strategy.
- Encouraging employees to partake in the election and referendum process, (ensuring they are well trained) to help ensure the democratic processes were well run and inclusive.
- Our Libraries partner the Scottish Parliament Information Centre and provide an access point for local information and consultation.
- We maximise our communication methods and aim to ensure our message reach as wide an audience as possible.
- We actively involve and engage staff, clients and carers in the development of our services and where possible within inspection.
- We set up and facilitate community stakeholder groups for our large projects.
- We encourage employees to participate in the Employee Council.

### **Case Study: Scottish Borders Council with Scottish Youth Parliament (SYP)**

*Department: People*

Scottish Borders has elected representatives onto the Scottish Youth Parliament for over 12 years. Elections are held every 2 years, and the election in March 2013 involved 4693 young voters.

Scottish Borders Members to SYP work to promote a national campaign: Previous campaigns have included One Fair Wage, Equal Love, Votes at 16.

The current campaign promotes financial inclusion for Young Carers such as EMA and concessionary travel and is called Care. Fair. Share.

In 2014, the Scottish Borders MSYPs won Achievement of the Year for going the extra mile in their role representing their communities due to their work on political literacy and Votes at 16.

**Outcome 4:** We work in partnership with other agencies and stakeholders to ensure that our communities are cohesive and there are fewer people living in poverty.

## Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
4_1	% of total population who are income deprived	→	10% (2011)	N/A	<input checked="" type="checkbox"/>		Scottish Index of Multiple Deprivation (SIMD)
4_2	% of working age population who are employment deprived	→	10% (2011)	N/A	<input checked="" type="checkbox"/>		SIMD
4_3	% of Children in Poverty	→	18.6% (2010)	N/A	<input checked="" type="checkbox"/>		SIMD
4_4	% of population aged 60 and over claiming pension credits.	→	11.3% (2012)	N/A	<input checked="" type="checkbox"/>		SIMD
4_5	Neighbourhood priority rate ranking tackling Poverty and Inequality in most important issues	↑	12 <sup>th</sup> (2010)	3 <sup>rd</sup> (2013)		<input checked="" type="checkbox"/>	Scottish Borders Household Survey
4_6	% of females who feel safe to walk in their local area after dark	N/A		73% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
4_7	% of males who feel safe to walk in their local area after dark	N/A		85% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
4_11	No. Race related hate crimes		34 (2011/12)	29 (2013/2014)		<input checked="" type="checkbox"/>	Police Scotland
4_12	No. Sexual orientation related hate crimes		12 (2011/12)	12 (2013/2014)	<input checked="" type="checkbox"/>		Police Scotland
4_13	No. Disability related hate crimes		6 (2011/12)	2 (2013/14)		<input checked="" type="checkbox"/>	Police Scotland
4_14	No. Religion related hate crimes		5 (2011/12)	3 (2014/15)		<input checked="" type="checkbox"/>	Police Scotland
4_15	No. Trans Gender related hate crimes		1 (2011/12)	2 (2013/14)	<input checked="" type="checkbox"/>		Police Scotland

## Some of our action from across the Council:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- We have facilitated the establishment of the Scottish Borders Community Planning Partnership. One of the Delivery Teams will be tasked with developing a Reducing Inequalities Strategy.
- We work with a wide range of partners and stakeholders including both statutory and third sector agencies.
- We work with the SBC Welfare Reform Project Board and its sub-projects to increase digital awareness and capacity in the Community.
- We have developed the Partnership Against Poverty.
- We work in partnership with Skills Development Scotland and Jobcentre Plus to support those seeking employment, looking to
- We ensure that procurement of projects complies with Community Benefits policy in terms of providing opportunities to local communities. We also organise Meet the Buyer events and apprentice positions.
- We work in partnership with and aim to support local organisations to maximise services delivered and available to the Borders public.

### Case Study: Welfare Benefits Service

Department: Chief Executive

The Welfare Benefits Service (WBS), which consists of a team of advisers specialising in matters relating to social security benefits and tax credits, consistently works with a number of partners and stakeholders to maximise income for the citizens of the Scottish Borders. Partnership working with the DWP visiting service ensures the maximisation of resources when working with customers who need to be seen at home for form completion of some benefits and the Council's contract with the Citizens Advice Bureau ensures efficient referral routes between the two services covering money advice and benefit issues. These two services, in conjunction with Registered Social Landlords meet regularly to discuss areas of good practice and are currently working on an easy read 'Survival Guide to Job Sanctions' for service users.

Currently, the WBS receives funding from Macmillan Cancer Care, Reshaping Care, Fairer Scotland Fund (FSF), Criminal Justice Service (CJS) and Early Years in respect of project initiatives. To ensure that the outcomes of the projects are met it is necessary to have the co-operation and participation of a range of partners and stakeholders.

FSF funds a specialist Welfare Benefits Officer working closely with mental health professionals and their patients while the aim of the CJS project is to assist ex-offenders, or people at risk of offending, in conjunction with other key workers, cope with the significant changes to the benefits system brought about by welfare reform. The Macmillan project, partially based at the Macmillan Cancer Centre, BGH, has an officer and assistant focussing on maximising income for people affected by cancer. Running alongside this, an initiative through Reshaping Care offers guidance on making a Will, funeral planning and Power of Attorney. Working with health and social care professionals as well as child care providers is key in the successful delivery of the Early Years project which promotes the take up of tax credits and other benefits. A recent initiative with the Registrar service will ensure a copy of the 'Financial Help in the Early Years' booklet and self-referral option to WBS will be included in the pack issued to all parents registering births.

**Outcome 5:** Our citizens have the freedom to make their own choices and are able to lead independent, healthy lives as responsible citizens

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
5_1	% of disabled people satisfied with the local bus service	N/A		80% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_2	% of older (50+) residents who are satisfied with the local bus service	N/A		81% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_3	% of younger (under 50) residents who are satisfied with the local bus service	N/A		70% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_4	% of female residents who are satisfied with the local bus service	N/A		82% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_5	% of male residents who are satisfied with the local bus service	N/A		81% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_6	% of Female residents who take part in physical activity 2 to 3 times a week or more often	N/A		61% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_7	% of Male residents who take part in physical activity 2 to 3 times a week or more often	N/A		64% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_11	% of Disabled residents who take part in physical activity 2 to 3 times a week or more often	N/A		39% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_12	% of older (50+) residents who have internet access	N/A		77% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_13	% of younger (under 50) residents who have internet access	N/A		95% (2013)	<input checked="" type="checkbox"/>		Scottish Borders Household Survey
5_14	Number of health related benefit claimants			5,060 (2012)	<input checked="" type="checkbox"/>		Department of Work & Pensions
5_15	Number of adults with learning disabilities living independently in their own tenancies		302	N/A			Scottish Government 'Same As You' return

5_16	% of people aged 65+, receiving long-term care, who receive an intensive homecare service (10+ hours per week)	→	28.5%	N/A	<input checked="" type="checkbox"/>	Community Care National Outcome Measure OC8a
5_17	Rates of domestic abuse incidents reported to police (per 100,000 population)		703 (2011/12)	818 (2012/13)	<input checked="" type="checkbox"/>	Scottish Government publish annual data

### Some of our action from across the Council:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- We lead on policy work to support the Community Empowerment Bill.
- We have opened up alternative paths for self-support where appropriate.
- Outcome 4 of the Local Housing Strategy is focused on this:

*‘More people with particular housing needs and/or those who require support are be able to live independently in the own home’*

- We provide an ‘Access to information Mobile and Outreach Services’. SBC Library and Information Services deliver a housebound service to over 200 library members who are housebound and cannot access library services at their local library.
- In our Libraries and Library Contact Centres we provide public access PCs free of charge which, like all Council IT equipment, comply with accessibility regulations, and are provided in a DDA compliant building.

- The Council’s IT equipment disposal contract includes an element of provision of recycled IT equipment free of charge to disadvantaged households in Scotland.
- The introduction of the Self Directed Support legislation and an outcome focused assessment process enables service users to have more choice and control in how they meet their needs and live their lives. The introduction of re-ablement also supports this.
- We support clients to be independent and empowered as individuals and aim to ensure they have choice and control of how their service is delivered.
- We actively advocate on behalf of other clients and use other services to ensure that the individual is able to access services in our communities to reduce the risk to victims of domestic abuse. In Safer Communities we actively engage other services and are bold in working with clients to gather information and seek out means to reduce the impact of ASB on both individuals and in communities. This approach increased confidence in the service and improves the wellbeing in our communities

## Case Study: Healthy Living Network – The Walkerburn Experience

Department: Chief Executive

### Introduction

Walkerburn is the smallest of the five most deprived Borders communities. This case study illustrates the change process in Walkerburn by focusing on the conditions and influences on creativity and collaboration.

The HLN's starting point is the community, often referred to as a 'bottom up' or community development approach. This requires a neutral position and no pre-determined prescription for how people should behave although striving for a healthier lifestyle. Working within a partnership of organisations and operating in this way requires, amongst other things, collaborative leadership, a long term view and a context to enable change. The HLN's primary concern is health improvement; contributing to national health targets influences its work. A two year consultation process with the community led up to confirmation of Lottery funding in 2003. A set of targets were agreed across the five localities, detailed below:

### Walkerburn in 2003:

- ❖ One of the five most deprived communities in Scottish Borders
- ❖ Known as a 'dumping ground' by residents who felt that people were re-housed there if they could not find other accommodation
- ❖ Described in the HLN business plan as having a 'weak sense of community integrity'
- ❖ A fragmented community with unusually low levels of participation in local activities
- ❖ An area where wages were low and unemployment high with residents feeling isolated and like 'second-class citizens'
- ❖ Walkerburn was "apparently held in low self esteem by outsiders and consequently its residents, especially the young people of secondary school age"

Walkerburn had its own set of problems including some of the highest incidences of:

- ❖ Episodes of coronary heart disease in the under 75s in the Borders (39.6-47.2 per 1000 population, 1997-2000)
- ❖ Premature death from CVA/stroke (0.14-0.17 per 1000, 1997-99)

Big Lottery needs assessment work in 2003 provided a basic overview of the activities in Walkerburn at that time. This needs assessment created an enthusiasm for HLN and for health. Working in partnership NHS Borders, Scottish Borders Council and other partner agencies co-created a vision for the future health of Walkerburn by identifying what needed to change.

### Activities included

- ❖ Youth Club
- ❖ Tennis Club
- ❖ Evergreen club and pensioners association
- ❖ Girl Guides
- ❖ Crusaders
- ❖ Women's guild/rural
- ❖ Walkerburn Area Vision Evolvers
- ❖ Guid Fettle

### HLN Contribution

#### ❖ Early Years

Breastfeeding Information & Advice, Bump to Baby, Weaning, One Stop Shop Legacy, Community Food Work, Vegetable Distribution

❖ **Children & Young People**

Cooking Skills, Physical Activity, Emotional Well Being, Community Food Work, Schools Programme

❖ **Working Age Adults**

Community Food Work, Low Level Healthy Weight Work, Physical Activity, One Stop Shop Legacy, Smoking Cessation

❖ **Older People**

Community Food Work, Lunch Club, Carpet Bowls, Seated Keep Fit, Walking Group, Smoking Cessation, Vegetable Distribution

❖ **Community Development & Capacity Building**

Community Health Volunteering

Consultation

Health Issues in the Community

Elementary Food Hygiene

First Aid Training (Basic/Babies & Children)

Walkerburn Allotments/Community Garden

Horticulture Training

The community gained experience and worked in partnership with services.

HLN staff created a volunteer team, of older people, parents, young people and interested others. Older people set up a tooth brushing programme for pupils in the school, a gentle exercise class for their age group and offered microwave cookery to provide positive experiences. Participatory appraisal methods, where members of the community give their views, were used to create a ripple in the community around the 50% uptake of healthier foods. Locals drew out a map detailing food access and availability and suggested solutions. This research formed the basis for developing community food work at all levels, early years, schools, working age and older people. Many other activities were delivered and it was about consistently building momentum, building on success and developing a positive reputation for HLN and health in the community. Partnership working became an integral feature with other services coming on board as appropriate. New relationships were established between HLN, the community and statutory services including health, social work, education and housing.

While there was overwhelming support and enthusiasm, there was also resistance to change. Using the Walkerburn Allotments as an example, this was perhaps the biggest change in the area. The Walkerburn Community Development Trust focused on alleviating fears and communicating the vision for reducing Walkerburn's carbon footprint. The HLN concentrated on the health benefits and the training opportunities a community garden would bring to the area, increasing employability. The 'early adopters' who became the 'Walkerburn Allotments Society' worked hard to overcome the challenges during the planning phases and engaged well with services to meet their needs. The community garden and the allotments have had a lot of interest from various parties across the Borders and elsewhere and other service providers are interested in how their service users can benefit from the opportunities Walkerburn has to offer.

Walkerburn is significantly different with a number of other agencies collaborating effectively with the community and a Healthy Living Network firmly established. Perhaps the most significant change relates to who is running the groups in Walkerburn, the community themselves. Walkerburn is a role model for other Borders communities.

❖ No longer scores highly on the Scottish Index of Multiple Deprivation

❖ Do not define themselves as a deprived community

❖ Are proud of their achievements and contribution to the development of the area

❖ Have an active locality volunteer team who deliver and support additional activities

❖ Volunteers and participants have taken part in local consultations and health related events

❖ Have solved the complex problem of 'a 50% increased uptake of healthier foods' by increasing the access and availability fruit and vegetables in the area

❖ Are running health improving activities themselves

❖ Latest unemployment figures suggest there are a total of 30 unemployed people living in Walkerburn, ten of which are on a work training programme, leaving 20 people looking for work.



**Outcome 6:** The difference in rates of employment between the general population and those from under represented groups is improved.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
6_1	% difference pay gap between men and women who are resident in the Scottish Borders	↑	9.4% (2011)	7.9% (2013)		<input checked="" type="checkbox"/>	NOMIS/ASHE
6_2	% difference pay gap between men and women who work in the Scottish Borders	↑	15% (2011)	12.2% (2013)		<input checked="" type="checkbox"/>	NOMIS/ASHE
6_3	Economic Activity Rate (16-64): for Core or Work-limiting disabled	N/A	N/A	54.6 (2014)	<input checked="" type="checkbox"/>		NOMIS/ Annual Population Survey (APS)
6_4	Employment Rate: Females 16-64	↑	70.1 (2013)	77.5% (2014)	<input checked="" type="checkbox"/>		NOMIS/APS
6_5	Employment Rate: Males 16-64	↑	78.9 (2013)	79.7% (2014)	<input checked="" type="checkbox"/>		NOMIS/APS
6_6	Employment Rate: All aged 16-24	N/A	N/A	60.5% (2014)	<input checked="" type="checkbox"/>		NOMIS/APS
6_7	Employment Rate: All aged 16-64	↑	74.4% (2013)	77.8% (2014)	<input checked="" type="checkbox"/>		NOMIS/APS
6_8	Employment Rate: All aged 50-64	N/A	N/A	71.3% (2014)	<input checked="" type="checkbox"/>		NOMIS/APS
6_9	Percentage of JSA claimants who are from an Ethnic Minority*		3.6% (May 2013)	5.4% (May 2014)	<input checked="" type="checkbox"/>		NOMIS (Benefit payments – ethnicity)
6_10	% of people with no qualifications	↑	9.3 (2012)	8.7% (2013)	<input checked="" type="checkbox"/>		Scottish Neighbourhood Statistics

\* Includes Mixed, Asian, Black, Chinese, Other Ethnic Group and all White except White British. Also excludes Unknown and Prefer Not To Say.

## Some of our action from across the Council:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- Developing both the Economy and Reducing Inequalities Strategies with the Community Planning Partnership.
- Providing volunteering opportunities.
- Improving joint working with the Employment Support Service.
- The development of the Borders Guarantee, which aims to support young people with employment opportunities within the Council.
- We are offering two tier posts allowing applicants to enter at a lower level and up skill whilst in post.
- The Opportunities for All programme aims to ensure that all young people leaving school go into a "positive destination" such as work, training, studying or volunteering. Agencies work in partnership to identify and support those young people who may need a bit of extra help. Activity Agreements provide an individual programme for each young person. A bespoke package of learning and work experience builds on the young person's skills and interests. Support is given to overcome additional barriers that may be preventing them enter into employment.
- When we design schools and alterations to our schools we facilitate an improved teaching environment that helps others to deliver these goals.
- We actively consider all employment routes when filling vacancies

### **Case Study: Employment Support**

*Department: Chief Executive*

In 2012-2013 a complete review of two separate service orientated employment support services was undertaken and the Council endorsed a report that would bring these two services together to form a corporate service which would tackle and support the under- represented groups in the Borders. The redesign of the service is now fully complete with all staff now fully integrated in the service and focussed on delivery of efficient, high quality services.

A new Employability Fund contract has been secured.

A new Works Opportunity policy and procedures has been developed and endorsed by Corporate Management Team and additional resources have been directed to the service to enable its effective implementation.

Work continues to widen the scope and increase the capacity of the service to increase the number of those from under- represented groups to access and sustain paid employment.

**Outcome 7:** The difference in educational attainment between those who are from an equality group and those who are not is improved.

## Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
7_1	% of Female S4 Pupils with 5 awards at SCQF level 4* and above	↑	85.9% (2011/12)	86.3% (2012/13)	☑		Scottish Neighbourhood Statistics
7_2	% of Male S4 Pupils with 5 awards at SCQF level 4* and above	↑	80.3% (2011/12)	82.8% (2012/13)	☑		Scottish Neighbourhood Statistics
7_3	% of S4 Pupils with Additional Support Needs with 5 awards at SCQF level 4* and above	↑	37.2% (2011/12)	53.1% (2012/13)	☑		Scottish Neighbourhood Statistics
7_4	% of Female S5 Pupils with 3 awards at SCQF level 6* and above	↑	42.6% (2011/12)	44.2% (2012/13)	☑		Scottish Neighbourhood Statistics
7_5	% of Male S5 Pupils with 3 awards at SCQF level 6* and above	↓	38.1% (2011/12)	35.0% (2012/13)	☑		Scottish Neighbourhood Statistics
7_6	% of S5 Pupils with additional support needs with 3 awards at SCQF level 6* and above	↓	11.2% (2011/12)	9.6% (2012/13)	☑		Scottish Neighbourhood Statistics
7_7	% of Female School Leavers who go on to a positive destination	↑	91.0% (2011/12)	93.5% (2012/13)	☑		Scottish Neighbourhood Statistics
7_8	% of Male School Leavers who go on to a positive destination	↑	90.7% (2011/12)	90.4% (2012/13)	☑		Scottish Neighbourhood Statistics
7_9	% of School Leavers with Additional Support Needs who go on to a positive destination	↓	84.8% (2011/12)	80.7% (2012/13)	☑		Scottish Neighbourhood Statistics

\*SCQF Level 4 = "General" Standard Grade. SCQF Level 6 = Higher Grade

## Some of our action from across the Council:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- Our IT service area works with Educational Occupational Therapists and specialist staff in schools to ensure that appropriate IT equipment and software is provided to pupils based on their needs.
- When we design schools & alterations to our schools we facilitate an improved teaching environment that helps others to deliver these goals.
- Council Training Schemes in place.
- Targeted and accessible Community Learning projects.
- Incorporation of the Curriculum for Excellence which focusses on supporting all our learners to achieve their full potential.
- We support the Borders LGBT Youth Project.

### **Case Study: Schools Deprivation Fund**

*Department: People*

Established in June 2010 Scottish Borders Schools Deprivation Fund allocated a total of £1.2 million over a 3 year period to 14 target schools in Scottish Borders which are located in the areas of the Scottish Borders with the highest areas of deprivation.

In 2013, a review was undertaken of the impact of the funding and a more robust system of planning, recording and reporting of the work funded through the deprivation fund is being introduced and every funded school will be required to develop a “Closing the Gap” plan and report on progress towards implementing the plan.

Children & Young People’s Services have supported a range of new innovations in schools in recent years which have had an impact on increasing attainment. These include:

- The introduction of nurture classes in key target primary schools.
- Assertive mentoring programme in some secondary schools. Improved attainment results can be attributed to these provisions as can low absence and exclusion figures.
- implementation of Flying Start programme in some primary schools which helps Build relationships with families in the early years, focusing on early intervention.
- Aspiration Programme in some primary schools where pupils report a significant increase in self-motivation and confidence and the class teacher reports increase in team working and inter-personal skills, impacting pupils’ ability to learn.
- Breakfast Clubs in several primary schools pupils report an appreciation of the time to socialise with peers and to eat
- Language Club at one primary school where teachers and parents observed increased self confidence in writing and use of vocabulary in school
- Pupil Support Team at one primary school which decrease in behaviour incidents and therefore reduction in management referrals and exclusions.

**Outcome 8:** We have appropriate accommodation which meets the needs of our diverse community.

### Performance Information

PI Code	PI Description	Performance Trend	2012/13	2014/15	Developing	Achieving	Data Source
8_1	% of the Households receiving Housing Benefit that are Social Renting	→	78% (2012)	N/A	<input checked="" type="checkbox"/>		Scottish Government
8_2	% of the Households receiving HB that are Private Renting	→	22% (2012)	N/A	<input checked="" type="checkbox"/>		Scottish Government
8_3	% of Households experiencing Fuel Poverty	↓	22% (2009 – 2011)	43% (2011 – 2013)	<input checked="" type="checkbox"/>		Scottish House Condition Survey
8_4	% of Households experiencing extreme Fuel Poverty	↑	15% (2009 – 2011)	12% (2011 – 2013)		<input checked="" type="checkbox"/>	Scottish House Condition Survey
8_5	% of Private Sector Residents Satisfied with Accommodation	→	97% (2009 – 2011)	N/A	<input checked="" type="checkbox"/>		Scottish House Condition Survey
8_6	% of Social Sector Residents Satisfied with Accommodation	→	89% (2009 – 2011)	N/A	<input checked="" type="checkbox"/>		Scottish House Condition Survey
8_7	% Dwellings where adaptations are required by householders	↑	5% (2009 – 2011)	3% (2011 – 2013)		<input checked="" type="checkbox"/>	Scottish House Condition Survey
8_8	% Dwellings which have aspects that restrict activity of LTI/disabled household member	↓	5% (2009 – 2011)	6%(2011 – 2013)	<input checked="" type="checkbox"/>		Scottish House Condition Survey
8_9	% of Households experiencing Fuel Poverty who are Families	↓	14% (2009 – 2011)	23% (2011 – 2013)	<input checked="" type="checkbox"/>		Scottish House Condition Survey
8_10	% of Households experiencing Fuel Poverty who are Pensioners	↑	62% (2009 – 2011)	60% (2011 – 2013)		<input checked="" type="checkbox"/>	Scottish House Condition Survey

8_11	Number of Households living in Temporary Accommodation	→	87 (Sep 12)	N/A	<input checked="" type="checkbox"/>		Operation of the Homeless Persons legislation in Scotland: Quarterly Update, January 2013, Scottish Government
8_12	Number of Households Assessed as Homeless	→	399 (2011-2012)	N/A	<input checked="" type="checkbox"/>		Operation of the Homeless Persons legislation in Scotland: 2011-12

### Some of our action from across the Council:

The Council Service Areas have undertaken a number of activities to assist us in achieving the desired outcome. These included:

- Accommodation has been adapted e.g. chairs and location of desk to meet access needs. An individual emergency evacuation process has been developed for a disabled member of staff.
- We identify suitable accommodation that meets the needs of the individual service user is a core part of our business.
- We have started to bring homelessness data into the Corporate Management Team and Council Executive reports.
- We have in place a Local Housing Strategy which sets out what we will do to achieve this outcome.
- We ensure that capital projects are designed in such a way as to not restrict choices of citizens.
- Our Libraries, Contact Centres & Registrar offices all meet accessibility standards with lowered desks, hearing loops, open plan offices, jack PC's, no safety screen, interview rooms and extended opening hours.
- We fund the Borders Women's Aid Refuge.
- We apply design standards and energy efficiency requirements. Involvement with Registered Social Landlord network in the Borders to deliver affordable housing.

#### **Case Study: Integrated Children's Services – Foster Care**

*Department: People*

We are developing the range and quality of local authority fostering and supported carer resources. So far this has resulted in increased recruitment of local authority carers on a year by year basis and employing a Resources Worker with a specific remit for recruitment.

We have also employed a Housing Options worker to specifically develop appropriate housing options for vulnerable you people. The post sits within the Council but the staff member is employed by a local housing association



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# Workforce Data

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## Legislative Context

As stated earlier in this mainstreaming report, there are specific duties that Scottish Borders Council is required to follow. This means that we have a duty to gather and use workforce data across the nine protected characteristics and sub levels as indicated below. We are also required to publish pay gap information and statements on equal pay.

This section of the report provides the details on our workforce data.

## Operational Context

The information used within this report with regard to Employees of Scottish Borders Council has been taken from the corporate HR and Payroll System. As employees can hold multiple posts with the Council it has been decided that we use the post that the employee has defined as their main post for the purpose of completing the analysis. This will tend to be the post that they have held for the longest period of time.

The Job Groups that have been used within the report are:

- Teachers (teaching staff, music instructors and psychologists)
- Chief Officers (the most senior managers)
- Single Status (all other staff employed by the Council)

These have been used as they identify the individual negotiating bodies and conditions of service that each employee works under. For information we have also included statistics for each of the characteristics we hold at entire workforce level.

Analysis of the nine characteristics and sub levels, listed below, has also been carried out.

Gender	Age	Ethnic Origin
Disability	Gender Reassignment	Sexual Orientation
Religion and/or belief	Marital Status	Carer Status

### Sub Levels of analysis

<ul style="list-style-type: none"> <li>• Job Group – based on the negotiating body the employee falls under</li> </ul>	<ul style="list-style-type: none"> <li>• Location – Department for all staff (except Teachers) and Catchment Area for teaching staff</li> </ul>
<ul style="list-style-type: none"> <li>• Grade</li> </ul>	<ul style="list-style-type: none"> <li>• Employment Status</li> </ul>

Throughout this report we have also shown the data as a percentage and number of staff for each characteristic. Due to the low level of numbers in the majority of the characteristics, we have only shown the percentage as this may otherwise identify individuals, as the report is further analysed. However, if there are points to note these have been drawn out and included within the narrative.

The data for 2013 and 2014 has been derived from workforce data January to December of those years and as outlined in Table 1:

**Table 1 – Total number of employees**

	Teachers	Chief Officers	Single Status	Total
2013	1,545	25	4,631	6,201
2014	1,517	23	4,591	6,131

This is consistent with the reducing workforce trend that has been happening in recent years as the Council continues to address the budgetary pressures.

During 2014 the Council undertook a corporate restructure which reduced and renamed the Directorates. Within the 2013 data some Departments are still referred to as the previous directorates, this is due to the post now being obsolete and not having been part of the formal transfer within the HR system.

### (i) Gender

There has been no change in the workforce gender balance as the female/male split has remained consistent over the two years being considered. The overall Council workforce is predominantly female (72%) as displayed in figure 1.

**Figure 1 – Workforce Gender Balance (all staff)**

	Staff by %		Staff by Number	
	2013	2014	2013	2014
<b>Female</b>	72.46%	72.37%	<b>4,493</b>	<b>4,437</b>
<b>Male</b>	27.54%	27.63%	<b>1,708</b>	<b>1,694</b>
<b>Totals</b>	<b>100%</b>	<b>100%</b>	<b>6,201</b>	<b>6,131</b>

### Chief Officers and Single Status

**Figure 2 – Workforce Gender Balance**

	Staff by %		Staff by Number	
	2013	2014	2013	2014
<b>Female</b>	71.05%	70.89%	<b>3,308</b>	<b>3,271</b>
<b>Male</b>	28.95%	29.11%	<b>1,348</b>	<b>1,343</b>
<b>Totals</b>	<b>100%</b>	<b>100%</b>	<b>4,656</b>	<b>4,614</b>

**Figure 3 – Workforce Gender Balance by Status**

Status	2013		2014	
	Female	Male	Female	Male
Casual/Relief	78.58%	21.42%	77.44%	22.56%
Full Time	44.74%	55.26%	43.87%	56.13%
Part Time	89.50%	10.50%	89.82%	10.18%

**Figure 4 – Workforce Gender Balance by Department**

Department	2013		2014	
	Female	Male	Female	Male
Chief Executives	65.16%	34.84%	62.52%	37.48%
Education	50.00%	50.00%	*part of People	
Environment & Infrastructure	11.11%	88.89%	*part of Place	
People	86.93%	13.07%	86.60%	13.40%
Place	48.46%	51.54%	48.02%	51.98%
Resources	51.02%	48.98%	*part of Chief Executives	
Social Work	57.89%	42.11%	*part of People	

\*These figures are now under a different Directorates following re-organisation.

There is no significant shift in the gender balance when considered as a Departmental breakdown. However, it is worth noting that the main functions within the Chief Executives Department are central support

functions with a high level of Admin and clerical jobs which tend to be fulfilled by females, hence the gender balance in favour of females. Within the People Department the main functions are support jobs within Schools and Social Care jobs, again jobs that are predominantly carried out by females and this will be consistent with other authorities in Scotland. The final Department, Place, has a closer gender balance due to the nature of the diverse services delivered, which includes Roads Maintenance and Customer Services.

**Figure 5 – Workforce Gender Balance by Job Group**

Job Group	2013		2014	
	Female	Male	Female	Male
Chief Officers	44.00%	56.00%	56.52%	43.48%
Single Status	71.19%	28.81%	70.96%	29.04%

**Figure 6 – Workforce Gender Balance by Grade**

Grade	2013		2014	
	Female	Male	Female	Male
National Minimum Wage			8.33%	91.67%
Business Gateway	66.67%	33.33%	80.00%	20.00%
Grade 1	80.65%	19.35%	80.73%	19.27%
Grade 2	41.91%	58.09%	43.49%	56.51%
Grade 3	23.01%	76.99%	22.32%	77.68%
Grade 4	85.55%	14.45%	86.09%	13.91%
Grade 5	78.31%	21.69%	78.72%	21.28%
Grade 6	70.41%	29.59%	69.23%	30.77%
Grade 7	70.32%	29.68%	69.58%	30.42%
Grade 8	58.87%	41.13%	57.89%	42.11%
Grade 9	63.81%	36.19%	65.62%	34.38%
Grade 10	47.62%	52.38%	47.62%	52.38%
Grade 11	22.73%	77.28%	18.42%	81.58%
Grade 12	40.00%	60.00%	38.46%	61.54%
Chief Officers	44.00%	56.00%	56.52%	43.48%

During 2014 the Council has been proactive in the recruitment of a number non-specific gender modern apprentices.

Single Status males dominate grades 2 and 3 which typically includes roles such as refuse collection and gardener. They also dominate the senior manager grades 10 – 12. There are a relatively low number of posts in these grades with the gender split being 67 female to 105 male occupancy in such roles.

Single status females dominate grade 1 which typically includes cleaners, and general assistants. They also dominate grades 4 and 5 which are typically clerical assistants, administrative assistants, homecare assistants, and support workers.

## Teachers

**Figure 7 – Workforce Gender Balance**

	Staff by %		Staff by Number	
	2013	2014	2013	2014
<b>Female</b>	76.70%	76.86%	<b>1,185</b>	<b>1,166</b>
<b>Male</b>	23.30%	23.14%	<b>360</b>	<b>351</b>
<b>Totals</b>	<b>100%</b>	<b>100%</b>	<b>1,545</b>	<b>1,517</b>

**Figure 8 – Workforce Gender Balance by Catchment Area**

Catchment Area	2013		2014	
	Female	Male	Female	Male
Berwickshire	74.62%	25.38%	75.65%	24.35%
Cheviot	81.44%	18.56%	80.00%	20.00%
Eildon East	76.49%	23.51%	77.41%	22.59%
Eildon West	78.26%	21.74%	77.90%	22.10%
Teviot & Liddesdale	75.00%	25.00%	75.00%	25.00%
Tweeddale	79.02%	20.98%	77.78%	22.22%

**Figure 9 – Workforce Gender Balance by Job Group**

Job Group	2013		2014	
	Female	Male	Female	Male
Teachers	76.70%	23.30%	76.86%	23.14%

**Figure 10 – Workforce Gender Balance by Grade**

Grade	2013		2014	
	Female	Male	Female	Male
Chartered Teacher	68.00%	32.00%	67.12%	32.88%
Common Scale Teacher	80.09%	19.91%	79.89%	20.11%
Depute & Head Teacher	71.15%	28.85%	70.19%	29.81%
Music Instructor	40.00%	60.00%	50.00%	50.00%
Preserved Teacher*	31.25%	68.75%	0.00%	0.00%
Principal Teacher	69.40%	30.60%	67.78%	32.22%
Probationary Teacher	83.78%	16.22%	85.29%	14.71%
Psychologist	80.00%	20.00%	80.00%	20.00%

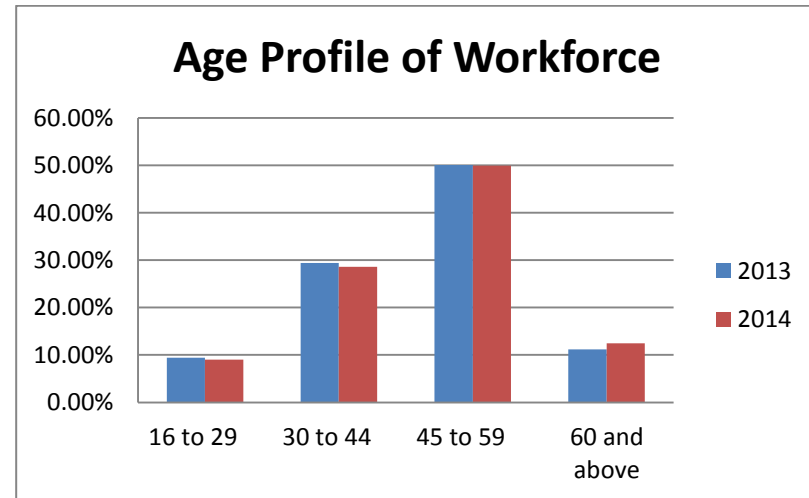
\*Personal preservation ended 31<sup>st</sup> March 2014

**Figure 11 – Workforce Gender Balance by Status**

Status	2013		2014	
	Female	Male	Female	Male
Casual/Relief	71.58%	28.42%	72.40%	27.60%
Full Time	72.22%	27.78%	73.04%	26.96%
Part Time	94.89%	5.11%	91.82%	8.18%

**(ii) Age**

There has been no significant shift in the age profile of the workforce between 2013 and 2014, with the 45 to 59 age group remaining the predominant age grouping for the Council.

**Figure 12 – Workforce Age Profile (all staff)****Chief Officers and Single Status Staff****Figure 13 – Workforce Age Profile**

	Staff by %		Staff by Number	
	2013	2014	2013	2014
16 to 29	8.20%	8.13%	382	375
30 to 44	27.88%	26.83%	1,298	1,238
45 - 59	52.41%	52.34%	2,440	2,415
60 and above	11.51%	12.70%	536	586
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>4,656</b>	<b>4,614</b>

Figure 14 – Workforce Age Profile by Department

Department and Age	2013	2014
<b>Chief Executives</b>		
16 to 29	6.76%	8.85%
30 to 44	32.24%	31.03%
45 to 59	46.62%	47.08%
60 and above	14.38%	13.04%
<b>Education</b>		
16 to 29	16.67%	*part of People
30 to 44	33.33%	
45 to 59	33.33%	
60 and above	16.67%	
<b>Environment &amp; Infrastructure</b>		
16 to 29	13.89%	*part of Place
30 to 44	30.56%	
45 to 59	47.22%	
60 and above	8.33%	
<b>People</b>		
16 to 29	7.95%	7.24%
30 to 44	26.50%	26.24%
45 to 59	54.52%	53.76%
60 and above	11.03%	12.76%
<b>Place</b>		
16 to 29	8.93%	9.30%
30 to 44	27.66%	25.92%
45 to 59	51.61%	52.33%
60 and above	11.79%	12.45%
<b>Resources</b>		
16 to 29	8.16%	*part of Chief Executives
30 to 44	37.76%	
45 to 59	50.00%	
60 and above	4.08%	

<b>Social Work</b>		
16 to 29	13.16%	*part of People
30 to 44	31.58%	
45 to 59	44.74%	
60 and above	10.53%	

\*These figures are now under a different Directorates following re-organisation.

When considering the age profile for the chief officer and single status staff there are (52%) 2% more employees, than the overall Council average, in the 45 to 59 age group. This is mainly attributable to the People Department where almost 54% of the workforce are in the 45 to 59 age group. On the flip side the Chief Executives Department have a higher percentage of employees within the 30 to 44 age group.

Figure 15 – Workforce Age Profile by Job Group

Job Group and Age	2013	2014
<b>Chief Officers</b>		
16 to 29	0.00%	0.00%
30 to 44	20.00%	13.04%
45 to 59	80.00%	82.61%
60 and above	0.00%	4.35%
<b>Single Status</b>		
16 to 29	8.25%	8.17%
30 to 44	27.92%	26.90%
45 to 59	52.26%	52.19%
60 and above	11.57%	12.74%

**Figure 16a – Workforce Age Profile by Grade**

Grade	2013			
	16 to 29	30 to 44	45 to 59	60 and above
National Minimum Wage	0.00%	0.00%	0.00%	0.00%
Business Gateway	0.00%	50.00%	50.00%	0.00%
Grade 1	11.66%	27.04%	47.79%	13.52%
Grade 2	5.51%	23.16%	44.85%	26.47%
Grade 3	3.54%	24.78%	55.31%	16.37%
Grade 4	9.39%	24.98%	53.46%	12.16%
Grade 5	10.73%	27.40%	52.51%	9.36%
Grade 6	9.55%	36.99%	46.54%	6.92%
Grade 7	6.15%	28.61%	54.81%	10.43%
Grade 8	7.17%	36.60%	49.81%	6.42%
Grade 9	6.63%	32.87%	52.49%	8.01%
Grade 10	0.00%	27.62%	65.71%	6.67%
Grade 11	0.00%	22.73%	68.18%	9.09%
Grade 12	0.00%	10.00%	86.67%	3.33%
Chief Officers	0.00%	20.00%	80.00%	0.00%

**Figure 16b – Workforce Age Profile by Grade**

Grade	2014			
	16 to 29	30 to 44	45 to 59	60 and above
National Minimum Wage	100.00%	0.00%	0.00%	0.00%
Business Gateway	0.00%	40.00%	60.00%	0.00%
Grade 1	12.61%	26.61%	46.79%	13.99%
Grade 2	4.83%	21.19%	46.47%	27.51%
Grade 3	3.57%	23.66%	56.25%	16.52%
Grade 4	8.63%	23.98%	53.91%	13.48%
Grade 5	10.40%	26.48%	53.19%	9.93%
Grade 6	9.50%	36.43%	45.02%	9.05%
Grade 7	5.35%	26.20%	56.06%	12.39%

Grade 8	4.21%	36.14%	51.23%	8.42%
Grade 9	5.44%	32.66%	51.58%	10.32%
Grade 10	0.00%	23.81%	70.48%	5.71%
Grade 11	0.00%	26.32%	65.79%	7.89%
Grade 12	0.00%	11.54%	84.62%	3.85%
Chief Officers	0.00%	13.04%	82.61%	4.35%

During 2014 the Council have undertaken the recruitment of a number modern apprentices, with the focus being on the appointment of younger persons. This is demonstrated through the 100% of staff being paid on the National Minimum Wage (the rate payable to apprentices) falling into the 16 to 29 age category.

The Council currently has no employees aged 16 to 29 from Grade 10 onwards as these roles typically require a significant period of previous working experience. There are opportunities for employees in this age group to be appointed to such roles and the Council would do so should they be the best candidate when such posts are advertised.

**Figure 17 – Workforce Age Profile by Status**

Status and Age	2013	2014
<b>Casual/Relief</b>		
16 to 29	12.56%	13.09%
30 to 44	24.15%	24.92%
45 to 59	37.20%	36.75%
60 and above	26.09%	25.24%
<b>Full Time</b>		
16 to 29	8.60%	9.02%
30 to 44	28.73%	27.63%
45 to 59	55.71%	55.78%

## Teachers

Figure 18 – Workforce Age Profile

	Staff by %		Staff by Number	
	2013	2014	2013	2014
16 to 29	12.94%	11.80%	200	179
30 to 44	33.92%	33.88%	524	514
45 to 59	42.91%	42.52%	663	645
60 and above	10.23%	11.80%	158	179
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>1,545</b>	<b>1,517</b>

Figure 19 – Workforce Age Profile by Catchment Area

Catchment Area and Age	2013	2014
<b>Berwickshire</b>		
16 to 29	9.14%	9.84%
30 to 44	34.01%	31.09%
45 to 59	55.33%	54.92%
60 and above	1.52%	4.15%
<b>Cheviot</b>		
16 to 29	10.78%	12.12%
30 to 44	33.53%	35.76%
45 to 59	52.10%	47.88%
60 and above	3.59%	4.24%
<b>Eildon East</b>		
16 to 29	19.12%	16.74%
30 to 44	35.06%	35.56%
45 to 59	42.23%	43.10%
60 and above	3.59%	4.60%
<b>Eildon West</b>		
16 to 29	12.50%	8.29%
30 to 44	35.87%	39.23%
45 to 59	47.28%	47.51%
60 and above	4.35%	4.97%

<b>Teviot &amp; Liddesdale</b>		
16 to 29	18.09%	16.67%
30 to 44	43.62%	41.67%
45 to 59	34.57%	36.67%
60 and above	3.72%	5.00%
<b>Tweeddale</b>		
16 to 29	9.76%	9.66%
30 to 44	39.51%	36.71%
45 to 59	44.88%	47.83%
60 and above	5.85%	5.80%
<b>Various</b>		
16 to 29	11.05%	9.94%
30 to 44	23.80%	25.00%
45 to 59	33.14%	30.11%
60 and above	32.01%	34.94%

Figure 20 – Workforce Age Profile by Job Group

Job Group and Age	2013	2014
<b>Teachers</b>		
16 to 29	12.94%	11.80%
30 to 44	33.92%	33.88%
45 to 59	42.91%	42.52%
60 and above	10.23%	11.80%



Figure 21a – Workforce Age Profile by Grade

Grade	2013			
	16 to 29	30 to 44	45 to 59	60 and above
Chartered Teacher	0.00%	37.33%	56.00%	6.67%
Common Scale Teacher	14.55%	33.82%	38.82%	12.82%
Depute & Head Teacher	0.00%	37.50%	57.69%	4.81%
Music Instructor	15.00%	25.00%	55.00%	5.00%
Preserved Teacher	0.00%	0.00%	93.75%	6.25%
Principal Teacher	3.28%	38.80%	55.19%	2.73%
Probationary Teacher	83.78%	13.51%	2.70%	0.00%
Psychologist	0.00%	40.00%	60.00%	0.00%

Figure 21b – Workforce Age Profile by Grade

Grade	2014			
	16 to 29	30 to 44	45 to 59	60 and above
Chartered Teacher	0.00%	38.36%	53.42%	8.22%
Common Scale Teacher	12.89%	33.55%	39.31%	14.26%
Depute & Head Teacher	0.00%	38.46%	54.81%	6.73%
Music Instructor	9.09%	27.27%	59.09%	4.55%
Preserved Teacher	0.00%	0.00%	0.00%	0.00%
Principal Teacher	2.78%	37.22%	55.56%	4.44%
Probationary Teacher	91.18%	5.88%	2.94%	0.00%
Psychologist	0.00%	40.00%	50.00%	10.00%

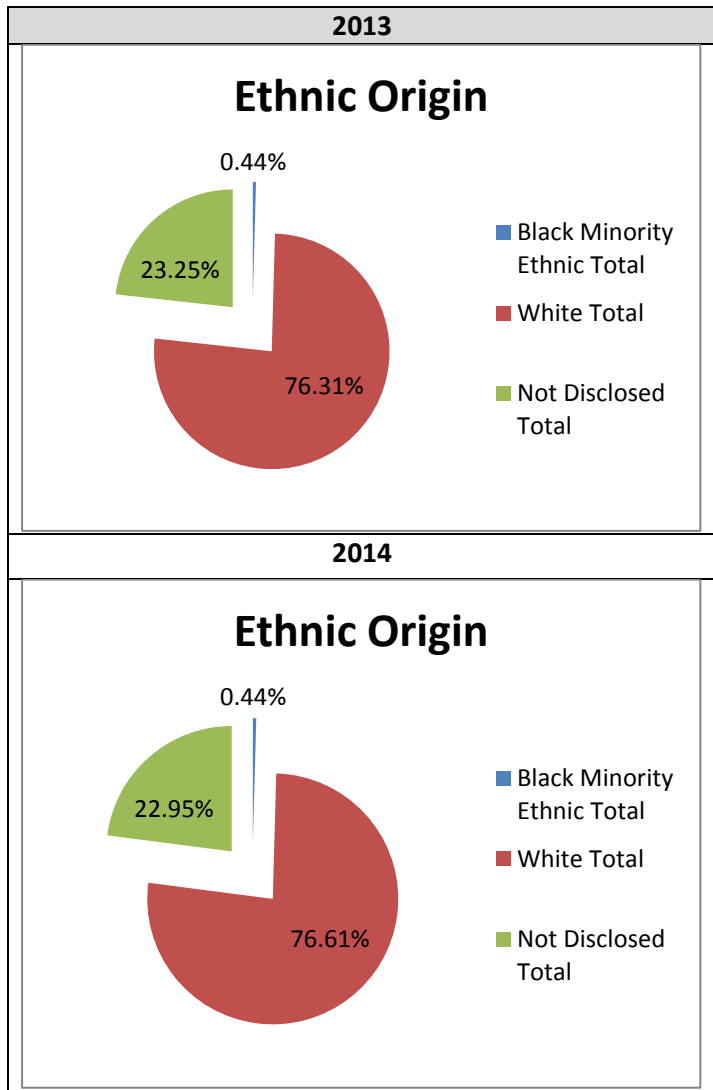
Figure 22 – Workforce Age Profile by Status

Status and Age	2013	2014
<b>Casual/Relief</b>		
16 to 29	10.79%	10.39%
30 to 44	19.06%	20.07%
45 to 59	30.58%	27.24%
60 and above	39.57%	42.29%
<b>Full Time</b>		
16 to 29	16.14%	14.67%
30 to 44	36.69%	37.07%
45 to 59	44.55%	45.22%
60 and above	2.62%	3.04%
<b>Part Time</b>		
16 to 29	5.11%	4.72%
30 to 44	38.66%	36.79%
45 to 59	48.88%	48.11%
60 and above	7.35%	10.38%

**(iii) Ethnic Origin**

The proportion of Black and Ethnic Minority employees has remained static over the two years at 0.44%. The proportion of employees identifying themselves as white has increased slightly over the two years.

**Figure 23 – Workforce Ethnic Origin Profile (all staff)**

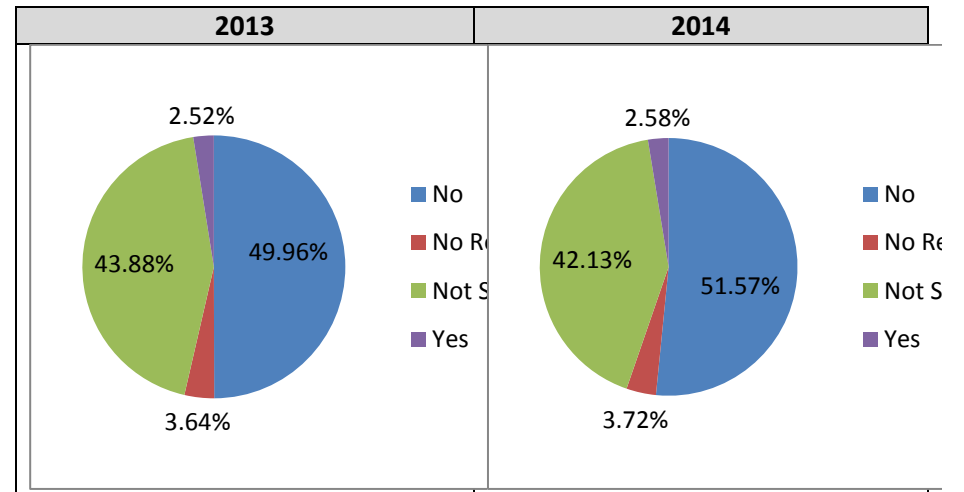


Due to the low level of Black Minority Ethnic employees that are employed by the Council no further breakdowns have been included as this may lead to the identification of individuals. However, it is worth noting that for teaching employees there are 0.03% who have indicated that they fall within the Black Ethnic Minority group.

**(iv) Disability**

The level of employees indicating that they have a disability has remained static over the past 2 years at approximately 2.60% of the workforce. However, it has to be considered that the response rate to this may be low as there are in excess of 45% of employees who have not provided a response to the question when asked as illustrated in the chart below as “not stated” and “no response”.

**Figure 24 – Workforce Disability Profile (all staff)**



### (v) Gender Reassignment

The level of employees indicating that they are currently undergoing or have undergone gender reassignment over the past two years has remained static. Due to the extremely low level of employees who have indicated this no further analysis is included as this may lead to the identification of the individuals.

**Figure 25 – Workforce Gender Reassignment (all staff)**

Gender Reassignment	2013	2014
No	68.12%	68.33%
No Response	22.84%	21.82%
Not Stated	8.89%	9.72%
Yes	0.15%	0.13%

### (vi) Sexual Orientation

The level of employees who have indicated that their sexual orientation is Bisexual, Gay or Lesbian has remained static over the past two years. Due to the low number of employees who have indicated this no further analysis is included as this may lead to the identification of the individuals.

**Figure 26 – Workforce Sexual Orientation for all staff**

Sexual Orientation	2013	2014
Bisexual	0.35%	0.34%
Gay	0.21%	0.21%
Heterosexual	65.78%	66.43%
Lesbian	0.15%	0.18%
No Response	21.71%	20.67%
Not Stated	11.80%	12.17%

### (vii) Religion and/or Belief

The religion or beliefs of the employees has remained static over the past 2 years, with the two highest categories being No Religious Group and Protestant.

**Figure 27 – Workforce Religion or Belief all staff**

Religion or Belief	2013	2014
Agnostic	1.64%	1.57%
Atheist	3.18%	2.92%
Buddhist	0.23%	0.21%
Catholic	4.63%	4.65%
Hindu	0.03%	0.03%
Jewish	0.08%	0.10%
Muslim	0.06%	0.08%
No Religious Group	27.59%	28.35%
No Response	20.25%	19.46%
Not Stated	9.66%	9.98%
Other	1.06%	1.52%
Other Christian	5.56%	5.87%
Protestant	26.01%	25.27%

### (viii) Marital Status

The marital status of the employees has remained static over the past 2 years, with the highest category remaining as those who are married.

**Figure 28 – Workforce Marital Status all staff**

Marital Status	2013	2014
Civil Partnership	0.68%	0.67%
Divorced	6.71%	6.62%
Married	46.06%	45.75%
No Response	19.67%	18.90%

Not Stated	5.10%	5.53%
Partnered	9.64%	9.72%
Single	11.19%	11.87%
Widowed	0.95%	0.93%

### (ix) Carers

The number of employees who have indicated that they have caring responsibilities has had a slight increase over the past two years, with the majority indicating that they have no caring responsibilities.

**Figure 29 – Workforce Carer – all staff**

Carer	2013	2014
No	48.91%	48.56%
No Response	24.77%	23.76%
Not Stated	10.24%	10.55%
Yes	16.08%	17.13%

### Training Courses

The following displays the completions of three mandatory training courses by council employees in Jan – December 2013 and 2014 respectively. The data has been analysed by location and the protected characteristics of age and gender. As before no significant data can be derived from the other protected characteristics and sub categories as this may identify individuals.

**Figure 30a - Training Chief Executives and Single Status**

		Data Protection		Child Protection		Equality & Diversity	
		2013	2014	2013	2014	2013	2014
<b>Chief Executive</b>							
Gender	Female	69%	70%	N/A	70%	74%	70%
	Male	31%	30%	N/A	30%	26%	30%
Age	16 to 29	11%	8%	N/A	9%	26%	9%
	30 to 44	44%	32%	N/A	31%	11%	34%
	45 to 59	43%	50%	N/A	50%	58%	50%
	60 and above	2%	9%	N/A	10%	5%	8%
<b>People</b>							
Gender	Female	84%	88%	N/A	89%	86%	88%
	Male	16%	12%	N/A	11%	14%	12%
Age	16 to 29	12%	6%	N/A	6%	17%	6%
	30 to 44	28%	27%	N/A	29%	17%	29%
	45 to 59	55%	58%	N/A	58%	59%	58%
	60 and above	6%	9%	N/A	7%	7%	7%
<b>Place</b>							
Gender	Female	65%	50%	N/A	60%	59%	59%
	Male	35%	50%	N/A	40%	41%	41%

Age	16 to 29	25%	15%	N/A	19%	33%	17%
	30 to 44	28%	30%	N/A	26%	31%	29%
	45 to 59	42%	49%	N/A	49%	33%	49%
	60 and above	5%	6%	N/A	6%	3%	5%

	Data Protection		Child Protection		Equality & Diversity	
<b>Course Completion Totals by staff numbers</b>	<b>381</b>	<b>1548</b>	<b>N/A</b>	<b>1165</b>	<b>87</b>	<b>1343</b>

Figure 30b - Teaching Staff

		Data Protection		Child Protection		Equality & Diversity	
<b>Berwickshire</b>		2013	2014	2013	2014	2013	2014
Gender	Female	0	87	N/A	85%	0	88
	Male	100	13	N/A	15%	0	12
Age	16 to 29	0	15	N/A	18	0%	16%
	30 to 44	0	24	N/A	25	0%	24%
	45 to 59	100	53	N/A	51	0%	53%
	60 and above	0	8	N/A	6	0%	8%
<b>Cheviot</b>		2013	2014	2013	2014	2013	2014
Gender	Female	75	77	N/A	79%	0	79
	Male	25	23	N/A	21%	0	21
	16 to 29	25	16	N/A	16	0%	17%
	30 to 44	13	38	N/A	37	0%	38%

Age	45 to 59	63	43	N/A	43	0%	41%
	60 and above	0	3	N/A	3	0%	5%
<b>Eildon East</b>		2013	2014	2013	2014		
Gender	Female	73	66	N/A	78	0	70
	Male	27	34	N/A	22	100	30
Age	16 to 29	9	11	N/A	13	0%	15%
	30 to 44	45	36	N/A	31	100%	37%
	45 to 59	45	47	N/A	47	0%	41%
	60 and above	0	6	N/A	9	0%	7%
<b>Eildon West</b>		2013	2014	2013	2014	2013	2014
Gender	Female	64	86	N/A	85	0	70
	Male	36	14	N/A	15	0	30
Age	16 to 29	18	7	N/A	11	0%	9%
	30 to 44	36	32	N/A	34	0%	37%
	45 to 59	45	60	N/A	55	0%	50%
	60 and above	0	1	N/A	0	0%	4%
<b>HQ</b>		2013	2014	2013	2014	2013	2014
Gender	Female	0	78	N/A	100	0	100
	Male	0	22	N/A	0	0	0
Age	16 to 29	0	0	N/A	0	0%	0%
	30 to 44	0	44	N/A	67	0%	60%
	45 to 59	0	44	N/A	33	0%	40%
	60 and above	0	11	N/A	0	0%	0%
<b>Teviot &amp; Liddesdale</b>		2013	2014	2013	2014	2013	2014
Gender	Female	76	87	N/A	72	92	86
	Male	24	13	N/A	28	8	14
	16 to 29	12	18	N/A	23	25%	17%

Age	30 to 44	29	45	N/A	40	25%	42%
	45 to 59	47	32	N/A	33	50%	35%
	60 and above	12	6	N/A	3	0%	6%
<b>Tweeddale</b>		<b>2013</b>	<b>2014</b>	<b>2013</b>	<b>2014</b>	<b>2013</b>	<b>2014</b>
Gender	Female	83	84	N/A	84	100	85
	Male	17	16	N/A	16	0	15
Age	16 to 29	17	10	N/A	9	0%	11%
	30 to 44	17	29	N/A	31	100%	27%
	45 to 59	67	50	N/A	51	0%	53%
	60 and above	0	10	N/A	9	0%	9%
<b>Various Locations</b>		<b>2013</b>	<b>2014</b>	<b>2013</b>	<b>2014</b>	<b>2013</b>	<b>2014</b>
Gender	Female	100	81	N/A	79	0	79
	Male	0	19	N/A	21	0	21
Age	16 to 29	0	13	N/A	9	0%	13%
	30 to 44	50	35	N/A	36	0%	28%
	45 to 59	50	45	N/A	48	0%	49%
	60 and above	0	6	N/A	6	0%	10%

	Data Protection		Child Protection		Equality & Diversity	
<b>Course Completion Totals by teaching numbers</b>	<b>56</b>	<b>445</b>	<b>N/A</b>	<b>423</b>	<b>14</b>	<b>467</b>

The Child Protection course was launched midway through 2014 therefore there are only completion figures for 2014 displayed.

We have been unable to report on applications for training as the application processes vary dependant on the course and are not handled centrally. We will endeavour to gather and record more of this type of information in the future.

However, for all of the three courses there is a significant increase in completions between 2013 and 2014.

### Grievance

Where employees have a concern they would normally raise the issue directly with their line manager, or ask their Trade Union representative to make an informal approach on their behalf. Therefore in the majority of cases it will be possible to resolve potential grievances informally through discussion with the line manager.

If the potential grievance is of a particularly sensitive or complex nature, advice may sought from HR. It is only in these instances that the actual data is recorded. Therefore the data given below is a record of all the grievances that have involved HR. As the numbers of staff involved in grievances are low no further analysis is included. Where an informal approach does not resolve the problem, then the Grievance Procedure should be used by raising a grievance in writing.

Grievances with HR's involvement during 2013 totalled 4 and in 2014 totalled 2. The outcomes of these were resolved or currently ongoing.

## Discipline

The Council recognises that the effective delivery of services is dependent on acceptable standards of conduct and performance of all employees. The Council acknowledges its responsibilities as an employer to determine appropriate standards of conduct and performance and to make employees aware of these standards. Employees also have a responsibility to familiarise themselves with the rules and procedures relating to their employment and to maintain acceptable standards of conduct and performance.

Clearly there may be occasions when any employee does not meet acceptable standards. Minor and non-recurring issues will be dealt with by the appropriate manager through support, advice, guidance, counselling and/or training, with an emphasis on improving standards and learning from mistakes, rather than apportioning blame.

Despite this, there may be occasions when formal disciplinary action is required. The Council therefore endorses a disciplinary procedure to ensure that all managers adopt a uniform approach to discipline. The procedure provides a framework to ensure that any disciplinary action is taken in a fair and consistent manner, whilst recognising that each case must be treated on its merits taking account of individual circumstances. Similar to grievances the Council only records disciplinary that requires HR involvement or become formal. Figures 31 and 32 provides the details broken down by gender, ethnic origin, disability and age. Further analysis has not been undertaken for the remaining protected characteristics as this may well identify individuals.

**Figure 31a –Number of disciplines and outcome – gender, ethnic origin and disability**

	2013								Number
	Gender		Ethnic Origin			Disability			
	Female	Male	Black	White	Not Stated	Yes	No	Not stated	
<b>Outcomes</b>									
Dismissal	10	9	-	13	6	1	7	11	19
Final Written Warning	2	5	-	6	1	-	2	5	7
Written Warning	2	4	-	4	2	-	3	3	6
Verbal Warning	-	2	-	1	-	-	1	1	2
No Further Action	17	7	1	17	6	-	10	14	24
Resigned	3	-	-	3	-	-	2	1	3
Ongoing	1	1	-	2	-	-	1	1	2
Misc.	1	-	-	1	-	-	1	-	1
<b>Total number of dismissals</b>									<b>64</b>

**Figure 31b—Number of disciplines and outcome – gender, ethnic origin and disability**

2014										
	Gender		Ethnic Origin			Disability			Number	
	Female	Male	Black	White	Not Stated	Yes	No	Not stated		
<b>Outcomes</b>										
Dismissal	1	2	-	3	-	-	3	-	3	
Final Written Warning	1	1	-	1	1	-	1	1	2	
Written Warning	-	1	-	1	-	-	1	-	1	
Verbal Warning	1	-	-	1	-	-	1	-	1	
No Further Action	2	5	-	6	1	1	4	2	7	
Resigned	2	2	-	4	-	-	3	1	4	
Ongoing		1	-	1	-	-	-	1	1	
Misc.	1	2	-	3	-	-	3	-	3	
<b>Total number of dismissals</b>										<b>19</b>

**Figure 32 –Number of disciplines and outcome - Age**

	2013				2014			
	16 to 29	30 to 44	45 to 59	60 and above	16 to 29	30 to 44	45 to 59	60 and above
<b>Outcomes</b>								
Dismissal	1	5	9	-	1	-	1	1
Final written warning	-	2	5	4	-	1	-	1
Written Warning	-	-	6	-	1	-	-	-
Verbal Warning	-	1	1	-	-	-	-	1
No further Action	2	7	14	1	1	2	4	-
Resigned	-	1	1	1	-	2	2	-
Ongoing	-	-	2	-	-	-	1	-
<b>Totals</b>	<b>3</b>	<b>16</b>	<b>38</b>	<b>7</b>	<b>3</b>	<b>5</b>	<b>8</b>	<b>3</b>
<b>Total for 2013</b>				<b>64</b>	<b>Total for 2014</b>			<b>19</b>



## Dismissals

The information used within the below table is with regard to all employees (including teaching staff) who have been dismissed has been taken from the corporate HR and Payroll System. As employees may have held multiple posts with the Council at the date of dismissal it has been decided that we use the post that the employee had defined as their main post for the purpose of completing the analysis, this will tend to be the post that they have held for the longest period of time.

The individuals included within the report have had their contract of employment with Scottish Borders Council terminated by the Council.

The data for 2013 and 2014 has been derived from workforce data January to December of those years and tells us the following:

**Figure 33 Dismissals Years' 2013 and 2014**

	Female	Male	Total
2013	7	5	12
2014	12	6	18

Analysis of staff has not been separated into the nine characteristics and sub categories as identified above due to the low numbers involved and the potential that an individual may be identifiable and therefore have not been included in this section of the report.

## Applications for Recruitment

The information used within this section of the report is taken from the 'My Job Scotland' National Recruitment Portal for the posts advertised by Scottish Borders Council. On a monthly basis the Conventions of Scottish Local Authorities (CoSLA) support team, who under take the system administration on behalf of the 32 local authorities, provide a monthly extract of Equal Opportunities data, based on the date an advertised post has been marked as completed.

For the purpose of completing the analysis, Scottish Borders Council has used the published end date to determine which year the applicant should be considered within. The downside to this approach, and linked to the way in which we have been provided with the data from CoSLA, is that not all applications made during late 2014 will have been included.

Analysis based on the applicant's progress through the recruitment process has been included for Gender, Age, Ethnic Origin and Disability as illustrated in the figures below.

**Figure 34 – Gender**

	No of Posts	Number of Applications Received			Average Number of Applications per Post	Number of Applications Scheduled for Interview				Number of Applications Appointed				
		Female	Male	Not Stated		Total	Female	Male	Not Stated	Total	Female	Male	Not Stated	Total
2013	517	4,334	2,744	176	7,254	14.03	1,430	688	40	2,158	396	154	17	567
2014	456	3,892	2,451	179	6,522	14.30	1,319	680	56	2,055	381	142	20	543

**Figure 35- Age**

2013	Number of Applications Received	Number of Applications Scheduled for Interview	Number of Applications Appointed	2014	Number of Applications Received	Number of Applications Scheduled for Interview	Number of Applications Appointed
16 to 29	2,695	609	169	16 to 29	2,374	656	137
30 to 44	2,214	720	199	30 to 44	2,049	659	198
45 to 59	1,966	732	169	45 to 59	1,788	636	173
60 and above	149	43	12	60 and above	133	38	7
Not Stated	230	54	18	Not Stated	178	66	28
Total	7,254	2,158	567	Total	6,522	2,055	543

**Figure 36 – Ethnic Origin**

	Number of Applications Received				Number of Applications Scheduled for Interview				Number of Applications Appointed			
	Black Minority	White	Not Disclosed	Total	Black Minority	White	Not Disclosed	Total	Black Minority	White	Not Disclosed	Total
2013	284	6,704	266	7,254	60	2,042	56	2,158	8	538	21	567
2014	216	6,041	265	6,522	50	1,937	68	2,055	8	509	26	543

**Figure 37 – Disability**

	Number of Applications Received				Number of Applications Scheduled for Interview				Number of Applications Appointed			
	No	Yes	Not Stated	Total	No	Yes	Not Stated	Total	No	Yes	Not Stated	Total
2013	6,468	523	263	7,254	1,931	172	55	2,158	517	26	24	567
2014	5,795	470	257	6,522	1,841	145	69	2,055	506	15	22	543

The Council is a “disability symbol” user. This is a double tick symbol which is awarded by Jobcentre Plus and supports positive action for disabled applicants. This supports the Council’s commitment to employ, retain and develop the abilities of disabled individuals. As part of this commitment the Council operates a guaranteed interview scheme for disabled applicants who meet the essential criteria for an advertised post. Analysis over the two years indicates that exactly the same percentage of applicants in each of the years have indicated that they have a disability.

The analysis of the other characteristics (sexual orientation, religion and/or belief, marital status and carer status) has been carried out. However the data is not included due to the low level of individuals who have indicated that they fall into the protected characteristics. The information that has been made available from CoSLA means, it is not possible to carry out sub analysis on the following: -

- Gender Reassignment
- Education (Teachers)
- Temporary and Permanent positions
- Applications for Promotion

## Gender Pay Gap/Equal Pay

The gender pay gap is the difference between men and women's full time hourly earnings. Using guidance and the standard calculation that is set out by the Equality and Human Rights Commission, the Council's equal pay gap was calculated using data as at December 2014.

The calculations are based on all contractual payments - excluding overtime but including enhancements.

$(a)/(b) \times 100 = \text{Total}$

$100 - \text{Total} = (c)$

$(a)/(b) = c$

Where:

Average hourly rate for Women

Average hourly rate for Men

Pay Gap

In formulating the gender pay gap for 2014 we have separated the overall workforce based on employees terms and conditions. This sees the calculation for teaching and a combined calculation for Single Status and Chief Officers. This results in the following for years 2013 and 2014.

### 2013

#### Chief Officers and Single Status Staff

Female Average Hourly Rate £10.5870

Male Average Hourly Rate £12.4139

\*Pay Gap % differential hourly rate 14.72

This equates to £1.83 per hour

#### Teaching Staff 2013

Female Average Hourly Rate £21.5416

Male Average Hourly Rate £22.7755

\*Pay Gap % differential hourly rate 5.42

This equates to £1.23 per hour

### 2014

#### Chief Officers and Single Status Staff

Female Average Hourly Rate £11.1128

Male Average Hourly Rate £12.7739

Pay Gap % differential hourly rate 13.00

This equates to £1.66 per hour

#### Teaching Staff

Female Average Hourly Rate £22.1037

Male Average Hourly Rate £23.3589

Pay Gap % differential hourly rate 5.37

This equates to £1.25 per hour

\*The pay gap was based solely on the employees' basic hourly rate (including Living Wage Allowance) rather than the inclusion of all contractual payments.

To support our approach to Equal Pay we have formulated an Equal Pay policy. The policy sets our aims to state and publicise the Council's commitment to the principles of equal pay for work of equal value and to enable the management of equal pay at a corporate and service level. Specifically this includes:

To commit to the principle of equal pay for work of equal value for all employees

To eliminate any unfair discrimination, unjust or unlawful practices that impact on pay equality

To reward fairly the skills and experience of all employees

To work in partnership with the recognised Trade Unions to ensure employees have confidence in the process of eliminating any bias identified, advance equality of opportunity and foster good relations

To operate pay and reward systems which are transparent, based on objective criteria and free from bias

To secure the future together with our employees by attracting and retaining employees who are committed to delivering excellent public service and making us a dynamic and innovative Council by supporting equality of opportunity and valuing diversity within our workforce.

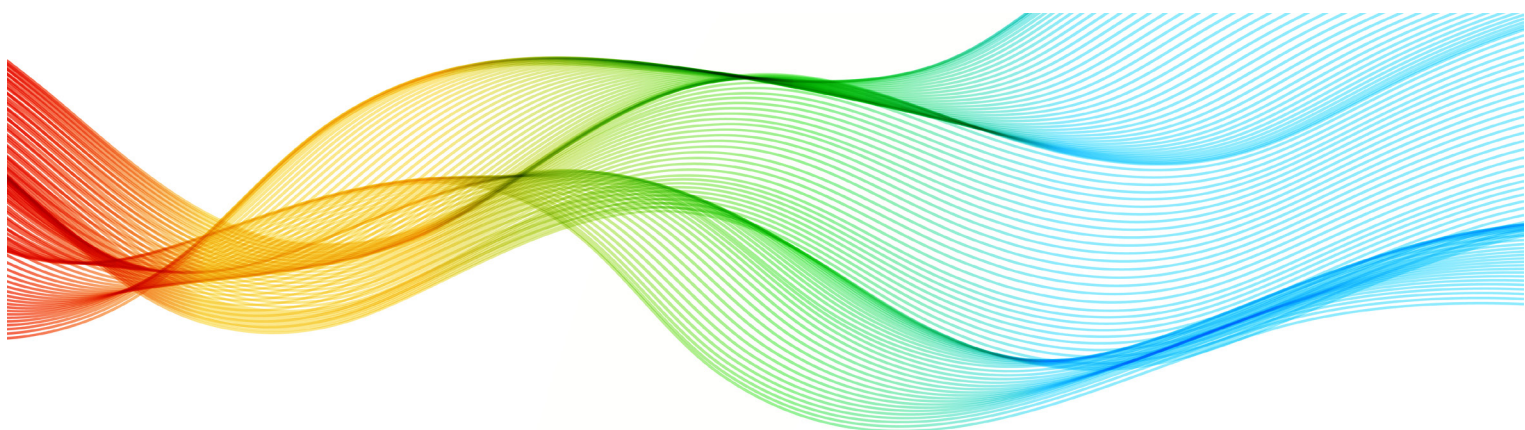
Achievement of these aims will:

- Ensure compliance with the principle of equal pay for equal value for all of our employees.
- Eliminate any unfair discrimination, unjust or unlawful practices that impact on pay equality.
- Reward fairly the skills and experience of all employees.
- Working in partnership with the recognised Trade Unions, ensure employees have confidence in the process by eliminating any bias identified, advancing equality of opportunity and fostering good relations.
- Enable us to operate pay and reward systems which are transparent, based on objective criteria and free from bias.
- Ultimately assist in the attraction and retention of employees.



# scottish borders council's equality mainstreaming

## EASY READ



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Council Headquarters | Newtown St Boswells | Melrose TD6 0SA  
Telephone: 01835 824000

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## What this report is about



This report is about Scottish Borders Council and a law called the **public sector equality duty** or the **equality duty**.



This law says **public authorities** like schools, hospitals and councils must think about how they can make things better for people from different groups.






The law says **public authorities** must think about how they can make sure that everyone has the same chance to use their services.

Scottish Borders Council is a **public authority**.



They must stop discrimination against people from different groups like gay people, disabled people or women.

## More about this report

 A group of four people are holding a large sign that says "No more bullying". One person is in a wheelchair, and another is a young boy. A close-up of a man's face is also visible on the sign.	<p>They must make sure people are not bullied or called names because they are from a certain group. For example, because they are old or because of their religion.</p>
 Two people are sitting and talking. A speech bubble is shown between them, indicating communication.	<p>They must make it easier for people from different groups to tell them what they need so that they have the right information when they make decisions.</p>
 A spiral notebook with the word "Report" written on it.	<p>They must write a report to let the public know how they are getting on with these things every 2 years.</p> <p>This is called the <b>Mainstreaming Update Report</b>.</p> <p>The rest of this booklet contains Scottish Borders Council's Mainstreaming Update Report.</p>

## What did Scottish Borders Council do?



The Council set up a review group of **Elected Members** and Council officers.

**Elected members** are the people voted in by the public. They are in charge of all the services run by the Council.

The aim of the review group was to look at ways the Council could make things better for people by meeting the Equality Duty.



The review group talked to people from different communities.

This helped the group to understand the different things people from different communities needed the Council to do.



After talking to lots of different people the review group made some **recommendations**.

**Recommendations** are things the review group thought the Council could do to make things better for people.



The Council has now done some of these things.

One of these things was to make an elected member an **Equality Champion**.

An **Equality Champion** is someone who promotes equality and diversity and speaks up about equality issues.

### Is the Council doing the things in the Equality Duty?



We asked all the different services in the Council if they were doing all of the things in the **Equality Duty**.

Most services said they were doing some or all of the things.

### How has the Council been doing the things in the Equality Duty?



We asked all the different Council Services like Schools, Social Work and Housing, what they have been doing to meet the **Equality duty**.





They said they had written some policies to help them make sure they did things in a fair and equal way.

## More about what the Council has been doing.

	<p>They said they had talked to different groups like older people, people with disabilities and gay people.</p> <p>This helped them to understand what was hard for different groups in their life and how they could help.</p>
	<p>They said they have used this information to make Council services better for people.</p> <p>They have also made it easier for people to find and use the Council's services.</p>
	<p>They said they have been on training courses so they could learn more about how to make things better for people.</p>
	<p>They said they have been giving people the chance to come and work with them.</p>
	<p>They said they want to make sure everyone has a good and happy life here in the Scottish Borders.</p> <p>They would like everyone to feel included.</p> <p>They said they know this hasn't happened yet so they will keep working to try to make sure this happen for everyone.</p>

## What will the Council do next?

	<p>We can tell from talking to all the different Council services they have already done some good work.</p> <p>Scottish Borders Council wants all its services to keep working hard to meet the equality duty.</p>
	<p>The Council has set some goals it would like to achieve over the next two years.</p> <p>These are things all the Council services will do to make sure the Council can keep making things fairer and better for everyone.</p>
	<p>The Council wants to make sure that everyone has the same chance to use its services.</p>
	<p>The Council wants to make it easier for people from different groups to tell the Council what they need so that it has the right information when it makes decisions.</p>
	<p>The Council wants to set up ways to check all the work it does to make sure it is meeting the Equality Duty.</p>

**If you would like to contact the Council about this report  
you can:**

	<p>Telephone:</p> <p>01896 824 000</p>
	<p>Email:</p> <p><a href="mailto:rosie.kenned@scotborders.gov.uk">rosie.kenned@scotborders.gov.uk</a></p>
	<p>Write:</p> <p>Equality &amp; Diversity Officer Strategic Policy Unit Scottish Borders Council Council Headquarters Newtown Saint Boswells Melrose TD6 0SA</p>

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**LOCAL GOVERNMENT BOUNDARY COMMISSION FOR  
SCOTLAND 5<sup>TH</sup> REVIEW OF ELECTORAL ARRANGEMENTS –  
PROPOSALS FOR WARDS**

**Report by Chief Executive**

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**SCOTTISH BORDERS COUNCIL**

**2 April 2015**

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**1 PURPOSE AND SUMMARY**

- 1.1 This report gives details of the Local Government Boundary Commission for Scotland’s proposals for wards in the Scottish Borders Council area and the process for preparing a response by Council.**
- 1.2 At its meeting held on 13 January 2015, the Boundary Commission agreed to provisionally adopt the proposal for a reduction in Councillor numbers for Scottish Borders Council from 34 to 32 as part of its proposals for Ward boundaries.
- 1.3 The proposals for the Scottish Borders Council area received from the Boundary Commission on 18 March 2015 present an electoral arrangement for 32 Councillors representing 8 x 3-member wards and 2 x 4-member wards, reducing the number of wards in the area by 1 and reducing Councillor numbers by 2. As agreed at Council on 24 April 2014, it is delegated to the Political Management Arrangements: Members Sounding Board to consider the Ward boundaries proposals and prepare a response for consideration and any alternative proposals by Council. Although the Members Sounding Board has representatives from each of the political parties it is proposed to invite all Members to attend the meetings to give their views. It is further proposed that the first meeting of the Members Sounding Board to consider the Ward boundaries takes place on the morning of Thursday 23 April 2015.

**2 RECOMMENDATIONS**

- 2.1 I recommend that the Council:-**
  - (a) notes the details of the proposals for Wards in the Scottish Borders Council area; and**
  - (b) agrees the arrangements for considering these proposals and that a further report will be brought to Council at its next meeting on 21 May 2015.**

### **3 BACKGROUND**

- 3.1 The Local Government Boundary Commission for Scotland (“the Boundary Commission”) is required to conduct electoral reviews for each of Scotland’s 32 local authorities, with each review resulting in recommendations from the Boundary Commission on the number of Councillors for each Council and the number and boundaries of wards for the election of those Councillors.
- 3.2 At its meeting on 24 April 2014, Council considered the first proposals from the Boundary Commission in terms of Councillor numbers for Scottish Borders Council. The Boundary Commission had placed each Council area – based on deprivation and population distribution – into one of five categories, assigning a ratio of Councillors to electors in each category in order to calculate the appropriate number of Councillors for each Council. Scottish Borders Council was placed in Category 4 (between 30% and 60% of the population living in the most deprived areas), where the ratio of electors to each Councillor was 2,800.
- 3.3 The Boundary Commission proposed to reduce the number of Councillors in the Scottish Borders from the current level of 34 to 32 from the 2017 local government election. A response was sent to the Boundary Commission opposing these proposals but at its meeting held on 13 January 2015, the Boundary Commission agreed to provisionally adopt the proposal for a reduction in Councillor numbers from 34 to 32 as part of its proposals for Ward boundaries. The Council also agreed at its meeting on 24 April 2014 that the Political Management Arrangements: Members Sounding Board would consider the next stage of the Review (i.e. the ward boundaries proposals) and prepare a response for consideration by Council.

### **4 PROPOSALS FOR WARDS IN THE SCOTTISH BORDERS COUNCIL AREA**

- 4.1 The Secretary of the Boundary Commission wrote to the Chief Executive on 18 March 2015, presenting the Boundary Commission proposals for wards for the Scottish Borders Council area. The Boundary Commission is required to consult with Councils on its proposals for a period of 2 months which runs until 19 May 2015. However, additional time has been given to respond due to the UK general election falling within the consultation period. Once the consultation period for the Council finishes the Boundary Commission will seek the views of others, including members of the public, who have an interest. This second consultation period is likely to be from July to October 2015.
- 4.2 On 20 March 2015, I sent by email to all Councillors a copy of the booklet presenting the Boundary Commission’s proposals including background to their work on the 5<sup>th</sup> Review to date, some summary information about the overall ward proposals, and specific proposals for this Council’s area. A2 maps of the Council area and each ward within in were also provided by the Boundary Commission and these are available to view in the Clerk to the Council’s office.
- 4.3 The proposals for the Scottish Borders Council area present an electoral arrangement for 32 Councillors representing 8 x 3-member wards and 2 x 4-member wards, reducing the number of wards in the area by 1 and reducing Councillor numbers by 2. The Boundary Commission proposals are intended to improve the overall forecast parity of electors to Councillors;

address forecast disparities in existing Wards 10 and 11; make no changes to Wards 1, 2, 3, 5, 6, and 7; and amend Ward boundaries at Charlesfield, Hawick and Roxburgh. Table 1 below details the electorates and associated variation from parity of the proposed Wards:

Ward No	Ward Name	Cllrs	Electorate Sept 13	Actual variation from parity	Forecast electorate 2019	Forecast variation from parity
1	Tweeddale West	3	7,716	-8%	7,717	-9%
2	Tweeddale East	3	8,247	-2%	8,320	-2%
3	Galashiels & District	4	10,862	-3%	10,530	-7%
4	Selkirkshire	3	7,926	-6%	8,238	-3%
5	Leaderdale & Melrose	3	8,427	0%	8,742	3%
6	Mid Berwickshire	3	8,350	-1%	8,673	2%
7	East Berwickshire	3	8,465	0%	8,990	6%
8	Kelso & District	3	8,912	6%	9,068	6%
9	Jedburgh, Denholm & Hermitage	3	9,225	9%	9,175	8%
10	Hawick	4	11,734	4%	11,434	1%
	<b>Totals</b>	<b>32</b>	<b>89,864</b>	<b>4%</b>	<b>90,887</b>	<b>5%</b>

- 4.4 As agreed at Council on 24 April 2014, it is delegated to the Political Management Arrangements: Members Sounding Board to consider the Ward boundaries proposals and prepare a response for consideration by Council. It is proposed that presentations are made on screen at meetings of the Members Sounding Board with the Boundary Commissions proposals for each Ward taking account of postcodes, current population and projected population figures, community council boundaries, other geographic and historic considerations, along with alternative proposals. Although the Members Sounding Board has representatives from each of the political parties it is proposed to invite all Members to attend the meetings to give their views. It is further proposed that the first meeting of the Members Sounding Board to consider the Ward boundaries takes place on the morning of Thursday 23 April 2015.

## 5 IMPLICATIONS

### 5.1 Financial

There are no costs attached to any of the recommendations contained in this report.

### 5.2 Risk and Mitigations

There is a risk that should the Council not send in a response to the Boundary Commission proposals, opportunities will be lost to shape the Wards for the Council area going forward. The proposed work of the Members Sounding Board should mitigate that risk.

### 5.3 Equalities

No equality impact assessment (EIA) has been carried out as nothing in the recommendations in the report is considered to discriminate on the basis of age, disability, gender, race, sexual orientation, pregnancy and maternity, or religion and belief.

### 5.4 Acting Sustainably

There are no economic, social or environmental effects contained in the recommendations of this report.

### 5.5 Carbon Management

There is no impact on the Council's carbon emissions contained in the recommendations in this report.

### 5.6 Rural Proofing

There is no impact on rural areas contained in the recommendation in this report.

### 5.7 Changes to Scheme of Administration or Scheme of Delegation

No changes are required to either the Scheme of Administration or the Scheme of Delegation as a result of the recommendation in this report.

## 6 CONSULTATION

- 6.1 *The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR are being consulted and any comments received will be incorporated into the final report.*

### Approved by

**Tracey Logan**  
**Chief Executive**

**Signature .....**

### Author(s)

Name	Designation and Contact Number
Jenny Wilkinson	Clerk to the Council 01835 825004

**Background Papers:** Letter from Secretary to Local Government Boundary Commission for Scotland dated 18 March 2015

**Previous Minute Reference:** Scottish Borders Council, 24 April 2014

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Jenny Wilkinson can also give information on other language translations as well as providing additional copies.

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## **WASTE SERVICES – GARDEN WASTE MOTION**

**Report by Service Director Neighbourhood Services**

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### **SCOTTISH BORDERS COUNCIL**

**2 April 2015**

---

#### **1 PURPOSE AND SUMMARY**

1.1 **The purpose of this report is to outline the actions which have been taken, as requested at the Council meeting on 30 October 2014, to mitigate some of the issues caused by the withdrawal of the garden waste collection service.**

1.2 Further to the withdrawal of the kerbside garden waste service the following alternative arrangements are available to householders for the disposal of garden waste:

- Home Composting
- Community Recycling Centres
- Private garden waste collection companies
- Grey lidded general waste bin.

1.3 In response to the Garden Waste Motion – Appendix 1, the following actions are proposed:

- (a) Letter to be issued to all Rural Community Council's outlining the support that is available from the Council.
- (b) It has been determined that 'Resilient Communities' do not present the best opportunity to support those residents (i.e. elderly and vulnerable) that have been effected by the withdrawal of the kerbside garden waste service.

Further to this decision various alternatives have been considered, however to date none have been found to provide an acceptable solution.

- (c) Specific webpage on the Council's website to be introduced to raise awareness of private waste contractors providing garden waste collections services across the Borders.
- (d) Various additional arrangements to be put in place to improve the uptake of home composting. This will be over and above the arrangements already in place. To date 3,500 compost bins have been issued following the withdrawal of the kerbside garden waste collection service.
- (e) The delivery of a comprehensive communication plan.

Information and support will be identified and provided through appropriate engagement with equalities stakeholder groups. This will help ensure all steps are taken to minimise any disadvantage faced by people who have a protected characteristic under the Equality Act 2010. These groups will include:

- The Borders Access Panels
- Elder Voice
- Borders Disability Support Service

1.4 Community Recycling Centres play a critical role in providing alternative options for the disposal of garden waste following the withdrawal of the kerbside collection service.

1.5 Various projects and reviews are being, or are planned to be, delivered to improve the Councils network of Community Recycling Centres including:

- the development of a new facility in Kelso
- the upgrade of Hawick and Galashiels CRC's; and
- the review of trade waste access and opening hours

## **2 RECOMMENDATIONS**

2.1 **I recommend that the Council:-**

- (a) note the actions being taken to deliver improvements linked to the Garden Waste Motion.**
- (b) note the progress being made to upgrade and improve the Councils network of Community Recycling Centres.**

### 3 GARDEN WASTE MOTION

3.1 On 30 October 2014 the Council re-affirmed its decision, taken on 12 December 2013, to withdraw the kerbside garden waste collection service. However, it was acknowledged that further improvements could be made and agreed the Garden Waste Motion – Appendix 1.

#### 3.2 Garden Waste Disposal Options

3.2.1 Further to the withdrawal of the kerbside garden waste service the following alternative arrangements are available to householders for the disposal of garden waste:

- **Home Composting** – Free home composter available, upon request, to all households that received a garden waste collection. Around 3,500 home compost bins have been issued to householders since the removal of the Garden Waste Service.
- **Community Recycling Centres** - Six facilities are available across the Borders which accept garden waste free of charge. This is soon to be expanded to seven with the introduction of Kelso Community Recycling Centre in Spring 2015 which amounts to a capital investment of approximately £860,000.
- **Private garden waste collection companies** – a number of new companies have set up across the Borders offering a chargeable kerbside garden waste collection service to the public.
- **Grey lidded general waste bin** – As a last resort householders can deposit garden waste in their grey lidded general waste bin. However, any waste deposited in the general waste bin will be landfilled and is therefore not promoted by the Council.

#### 3.3 Garden Waste Motion Item (a) – Support to Smaller Communities

3.3.1 We will actively support smaller communities in accessing advice and support in relation to home composting. This will be delivered by our home composting partners, Ask Organic and our Waste & Recycling Team, who will provide guidance and support covering all recycling activity.

This will be achieved through the following activities:

- Talks
- Presentations
- Events
- Roadshows
- Drop in Sessions
- 'How to' videos

3.3.2 It is proposed that the Council write to Rural Community Councils outlining the support that is available to them.

### 3.4 **Garden Waste Motion Item (b) – Utilise ‘Resilient Communities’ to support the elderly and vulnerable**

3.4.1 Detailed discussions have taken place with the Council’s ‘Resilient Communities’ Team.

3.4.2 Various options have been considered including the potential of working with localities that:

- have an established ‘Resilient Community’
- previously received the kerbside garden waste collection service i.e. ‘Urban’ areas.
- have elderly and vulnerable residents that have experienced problems as a result of the withdrawal of the kerbside garden waste service.

3.4.3 Further discussions around this matter have established that there are very few ‘Resilient Communities’ that:

- are established in “urban” areas that previously received the garden waste service.
- would be in a position to provide garden waste support to the elderly and vulnerable.

3.4.4 In addition, it is considered that the provision of garden waste support may detract from the original aim of the ‘Resilient Communities’ Initiative, which was to develop and introduce emergency response plans. This may also cause unnecessary future confusion for those communities and the Resilient group members.

3.4.5 It has therefore been determined that ‘Resilient Communities’ do not present the best opportunity to support those residents (i.e. elderly and vulnerable) that have been effected by the withdrawal of the kerbside garden waste service.

3.4.6 Further to this decision various alternatives have been considered, however to date none have been found to provide an acceptable solution.

3.4.7 The Waste Services Team will continue to investigate options which have the potential to assist those in urban areas that have been most effected by the withdrawal of the kerbside garden waste collection service.

3.4.8 Information and support will be identified and provided through appropriate engagement with equalities stakeholder groups. This will help ensure all steps are taken to minimise any disadvantage faced by people who have a protected characteristic under the Equality Act 2010. These groups will include:

- The Borders Access Panels
- Elder Voice
- Borders Disability Support Service



### 3.5 **Garden Waste Motion item (c) – Facilitate the work of private waste collectors**

3.5.1 Waste Services has engaged positively with private waste contractors since the removal of its kerbside garden waste collection service. This has included providing advice in relation to:

- Regulatory and legislative requirements
- Disposal options and costs
- Access to Council facilities and services

3.5.2 In addition the Council's economic development function is available to support businesses through 'Business Gateway'.

3.5.3 A number of private waste contractors have set up across the Borders providing a kerbside garden waste collection service. There is a specific process which private businesses must follow and actions required by businesses in terms of legislation compliance, such as registration with SEPA and ensuring the appropriate licences are in place.

3.5.4 In order to facilitate the work of private waste collectors, a dedicated webpage is being developed for the Council's website to assist the public in accessing garden waste services.

The webpage will provide the following information:

- Contact details including; address, telephone numbers, link to webpage and or email.
- The area covered by each waste collector.

3.5.5 In addition to information about the private waste collectors the webpage will detail:

- Householder responsibilities in relation to waste management and the employment of commercial waste contractors.
- A Council disclaimer in relation to using private waste contractors from the Council's list.
- Details of how private waste collector can get their contact details added to the Council's webpage if they are not already listed.

3.5.6 In developing the webpage each private waste collector has been contacted to confirm contact details are accurate and that they have a waste carriers licence.

However, the Council cannot guarantee the accuracy of the information provided by the garden waste collectors or that they are managing all waste they collect in accordance with the regulations. It is for this reason that a disclaimer has been included – see section 5.2.

3.5.7 In total five private waste companies have set up operations in the Borders and have the appropriate Waste Carriers Licence.

Full coverage of the Borders is provided by these companies although this is dependent on each individual company.

Further details will be available via the Council's dedicated webpage.

### 3.6 **Garden Waste Motion Item (d) – Improve Uptake of Home Composting**

- 3.6.1 Since the withdrawal of the kerbside garden waste service around 3,500 home compost bins have been issued to householders as part of the Council's alternative arrangements.
- 3.6.2 In partnership with Ask Organic, SBC actively promote home composting to householders across the Borders. Appendix 2 highlights some of the services and activities undertaken by Ask Organic and provides figures showing how well the public use them.
- 3.6.3 Promotion of home composting will continue as usual this year however, to further support householders, the undernoted has been arranged and/or is currently being considered:
- Spring SB Connect article promoting home composting and advertising the undernoted beginners workshops.
  - Six beginners home composting workshops at Woodside Walled Garden Composting Display Area – Saturday 4 & Sunday 12 April, 10am, 12 noon and 2pm.
  - Attendance at the Duns and Peebles Agricultural Shows.
  - Bus sideler advertising during March.
  - Video showing the basics of home composting to be developed and placed on Ask Organic and SBC websites.
  - Further consideration to be given to additional roadshows or drop in events throughout the year.
  - Promotion of home composting in schools with information flyers to be handed out but for taking home to parents.

### 3.7 **Garden Waste Motion item (e) – Communication Plan**

- 3.7.1 There already exists a comprehensive PR and Communications plan for the delivery of the Councils Waste Services. This is a working document and covers all recycling and waste activity for the year and covers the use of a wide range of PR & Communications media. Additional PR and Communications activity required relating to the garden waste motion has been incorporated into this plan. It will be regularly reviewed and updated as required. Further detail of activity can be found below.
- 3.7.2 Various forms of media are used to engage with householders and raise awareness of the alternative garden waste arrangements including:
- Council website including a link to ASK Organics composting web site
  - Promotion of the activities of our home composting partners, Ask Organic (see Appendix 2 for further detail)
  - Radio adverts
  - Press adverts
  - Bus advertising
  - Refuse Collection Vehicle Decals
  - Talks and presentations to Community Groups, Schools, WRI's, etc.

- Events attended – Borders Agricultural show, Potato day
- Composting Workshops

## **4 SUMMARY OF IMPROVEMENTS TO COMMUNITY RECYCLING CENTRES**

### **4.1 Background**

- 4.1.1 Community Recycling Centres play a critical role in providing alternative options for the disposal of garden waste following the withdrawal of the kerbside collection service.
- 4.1.2 The following section outlines the projects and reviews being, or planned to be, delivered to improve the Council's network of Community Recycling Centres.

### **4.2 Community Recycling Centre Upgrades**

- 4.2.1 Following the removal of the kerbside garden waste service at the end of April 2014, additional garden waste was deposited by householders at the Council's Community Recycling Centres.
- 4.2.2 As a result garden waste skips filled more frequently and consequently the sites were required to close more often whilst skips were emptied. In some instances this led to queuing and customer frustration resulting in complaints to Officers and Members.
- 4.2.3 Action was taken to actively prioritise development of short and longer term responses to improve service delivery at the Community Recycling Centres.
- 4.2.4 The following section outlines the upgrades already undertaken and those that are planned.

### **4.3 General Improvements – All Sites**

- 4.3.1 Where possible, additional skips for garden waste have been installed to increase capacity and reduce the need to shut the sites.
- 4.3.2 Skip uplift and emptying arrangements have been altered to minimise disruption and site closure during operational hours.
- 4.3.3 New procedures have been implemented where possible to improve efficiency and reduce site closures.
- 4.3.4 Additional capacity is being provided at Galashiels and Hawick Community Recycling Centres at weekends.

### **4.4 Eshiels Community Recycling Centre**

- 4.4.1 A two phased approach has been taken to the upgrade of Eshiels Community Recycling Centre involving the replacement of 'walk in' skips with concrete bays.
- 4.4.2 The aim of the upgrade work has been to:
- increase capacity
  - reduce the need to shut the site
  - improve site operations and efficiency; and
  - improve health and safety.

4.4.3 Construction of **Phase 1** took place week commencing 14 July 2014 and the concrete bays were opened for public use on Saturday, 19 July.

4.4.4 **Phase 2** improvement works were undertaken during March 2015, which required the facility to be closed for a two week period from Monday 9<sup>th</sup> March.

4.4.5 We have listened to the feedback from site users in relation to the phase 1 works. As a result the designs for the second two bays have been adjusted so that:

- The bay closest to the parking area is to be dedicated to garden waste to minimise the distance site users have to walk.
- The garden waste bay will not have a wall to lift waste over.
- The height of the wall on the second bay will be reduced.

#### 4.5 **Hawick Community Recycling Centre**

4.5.1 The Council has recently approved £525,000 of capital funding for the upgrade of Hawick & Galashiels Community Recycling Centres in 2015/16.

- Hawick CRC - £306,000
- Galashiels CRC - £219,000

4.5.2 The aim is to increase the size of both sites by extending into the adjoining land. This will enable the site layout, skip capacity and pedestrian/traffic management to be improved.

4.5.3 During the period November to December 2014 draft designs were presented to staff, Councillors, Scottish Environment Protection Agency (SEPA), Planners and Building Control as part of a consultation process.

4.5.4 The current designs take account of public and member feedback which we have received, which has identified a preference for 'walk in' skips rather than designs which include steps, gantries and walls.

4.5.5 The final designs are subject to discussions with the Councils Wellbeing and Safety Department in particular in relation to the continued use of 'walk in' skips.

#### 4.6 **New Kelso Community Recycling Centre**

4.6.1 Work on the new CRC is progressing well with all the permissions required for works to commence being approved, including the Waste Management Licence and the Roads Order required for the removal of a bus lay-by at the exit to the site. Construction works commenced on 17 November 2014.

4.6.2 In relation to the building works, the historical weaving equipment has been moved out of the building and internal stripping works completed. All asbestos material has now been removed and the new internal block work walls have been constructed. Attention is now being concentrated on fitting out the new building with the facilities required.

4.6.3 It is anticipated that the site will be operational in May 2015.

#### 4.7 **Community Recycling Centre Provision Review**

4.7.1 The aim of the review is to ensure that the Council's Community Recycling Centres are 'fit for purpose' and financially sustainable in the long term:

The review is split into two parts:

1. Community Recycling Centre Trade Waste Access
2. Community Recycling Centre Hours of Operation

4.7.2 Works have been continuing in terms of an options review and maintaining regular communications and getting feedback from staff, Trade Unions and HR. In addition to the above, a list of additional works that have been undertaken is listed in Appendix 3.

4.7.3 Update meetings have taken place with Councillors to explain the project complexities, progress being made and plans going forward. These proved to be extremely useful and gave Councillors an opportunity to provide valuable feedback to officers. From this it was agreed that more extensive consideration, as noted below, was required before a final report is brought to Council:

- More extensive business consultation works
- More detailed other Local Authority research regarding option pros, cons and lessons learnt, especially rural authorities
- More detailed costings work for introduction of options and the preferred option
- More detailed work to be carried out on proposals for likely trade waste permit charges
- The impacts of the preferred option and charges to then be considered in more detail; mitigating actions to be identified and costed with a view to reducing any negative impacts.

4.7.4 Councillors' feedback on the review of CRC opening hours/days and operations was also considered by senior management and it was agreed that this project should be progressed at a later date and in conjunction with the wider Waste Services Working Patterns Review.

4.7.5 CRC operations are supported greatly by waste services operations and staff and therefore problems, which could be avoided, would likely arise if the CRC operating hours review was progressed in isolation. Undertaking the review jointly with waste services shift pattern review ensures consistency and stability for the general public in the meantime.

4.7.6 Works continue with a view to bringing a final report to Council in May or June. Regular updates will also continue to be given to Trade Unions, staff, HR and other key stakeholders as appropriate.

## 5 IMPLICATIONS

### 5.1 Financial

(a) To support the actions associated with the response to the Garden Waste Motion it is estimated that there will be a £12,000 revenue cost associated with providing additional:

- Talks
- Presentations
- Attendance at shows
- Press
- Posters
- Advertising
- 'How To' videos
- Communications

These costs will be covered by the Waste Services Revenue Budget.

(b) We will consider any further financial implications associated with Garden Waste Motion Item (b) and come back with proposals if required.

### 5.2 Risk and Mitigations

In relation to the dedicated Council webpage, which will give details of private waste collectors currently offering a service within the Borders, Legal Services have confirmed that the Council can publish a list of garden waste companies under Section 20 of the Local Government (Scotland) Act 2003 (the power to advance well-being).

However there are a number of significant risks:

- It is possible that we will in effect be promoting certain businesses and not others. This may open us up to criticism and the suggestion that we are interfering in trade and potentially influencing customer behaviour.
- It is possible the Council may be seen as recommending businesses which for example are:
  - Operating illegally
  - Money laundering
  - Treating its employees unfairly
  - Providing poor customer service.

The risks outlined above could result in reputational damage for the Council. It is important to recognise that any disclaimer attached to the Council webpage would not fully mitigate these risks.

### 5.3 Equalities

(a) The Equality Impact Assessments (EIAs) undertaken for the Integrated Waste Management Strategy and the removal of the kerbside garden waste collection service are being reviewed and updated to take into account any effects the recommendations included in this report may have. The EIAs are "working documents" and will continue to be regularly reviewed and updated in light of progress being made.

- (b) It is proposed that an outcome of the EIA review will be to develop an “Accessible Waste Disposal” Strategy.
- (c) Feedback received and suggestions from the general public, Councillors, Community Councils, etc will also be gathered and used to update the EIA.
- (d) Information and support will also be identified and provided through appropriate engagement with equalities stakeholder groups. This will help ensure all steps are taken to minimise any disadvantage faced by people who have a protected characteristic under the Equality Act 2010. These groups will include:
  - The Borders Access Panels
  - Elder Voice
  - Borders Disability Support Service

#### 5.4 **Acting Sustainably**

An assessment of the removal of the garden waste service was undertaken for the Integrated Waste Management Strategy. There has been no change since this was undertaken.

#### 5.5 **Carbon Management**

An assessment of the removal of the garden waste service was undertaken for the Integrated Waste Management Strategy. There has been no change since this was undertaken.

#### 5.6 **Changes to Scheme of Administration or Scheme of Delegation**

No changes are required to the Scheme of Administration or the Scheme of Delegation.

### 6 **CONSULTATION**

- 6.1 The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR, the Depute Chief Executive Place, the Corporate Transformation and Services Director, Corporate Communications and the Clerk to the Council have been consulted and any comments received have been incorporated into the final report.

#### **Approved by**

**Service Director Neighbourhood Services Signature .....**

#### **Author(s)**

Name	Designation and Contact Number
Ross Sharp-Dent	Waste Manager (Ext 8857)
Julie Rankine	Waste Strategy Manager (Ext 6629)

**Background Papers: Integrated Waste Management Strategy  
Previous Minute Reference: Council, 12<sup>th</sup> December 2013**

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Waste Services can also give information on other language translations as well as providing additional copies.

Contact us at Waste Services on 03001001800.



## **Appendix 1 – Green Waste Collection Service Petition – Item Minute 30<sup>th</sup> October 2014**

13. There had been circulated copies of the Minute of the meeting of the Petitions Committee held on 23 October 2014 which had considered a petition requesting the reinstatement of the garden waste collection service. Copies were also circulated of the Petitions submission form, the report to Council on 12 December 2013 on the delivery of an Integrated Waste Strategy, a briefing note by the Service Director Neighbourhood Services and an extract from the Council Minute of 12 December 2013. It was noted that the Petitions Committee had referred the making of the final decision to Council as they had taken the original decision to remove the service. The Leader commented on the constructive dialogue with Mr Farquhar, the Principal Petitioner, at the Petitions Committee meeting and the fact that if the service was reinstated it would have to be done on a universal basis at a cost of £1.5m and result in cuts in other services.. Councillor Parker, seconded by Council Bell moved approval of the following Motion:-

**“Scottish Borders Council recognises that consultation with the Borders public on the withdrawal of the green waste service could have been more carefully and effectively implemented and we regret any inconvenience and disturbance this may have caused. In view of the financial implications of re-introducing a service at this time, Council reaffirms the decision taken on 12 December 2013. However, Council acknowledges that further improvements can be made and asks the Chief Executive to prepare a report which will:-**

- (a) Identify specific support to meet the recycling needs of smaller communities;**
- (b) Explore the opportunities through "resilient communities" as to how support and assistance can be given to the elderly and vulnerable to access green waste recycling opportunities at CRCs;**
- (c) Identify any further action which needs to be taken to facilitate the work of private waste collectors;**
- (d) Specify actions needed to improve the uptake of home and community composting; and**
- (e) Develop a communication plan to ensure that our proposed actions are clearly communicated to the Borders public.**

Members welcomed the proposed Motion which, although not fulfilling the petitioners' wishes, did mitigate some of the issues caused by the withdrawal of the service.

### **DECISION**

**AGREED to approve the Motion as detailed above.**

## Appendix 2 – Home Composting Activity

Ask Organic, in partnership with SBC, provide the undernoted services supporting home composting activity for householders across the Borders:

- run a composting display area at Woodside Walled Garden, Nr Jedburgh
- man the composting display area one day a week between April and November
- attend the Border Union Show with SBC's Waste and Recycling team
- operate and maintain a website and telephone helpline
- undertake workshops and attend other events as requested.

The undernoted table shows the number of visits to the Woodside Walled Garden, the Border Union Show and website hits.

<b>Year</b>	<b>Visitor Numbers (Border Union Show + other workshops)</b>	<b>Visitors Numbers (Woodside Walled Garden)</b>	<b>Website hits</b>
<b>2010/11*</b>	<b>588</b>	<b>3399</b>	<b>17317</b>
<b>2011/12</b>	<b>437</b>	<b>3600</b>	<b>18392</b>
<b>2012/13</b>	<b>511</b>	<b>4430</b>	<b>23038</b>
<b>2013/14</b>	<b>252</b>	<b>2464</b>	<b>19476</b>
<b>2014/15*</b>	<b>155</b>	<b>1831</b>	<b>32815</b>

2010/11\* 7 workshops also held that year.

2010/11\* Last year SBC staff attended Peebles, Duns and The Holm Agricultural Shows  
From 2011 on, only Border Union Show attended.

2014/15\* Figures to end January 2015 only.

### **Appendix 3 – CRC Access Policy Review - List of additional works that have been undertaken**

- CRC vehicle survey undertaken over a 2 week period at each site
- 5 week public consultation exercise undertaken
- Regular communications with CRC staff; face-to-face during site visits to get staff ideas, suggestions, provide update on progress and get feedback
- Staff consultations in the form of a survey
- 6 week business consultation exercise - on-line survey and open day
- Vehicle counter data analysis work
- Other Local Authority research
- Councillors Project Update meetings held in November & December 2014.

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## **PUBLIC HEALTH REVIEW: NHS BORDERS AND SCOTTISH BORDERS COUNCIL ENGAGEMENT PROCESS RESPONSE**

**Report by Joint Director of Public Health**

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**Community Planning Joint Delivery Team**

**2 APRIL 2015**

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### **1 PURPOSE AND**

- 1.1 The aim of this paper is to appraise the Committee of the final response of NHS Borders and Scottish Borders Council to the National Review of Public Health in Scotland. The final draft response is in Appendix 1.**

### **2 RECOMMENDATIONS**

- 2.1 I recommend that the Committee approve the NHS Board and Scottish Borders Council Engagement Process Response to the national review of Public Health in Scotland.**

### **3 SUMMARY OF RESPONSE**

- 3.1 The response highlights examples of partnership success in improving public health in the Borders including:**
- Partnership work in the Community Planning Partnership, Alcohol and Drugs Partnership, also Community Safety Partnership.
  - An integrated health intelligence function across NHS Borders and Scottish Borders Council.
  - Established, effective Public Health programmes founded on health needs assessment:
    - Health Protection i.e. communicable disease control, environmental health,
    - Service improvement
    - Health Improvement e.g. Healthy Weight, Tobacco Strategy, Healthy Living Network
  - The recognition that having a joint DPH post in the Borders has greatly increased the visibility and penetration of Public Health issues into local authority and across the Community Planning Partnership. This post is able to link Public Health concerns across settings and departments and also act as broker for both knowledge and evidence and a support in developing practice.

- Local Public Health Specialists situated within and an integrated Public Health function to ensure that key public health services are aligned with the distinctive local Borders population needs and priorities.
- 3.2 However there may also be potential risks to the local public health function resulting from the Public Health Review. Some responses to the Review may highlight that there is some variation in resources, numbers, skill-mix, roles, services, policies amongst territorial boards. It could be suggested that diversity of local practice in meeting local public health needs can lead to differences in quality and standards of delivery and these views may lead to pressure to relocate public health resources to regional or national structures.
- 3.3 The attached Borders response highlights that even though Borders has a relatively small public health department compared to larger boards, resilience can be maintained and improved through greater vertical integration, e.g. networks between board Public Health Departments at regional or national level, and/or horizontally across Public Health domains (health improvement; health protection; service development; health intelligence) within the local Department as currently happens. The same applies to training, career development and succession planning, with horizontal integration being particularly important for training.
- 3.4 The attached Borders response also raises concerns that large scale organisational reform has the potential to break up the infrastructure of delivery and distract from the key aims of improving health and reducing inequalities. More centralised services may also jeopardise local connections with communities and other local services. Public Health works across the whole system so fragmentation of the specialist workforce, or fragmentation across different organisations could be very damaging to the ability of Public Health to deliver effectively.

## **4 BACKGROUND**

- 4.1 A national ministerial review of Scottish Public Health was announced in November 2014 and an expert group established to report back to Scottish Government in 2015. The aim is to consider how to widen and deepen the influence of Public Health, both as a public service function and an important outcome in the specific context of tackling health and social inequalities and increasing healthy life expectancy in Scotland in a sustainable way. The review sits within the context of the Integration of Health and Social Care, the development of Community Planning and the Community Empowerment Bill and persistent, refractory health inequalities and recognises that responsibilities for addressing public health issues sit not only within the health sector but also in local and national government, the community and voluntary sector, and the private sector. The Review also recognises that the public health function, with its strong focus on prevention, equity and quality, is integral to health service values and aims in Scotland, and to public services reform.
- 4.2 It should also be noted that Public Health has been included within the 'Shaping of Future of Shared Services Programme (SSP)' for the Guiding Coalition. This Coalition comprises Board Chairs and Chief Executives and was established to consider the key strategic challenges facing health in Scotland. National Services Scotland staff are supporting the SSP and have stated that they will ensure that the work of Public Health Review Group

and the SSP is coherent, collaborative and completed to a jointly agreed timescale.

- 4.3 The Review Group asked key stakeholders, locally and nationally, to respond to a number of questions to help inform the considerations of the Group. The Joint Director of Public Health (DPH) took a lead in producing a corporate response to the engagement questions both for NHS Borders and Scottish Borders Council. This local engagement process was agreed by the Board and the Scottish Borders Council. A final draft response, pending approval by NHS Borders and Scottish Borders Council, was submitted by the deadline of 12 March 2015.
- 4.4 A number of national engagement events are due to be held during March and April to further discuss the responses received by the Review Group.

## **5 IMPLICATIONS**

### **5.1 Financial**

There are no costs attached to any of the recommendations contained in this report.

### **5.2 Risk and Mitigations**

- (a) The review may result in changes in the delivery of the local public health function some of which may be helpful to improving health and tackling inequalities more effectively. Other changes may however have a detrimental impact on improving health and tackling inequalities unless these are carefully considered and delivered.

### **5.3 Equalities**

- (a) At this stage no adverse equality implications anticipated in response to the recommendation contained in this report.

### **5.4 Acting Sustainably**

There are no economic, social or environmental effects as a result of this report and its recommendations.

### **5.5 Carbon Management**

No effects on carbon emissions are expected.

### **5.7 Changes to Scheme of Administration or Scheme of Delegation**

There are no changes to be made to the Scheme of Administration or the Scheme of Delegation.

## **6 CONSULTATION**

- 6.1 The Chief Financial Officer, the Monitoring Officer, the Chief Legal Officer, the Service Director Strategy and Policy, the Chief Officer Audit and Risk, the Chief Officer HR and the Clerk to the Council are being consulted and any comments received will be incorporated into the report.

**Approved by**

**Name: Dr Eric Baijal**

**Signature .....**

**Title: Joint Director of Public Health**

**Author(s)**

Name	Designation and Contact Number
Dr Tim Patterson	Head of Health Protection, NHS Borders

**Background Papers:** Nil

**Previous Minute Reference:**

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the address below. Sheila Patterson can also give information on other language translations as well as providing additional copies.

Contact us at

Sheila Patterson, NHS Borders Headquarters, Education Centre, Borders General Hospital, MELROSE TD6 9BD, 01896 825560 [sheila.patterson@borders.scot.nhs.uk](mailto:sheila.patterson@borders.scot.nhs.uk)





1. How can public health in Scotland best contribute to the challenges discussed? Specifically, what is your view and evidence of the Strengths, Weaknesses,

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**NHS BORDERS  
&  
SCOTTISH BORDERS COUNCIL**

**Final Draft Response  
to Public Health Review  
Engagement Paper**

**FINAL DRAFT**

**March 2015**

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## **Opportunities and Threats (SWOT) to the contribution of the public health function in improving Scotland's health and reducing inequalities?**

We consider the current context of Public Health Practice to be:

- Community Planning – in the light of recent work by Audit Scotland
- Health and Social Care integration – because of its potential as a route to addressing inequalities
- The Community Empowerment Bill because of its potential as a significant and strong underpinning for co-production.

In terms of health and wellbeing, inequalities are the key challenge for Scotland, and the public health function should align with this prime focus in the national interest.

The discipline would benefit from national strategy which would enable clarity of the outcomes expected by key stakeholders, importantly the wider public as well as based on an informed position.

Our view of Strengths, Weaknesses, Opportunities and Threats to the contribution of the public health function in improving Scotland's health and reducing inequalities is as follows:

### **Strengths**

#### National

Historical legacy of the Medical Officers of Health

Direct local leadership through Directors of Public Health

Strong National Public Health Policy

Supported by National Infrastructure

Robust infrastructure – collaborative work – ScotPHN umbrella and other networks (see p8)

Health Scotland – emerging strength in supporting tackling health inequalities

Catalyse change

#### Local

Versed in partnership working - examples of partnership success at local level include work in the Community Planning Partnership, Alcohol and Drugs Partnership, also Community Safety Partnership

Intelligence from information, including the application of health economics

In the Borders, an integrated function across two organisations

Established, effective Public Health programmes founded on health needs assessment –

- Health Protection ie communicable disease control, environmental health,
- Health service improvement and
- Health Improvement eg Healthy Weight, Tobacco Strategy, Healthy Living Network

### **Weakness**

#### National

- Public health role of primary care contractors poorly defined and may make links between Integrated Health and Social Care Partnerships and primary care more difficult.
- Lack of strong Public Health leadership across Scottish Government directorates
- Lack of policy impact – long term outcomes

#### Local

- Small resource raising resilience issues.

### **Opportunities**

#### National

- Strategic alignment of the specialist resource across Scotland
- Registration, accreditation - under active development for non-medical specialists and practitioners
- New CMO
- Integrate public health more firmly into Scottish GP contract to ensure effective partnership working with Integrated Health and Social Care Partnerships.
- Policy implementation
- Advantages of National Public Health Services for some topic areas
- Standardised quality of practice
- Improve resilience
- Workforce planning, development, career progression, succession planning
- Joint posts and teams between local authority and NHS
- Recognition of Public Health initiatives with local authorities and other partners
- Health Protection - the profile of Health Protection has increased significantly in recent years with issues such as immunisation, food borne infections, pandemic flu, ebola, healthcare associated infection and communicable diseases regularly being in the public eye. Health Protection services can have a major impact on health inequalities e.g. universal immunisation; promotion of healthy environments; targeting of specific vulnerable groups e.g. persons who inject drugs and other forms of substance misuse; controlling TB amongst new entrants. As a result a Health Protection services in Scotland have recently been reviewed by a Stocktake Working Group established by the Scottish Government in 2010 and a National Planning Forum (NPF) subgroup in late 2012. The recommendations from these reviews are currently being implemented by Scottish Government, the new health protection governance group (Health Protection Oversight Group), Health Protection Scotland, the Health Protection Network (made of new and existing topic or functional groups) and Board Health Protection Teams.

#### Local

- Better connectedness between specialists, practitioners and other professions who would not normally think of public health as being a core part of their role.
- Wider partnership working including Health and Social Care Integration Partnerships, Community Planning Partnership, Third Sector
- A focus on partnership and flexibilities in use of resources and working across organisational boundaries and with whole system programmes, but

preserving the strengths of a coherent public health function in local specialist teams working across the public health domains.

- Public Health can bridge the gap between services and population health

## Threats

### National

- Policy may negatively impact on health and wellbeing eg benefit reform
- Global interests e.g. trade and financial agreements, may overwhelm local Public Health action
- More centralised service might jeopardise local connections with communities and other local services.
- Fragmentation – Public Health works across the whole system so fragmentation of the specialist workforce, or across different organisations likely to impact negatively Unrealistic, short term expectations of change for some public health outcomes – particularly those that will need change over a life cycle or generations, recognising that short-term actions are often helpfully used as the basis for measuring effectiveness, and public health tools such as logic modelling help show the links from shorter term goals, actions and impacts to longer term outcomes.
- Complexity of influences that promote or damage health means it is hard to attribute causation.
- Many Public Health activities are not recognised as such.

### Local

- Risk that national structural reform necessary to deliver appropriate transformation negatively impacts locally on areas of Public Health Practice that are currently successful

## **2. How can public health leadership in Scotland be developed to deliver maximum impact?**

In responding to this question we need to consider the nature of the leadership and the impact desired at different population levels. Those levels are variously defined – national, regional, local, locality, community and so on. An intersectoral collaboration needs to involve specialist professionals at local and national level including academics. Leaders must be visible at both Scottish Government and local levels. Leadership needs to be able to give direction. To give that direction, impact or desired outcomes need to be co-produced by public health specialists and key stakeholders including the public. Different stakeholders have different expectations. These need to be prioritised. There has not been sufficient clarification of this. There needs to be more effective collaborative leadership. This depends on greater cohesion and collaboration. It should not be dissipated across a wide range of individuals but embodied particularly in specialist professional leaders such as the Directors of Public Health (DsPH) who have a unique combination of a wide range of competencies. This helps equip them for the DPH role as leader within local organisations. They provide the independent and objective voice of public health, specifically of the DPH and the tools available to them such as the Public Health Annual Report. Such leadership could channel more energy into advocacy exploiting social media far more. Different forms of media have different users or readers with particular political demographics which might well be sympathetic or unsympathetic to particular public health issues and

so need to be targeted appropriately. A prerequisite for such leadership is consistent training across Scotland.

Public Health leadership nationally has benefited from a strong focus from Scottish Government and CMO. Locally, having a joint DPH post in the Borders has greatly increased the visibility and penetration of Public Health issues into local authority and across the Community Planning Partnership. It has also is of added value in contributing to national debates. This post is able to link Public Health concerns across settings and departments and also act as broker for both knowledge and evidence and a support in developing practice. We would recommend a similar model be adopted elsewhere. These issues are developed in more detail below (response to Q3).

We recognise the need for leadership actions across all four functions of Public Health, including health improvement. There is considerable added value from the integrating of Health Improvement within the rest of the specialist Public Health function. It maintains the profile of this important area of work in local planning and service development.

Locally, the joint DPH and Public Health team have ensured that the cross cutting nature of Public Health is understood and responded to. Improving population health requires the active engagement of partners across sectors nationally as well as locally and there is need to reinforce Public Health leadership in influencing and supporting this. Strong and focused leadership is needed to build the active engagement and commitment to make an impact on the wider determinants of health. It is encouraging that the crosscutting relevance of Public Health is increasingly clearly articulated in other policy areas both in the NHS (for example, Patient Safety, Healthcare Improvement) and more widely (for example in Education). However, this needs to be translated more consistently into implementation on the ground and supported to maintain momentum.

Public Health leadership is not role specific and needs to be adopted across various levels and areas, for example through Children's Services, Community Planning Partnerships and Health and Social Care Partnerships. Public Health must be able to influence planning in these areas.

It may be possible also to develop the visibility of the Faculty of Public Health in Scotland.

### **Use of the different roles of the DPH or equivalent post**

The different roles of the Director of Public Health have been adumbrated as:

- The expert
- The critical friend
- The adviser
- The provider
- The catalyst

The focus of this model is maximising the benefits of partnership working. The DPH will use this role to develop trust and a shared understanding across two very different organisational cultures. Technical expertise is still required about the balance of time will be weighted towards networking activities. The models are not

mutually exclusive but one might be more appropriately dominant in particular joint appointment.

## **Collaborative leadership for health – the role of the Joint DPH**

Tackling health inequalities is not the preserve of anyone organisation acting in isolation. Therefore collaborative leadership is essential. The wider public health workforce within partnerships requires strategic leadership for health to continue to develop and sustain their public health roles. This needs to be in place and understood by all. There is a danger in thinking that the appointment of a professional lead in the form of the DPH removes the need for other strategic leaders to give health their attention. Quite the reverse is true. Joint DPH posts are one way of collaborating and these are discussed in more detail below.

### **Joint Director of Public Health Posts**

*Added value:*<sup>1</sup>

#### *Check and Counterbalance*

A joint DPH post between the local authority and NHS is a check and counterbalance against short-termism and prioritisation of acute services compromising the longer term agenda of health improvement and protection of health and prevention ill health, viewing the latter as an option rather than a duty. In fact it is a legal obligation for both local authority and NHS.

#### *Mechanism for collaborative leadership*

Joint posts are a practical mechanism to contribute to collaborative leadership, and while they will add value they are not necessarily appropriate for every area. It has been argued that joint appointments form merely a step towards eventual merger as an endpoint.

Joint Directors and teams between NHS and local authority are important in strengthen and supporting partnerships to tackle the challenges and add greater value. Local government has a long history of involvement in the public health agenda. The Annual Reports of the Medical Officers of Health are amongst the evidence of the success of this work, including improvements in sanitation, occupational health and infant and maternal health. The added value of having a joint DPH post as opposed to one within the NHS is that local authorities have a greater influence over the key determinants of health. Local authorities provide services that obviously link to taking forward the public health agenda include social welfare, housing, regulatory services including environmental health, planning and economic development.<sup>2</sup>

Arguably, the local authority has many more opportunities to influence decisions and improve health in view of its powers and responsibilities to create conditions and opportunities that support health and wellbeing in these arenas, giving a *greater scope for professional practice*. It might be argued that local government is the natural leader for public health

#### *More effective professional practice*

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<sup>1</sup> <http://www.adph.org.uk/wp-content/uploads/2013/08/Perspectives.pdf>

<sup>2</sup> [http://www.kingsfund.org.uk/sites/files/kf/field/field\\_publication\\_file/improving-the-publics-health-kingsfund-dec13.pdf](http://www.kingsfund.org.uk/sites/files/kf/field/field_publication_file/improving-the-publics-health-kingsfund-dec13.pdf)

Local authorities have a much broader concept of health, orientated to promoting well-being. A greater closeness to elected members makes it quicker and easier to inform and appraise them - so providing the basis for informed decision-making.

A jointly employed DPH has the opportunity to be a credible commentator and advocate on a wider range of social issues, all of which have a huge public health dimension. In many of the most disadvantaged areas, addressing social and economic regeneration are important elements of addressing health and reducing health inequalities. On the other hand NHS posts continue to have a clear responsibility to tackle aspects of inequalities. A joint post enables a more comprehensive overview of the health and well-being of the population that is the responsibility of the director as often evidenced by comprehensive strategic assessment which would be much more limited if done by professional placement in the NHS.

Experience locally and in England<sup>3</sup> has shown that joint posts and joint function with local government strengthens and supports partnerships. However this makes for a huge job in terms of scope with the accompanying expectations of delivery.

An effective joint DPH working in the right local environment can add value and help health through faster and more effectively than would otherwise be the case. It helps speed information flow between organisations to help interpret one to the other. It is easier to align objectives, targets measures, timetables and managerial process. A joint appointment permits faster and deeper collaboration. While this may happen without a joint appointment they happen more effectively and efficiently with one. Experience locally indicates that a joint appointment facilitates effective deployment of public health expertise within both the NHS and the local authority. For example under a joint director, the Health Improvement function is able to have greater reach and engagement with core local authority services than would otherwise be the case. The joint director is able to facilitate access to and foster working relationships with other departments towards agreed outcomes.

A DPH has expertise in harnessing, handling and communicating health information. Combining this with the considerable capacity and capability of local authorities to describe the local area and produce evidence-based strategies and action plans (for public, professionals and politicians) with similar resources within the NHS adds enormous value.

A jointly appointed DPH has the opportunity to influence national policy through the local government route as well as the NHS route which should contribute to more informed policy-making and therefore strategic approach.

So a joint DPH appointment gives more effective efficient process as well as improved outcomes

#### *Development of the Public Health Role of Local Authorities.*

Development of public health role of local authority - use of DPH Annual Report as a corporate performance management tool. There is added value – closer collaboration, better understanding of different cultures and approaches in

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<sup>3</sup> Redgrave P (2007) in *New Perspectives in Public Health* Oxford: Radcliffe Publishing

relationships one organisation providing the resources that others do not e.g. health intelligence commissioning locality engagements and connection.

#### *Local Evidence of Success*

Locally, the post of Joint DPH managing a Joint Health Improvement Team with other specialist areas within public health in both the NHS and the local authority effectively works as a joint directorate. This has provided collaborative leadership to transform information into intelligence, identifying public health priorities and gaining resource commitment to these. This necessitated oversight and governance of local public health action. The post has been a, if not the, key enabler of significant impact.

For a joint director of public health to function effectively they require to be supported by resource for basic epidemiology, needs assessment and commissioning. Such a post can add value by bring together resources in both organisations, maximising their capacity and competence.

#### *Local successes*

include

Political mandate – for an inequalities strategy

Endorsement by Full Council of national government's plan for alcohol minimum pricing.

Support for local bye-laws on drinking in public places

Elected members modelling healthy behaviours

Joint Health Protection Plan

Joint Tobacco control plan – work in progress including smoking prevention and cessation

Suicide Prevention Work

Healthy Weight Programmes through schools and sports and leisure trust.

Healthy Living Network to improve health and well-being in disadvantaged communities – close collaboration with range of local authority community services, the third sector and other local community groups

Development of “Resilient Communities” through the Council's Emergency Planning Function

Close involvement with community enterprise companies.

Range of innovative health improvement workstreams in early years across services and sectors, including nutrition and breast feeding, , income maximisation.

### **3. How do we strengthen and support partnerships to tackle the challenges and add greater value. How do we support the wider public health workforce within those partnerships to continue to develop and sustain their public health roles?**

Public health is collaborative so partnership working must be one of the core competencies of both professionals and organisations involved. In this context and that of positive local experience, we recommend adoption of an integrated model of the local Public Health function across NHS and local authority.

There is an ignorance and lack of recognition of the significant role local authority colleagues have in addressing the Public Health agenda. These include staff in intelligence and policy, those working to address the need so children and young people such as those in education, culture, leisure and sport, those involved in economic regeneration, whole town planning as well as the more commonly recognised partners such as those in Environmental Health. Locally, Scottish Borders Council has a history of a culture attune to promoting health and well-



being.<sup>4</sup> This is agenda which has been advocated by the Directors of Social Work and Education.<sup>5</sup>

There is a real challenge around engaging clinical colleagues in particular. NHS colleagues are under-represented in multi-agency training and development. National perspectives on implementing the HPHS CEL reflect our local experience. DPHs have a key role – supported by NHS Chief Executives – in providing this in-house and wider influence within clinical leadership.

Public Health can learn from third sector partners who have long experience of engagement with 'targeted' group, for example CHEX and VHS and it would be important to encourage more cross sectoral dialogue within the extended Public Health community. Public Health Protection Services also work closely with third sector partners who have long experience of engagement with 'at risk' groups, for example in needles exchange or sexual health services. It is important to encourage more cross sectoral dialogue within the health protection community particularly around pathways of care and joint training initiatives.

It is not clear to us that the Public Health visions of the 'wider public health workforce' is one that necessarily resonates with that workforce itself. We recognise the work done at a strategic level to make those connections e.g. via Health Scotland and COSLA have done work such as the inequalities brief for non-exec NHS directors. However, we feel there is a need to further develop this consciousness at strategic levels nationally and locally. For example, there may be potential to improve links between the ADsPH and colleagues in Education at national level, police, local authorities and COSLA.

#### **4. What would help to maintain a core/specialist public health resource that works effectively is well co-ordinated and resilient?**

Public Health requires specialist knowledge and skills, which are constantly changing. A good quality public health service demands a 'fit for purpose' workforce educated and trained to the highest standards. These standards are informed at UK and European levels and public health workforce developments in Scotland must take cognisance of these frameworks. The UK Public Health Skills and Career Framework will be useful to support people into the specialty from the wider workforce. It will give a clear indication of the unique complement of knowledge, experience and skills required to be developed. The Faculty of Public Health also has an important role in setting health protection training standards and competence frameworks.

The national support for developing health intelligence and evidence from a range of sources such as SCOTPHN and Health Scotland supports local action: it allows us to demonstrate need, make an evidence based case for intervention and develop work to implement programmes locally. This support function is highly regarded and of vital importance to our work.

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<sup>4</sup>[http://www.scotborders.gov.uk/info/695/council\\_information\\_performance\\_and\\_statistics/1013/research\\_information\\_and\\_statistics/4](http://www.scotborders.gov.uk/info/695/council_information_performance_and_statistics/1013/research_information_and_statistics/4)

<sup>5</sup> [http://www.scotborders.gov.uk/downloads/103/ageing\\_well\\_handbook](http://www.scotborders.gov.uk/downloads/103/ageing_well_handbook)  
*Scottish Borders Council, 2 April 2015*

The form of Public Health varies across areas and therefore there are sometime opportunities missed, e.g. linking with colleagues on specific topics/approaches may be 'silo'ed into a particular arena.

National specialist networks are important. However experience of providing Public Health functions within a local area reinforces the continuing need for a level of specialist knowledge and experience within the local service system that can support delivery of key public health services aligned with the distinctive local population needs and priorities.

To get ownership from clinicians and managers to recommendations and to implementation local context, perspectives and views must be incorporated during the work. Greater contact with colleagues working in service improvement in other areas would be beneficial – for support, challenge, CPD and to avoid re-inventing wheels (maximise efficiency). It is also important to facilitate access to a wider skills base to support work, such as health economists, information analysts and statisticians etc. More highly specialised areas could be addressed across a wider area, e.g. tertiary centre service issues across south-east Scotland. Resilience can be maintained and improved through greater vertical integration, e.g. between current board Public Health Departments, and/or horizontally across Public Health domains as currently happens. The same applies to training, career development and succession planning, with horizontal integration being particularly important for training.

There is a need for specialist teams are sufficiently large to provide resilience not only in terms of general lists but also sub specialists, for example in Health Protection. Such resilience and also coordination can be delivered by managed networks such as ScotPHN and the networks that sit under its umbrella eg SIAN, SMASH, HENS

## **5. How can we provide opportunities for professional development and workforce succession planning for the core public health workforce?**

Public Health involves a community of diverse organisations and individuals, each providing particular services. The workforce comprises specialists (professionals including consultants and nurses working full time in public health); practitioners (professionals including non-specialist nurses and epidemiologists, and environmental health officers in local authorities) and the wider workforce (a much larger group of staff including those who spend only a part of their time on public health work). Career development for non medical public health professionals has in the past usually been opportunistic rather than as a result of workforce planning and more thought needs to be given to the development of careers for non medical professionals. The developing work relating to non medical registration of public health protection practitioners is very important but needs to gain more prominence and support as at times it feels as though it is an add on and the work is done on top of people's 'day jobs'.

12 March 2015

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