

# Public Document Pack



## SCOTTISH BORDERS COUNCIL FRIDAY, 19 MARCH, 2021

A MEETING of the SCOTTISH BORDERS COUNCIL will be held VIA MICROSOFT TEAMS on  
FRIDAY, 19 MARCH, 2021 at 10.00 AM

J. J. WILKINSON,  
Clerk to the Council,  
12 March 2021

<b>BUSINESS</b>		
1.	<b>Apologies for Absence.</b>	
2.	<b>Order of Business.</b>	
3.	<b>Declarations of Interest.</b>	
4.	<b>Financial Strategy &amp; Resources 2021/22 - 2025/26</b> (Pages 3 - 26)  Consider report by Executive Director, Finance and Regulatory. (Copy attached.)	10 mins
5.	<b>Capital Investment Strategy 2021/22</b> (Pages 27 - 74)  Consider report by Executive Director, Finance and Regulatory. (Copy attached.)	10 mins
6.	<b>Treasury Management Strategy 2021/22</b> (Pages 75 - 128)  Consider report by Executive Director, Finance and Regulatory. (Copy attached.)	10 mins
7.	<b>Draft 5 Year Revenue and 10 Year Capital Financial Plans</b> (Pages 129 - 174)  Consider Motion by Councillor Rowley, seconded by Councillor Haslam including the Administration's Draft Financial Plan for Revenue & Capital & Fees & Charges;  (Copy of Motion and supporting papers attached)	60 mins
8.	<b>Financial Plan Integrated Impact Assessment (IIA)</b> (Pages 175 - 462)  Consider report by Service Director HR & Communications. (Copy attached.)	10 mins
9.	<b>Participatory Budgeting</b> (Pages 463 - 468)  Consider report by Service Director Customer and Communities. (Copy attached.)	15 mins

10.	<b>Any Other Items Previously Circulated</b>	
11.	<b>Any Other Items Which the Convener Decides Are Urgent</b>	

**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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## **FINANCIAL STRATEGY AND RESOURCES 2021/22**

**Report by Executive Director Finance & Regulatory Services**

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**SCOTTISH BORDERS COUNCIL**

**19 March 2021**

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### **1 PURPOSE AND SUMMARY**

- 1.1 The purpose of this report is to advise Council of the estimated revenue and capital resources available for financial year 2021/22 following publication of the Local Government Finance Settlement (LGFS) on the 1st February 2021 and the subsequent approval of the Local Government Finance Order approved by Parliament on the 10<sup>th</sup> March 2021.**
- 1.2 The report recommends the financial strategy to be followed by the Council next financial year and identifies the financial constraints and major risks to be addressed.
- 1.3 The report also outlines the process supporting the construction of the draft revenue and capital Financial Plans for 2021/22 as well as draft plans for future years.
- 1.4 The Corporate Management Team has supported Members to set a corporate revenue and capital budget, meeting identified pressures facing the Council. These pressures have arisen from a variety of factors. The principle pressures identified are due to the anticipated continuing constraints on external revenue and capital funding from central government, the uncertainty around national pay negotiations, the increasing pressures from demographics, particularly the increasing numbers of older people requiring care services, as well as general inflation.
- 1.5 The budget development process has been conducted to ensure that the financial plans of the Council are aligned with its business and people planning objectives and the level of resources available.
- 1.6 The report highlights that total revenue resources of £314.657m are available to Elected Members assuming the Council accepts the 2021/22 settlement offer from Scottish Government. The Council agreed on the 25<sup>th</sup> February 2021 to freeze Council Tax at the 2020/21 rates and accept funding of £1.955m provided by Scottish Government for this purpose this funding being broadly comparable to a 3% increase.
- 1.7 The benefits, in terms of financial stability and effective change management, derived from adopting a longer term corporate approach to the revenue and capital planning process are widely accepted. Financial

year 2021/22 represents the fourth year of the revenue 5 year financial plan for the Council first agreed in February 2018. It is anticipated members will continue to adopt a longer term approach to financial planning and consequently the estimated resources available over the following four financial years are also shown. These estimates will continue to be updated annually as the detail of the financial settlement from Scottish Government becomes known.

- 1.8 The Council approved a revised approach to organisational change under the banner of 'Fit for 2024' when the budget was set for 2019/20 in February 2019. This approach is reshaping the transformation programme ensuring individual projects are more cross-cutting and focused on joined up business process review. The Fit for 2024 programme has been a strong driver in developing financial plan proposals for the 5 year period of the plan.
- 1.9 In line with previous Audit Scotland recommendations scenario planning has once again been used to model a range of scenarios with regard to Scottish Government grant, Council Tax increases and estimated future inflation. This analysis is included at Appendix 2.
- 1.10 This report also seeks approval of the financial strategy for the Council covering the period 2021/22 – 2025/26. The strategy provides the overall framework for the financial management of the Council and covers the revenue budget, capital investment plan, the Council's treasury management arrangements and the recommended policy on reserves.
- 1.11 The 2021/22 budget has been prepared against a background of significant financial uncertainty caused by the COVID-19 pandemic. The impact of COVID-19 on wider society has been profound. This in turn has significant implications for the Council's finances and its service delivery model. It is anticipated that these impacts will continue to be felt for some time to come, even once lockdown restrictions are raised. The Council's financial strategy has been adapted accordingly using the best information available at this time.
- 1.12 A risk based approach has once again been used to set the level of recommended balances to be held in contingency recognising the uncertainty caused by the Pandemic.



## **2 RECOMMENDATIONS**

### **2.1 It is recommended that Council:**

- (a) notes the estimated revenue resources for 2021/22 to 2025/26;**
- (b) notes the estimated capital resources for 2021/22 to 2030/31 and the requirement to adhere to the prudential code for capital borrowing;**
- (c) approves the financial strategy set out in section 4.5 (a) to (i) of this report, including the recommendation to maintain unallocated reserves at £6.315m for 2021/22, having considered the risk register highlighted in appendix 1;**
- (d) proceeds to consider the proposed Financial Plan for 2021/22; and**
- (e) notes that a freeze on Council Tax at current levels was approved by Council on 25<sup>th</sup> February 2021.**

### **3 THE REVENUE FINANCIAL PLANNING PROCESS 2021/22 TO 2025/26**

3.1 Financial year 2021/22 represents the fourth year of the 5 year financial plan for the Council first agreed in February 2018 with this updated plan covering the period 2021/22 to 2025/26. A corporate approach has again been pursued with a focus on aligning the financial, business and people planning elements of the Council's Corporate Plan.

### **4 FINANCIAL STRATEGY**

- 4.1 The Council along with all public bodies faces significant challenges as it aims to provide the best possible services within the resources available. The adoption of a longer term timeframe for financial planning has previously enabled the Council to plan the delivery of service changes across financial years through modernising services, investing in new technology, and in developing a range of strategic partnerships to provide longer term benefits. Despite the annual nature of the financial settlement this longer term approach has enabled the required changes to be delivered in a planned manner, mitigating the need for reactive cuts to services. The Fit for 2024 programme is now embedded within the budget process and delivery of cross cutting savings proposed by the programme are integral to balancing the budget in the period to 2024. It is recognised that further transformational change will be required beyond 2024.
- 4.2 It is recognised however that COVID-19 has had a profound effect on the Council's finances. The budget in 2020/21 has been impacted by additional costs, reduced income and delays in the delivery of savings associated with previously approved transformation plans. The monitoring report submitted to Executive Committee on the 9 February 2021 highlighted an impact of £28m in 2020/21. Many of these costs are one off in nature but a significant element will require to be addressed in compiling the 2021/22 budget. The Fit for 2024 transformation programme remains crucial to the delivery of service change and financial efficiencies.
- 4.3 The financial strategy for 2021/22 is therefore designed to address the impact of COVID 19 and to ensure that;
- (a) resources are raised to meet approved service levels in the most effective manner;
  - (b) officers manage the effective deployment of those resources in line with the Council's corporate objectives and priorities;
  - (c) the revenue and capital plans approved by Council provide stability in resource planning, and;
  - (d) the changes required to services are delivered in a properly planned manner through the Council's Fit for 2024 programme.

- 4.4 This strategy seeks to ensure that the Council's budget is targeted so that it meets a number of strategic aims. While recovery from the COVID-19 pandemic is crucial, there are a number of different policy issues which require to be addressed including the need to ensure the budget:- provides the best possible stimulus to the local economy, responds appropriately to the wider Climate Emergency declared by the Council in 2020, looks after those who are most vulnerable in our society and targets resources through early intervention and prevention programmes to reduce future demand for public services. This approach will be crucial in continuing to support communities to respond and recover from COVID-19.
- 4.5 The recommended high level financial strategy to be followed over the period 2021/22 – 2025/26 is therefore, to:-
- (a) ensure the long term stability of the Organisation by setting a prudent, sustainable budget in line with available resources;
  - (b) continue to invest in education, community infrastructure and inclusive economic growth that will raise standards, address the threat of high unemployment levels where possible, improve quality of life for local people and encourage active, healthy lifestyles;
  - (c) work with community planning partners to invest in early intervention and prevention programmes to reduce future demand for services;
  - (d) continue to work with local RSL's deploying the affordable housing budget to provide safe warm homes through the Strategic Housing Improvement Plan;
  - (e) set a capital programme which keeps debt within prudent sustainable limits as set out in the treasury strategy;
  - (f) provide for loans charges of £19.466m (2021/22) to finance capital investment recognising the long term implications of capital borrowing. This figure is planned to rise in future years reflecting the Council's capital plans;
  - (g) maximise income while keeping fees charged to service users at an affordable level;
  - (h) continue to invest in transformation projects that deliver long term financial savings and service benefits; and
  - (i) recognising the challenges faced by the organisation, particularly in relation to responding to and recovering from COVID-19, maintain unallocated reserves of £6.315m, just over 2% of net revenue expenditure for 2021/22 as outlined in section 5 below and in line with the assessed risk register in appendix 1.

## 5 RESERVES

### 5.1 Reserves

The Council maintains a number of funds and balances which are reported to Elected Members at regular intervals during the financial year. Table 1 below shows the projected balance on each fund at 1 April 2021.

<b>Table 1 Funds and Balances</b>	<b>1 April 2021 (est £m)</b>
<b>Statutory Funds</b>	
Corporate Property Repairs and Renewals Fund	0
Plant and Vehicles Renewals Fund	7.622
Insurance Fund	1.551
Capital Fund Excl Developer Contributions	1.200
<b>General Fund – Earmarked</b>	
Devolved School Management	0.000
Specific Departmental Reserves	7.413
Allocated reserves	2.524
<b>General Fund – Non-Earmarked</b>	6.315
<b>Total</b>	<b><u>26.625</u></b>

5.2 The Council holds reserves in order to manage identified risks, smooth uneven cash flows and provide a contingency against unforeseen circumstances. The existence and management of adequate reserves is a fundamental aspect of any sound financial strategy. The financial strategy and the associated reserves position is subject to scrutiny by the Council's external auditors.

5.3 A Corporate Financial Risk Register has again been used as the basis for setting reserve levels in 2021/22 and future years. This approach seeks to quantify the risks facing the Council's finances, including over optimistic saving assumptions, unplanned employment and pension cost increases, the failure by managers to enact effective budgetary control, severe weather events, the economic downturn, potential legal and contractual claims and unplanned emergencies in approving an appropriate level of unallocated balances.

5.4 A review of the major risks facing the Council has been undertaken by senior finance officers and these are shown in the risk register in appendix 1. The level of unallocated general fund balances is directly informed by an assessment of the risks facing the Council. This approach, despite being subject to an element of informed judgement, fundamentally reflects the risks inherent in setting the revenue budget, the reasons why reserves are

held in the first place, the scale and complexity of the organisation and also provides an appropriate transparent rationale for the level of balances held.

## 5.5 Unallocated balances

Given the issues identified in the risk register and risks inherent in setting the revenue budget, members are recommended to maintain an unallocated general fund equivalent to £6.315m in 2021/22. The unallocated balance projected at the 31<sup>st</sup> March 2021 equates to 2% of net revenue expenditure and is sufficient to cover 49% of the risks identified in the finance risk register should they be realised.

## 6 THE AEF SETTLEMENT 2021/22

6.1 Mainstream support for Local Government from the Scottish Government is collectively known as Aggregate External Finance (AEF) and comprises:-

- (a) General Revenue Funding to support expenditure on the complete range of Council Services;
- (b) A distribution of funding from the National Non-Domestic Rates Pool;
- (c) Ring-fenced grants which must be used for specified purposes

6.2 The Local Government Finance Settlement, received on the 1st February 2021 was accompanied by a letter from the Cabinet Secretary for Finance Kate Forbes confirming that the Scottish Government will work in partnership with local government to implement the budget and the joint priorities in return for the full funding package worth £11.6 billion nationally. The correspondence confirmed funding levels along with criteria around the settlement as set out below:

- £59 million revenue to support the final tranche of increased funding for the expansion in funded Early Learning and Childcare (ELC) entitlement to 1,140 hours;
- £90 million to compensate councils who choose to freeze council tax levels;
- In addition to the £100 million available in 2020-21, a further £72.6 million to be transferred from the health portfolio to the Local Authorities in-year for investment in health and social care and mental health services that are delegated to Integration Authorities under the Public Bodies (Joint Working) (Scotland) Act 2014. This brings the total transferred from the health portfolio to support health and social care integration to £883.6 million in 2021/22. The additional £72.6 million for local government comprises a contribution to continued delivery of the real Living Wage (£34 million), uprating of free personal and nursing care payments (£10.1 million), implementation of the Carers Act in line with the Financial Memorandum of the Carers Bill (£28.5 million);
- The ongoing £88 million to maintain the pupil:teacher ratio nationally and secure places for all probationers who require one under the teacher induction scheme;
- Continued provision in support of Teachers Pay (£156 million) and Pensions (£97 million);

- An additional £7.7 million support for inter-island ferries bringing the total to £19.2 million;
- £5.3 million for Barclay implementation costs;
- £10 million additional capital funding for Flood Risk schemes; and
- The distribution of the additional COVID-19 consequentials of £259 million for 2021-22 for general ongoing pandemic pressures has been included in the Local Government Finance (Scotland) Order 2021 and the accompanying Local Government Finance Circular following agreed with COSLA after the Settlement letter was received on 1<sup>st</sup> February 2021.

6.3 The Finance and Constitution Committee debated Stage 2 and 3 of the Budget Bill on 8<sup>th</sup> and 9<sup>th</sup> March 2021. Further revenue funding over and above the initial settlement was agreed as follows:

- £100m to provide a Pandemic Support Payment to support people, in particular families, on low incomes
- £17m to extend the concessionary travel scheme to under-22 year olds
- £49.75m in 2021/22 to support the phased the roll-out of free school meals for all primary pupils, starting with P4
- Revised public sector pay policy to provide an increased cash underpin of £800 for those earning up to £25,000, and 2% for those earning over £25,000 up to £40,000
- £120m for mental health services – as yet, it is unclear how much, if any, of this will relate to Local Government
- £60m for Education support (learning loss/catch up)
- £20m additional funding for in-class support for children, provided as a top up to Pupil Equity Fund (PEF)
- Baselineing of the £90m that was made available in 2021/22 for councils who are freezing council tax.

6.4 Following approval of the Scottish Government's budget by Parliament on the 10<sup>th</sup> March, the Council's share of £90m made available in 2021/22 to freeze Council Tax (£1.955m) has been reflected permanently in the budget. It should be noted that the remaining additional funding set out in section 6.3 above will be reflected in the budget during 2021/22 as individual Council allocations are confirmed.

## **7 REVENUE RESOURCES**

7.1 The Settlement for 2021/22 confirmed the following resources would be provided by the Scottish Government to the Scottish Borders:

- (a) Revenue Support Grant of £199.653m, including the SBC share of £90m to support a freeze on Council Tax and £72.6m nationally to support H&SC integration. Taken together with Non Domestic Rates distributions of £33.571m, this provides providing total grant support of £233.224m to the Council;
- (b) Further one-off COVID-19 funding of £5.7m has been provided for general ongoing pandemic pressures during 2021/22;
- (c) Total specific grant has been confirmed to fund Early Learning & Childcare (£12.146m), the Pupil Equity Fund (£1.764m), Community Justice Social Work (£1.256m) and Gaelic (£0.001m);

- (c) Funding over and above the Settlement is still awaited to fund the Teachers Induction Scheme, Discretionary Housing Payments (DHP), Gaelic, Customer First top-up and School Child Burials. All these budgets will be created during 2021/22 when funding is confirmed;
- (d) The development of the 2021/22 budget has seen close cooperation and joint financial planning between the Council, NHS Borders and the IJB. Key aspects of the budget in this area include a Health and Social Care fund of £7.733m that is once again to be transferred from the NHS to Council via the Integration Joint Board (IJB). This funding has previously been delegated on a permanent recurrent basis to the Council's Social Care function by the IJB. A further adjustment has been made to the local government settlement to directly provide Councils with a further £72.6m nationally in 2021/22 to fund:
- a contribution of £34m to the continued delivery of the real Living Wage (£0.787m for SBC);
  - uprating of free personal and nursing care payments by £10.1m (£0.349m for SBC); and
  - implementation of the Carers Act in line with the Financial Memorandum of the Carers Bill costing £28.5m (£0.659m for SBC).

7.2 Scottish Borders Council received a £1.955m share of £90m provided nationally by Scottish Government to compensate Councils who choose to freeze Council Tax levels.

Table 1

	2021/22 £'000	2022/23 (Provisional) £'000	2023/24 (Provisional) £'000	2024/25 (Provisional) £'000	2025/26 (Provisional) £'000	Total £'000
<b>Aggregate External Finance</b>						
General Revenue Support	182,531	188,060	183,495	183,679	183,311	921,076
Council Tax freeze funding for 2021/22	1,955	1,955	1,955	1,955	1,955	9,775
Assumed one-off COVID-19 funding	5,700	(5,700)	0	0	0	0
Assumed SG grant reductions 1% years 2-5	0	(2,236)	(2,190)	(2,192)	(2,189)	(8,807)
Ring fenced grants	15,167	15,167	15,167	15,167	15,167	75,835
Assumed additional funding for H&SC for demographics		3,371	2,374	1,824	1,816	9,385
Health & Social Care Partnership	7,733	7,849	7,927	8,006	8,086	39,601
Non-domestic Rates	33,571	33,571	33,571	33,571	33,571	167,855
	<b>246,657</b>	<b>242,037</b>	<b>242,299</b>	<b>242,010</b>	<b>241,717</b>	<b>1,214,720</b>
<b>Earmarked Balance</b>	<b>1,562</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,562</b>
<b>Council Tax (Band D £1,253.91 in 2021/22 - 3% inc from</b>	<b>65,261</b>	<b>67,862</b>	<b>70,493</b>	<b>73,219</b>	<b>76,048</b>	<b>352,883</b>
<b>Second Homes Council Tax</b>	<b>1,177</b>	<b>1,211</b>	<b>1,247</b>	<b>1,285</b>	<b>1,323</b>	<b>6,243</b>
<b>Total</b>	<b>314,657</b>	<b>311,110</b>	<b>314,039</b>	<b>316,514</b>	<b>319,088</b>	<b>1,575,408</b>

## 8 RESOURCING ESTIMATES 2021/22 AND BEYOND

8.1 At present the Scottish Government has only confirmed a one year Revenue Settlement and therefore has only published draft AEF figures for 2021/22. In planning resources over the next 5 years the Council has

made assumptions about the levels of funding likely to be available and the level of savings which will be required to balance to these estimates. The assumption for planning purposes is that AEF resources will reduce by 1% in each future year of the 5 year plan. These estimates exclude any transfers for new statutory burdens.

- 8.2 Any movement from these assumptions in future finance settlements will require adjustments to be made to the overall level of savings made in the Financial Plan. Despite the absence of firm future revenue figures, the scale of the challenge facing the Council is unlikely to diminish in the foreseeable future and longer term planning for the delivery of savings, which may have significant lead in times and require large scale organisational change, remains an essential discipline.
- 8.3 The Council approved a revised approach to organisational change under the banner of 'Fit for 2024' when the budget was set for 2019/20 in February 2019. The Fit for 2024 programme has been a strong driver in developing financial plan proposals for the 5 year period of the plan.
- 8.4 The benefits of longer term financial planning have previously been promoted by Audit Scotland in the overview report for Local Government in Scotland. Audit Scotland have highlighted the good practise previously adopted by the Council in adopting medium term 5 year financial planning. The report recommended that this approach be extended to encompass greater use of scenario planning over a longer period. In response Council officers have once again modelled variations in the assumed level of Scottish Government grant, Council Tax increases and estimated inflationary increases in cost pressures over the 10 year period commencing 2021/22. This analysis is included at Appendix 2.
- 8.5 This analysis highlights a range of potential financial outcomes which would if realised require the Council to identify revenue savings of between £39m and £72m over the next 10 year period depending on the assumptions used. The range of scenarios modelled highlights the need for robust cost control and the continuation of a programme of strategic transformational change to ensure the Council can respond appropriately to these challenges.

## **9 CAPITAL RESOURCES**

- 9.1 In setting its Capital Plan, the Council must adhere to The Prudential Code of Capital Finance (the Code) in Local Authorities as published by CIPFA. The Code was established to both give Local Authorities an element of flexibility but also to ensure they do not over borrow beyond levels that are sustainable over the longer term.
- 9.2 The code requires the Council to set a Capital Annual Treasury Management Strategy (the Strategy) which includes how it will finance its Capital Plans in an affordable and sustainable way. The Strategy is approved each year along with the Revenue and Capital Plans.
- 9.3 The requirements of the Prudential Code were updated in December 2017 including the recommendation that Councils publish a capital strategy from 2019/20. As such Scottish Borders Council's Capital



Strategy is included elsewhere on this agenda as part of the suite of financial planning papers.

- 9.4 The borrowing requirements associated with the proposals are anticipated to be fully financed by the Loans Charges revenue budget of:

	<b>£m</b>
2021/22	19.466
2022/23	21.001
2023/24	23.280
2024/25	23.938
2025/26	23.938

The significant increase in loans charges over the period is driven by the construction of 3 new secondary schools and two new care facilities.

## **10 CAPITAL FUNDING ASSUMPTIONS**

### **10.1 Capital Settlement**

A General Capital Grant is issued to each Local Authority in Scotland as part of the Settlement letter. The draft settlement confirms general capital grant of £11.061m will be provided to the Council in 2021/22. Overall the level of capital grant has decreased by £4.1m next year when compared to the Council's planning assumptions for next year. The Cabinet Secretary for Finance, subsequently set out the capital allocations for local government as presented in "Investing for Jobs: Capital Spending Review 2021-22 to 2025-26", published on 4 February 2021. The letter provided an outline five-year indicative allocation for general capital grant and other specific funding streams provided through the local government finance settlement. The five-year indicative allocation provided has confirmed that the core General Capital Grant will remain at a flat cash level from the confirmed 2021/22 grant level through to 2025/26 and the Council planning assumptions have therefore been revised downwards.

- 10.2 The Finance and Constitution Committee debated Stage 2 and 3 of the Budget Bill on 8th and 9th March 2021. As well as revenue funding further capital funding has also been confirmed. An additional £40m capital for green recovery - £15 million for active travel, £10 million for energy efficiency, £10m for biodiversity (grants for a wider range of projects) and £5 million to support emissions reduction in the agriculture sector. Local Government capital allocations have been impacted, with a re-profiling of both the town centres and bridges funding announced on 16 February. Instead of the full £82m (as previously announced) being provided in 2021/22 (£50m and £32m respectively), these funds will be spread over 2 years to enable the £40m announced at Stage 2 of the Budget Bill as follows:

	<b>2021-22</b>	<b>2022-23</b>
Town Centres / 2-minute neighbourhoods	£30m	£20m
Local Bridge Maintenance	£12m	£20m

The final confirmation of the phasing of this funding and individual allocations to Councils may require adjustments to be made to the Council's Capital Plan.

#### 10.2 **Scottish Government – Capital Grants**

The Council's Capital settlement for 2021/22 also includes £20.588m for the Hawick flood protection scheme. In addition the settlement confirms an increase in the specific capital grant for cycling walking and safer streets to a budget of £0.506m from 2021/22. The proposed plan assumes total specific grants from Scottish Government of £47m over the 10 year period to 2031/32.

#### 10.3 **Other External Capital Grants & Contributions**

Many projects and programs are successful in bringing in matched funding from a range of external sources such as Sports Scotland, Historic Scotland and Lottery and European funds. These funds each come with specific conditions and are usually time limited.

#### 10.4 **Development Contributions**

- (a) Development Contributions are contributions made by private developers for specific items. Legal agreements in place detail the terms of both the location and type of asset. Due to the uncertainty of the timing on payment of these it is not prudent to include large sums of development contributions being received at the same time as the assets are being constructed. This means the Council is required to either use the General Capital Grant or Borrowing to up front fund the construction until the contributions are received.
- (b) The proposed Plan includes an assumed £1.179m of development contributions over the next 10 year period.

#### 10.5 **Capital Receipts**

- (a) Capital Receipts are funds generated from the disposal of capital assets. These funds are held in the Capital Fund and used to either finance new capital expenditure or repay existing loan principle. The estimate is reviewed on a regular basis to determine assets available for disposal and their likely disposal value and timing.
- (b) The Plan is predicated on £2.030m of capital receipts being generated over first 3 years of the plan. The assumptions around the deliverability of these will be subject to ongoing review.

## 10.6 **General Capital Grant future years**

The total estimated Capital Grant over the period of the Plan is estimated at £110.610m, a decrease of £39.457m from the previous Plan. Should resources vary from current projections in future years this may require the associated borrowing levels, phasing and prioritisation of projects within the Capital Plan to be revisited.

## 10.7 **Replacement Funds**

- (a) A fund was established by the Council in 2004 to ensure resources were in place for the continued replacement of its plant and vehicle fleet. The fund is used to purchase the vehicles and then reimbursed by the department's revenue budgets over the life of the vehicle. The Plan assumes purchases of £2m per annum over the period of the Plan which will be fully funded.
- (b) A Fund was established by the Council in 2016 to ensure resources were available to provide for the replacement of carpets on synthetic pitches. The plan is based on assumed replacement lives of 10 years for each facility.

## 10.8 **Borrowing**

- (a) The balance of the funds required for the Plan is secured by borrowing. Local Authorities are able to borrow to fund Capital expenditure, or if given specific consent by Scottish Government. When determining the borrowing requirements the Council must follow the Prudential Code which requires Councils to ensure they are acting prudentially and sustainably. The costs of borrowing are charged to revenue via the Loans Charges budgets.
- (b) The proposed revenue budget to support capital through loans charges is set out in paragraph 9.4. Decisions to increase future capital borrowing will require permanent increases, funded by savings elsewhere or the generation of additional income, in the loans charges budget in order to repay additional capital borrowing.
- (c) The proposed Plan includes a total borrowing over the 10 year period of £258m, an increase of £56m from the previous plan. It is estimated based on assumptions around cash flow and interest rates that this is deliverable within the estimated revenue resources. There is a risk however if interest rates rise above the assumed levels this may result in additional charges. This will require regular monitoring to ensure that the borrowing levels are sustainable and affordable.

10.9 The total capital funding available is £580.121m. The following table summarises the total resources for the proposed Capital Plan.

	3 year operational £000's	7 year strategic £000's	Total £000's	Est. External Funding £000's	Est. SBC Contribution £000's
Specific Grants from Scottish Government	42,447	4,421	46,868	46,868	0
Other External Grants & Contributions	67,531	61,094	128,625	128,625	0
Development Contributions	379	800	1,179	1,179	0
Capital Receipts	2,030	0	2,030	0	2,030
General Capital Grant	33,183	77,427	110,610	0	110,610
Plant & Vehicle Replacement - P&V Fund	6,000	14,000	20,000	20,000	0
Synthetic Pitch Replacement Fund	880	3,877	4,757	4,757	0
Funded From Revenue	8,000	0	8,000	8,000	0
Borrowing	148,893	109,159	258,052	0	258,052
<b>Total</b>	<b>309,343</b>	<b>270,778</b>	<b>580,121</b>	<b>209,429</b>	<b>370,692</b>

## 11 IMPLICATIONS

### 11.1 Financial Implications

There are no additional financial implications associated with this report, its content referring specifically to the revenue and capital budgets.

### 11.2 Risk and Mitigation

#### Revenue Plan

- (a) The Council faces a number of risks in setting its Revenue Financial Plan for five years 2021/22 - 2025/26. The main identified risks are set out in the appendix 1. The Council faces significant financial challenges, not least the requirement to deliver ongoing savings to balance the revenue and capital plan each year, fund on going pressure from the demographic change facing the Borders population and address challenges from ongoing COVID-19 response and recovery. The maintenance of reserves to manage such risks is an essential element of any sound financial strategy and the recommended level of reserves, to act as a contingency is £6.315m in financial year 2021/22.
- (b) There is an ongoing requirement for robust management action to further continue to deliver Financial Plan savings. This is fundamental to ensure the delivery of the proposals set out in the five year Financial Plan on time and to the levels expected by the approved budget. The failure to deliver savings in line with the budget plan represents the most significant financial risk to the Council.
- (c) Within the Capital Plan overly optimistic project management resulting in unrealistic assumptions about time, costs and risks involved continues to pose a risk. This is being mitigated by more intense scrutiny at the initiation phase and reviewing lessons learned from previous projects.
- (d) The key risks associated with the Council's revenue and capital plans will be monitored on a regular basis within the regular monitoring reports submitted to the Council's Executive Committee.

### 11.3 Equalities

An integrated impact assessment (IIA) has been undertaken with regard to individual budget proposals, where issues have been identified mitigating actions will be put in place. There are no further equalities impacts arising from this specific report.

11.4 **Acting Sustainably**

The revenue budget will affect the people and economy of the borders it has been designed to be as financially, socially and environmentally sustainable as possible.

11.5 **Carbon Management**

There are no effects on carbon emissions.

11.6 **Rural Proofing**

This report contains no implications that will compromise the Council's rural proofing strategy.

11.7 **Changes to the Scheme of Administration or Scheme of Delegation**

There are no changes required to either the scheme of administration or the scheme of delegation.

**12 CONSULTATION**

12.1 Corporate Management Team has fully supported the revenue and capital financial planning process.

12.2 The Chief Legal Officer (Monitoring officer), the Chief Officer Audit & Risk, the Chief Officer HR, and the Clerk to the Council have been consulted and comments have been reflected in this final report.

**Approved by**

**David Robertson**

**Signature .....**

**Executive Director Finance & Regulatory Services**

**Author(s)**

Name	Designation and Contact Number
Suzy Douglas	Financial Services Manager Tel: 01835 824000 X5881

**Background Papers:** Scottish Borders Council, 25<sup>th</sup> February 2021

**Previous Minute Reference:** [insert last Minute reference (if any)]

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

Contact us at Suzy Douglas, Council HQ, [sdouglas@scotborders.gov.uk](mailto:sdouglas@scotborders.gov.uk), 01835 824000 X5881.

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No.	Risk Category	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Are all Controls Operational? Y / N / Partial	Potential Financial Risk £	Assessment of Residual Risk (likelihood x impact) With Control Measures		
				Likelihood	Impact	Risk Score				Likelihood	Impact	Risk Score
				1	Economy and Funding	Reduction in Government funding to Local Authorities in real terms.				Less funding from Government, reduction in ability to provide services, take on other agencies' responsibilities.	4	4
2	Economy and Funding	Continuation of depressed housing market.	Assumption re Developer Contributions prove too optimistic. Risk of Challenge to existing policy with knock on impact on funding available for essential infrastructure projects.	4	3	12	Budget adjustment to take account of potential shortfall, diverting resources from other priorities in revenue and capital plans. Reassessment of likely developer contributions undertaken as part of review of CIP funding.	Y	0	4	2	8
3	Environment	Weather - adverse winter conditions.	Strain on Winter Maintenance budget. Additional revenue and capital costs.	4	4	16	Bellwin Scheme available, but only within certain criteria. Not available to cover higher costs of adverse winter weather. Reserve of £1m earmarked to provide contingency for adverse weather. Development of Community Resilience Scheme progressing but unlikely to make significant impact on costs.	Y	1,000,000 (unfunded residual estimate of Adverse Winter beyond average conditions)	4	3	12

No.	Risk Category	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Are all Controls Operational? Y / N / Partial	Potential Financial Risk £	Assessment of Residual Risk (likelihood x impact) With Control Measures		
				Likelihood	Impact	Risk Score				Likelihood	Impact	Risk Score
4	Environment	Weather - severe floods	Additional revenue and capital costs.	3	4	12	Bellwin Scheme, threshold applies at 0.2% of net revenue expenditure and within certain criteria.	Y	630,000	3	3	9
5	Budget Control	Inability to achieve projected savings.	Increased risks due to expenditure not being contained within budget, may result in future reduced service provision as a consequence.	4	4	16	Tracking through monitoring process. Monitoring indicates greater levels of savings required but delivery is becoming more difficult. 2020/21 monitoring indicates delay in delivery of circa £6m of savings and difficulty of delivery increasing particular challenges in Health and Social Care.	Partial	2,000,000	4	4	16
6	Budget Control	Future demographics - Social Work. Ageing population, more children with complex needs.	Additional revenue and capital costs. Assumption this will be funded by transfer from IJB.	5	3	15	Business and medium term Revenue Financial Plans aligned to demographic pressures.	Y	0	4	2	8
7	Budget Control	Future Demographics Vulnerable Children.	Risk of significant overspend due to demand pressures and the need to accommodate looked after children in expensive residential settings including secure units.	5	4	20	Current costs reflected in revenue budget.	Partial	0	3	3	9
8	Projects	Development Major Capital projects requiring Govt Support E.g. Flooding	Potential Requirement to Write costs incurred developing capital Schemes off to Revenue should Govt Support not be forthcoming. Further risk of need for project acceleration in response to current flood events.	3	4	12	Inherent risks associated with development of large complex capital schemes e.g. Tweedbank and Hawick Flood. Robust project management, dialogue and ensuring necessary statutory approvals are achieved mitigates risks.	Y	0	3	3	9

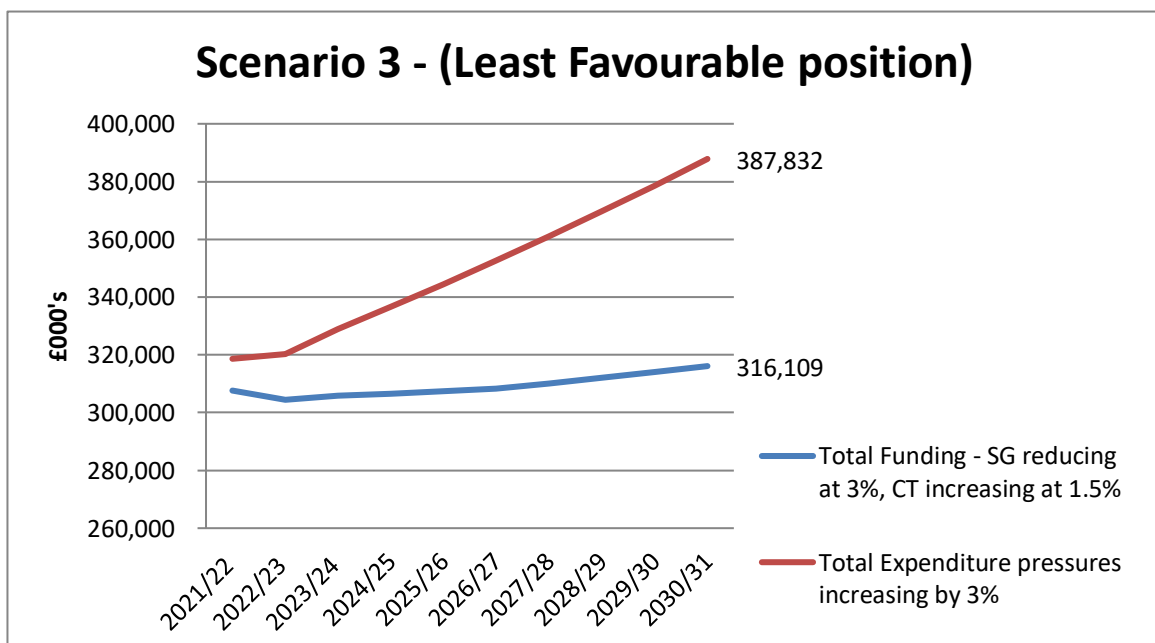
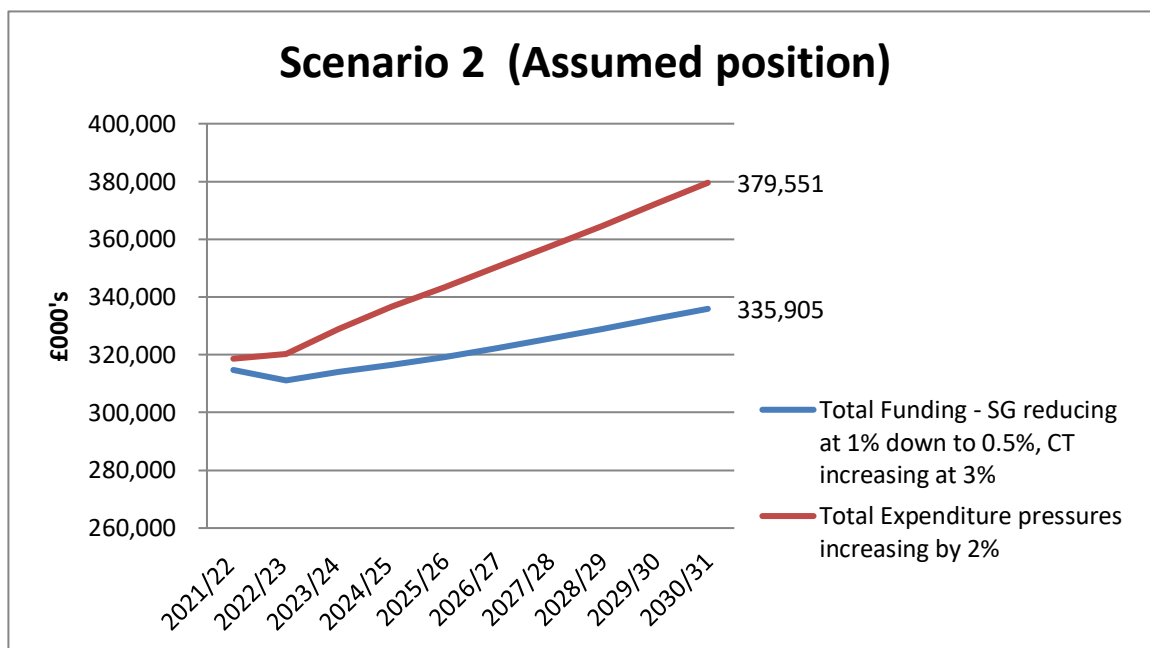
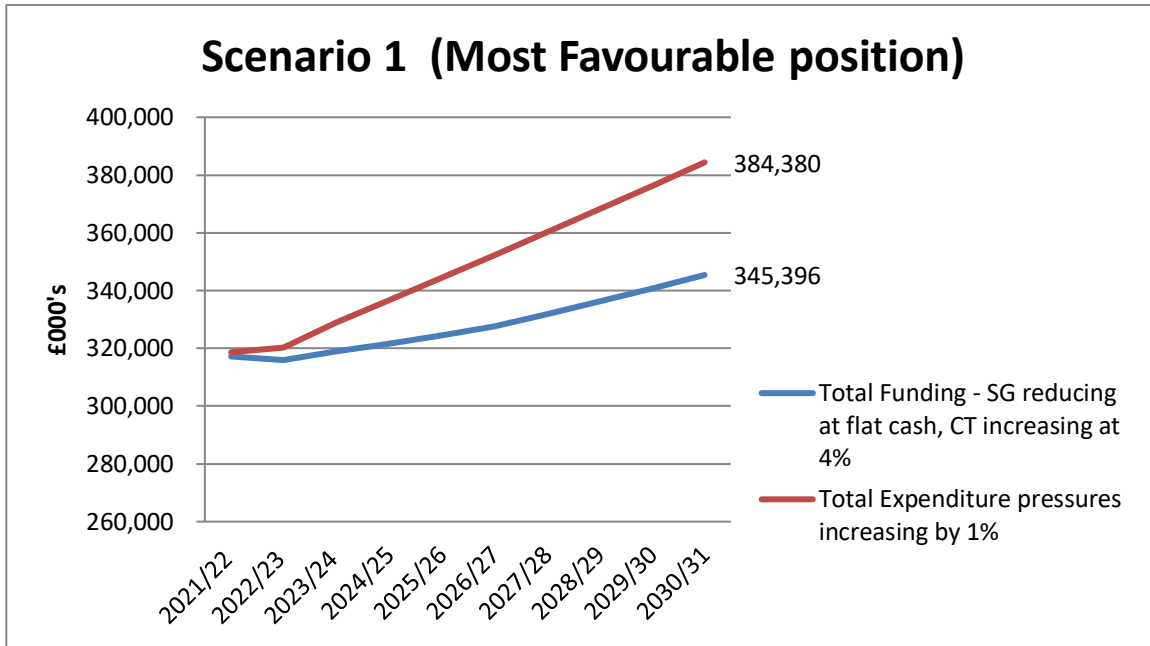


No.	Risk Category	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Are all Controls Operational? Y / N / Partial	Potential Financial Risk £	Assessment of Residual Risk (likelihood x impact) With Control Measures		
				Likelihood	Impact	Risk Score				Likelihood	Impact	Risk Score
9	Economy and Funding	Underfunding of national policy changes	Risk that the distribution formula used is misaligned with local requirements eg changes to charging regimes or teachers pay.	4	4	16	Active engagement through COSLA and the Settlement Distribution Group (SDG) to ensure local circumstances are reflected as far as possible in distributions.	Partial	200,000	3	3	9
10	Supplier failure	Major contractors / providers of essential services going out of business e.g. Transport provider or care providers	Immediate pressure on revenue budgets / reserves. Increased evidence of routes being handed back following retendering.	3	3	9	In some cases monthly contract monitoring and ongoing liaison. More due diligence required during and before contract periods. SBcares is provider of last resort for care contracts. Sustainability payments to care and transport providers been in place during 2020/21.	Partial	250,000	3	3	9
11	Pension Fund	Local Government Pension Scheme - increase in employer contributions	Increased costs to the Council through increased employer contributions and impact on service budgets	4	4	16	Triennial Valuation with options to deal with any projected funding deficit through recovery period and / or medium term Revenue Financial Plan. Fund valuation at 31 March 2020 showed funding level to 110%. Contribution rate increase over the next 3 year Period. 0.5% in 2023/24 Next valuation due 31/3/23.	Y	0	3	3	9
12	Pension Fund	Pension Fund Including Admitted Bodies. Change in level of participation in the pension fund leading to a risk re past service cost.	Call on Council indemnity for past service costs.	3	2	6	Ongoing monitoring and engagement with admitted bodies and appointed Actuary. Ongoing monitoring of financial impact of changes to the composition of scheme membership.	Y	0	3	2	6

No.	Risk Category	RISK Threat to achievement of business objective	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) Assume No Controls in Place			Risk Control Measures in Place	Are all Controls Operational? Y / N / Partial	Potential Financial Risk £	Assessment of Residual Risk (likelihood x impact) With Control Measures		
				Likelihood	Impact	Risk Score				Likelihood	Impact	Risk Score
13	Economy and Funding	Counterparty risk	Funds deposited in banks are lost	3	3	9	Disciplined maintenance of counterparty list, spread deposits where practicable. Treasury strategy and policy in place and regularly reviewed. Daily Information from Link Asset Services. Annual revisions made to strategy to reflect changes in the economic situation. Compliance with credit control worthiness policy monitored on an ongoing basis and robust scrutiny at point of investment.	Y	0	2	3	6
14	Economy and Funding	Increase in scale of bad debts owed to the Council (AR, Council Tax, NDR)	Potential pressure on revenue budgets as greater amounts need to be written off. Debt recovery arrangements indicate this risks is being managed with significant improvement in recent years over debt management and recovery.	4	3	12	Bad Debt provision in place, proved adequate for Council Tax and NDR historically. More robust policy framework now in place. Current level of bad debt provision acceptable and debt acceptable.	Y	200,000	4	3	12
15	Economy and Funding	Change to taxation base e.g. NDR income lies with collecting Authority and not part of national pool	Reduced level of NDR income for Council with subsequent pressure on revenue budgets	2	2	4	3 year spending review, medium term Revenue Financial Plan	Partial	Estimate Covered in Finance plan	1	2	2
16	Budget Control	General Contingency including - Failure of budgetary control processes (increased likelihood as budgets are stretched). Savings required by the 5 Year financial plan not delivered or delayed. Increased risk of overspend given pressures arising from H&SC integration, unplanned withdrawal of resource transfer funding or around delayed discharge.	Unexpected overspends in revenue and / or capital budgets.	4	3	12	Monitoring processes, both for revenue and capital. Monitoring now includes tracking of delivery of required efficiencies. Risk analysis re delivery of savings approved in financial plan. Regular reporting to CMT and quarterly reporting to Executive. Challenges facing the Council associated with constraints on public sector funding are increasing.	Y	3,145,000 <b>(1% overspend risk on £314.5m)</b>	4	3	12

No.	Risk Category	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Are all Controls Operational? Y / N / Partial	Potential Financial Risk £	Assessment of Residual Risk (likelihood x impact) With Control Measures		
				Likelihood	Impact	Risk Score				Likelihood	Impact	Risk Score
				17	Economy and Funding	Contractual legal claims/ penalties levied against council claim including damages claims from individual formerly in local authority care				Litigation following a Contractual claim resulting from legal dispute. Legal costs following an adverse judgement.	5	3
18	Economy and funding	Compliance failure with HMRC requirements	Penalty and Interest due to failure of business processes.	4	3	12	Review of Business processes to ensure they remain fit for purpose.	Partially	0	3	2	6
19	Economy and Funding	Uncertainties around the impact of Brexit	Adverse impact on the costs of goods and services supplied to the Council primarily associated with food supplies to older people's homes and schools and distribution of fuel. Inflation risk following Brexit	5	4	20	Additional staff in place with regard to Environmental Health Officers for livestock/shell fish for export certification. Adherence to Scotland Excel nationally negotiated frameworks.	Partially	0	4	3	12
20	Economy and Funding	Ongoing Impact of Covid 19 Pandemic	Adverse impact on service delivery and demand for services from impact of COVID. Increased demands for support from vulnerable people. Increased costs of COVID response fro PPE, building heating costs, reduced income etc.	5	5	25	Regular monitoring of staffing and financial impact of pandemic, engage with key suppliers and regular engagement with SOLACE/ COSLA and Scottish Govt.	Partially	2,500,000	4	4	16
<b>Projected General Fund unallocated balance as at 1 April 2021</b>									6,315,000			
Risks Per risk register									12,895,000			
<b>% of Risks per risk register covered by unallocated balances</b>									49 %			

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## **CAPITAL INVESTMENT STRATEGY 2021/22**

### **Report by Executive Director, Finance & Regulatory**

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### **SCOTTISH BORDERS COUNCIL**

**19 MARCH 2021**

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

- 1.1 **This report presents Scottish Borders Council's updated Capital Investment Strategy (CIS) supporting the 2021/22 financial planning process.**
- 1.2 The requirements of the Prudential Code were updated in December 2017 including the recommendation that Councils publish a Capital Investment Strategy to support their Capital Plan. This strategy therefore supports the strategic investment priorities of Scottish Borders Council through the Capital Plan.
- 1.3 The Capital Investment Strategy is designed to highlight the capital investment priorities and explain how these priorities will assist with the delivery of the Council's Strategic Corporate Plan 2018 -2023. As such the CIS is structured to reflect the themes of this Corporate Plan. The document should be read in conjunction with the Council's 10 year capital investment plan 2021 – 2031 and the Treasury Strategy which provides detail of the Council's Prudential Indicators and sets out how the Capital Investment plans (CIP) of the Council will be financed.

#### **2 RECOMMENDATIONS**

- 2.1 **It is recommended that Council approves the Capital Investment Strategy as part of the suite of 2021/22 budget papers on the Council agenda.**

### 3 BACKGROUND

- 3.1 As part of the financial planning process for 2021/22, the Council has updated and developed its Capital Investment Strategy in line with the requirements of the Prudential Code.
- 3.2 The requirements of the Prudential Code were updated in December 2017 including the recommendation that Councils published a Capital Investment Strategy to support their Capital Plan. Scottish Borders Council has updated and developed the existing strategy to support the strategic investment priorities of the Council through the Capital Plan.

### 4 CAPITAL INVESTMENT STRATEGY

- 4.1 As per the CIPFA Prudential Code 2017 the purpose of a Capital Investment Strategy is:  
*“In order to demonstrate that the authority takes capital expenditure and investment decisions in line with service objectives and properly takes account of stewardship, value for money, prudence, sustainability and affordability, authorities should have in place a capital strategy that sets out the **long-term context in which capital expenditure and investment decisions are made** and gives **due consideration to both risk and reward and impact on the achievement of priority outcomes.**”*  
*“While indicators for sustainability are required to be set over a minimum three year rolling period, indicators should be set in line with a capital strategy and asset management plan that is **sustainable over the longer term.**”*  
Prudential Code (CIPFA, 2017)
- 4.2 The Capital Investment Strategy is designed to highlight the capital investment priorities and explain how these priorities will assist with the delivery of the Council’s Strategic Corporate Plan 2018 -2023. As such the CIS is structured to reflect the themes of this Corporate Plan. The document should be read in conjunction with the Council’s 10 year capital investment plan 2021 – 2031 and the Treasury Strategy which provides detail of the Council’s Prudential Indicators and sets out how the Capital Investment plans (CIP) of the Council will be financed.
- 4.3 The key updates to the Capital Investment Strategy from 2020/21 are:
  - Place making - a place based strategy will be developed which considers ways to make things easier and more effective for citizens and realising best use of resources
  - Climate change – to capture the Council’s response in declaring a climate emergency in September 2020
  - Global Pandemic – the response to COVID-19 has been a catalyst for new ways of working across the whole Council
  - Updates to the Learning Estate Strategy
  - Inclusion of the extension of the CGI contract
- 4.4 The Capital Investment Strategy has been compiled through input from all relevant Council services including service input, the property and asset team and Finance.

### 5 IMPLICATIONS

#### 5.1 Financial

There are no direct financial implications resulting from this report.



## 5.2 Risk and Mitigations

There are wide ranging risks associated with the projects and programmes described in the Capital Investment Strategy. These are managed by the relevant department and/or project team in line with the Corporate Risk Management Policy and Framework.

As described in detail within the Strategy, oversight is provided by having appropriate governance in place, which includes regular reporting to ensure adequate scrutiny is provided throughout the lifetime of each project.

The Council's Treasury Management Strategy ensures that the Council operates within the prudent and affordable limits of the CIPFA Code (2017), whilst the CIPFA Prudential Code gives further assurance that the Council invests within the limitations of legislative controls. These controls reduce the risks associated with the Capital Investment Strategy and are audited as part of regular internal audit programmes of work, providing further assurance.

Contingency is provided by the Emergency and Unplanned Schemes budget. It should be noted that this contingency is sufficient to cover a limited proportion of risks should they arise.

## 5.3 Equalities

There are no equalities issues resulting from this report.

## 5.4 Acting Sustainably

There are no economic, social or environmental effects from this report.

## 5.5 Carbon Management

There are no effects on carbon emissions resulting from this report.

## 5.6 Rural Proofing

This report contains no implications that will compromise the Council's rural proofing policy.

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

This report does not result in any changes to the Scheme of Administration or the Scheme of Delegation.

## 6 CONSULTATION

- 6.1 The Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Service Director HR & Communications, the Clerk to the Council and Corporate Communications have been consulted and comments received have been incorporated into this final report.

### Approved by

**David Robertson**

**Executive Director, Finance & Regulatory**

**Signature** .....

### Author(s)

Name	Designation and Contact Number
Suzy Douglas	Financial Services Manager 01835 824000 X5881

**Background Papers:** N/A

**Previous Minute Reference:**

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# CAPITAL INVESTMENT STRATEGY

2021-2022



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# FOREWORD

The Scottish Borders region covers over 1,800 square miles. The region, which is noted for the quality of its natural environment, is largely rural in nature and possesses a unique history. The area, which has a widely dispersed settlement pattern, is the fourth most sparsely populated region in mainland Scotland. Almost half of our 115,270 strong population live in rural areas and a further 30% live in settlements of less than 500 people.

The geography of the Borders presents some unique challenges in delivering public services, not least providing care services to our increasingly elderly population, the challenge of improving broadband connectivity in rural areas, transport infrastructure, and the need to give our children and young people the best possible start in life. The economy of the Borders remains heavily dominated by the traditional industries of textiles, farming, forestry and fishing in our coastal communities. These traditional sectors are often associated with low wages and the Borders economy is characterised by some of the lowest wages in Scotland.

This capital strategy sets out how we plan to deal with the most pressing of these challenges: investing in our roads and bridges network, ensuring our school children are equipped with the most modern technology possible and investing in new schools and care facilities by replacing life expired buildings with modern, environmentally sustainable fit for purpose facilities. In making important investment decisions that will help to grow our region and our economy, we also recognise the need to address the challenges posed by climate change. It is our responsibility to do our utmost to invest in measures that will reduce our carbon footprint and protect our communities both now and in the future from the damaging effects of climate change, including flooding.

Shona Haslam  
Leader Scottish Borders Council

David Robertson  
Executive Director  
Scottish Borders Council



# INTRODUCTION

This is the Capital Investment Strategy (CIS) prepared by Scottish Borders Council (SBC) as required by the CIPFA Prudential Code. The strategy applies to financial year 2021/22 and subsequent financial years. It pulls together the investment implications of other more detailed policies, providing the reader with a single point of reference with which to understand the Council's Capital investment programme and its funding arrangements. The Capital Investment Strategy has evolved since its first iteration in 2019/20 to reflect user feedback, changing local circumstances, changes to funding arrangements for capital projects and political priorities.

# CORPORATE PLAN

On 20 February 2018 the Council approved a new Corporate plan which sets the strategic direction over the next 5 years. The plan seeks to make the most of the opportunities we have, tackle the challenges faced by this unique area of Scotland, translate the policies of the elected members of Scottish Borders Council into tangible actions that will improve the quality of life of our 115,270 citizens and ensure the Council is in the best position possible to respond to national policies and other statutory requirements.

The Corporate Plan recognises that the Council cannot achieve everything it wants to alone, particularly not set against a background of fiscal austerity, resource constraints and rising public expectations. The Council in turn has recognised that its ambitions can only be delivered effectively through collaboration and this requires a range of effective partnership arrangements to be maintained with our community planning partners, families, individuals, business and community groups and where these relationships do not currently exist they need to be developed. The corporate plan recognises that everyone has a role to play in improving the quality of life, prosperity and sustainability of the Borders. The plan takes an approach to partnership working that asks everyone to play #yourpart to keep the Borders thriving.

The plan presents SBC's commitments under four themes and this strategy is structured in the same way with our capital plans set out under each: Independent Achieving People; Our Services for You; Thriving Economy with Opportunities for Everyone; and Empowered and Vibrant Communities.



# STRATEGIES WHICH FEED INTO CAPITAL INVESTMENT PLAN



## PLACE

In December 2020 Council agreed the need to examine new service delivery models as set out in the Fit for 2024 strategy which improve the Council's carbon footprint, make better use of technology and deliver savings. It is our intention to engage with communities to develop a place based strategy that considers ways to make things easier and more effective for citizens and realise best use of our resources. The strategy will provide a strategic framework to underpin place based decision making around services and priorities for investment to contribute to making the Scottish Borders happy, healthy and habitat friendly.

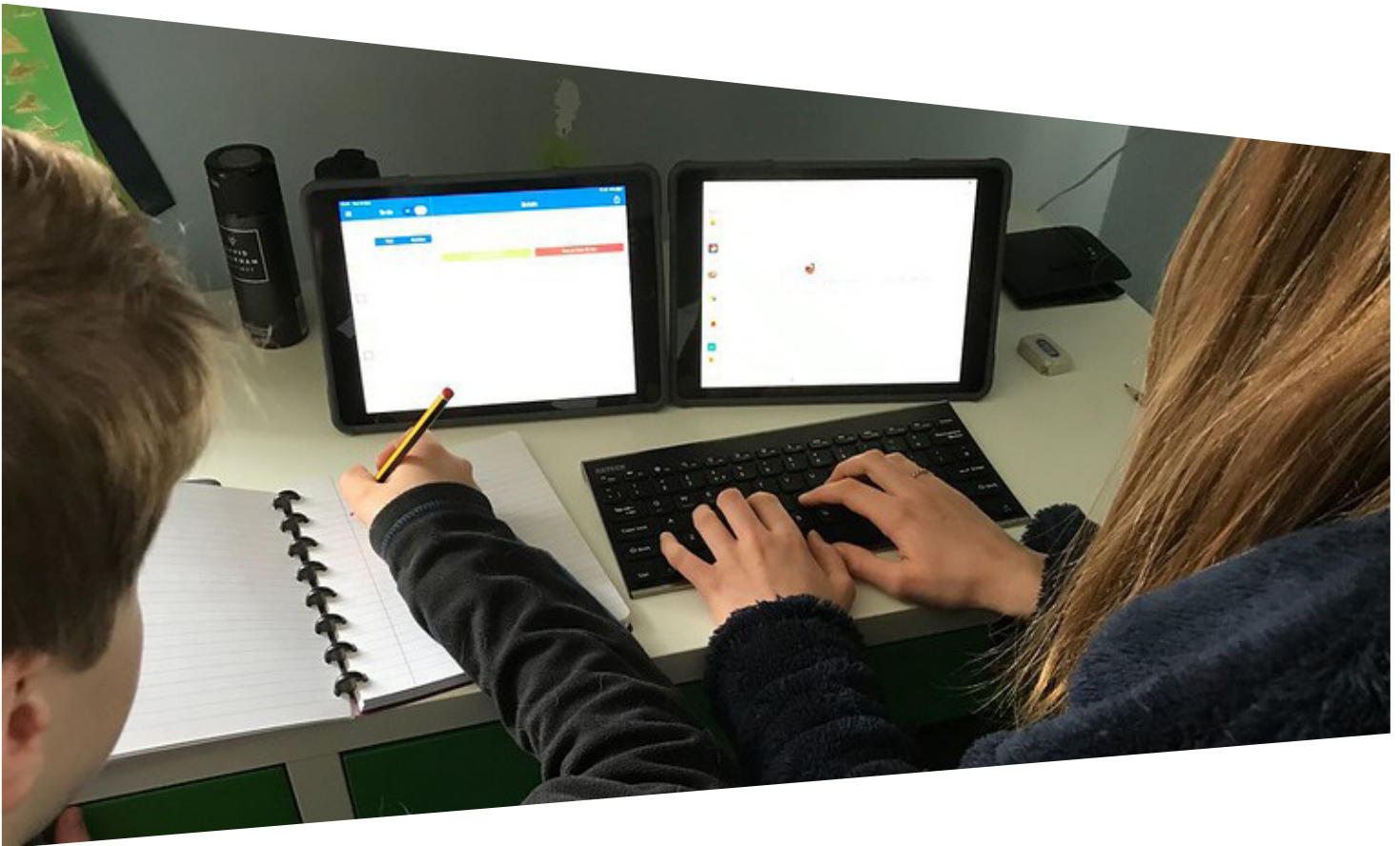
## CLIMATE CHANGE

In September 2020, Scottish Borders Council declared a Climate Emergency reflecting its commitment to action on the issue. The declaration has a vital role to play in building public awareness that we are in a climate emergency situation which places unprecedented demands on all individuals, communities and businesses, as well as public bodies. As a consequence of the declaration, there is an urgent need to consider how the Scottish Borders can make a step-change in activity to reduce greenhouse gas emissions and prepare for the impacts of climate change. This needs to be done in a way that is positive for the people and the economy of the Scottish Borders and builds on the strengths and assets of the region.

The impact upon the environment needs to be a key component of the brief and a strategic driver underpinning Council capital projects and service delivery. Reducing the Council's carbon footprint is a major objective to minimise CO2 emissions. This will mean consideration about the nature of capital investment we make including aspects such as access and transport; material selection; lifecycle and maintenance; energy consumption; and enhancing ecology and biodiversity.

# GLOBAL PANDEMIC

The global coronavirus pandemic has dramatically changed the way we live our lives. The response to the pandemic has created opportunities to operate differently, for example through the use of Microsoft Teams and has been the catalyst for new ways of working in our schools through our award winning Inspire Learning programme. We look to build on this approach through our capital activity to improve service delivery and public access.











# Independent, achieving people



In September 2019, Scottish Government launched a new 'Learning Estate Strategy – Connecting People, Places and Learning' which replaces the previous 'Schools for the Future' programme. The CIS has been updated to reflect the significant changes, which this new strategy will introduce, not least of all the different funding mechanism which essentially requires the Council to forward fund all investment on a capital basis and then receive partial revenue support to maintain the buildings in a good condition over a minimum period of 25 years. In addition there will be other key outcomes which are required to be delivered, such as Low Carbon initiatives and sustainability, or to ensure that the new learning estate is fully digitally enabled.







## LEARNING ESTATE

The Council has in recent years invested heavily in partnership with the Scottish Government and Scottish Futures Trust in the replacement of several life expired schools, prioritising those schools which have the most pressing need for investment assessed by their condition, capacity and suitability – this information is captured as part of the annual Core Facts Summary which is updated and submitted to Scottish Government.

The Council's own Learning Estate Strategy is expected to be published in 2021 to reflect the national strategy, and will seek to set out a 15-year overview of the entire estate including planned investment and disinvestment to shape the learning provision over that period within available capital constraints and prudent operational limits.

The Council has most recently opened a new 3-18 intergenerational community campus in Jedburgh, which replaced the Grammar School along with Howdenburn and Parkside Primary Schools which were also no longer fit for purpose.

The Council's capital programme includes specific capital funding from the Scottish Government to provide improvements to the Early Years in the form of both the refurbishment of buildings and some new builds at St Ronans, St Boswells, Priorsford and in the Hawick and Galashiels clusters. The investment in these locations was prioritised to help deliver the Council's strategic aim, shared with Scottish Government, of delivering 1,040 hours of early learning and childcare to each child under 5 by 2020. This will continue to be kept under review as more data becomes available.

The Council holds detailed condition and suitability information on all of its existing schools and learning estate and has identified the next priorities for investment in the estate as being Eyemouth and Earlston Primary Schools. It is intended that these buildings are replaced using currently committed Council capital resources, with a detailed planning application expected to be submitted during 2021, following a public consultation, with works planned for completion in 2024.

The Council also recognises the importance of maintaining a fit-for-purpose primary school estate. With shrinking revenue and capital resources, the Council wishes to ensure that we do not continue to maintain too many school buildings that are significantly under capacity, in poor condition or are deemed to have low suitability in respect of curricular activities. This will lead to under investment. A key component of the emerging Learning Estate Strategy will examine the potential to rationalise the primary estate. This may result in closing other under occupied buildings that are of poor suitability and amalgamating schools where there are feasible alternatives. The ambition is to better support delivery of the curriculum, maximise the quality and breadth of education on offer and contribute towards providing a supportive environment which can contribute to raising attainment levels and improving outcomes for our school children.

The completion of the Jedburgh Campus sees the Council having replaced 5 of its 9 secondary schools with modern facilities since 2007 using a variety of design, build and finance contract structures. More recently, the Council considered a report in November 2018 which set out the condition, likely costs and priorities for investment in its remaining secondary school estate at Galashiels Academy, Hawick High School, Selkirk High School and Peebles High School.

The cost of replacing the four remaining schools is significant. The logistics of replacing these buildings are also very challenging, for example the need to address potential flooding issues in Hawick, and delivering replacement school buildings whilst minimising disruption to learning during construction. Given these challenges, Galashiels was prioritised for the first phase of investment. Following the major fire at Peebles High School in November 2019, the Council has revised its capital plans, to not only replace what was lost, but maximise the opportunities to enhance facilities on the site through a complete new build of the High School.

The funding model for the national Learning Estate Investment Programme is based upon up front local authority borrowing for the capital cost of construction. Revenue funding is potentially available from the



Scottish Government to maintain the condition of new buildings provided a set of criteria is achieved. This new strategy requires full consideration of innovative service delivery, shared services where possible, low carbon & energy efficiency and digital connectivity. In addition, they should, wherever possible, accommodate a wide range of community sporting, leisure, health and community support and advice based services. In December 2020, [Scottish Government announced](#) that the Councils bid for revenue funding support for the new secondary schools in Galashiels and Peebles had been successful. Where possible these new buildings will be future proofed to allow future rationalisation and improvement of the wider estate where this provides best value.



## HEALTH AND SOCIAL CARE ESTATE

The Council approved a major strategy for the Housing and Care of Elderly people in June 2018 entitled “Integrated Strategic Plan for Older People’s Housing Care and Support.” This strategy, covering a 10-year period to 2028, recognises the need to invest significant resources through the Integrated Health and Social Care Partnership in order to cater for the needs of an increasingly elderly population. The strategy proposed a range of development including Extra Care Housing, to be delivered in partnership with both Trust Housing Association (THA) and Eildon Housing Association (EHA) in 6 key locations across the Borders – Duns (under construction by THA), Galashiels (under construction by EHA), Eyemouth (THA), Kelso (EHA), Hawick (EHA) and Peebles where unfortunately no site has as yet been identified.





One of the Extra Care facilities is currently being progressed through the refurbishment of the former Kelso High School building which is a grade B listed property which the Council recently sold to Eildon Housing Association as part of a joint venture between the Registered Social Landlord (RSL) and a private developer. In Eyemouth, plans are being developed for Extra Care Housing, delivered by Trust Housing Association which could link to a range of other services and community facilities. Berwickshire Housing Association is also a key partner in the provision of other affordable housing for the site. The Council has agreed to make contributions from Second Homes Council Tax to support the future planned developments in Kelso, Eyemouth, Hawick and Peebles.

In addition to Extra Care Housing, the Council through the Integrated Joint Board (IJB), is intending to invest in a range of new build dementia and other care facilities and has recently entered into a partnership agreement to purchase 7 acute dementia nursing beds in a new development built by Queens House in Kelso.

The IJB is also exploring the possibility of developing new care facilities in Hawick and as part of the Lowood estate in Tweedbank. Current exploratory work will examine a range of options for this facility incorporating innovative best practice from the Netherlands and Scotland. Formative plans include both a 24 bed Dementia Care Unit and an 8 bedded unit catering for young people in conjunction with Aberlour and Scottish Borders Housing Association (SBHA) as development partners.

The Council has also recently committed significant capital funds for the refurbishment of the remaining care homes over the next 2-3 years. Beyond this, early work has commenced with regard to planning the replacement of the current Care Homes Estate (built in the 1960's – 80's) and the provision of additional bed spaces to meet future projected demographic demand. It is now anticipated that the Council will require to build two new care homes in the next 5 years to provide additional capacity to respond to the needs of an increasingly elderly population many of whom suffer from dementia. This solution will replace the



previously agreed strategy to refurbish Deanfield Care Home in Hawick where the escalating costs of the refurbishment to extend meaningfully the life of the building now render this proposal poor value for money.

The provision of additional care facilities is a major element of the IJB strategy which is to keep people living safely in their own homes and out of institutional care for as long as this remains in their best interests and the Council invests in a range of aids and adaptation to both public and private housing stock to assist with this objective.

## SOCIAL WORK

The Social Work team will continue developing the use of video conferencing to reduce the necessity of staff having to travel significant distances for reviewing and interviewing purposes. This will include linking with video conferencing facilities for Justice Social Workers conducting interviews on service users who are in custodial settings out-with the authority area. A key element of this will be the adoption of agile working practices across a reduced Council estate which will allow individual services to quickly respond to changing service needs.

In addition, and in line with the Council's vision to enhance the use of technology, we will be further exploring the use of modern technology to enhance our social work practitioners to work more flexibly with service users. We will explore the use of mobile devices for the completion of case recording and the completion of assessments.



# Our services for you



## DIGITAL CUSTOMER ACCESS

As an organisation we are committed to delivering as many services as possible online. The global pandemic has accelerated this during 2020 and we will continue to develop and strengthen this as it will have the dual advantages of providing better, more responsive customer services with each customer able to contact the Council and receive feedback regarding their enquiry online through their unique customer account. The move to delivering services online will mean investment in new technology delivered as part of our Digital Customer Access (DCA) project with our IT provider CGI. Cost savings are planned through reduced customer handling times and reduced transaction costs. Where required, face to face contact will be maintained to support vulnerable people.



## STRATEGIC ASSET MANAGEMENT

The Council operates and maintains a significant and diverse property portfolio comprising over 350 operational buildings including offices and depots. The Council has adopted a management model that seeks to make better use of our estate, rationalising our property footprint in order to deliver operational efficiencies while investing capital in those buildings that remain.

## OFFICE ACCOMMODATION

A major part of our Corporate Landlord programme is based on proposals to reduce the Council's office footprint by a minimum of 20% over the next few years and consolidating into a reduced number of sites, raising an estimated £0.75m in capital receipts and saving over £75k per annum. This will require investment in the remaining buildings, particularly investment in transformational and agile working practices, modern flexible office furniture and IT equipment in conjunction with essential fabric repairs and upgrades.



## DEPOT RATIONALISATION

The Council currently operates from 6 depots located across the region as well as a number of stone depots and a quarry, some of which are no longer fully utilised. As part of the Council's Fit for 2024 programme and the associated review of Council services, the depot estate will be assessed to prioritise much needed investment in essential facilities to support staff and service delivery but also to disinvest and deliver financial efficiencies.







# A thriving economy, with opportunities for everyone





# BUSINESS ENVIRONMENT

The Council has worked hard in recent years to encourage investment in the Borders economy. The opening of the Borders Railway in 2015 provided a major investment in the infrastructure of the region opening up the central borders with a journey time to central Edinburgh of only 55 minutes. The success of the railway is evident through the continued growth in passenger numbers which have now exceeded 4m journeys since it opened in 2015 and the early need for expansion of the park and ride facility at Tweedbank. Despite such investment there are huge areas of the Borders economy that remain largely under developed compared to Scotland as a whole. The public sector, tertiary industries such as forestry and farming and fishing in Berwickshire are all major employers.

While unemployment is low, the region still suffers from some of the lowest wages in Scotland, with high levels of fuel poverty and deprivation in some of our communities. The Council is keen to unlock latent growth potential in the Borders economy and is seeking to use its capital programme to unlock this potential through a range of inter-agency intervention, developments and collaborations.





## TWEEDBANK EXPANSION

In 2018, the Council purchased the Lowood estate located adjacent to the existing village of Tweedbank at the terminus of the Borders railway. The master planning for this site is complete and the 120 acres of developable land now provide ability to plan and develop a mixed use development including housing, care, offices and light industrial uses. The first contract for the construction of the first phase of office development has been awarded and work commenced on-site in late Summer 2020. Both follow on from an initial investment in road infrastructure to unlock sites for development purposes.

## CITY DEAL

The Council is an active participant in the Edinburgh and South East of Scotland City Region Deal, multi-agency investment and development collaboration between the Scottish and UK Governments, the University Sector and the 5 local authorities in the region. Through the City Deal the Council anticipates £15m in grant funding will be provided to help develop land already in Council ownership between the rail head and the Lowood Estate. The business case for this development which will lever £30m of investment from Scottish Government, Scottish Enterprise, the Council and the private sector was approved by Council on the 31 January 2019.

The project will provide a range of high quality office, tourism and modern industrial space. This initial phase of development, comprising both public and private sector investment propositions will, it is planned, kick start the wider development of the former Lowood Estate at Tweedbank.

# BORDERLANDS

The Council is one of five local authorities signed up to the Borderlands Inclusive Growth Deal. The individual project business cases will lever investment from the Scottish and UK Governments into the Scottish Borders in a number of key areas over the next 10 years.

£19m investment to help create the world's first Mountain Bike Innovation Centre (MTBIC) integrated with a world-class Adventure Bike Park (ADVBP) and Trail Lab in Innerleithen. In addition, £1m will be spent upgrading the 7Stanes mountain biking network.

£10m of investment in the Destination Tweed project to deliver transformational economic benefit; protect, restore and invest in highly designated heritage assets; and realise the ambitions of communities along a 100-mile linear route extending from Moffat to Berwick-upon-Tweed via the heart of the Scottish Borders.

£7.25m of investment in a place programme of investment to stimulate the repurposing and reinvention of towns and town centres across the area to create places that are economically vibrant, resilient to change and that attract a working age population.

£3m improving business infrastructure by funding the construction of new business units in Coldstream and the acquisition of land for business use in Hawick.

£2.5m for developing a Natural Capital Innovation Zone area to enable businesses and land managers to trial environmentally friendly pilots, advance sector strategies and measures to capture and analyse real time information to maximise product yields, minimise pollution, promote carbon capture and flood management. In addition, the project will benefit from £2.5 million of revenue funding.

£7m for developing a South of Scotland Skills and Learning Network focused on emerging growth sectors such as transport and energy



storage, sustainable construction, advanced manufacturing, renewable technologies, agri-tech and data science.

There are also Digital and Energy projects that will see the Scottish Borders benefit from investment of £9.45m and £3.6m, respectively.

## CONNECTIVITY – BROADBAND

**To be successful modern IT connectivity delivered through superfast broadband is a pre-requisite. The Council has already invested £8.4m of capital resources in partnership with the Scottish Government, CGI and IT in schools**

In 2016/17 the Council signed a major strategic partnership with CGI for the provision of IT services and this contract was extended in 2020 until 2040. The contract is designed to support the Council in the delivery of services and to transform both the Council's IT infrastructure and wider Council services. This transformation includes a full refresh of the Council's IT hardware and covers both the Corporate and Curricular networks. The partnership with CGI has already seen the delivery of the Enterprise Resource Planning (ERP) system which replaced outdated and disparate finance, payroll, HR and Procurement systems with one integrated IT solution. The Council is planning a major strategic investment in its Digital Customer Access solution which will transform the way the Council interacts with its stakeholders.

The strategic partnership with CGI has also delivered significant improvement in the Wi-Fi infrastructure in schools, laying the foundations for the transformation project "Inspire Learning" which has provided all SBC teachers and every pupil in p4 to S6 with an individual iPad. The project aims to revolutionise the delivery of education both at home and in the class room enabling remote learning, encouraging collaboration between schools and equipping pupils with the IT skills required for the 21st Century workplace.



This investment has been crucial to the continuation of learning and teaching during the COVID 19 pandemic. The Council has also committed to an ambitious £34m IT investment programme over the next 4 years with CGI with the aim of empowering its front line staff through the use of digital technology and making the Borders the first Smart Rural Region in the UK.

## CONNECTIVITY PHYSICAL INFRASTRUCTURE– ROAD AND RAIL

The condition of the infrastructure of the Borders is essential to keep the region moving, connected to the rest of Scotland and the UK and provides a major support to the local economy. The 10-year capital plan recognises the need to continue to invest in the road, pavements and bridges infrastructure of the region. The 10-year plan provides investment in a number of specific initiatives including road safety improvements at Dirtpot Corner on the main Peebles to Galashiels trunk road that is now complete and the upgrade of the Union Chain Bridge, in partnership with Northumberland Council securing the future of this Grade A listed structure which passed its 200 year anniversary in 2020.

In addition, the Council recognises the need to promote investment in other forms of transport and the 10 year capital plan provides significant funding in multi-use paths to link our communities including the Innerleithen to Walkerburn route and the expansion of safer walking and cycling infrastructure funded by specific grant. Turning to Rail the Council remains committed both to the extension of the Borders Railway through Hawick and on to Carlisle and the opening of Reston Station on the East Coast mainline of which specific funding of £2.34m is provided.

As part of the Hawick Flood Protection Scheme £12.6m grant funding has been awarded by Sustrans in respect of active travel schemes associated with the project. This investment along with other similar initiatives will provide vital links to communities, encourage more people to walk and cycle by creating dedicated traffic-free routes and enhance key locations across the Borders for both residents and visitors.



# Empowered, vibrant communities





Many of our services already work closely with communities, but under the Community Empowerment (Scotland) Act 2015, communities have the opportunity to become more involved in the way we provide all services. To encourage our communities to achieve their full potential the Council's capital strategy includes specific investment targeted in the following priority areas:

## TOWN CENTRES AND TOURISM

The Council has an excellent track record of investing in the physical fabric of its town centres and has previously made significant improvements to the town centres and streetscape of Melrose, Kelso, Selkirk and Jedburgh and is now planning similar developments in Hawick and Eyemouth. These works help enhance the physical fabric of our towns making them more attractive places to shop and visit. The benefit of this approach which has been adopted for many years has now been recognised by the Scottish Government who have made available a £50m fund to allow further enhancements to urban areas in town centres and the Council fully intends to access this funding as it becomes available.







The Council is making a major investment in the centre of Galashiels through the provision of a new building to house the Great Tapestry of Scotland. This project will remove a vacant shop unit and reuse the handsome Victorian post office in the centre of the town which has lain vacant for many years. This development will complement the works already delivered in the form of the Transport Interchange and Channel Street which forms a new gateway to the town from the Borders Railway Station. The Council also hopes to attract a new hotel chain to the town to encourage further visitors.

The Great Tapestry of Scotland builds on other significant investment to encourage tourism such as the recent investment in the expansion of the Jim Clark Museum in Duns. The Jim Clark Museum provides a fitting home for memorabilia and cars associated with the world champion racing driver. Several towns in the Borders, particularly Hawick, are suffering from declining industrial buildings in the form of old textile mills. The costs of removing and renovating these buildings, many of which are beyond resource, is very significant.

The Council has recently attracted £3.6m of grant funding from Scottish Government which will assist in the demolition and redevelopment of several such problem buildings in Hawick and the provision of modern industrial space e.g. Armstrong's building and modern industrial space at Galalaw.

# WASTE MANAGEMENT

The evolving Waste Management strategy required the closure of the Easter Langlee landfill site by 2021. This required a solution by which residual waste is transported out with the Borders to be dealt with by other facilities. The Council has procured contracts to deal with residual waste and has also constructed a Waste Transfer Station at Easter Langlee which became operational in July 2019 negating the need to maintain disposal to our landfill site which is now being capped. As a result of this work the Council was able to ensure that none of the 42,000 tonnes of residual waste produced in the Borders went to landfill in 2020 meeting the Scottish Government's target for waste diversion ahead of the original 2021 target.

The new residual waste management contract with Levensat and other waste management arrangements saw Scottish Borders secure the biggest increase in recycling rates of any area of Scotland in 2019. Recycling figures jumped from 38.8 per cent in 2018 to 49.2 per cent in 2019. The significant improvement meant the Scottish Borders was also well above the national average of 44.9 per cent. In addition, the Council's waste services saw their carbon impact decrease from 134,118 metric tonnes of Carbon Dioxide equivalent (TCO<sub>2</sub>e) in 2018 to 123,166 TCO<sub>2</sub>e in 2019. This 11,000 TCO<sub>2</sub>e difference is the equivalent to the greenhouse gas emissions emitted from driving 27 million miles in an average car.





## HOUSING SUPPLY

The Council as a stock transfer authority retains responsibility for strategic housing supply in the Borders. The Council actively works with Scottish Government and Registered Social Landlords to deliver the objectives set out in the annual Strategic Housing Investment Plan (SHIP). The Council and its partners have an excellent track record of attracting affordable housing grant and meeting the targets set out in the SHIP. The SHIP is now in its 12th iteration and since it was introduced in 2007 the Council and its partners have delivered 959 new affordable homes including social housing and homes for mid-market rent.

The SHIP target moving forward is for the Council and its partners to provide 128 additional affordable homes per year. In addition to the work undertaken with registered social landlords the Council has delivered 54 additional affordable houses through the National Housing Trust Local Authority variant model – Bridge Homes and has previously successfully delivered 49 properties constructed under the first national Housing Trust initiative via Tweedside LLP, these houses have now transferred in perpetuity to Eildon Housing Association. The Council continues to use its Second Homes Council Tax for the provision of affordable housing including the provision of extra care housing referred to above.





## PARKS AND OPEN SPACES

Parks and open spaces make a major contribution to public health and wellbeing, active communities, and biodiversity. The Council is keen to encourage access to all our parks and open spaces and the Wilton Lodge Park in Hawick has recently been the subject of a major upgrade, part funded with Heritage Lottery funding. Having completed Wilton Lodge the benefit of such destination play parks is evident and the Council has continued to invest significant resources in play and outdoor recreation facilities in Galashiels, Kelso and Harestanes Visitor Centre, with more for example in Peebles currently at the planning stage as part of an overall £5.0m package of investment.

The facilities provided range from attractive, accessible play equipment for children under 14 to facilities for teenagers including skate parks and pump tracks and facilities to encourage physical activity amongst young and older adults alike in the form of outdoor gym equipment. The Council also recognises the importance of providing appropriate facilities for competitive and leisure based sport and continues to invest heavily in the provision of facilities to encourage a range of ball sports including hockey, football and rugby both through our new school based community facilities and also stand-alone facilities e.g. Volunteer Park in Hawick. Recognising the importance of maintenance at the facilities, the Council has adopted a life cycle approach to ensure funding exists to replace pitch carpets and other equipment as they wear out.





## LIVE BORDERS

The Borders enjoys 3 Leisure Trusts and the Council provides a capital grant to each on an annual basis to ensure they can enhance and maintain the facilities they operate. The Council also transferred its cultural facilities to Live Borders in 2016 and continues to provide support to allow investment in libraries, museums and community halls across the region.





The new Jim Clark museum in Duns has proved to be a huge success with visitors and the Council aims to build on this success by working with our partners Live Borders in developing other tourist attractions in the area.





# Other areas of Capital Investment



**The Council's capital strategy also includes the following investment areas which although important in their own right do not sit neatly within one of the 4 corporate themes described above.**

## GREEN ENERGY AND CLIMATE CHANGE

The Council has an ongoing Energy Efficiency Programme which has delivered carbon, cost and energy savings through a number of projects over that last two years including solar PV installations, boiler replacement, LED lighting upgrades (19,000 units), insulation upgrades, heating control enhancements and biomass boilers. The programme has also partnered with Live Borders to replace inefficient end of life plant delivering significant energy savings and improving the building environment for their customers. The Council accesses a variety of funding to deliver this investment including PWLB funding and SALIX funding. SBC is also leading a major scheme to reduce domestic consumption of energy and reduce fuel poverty in homes across the Region facilitated by Changeworks.

Future project plans include bulk solar PV procurement, battery storage systems, further upgrades of the Live Borders estate and projects to reduce the councils reliance on carbon intensive fuels such as heating oil.







## PLANT & VEHICLE

The Council operates a fleet of more than 450 vehicles ranging from large refuse collection vehicles, and gritting lorries to small transit vans. The Council operates a plant and vehicle fund and charges departments the interest and depreciation on their vehicles credited to the fund to ensure they can be replaced from the fund when they become life expired. A fleet review is underway as part of the Council's Fit for 2024 programme which will seek to tailor the fleet to service needs, reduce our environmental impact and realise operational and financial efficiencies.

## POOL CARS

In addition, the Council operates a pool car fleet of 55 vehicles both at HQ campus and a variety of locality offices. These vehicles are provided under a contract with Ubeeqo and include 7 all-weather 4 wheel drive vehicles. The intention is they will be available for community use out with normal council business hours as part of a car club arrangement. In addition, the Council operates 41 electric vehicles as part of its wider fleet arrangements and intends to continue to invest further in these new emerging technologies.

## EMERGENCY AND UNPLANNED SCHEMES

The Council recognises that the capital programme must contain a small element of contingency to deal with unforeseen circumstances and therefore maintains a small emergency and unplanned budget of £0.175m per annum for this purpose.

# TREASURY MANAGEMENT STRATEGY

The Treasury Management Strategy is a framework, which ensures the Council operates within prudent, affordable limits of compliance with the CIPFA Code (2017). The Strategy aims to:

- Ensure the Council has sufficient and appropriate facilities available to meet its short and long term borrowing requirement and funding needs;
- Secure new funding at the lowest cost; and
- Ensures that surplus funds are invested in accordance with the list of approved organisations for investment, minimising the risk to the capital sum and optimising the return on funds consistent with those risks.

The strategy includes prudential indicators required by the CIPFA Prudential Code and CIPFA Code of Practice for Treasury Management in the Public Sector. The Capital and Treasury Strategies are aligned to ensure an integrated approach between capital expenditure plans and treasury management strategy.

## PRUDENTIAL CODE

The CIPFA Prudential Code introduced in April 2004 gave Councils freedom to invest in capital projects within the limitation of legislative controls, provided their programmes can be shown to be affordable, prudent and sustainable. The key mandatory indicators are:

- Capital Expenditure Limits – summary of the Councils capital expenditure plans;
- Capital Financing Requirement – measure of the Councils underlying borrowing need, including long term liabilities;
- Operational Boundary – expected maximum external debt during the course of the year; and

- Authorised Boundary – maximum limit beyond which borrowing is prohibited.

The Prudential indicators include the Capital Expenditure and the other Long Term Liabilities of the Council. This includes contractual long-term liabilities incurred from PPP and PFI contracts. For Scottish Borders Council these are Eyemouth, Earlston, Berwickshire, Kelso High Schools and Jedburgh Campus.

## GOVERNANCE

The Council's ten year Capital Investment Plan will continue to be updated on an annual basis and approved by Council. This ensures a long term approach to financial planning to identify challenges and opportunities facing the Council.

The Capital Investment Strategy will be fully updated every ten years, but will be reviewed and refreshed on an annual basis to ensure its continued alignment with the Council's priorities.

All capital projects will continue to be monitored, and changes approved four times a year by the Executive Committee. Full details of the Governance and approval process for Capital can be found in the Financial Regulations.

## SKILLS AND TRAINING

Relevant professional staff will maintain up to date knowledge of capital and treasury issues by attendance at appropriate technical seminars (i.e. CIPFA Training).

The Council's corporate procurement strategy sets out the process for all levels of projects and all projects over £50k are progressed in conjunction with procurement specialists through a full tender process.

All elected members will be offered capital, revenue and treasury management training as part of their induction, with refresher training offered every two years.

## LINKS

Corporate Plan

Treasury Strategy

Financial Plan

Local Development Plan

Asset Management Plan

Strategic Housing Improvement Plan (SHIP)

Learning Estate Strategy

City Deal

Borderlands Initiative

Regional Transport Strategy

## LINKS TO THE CAPITAL PLAN

The detailed funding arrangements of the strategy noted above is set out in the Council published Capital Investment Plan. The borrowing implications of the capital plan are fully detailed in the Council's Treasury Strategy which is approved alongside the capital budget by full Council each year.



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.

**CHIEF EXECUTIVE'S**

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

tel: 01835 824000

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



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## **TREASURY MANAGEMENT STRATEGY 2021/22**

**Report by Executive Director, Finance & Regulatory**

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**SCOTTISH BORDERS COUNCIL**

**19 March 2021**

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### **1 PURPOSE AND SUMMARY**

- 1.1 This report proposes the Treasury Management Strategy 2021/22 for Council approval.**
- 1.2 The Treasury Management Strategy is the framework which ensures that the Council operates within prudent, affordable limits in compliance with the CIPFA Code.
- 1.3 The Strategy for 2021/22 is included in this report at Appendix 1 and reflects the impact of the Administration's Financial Plans for 2021/22 onwards on the prudential and treasury indicators for the Council.

### **2 RECOMMENDATIONS**

- 2.1 **It is recommended that the Council:**
  - (a) Approves the Treasury Management Strategy 2021/22 as set out in Appendix 1;**
  - (b) Notes that the draft Treasury Management Strategy was considered by Audit & Scrutiny Committee on 8 March 2021, where it noted the narrowing of the gap between Capital Financing Requirements and Authorised Limit for External Debt and recommends Council give full consideration to this;**
  - (c) Reviews its capital expenditure plans going forward to ensure they remain realistic, affordable and sustainable; and**
  - (d) Ensures that the revenue consequences of all capital projects be fully reviewed in all investment decisions.**

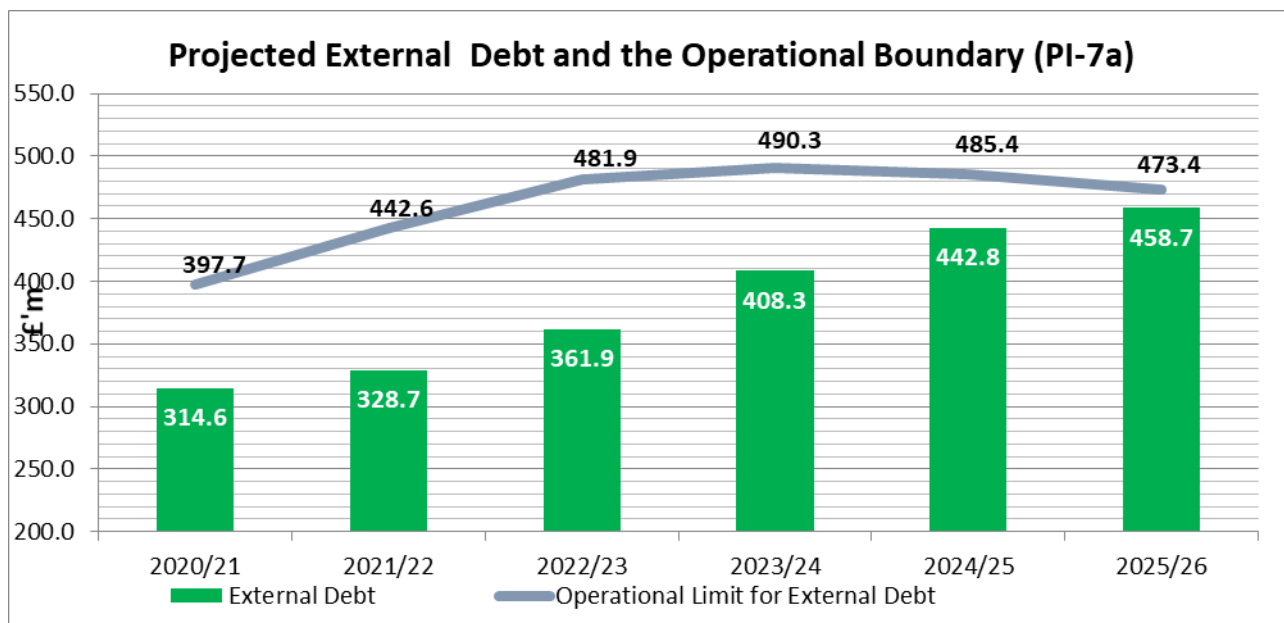
### **3 BACKGROUND**

- 3.1 The Council is required to present a Treasury Management Strategy for approval at the same time as the Council's Financial Plan and Financial Strategy is approved.
- 3.2 The Audit and Scrutiny Committee is responsible for scrutinising the Treasury Management Strategy in line with recommended practice set out in the CIPFA (Chartered Institute of Public Finance and Accountancy) Code (i.e. Treasury Management in the Public Services: Code of Practice and Cross-Sectorial Guidance Notes). The Committee reviewed a draft Strategy at the meeting on 8 March 2021.

### **4 TREASURY MANAGEMENT STRATEGY 2021/22**

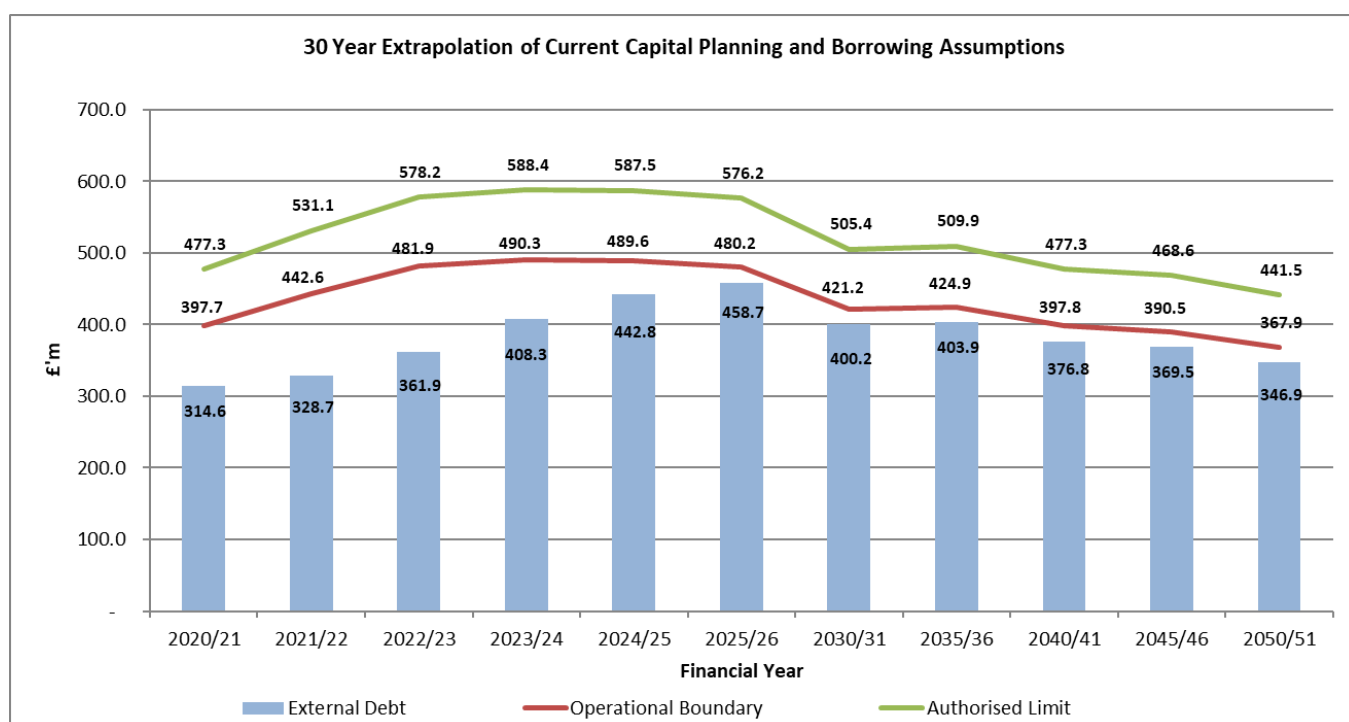
- 4.1 Appendix 1 contains the draft Treasury Management Strategy for 2021/22 for consideration by the Council.
- 4.2 This is based on the Administration's Capital Financial Plans for 2021/22 to 2030/31.
- 4.3 Appendix 1, Annex A contains a summary of the proposed indicators within the strategy. The significant changes from the 2020/21 strategy are:
  - (a) Decrease in the Capital Financing Requirement (CFR) in the first 2 years due to the re-phasing of 2 primary and 3 secondary schools. Also impacting on the CFR movement is the anticipated capital borrowing requirements associated with the re-phasing of projects from 2020/21 into future years as well as movements in the scheduled debt amortisation projections for the year.
  - (b) Increase in the Authorised Limit from 2021/22 onwards is associated with the increase in external borrowing resulting from the capital plan.

4.4 The table overleaf shows the “Operational Boundary” against the anticipated levels of external borrowing. The Council’s external borrowing should not normally exceed the operational boundary limit, defined by the Prudential Framework. The gap between these two elements as seen in the table, consistently shows that the Council maintains an “under-borrowed” position for current and next 5 years. The gap however is reducing over the years due to the ambitious capital program and the profile of the notional loan charges.



4.5 The chart below details projected external borrowing for the next 5 financial years and then at 5 year intervals up to 2050/51. Alongside this, the Operational Boundary and Authorised Limit are also shown. The chart is designed to inform long term scenario planning in line with best practice.

It should be noted that from 2031-32, the first year outwith the current 10 year Capital Plan, a 10 year average capital expenditure, and annual borrowing requirement of £10.5m, has been assumed.



## 5 IMPLICATIONS

### 5.1 Financial

There are no additional financial implications in relation to this report its content specifically relating to the financing and investment activities of the Council.

### 5.2 Risk and Mitigations

The key purpose of presenting the Strategy to Audit and Scrutiny Committee scrutiny is to ensure that the members are satisfied with this element of the risk management framework for the treasury management function within the Council. The risks to delivering the Strategy have been identified within the Strategy itself at Appendix 1. Controls and mitigating actions have been implemented, monitored and reviewed in line with the Council's Risk Management Policy. The Strategy provides the parameters and guidance for the investment and borrowing decisions for the Council.

### 5.3 Integrated Impact Assessment

There is no impact or relevance to Equality Duty or the Fairer Scotland Duty for this report. This is a routine financial monitoring report which forms part of the governance of the Treasury function within the Council. Nevertheless, a light touch assessment has been conducted and this will be published on SBC's Equality and Diversity Pages of the website as in doing so, signifies that equality, diversity and socio-economic factors have duly been considered when preparing this report.

### 5.4 Acting Sustainably

There are no direct economic, social or environmental issues with this report which would affect the Council's sustainability policy.

### 5.5 Carbon Management

There are no direct issues or consequences arising from this report which would affect the Council's carbon management.

### 5.6 Rural Proofing

There are no direct issues or consequences arising from this report which would affect the Council's rural proofing policy.

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

No changes to the Scheme of Administration or Scheme of Delegation are required as a result of this report.

## 6 CONSULTATION

- 6.1 The Chief Legal Officer (including as Monitoring Officer), the Chief Officer Audit and Risk, Service Director HR, Communications and the Clerk to the Council have been consulted and any comments received have been incorporated into the final report.

**Approved by**

**David Robertson**  
**Executive Director, Finance & Regulatory**

**Signature .....**



**Author(s)**

Name	Designation and Contact Number
Kirsty Robb	Pension and Investment Manager – 01835 825249
Sara Halliday	Treasury Business Partner – 01835 824000, Ext 5854

**Background Papers:**

**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. The Capital and Investment Team can also give information on other language translations as well as providing additional copies.

Contact us at Capital & Investments Team, Finance, Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA Tel: 01835 825249 Fax 01835 825166. email: <mailto:treasuryteam@scotborders.gov.uk>

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## **APPENDIX 1**

# **SCOTTISH BORDERS COUNCIL**

## **TREASURY MANAGEMENT STRATEGY (incorporating the Annual Investment Strategy) 2021/22**

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## 1 Purpose and Scope

1.1 The Council is currently required to receive and approve, as a minimum, three main reports on treasury activity each year, which incorporate a variety of policies, estimates and actual figures.

a) **Treasury Management Strategy** (this report) – The first, and most important of the three reports, is forward looking and covers:

- The capital plans of the Council (including prudential indicators);
- A policy for the statutory repayment of debt, (how residual capital expenditure is charged to revenue over time);
- The treasury management strategy (how the investments and borrowings are organised), including treasury indicators, and
- A permitted investment strategy (the parameters on how investments are to be managed).

b) **Mid Year Treasury Management Report** – This is primarily a progress report and will update members on the capital position, amending prudential indicators as necessary, and whether any policies require revision.

c) **Annual Treasury Report** – This is a backward looking review document and provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.

### 1.2 Scrutiny

These reports are required to be adequately scrutinised by committee before being recommended to the Council. This role is undertaken by the **Audit and Scrutiny Committee**.

1.3 The treasury management issues covered by this report are:

#### Capital Issues

- the capital expenditure plans and the associated prudential indicators;
- the loans fund repayment policy.

#### Treasury management issues

- the current treasury position;
- treasury indicators which will limit the treasury risk and activities of the Council;
- prospects for interest rates;
- the borrowing strategy;
- policy on borrowing in advance of need;
- debt rescheduling;
- the investment strategy;
- creditworthiness policy; and
- the policy on use of external service providers

1.4 These elements cover the requirements of the Local Government in Scotland Act 2003, the CIFPA Prudential Code (the Prudential Code), the CIPFA Treasury Management Code (the Code) and Scottish Government loans fund repayment regulations and investment regulations.



**1.5** The increased Member consideration of treasury management matters and the need to ensure that officers dealing with treasury management are trained and kept up to date requires a suitable training process for Members and officers. This Council will continue to address this important issue by:

**a) Elected Members**

- Working with members of the Audit and Scrutiny Committee to identify their training needs
- Working with Link Asset Services to identify appropriate training provision for elected members

**b) Officers** dealing with treasury management matters will have the option of various levels of training including:

- Treasury courses run by the Council's advisers
- Attendance at CIPFA treasury management training events
- Attendance at the CIPFA Scottish Treasury Management Forum and information exchanged via the Treasury Management Forum network
- On the job training in line with the approved Treasury Management Practices (TMPs).

**1.6 Treasury Management Consultants**

The Council uses Link Group, Treasury solutions as its external treasury management advisors.

The Council recognises that responsibility for treasury management decisions remains with the Council at all times and will ensure that undue reliance is not placed upon the services of our external service providers. All decisions will be undertaken with regards to all available information, including, but not solely, our treasury advisers.

It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

**1.7** The Treasury Management Strategy covers the treasury management activities for the Council (including any subsidiary organisations), the cash managed by the Council on behalf of the Scottish Borders Council Pension Fund, the Common Good and Trust Funds.

## 2 Background

- 2.1** The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering investment return.
- 2.2** The second main function of the treasury management service is the funding of the Council's capital plans and strategy. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion, when it is prudent and economic, any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 2.3** The Prudential and Treasury Indicators (summarised in **Annex A**) consider the affordability and impact of capital expenditure decisions, and set out the Council's overall capital framework. These Indicators have been developed in line with both the Prudential and Treasury Codes. The treasury service considers the effective funding of these decisions. Together they form part of the process which ensures the Council meets its balanced budget requirement under the Local Government Finance Act 1992. The Treasury Management Strategy therefore forms an integral part of the Council's overall Financial Strategy covering both its revenue and capital budgets.
- 2.4** The contribution the treasury management function makes to the authority is critical, as the balance of debt and investment operations ensure liquidity or the ability to meet spending commitments as they fall due, either on day-to-day revenue or for larger capital projects. The treasury operations will see a balance of the interest costs of debt and the investment income arising from cash deposits affecting the available budget. Since cash balances generally result from reserves and balances, it is paramount to ensure adequate security of the sums invested, as a loss of principal will in effect result in a loss to the General Fund Balance.
- 2.5** Whilst any loans to third parties, commercial investment initiatives or other non-financial investments will impact on the treasury function, these activities are generally classed as non-treasury activities and are separate from the day to day treasury management activities.
- 2.6** CIPFA defines treasury management as:
- “The management of the local authority's borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”
- 2.7** Revised reporting was introduced in the 2019/20 reporting cycle due to revisions to the CIPFA Prudential Code and the CIPFA Treasury Management Code. The primary reporting changes included the introduction of a capital strategy, to provide a longer-term focus to the capital plans, and greater reporting requirements surrounding any commercial activity if that is going to be undertaken. The capital strategy is being reported separately.

### 3 The Capital Prudential Indicators 2020/21 – 2025/26

The Council's Financial Strategy sets out financial resource and management parameters within which it will deliver its Corporate Vision and Priorities. The Financial Strategy brings together various elements of financial policy and strategy, including the Treasury Management Strategy, and establishes the financial planning framework for the Council in terms of Revenue Expenditure and Capital Investment. The output from this framework is the Council's Financial Plan, approved annually in February, presenting the financial proposals for delivering its services and objectives.

The Financial Strategy establishes that the Financial Principles underpinning the planning for the Council's future service delivery are to:

- (i) Raise the funds required by the Council to meet approved service levels in the most effective manner;
- (ii) Manage the effective deployment of those funds in line with the Council's corporate objectives and priorities; and
- (iii) Provide stability in resource planning and service delivery as expressed through Corporate and Business Plans and the Revenue and Capital Financial Plan.

In order to adhere to these Principles, the Financial Strategy states that the Council will adopt Financial Objectives to:

***"ensure capital borrowing is within prudential borrowing limits and sustainable in the longer term. In this regard it is important to recognise the capital investment decisions taken now have long term borrowing implications and these have the potential to place a significant burden on future tax payers".***

The draft revenue budget sets loans charges associated with capital borrowing over the next 5 years at £19.5m in 2021/22, rising to £23.6m in 2025/26.

The Council's Capital Financial Plan is the key driver of treasury management activity. The output of the capital expenditure plans is reflected in the prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

#### 3.1 Capital Expenditure (Prudential Indicator PI-1)

This prudential indicator is a summary of the Council's capital expenditure plans, both those agreed previously, and those forming part of this planning cycle. The Capital Financial Plan for 2021/22 – 2030/31 includes the following capital expenditure forecasts for the first five years. 2020/21 projected outturn figures are also shown:

Capital Expenditure (PI-1) £m	Estimate					
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Assets & Infrastructure	38.0	45.6	34.4	26.3	15.8	13.6
Other Corporate Services	8.8	11.4	9.7	4.0	0.2	0.1
Children & Young People	7.2	8.3	38.5	55.9	43.0	27.0
Culture & Sport	0.8	2.9	0.6	0.6	0.6	2.0
Economic Regeneration	9.0	9.1	12.0	32.2	20.6	11.0
Housing Strategy & Services	0	0.5	0.5	0.5	0.5	0.5
Social Care Infrastructure	0	9.4	3.3	3.0	8.5	0.1
Emergency & Unplanned Schemes	0.5	0.2	0.2	0.2	0.2	0.2
<b>Total</b>	<b>64.3</b>	<b>87.4</b>	<b>99.2</b>	<b>122.7</b>	<b>89.4</b>	<b>54.5</b>

### 3.2 Capital Financing Assumptions

The table below summarises the above capital expenditure plans and how these plans are being financed by capital or revenue resources. Any shortfall of resources results in a financing need.

Capital Expenditure £m	Estimate					
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Capital Expenditure – per plan	64.3	87.4	99.2	122.7	89.4	54.5
Other Relevant Expenditure	-	-	-	-	-	-
<b>Total Expenditure</b>	<b>64.3</b>	<b>87.4</b>	<b>99.2</b>	<b>122.7</b>	<b>89.4</b>	<b>54.5</b>
<b>Financed by:</b>						
Capital receipts	1.7	1.6	0.4	0	0	0
CFCR	0.7	4.0	4.0	0	0	0
Developer Contributions	0.2	0.2	0.1	0.1	0.1	0.1
Govt. General Capital Grants	10.7	11.1	11.1	11.1	11.1	11.1
Govt. Specific Capital Grants	16.2	21.4	12.4	8.6	1.7	1.4
Other Grants & Contributions	6.8	12.0	20.7	34.8	19.9	10.9
Plant & Vehicle / Infrastructure Fund	2.5	2.0	2.0	2.0	2.0	2.0
Synthetic Pitch Replacement Fund	0	0.1	0.4	0.4	0.4	1.1
<b>Element of Net financing need for the year met by borrowing</b>	<b>25.5</b>	<b>35.0</b>	<b>48.1</b>	<b>65.7</b>	<b>54.2</b>	<b>27.9</b>

### 3.3 The Council's Borrowing Need (the Capital Financing Requirement – Prudential Indicator PI-2)

- a) The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's indebtedness and so its underlying borrowing need. Any capital expenditure identified above, which has not immediately been paid for through a revenue or capital resource, will increase the CFR. The CFR does not increase indefinitely, as prudent annual repayments from revenue need to be made which reflect the useful life of capital assets financed by borrowing. From 1 April 2016, authorities may choose whether to use scheduled debt amortisation (loans pool charges), or another suitable method of calculation in order to repay borrowing.
- b) The CFR includes any other long term liabilities (e.g. PPP schemes, finance leases). Whilst these increase the CFR, and therefore the Council's borrowing requirement, these types of scheme include a borrowing facility by the PPP lease provider and so the Council is not required to separately borrow for these schemes. The Council has £97.6m of liabilities relating to such schemes within the 2020/21 long term liabilities figure.
- c) The Council is asked to approve the CFR projections on the page below:

Capital Financing Requirement (PI-2) £m	Actual	Estimate					
	19/20	20/21	21/22	22/23	23/24	24/25	25/26
<b>Total CFR (PI-2) *</b>	<b>312.9</b>	<b>361.0</b>	<b>384.4</b>	<b>420.4</b>	<b>473.3</b>	<b>507.8</b>	<b>520.8</b>
<b>Movement in CFR represented by:</b>							
Net financing need for the year (above)		<b>25.5</b>	<b>35.0</b>	<b>48.1</b>	<b>65.7</b>	<b>54.2</b>	<b>27.9</b>
Less scheduled debt amortisation and other financing movements		22.6	(11.6)	(12.1)	(12.8)	(19.7)	(14.9)
<b>Movement in CFR</b>		<b>48.1</b>	<b>23.4</b>	<b>36.0</b>	<b>52.9</b>	<b>34.5</b>	<b>13.0</b>

\* The CFR for this calculation includes capital expenditure to 31 March of each financial year.

- d) A key aspect of the regulatory and professional guidance is that elected members are aware of the size and scope of any commercial activity in relation to the authority's overall financial position. The capital expenditure figures shown in 3.1, 3.2 and 3.3, and the details above, demonstrate the scope of this activity and, by approving these figures, consider the scale proportionate to the Authority's remaining activity.

### 3.4 Statutory Repayment of Loans Fund Advances

- a) The Council is required to set out its policy for the statutory repayment of loans fund advances prior to the start of the financial year. The repayment of loans fund advances ensures that the Council makes a prudent provision each year to pay off an element of the accumulated loans fund advances made in previous financial years.

- b) A variety of options are provided to Councils so long as a prudent provision is made each year. The Council is recommended to approve the following policy on the repayment of loans fund advances:-

For loans fund advances made before 1 April 2016, the policy will be to maintain the practice of previous years and apply the **Statutory Method (option 1)**, with all loans fund advances being repaid in equal instalments of principal/ by the annuity method.

For loans fund advances made after 1 April 2016, the policy for the repayment of loans advances will be the:-

1. **Asset life method** – loans fund advances will be repaid with reference to the life of an asset using either the equal instalment or annuity method (option 3).

Under regulation 14 (2) of SSI 2016 No 123, the Council calculates the annuity rate based historic annuity rates to ensure that it is a prudent application and it is currently 4.01%.



## 4 Treasury Management Strategy

The capital expenditure plans set out in Section 3 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the relevant professional Codes, so that sufficient cash is available to meet this service activity and the Council's capital strategy. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury / prudential indicators, the current and projected debt positions and the annual investment strategy.

### 4.1 Current Portfolio Position

- a) The overall treasury management portfolio as at 31 March 2020 and for the position as at 31 December 2020 are shown below for both borrowing and investments.

<b>TREASURY PORTFOLIO</b>				
	actual <b>31.3.20</b> £000	actual <b>31.3.20</b> %	current <b>31.12.20</b> £000	current <b>31.12.20</b> %
<b>Treasury investments</b>				
banks	4,569	42%	4,568	29%
DMADF (H.M.Treasury)	0	0%	0	0%
money market funds	6,250	58%	11,000	71%
<b>Total managed in house</b>	<b>10,819</b>	<b>100%</b>	<b>15,568</b>	<b>100%</b>
<b>Total managed externally</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>
<b>Total treasury investments</b>	<b>10,819</b>	<b>100%</b>	<b>15,568</b>	<b>100%</b>
<b>Treasury external borrowing</b>				
local authorities	0	0%	0	0%
third party loans	600	0%	600	0%
PWLB	167,131	83%	166,369	83%
LOBOs	35,000	17%	35,000	17%
<b>Total external borrowing</b>	<b>202,731</b>	<b>100%</b>	<b>201,969</b>	<b>100%</b>
<b>Net treasury investments / (borrowing)</b>	<b>(191,912)</b>	<b>0</b>	<b>(186,401)</b>	<b>0</b>

- b) The Council's forward projections for borrowing are summarised below. The table shows the actual external debt, against the underlying capital borrowing need, (the Capital Financing Requirement - CFR), highlighting any over or under borrowing.

as at 31 March £m	Estimate				
	2020/21	2021/22	2022/23	2023/24	2024/25
<b>Borrowing</b>	217.0	235.2	272.4	322.8	361.5
<b>Other Long Term Liabilities</b>	97.6	93.5	89.5	85.5	81.3
<b>Total Gross Borrowing (Prudential Indicator PI-5)</b>	<b>314.6</b>	<b>328.7</b>	<b>361.9</b>	<b>408.3</b>	<b>442.8</b>
<b>Capital Financing Requirement*</b>	<b>420.4</b>	<b>473.3</b>	<b>507.8</b>	<b>520.8</b>	<b>520.0</b>
<b>(Under) / Over Borrowing (Prudential Indicator PI-6)</b>	<b>(105.8)</b>	<b>(144.6)</b>	<b>(145.9)</b>	<b>(112.5)</b>	<b>(77.2)</b>

\* The CFR for this calculation includes the current and two future years projected capital expenditure see 4.1b)

- c) Within the range of prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these (PI-6) is that the Council needs to ensure that its gross debt figure (shown above) does not, except in the short term, exceed the total of the CFR

in the preceding year plus the estimates of any additional CFR for 2021/22 and the following two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue or speculative purposes.

- d) The Council has complied with this prudential indicator in the current year and no difficulties are currently envisaged for the long term future. This view takes into account current commitments, existing plans, and the proposals in the Financial Plans for 2021/22.

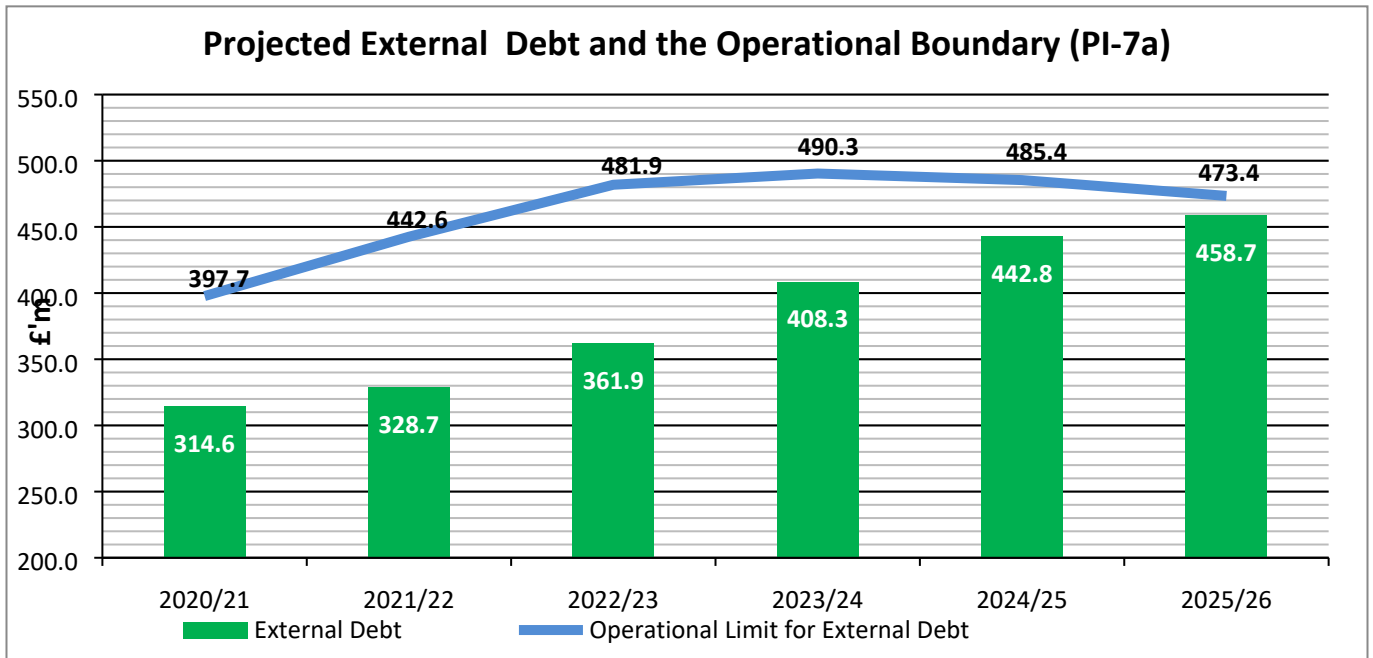
## 4.2 Treasury Indicators: Limits to Borrowing Activity

### The Operational Boundary (Prudential Indicator PI-7)

- a) This is the limit beyond which external borrowing is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt and the ability to fund under-borrowing by other cash resources.

Operational boundary £m	Estimate					
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
<b>Total Operational Boundary (PI-7a)</b>	<b>397.7</b>	<b>442.6</b>	<b>481.9</b>	<b>490.3</b>	<b>485.4</b>	<b>473.4</b>
Less: Other long term liabilities	(97.6)	(93.5)	(89.5)	(85.5)	(81.4)	(77.3)
<b>Operational Boundary exc. Other Long Term Liabilities (PI-7b)</b>	<b>300.1</b>	<b>349.1</b>	<b>392.4</b>	<b>404.8</b>	<b>404.0</b>	<b>396.1</b>

- b) The following chart shows how the current and projected Operational Borrowing limit compare with the anticipated levels of actual debt.



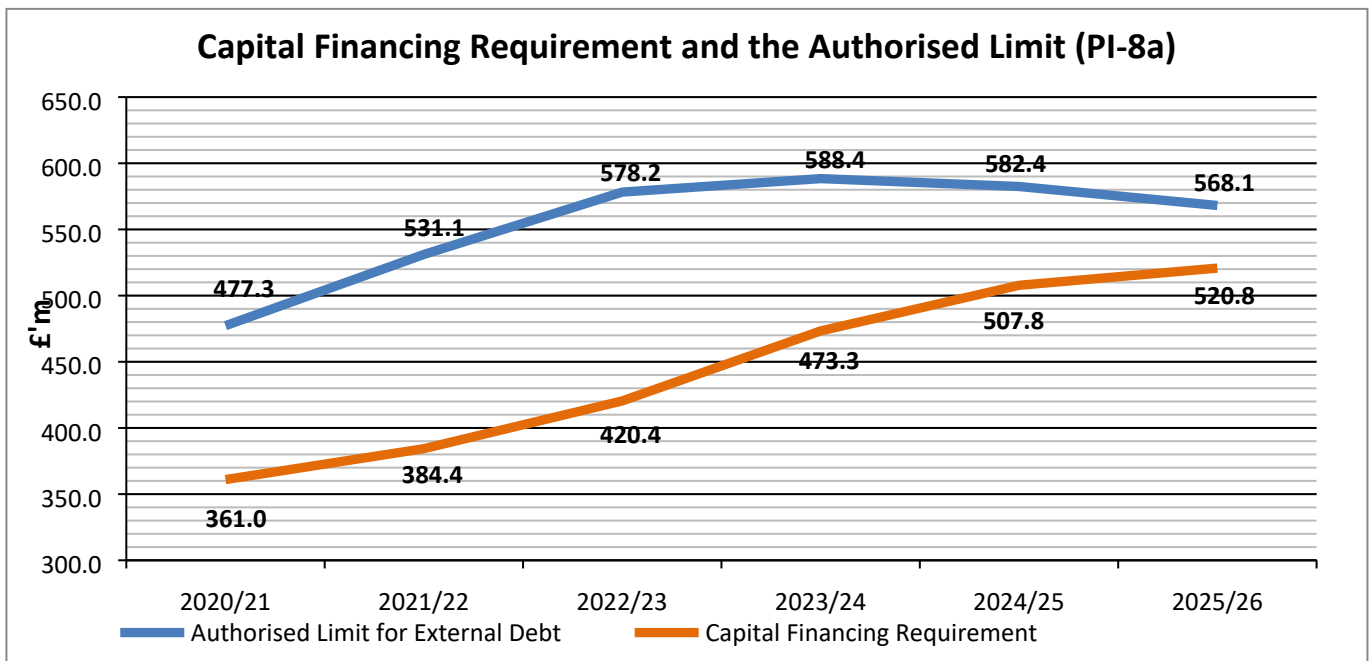
### The Authorised Limit for External Debt (Prudential Indicator PI-8)

- c) A further key prudential indicator represents a control on the maximum level of borrowing. This represents a legal limit beyond which external debt is prohibited, and this limit needs to be set or revised by the full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

- d) The authorised limits for external debt for the current year and two subsequent years are the legislative limits determined under Regulation 6(1) of the Local Authority (Capital Finance and Accounting) (Scotland) Regulations 2016.
- e) The Council is asked to approve the following authorised limit:

Authorised Limit £m	Estimate					
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
<b>Total Authorised Limit (PI-8a)</b>	<b>477.3</b>	<b>531.1</b>	<b>578.2</b>	<b>588.4</b>	<b>582.4</b>	<b>568.1</b>
Less: Other long term liabilities	(97.6)	(93.5)	(89.5)	(85.5)	(81.4)	(77.3)
<b>Authorised Limit exc. Other Long-Term Liabilities (PI-8b)</b>	<b>379.7</b>	<b>437.6</b>	<b>488.7</b>	<b>502.9</b>	<b>501.0</b>	<b>490.8</b>

- f) The chart on the below shows how the current and projected Capital Financing Requirement compares to the Authorised Limit for External Debt



### 4.3 Prospects for Interest Rates

- a) The Council has appointed Link Group as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. Link provided the following forecasts on 11.8.20. However, following the conclusion of the review of PWLB margins over gilt yields on 25.11.20, all forecasts below have been reduced by 1%. These are forecasts for certainty rates, gilt yields plus 80bps:

Link Group Interest Rate View		8.2.21											
	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
BANK RATE	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
6 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
12 month ave earnings	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20
5 yr PWLB	0.90	0.90	0.90	0.90	1.00	1.00	1.10	1.10	1.10	1.20	1.20	1.20	1.20
10 yr PWLB	1.30	1.30	1.30	1.30	1.40	1.40	1.50	1.50	1.50	1.60	1.60	1.60	1.60
25 yr PWLB	1.90	1.90	1.90	1.90	2.00	2.00	2.10	2.10	2.10	2.20	2.20	2.20	2.20
50 yr PWLB	1.70	1.70	1.70	1.70	1.80	1.80	1.90	1.90	1.90	2.00	2.00	2.00	2.00

- b) The coronavirus outbreak has done huge economic damage to the UK and economies around the world. After the Bank of England took emergency action in March to cut Bank Rate to first 0.25%, and then to 0.10%, it left Bank Rate unchanged at its subsequent meetings, including its last meeting on 4 February 2021, although some forecasters had suggested that a cut into negative territory could happen. However, at that last meeting, we were informed that financial institutions were not prepared for implementing negative rates. The Monetary Policy Committee (MPC), therefore, requested that the Prudential Regulation Authority require financial institutions to prepare for such implementation if, at any time in the future, the MPC may wish to use that as a new monetary policy tool. The MPC made it clear that this did not in any way imply that they were about to use this tool in the near future. As shown in the forecast table above, no increase in Bank Rate is expected in the near-term as it is unlikely that inflation will rise sustainably above 2% during this period so as to warrant increasing Bank Rate.
- c) There was much speculation during the second half of 2019 that bond markets were in a bubble which was driving bond prices up and yields down to historically very low levels. The context for that was a heightened expectation that the US could have been heading for a recession in 2020. In addition, there were growing expectations of a downturn in world economic growth, especially due to fears around the impact of the trade war between the US and China, together with inflation generally at low levels in most countries and expected to remain subdued. Combined, these conditions were conducive to very low bond yields. While inflation targeting by the major central banks has been successful over the last 30 years in lowering inflation expectations, the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers. This means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc.
- d) The consequence of this has been the gradual lowering of the overall level of interest rates and bond yields in financial markets over the last 30 years. Over the year prior to the coronavirus crisis, this has seen many bond yields up to 10 years turn negative in the Eurozone. In addition, there has, at times, been an inversion of bond yields in the US whereby 10 year yields have fallen below shorter term yields. In the past, this has been a precursor of a recession. The other side of this coin was that bond prices were elevated as investors would have been expected to be moving out of riskier assets i.e. shares, in anticipation of a downturn in corporate earnings and so selling out of equities.
- e) Gilt yields had, therefore, already been on a generally falling trend up until the coronavirus crisis hit western economies during March 2020. After gilt yields spiked up in March 2020, we have subsequently seen these yields fall sharply to unprecedented lows as investors panicked during March in selling shares in anticipation of impending recessions in western economies, and moved cash into safe haven assets i.e. government bonds. However, major western central banks took rapid action to deal with excessive stress in financial markets during March, and started massive quantitative easing purchases of government bonds: this also acted to put downward pressure on government bond yields at a time when there has been a huge and quick expansion of government expenditure financed by issuing government bonds. Such unprecedented levels of issuance in “normal” times would have caused bond yields to rise sharply. Gilt yields and PWLB rates have been at remarkably low rates so far during 2020/21.

- f) As the interest forecast table for PWLB certainty rates above shows, there is expected to be little upward movement in PWLB rates over the next two years as government bond yields of major countries around the world are expected to rise little during this time in an environment where central bank rates are also expected to remain low for some years; this is the result of a change of inflation targeting policy of central banks to one based on average inflation over a number of years. From time to time, gilt yields, and therefore PWLB rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment, (as shown on 9<sup>th</sup> November 2020 when the first results of a successful COVID-19 vaccine trial were announced). Such volatility could occur at any time during the forecast period.
- g) **Investment returns** are likely to remain exceptionally low during 2021/22 with little increase in the following two years.
- h) **Borrowing interest rates** fell to historically very low rates as a result of the COVID crisis and the quantitative easing operations of the Bank of England: indeed, gilt yields up to six years were negative during most of the first half of 2020/21; they jumped up after the Monetary Policy Report of 4<sup>th</sup> February 2021. The policy of avoiding new borrowing by running down spare cash balances has served local authorities well over the last few years.
- i) On 25.11.20, the Chancellor announced the conclusion to the review of margins over gilt yields for PWLB rates which had been increased by 100 bps in October 2019. The standard and certainty margins were reduced by 100 bps but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three-year capital programme. The new margins over gilt yields are as follows: -
- **PWLB Standard Rate** is gilt plus 100 basis points (G+100bps)
  - **PWLB Certainty Rate** is gilt plus 80 basis points (G+80bps)
  - **PWLB HRA Standard Rate** is gilt plus 100 basis points (G+100bps)
  - **PWLB HRA Certainty Rate** is gilt plus 80bps (G+80bps)
  - **Local Infrastructure Rate** is gilt plus 60bps (G+60bps)
- j) **Borrowing for capital expenditure.** As Link's long-term forecast for Bank Rate is 2.00%, and all PWLB rates are under 2.00%, there is now value in borrowing from the PWLB for all types of capital expenditure for all maturity periods, especially as current rates are near to historic lows. The Council will assess its risk appetite in conjunction with budgetary pressures to reduce total interest costs. Although short-term interest rates are cheapest, longer-term borrowing could also be undertaken for the purpose of certainty, where that is desirable, or for flattening the profile of a heavily unbalanced maturity profile..
- k) While this authority will not be able to avoid borrowing to finance new capital expenditure and to replace maturing debt, there will be a *cost of carry*, (the difference between higher borrowing costs and lower investment returns), to any new borrowing that causes a temporary increase in cash balances.

#### 4.4 Borrowing Strategy

- a) The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is still an issue that needs to be considered.
- b) Against this background and the risks within the economic forecast, caution will be adopted with the 2021/22 treasury operations. The Executive Director Finance & Regulatory will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:
- if it was felt that there was a significant risk of a sharp FALL in borrowing rates, (e.g. due to a marked increase of risks around relapse into recession or of risks of deflation), then borrowing will be postponed.

- if it was felt that there was a significant risk of a much sharper RISE in long and short term rates than that currently forecast, perhaps arising from an acceleration in the rate of increase in central rates in the USA and UK, an increase in world economic activity, or a sudden increase in inflation risks, then the portfolio position will be re-appraised. Most likely, fixed rate funding will be drawn whilst interest rates are lower than they are projected to be in the next few years.

- c) Any decisions will be reported to Members at the next available opportunity.

#### 4.5 Policy on borrowing in advance of need

- a) Borrowing in advance of need is defined as any borrowing undertaken by the local authority which will result in the total external debt of the local authority exceeding the capital financing requirement (CFR) of the local authority for the following twelve month period. This twelve month period is on a rolling twelve month basis.
- b) The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed.
- c) Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.
- d) The Executive Director Finance & Regulatory has the authority to borrow in advance of need under delegated power where, for instance, a sharp rise in interest rates is expected, and so borrowing early at fixed interest rates will be economically beneficial or meet budgetary constraints. The Executive Director Finance & Regulatory will adopt a cautious approach to any such borrowing and a business case to support the decision making process must consider:
- the benefits of borrowing in advance,
  - the risks created by additional levels of borrowing and investment, and
  - how far in advance it is reasonable to borrow considering the risks identified
- e) Any such advance borrowing should be reported through the mid-year or annual Treasury Management reporting mechanism.

#### 4.6 Debt Rescheduling

- a) Rescheduling of current borrowing in our debt portfolio is unlikely to occur as there is still a very large difference between premature redemption rates and new borrowing rates, even though the general margin of PWLB rates over gilt yields was reduced by 100 bps in November 2020.
- b) All rescheduling will be reported to the **Executive** at the earliest meeting following its action.

#### 4.7 New financial institutions as a source of borrowing and/or types of borrowing

- a) Currently the PWLB Certainty Rate is set at gilts + 80 basis points for both HRA and non-HRA borrowing. However, consideration may still need to be given to sourcing funding from the following sources for the following reasons:
- Local authorities (primarily shorter dated maturities out to 3 years or so – still cheaper than the Certainty Rate).
  - Financial institutions (primarily insurance companies and pension funds but also some banks, out of forward dates where the objective is to avoid a “cost of carry” or to achieve refinancing certainty over the next few years).
  - Municipal Bonds Agency (possibly still a viable alternative depending on market circumstances prevailing at the time).



- b)** Our advisors will keep us informed as to the relative merits of each of these alternative funding sources.

## 5 Investment Strategy

### 5.1 Investment Objectives and Policy

- a) The Council's investment policy implements the requirements of the following:-
- Local Government Investments (Scotland) Regulations 2010, (and accompanying Finance Circular 5/2010);
  - CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes 2017, ("the Code");
  - CIPFA Treasury Management Guidance Notes 2018.
- b) The Council's primary investment objectives are as follows, in order of importance:
- (i) The safeguarding or **security** of the re-payment of principal and interest of investments on a timely basis;
  - (ii) The **liquidity** of its investments;
  - (iii) The **returns on investments** that can be realised.

The Council will therefore aim to achieve the optimum return on its investments corresponding with proper levels of security and liquidity. The risk appetite of this Council is low in order to give priority to security of its investments. In the current economic climate it is considered appropriate to keep investments short term to cover cash flow needs, but also to seek out value available in periods up to 12 months with high credit rated financial institutions.

- c) Minimum acceptable **credit criteria** are applied in order to generate a list of highly creditworthy counterparties. This also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the short term and long-term ratings.
- d) **Other information:** ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To achieve this consideration the Council will engage with its advisors to maintain a monitor on market pricing such as "**credit default swaps**" and overlay that information on top of the credit ratings.
- e) **Other information sources** used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- f) This authority has defined the list of **types of investment instruments** that are permitted investments authorised for use in appendix D. Appendix F expands on the risks involved in each type of investment and the mitigating controls.
- g) **Lending limits**, (amounts and maturity), for each counterparty will be set through applying the matrix table in paragraph 5.3.
- h) This authority has engaged **external consultants**, (see paragraph 1.5), to provide expert advice on how to optimise an appropriate balance of security, liquidity and yield, given the risk appetite of this authority in the context of the expected level of cash balances and need for liquidity throughout the year
- i) All investments will be denominated in **sterling**.
- j) As a result of the change in accounting standards for 2021/22 under **IFRS 9**, this authority will consider the implications of investment instruments which could result in an adverse movement in the value of the amount invested and resultant charges at the end of the year to the General Fund.

- k) This authority will also pursue **value for money** in treasury management and will monitor the yield from investment income against appropriate benchmarks for investment performance, (see paragraph 5.6). Regular monitoring of investment performance will be carried out during the year.
- l) The above criteria are unchanged from last year.

## 5.2 Council Permitted Investments

The proposed criteria for permitted investments are shown in annex D approval.

## 5.3 Creditworthiness Policy

- a) This Council applies the creditworthiness service provided by the Link Group. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moody's and Standard and Poor's. The credit ratings of counterparties are supplemented with the following overlays:
- credit watches and credit outlooks from credit rating agencies;
  - Credit Default Swaps (CDS) spreads to give early warning of likely changes in credit ratings;
  - sovereign ratings to select counterparties from only the most creditworthy countries.
- b) This modelling approach combines credit ratings, credit watches and credit outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The Council will therefore use counterparties within the following durational bands:

Creditworthiness Colour Banding	Maximum Investment Duration
Yellow	5 years*
Dark pink	5 years for Ultra short dated bond funds with a credit score of 1.25
Light pink	5 years for Ultra short dated bond funds with a credit score of 1.5
Purple	2 years
Blue	1 year (only applies to nationalised or semi-nationalised UK Banks)
Orange	1 year
Red	6 months
Green	100 days
No colour	not to be used (ie don't invest)

Y	Pi1	Pi2	P	B	O	R	G	N/C
1	1.25	1.5	2	3	4	5	6	7
Up to 5yrs	Up to 5yrs	Up to 5yrs	Up to 2yrs	Up to 1yr	Up to 1yr	Up to 6mths	Up to 100days	No Colour

- c) The Link creditworthiness service uses a wider array of information than just primary ratings. Furthermore, by using a risk weighted scoring system, it does not give undue preponderance to just one agency's ratings.
- d) Typically the minimum credit ratings criteria the Council use will be a Short Term rating (Fitch or equivalents) of F1 and a Long Term rating of A-. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.
- e) All credit ratings will be monitored on a real time basis. The Council is alerted to changes to ratings of all three agencies through its use of a creditworthiness service provided by the Link Group.

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
  - in addition to the use of credit ratings the Council will be advised of information in movements in credit default swap spreads against the iTraxx benchmark and other market data on a daily basis via its Passport website, provided exclusively to it by Link. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.
- f) Sole reliance will not be placed on the use of this external service. In addition this Council will also use market data and market information, information on sovereign support for banks and the credit ratings of that supporting government.
- g) Although the credit rating agencies changed their outlook on many UK banks from stable to negative outlook during the quarter ended 30<sup>th</sup> June 2020 due to upcoming risks to banks' earnings and asset quality during the economic downturn caused by the pandemic, the majority of ratings were affirmed due to the continuing strong credit profiles of UK banks. However, during Q1 and Q2 2020, banks made provisions for *expected* credit losses and the rating changes reflected these provisions. As we move into the next quarters ahead, more information will emerge on *actual* levels of credit losses. (Quarterly performance is normally announced in the second half of the month following the end of the quarter.) This has the potential to cause rating agencies to revisit their initial rating adjustments earlier in the current year. These adjustments could be negative or positive, although it should also be borne in mind that UK banks went into this pandemic with strong balance sheets. Indeed, the Financial Policy Committee (FPC) report on 6<sup>th</sup> August revised down their expected credit losses for the banking sector to "somewhat less than £80bn". They stated that in their assessment, "banks have buffers of capital more than sufficient to absorb the losses that are likely to arise under the MPC's central projection". The FPC stated that for real stress in the sector, the economic output would need to be twice as bad as the MPC's projection, with unemployment rising to above 15%.
- h) All three rating agencies have reviewed banks around the world with similar results in many countries of most banks being placed on negative watch, but with a small number of actual downgrades.
- i) Although bank CDS prices, (these are market indicators of credit risk), spiked upwards at the end of March / early April 2020 due to the heightened market uncertainty and ensuing liquidity crisis that affected financial markets, they have returned to more average levels since then. Nevertheless, prices are still elevated compared to end-February 2020. Pricing is likely to remain volatile as uncertainty continues. However, sentiment can easily shift, so it will remain important to undertake continual monitoring of all aspects of risk and return in the current circumstances. Link monitor CDS prices as part of their creditworthiness service to local authorities and the Council has access to this information via its Link-provided Passport portal.

#### 5.4 Country and Sector Considerations

- a) Due care will be taken to consider the country and sector exposure of the Council's investments.

##### Country Limits

- b) If the institution is non-UK, then the country in which it is domiciled must have a minimum Sovereign long term rating of AA-.
- c) No more than **10%** will be placed with any non-UK country at any time.

##### Institutional Sector Limits

- d) These institutions must either be UK Local Authorities or UK Incorporated Institutions, UK Banks and Building Societies incorporated in the European Economic Area entitled to accept deposits through a branch in the UK. The Council may also use the UK Government including in the form of gilts and the Debt Management Account Deposit Facility (DMADF).

- e) Limits will be applied to the overall amount lent out to any one sector at any one time in order to limit sector specific exposure risk, as follows:

<b>UK Building Societies</b>	<b>£25 m</b>
<b>Banks</b>	<b>£35 m</b>
<b>UK Local Authorities</b>	<b>£40 m</b>
<b>UK Government Debt Management Office</b>	<b>£unlimited</b>
<b>UK Gilts and Treasury Bills</b>	<b>£20 m</b>
<b>Institutions covered by Government Guarantee</b>	<b>£10 m</b>
<b>Part Nationalised Banks</b>	<b>£35 m</b>
<b>Money Market Funds (AAA)</b>	<b>£25 m</b>

These limits will be monitored regularly for appropriateness.

### Group Limits

- g) Limits will be applied to the overall amount lent out to institutions within the same group at any one time in order to limit group specific exposure risk, as follows, and subject to the parent company appearing on Link Groups' creditworthiness list:

<b>Group of Banks</b>	<b>£10m</b>
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### Council's Own Banker

- h) The Council's own banker (currently Royal Bank of Scotland) will be maintained on the Council's counterparty list in situations where rating changes may mean this is below the above criteria. This is to allow the Council to continue to operate normal current account banking facilities and overnight and short-term investment facilities. However, in the event that the rating does change below the criteria, officers will review the situation carefully and identify any appropriate action required to manage the risk that this change creates for the Council.

## 5.5 Individual Institution Monetary Limits

- a) The monetary limits for institutions on the Council's Counterparty List are as follows:

	Money Limit
UK Building Societies	£5m
Banks	£5m
UK Local Authorities (i)	£40m
UK Government Debt Management Office	Unlimited
UK Gilts & Treasury Bills	£20m
Government Guaranteed Institutions	£2m
AAA rated Money Market Funds	£5m
Council's Own Banker (ii)	£5m

- (i) No individual limit will be applied on lending to a UK local authority, other than it must not exceed the relevant sector limit of £40m.

(ii) Further to Sections 5.4 and 5.5, in the event that the rating of the Council’s own banker falls below the criteria, the time limit on money deposited with the bank will be reduced to an overnight basis.

b) As mentioned earlier, the treasury function manages the funds of the Council, any subsidiary organisations, the Pension Fund and the Common Good and Trust Funds. When applying the limits set out in the table above, these limits will apply to the cumulative investment with an institution from the Council, the Pension Fund and the Common Good Funds and Trust Funds.

**5.6 Types of Investments**

a) For institutions on the approved counterparty list, investments will be restricted to safer instruments (such as deposits). Currently this involves the use of money market funds, the DMADF and institutions with higher credit ratings than the minimum permissible rating outlined in the investment strategy, as well as the Council’s own bank.

b) Where appropriate, investments will be made through approved brokers. The current list of approved brokers comprises:

- ICAP Securities Limited
- Sterling International Brokers Limited
- Tradition (UK) Limited

**5.7 Investment Strategy and bank rate projections**

**In-house funds**

a) Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months). Greater returns are usually obtainable by investing for longer periods. While most cash balances are required in order to manage the ups and downs of cash flow, where cash sums can be identified that could be invested for longer periods, the value to be obtained from longer term investments will be carefully assessed.

- If it is thought that Bank Rate is likely to rise significantly within the time horizon being considered, then consideration will be given to keeping most investments as being short term or variable.
- Conversely, if it is thought that Bank Rate is likely to fall within that time period, consideration will be given to locking in higher rates currently obtainable, for longer periods.

**Investment returns expectations**

b) Bank Rate is unlikely to rise from 0.10% for a considerable period. It is very difficult to say when it may start rising so it may be best to assume that investment earnings from money market-related instruments will be sub 0.50% for the foreseeable future.

c) The suggested budgeted investment earnings rates for returns on investments placed for periods up to about three months during each financial year are as follows (the long term forecast is for periods over 10 years in the future):

Average earnings in each year	
2020/21	0.10%
2021/22	0.10%
2022/23	0.10%
2023/24	0.10%
2024/25	0.25%
Long term later years	2.00%



- d) The overall balance of risks to economic growth in the UK is probably now skewed to the upside, but is subject to major uncertainty due to the virus and how quickly successful vaccines may become available and widely administered to the population. It may also be affected by what, if any, deal the UK agrees as part of Brexit.
- e) There is relatively little UK domestic risk of increases or decreases in Bank Rate and significant changes in shorter term PWLB rates. The Bank of England has effectively ruled out the use of negative interest rates in the near term and increases in Bank Rate are likely to be some years away given the underlying economic expectations. However, it is always possible that safe haven flows, due to unexpected domestic developments and those in other major economies, or a return of investor confidence in equities, could impact gilt yields, (and so PWLB rates), in the UK.
- f) While the Bank of England said in August / September 2020 that it is unlikely to introduce a negative Bank Rate, at least in the next 6 -12 months, and in November omitted any mention of negative rates in the minutes of the meeting of the Monetary Policy Committee, some deposit accounts are already offering negative rates for shorter periods. As part of the response to the pandemic and lockdown, the Bank and the Government have provided financial markets and businesses with plentiful access to credit, either directly or through commercial banks. In addition, the Government has provided large sums of grants to local authorities to help deal with the COVID crisis; this has caused some local authorities to have sudden large increases in cash balances searching for an investment home, some of which was only very short term until those sums were able to be passed on.
- g) As for money market funds (MMFs), yields have continued to drift lower. Some managers have already resorted to trimming fee levels to ensure that net yields for investors remain in positive territory where possible and practical. Investor cash flow uncertainty, and the need to maintain liquidity in these unprecedented times, has meant there is a surfeit of money swilling around at the very short end of the market. This has seen a number of market operators, now including the DMADF, offer nil or negative rates for very short term maturities. This is not universal, and MMFs are still offering a marginally positive return, as are a number of financial institutions for investments at the very short end of the yield curve.
- h) Inter-local authority lending and borrowing rates have also declined due to the surge in the levels of cash seeking a short-term home at a time when many local authorities are probably having difficulties over accurately forecasting when disbursements of funds received will occur or when further large receipts will be received from the Government.

### Investment Treasury Indicator and Limit (Treasury Indicator TI-5)

- i) Total principal funds invested for greater than 365 days. These limits are set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment, and are based on the availability of funds after each year end.

The Council is asked to approve the treasury indicator and limit:

Maximum principal sums invested for longer than 365 days (TI-5)					
£m	2018/19	2019/20	2020/21	2021/22	2022/23
Principal sums invested for longer than 365 days	20%	20%	20%	20%	20%

- j) For positive cash balances and in order to maintain liquidity, the Council will seek to use overnight investment accounts, short term (< 1 month) notice accounts, money market funds and short-dated deposits (overnight to three months).

## 5.8 Investment Risk Benchmarking

These benchmarks are simple guides to maximum risk, so they may be breached from time to time, depending on movements in interest rates and counterparty criteria. The purpose of the benchmark is that officers will monitor the current and trend position and amend the operational strategy to manage risk as conditions change. Any breach of the benchmarks will be reported, with supporting reasons in the mid-year or Annual Report.

### a) Security

The Council's **maximum** security risk benchmark for the current portfolio, when compared to historic default tables, is:

**0.04% historic risk of default when compared to the whole portfolio.**

### b) Liquidity

In respect of this area the Council seeks to maintain:

- Bank Overdraft: £250,000
- Liquid short term deposits of at least £1,500,000 available with a week's notice.
- Weighted Average Life benchmark is **expected to be 0.5 years** (equivalent to an weighted average life of 6 months), with a **maximum of 1.00 years**

### c) Yield

Local measures of yield benchmarks are:

Investments – **Internal returns above the 7 day LIBID rate**

The Council is appreciative that the provision of LIBOR and associated LIBID rates is expected to cease at the end of 2021. It will work with its advisors in determining suitable replacement investment benchmark(s) ahead of this cessation and will report back to members accordingly.

- d) At the end of the financial year, the Executive Director Finance & Regulatory will report on its investment activity as part of the Annual Treasury Report.

## 6 Performance Indicators

**6.1** The CIPFA Code requires the Council to set performance indicators to assess the adequacy of the treasury function over the year. These are distinct historic indicators, as opposed to the prudential indicators, which are predominantly forward looking.

### 6.2 Debt Performance Indicators

- (i) Average “Pool Rate” charged by the Loans Fund compared to Scottish Local Authority average Pool Rate.

Target is to be at or below the Scottish Average for 2020/21.

- (ii) Average borrowing rate movement year on year

Target is to maintain or reduce the average borrowing rate for the Council versus 2020/21.

**6.3 Investment Risk Benchmark Indicators** for Security, Liquidity and Yield, as set out in paragraph 5.8.

### 6.4 Loans Charges

- a) Loans Charges for 2021/22 are expected to be at or below the Revenue Budget estimate contained in the Council’s Financial Plans to be approved in February 2021, which are estimated as follows:

£m	2021/22	2022/23	2023/24	2024/25	2025/26
Interest on Borrowing	12.0	13.1	14.2	13.8	13.0
Investment income	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)
Capital Repayments	7.6	8.0	8.8	9.9	10.7
<b>Total Loan Charges *</b>	<b>19.5</b>	<b>21.0</b>	<b>22.9</b>	<b>23.6</b>	<b>23.6</b>

*\*The Loan Charges exclude the capital element of PPP repayments.*

- b) The above budget excludes the revenue impact of funding the cost of the NHT and the lending to RSLs and lending in respect of the Council-led house building programme with the Scottish Futures Trust, as these are assumed to be revenue neutral overall.

**6.5** The indicators, based on actual performance for the year, will be included in the Treasury Management Annual Report for 2021/22.

# ANNEXES

## ANNEX A SUMMARY OF PRUDENTIAL AND TREASURY INDICATORS

Indicator Ref.	Indicator	Page Ref.	2020/21	2021/22	2022/23	2023/24	2024/25
<b>PRUDENTIAL INDICATORS</b>							
<b>Capital Expenditure Indicator</b>							
PI-1	Capital Expenditure Limits (£m)	6	64.3	87.4	99.2	122.7	89.4
PI-2	Capital Financing Requirement (CFR) (£m)	8	361.0	384.4	420.4	473.3	507.8
<b>Affordability Indicator</b>							
PI-3	Ratio of Financing Costs to Net Revenue (inc. PPP repayment costs)	24	8.9%	8.7%	9.2%	9.8%	9.9%
PI-4	Incremental (Saving)/Cost Impact of Capital Investment Decisions on Council Tax	24	£(0.03)	£0.01	£0.01	£0.01	£0.01
<b>External Debt Indicators</b>							
PI-5	Actual Debt (£m)	9	314.6	328.7	361.9	408.3	442.8
PI-7a	Operational Boundary (inc. Other Long Term Liabilities) (£m)	10	397.7	442.6	481.9	490.3	485.4
PI-7b	Operational Boundary (exc. Other Long Term Liabilities) (£m)	10	300.1	349.1	392.4	404.8	404.0
PI-8a	Authorised Limit (inc. Other Long Term Liabilities) (£m)	11	477.3	531.1	578.2	588.4	582.4
PI-8b	Authorised Limit (exc. Other Long Term Liabilities) (£m)	11	379.7	437.6	488.7	502.9	501.0
<b>Indicators of Prudence</b>							
PI-6	(Under)/Over Gross Borrowing against the CFR (£m)	9	(105.8)	(144.6)	(145.9)	(112.5)	(77.2)
<b>TREASURY INDICATORS</b>							
TI-1	Upper Limit to Fixed Interest Rates based on Net Debt (£m)	25	397.7	442.6	481.9	490.3	485.4
TI-2	Upper Limit to Variable Interest Rates based on Net Debt (£m)	25	139.2	154.9	168.6	171.6	169.9
TI-3	Maturity Structure of Fixed Interest Rate Borrowing 2020/21	25	<b>Lower</b>		<b>Upper</b>		
	Under 12 months		0%		20%		
	12 months to 2 years		0%		20%		
	2 years to 5 years		0%		20%		
	5 years to 10 years		0%		20%		
	10 years and above		20%		100%		
TI-5	Maximum Principal Sum invested greater than 365 days	20	20%	20%	20%	20%	20%

Further prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances. The updated indicators are as follows:

### Ratio of financing costs to net revenue stream (Prudential Indicator PI-3)

This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs, net of investment income) against the net revenue stream.

%	Actual	Estimate				
	19/20	20/21	21/22	22/23	23/24	24/25
<b>Ratio of Financing Costs to Net Revenue Stream (PI-3)</b> <i>(inc. PPP repayment costs)</i>	8.8%	8.9%	8.7%	9.2%	9.8%	9.9%

The estimates of financing costs include current commitments and the proposals in the Financial Plans for 2021/22. The movements in the above ratio from 2020/21 onwards reflect a real-time reduction in overall financial resources available to the Council.

### Incremental impact of capital investment decisions on council tax (Prudential Indicator PI-4)

This indicator identifies the revenue costs associated with the operational three year capital programme detailed in this budget report compared to the Council's existing approved commitments and current plans. The assumptions are based on the budget, but will invariably include some estimates, such as the level of Government support, which are not published over a three year period.

£	Estimate				
	2021/22	2022/23	2023/24	2024/25	2025/26
<b>Incremental (Saving)/Cost Impact of Capital Investment Decisions on the Band D Council Tax (PI-4)</b>	£(0.03)	£0.01	£0.01	£0.01	£0.01

### Treasury Management Limits on Activity

There are three debt related treasury activity limits. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive, they will impair the opportunities to reduce costs / improve performance. The indicators are:

**(i) Upper limits on fixed interest rate exposure (Treasury Indicator TI-1)**

This identifies a maximum limit for borrowing exposure to fixed interest rates, based on the debt position net of investments.

**(ii) Upper limits on variable interest rate exposure (Treasury Indicator TI-2)**

This identifies a maximum limit for borrowing exposure to variable interest rates based upon the debt position net of investments.

**(iii) Maturity structure of borrowing (Treasury Indicator TI-3)**

These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits.



(iv) The following table highlights the proposed treasury indicators and limits:

£m	2020/21	2021/22	2022/23	2023/24	2024/25
<b>Interest rate exposures</b>					
	<b>Upper</b>	<b>Upper</b>	<b>Upper</b>	<b>Upper</b>	<b>Upper</b>
<b>Limits on fixed interest rates based on net debt (TI-1)</b>	397.7	442.6	481.9	490.3	485.4
<b>Limits on variable interest rates based on net debt (TI-2)</b>	139.2	154.9	168.6	171.6	169.9
<b>Maturity Structure of fixed interest rate borrowing 2020/21 (TI-3)</b>					
		<b>Lower</b>		<b>Upper</b>	
Under 12 months		0%		20%	
12 months to 2 years		0%		20%	
2 years to 5 years		0%		20%	
5 years to 10 years		0%		20%	
10 years and above		20%		100%	

## ANNEX B: INTEREST RATE FORECASTS 2020-24

The PWLB rates below are based on the new margins over gilts announced on 26<sup>th</sup> November 2020.

[PWLB rates and forecast shown below have taken into account the 20 basis point certainty rate reduction effective as of the 1st November 2012.]

Link Group Interest Rate View		8.2.21											
	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
<b>BANK RATE</b>	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
6 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
12 month ave earnings	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20
5 yr PWLB	0.90	0.90	0.90	0.90	1.00	1.00	1.10	1.10	1.10	1.20	1.20	1.20	1.20
10 yr PWLB	1.30	1.30	1.30	1.30	1.40	1.40	1.50	1.50	1.50	1.60	1.60	1.60	1.60
25 yr PWLB	1.90	1.90	1.90	1.90	2.00	2.00	2.10	2.10	2.10	2.20	2.20	2.20	2.20
50 yr PWLB	1.70	1.70	1.70	1.70	1.80	1.80	1.90	1.90	1.90	2.00	2.00	2.00	2.00
<b>Bank Rate</b>													
Link	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
Capital Economics	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	-	-	-	-	-
<b>5yr PWLB Rate</b>													
Link	0.90	0.90	0.90	0.90	1.00	1.00	1.10	1.10	1.10	1.20	1.20	1.20	1.20
Capital Economics	0.90	0.90	0.90	1.00	1.00	1.00	1.00	1.00	-	-	-	-	-
<b>10yr PWLB Rate</b>													
Link	1.30	1.30	1.30	1.30	1.40	1.40	1.50	1.50	1.50	1.60	1.60	1.60	1.60
Capital Economics	1.30	1.30	1.30	1.30	1.30	1.30	1.30	1.30	-	-	-	-	-
<b>25yr PWLB Rate</b>													
Link	1.90	1.90	1.90	1.90	2.00	2.00	2.10	2.10	2.10	2.20	2.20	2.20	2.20
Capital Economics	1.80	1.80	1.80	1.80	1.80	1.80	1.80	1.80	-	-	-	-	-
<b>50yr PWLB Rate</b>													
Link	1.70	1.70	1.70	1.70	1.80	1.80	1.90	1.90	1.90	2.00	2.00	2.00	2.00
Capital Economics	1.70	1.70	1.70	1.70	1.70	1.70	1.70	1.70	-	-	-	-	-

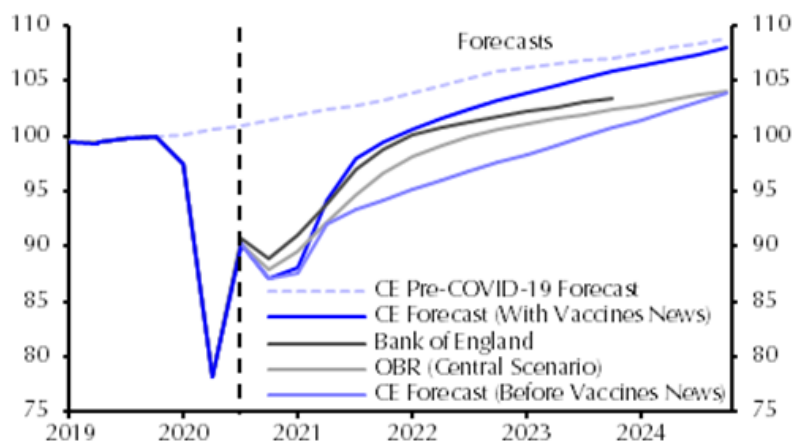
Source: Link Asset Services, December 2020

## ANNEX C Economic Background

- **UK.** The key quarterly meeting of the Bank of England Monetary Policy Committee kept **Bank Rate** unchanged on 5.11.20. However, it revised its economic forecasts to take account of a second national lockdown from 5.11.20 to 2.12.20 which is obviously going to put back economic recovery and do further damage to the economy. It therefore decided to do a further tranche of **quantitative easing (QE) of £150bn**, to start in January when the current programme of £300bn of QE, announced in March to June, runs out. It did this so that “announcing further asset purchases now should support the economy and help to ensure the unavoidable near-term slowdown in activity was not amplified by a tightening in monetary conditions that could slow the return of inflation to the target”.
- Its forecasts appeared, at the time, to be rather optimistic in terms of three areas:
  - The economy would recover to reach its pre-pandemic level in Q1 2022
  - The Bank also expected there to be excess demand in the economy by Q4 2022.
  - CPI inflation was therefore projected to be a bit above its 2% target by the start of 2023 and the “inflation risks were judged to be balanced”.
- Significantly, there was no mention of **negative interest rates** in the minutes or Monetary Policy Report, suggesting that the MPC remains some way from being persuaded of the case for such a policy, at least for the next 6 -12 months. However, rather than saying that it “stands ready to adjust monetary policy”, the MPC this time said that it will take “whatever additional action was necessary to achieve its remit”. The latter seems stronger and wider and may indicate the Bank’s willingness to embrace new tools.
- One key addition to **the Bank’s forward guidance in August** was a new phrase in the policy statement, namely that “it does not intend to tighten monetary policy until there is clear evidence that significant progress is being made in eliminating spare capacity and achieving the 2% target sustainably”. That seems designed to say, in effect, that even if inflation rises to 2% in a couple of years’ time, do not expect any action from the MPC to raise Bank Rate – until they can clearly see that level of inflation is going to be persistently above target if it takes no action to raise Bank Rate. Our Bank Rate forecast currently shows no increase, (or decrease), through to quarter 1 2024 but there could well be no increase during the next five years as it will take some years to eliminate spare capacity in the economy, and therefore for inflationary pressures to rise to cause the MPC concern. **Inflation** is expected to briefly peak at just over 2% towards the end of 2021, but this is a temporary short lived factor due to base effects from twelve months ago falling out of the calculation, and so is not a concern. Looking further ahead, it is also unlikely to be a problem for some years as it will take a prolonged time for spare capacity in the economy, created by this downturn, to be used up.
- **Public borrowing** was forecast in November by the Office for Budget Responsibility (the OBR) to reach £394bn in the current financial year, the highest ever peace time deficit and equivalent to 19% of GDP. In normal times, such an increase in total gilt issuance would lead to a rise in gilt yields, and so PWLB rates. However, the QE done by the Bank of England has depressed gilt yields to historic low levels, (as has similarly occurred with QE and debt issued in the US, the EU and Japan). This means that new UK debt being issued, and this is being done across the whole yield curve in all maturities, is locking in those historic low levels through until maturity. In addition, the UK has one of the longest average maturities for its entire debt portfolio, of any country in the world. Overall, this means that the total interest bill paid by the Government is manageable despite the huge increase in the total amount of debt. The OBR was also forecasting that the government will still be running a budget deficit of £102bn (3.9% of GDP) by 2025/26. However, initial impressions are that they have taken a pessimistic view of the impact that vaccines could make in the speed of economic recovery.

- Overall, **the pace of recovery** was not expected to be in the form of a rapid V shape, but a more elongated and prolonged one. The initial recovery was sharp after quarter 1 saw growth at -3.0% followed by -18.8% in quarter 2 and then an upswing of +16.0% in quarter 3; this still left the economy 8.6% smaller than in Q4 2019. While the one month second national lockdown that started on 5<sup>th</sup> November caused a further contraction of 5.7% m/m in November, this was much better than had been feared and showed that the economy is adapting to new ways of working. This left the economy 'only' 8.6% below the pre-crisis level.
- **Vaccines – the game changer.** The Pfizer announcement on 9<sup>th</sup> November of a successful vaccine has been followed by approval of the Oxford University/AstraZeneca and Moderna vaccines. The Government has set a target to vaccinate 14 million people in the most at risk sectors of the population by 15<sup>th</sup> February; as of mid-January, it has made good, and accelerating progress in hitting that target. The aim is to vaccinate all adults by September. This means that the national lockdown starting in early January, could be replaced by regional tiers of lighter restrictions, beginning possibly in Q2. At that point, there would be less reason to fear that hospitals could become overwhelmed any more. Effective vaccines have radically improved the economic outlook so that it may now be possible for GDP to recover to its pre-virus level as early as Q1 2022. These vaccines have enormously boosted confidence that **life could largely return to normal during the second half of 2021**. With the household saving rate having been exceptionally high since the first lockdown in March, there is plenty of pent-up demand and purchasing power stored up for when life returns to normal.
- Provided that both monetary and fiscal policy are kept loose for a few years yet, then it is still possible that in the second half of this decade, the economy may be no smaller than it would have been if COVID-19 never happened. The significant risk is if another mutation of COVID-19 appears that defeats the current batch of vaccines. However, now that science and technology have caught up with understanding this virus, new vaccines ought to be able to be developed more quickly to counter such a development, and vaccine production facilities are being ramped up around the world.

Chart: Level of real GDP (Q4 2019 = 100)

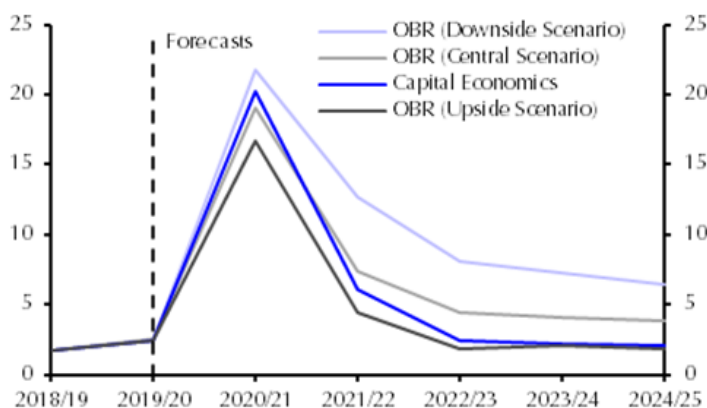


*(if unable to print in colour..... the key describing each line in the above graph is in sequential order from top to bottom in parallel with the lines in the graph.)*

This recovery of growth which eliminates the effects of the pandemic by about the middle of the decade, would have major repercussions for public finances as it would be consistent with the government deficit falling to around 2.5% of GDP without any tax increases. This would be in line with the OBR's most optimistic forecast in the graph below, rather than their current central scenario which predicts a 4% deficit due to assuming much slower growth. However, Capital Economics

forecasts assumed that politicians do not raise taxes or embark on major austerity measures and so, (perversely!), depress economic growth and recovery.

Chart: Public Sector Net Borrowing (As a % of GDP)



*(if unable to print in colour..... the key describing each line in the above graph is in sequential order from top to bottom in parallel with the lines in the graph.*

- There will still be some **painful longer term adjustments** as e.g. office space and travel by planes, trains and buses may not recover to their previous level of use for several years, or possibly ever, even if vaccines are fully successful in overcoming the current virus. There is also likely to be a **reversal of globalisation** as this crisis has exposed how vulnerable long-distance supply chains are. On the other hand, **digital services** are one area that has already seen huge growth.
- **Brexit.** The final agreement of a trade deal on 24.12.20 has eliminated a significant downside risk for the UK economy. The initial agreement only covers trade so there is further work to be done on the services sector where temporary equivalence has been granted in both directions between the UK and EU; that now needs to be formalised on a permanent basis. As the forecasts in this report were based on an assumption of a Brexit agreement being reached, there is no need to amend these forecasts.
- **Monetary Policy Committee meeting of 17 December.** All nine Committee members voted to keep interest rates on hold at +0.10% and the Quantitative Easing (QE) target at £895bn. The MPC commented that the successful rollout of vaccines had reduced the downsides risks to the economy that it had highlighted in November. But this was caveated by it saying, “Although all members agreed that this would reduce downside risks, they placed different weights on the degree to which this was also expected to lead to stronger GDP growth in the central case.” So, while vaccines are a positive development, in the eyes of the MPC at least, the economy is far from out of the woods in the shorter term. The MPC, therefore, voted to extend the availability of the Term Funding Scheme, (cheap borrowing), with additional incentives for small and medium size enterprises for six months from 30.4.21 until 31.10.21. (The MPC had assumed that a Brexit deal would be agreed).
- **Fiscal policy.** In the same week as the MPC meeting, the Chancellor made a series of announcements to provide further support to the economy:-
  - An extension of the COVID-19 loan schemes from the end of January 2021 to the end of March.
  - The furlough scheme was lengthened from the end of March to the end of April.
  - The Budget on 3.3.21 will lay out the “next phase of the plan to tackle the virus and protect jobs”. This does not sound like tax rises are imminent, (which could hold back the speed of economic recovery).
- The **Financial Policy Committee (FPC)** report on 6.8.20 revised down their expected credit losses for the banking sector to “somewhat less than £80bn”. It stated that in its assessment, “banks have buffers of capital more than sufficient to absorb the losses that are likely to arise under the MPC’s

central projection". The FPC stated that for real stress in the sector, the economic output would need to be twice as bad as the MPC's projection, with unemployment rising to above 15%.

**US.** The Democrats gained the presidency and a majority in the House of Representatives in the November elections: after winning two key Senate seats in Georgia in elections in early January, they now also have a very slim majority in the Senate due to the vice president's casting vote. President Biden will consequently have a much easier path to implement his election manifesto. However, he will not have a completely free hand as more radical Democrat plans may not be supported by all Democrat senators. His initial radical plan for a fiscal stimulus of \$1.9trn, (9% of GDP), is therefore likely to be toned down in order to get through both houses.

**The economy** had been recovering quite strongly from its contraction in 2020 of 10.2% due to the pandemic with GDP only 3.5% below its pre-pandemic level and the unemployment rate dropping below 7%. However, the rise in new cases during quarter 4, to the highest level since mid-August, suggests that the US could be in the early stages of a fourth wave. The latest upturn poses a threat that the recovery in the economy could stall. This is **the single biggest downside risk** to the shorter term outlook – a more widespread and severe wave of infections over the winter months, which is compounded by the impact of the regular flu season and, as a consequence, threatens to overwhelm health care facilities. Under those circumstances, individual states might feel it necessary to return to more draconian lockdowns.

The restrictions imposed to control the spread of the virus are once again weighing on the economy with employment growth slowing sharply in November and declining in December, and retail sales dropping back. The economy is set for further weakness into the spring. **GDP growth** is expected to rebound markedly from the second quarter of 2021 onwards as vaccines are rolled out on a widespread basis and restrictions are loosened.

After Chair Jerome Powell unveiled the **Fed's adoption of a flexible average inflation target** in his Jackson Hole speech in late August 2020, the mid-September meeting of the Fed agreed by a majority to a toned down version of the new inflation target in his speech - that *"it would likely be appropriate to maintain the current target range until labour market conditions were judged to be consistent with the Committee's assessments of maximum employment and inflation had risen to 2% and was on track to moderately exceed 2% for some time."* This change was aimed to provide more stimulus for economic growth and higher levels of employment and to avoid the danger of getting caught in a deflationary "trap" like Japan. It is to be noted that inflation has actually been under-shooting the 2% target significantly for most of the last decade, (and this year), so financial markets took note that higher levels of inflation are likely to be in the pipeline; long-term bond yields duly rose after the meeting. The FOMC's updated economic and rate projections in mid-September showed that officials expect to leave the fed funds rate at near-zero until at least end-2023 and probably for another year or two beyond that. There is now some expectation that where the Fed has led in changing its inflation target, other major central banks will follow. The increase in tension over the last year between the US and China is likely to lead to a lack of momentum in progressing the initial positive moves to agree a phase one trade deal.

The Fed's meeting on **5 November** was unremarkable - but at a politically sensitive time around the elections. At its **16 December** meeting the Fed tweaked the guidance for its monthly asset quantitative easing purchases with the new language implying those purchases could continue for longer than previously believed. Nevertheless, with officials still projecting that **inflation** will only get back to 2.0% in 2023, the vast majority expect the Fed funds rate to be still at near-zero until 2024 or later. Furthermore, officials think the balance of risks surrounding that median inflation forecast are firmly skewed to the downside. The key message is still that policy will remain unusually accommodative – with near-zero rates and asset purchases – continuing for several more years. This is likely to result in keeping Treasury yields low – which will also have an influence on gilt yields in this country.

**EU.** In early December, the figures for Q3 GDP confirmed that the economy staged a rapid rebound from the first lockdowns. This provides grounds for optimism about growth prospects for next year. In Q2, GDP was 15% below its pre-pandemic level. But in Q3 the economy grew by 12.5% q/q



leaving GDP down by “only” 4.4%. That was much better than had been expected earlier in the year. However, growth is likely to stagnate during Q4 and in Q1 of 2021, as a second wave of the virus has seriously affected many countries. The €750bn fiscal support package eventually agreed by the EU after prolonged disagreement between various countries, is unlikely to provide significant support, and quickly enough, to make an appreciable difference in the countries most affected by the first wave.

With **inflation** expected to be unlikely to get much above 1% over the next two years, **the ECB** has been struggling to get inflation up to its 2% target. It is currently unlikely that it will cut its central rate even further into negative territory from -0.5%, although the ECB has stated that it retains this as a possible tool to use. The ECB’s December meeting added a further €500bn to the PEPP scheme, (purchase of government and other bonds), and extended the duration of the programme to March 2022 and re-investing maturities for an additional year until December 2023. Three additional tranches of TLTRO, (cheap loans to banks), were approved, indicating that support will last beyond the impact of the pandemic, implying indirect yield curve control for government bonds for some time ahead. The Bank’s forecast for a return to pre-virus activity levels was pushed back to the end of 2021, but stronger growth is projected in 2022. The total PEPP scheme of €1,850bn of QE which started in March 2020 is providing protection to the sovereign bond yields of weaker countries like Italy. There is therefore unlikely to be a euro crisis while the ECB is able to maintain this level of support. However, as in the UK and the US, the advent of highly effective vaccines will be a game changer, although growth will struggle before later in quarter 2 of 2021.

**China.** After a concerted effort to get on top of the virus outbreak in Q1, economic recovery was strong in Q2 and then into Q3 and Q4; this has enabled China to recover all of the contraction in Q1. Policy makers have both quashed the virus and implemented a programme of monetary and fiscal support that has been particularly effective at stimulating short-term growth. At the same time, China’s economy has benefited from the shift towards online spending by consumers in developed markets. These factors help to explain its comparative outperformance compared to western economies. However, this was achieved by major central government funding of yet more infrastructure spending. After years of growth having been focused on this same area, any further spending in this area is likely to lead to increasingly weaker economic returns in the longer term. This could, therefore, lead to a further misallocation of resources which will weigh on growth in future years.

**Japan.** A third round of fiscal stimulus in early December took total fresh fiscal spending this year in response to the virus close to 12% of pre-virus GDP. That’s huge by past standards, and one of the largest national fiscal responses. The budget deficit is now likely to reach 16% of GDP this year. Coupled with Japan’s relative success in containing the virus without draconian measures so far, and the likelihood of effective vaccines being available in the coming months, the government’s latest fiscal effort should help ensure a strong recovery and to get back to pre-virus levels by Q3 2021 – around the same time as the US and much sooner than the Eurozone.

**World growth.** World growth will has been in recession in 2020 and this is likely to continue into the first half of 2021 before recovery in the second half. Inflation is unlikely to be a problem for some years due to the creation of excess production capacity and depressed demand caused by the coronavirus crisis.

Until recent years, world growth has been boosted by increasing **globalisation** i.e. countries specialising in producing goods and commodities in which they have an economic advantage and which they then trade with the rest of the world. This has boosted worldwide productivity and growth, and, by lowering costs, has also depressed inflation. However, the rise of China as an economic superpower over the last thirty years, which now accounts for nearly 20% of total world GDP, has unbalanced the world economy. The Chinese government has targeted achieving major world positions in specific key sectors and products, especially high tech areas and production of rare earth minerals used in high tech products. It is achieving this by massive financial support, (i.e. subsidies), to state owned firms, government directions to other firms, technology theft, restrictions on market access by foreign firms and informal targets for the domestic market share of Chinese producers in the selected sectors. This is regarded as being unfair competition that is putting western firms at an unfair disadvantage or even putting some out of business. It is also regarded with suspicion on the political front as China is an authoritarian country that is not averse

to using economic and military power for political advantage. The current trade war between the US and China therefore needs to be seen against that backdrop. It is, therefore, likely that we are heading into a period where there will be a **reversal of world globalisation and a decoupling of western countries** from dependence on China to supply products. This is likely to produce a backdrop in the coming years of weak global growth and so weak inflation.

## Summary

**Central banks are, therefore, likely to support growth by maintaining loose monetary policy through keeping rates very low for longer. Governments could also help a quicker recovery by providing more fiscal support for their economies at a time when total debt is affordable due to the very low rates of interest. They will also need to avoid significant increases in taxation or austerity measures that depress demand and the pace of recovery in their economies.**

**If there is a huge surge in investor confidence as a result of successful vaccines which leads to a major switch out of government bonds into equities, which, in turn, causes government debt yields to rise, then there will be pressure on central banks to actively manage debt yields by further QE purchases of government debt; this would help to suppress the rise in debt yields and so keep the total interest bill on greatly expanded government debt portfolios within manageable parameters. It is also the main alternative to a programme of austerity.**

## INTEREST RATE FORECASTS

**Brexit.** The interest rate forecasts provided by Link in paragraph 3.3 were predicated on an assumption of a reasonable agreement being reached on trade negotiations between the UK and the EU by 31.12.20. There is therefore no need to revise these forecasts now that a trade deal has been agreed. Brexit may reduce the economy's potential growth rate in the long run. However, much of that drag is now likely to be offset by an acceleration of productivity growth triggered by the digital revolution brought about by the COVID crisis.

### The balance of risks to the UK

- The overall balance of risks to economic growth in the UK is probably now skewed to the upside, but is still subject to some uncertainty due to the virus and the effect of any mutations, and how quick vaccines are in enabling a relaxation of restrictions.
- There is relatively little UK domestic risk of increases or decreases in Bank Rate and significant changes in shorter term PWLB rates. The Bank of England has effectively ruled out the use of negative interest rates in the near term and increases in Bank Rate are likely to be some years away given the underlying economic expectations. However, it is always possible that safe haven flows, due to unexpected domestic developments and those in other major economies, could impact gilt yields, (and so PWLB rates), in the UK.

### Downside risks to current forecasts for UK gilt yields and PWLB rates currently include:

- **UK government** takes too much action too quickly to raise taxation or introduce austerity measures that depress demand and the pace of recovery of the economy.
- **UK - Bank of England** takes action too quickly, or too far, over the next three years to raise Bank Rate and causes UK economic growth, and increases in inflation, to be weaker than we currently anticipate.
- A resurgence of the **Eurozone sovereign debt crisis**. The ECB has taken monetary policy action to support the bonds of EU states, with the positive impact most likely for "weaker" countries. In addition, the EU agreed a €750bn fiscal support package. These actions will help shield weaker economic regions for the next two or three years. However, in the case of Italy, the cost of the virus crisis has added to its already huge debt mountain and its slow economic growth will leave it vulnerable to markets returning to taking the view that its level of debt is unsupportable. There remains a sharp divide between northern EU countries favouring low debt to GDP and annual

balanced budgets and southern countries who want to see jointly issued Eurobonds to finance economic recovery. This divide could undermine the unity of the EU in time to come.

- Weak capitalisation of some **European banks**, which could be undermined further depending on extent of credit losses resultant of the pandemic.
- **German minority government & general election in 2021.** In the German general election of September 2017, Angela Merkel's CDU party was left in a vulnerable minority position dependent on the fractious support of the SPD party, as a result of the rise in popularity of the anti-immigration AfD party. Angela Merkel has stepped down from being the CDU party leader but she will remain as Chancellor until the general election in 2021. This then leaves a major question mark over who will be the major guiding hand and driver of EU unity when she steps down.
- **Other minority EU governments.** Italy, Spain, Austria, Sweden, Portugal, Netherlands, Ireland and Belgium also have vulnerable minority governments dependent on coalitions which could prove fragile.
- **Austria, the Czech Republic, Poland and Hungary** now form a strongly anti-immigration bloc within the EU, and they had threatened to derail the 7 year EU budget until a compromise was thrashed out in late 2020. There has also been a rise in anti-immigration sentiment in Germany and France.
- **Geopolitical risks**, for example in China, Iran or North Korea, but also in Europe and other Middle Eastern countries, which could lead to increasing safe haven flows.

#### **Upside risks to current forecasts for UK gilt yields and PWLB rates**

- **UK** - a significant rise in inflationary pressures e.g. caused by a stronger than currently expected recovery in the UK economy after effective vaccines are administered quickly to the UK population, leading to a rapid resumption of normal life and return to full economic activity across all sectors of the economy.
- The **Bank of England is too slow** in its pace and strength of increases in Bank Rate and, therefore, allows inflationary pressures to build up too strongly within the UK economy, which then necessitates a rapid series of increases in Bank Rate to stifle inflation.

## Annex D

### TREASURY MANAGEMENT PRACTICE: PERMITTED INVESTMENTS, ASSOCIATED CONTROLS AND LIMITS

This Council approves the following forms of investment instrument for use as permitted investments

#### Treasury risks

All the investment instruments are subject to the following risks: -

1. **Credit and counter-party risk:** this is the risk of failure by a counterparty (bank or building society) to meet its contractual obligations to the organisation particularly as a result of the counterparty's diminished creditworthiness, and the resulting detrimental effect on the organisation's capital or current (revenue) resources. There are no counterparties where this risk is zero although AAA rated organisations have the highest, relative, level of creditworthiness.
2. **Liquidity risk:** this is the risk that cash will not be available when it is needed. While it could be said that all counterparties are subject to at least a very small level of liquidity risk as credit risk can never be zero, in this document, liquidity risk has been treated as whether or not instant access to cash can be obtained from each form of investment instrument. However, it has to be pointed out that while some forms of investment e.g. gilts, CDs, corporate bonds can usually be sold immediately if the need arises, there are two caveats: - a. cash may not be available until a settlement date up to three days after the sale b. there is an implied assumption that markets will not freeze up and so the instrument in question will find a ready buyer.
3. **Market risk:** this is the risk that, through adverse market fluctuations in the value of the principal sums an organisation borrows and invests, its stated treasury management policies and objectives are compromised, against which effects it has failed to protect itself adequately. However, some cash rich local authorities may positively want exposure to market risk e.g. those investing in investment instruments with a view to obtaining a long term increase in value.
4. **Interest rate risk:** this is the risk that fluctuations in the levels of interest rates create an unexpected or unbudgeted burden on the organisation's finances, against which the organisation has failed to protect itself adequately. This authority has set limits for its fixed and variable rate exposure in its Treasury Indicators in this report.
5. **Legal and regulatory risk:** this is the risk that the organisation itself, or an organisation with which it is dealing in its treasury management activities, fails to act in accordance with its legal powers or regulatory requirements, and that the organisation suffers losses accordingly.

#### Controls on treasury risks

1. **Credit and counter-party risk:** this authority has set minimum credit criteria to determine which counterparties and countries are of sufficiently high creditworthiness to be considered for investment purposes. See paragraphs 5.3 and 5.4.
2. **Liquidity risk:** this authority has a cash flow forecasting model to enable it to determine how long investments can be made for and how much can be invested.
3. **Market risk:** this authority does not purchase investment instruments which are subject to market risk in terms of fluctuation in their value.
4. **Interest rate risk:** this authority manages this risk by having a view of the future course of interest rates and then formulating a treasury management strategy accordingly which aims to maximise investment earnings consistent with control of risk or alternatively, seeks to minimise expenditure on interest costs on borrowing.

- 5. Legal and regulatory risk:** this authority will not undertake any form of investing until it has ensured that it has all necessary powers and also complied with all regulations. All types of investment instruments

### **Unlimited investments**

Regulation 24 states that an investment can be shown as being 'unlimited' in terms of the maximum amount or percentage of the total portfolio that can be put into that type of investment. However, it also requires that an explanation must be given for using that category. The authority has given the following types of investment an unlimited category: -

- 1. Debt Management Agency Deposit Facility.** This offers the lowest risk form of investment available to local authorities as it is effectively an investment placed with the Government. It is also easy to use as it is a deposit account and avoids the complications of buying and holding Government issued treasury bills or gilts. As it is low risk it also earns low rates of interest. However, it is very useful for authorities whose overriding priority is the avoidance of risk. The longest period for a term deposit with the DMADF is 6 months.

## Annex E

### Approved Countries for Investments

This list is based on those countries which have sovereign ratings of AA- or higher, (we show the lowest rating from Fitch, Moody's and S&P) and also, (except - at the time of writing - for Hong Kong, Norway and Luxembourg), have banks operating in sterling markets which have credit ratings of green or above in the Link credit worthiness service.

#### ***Based on lowest available rating***

##### **AAA**

- Australia
- Denmark
- Germany
- Luxembourg
- Netherlands
- Norway
- Singapore
- Sweden
- Switzerland

##### **AA+**

- Canada
- Finland
- U.S.A.

##### **AA**

- Abu Dhabi (UAE)
- France

##### **AA-**

- Belgium
- Hong Kong
- Qatar
- **U.K.**

[Ratings provided by Link Group as at 20 January 2021]



## Annex F

### Scheme of Delegation

#### (i) Full board/council

- receiving and reviewing reports on treasury management policies, practices and activities;
- approval of annual strategy.

#### (ii) Boards/committees/council/responsible body

- approval of/amendments to the organisation's adopted clauses, treasury management policy statement and treasury management practices;
- budget consideration and approval;
- approval of the division of responsibilities;
- receiving and reviewing regular monitoring reports and acting on recommendations;
- approving the selection of external service providers and agreeing terms of appointment.

#### (iii) Body/person(s) with responsibility for scrutiny

- reviewing the treasury management policy and procedures and making recommendations to the responsible body.

### THE TREASURY MANAGEMENT ROLE OF THE SECTION 95 OFFICER

#### The S95 (responsible) officer

- Take and/or authorise all operational decisions regarding the Council's investments and borrowing, in accordance with approved Treasury Management Policy and Strategy.
- Responsible for execution and administration of treasury management decisions in accordance with the Council's Treasury Management policy statement and Treasury Management Practice, and if (s)he is a CIPFA member, CIPFA's Standard of Professional Practice on Treasury Management.
- In terms of Treasury Management, from time to time, formulate suitable criteria for assessing and monitoring the credit risk of investment counterparties and construct a lending list defining appropriate limits.
- Borrow, in advance of need, where, for instance, a sharp rise in interest rates is expected, and so borrowing early at fixed interest rates will be economically beneficial or meet budgetary constraints. Adopt a cautious approach to any such borrowing, and a business case to support the decision-making process must consider:
  - the benefits of borrowing in advance,
  - the investment risks created by the existence of investments at the same time as additional borrowing being outstanding; and
  - how far in advance it is reasonable to borrow, considering the risks identified. Any such advance borrowing shall be reported through the mid-year or annual Treasury Management reporting mechanism.
- Take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks shown in the forecast contained in the Treasury Management Strategy.
- Maintain a counterparty list consistent with the Investment Counterparty Selection Criteria and revise the criteria and submit them to Committee for approval as necessary, and in addition, set out the types of investment to be made (Permitted Investments).

## Annex G

### Credit and Counterparty Risk Management Permitted Investments, Associated Controls and Limits for Scottish Borders Council, Common Good and Trust Funds and In-house Managed Pension Fund

Type of Investment	Treasury Risks	Mitigating Controls	Council Limits	Common Good & Trust Fund Limits	Pension Fund In-House Limits
<b>Cash type instruments</b>					
a. Deposits with the Debt Management Account Facility (UK Government) <b>(Very low risk)</b>	This is a deposit with the UK Government and as such counterparty and liquidity risk is very low, and there is no risk to value. Deposits can be between overnight and 6 months.	Little mitigating controls required. As this is a UK Government investment the monetary limit is unlimited to allow for a safe haven for investments	£unlimited, maximum 6 months.	£unlimited, maximum 6 months.	£unlimited, maximum 6 months.
b. Deposits with other local authorities or public bodies <b>(Very low risk)</b>	These are considered quasi UK Government debt and as such counterparty risk is very low, and there is no risk to value. Liquidity may present a problem as deposits can only be broken with the agreement of the counterparty, and penalties can apply.  Deposits with other non-local authority bodies will be restricted to the overall credit rating criteria.	Little mitigating controls required for local authority deposits, as this is a quasi UK Government investment.  Non- local authority deposits will follow the approved credit rating criteria.	£40m, maximum 1 year.	£5m, maximum 1 year.	£40m, maximum 1 year.
c. Money Market Funds (MMFs) <b>(Very low risk)</b>	Pooled cash investment vehicle which provides very low counterparty, liquidity and market risk. These will primarily be used as liquidity instruments.	Funds will only be used where the MMFs has a "AAA" rated status from either Fitch, Moody's or Standard and Poor's.	£5m per fund/£25m overall	£5m per fund/£25m overall	£5m per fund/£25m overall

Type of Investment	Treasury Risks	Mitigating Controls	Council Limits	Common Good & Trust Fund Limits	Pension Fund In-House Limits
d. Ultra short dated bond funds <b>(low risk)</b>	Pooled cash investment vehicle which provides very low counterparty, liquidity and market risk. These will primarily be used as liquidity instruments.	Funds will only be used where they have a “AAA” rated status from either Fitch, Moody’s or Standard and Poor’s.	N/A	N/A	N/A
e. Call account deposit accounts with financial institutions (banks and building societies) <b>(Low risk depending on credit rating)</b>	These tend to be low risk investments, but will exhibit higher risks than categories (a), (b) and (c) above. Whilst there is no risk to value with these types of investments, liquidity is high and investments can be returned at short notice.	The counterparty selection criteria approved above restricts lending only to high quality counterparties, measured primarily by credit ratings from Fitch, Moody’s and Standard and Poor’s. Day to day investment dealing with this criteria will be further strengthened by use of additional market intelligence.	As shown in the counterparty section criteria above.	As shown in the counterparty section criteria above.	As shown in the counterparty section criteria above.
f. Term deposits with financial institutions (banks and building societies) <b>(Low to medium risk depending on period &amp; credit rating)</b>	These tend to be low risk investments, but will exhibit higher risks than categories (a), (b) and (c) above. Whilst there is no risk to value with these types of investments, liquidity is low and term deposits can only be broken with the agreement of the counterparty, and penalties may apply.	The counterparty selection criteria approved above restricts lending only to high quality counterparties, measured primarily by credit ratings from Fitch, Moody’s and Standard and Poor’s. Day to day investment dealing with this criteria will be further strengthened by use of additional market intelligence.	As shown in the counterparty section criteria above.	As shown in the counterparty section criteria above.	As shown in the counterparty section criteria above.

Type of Investment	Treasury Risks	Mitigating Controls	Council Limits	Common Good & Trust Fund Limits	Pension Fund In-House Limits
g. Government Gilts and Treasury Bills ( <b>Very low risk</b> )	These are marketable securities issued by the UK Government and as such counterparty and liquidity risk is very low, although there is potential risk to value arising from an adverse movement in interest rates (no loss if these are held to maturity).	Little counterparty mitigating controls are required, as this is a UK Government investment. The potential for capital loss will be reduced by limiting the maximum monetary and time exposures.	£20m, maximum 1 year.	£5m, maximum 1 year	£20m, maximum 1 year.

Type of Investment	Treasury Risks	Mitigating Controls	Council Limits	Common Good & Trust Fund Limits	Pension Fund In-House Limits
<b>Other types of investments</b>					
a. Investment properties	These are non-service properties which are being held pending disposal or for a longer term rental income stream. These are highly illiquid assets with high risk to value (the potential for property prices to fall or for rental voids).	In larger investment portfolios some small allocation of property based investment may counterbalance/compliment the wider cash portfolio.  Property holding will be re-valued regularly and reported annually with gross and net rental streams.	£30m	£25m	N/A
b. Loans to third parties, including soft loans	These are service investments either at market rates of interest or below market rates (soft loans). These types of investments may exhibit credit risk and are likely to be highly illiquid.	Each third party loan requires Member approval and each application is supported by the service rational behind the loan and the likelihood of partial or full default.	£25m	£1m	N/A
c. Loans to a local authority company	These are service investments either at market rates of interest or below market rates (soft loans). These types of investments may exhibit credit risk and are likely to be highly illiquid.	Each loan to a local authority company requires Member approval and each application is supported by the service rational behind the loan and the likelihood of partial or full default.	£25m	N/A	N/A
d. National Housing Trust ( <b>Very Low Risk due to Scottish Government Underwriting</b> )	These are loans to a Special Purpose Vehicle to allow it to purchase new homes under the NHT umbrella. These loans represent either 65% or 70% of the purchase price, the remainder being funded by the developer. The loan is redeemed after a 5 to	Loan redemption arises when the homes are sold. Interest payments are made to the Council by the SPV from rental payments in the intervening period. Both the loan amount and associated interest payments are underwritten by Scottish Government.	£8m	N/A	N/A

	10 year period when the properties are sold.				
e. Shareholdings in a local authority company	These are service investments which may exhibit market risk and are likely to be highly illiquid.	Each equity investment in a local authority company requires Member approval and each application will be supported by the service rational behind the investment and the likelihood of loss.	£1m	N/A	N/A
f. Investment in the Subordinated Debt of projects delivered via the 'HubCo' model ( <b>Very Low Risk</b> )	These are investments that are exposed to the success or failure of individual projects and are highly illiquid.	The Council and Scottish Government (via the SFT) are participants in and party to the governance and controls within the project structure. As such they are well placed to influence and ensure the successful completion of the project's term. These projects are based on robust business cases with a cashflow from public sector organisations (i.e. low credit risk)	£600,000	N/A	N/A

### The Monitoring of Investment Counterparties

The status of counterparties will be monitored regularly. The Council receives credit rating and market information from Link Group, including when ratings change, and counterparties are checked promptly. On occasion ratings may be downgraded when an investment has already been made. The criteria used are such that a minor downgrading should not affect the full receipt of the principal and interest. Any counterparty failing to meet the criteria will be removed from the list immediately by the executive Director Finance & Regulatory, and if required new counterparties which meet the criteria will be added to the list.

### Use of External Fund Managers

It is the Council's policy to use external fund managers to manage the investment portfolios of the Scottish Borders Council Pension Fund and the pooled investment fund of the Common Good and Trust Funds. This Annex reflects the approved policies around the Common Good and Trust Fund Investment Strategy but specifically excludes, as allowed by regulations, the work undertaken by External Fund Managers in relation to the Scottish Borders Council Pension Fund.

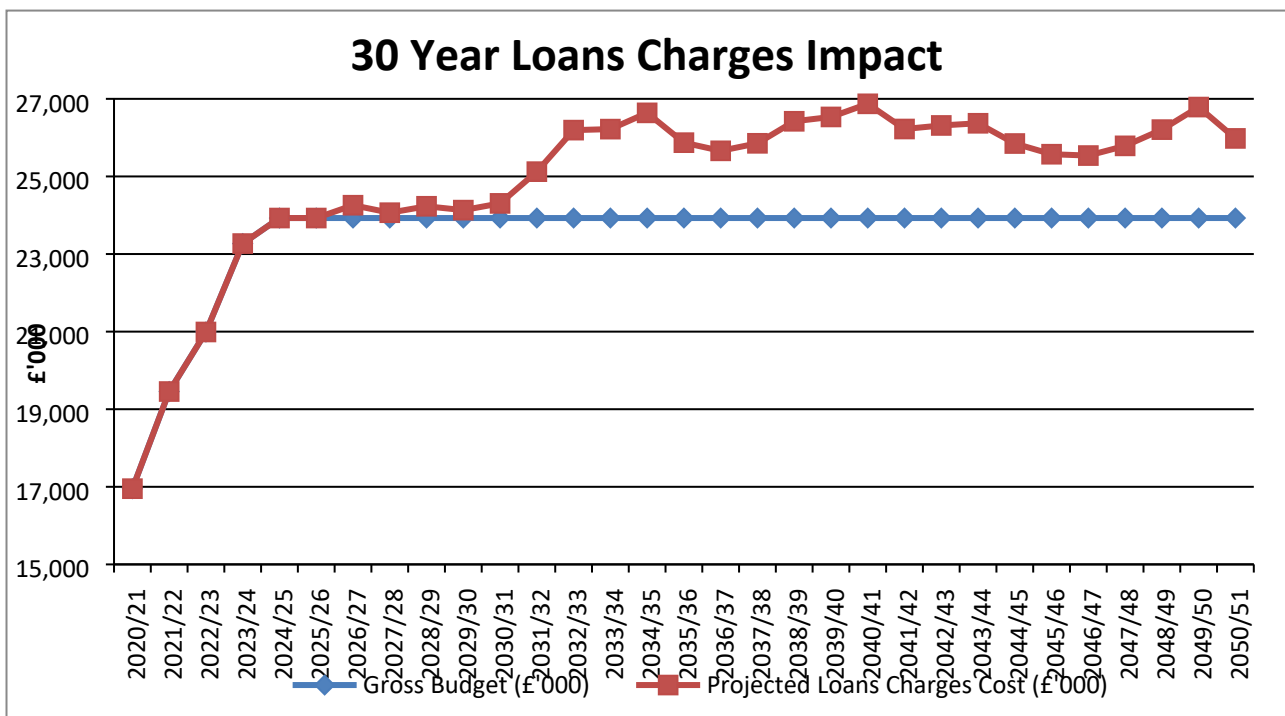


## ANNEX H

### Long Term (30 Yr) Loans Charges Analysis

Current capital and revenue plans have been extrapolated over a 30 year period in order to assess the impact on the revenue Loans Charges budget. In line with assumptions made when assessing external debt and associated limits as described in paragraph 5.3 of the covering report, long term capital planning will cause a pressure on the loans charges budget from financial year 2026/27, as detailed in the chart below. Movements in notional loans charges associated with internal borrowing also impact on these figures.

It should be noted that from 2031-32, the first year outwith the current 10 year Capital Plan, a 10 year average capital expenditure, and annual borrowing requirement of £10.5m, has been assumed.



## ANNEX I

### Credit Ratings

#### Long and Short Term Credit Ratings

Audit Commission Grading#	Fitch		Moody's		Standard and Poor's	
	Long Term	Short Term	Long Term	Short Term	Long Term	Short Term
Extremely strong grade	AAA	F1+	Aaa	P-1	AAA	A-1+
Very strong grade	AA+	F1+	Aa1	P-1	AA+	A-1+
	AA	F1+	Aa2	P-1	AA	A-1+
	AA-	F1+	Aa3	P-1	AA-	A-1+
Strong grade But susceptible to adverse conditions	A+	F1+ / F1	A1	P-1	A+	A-1+ / A-1
	A	F1	A2	P-1 / P-2	A	A-1
	A-	F1	A3	P-1 / P-2	A	A-1 / A-2
Adequate Grade	BBB+	F2	Baa1	P-2	BBB+	A-2
	BBB	F2 / F3	Baa2	P-2 / P-3	BBB	A-2 / A-3
	BBB-	F3	Baa3	P-3	BBB-	A-2
Speculative Grade	BB+	B	Ba1	NP *	BB+	B-1
	BB	B	Ba2	NP	BB	B-2
	BB-	B	Ba3	NP	BB-	B-3
Very Speculative Grade	B+	B	Ba1	NP	B+	-
	B	B	Ba2	NP	B	-
	B-	B	Ba3	NP	B-	-
Vulnerable Grade	CCC	C	Caa1	NP	CCC+	C
	CCC	C	Caa2	NP	CCC	C
	CCC	C	Caa3	NP	CCC-	C
	CC	C	-	NP	CC	C
	C	C	Ca	NP	C	C
Defaulting Grade	D	D	C	NP	D	D

# for the purpose of standardisation based on Standard and Poor's credit rating definitions.

\* NP – Not Prime

Source: Audit Commission adaptation of information from Fitch, Moody's and Standard & Poor's

## Benchmarking and Monitoring Security, Liquidity and Yield

The consideration and approval of security and liquidity benchmarks are also part of Member reporting. These benchmarks are targets and so may be breached from time to time. Any breach will be reported, with supporting reasons, in the annual treasury report.

### Yield

These benchmarks are currently widely used to assess investment performance. Local measures of yield benchmarks are:

- Investments – **Internal returns above the 7 day LIBID rate**

Security and liquidity benchmarks are already intrinsic to the approved treasury strategy through the counterparty selection criteria and some of the prudential indicators. Benchmarks for the cash type investments are below. In the other investment categories, appropriate benchmarks will be used where available.

### Liquidity

This is defined as an organisation “having adequate, though not excessive, cash resources, borrowing arrangements, overdrafts or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business/service objectives” (CIPFA Treasury Management Code of Practice). In respect of liquidity, the Council seeks to maintain:

- Bank overdraft - £250,000
- Liquid short term deposits of at least £1,500,000 available with a week’s notice.

The availability of liquidity in the portfolio can be benchmarked by the monitoring of the Weighted Average Life (WAL) of the portfolio – shorter WAL would generally embody less risk. In this respect, the proposed benchmark to be used is:

- **WAL benchmark is expected to be 0.5 years, with a maximum of 1.00 years.**

### Security of the investments

In the context of benchmarking, assessing security is a much more subjective area to assess. Security is currently evidenced by the application of minimum credit quality criteria to investment counterparties, primarily through the use of the Creditworthiness service provided by Capita Asset Services. Whilst this approach embodies security considerations, benchmarking levels of risk is more problematic. One method to benchmark security risk is to assess the historic level of default against the minimum criteria used in the Council’s investment strategy.

The Council’s maximum security risk benchmark for the whole portfolio, when compared to these historic default tables, is:

- **0.04% historic risk of default when compared to the whole portfolio.**

These benchmarks are embodied in the criteria for selecting cash investment counterparties and these will be monitored and reported to Members in the Annual Treasury Management Report. As this data is collated, trends and analysis will be collected and reported.

## GLOSSARY OF TERMS

<b>CIPFA</b>	Chartered Institute of Public Finance and Accountancy
<b>CIPFA Code</b>	Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes
<b>CFR</b>	Capital Financing Requirement is the estimated level of borrowing or financing needed to fund capital expenditure.
<b>Consent to Borrow</b>	Para 1 (1) of Schedule 3 of the Local Government (Scotland) Act 1975 (the 1975 Act) effectively restricts local authorities to borrowing only for capital expenditure. Under the legislation Scottish Ministers may provide consent for local authorities to borrow for expenditure not covered by this paragraph, where they are satisfied that the expenditure should be met by borrowing.
<b>Gilts</b>	A gilt is a UK Government liability in sterling, issued by HM Treasury and listed on the London Stock Exchange. The term “gilt” or “gilt-edged security” is a reference to the primary characteristic of gilts as an investment: their security. This is a reflection of the fact that the British Government has never failed to make interest or principal payments on gilts as they fall due.
<b>LIBID</b>	London Interbank Bid Rate The rate at which banks bid on Eurocurrency Deposits, being the rate at which a bank is willing to borrow from other banks.
<b>MPC</b>	Monetary Policy Committee
<b>NHT</b>	National Housing Trust initiative undertaken in partnership with the Scottish Futures Trust.
<b>Other Long Term Liabilities</b>	Balance sheet items such as Public Private Partnership (PPP), and leasing arrangements which already include borrowing instruments.
<b>PPP</b>	Public-Private Partnership.
<b>Prudential Indicators</b>	The Prudential Code sets out a basket of indicators (the Prudential Indicators) that must be prepared and used in order to demonstrate that local authorities have fulfilled the objectives of the Prudential Code.
<b>QE</b>	Quantitative Easing
<b>Treasury Indicators</b>	These consist of a number of Treasury Management Indicators that local authorities are expected to ‘have regard’ to, to demonstrate compliance with the Treasury Management Code of Practice.

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

Pensions & Investments Team, Finance, Scottish Borders Council, Council HQ, Newtown St Boswells

01835 824000, [t&cteam@scotborders.gov.uk](mailto:t&cteam@scotborders.gov.uk)

**Motion by Councillor Rowley, Executive Member for Economic Regeneration and Finance**

**Seconded by Councillor Haslam, Leader Scottish Borders Council**

The Covid 19 pandemic has impacted on all areas of Borders life. This is a budget which aims to ensure the Council plays its part in the long road to recovery, and in doing so helps our communities, and people, by protecting our environment, making best of use of new technology and providing the best possible stimulus to our local economy.

This is a budget which addresses many of the challenges we face. It seeks to **Build Back a Better Borders** as we recover from the pandemic, helping our towns, protecting jobs, expanding early years childcare, protecting our most vulnerable people and investing in infrastructure that will enhance our communities, protect our environment and reduce our carbon footprint.

In doing so we aim to work closely with our community planning partners and continue the joint working that has taken place during the last year to improve the well-being and quality of life of all Borderers.

We do this however against a backdrop of continued restrictions in local government finance. COSLA called this year for a fair funding settlement for local government, we did not receive this.

The 2021/22 Local Government Settlement from the Scottish Government offered the Borders little in the way of additional core revenue and capital support at a time when the Council has significant additional Covid costs to manage, alongside falls in income due to the impacts of Covid-19.

Despite this the Conservative and Independent Administration has committed to deploying significant resources to delivering vital major infrastructure in communities across the Borders, including extra care homes for our older people, supporting our social landlords to deliver more warm, sustainable homes in our communities and significant investment in educational and community campuses in Galashiels, Hawick and Tweeddale.

With little flexibility in this year's Local Government Settlement our priority focus is on empowering and investing in our communities across the whole of the Borders.

Building Back a Better Borders will deliver a £500,000 fund to revitalise communities, it will support them in restarting events, assist community groups to recharge activities post-Covid 19, and help our communities to recover and thrive. This is additional to significant other community funding and support for community groups.

We recognise our community groups and volunteer organisations are vitally important to where we live, but are often over-stretched and under-resourced so we are investing in support workers in each locality. They will help groups create

their plans, help secure the best funding sources and effectively deliver their projects.

Towns and villages of all scales are central to Borders life and sustain surrounding rural areas. With a focus initially on smaller, often forgotten settlements, we'll invest in a rolling programme of Place Planning, working with communities and businesses across the Borders to identify what every settlement needs and then working to draw in regeneration funding from a growing array of external sources.

We are ready to draw in £93m of capital investment from the **Borderlands Inclusive Growth Deal**, more from the **Edinburgh and South East Scotland City Region Deal** and the Borders Railway Blueprint, but we need to do more. This support will help maximise funding coming into the area, reinvigorate communities and regenerate settlements from regeneration funds, with our partners at South of Scotland Enterprise and emerging opportunities including the **UK Government programme of Levelling Up Funds**.

**Support for Food Growing and Cultivating our Communities Growing** will encourage more food growing in communities across the region and work with our community planning partners to involve them too. We hope this will help support the council's developing anti-poverty action plan. They will also support the fantastic work that dozens of community, civic amenity and floral groups do to enhance our towns and villages making them better places to live or visit.

Younger people tell us **sustainability** needs to be at the heart of all we do. Our exceptional natural environment is a defining character of Borders life, one of the great reasons to live or visit here and our rich natural capital resources are likely to be central to future growth and regeneration. Building on the Council's adoption of the UN Sustainable Development Goals and mainstreaming of Sustainable Development we'll invest in a post that delivers those plans. recognising we are in a new era and more sustainable ways of working will need to come initial funding will come from reducing the significant mileage costs associated with travelling to meetings.

We live in a dispersed rural region where road travel is a daily necessity. **Roads** impact on our lives daily and consultation has told us they absolutely must remain a high priority for investment now, and in future years too.

We recognise however that a long hard winter and the inevitable restrictions of Covid-19 over a whole year have impacted on our roads network's condition. We are therefore investing an additional £1,112,000 this year, growing by £510,000 to £1,612,000 in 2022/23. The additional funding will not go into a general pot but into a clear list of priority upgrades across the Borders defined by road condition and local concerns. Residents will see what they get for their extra commitment.

**In total our budget will invest an additional £118.7m in roads bridges and pavements over the course of this plan.**



With such an extensive network of smaller rural roads the budget is never enough, but alongside this significant additional funding sits a commitment to do things better, to trial potential new technologies, and transition to a greater proportion of our road work being a long term improvement not a short-term fix.

Our plant and vehicle fund will see us run ever-fewer dirty diesels through our communities with a **£6,000,000 investment to transition to cleaner, more sustainable e-vehicles** across much of our fleet.

Our communities and places matter whatever their scale or remoteness so whilst Hawick is benefitting from a **huge investment in flood protection** we recognise its smaller neighbour, Newcastleton needs support too. Its residents have endured a series of devastating flooding events, so there is a commitment to fund swift community engagement which will then inform feasibility studies into the best options for flood protection alongside significant flood investments.

**Empowering our people of all ages, regenerating our settlements (of every size) and enabling every one of our communities to recover and thrive is at the heart of our budget. We are investing for the future in the most important places to us; our people, our places and our communities. We have already agreed to freeze the Council tax and I now urge you to support the Administration's Budget proposals for revenue and capital set out in our financial plan for 2021/22.**

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**Administration's  
Draft Revenue & Capital Investment Plan  
Revenue 2021/22 - 2025/26, Capital 2021/22-2030/31**

**Scottish Borders Council**  
**Draft Financial Plan 2021/22 to 2025/26**  
**Revenue Resources**

	<b>2021/22</b> <b>£'000</b>	<b>2022/23</b> <b>(Provisional)</b> <b>£'000</b>	<b>2023/24</b> <b>(Provisional)</b> <b>£'000</b>	<b>2024/25</b> <b>(Provisional)</b> <b>£'000</b>	<b>2025/26</b> <b>(Provisional)</b> <b>£'000</b>	<b>Total</b> <b>£'000</b>
<b>Aggregate External Finance</b>						
General Revenue Support	182,531	188,060	183,495	183,679	183,311	921,076
Council Tax freeze funding for 2021/22	1,955	1,955	1,955	1,955	1,955	9,775
Assumed one-off COVID-19 funding	5,700	(5,700)	0	0	0	0
Assumed SG grant reductions 1% years 2-5	0	(2,236)	(2,190)	(2,192)	(2,189)	(8,807)
Ring fenced grants	15,167	15,167	15,167	15,167	15,167	75,835
Assumed additional funding for H&SC for demographics		3,371	2,374	1,824	1,816	9,385
Health & Social Care Partnership	7,733	7,849	7,927	8,006	8,086	39,601
Non-domestic Rates	33,571	33,571	33,571	33,571	33,571	167,855
	<b>246,657</b>	<b>242,037</b>	<b>242,299</b>	<b>242,010</b>	<b>241,717</b>	<b>1,214,720</b>
<b>Earmarked Balance</b>	<b>1,562</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,562</b>
<b>Council Tax (Band D £1,253.91 in 2021/22 - 3% inc from 2022/23)</b>	<b>65,261</b>	<b>67,862</b>	<b>70,493</b>	<b>73,219</b>	<b>76,048</b>	<b>352,883</b>
<b>Second Homes Council Tax</b>	<b>1,177</b>	<b>1,211</b>	<b>1,247</b>	<b>1,285</b>	<b>1,323</b>	<b>6,243</b>
<b>Total</b>	<b>314,657</b>	<b>311,110</b>	<b>314,039</b>	<b>316,514</b>	<b>319,088</b>	<b>1,575,408</b>

**Scottish Borders Council**  
**Draft Financial Plan 2021/22 to 2030/31**  
**Capital Resources**

	<b>3 year operational £000's</b>	<b>7 year strategic £000's</b>	<b>Total £000's</b>	<b>Est. External Funding £000's</b>	<b>Est. SBC Contribution £000's</b>
Specific Grants from Scottish Government	42,447	4,421	46,868	46,868	0
Other External Grants & Contributions	67,531	61,094	128,625	128,625	0
Development Contributions	379	800	1,179	1,179	0
Capital Receipts	2,030	0	2,030	0	2,030
General Capital Grant	33,183	77,427	110,610	0	110,610
Plant & Vehicle Replacement - P&V Fund	6,000	14,000	20,000	20,000	0
Synthetic Pitch Replacement Fund	880	3,877	4,757	4,757	0
Funded From Revenue	8,000	0	8,000	8,000	0
Borrowing	148,893	109,159	258,052	0	258,052
<b>Total</b>	<b>309,343</b>	<b>270,778</b>	<b>580,121</b>	<b>209,429</b>	<b>370,692</b>

Detailed Capital funding can be found at the back of this budget pack

Scottish Borders Council  
Draft Financial Plan 2021/22 to 2025/26  
Summary of Revenue Budget Movement

	2021/22 £'000	2022/23 (Provisional) £'000	2023/24 (Provisional) £'000	2024/25 (Provisional) £'000	2025/26 (Provisional) £'000	Total £'000
<b>Base Budget (approved 26th February 2020)</b>	<b>297,827</b>	<b>314,657</b>	<b>311,110</b>	<b>314,039</b>	<b>316,514</b>	<b>1,554,147</b>
<b><u>Budget Pressures</u></b>						
Permanent virements	277	0	0	0	0	277
Workforce budget adjustments	3,531	3,278	3,351	3,419	3,486	17,065
Non-pay and department specific inflation	1,091	1,417	1,451	1,491	1,413	6,863
Demographic pressures	1,029	1,029	1,029	1,029	1,029	5,145
Service Specific priorities & National policy changes	16,050	(4,094)	2,806	1,751	881	17,394
<b>Total Pressures</b>	<b>21,978</b>	<b>1,630</b>	<b>8,637</b>	<b>7,690</b>	<b>6,809</b>	<b>46,744</b>
<b><u>Savings Proposals</u></b>						
Corporate	0	0	(3,009)	(4,660)	(4,187)	(11,856)
Asset & Infrastructure	(905)	(1,704)	(898)	(286)	(42)	(3,835)
Corporate Improvement & Economy	(234)	(319)	(279)	(255)	(6)	(1,093)
Health & Social Care	(1,543)	(1,628)	(482)	0	0	(3,653)
Young People Engagement & Inclusion	(1,106)	(289)	(131)	0	0	(1,526)
Customer & Communities	(552)	(387)	(455)	0	0	(1,394)
Finance & Regulatory Services	(737)	(790)	(359)	(14)	0	(1,900)
Human Resources	(71)	(60)	(95)	0	0	(226)
<b>Total Savings</b>	<b>(5,148)</b>	<b>(5,177)</b>	<b>(5,708)</b>	<b>(5,215)</b>	<b>(4,235)</b>	<b>(25,483)</b>
	<b>314,657</b>	<b>311,110</b>	<b>314,039</b>	<b>316,514</b>	<b>319,088</b>	<b>1,575,408</b>
<b>Funding</b>	<b>314,657</b>	<b>311,110</b>	<b>314,039</b>	<b>316,514</b>	<b>319,088</b>	<b>1,575,408</b>



**Scottish Borders Council**  
**Draft Financial Plan 2021/22 to 2030/31**  
**Summary of Capital Budget Movement**

	<b>3 year operational £000's</b>	<b>7 year strategic £000's</b>	<b>Total £000's</b>	<b>Est. External Funding £000's</b>	<b>Est. SBC Contribution £000's</b>
<b>Base Budget (approved 26th February 2020)</b>	<b>258,155</b>	<b>206,168</b>	<b>464,323</b>	<b>(110,676)</b>	<b>353,647</b>
Capital Financed from Current Revenue (CFCR)	0	0	0	0	0
Specific Grants from Scottish Government	(2,816)	(44)	(2,860)	2,860	0
Other External Grants & Contributions	35,562	59,144	94,706	(94,706)	0
Development Contributions	(2)	0	(2)	2	0
Capital Receipts	(1,110)	0	(1,110)	0	(1,110)
General Capital Grant	(8,766)	(30,373)	(39,139)	0	(39,139)
Plant & Vehicle Replacement - P&V Fund	0	0	0	0	0
Synthetic Pitch Replacement Fund	5	104	109	(109)	0
Funded from Revenue	8,000	0	8,000	(8,000)	0
Borrowing	20,315	35,779	56,094	1,200	57,294
<b>Total Funding Adjustments</b>	<b>51,188</b>	<b>64,610</b>	<b>115,798</b>	<b>(98,753)</b>	<b>17,045</b>
<b>Funding</b>	<b>309,343</b>	<b>270,778</b>	<b>580,121</b>	<b>(209,429)</b>	<b>370,692</b>
<b>Investment Proposals</b>					
Asset & Infrastructure	106,290	91,744	198,034	(76,105)	121,929
Corporate Improvement & Economy	58,879	72,339	131,218	(114,871)	16,347
Health & Social Care	15,771	8,771	24,542	0	24,542
Young People Engagement & Inclusion	102,798	95,408	198,206	(10,453)	187,753
Customer & Communities	0	0	0	0	0
Finance and Regulatory Services	25,605	2,516	28,121	(8,000)	20,121
Human Resources	0	0	0	0	0
<b>Total Investment</b>	<b>309,343</b>	<b>270,778</b>	<b>580,121</b>	<b>(209,429)</b>	<b>370,692</b>
<b>Funding</b>	<b>309,343</b>	<b>270,778</b>	<b>580,121</b>	<b>(209,429)</b>	<b>370,692</b>

## Corporate

### Overarching proposals covering the whole Council

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
N/A	0	0	0	0	0	
<b>Total Investment</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	0	8,195	2,054	(955)	(5,615)
Permanent Virements	0	0	0	0	0
<b>Revised Base Budget</b>	<b>0</b>	<b>8,195</b>	<b>2,054</b>	<b>(955)</b>	<b>(5,615)</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
COVID -19 response and recovery	0	1,600	69	0	0	0	Contribution towards costs of COVID-19 response and recovery
Build Back a Better Borders	0	500	(500)	0	0	0	Investment in our communities across the whole of the Borders to revitalise communities and organisations as they emerge from COVID-19 supporting a boost to levels of sporting, cultural, community, environmental, sustainable and social activity with a focus on supporting areas of deprivation and those who have suffered most from COVID-19 effects
Food Growing and Cultivating our Communities	0	55	0	0	0	0	Working with community groups and our community planning partners, by creating a post to get food growing at the heart of our communities, deliver our Food Growing Strategy and support the many community amenity groups that work hard to enhance our towns and settlements
Newcastleton flood prevention/protection consultation	0	10	(10)	0	0	0	Community Consultation with Newcastleton to understand views on flood prevention or protection ahead of any feasibility work being done
Local Place Plans	0	80	0	0	0	0	Developing Local Place Plans with communities for all settlements across the Borders, over time, so they are ready to maximise opportunities to draw in external funding from UKG Levelling Up Fund, SoSE and other regeneration funds that arise
Community Capacity Support	0	250	0	0	0	0	Establishing dedicated resource in each of our localities so community groups, projects, community councils etc. can get support designing projects, obtaining funding and delivering projects effectively
Assumed COVID-19 funding - SBC share of £259m national one-off funding	0	5,700	(5,700)	0	0	0	Assume Scottish Government of 2.2% of £259m will provide funding for 2021/22 on a temporary basis
<b>Total Pressures</b>		<b>8,195</b>	<b>(6,141)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

## Corporate

### Overarching proposals covering the whole Council

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Fit for 2024	0	0	0	(3,009)	0		At this stage a further saving of £3m has been identified as a corporate target which will be allocated to services once proposals are developed. There will be a FTE impact. Number to be confirmed. Any reduction in posts will be managed through natural turnover, vacancy management and the management of temporary contracts. Any actual staff impact will be managed through the appropriate application of HR policies and procedures. (For the purposes of brevity the above considerations will apply to all of the savings proposals in all services where there is a FTE impact, but will not be repeated in the detail of each individual proposal. FTE reductions included within detailed service proposals refer to impact in 2021/22.)
Further transformation	0	0	0	0	(4,660)	(4,187)	This saving reflects further transformation required in service delivery models, management structures, business processes, the use of new technology will be required once Fit for 2024 is fully delivered in response to the on-going changing needs of the Borders population. There will be a FTE impact. Number to be confirmed as proposals are developed.
<b>Total Savings</b>		<b>0</b>	<b>0</b>	<b>(3,009)</b>	<b>(4,660)</b>	<b>(4,187)</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	8,195	2,054	(955)	(5,615)	(9,802)

## Asset and Infrastructure

Property, Facilities, Roads & Infrastructure, Parks & Environment, Waste Management, Passenger Transport

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
Land & Property Infrastructure	15,231	17,051	32,282	(659)	31,623	Capital works on the Council estate including parks and play facilities, encompassing structural, energy efficiency, Health & Safety works, improvements and upgrades
Roads & Transport Infrastructure	23,523	50,820	74,343	(514)	73,829	Encompasses the Roads, Bridges and Lighting blocks and a number of other infrastructure projects
Cycling, Walking & Safer Streets	1,218	2,047	3,265	(3,265)	0	Specific SG funding to encourage walking and cycling, especially to schools and to connect communities
Peebles Bridge	0	420	420	0	420	Preparatory work to consider the future requirement for a new bridge in Peebles to support future development per the Local Development Plan
Flood & Coastal Protection works	1,287	2,604	3,891	0	3,891	Small scale capital flood works projects and flood studies for future major schemes. Flood studies and scheme preparation fully funded by Scottish Government
Hawick Flood Protection	57,974	2,718	60,692	(51,268)	9,424	Infrastructure project to protect residential and commercial properties from flood risk within the River Teviot's flood plain in Hawick. Scottish Government 80% and external partners funding of the project.
Waste Management	457	344	801	(299)	502	Investment in Leachate Management, cell work, street cleansing and trade waste bins
Reston Station Contribution	600	1,740	2,340	(100)	2,240	Council contribution to provision of new platform and car parking at Reston, supported by potential funding from development contributions
Plant & Vehicle Fund	6,000	14,000	20,000	(20,000)	0	Rolling programme of fleet replacement to meet Council requirements, fully funded from the Plant and Vehicle fund and replenished by revenue budgets over vehicle lives, introducing electric and more environmental vehicles as opportunities allow
<b>Total Investment</b>	<b>106,290</b>	<b>91,744</b>	<b>198,034</b>	<b>(76,105)</b>	<b>121,929</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	40,476	42,704	41,276	40,996	41,949
Permanent Virements	741	0	0	0	0
<b>Revised Base Budget</b>	<b>41,217</b>	<b>42,704</b>	<b>41,276</b>	<b>40,996</b>	<b>41,949</b>

## Asset and Infrastructure

### Property, Facilities, Roads & Infrastructure, Parks & Environment, Waste Management, Passenger Transport

Budget Pressures	Base Budget	2021/22	2022/23	2023/24	2024/25	2025/26	Detail
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	
Outdoor Community Spaces	143	65	71	37	22	0	Replacement Fund for Outdoor Community Spaces, no year 5 requirement
Additional New Schools NDR, Utilities, Cleaning Pressure	1,259	0	65	90	115	0	Additional budget required to fund costs in new schools
Workforce budget adjustments	24,002	468	482	499	509	520	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	12,127	292	312	320	330	338	To allow for anticipated inflationary increases
Property Maintenance Fund Inflation	2,791	53	76	77	79	81	To allow for anticipated inflationary increases of materials and works associated with maintaining the Council estate
Roads investment	9,142	1,112	510	0	0	0	Permanent Roads investment to improve Roads, Bridges and pavements including extra £1.112m per annum from 2021/22 with a further £0.510m from 2022/23 with increased focus on first and final fixes and piloting alternative technologies to reduce temporary patching and build resilience
Previous temporary roads investment reallocated to fund new schools	0	(197)	(897)	(585)	0	0	Reallocation of Council Tax income to support the new Hawick High School
Funding to support provision of seatbelts on buses	0	13	0	0	0	0	As per SG Settlement
Additional cleaning staff, materials & PPE	0	520	(520)	0	0	0	Estimated impact of COVID-19
Catering (Food) Inflation	1,757	18	35	36	37	38	Estimated inflationary price increase of food costs
Winter Maintenance (Salt) Inflation	871	0	18	18	18	19	Estimated inflationary price increase of salt costs
Aggregates & Bitumen Inflation	604	0	12	12	13	13	Estimated inflationary price increase of bitumen and aggregates
Vehicle Spare Parts Inflation	725	0	15	15	15	16	Estimated inflationary price increase of spare parts
Residual Waste Contract Inflation	4,805	48	97	99	101	103	Estimated inflationary price increase of contract
<b>Total Pressures</b>		<b>2,392</b>	<b>276</b>	<b>618</b>	<b>1,239</b>	<b>1,128</b>	

Savings Proposals	Base Budget	2021/22	2022/23	2023/24	2024/25	2025/26	Detail
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	
Additional Fees & Charges Income across Assets & Infrastructure	(2,923)	(24)	(29)	(30)	(31)	(32)	Extra income from higher Fees & Charges which have been increased in line with inflation.
Commercial Rent income	(1,254)	(10)	(10)	(10)	(10)	(10)	Inflationary increases to the commercial property charges
Energy Efficiency Project	3,103	(100)	(75)	(50)	(95)	0	Spend to save investments in a range of energy efficiency measures designed to reduce our Carbon Footprint and make cashable savings
Lifecycle Maintenance Kelso HS & Jedburgh Campus	587	(22)	0	0	0	0	Reduce lifecycle maintenance budget for Kelso HS and Jedburgh Campus in line with financial models
More efficient property and asset portfolio & implementation of Corporate Landlord	11,798	(201)	(110)	(100)	(120)	0	Savings resulting from property rationalisation and implementing the Corporate Landlord model to drive efficiencies across the Council. Savings will be made from NDR, utilities, property maintenance including cleaning services. Any FTE impact is likely to be from facilities posts in affected buildings. Estimated FTE impact 2 FTE

## Asset and Infrastructure

Property, Facilities, Roads & Infrastructure, Parks & Environment, Waste Management, Passenger Transport

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Property savings	1,150	(14)	(96)	(14)	0	0	Further efficiencies from Corporate Landlord through improved processes, purchasing and use of Technology Forge.
Facilities Management savings	4,891	(140)	(183)	(183)	0	0	Year 1 savings to be met from creating an enhanced locality model for learning estate janitorial services that also creates efficiencies. Standardisation of crossing patrol operational hours through natural turnover and redeployment. Estimated FTE impact 6. Total number of service FTE 51.08. Future years savings to be met through changes to the production model for school meals and further optimisation of the <u>Facilities Management Service</u> .
Parks & Environment	4,235	(150)	(211)	(100)	0	0	The continuation of service reviews focused on communities, reflecting the Climate Emergency and Biodiversity Duty. Working to enable communities to respond to their own priorities and initiatives. A service wide range of operational initiatives to make more efficient use of the resources and assets, including appropriate people planning, fleet replacement and review assets to better support effective and efficient working. Review services and create flexibility across the workforce and wider A&I department will also be a significant strand of focus. There may be an FTE impact. Number to be confirmed as proposals are developed.
Roads & Infrastructure	7,572	(200)	(500)	(167)	0	0	Develop a viable, agile and sustainable service, that seeks to improve the Borders network and build commercial opportunities. The service will identify and implement a new service delivery structure that focuses investment in people planning, resources and assets. Greater use of digital will support delivery and transformation. There may be a FTE impact. Number to be confirmed as proposals are developed.
Waste Management	8,953	(59)	(290)	(220)	(30)	0	Year 1 operational efficiencies including final savings from the kerbside collection review 2 FTE impact from vacant posts. Total number of service FTE 82.5. Future years savings from implementation of national legislation including Deposit Return Scheme and Extended Producer Responsibility obligations. Remaining savings to be made from further optimisation of the waste service including review of working patterns.
Passenger Transport	1,623	15	(200)	(24)	0	0	Year 1 reversal of a temporary removal of Passenger Transport Manager post and additional income opportunity through use of Development Contribution. Future years savings are related to the review of bus service contracts which will include approach to tender renewal and reviewing and optimising service provision.
<b>Total Savings</b>		<b>(905)</b>	<b>(1,704)</b>	<b>(898)</b>	<b>(286)</b>	<b>(42)</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	42,704	41,276	40,996	41,949	43,035

## Corporate Improvement & Economy

Planning, Housing Strategy & Services, Audit & Risk, Corporate Policy, Economic Development, Emergency Planning, Business Planning Performance & Policy Development, Cultural Services, Sports Services

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Est. SBC Contribution
Town Centre Regeneration	1,912	640	2,552	(457)	2,095	To support the outcome of the Locality/Town review work, including development of new Conservation Areas Regeneration Schemes
Borders Innovation Park	13,463	3,469	16,932	(14,418)	2,514	To support the development of necessary infrastructure to maximise inward investment and the future growth of the Scottish Borders economy
Hawick Regeneration	1,912	0	1,912	(1,912)	0	To support the regeneration of Hawick
Newtown St Boswells Regeneration	344	56	400	0	400	Development phase for the village centre regeneration
Borderlands	35,702	58,257	93,959	(93,327)	632	The Borderlands Inclusive Growth Deal is focused on achieving transformational change to increase productivity, grow the working age population, and contribute to inclusive and sustainable growth.
Sports Infrastructure	3,127	6,417	9,544	(4,757)	4,787	Capital allocation to Sports Trusts to improve and refurbish SBC owned Sport and Leisure facilities and a Synthetic Pitch Replacement Fund to manage the replacement of synthetic pitches across the Borders
Culture & Heritage	904	0	904	0	904	Public Halls upgrades, and planned demolition work in relation to the former Cross Keys public house
Private Sector Housing Grant	1,515	3,500	5,015	0	5,015	Grant funding to assist the provision of major adaptations to Private Sector housing following a needs and priority assessment by Social Work
<b>Total Investment</b>	<b>58,879</b>	<b>72,339</b>	<b>131,218</b>	<b>(114,871)</b>	<b>16,347</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	9,835	10,152	9,943	9,810	9,704
Permanent Virements	33	0	0	0	0
<b>Revised Base Budget</b>	<b>9,868</b>	<b>10,152</b>	<b>9,943</b>	<b>9,810</b>	<b>9,704</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Great Tapestry of Scotland opening	32	0	(32)	0	0	0	Adjustments to initial budget created in 2019/20
Workforce budget adjustments	5,152	106	105	107	110	113	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	64	1	1	1	1	1	To allow for anticipated inflationary increases
Sustainability Officer post	0	55	0	0	0	0	Dedicated post to ensure Council's commitment to sustainability, to the UN Sustainable Development Goals and responding to the Climate Emergency is mainstreamed & work of Sustainable Development Committee is delivered
Private Sector Housing Grants admin fee	(8)	2	0	0	0	0	Anticipated shortfall in private sector housing grants admin fee due to COVID-19
Investment from Second Homes Council Tax	1,132	79	36	38	38	40	Investment from Second Homes Council Tax as a result of anticipated increased income



## Corporate Improvement & Economy

Planning, Housing Strategy & Services, Audit & Risk, Corporate Policy, Economic Development, Emergency Planning, Business Planning Performance & Policy Development, Cultural Services, Sports Services

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Planning Fee Income	(2,199)	275	0	0	0	0	Bring base budget in line with anticipated income
<b>Total Pressures</b>		<b>518</b>	<b>110</b>	<b>146</b>	<b>149</b>	<b>154</b>	

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Structure review within Corporate Improvement & Economy	1,247	(62)	0	0	0	0	Review of structure within the wider Corporate Improvement & Economy service. 1FTE impact from vacant post. Total number of Service FTE 27.26
Additional Fees & Charges Income across Corporate Improvement & Economy	(124)	(7)	(5)	(5)	(5)	(6)	Extra income from higher Fees & Charges which have been increased in line with inflation.
Management Fee reduction to Live Borders based on 3% reduction and agreement with Live Borders that they will manage budget pressures within existing management fee	5,393	(156)	(251)	(246)	(250)	0	The previously agreed 3 year agreement ending in 2021/22 will continue to enable joint work on delivering a number of key strategic projects including property rationalisation and allow delivery of services to achieve joint strategic outcomes. A new three year agreement for 2022/23-2024/25 will be underpinned by the budget <a href="#">set out here</a> .
Planning	2,644	(9)	(63)	(9)	0	0	Review of internal processes and technology opportunities to drive efficiencies.
Audit & Risk	390	0	0	(19)	0	0	To explore further joint working opportunities with other local authorities.
<b>Total Savings</b>		<b>(234)</b>	<b>(319)</b>	<b>(279)</b>	<b>(255)</b>	<b>(6)</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	10,152	9,943	9,810	9,704	9,852

## Health and Social Care

Child & Adult Protection, Emergency Duty, Quality Improvement, Criminal Justice, Safer Communities, Older People, Learning Disability, Mental Health, Physical Disability, Generic Services, Public Health, Children & Families Social Work, SB Cares

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
Care Inspectorate Requirements (Older People)	119	299	418	0	418	Residential Care Home works in order to deliver specific recommendations identified within the Care Inspectorate inspections.
Residential Care Accommodation Replacement	14,207	8,472	22,679	0	22,679	Two new proposed Residential Care Homes.
Technology Enabled Care	0	0	0	0	0	Investment in Technology Enabled Care to support individuals to remain independent and healthy.
Residential Care Accommodation Upgrades	1,445	0	1,445	0	1,445	Residential Care Accommodation upgrades
<b>Total Investment</b>	<b>15,771</b>	<b>8,771</b>	<b>24,542</b>	<b>0</b>	<b>24,542</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	77,136	80,299	82,575	85,508	88,402
Permanent Virements	(683)	0	0	0	0
<b>Revised Base Budget</b>	<b>76,453</b>	<b>80,299</b>	<b>82,575</b>	<b>85,508</b>	<b>88,402</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Workforce budget adjustments	23,721	677	597	608	622	632	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	175	4	5	5	5	5	To allow for anticipated inflationary increases.
Borders Care & Repair Contract	481	0	1	1	2	0	To allow for small inflationary increases to external contracts.
Older People, young adults with learning / physical disabilities / mental health demographic increases	17,474	1,029	1,029	1,029	1,029	1,029	Forecast additional cost of people needing support.
COSLA Residential Care Home Contract (Older People)	8,445	350	362	375	388	402	Increase COSLA Care Home Contract by 3.5% p.a.
Personal Protective Equipment (PPE)	79	480	(480)	0	0	0	Estimated impact of COVID-19
Community Equipment Store	512	50	(50)	0	0	0	Increase in equipment required linked to COVID-19
Community Justice CPP Transitional Funding		13	0	0	0	0	As per SG Settlement
Extra Care Housing (ECH) - Dementia Unit Running Costs	2,915	0	550	550	0	0	Costs for ECH Dementia Unit per June 2018 report to Executive.
Extra Care Housing Developments (Todlaw, Duns) - Running costs	2,915	160	33	0	0	0	Net running costs associated with new ECH developments at Todlaw, Duns, in line with proposed contract with Trust Housing Association (planned opening April 2021).
Extra Care Housing Developments (Langhaugh, Galashiels) - Running costs	2,915	483	42	0	0	0	Net running costs associated with new ECH developments at Langhaugh, Galashiels, in line with capital plan and current care provision assumptions (planned opening July 2021).
Foster, Kinship and Through Care Fees and Allowances Uplift	2,589	50	51	52	53	54	2% per annum.
Sustain partnership with Aberlour	0	250	0	0	0	0	Spend to save investment

## Health and Social Care

Child & Adult Protection, Emergency Duty, Quality Improvement, Criminal Justice, Safer Communities, Older People, Learning Disability, Mental Health, Physical Disability, Generic Services, Public Health, Children & Families Social Work, SB Cares

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Corporate Parent	0	5	0	0	0	0	Support at university
Extra Care Housing Developments (Kelso) - Running costs	2,915	0	292	0	0	0	Net running costs associated with new ECH developments at Kelso, in line with capital plan and current care provision assumptions (planned completion 2022/23).
Extra Care Housing Developments (Eyemouth) - Running costs	2,915	0	630	0	0	0	Net running costs associated with new ECH developments at Eyemouth, in line with capital plan and current care provision assumptions (planned completion 2022/23).
Additional dementia care (Queens House)	14,303	7	8	8	8	0	Additional dementia beds in Queens House commissioned for 5 years.
Criminal Justice	1,234	22	0	0	0	0	As per SG Settlement
Safer Communities	1,189	23	(10)	0	0	0	Mainstreaming of Domestic Abuse Service from July 2020 on cessation of external funding.
Prepayment Cards - Self Directed Support	6,283	(74)	0	0	0	0	Removal of prior year budget growth relating to the Implementation of alternative payment process for Direct Payments for Self Directed Support clients.
Shared Lives (LD)	12,929	124	57	0	0	0	Shared lives external providers management fee
Single Handed Care Proposal	5,819	(150)	0	0	0	0	Reduction in investment required for Single Handed Care savings Proposal.
Appropriate Adult	0	21	0	0	0	0	Scottish Government funding
H&SC Adult Protection Officer (1.5 FTE)	391	70	0	0	0	0	Investment to meet service capacity pressures
Personal & Nursing Care for Older People		349	0	0	0	0	As per SG Settlement
Carers Act extension		659	0	0	0	0	As per SG Settlement
Scottish Living Wage	0	787	787	787	787	787	Funding to provide for Scottish Living Wage paid by care providers to their staff.
<b>Total Pressures</b>		<b>5,389</b>	<b>3,904</b>	<b>3,415</b>	<b>2,894</b>	<b>2,909</b>	

## Health and Social Care

Child & Adult Protection, Emergency Duty, Quality Improvement, Criminal Justice, Safer Communities, Older People, Learning Disability, Mental Health, Physical Disability, Generic Services, Public Health, Children & Families Social Work, SB Cares

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Better use of Fleet Vehicles	278	(45)	(45)	(45)	0	0	Wider roll out of fleet vehicles by SB Cares' staff.
Review of Care Packages (Older People and Learning Disability)	6,721	(60)	(30)	0	0	0	Robust reviewing of Care Packages utilising external consultation to undertake the review and standardise the approach across Older People and Learning Disability. A reduction in FTE's is not likely as a result of this scheme.
Review of Day Care Services (Learning Disability)	1,907	(150)	0	0	0	0	Review and re-provide for client needs, as appropriate. The review will engage stakeholders and benchmark service provision with other local authorities in Scotland and propose alternative service provision. This will include the new digital strategy to support providing services in different ways to reduce isolation and increase social interaction. This is likely to be a change from building to community based workplace and no FTE impact is expected.
Reablement of Homecare	5,819	(572)	(591)	(337)	0	0	Review of Homecare provision and expansion of reablement model. Staff will be trained in reablement approach and identified lower cost providers of homecare services to provide personal care. Currently part way through the pilot to verify local impact, but assuming half the impact is applied to SB Cares there is an estimated reduction of 11 FTE's. Due to the high turnover of care staff within the sector, this will be managed through vacancy control.
Trusted Assessment (Older People and Learning Disability)	6,721	(50)	0	0	0	0	Introduction and roll out of Trusted Assessment Model. Assessments will be undertaken earlier, within the patients home and avoiding duplication to enhance the patient experience and provide a person centred approach. Digital solutions and improved efficiencies will enable Social Work staff to focus more on their complex and statutory duties. Estimated 1 FTE reduction.
Complex Care (Learning Disability)	12,929	(100)	(100)	0	0	0	Service redesign; repatriation of clients from outside the Scottish Borders area.
Direct Payment Recoupment	6,283	100	150	0	0	0	Reduce the contingency of funding held by clients from 8 weeks to 4 weeks. Reinstatement of the temporary saving realised in 20/21.

## Health and Social Care

Child & Adult Protection, Emergency Duty, Quality Improvement, Criminal Justice, Safer Communities, Older People, Learning Disability, Mental Health, Physical Disability, Generic Services, Public Health, Children & Families Social Work, SB Cares

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Locality Working (Older People and Learning Disability)	1,709	0	(150)	0	0	0	Roll out of the Locality Model of working. Providing support to communities through a single point of contact and working collaboratively with third sector. This improved integrated partnership model will provide improved support to communities and deliver the SBC Community Plan and financial efficiencies. No FTE impact is expected from this scheme as staffing will be redistributed to meet needs.
Shared Lives	12,929	(566)	(662)	0	0	0	Commissioning of Shared Lives Service to assist people to remain in a family setting, reducing reliance on out of Council placements and allowing clients to remain as independent as possible.
Residential Care Retendering	5,458	(100)	(200)	(100)	0	0	Review of delivery arrangements for Residential Care to ensure the service delivery model provides best value in an environment of increasing service demand. The proposal is remodelling of Gardenview and Waverley, with Upper Deanfield to follow. There is an estimated increase required of 12 FTE's which will be confirmed as work progresses. The additional staff costs will be offset by a reduction in private care providers costs to generate the required savings.
<b>Total Savings</b>		<b>(1,543)</b>	<b>(1,628)</b>	<b>(482)</b>	<b>0</b>	<b>0</b>	

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Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	80,299	82,575	85,508	88,402	91,311

## Young People Engagement and Inclusion

Early Years, Primary Schools, Secondary Schools, Additional Support Needs, Educational Psychology, Central Schools, School Meals, School Transport, Community Learning & Development (CLD)

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
Early Years Expansion	2,690	0	2,690	(2,690)	0	Projected construction costs of EY provision
Eyemouth Primary School	10,902	4,000	14,902	0	14,902	Projected construction costs of new Primary School at Eyemouth
Earlston Primary School	13,210	225	13,435	(1,763)	11,672	Projected construction costs of new Primary School at Earlston
Gala Academy	35,019	20,030	55,049	0	55,049	Projected construction costs of new High School in Galashiels
New Hawick High School	1,537	46,663	48,200	0	48,200	Projected construction costs of new High School in Hawick
Peebles High School	34,040	11,960	46,000	(5,000)	41,000	£5m insurance contribution to a new Peebles High School with an estimated cost of £46m
School Estate Block	5,400	12,530	17,930	(1,000)	16,930	Programme of works across the school estate to ensure compliance with a range of legislation in relation to health and safety, care inspectorate, environmental health and Insurers and to enable improvement of safety in schools
<b>Total Investment</b>	<b>102,798</b>	<b>95,408</b>	<b>198,206</b>	<b>(10,453)</b>	<b>187,753</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	108,443	110,774	111,829	113,630	115,603
Permanent Virements	(224)	0	0	0	0
<b>Revised Base Budget</b>	<b>108,219</b>	<b>110,774</b>	<b>111,829</b>	<b>113,630</b>	<b>115,603</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Workforce budget adjustments	84,496	1,712	1,620	1,653	1,686	1,720	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	160	2	2	2	2	2	To allow for anticipated inflationary increases
Unitary Charge Public-Private Partnership (PPP) Schools	9,484	142	270	277	285	293	Contractual inflationary increase required for the 3 High Schools built with PPP funding. RPI rate of 1.5% in 21/22 and 2.8% thereafter
Pupil Equity Fund (PEF)	1,762	2	0	0	0	0	As per SG settlement
Wipes in Secondary schools	0	520	(520)	0	0	0	Required Covid-19 mitigation measure in schools 21/22
Masks in schools	0	28	(28)	0	0	0	Required Covid-19 mitigation measure in schools 21/22
Early Learning & Childcare expansion	10,869	1,255	0	0	0	0	Specific grant as per SG settlement, equates to approximately 34 FTE
<b>Total Pressures</b>		<b>3,661</b>	<b>1,344</b>	<b>1,932</b>	<b>1,973</b>	<b>2,015</b>	

## Young People Engagement and Inclusion

Early Years, Primary Schools, Secondary Schools, Additional Support Needs, Educational Psychology, Central Schools, School Meals, School Transport, Community Learning & Development (CLD)

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Increased fees & charges - School Meals 2021/22 & 2022/23, Music tuition 2021/22 and general inflationary increase to Lets	(805)	(35)	(31)	(6)	0	0	Forecast fees & charges increase to be agreed. (10p increase in price of a school meal in 2021/22, and 2022/23) and inflationary increase on Lets.
Inspire Learning	(93)	(81)	0	0	0	0	Efficiencies within YPEI arising from Inspire Learning
Jedburgh Campus funding changes	975	(245)	0	0	0	0	Reduce funding requirement for Jedburgh Campus in line with Financial Model
Primary and Secondary Schools Implementation of Revised DSM Scheme in August 2020	56,737	(529)	0	0	0	0	DSM Scheme being reviewed in line with National requirements. The new allocation methodology will create a structure which ensures parity and transparency in allocations and structures across all schools. This new scheme will likely result in reduced allocations relating to school management structures of up to 16 FTE with a change in duties and grade for a number of staff, with no detriment to class facing FTE or the pupil : teacher ratio. The total number of employees in this area is 211.72 FTE
Central Schools	1,712	(177)	(125)	(125)	0	0	Review of Central Schools, Management Structures and Learning Estate Rationalisation will commence in 2021/22. Intention is to create a focussed and fit-for-purpose structure providing strategic leadership for the core objectives as set out in the Children & Young People Improvement Plan, identifying service delivery models that support outcomes for Children & Young People at a locality model. This may result in a change in duties and grade for a number of staff and a reduction of up to 3 FTE. The total number of employees in this area is 39.91FTE.
School Transport	3,442	0	(133)	0	0	0	Revised delivery arrangements following Transport pilot project. School Transport is outsourced and will have to be retendered once all the revised delivery arrangements have been modelled.
Community Learning & Development	960	(39)	0	0	0	0	Targeted efficiencies to be delivered from the 'Communities Development Review' workstream within Fit for 2024. Roles within CLD are to be reviewed in conjunction with other services that fit within the locality model. The 2021/22 saving equates to an FTE of 1. The total number of employees in this area is 20.21 FTE
<b>Total Savings</b>		<b>(1,106)</b>	<b>(289)</b>	<b>(131)</b>	<b>0</b>	<b>0</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	110,774	111,829	113,630	115,603	117,618



## Customer & Communities

Business Support, Community Planning & Engagement, Communities Fund, Customer Advice & Support, Democratic Services, Business Change & Programme Management, Discretionary Housing Payments, Housing Benefits, Non Domestic Rates Relief, Scottish Welfare Fund and Assessors.

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
N/A	0	0	0	0	0	
<b>Total Investment</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	19,619	20,309	20,216	19,973	20,280
Permanent Virements	(12)	0	0	0	0
<b>Revised Base Budget</b>	<b>19,607</b>	<b>20,309</b>	<b>20,216</b>	<b>19,973</b>	<b>20,280</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Local Government election	2	0	90	(90)	0	0	Adjustment of budget required to run local government elections every 5 years.
Workforce budget adjustments	13,859	355	284	290	295	302	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	466	9	10	10	10	10	To allow for anticipated inflationary increases.
Contract Inflation	220	2	2	2	2	0	To allow for small inflationary increases to external contracts.
Rapid Rehousing funded by Scottish Government	162	4	(166)	0	0	0	Provided as part of SG Settlement.
Scottish Welfare Fund	546	50	0	0	0	0	Increase budget in line with Scottish Government funding
Discretionary Housing Payments (DHP)	0	733	0	0	0	0	Reflect DHP in the base budget funded through the Settlement
Customer Advice & Support Services	150	51	74	0	0	0	Pressure on National Non Domestic Rates.
Assessors - Barclay Implementation	150	50	0	0	0	0	As per SG Settlement.
<b>Total Pressures</b>		<b>1,254</b>	<b>294</b>	<b>212</b>	<b>307</b>	<b>312</b>	

## Customer & Communities

Business Support, Community Planning & Engagement, Communities Fund, Customer Advice & Support, Democratic Services, Business Change & Programme Management, Discretionary Housing Payments, Housing Benefits, Non Domestic Rates Relief, Scottish Welfare Fund and Assessors.

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Assessors & Electoral Registration Services	203	(17)	0	0	0	0	Structural review as a result of legislative change - Canvass Reform for Electoral Registration. £5k of the savings are estimated to have an FTE impact on temporary relief staff canvassers not permanent staff.
Assessors & Electoral Registration Services	764	0	0	(62)	0	0	Fit for 2024 review of the service - Valuation Roll (non-domestic rates), Council Tax Valuations & Electoral Registration.
Members travel budget to be redirected to establish a Sustainability Officer post	64	(50)	0	0	0	0	Reduction in member travel associated with online digital meetings
A re-designed operating model through the rollout of digital services across the Council across Business Support and Customer Advice & Support Services	9,550	(446)	(355)	(372)	0	0	Carry out a Fit for 2024 review of these services to look at opportunities to combine/consolidate resources. This will involve a standardised, streamlined process across the organisation, as well as a dependency on the property rationalisation programme. Estimated FTE reductions are 12 FTE from an establishment of 369 FTE.
A review of community capacity/development resources across the Council	199	(39)	(32)	(21)	0	0	Carry out a Fit for 2024 review of the resources across the organisation that have a role in community development or community capacity building and review arrangement with external bodies. There is likely to be a reduction of c.1 FTE across the organisation.
<b>Total Savings</b>		<b>(552)</b>	<b>(387)</b>	<b>(455)</b>	<b>0</b>	<b>0</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	20,309	20,216	19,973	20,280	20,592

## Finance and Regulatory Services

Chief Executive, Finance, Information Technology, Loan Charges, Legal & Protective Services

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
ICT - Out with existing contract Scope	168	512	680	0	680	IT works outwith the scope of the CGI contract
ICT Transformation	0	313	313	0	313	IT replacements, upgrades and transformation across the Council
Inspire Learning	842	466	1,308	0	1,308	Remaining Capital Requirement of Inspire Learning Programme
IT Projects - pre CGI Contract	110	0	110	0	110	IT equipment relating to technology related change in the services
Extension of CGI Contract	23,960	0	23,960	(8,000)	15,960	Investment to support Digital Transformation across the Council
Emergency & Unplanned	525	1,225	1,750	0	1,750	Budget to deliver emergency works in year
<b>Total Investment</b>	<b>25,605</b>	<b>2,516</b>	<b>28,121</b>	<b>(8,000)</b>	<b>20,121</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	36,340	35,754	36,743	38,633	39,681
Permanent Virements	25	0	0	0	0
<b>Revised Base Budget</b>	<b>36,365</b>	<b>35,754</b>	<b>36,743</b>	<b>38,633</b>	<b>39,681</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Workforce budget adjustments	6,147	132	126	129	131	133	To provide for pay award at 2% each year pending national pay negotiations
Non-pay inflation	4,255	57	86	88	90	92	To allow for anticipated inflationary increases
Recharge to non general fund	(603)	40	0	0	0	0	Bring budget in line with current recharging opportunities
IT costs per agreed contract	7,286	16	(40)	15	204	0	As per the agreed IT Financial Model
Loans Charges to provide for capital	19,111	293	1,383	2,160	769	0	Revenue cost of capital borrowing for new projects
Funding for Environmental Health Officers	942	54	0	0	0	0	Scottish Government funding linked to increased workload from COVID-19
Inspire Learning: Service Costs, Loans Charges & Operating Leases	27,311	84	224	(143)	(132)	0	Reprofiling of service costs and loans charges; Loans Charges, Leasing, Service Costs net of Efficiencies (Refresh)
One-off funding from Scottish Government	550	(550)	0	0	0	0	Funding received temporarily in 2020/21 and reversed out in 2021/22
<b>Total Pressures</b>		<b>126</b>	<b>1,779</b>	<b>2,249</b>	<b>1,062</b>	<b>225</b>	

## Finance and Regulatory Services

Chief Executive, Finance, Information Technology, Loan Charges, Legal & Protective Services

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Delivery of Contract Management Savings	0	(400)	(400)	0	0	0	Savings are targeted from efficiencies in contract management which is supported by new Business World Functionality
Additional Fees & Charges Income across Regulatory Services	(664)	(34)	(14)	(14)	(14)	0	Extra income from higher Fees & Charges which have been increased in line with inflation. New charges introduced in 21/22 in respect of Risk Assessments for Regulated Water Supplies
Finance savings	2,663	(125)	(125)	(125)	0	0	These savings build on a previous significant restructure by managing vacancies to achieve medium and long term savings. Team structures within Finance will be reviewed in light of confirmed staffing changes and automation of processes. The savings equate to approximately 3 FTE. The total number of employees in this area is 66.4 FTE.
IT savings	7,286	(100)	(100)	(100)	0	0	Reviews will be carried out including elements of the CGI contract to ensure contract remains fit for purpose and operates as efficiently as possible.
Loans Charges	19,111	(25)	(25)	(25)	0	0	Ongoing review of the loans fund to ensure that the statutory repayment of debt is links more closely to the life of assets which have previously been financed through borrowing
Legal Services	1,085	(34)	(40)	(9)	0	0	Vacancies and staffing levels will continue to be managed to deliver efficiencies and savings. The savings equate to approximately 1 FTE. The total number of employees in this area is 27.5 FTE.
Protective Services	1,724	(19)	(86)	(86)	0	0	Transform the service using technology which will assist in streamlining processes and in turn improve efficiency. Changes to charging regime for Private Water Supplies.
<b>Total Savings</b>		<b>(737)</b>	<b>(790)</b>	<b>(359)</b>	<b>(14)</b>	<b>0</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	35,754	36,743	38,633	39,681	39,906

## Human Resources

Human Resources, Early Retirement/Voluntary Severance, Employment Support Service, Communications & Marketing, Corporate Transformation

Capital Investment	3 year operational £'000s	7 year strategic £'000s	TOTAL	Est External Funding	Est. SBC Contribution	Detail
N/A	0	0	0	0	0	
<b>Total Investment</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Revenue Opening Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget (approved 26th February 2020)	5,978	6,470	6,474	6,444	6,510
Permanent Virements	397	0	0	0	0
<b>Revised Base Budget</b>	<b>6,375</b>	<b>6,470</b>	<b>6,474</b>	<b>6,444</b>	<b>6,510</b>

Budget Pressures	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
Workforce budget adjustments	3,062	81	64	65	66	66	To provide for pay award at 2% each year pending national pay negotiations
Apprenticeship Levy	550	85	0	0	0	0	Increase budget for apprenticeship levy in line with current workforce budget
<b>Total Pressures</b>		<b>166</b>	<b>64</b>	<b>65</b>	<b>66</b>	<b>66</b>	

Savings Proposals	Base Budget £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s	Detail
HR	2,410	(20)	(20)	(83)	0	0	Service reviews over the next 3 years within the Human Resources team including structural changes as a result of process reviews. Estimated FTE impact 1.17 FTE. Total number of service FTE 57.08
Communications & Marketing	542	(46)	(7)	(7)	0	0	Replace the delivery of SB Connect three times yearly to households with an online digital version. Structural and process re-engineering review and income generation opportunities.
Employment Support Service	378	(5)	(33)	(5)	0	0	Structural and process re-engineering review. Estimated FTE impact 0.4 FTE. Total number of service FTE 11
<b>Total Savings</b>		<b>(71)</b>	<b>(60)</b>	<b>(95)</b>	<b>0</b>	<b>0</b>	

Revenue Closing Position	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s	2025/26 £'000s
Base Budget 2021/22	6,470	6,474	6,444	6,510	6,576

Scottish Borders Council  
Draft Capital Investment Plan 2021/22 to 2030/31  
Capital Investment Proposals

	CAPITAL INVESTMENT PROPOSALS	2021/22 £'000	2022/23 £'000	2023/24 £'000	Total Operational Plan	2024/25 £'000	2025/26 £'000	2026/27 £'000	2027/28 £'000	2028/29 £'000	2029/30 £'000	2030/31 £'000	Total Strategic Plan	Total £'000	Specific Project Funding	Net cost to SBC Capital
	<b>Plant &amp; Vehicle Fund</b>															
	Plant & Vehicle Replacement - P&V Fund	2,000	2,000	2,000	6,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	14,000	20,000	(20,000)	0
	<b>Flood &amp; Coastal Protection</b>															
Block	Flood Prevention Works & Scheme Preparation	431	372	372	1,175	372	372	372	372	372	372	372	2,604	3,779	0	3,779
Block	General Flood Protection Block	112	0	0	112	0	0	0	0	0	0	0	0	112	0	112
	Hawick Flood Protection	26,427	18,707	12,840	57,974	1,543	1,175	0	0	0	0	0	2,718	60,692	(51,268)	9,424
	<b>Land and Property Infrastructure</b>															
Block	Asset Rationalisation & Demolition	1,977	967	0	2,944	0	0	0	0	0	0	0	0	2,944	0	2,944
	Coldstream Cemetery Development	528	0	0	528	0	0	0	0	0	0	0	0	528	0	528
Block	Cemetery Land Acquisition & Development	601	294	0	895	105	0	334	649	0	0	0	1,088	1,983	0	1,983
	Jedburgh High Street Building	500	1,062	428	1,990	0	0	0	0	0	0	0	0	1,990	(450)	1,540
Block	Building Upgrades	484	437	437	1,358	437	437	624	624	624	624	624	3,994	5,352	0	5,352
Block	Energy Efficiency Works	1,245	1,045	1,045	3,335	1,045	1,045	1,045	1,045	1,045	1,045	1,045	7,315	10,650	0	10,650
Block	Health and Safety Works	529	400	400	1,329	400	400	500	500	500	500	500	3,300	4,629	0	4,629
Block	Outdoor Community Spaces	1,516	828	508	2,852	510	511	111	111	111	0	0	1,354	4,206	(209)	3,997
	<b>Road &amp; Transport Infrastructure</b>															
Block	Cycling Walking & Safer Streets	406	406	406	1,218	406	406	247	247	247	247	247	2,047	3,265	(3,265)	0
	Engineering Minor Works	14	0	0	14	0	0	0	0	0	0	0	0	14	(14)	0
Block	Lighting Asset Management Plan	209	160	160	529	160	160	160	160	160	160	160	1,120	1,649	0	1,649
	Peebles Bridge	0	0	0	0	0	0	0	0	0	0	420	420	420	0	420
	Reston Station Contribution	600	0	0	600	1,740	0	0	0	0	0	0	1,740	2,340	(100)	2,240
Block	Roads & Bridges -inc. RAMP, Winter Damage & Slopes	7,660	7,660	7,660	22,980	7,100	7,100	7,100	7,100	7,100	7,100	7,100	49,700	72,680	(500)	72,180
	<b>Waste Management</b>															
	Easter Langlee Cell Provision	59	0	0	59	0	0	0	0	0	0	0	0	59	0	59
	Easter Langlee Leachate Management Facility	240	0	0	240	0	0	0	0	0	0	0	0	240	(299)	(59)
	Wheeled Bins (100 in total) - Street Cleansing	52	0	0	52	0	0	0	0	0	0	0	0	52	0	52
	Waste Containers	35	35	36	106	37	37	54	54	54	54	54	344	450	0	450
	<b>Corporate</b>															
Block	ICT - Outwith CGI Scope	56	56	56	168	56	56	80	80	80	80	80	512	680	0	680
	ICT Transformation	0	0	0	0	0	0	242	25	24	22	0	313	313	0	313
	IT Projects - pre CGI Contract	110	0	0	110	0	0	0	0	0	0	0	0	110	0	110
	Extension of CGI contract	11,185	9,533	3,242	23,960	0	0	0	0	0	0	0	0	23,960	(8,000)	15,960
	Inspire Learning	48	111	683	842	128	65	143	65	65	0	0	466	1,308	0	1,308

Scottish Borders Council  
Draft Capital Investment Plan 2021/22 to 2030/31  
Capital Investment Proposals

	CAPITAL INVESTMENT PROPOSALS	2021/22 £'000	2022/23 £'000	2023/24 £'000	Total Operational Plan	2024/25 £'000	2025/26 £'000	2026/27 £'000	2027/28 £'000	2028/29 £'000	2029/30 £'000	2030/31 £'000	Total Strategic Plan	Total £'000	Specific Project Funding	Net cost to SBC Capital
	<b>Learning Estate</b>															
	Eymouth Primary School	0	3,500	7,402	10,902	4,000	0	0	0	0	0	0	4,000	14,902	0	14,902
	Earlston Primary School	450	8,597	4,163	13,210	225	0	0	0	0	0	0	225	13,435	(1,763)	11,672
	Gala Academy	891	14,128	20,000	35,019	16,360	3,670	0	0	0	0	0	20,030	55,049	0	55,049
	Early Years Expansion	2,690	0	0	2,690	0	0	0	0	0	0	0	0	2,690	(2,690)	0
	New Hawick High School	200	400	937	1,537	8,624	21,593	16,446	0	0	0	0	46,663	48,200	0	48,200
	Peebles High School	2,300	10,120	21,620	34,040	11,960	0	0	0	0	0	0	11,960	46,000	(5,000)	41,000
Block	Learning Estate Block	1,800	1,800	1,800	5,400	1,790	1,790	1,790	1,790	1,790	1,790	1,790	12,530	17,930	(1,000)	16,930
	<b>Sports Infrastructure</b>															
Block	Culture & Sports Trusts - Plant & Services	362	215	215	792	215	215	290	290	290	290	290	1,880	2,672	0	2,672
	Synthetic Pitch Replacement Fund	153	358	369	880	380	1,792	473	473	473	473	473	4,537	5,417	(4,757)	660
	Netherdale Stand	1,450	0	0	1,450	0	0	0	0	0	0	0	0	1,450	0	1,450
	Floodlighting	5	0	0	5	0	0	0	0	0	0	0	0	5	0	5
	<b>Culture &amp; Heritage</b>															
Block	Public Halls Upgrades	279	0	0	279	0	0	0	0	0	0	0	0	279	0	279
	Sir Walter Scott Courthouse - Phase 2	625	0	0	625	0	0	0	0	0	0	0	0	625	0	625
	<b>Economic Regeneration</b>															
Block	Borders Town Centre Regeneration Block	723	70	70	863	70	70	100	100	100	100	100	640	1,503	(457)	1,046
	Borders Innovation Park	4,563	2,620	6,280	13,463	3,469	0	0	0	0	0	0	3,469	16,932	(14,418)	2,514
	Newtown St Boswells Regeneration	140	84	120	344	56	0	0	0	0	0	0	56	400	0	400
	Eymouth Regeneration	299	0	0	299	0	0	0	0	0	0	0	0	299	0	299
	Hawick Regeneration	1,912	0	0	1,912	0	0	0	0	0	0	0	0	1,912	(1,912)	0
	Borderlands	688	9,251	25,763	35,702	17,062	10,939	14,838	9,752	1,595	520	3,551	58,257	93,959	(93,327)	632
	Earlston Business Relocation	750	0	0	750	0	0	0	0	0	0	0	0	750	0	750
	<b>Housing Strategy &amp; Services</b>															
	Private Sector Housing Grant - Adaptations	565	450	500	1,515	500	500	500	500	500	500	500	3,500	5,015	0	5,015
	<b>Social Care Infrastructure</b>															
Block	Care Inspectorate Requirements & Upgrades	38	40	41	119	41	43	43	43	43	43	43	299	418	0	418
	2 Residential Care Homes	7,914	3,293	3,000	14,207	8,472	0	0	0	0	0	0	8,472	22,679	0	22,679
	Residential Care Accommodation - Upgrades	1,445	0	0	1,445	0	0	0	0	0	0	0	0	1,445	0	1,445
	<b>Other</b>															
	Emergency & Unplanned	175	175	175	525	175	175	175	175	175	175	175	1,225	1,750	0	1,750
	<b>Total</b>	<b>87,441</b>	<b>99,174</b>	<b>122,728</b>	<b>309,343</b>	<b>89,438</b>	<b>54,551</b>	<b>47,667</b>	<b>26,155</b>	<b>17,348</b>	<b>16,095</b>	<b>19,524</b>	<b>270,778</b>	<b>580,121</b>	<b>(209,429)</b>	<b>370,692</b>





Scottish Borders Council  
 Draft Capital Investment Plan 2021/22 to 2030/31  
 Capital Funding Proposals

CAPITAL FUNDING	2021/22 £'000	2022/23 £'000	2023/24 £'000	Total Operational Plan	2024/25 £'000	2025/26 £'000	2026/27 £'000	2027/28 £'000	2028/29 £'000	2029/30 £'000	2030/31 £'000	Total Strategic Plan	Total £000
<b>Borrowing</b>													
- General	(35,031)	(48,098)	(65,764)	<b>(148,893)</b>	(54,157)	(27,874)	(18,948)	(2,522)	(1,872)	(1,694)	(2,092)	<b>(109,159)</b>	<b>(258,052)</b>
<b>Total</b>	<b>(87,441)</b>	<b>(99,174)</b>	<b>(122,728)</b>	<b>(309,343)</b>	<b>(89,438)</b>	<b>(54,551)</b>	<b>(47,667)</b>	<b>(26,155)</b>	<b>(17,348)</b>	<b>(16,095)</b>	<b>(19,524)</b>	<b>(270,778)</b>	<b>(580,121)</b>

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# **Fees and Charges**

2021/22

All fees & charges are quoted exclusive of VAT. Specific services are subject to VAT as required by HM Revenue and Customs. Therefore, where applicable, VAT will be charged in addition to the quoted fee or charge.

SCOTTISH BORDERS COUNCIL	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
<b>FEES &amp; CHARGES</b>						
<b>Children &amp; Young People</b>						

#### School lets - Standard Rate

Assembly Hall - Per Band B Hall per Hour *	£18.00	£18.50	£19.10	3.24%	100	£60
Dining Hall per hour *	£10.50	£10.80	£11.15	3.24%	100	£35
Library per hour *	£10.50	£10.80	£11.15	3.24%	30	£11
Classroom per hour *	£5.50	£5.70	£5.90	3.51%	50	£10
Craft Studio per hour *	£10.50	£10.80	£11.15	3.24%	50	£18
Community Room per hour *	£5.50	£5.70	£5.90	3.51%	200	£40
1 Court per Hour *	£5.50	£5.70	£5.90	3.51%	1,500	£300
2 Courts per Hour *	£11.00	£11.40	£11.80	3.51%	2,000	£800
3 Courts per Hour *	£16.50	£17.00	£17.70	4.12%	3,000	£2,100
4 Courts per Hour *	£22.00	£22.80	£23.60	3.51%	250	£200
Grass Pitch - all (per game up to 2 hours) *	£27.50	£28.50	£29.40	3.16%	1,000	£900
Synthetic Pitch (2G)	£24.00	£25.00	£25.80	3.20%	500	£400
Synthetic Pitch (2G) - Half Pitch	£12.00	£12.50	£12.90	3.20%	3,000	£1,200

#### Discounts

Junior Use entitled to 33% discount

#### Commercial Rate

Twice Standard rate

#### Fees Music Instruction Fees

Fee per annum New Start**	£ 100.00	£100.00	£103.00	3.00%	328	£984
Fee per annum Continuation**	£ 150.00	£150.00	£155.00	3.33%	520	£2,600
Residential Fee per pupil***	£ 115.00	£115.00	£120.00	4.35%	175	£875
Instrument Loan	£ 82.00	£82.00	£85.00	3.66%	13	£39

#### School Meals

Primary Schools - Pupil Meal cost^	£2.20	£2.30	£2.40	4.35%	250,000	£25,000
Primary Schools - Adult Meal cost^	£2.70	£2.80	£2.90	3.57%	3,000	£300
					<b>TOTAL</b>	<b>£35,871</b>

\* No Vat on multiple lets of 10+ dates

\*\* Min of 28 1/2hour lessons in academic year)

\*\*\* Non refundable £15 deposit per child

<b>SCOTTISH BORDERS COUNCIL</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>Increase %</b>	<b>Estimated</b>	<b>Estimated</b>
<b>FEEES &amp; CHARGES</b>	<b>Charge</b>	<b>Charge</b>	<b>Charge</b>		<b>Usage</b>	<b>Impact of</b>
<b>Health and Social Care</b>	<b>(excl.vat)</b>	<b>(excl.vat)</b>	<b>(excl.vat)</b>			<b>Inflation</b>
						<b>Increase £'s</b>
Lunch Clubs (per meal)	£3.50	£3.60	£3.70	2.78%	780	£78.00
Meals provided at Day Centres (per meal)	£3.50	£3.60	£3.70	2.78%		£0.00
Meals at home (per meal)	£3.30	£3.30	£3.40	3.03%	58,000	£5,800.00
Day Care (per day attendance)	£3.30	£3.40	£3.50	2.94%		£0.00
Transport (per day)	£2.25	£2.30	£2.35	2.17%		£0.00
<b>Residential<sup>1</sup></b>						
Residential Homes in house (per week)	£702.01	£723.00	£744.69	3.00%		£0.00
External Residential - Single Min (per week)	£614.07	£614.07	£614.07	0.00%	273,659	£0.00
External Residential - Shared (per week)	£589.07	£589.07	£589.07	0.00%	0	£0.00
External Nursing - Single Min (per week)	£714.90	£714.90	£714.90	0.00%	195,576	£0.00
External Nursing - Shared (per week)	£689.90	£689.90	£689.90	0.00%	0	£0.00
Residential Respite - Max (per week)	£437.07	£512.00	£512.00	0.00%		£0.00
Bordercare Alarms (per week)	£4.50	£4.65	£4.80	3.23%		£0.00
Intermediate Care - Max (free for first 42 days)	£525.01	£614.07	£744.69	21.27%		£0.00
Enhanced Residential	£664.49	£714.90	£714.90	0.00%		£0.00
Respite - out with client's own home (per night)	£15.79	£16.26	£16.75	3.00%		£0.00
Station Court						
					<b>TOTAL</b>	<b>£5,878</b>

The above charges are those set by the Council, where specific contribution is required by service users. Clients financially assessed under Self-Directed Support will pay a contribution to all services received, based on their ability to pay.

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
<b>Customer &amp; Communities</b>						

#### Customer Services - Registrars

Notice of Marriage & Civil Partnerships each <sup>1 &amp; 2</sup>	£30.00	£30.00	£30.00	0.00%	335	£ -		
Extract <sup>1</sup>	£10.00	£10.00	£10.00	0.00%	3264	£ -		
Religious Marriage <sup>1 &amp; 2</sup>	£70.00	£70.00	£70.00	0.00%	265	£ -		
Conducting Civil Marriage & Civil Partnership Registration in Office in Office Hours <sup>1 &amp; 2</sup>	£125.00	£125.00	£125.00	0.00%	406	£ 3,126.20		
Conducting Civil Marriage & Civil Partnership Ceremony in Office out with office hours	£250.00	£258.00	£265.00	2.71%				
Conducting Civil Marriage & Civil Partnership Ceremony in Office on Saturday (before 5 p.m.)	£294.00	£300.00	£310.00	3.33%				
Conducting Civil Marriage & Civil Partnership Ceremony in Office on Saturday (after 5 p.m.)		£370.00	£380.00	2.70%				
Conducting Civil Marriage & Civil Partnership Ceremony in Office with 9 or more guests	£245.00	£250.00	£260.00	4.00%				
Civil Partnership converting to same sex marriage	n/a	£30.00	£30.00	0.00%				
Conducting Civil Marriage & Civil Partnership on a Sunday/Public Holidays & New Year at any venue	£360.00	£370.00	£380.00	2.70%				
Conducting Civil Marriage & Civil Partnership after 5pm Office	£320.00	£330.00	£340.00	3.03%				
Conducting Civil Marriage & Civil Partnership in other venue (Monday to Saturday before 5pm)	£345.00	£350.00	£360.00	2.86%				
Conducting Civil Marriage & Civil Partnership in other venue (Monday to Saturday after 5pm)		£370.00	£380.00	2.70%				
Naming & Vow renewing ceremony (during Office Hours)	£145.00	£150.00	£155.00	3.33%			8	£ 40.00
Naming & Vow renewing ceremony (Saturday) <sup>4</sup>	£150.00	£150.00	£155.00	3.33%				
Naming & Vow renewing ceremony (after 5pm) <sup>4</sup>	£150.00	£150.00	£155.00	3.33%				
Naming & Vow renewing ceremony Sunday/Public Holidays, Christmas & New Year <sup>4</sup>	£180.00	£180.00	£180.00	0.00%				
Ceremony Advance booking fee (over 3 months)	£38.00	£40.00	£40.00	0.00%	203	£ -		
Genealogy - per hour <sup>1</sup>	£15.00	£15.00	£15.00	0.00%	0	£ -		
Digros Print <sup>4</sup>	£2.00	£2.00	£2.00	0.00%	12	£ -		
Extracts search fee <sup>1 &amp; 2</sup>	£5.00	£5.00	£5.00	0.00%	63	£ -		
Private Citizenship	£66.00	£68.00	£70.00	2.94%	5	£ 10.00		
Blue Badges <sup>1</sup>	£20.00	£20.00	£20.00	0.00%	2160	£ -		

#### Democratic Services

Property Clearance Certificates	£81.00	£83.00	£85.00	2.41%	33	£ 66
Street Naming	£155.00	£160.00	£165.00	3.13%	21	£ 105
Property Numbering	£77.00	£79.00	£81.00	2.53%	300	£ 600
Property Re-naming	£77.00	£79.00	£81.00	2.53%	5	£ 10

<b>TOTAL</b>	<b>£3,957</b>
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<sup>1</sup> Fees set by national agency.

<sup>2</sup> Fees set by national agency, in some instances these were previously incorrectly published for 2018/19 and 2019/20. All fees were charged at the correct level which were less than the previously published Fees and Charges.

<sup>3</sup> New to the list

<sup>4</sup> Some fees and charges have not been increased, as these are quite high and there is low demand.



SCOTTISH BORDERS COUNCIL FEES & CHARGES								
Asset & Infrastructure	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s		
<b>Parks &amp; Environment</b>								
<b>Burial Grounds</b>								
<b>Purchase of Ground</b>								
Lairs for one or two interments	£821.00	£846.00	£872.00	3.07%	208	£ 5,408		
Woodland burial - land (includes tree & marker)	£821.00	£846.00	£872.00	3.07%				
Lairs for cremation caskets (up to 4)	£821.00	£846.00	£872.00	3.07%				
<b>Interments</b>								
Adults (first, or re-open)	£706.00	£728.00	£750.00	3.02%	599	£ 13,178		
Woodland burial - interment	£706.00	£728.00	£750.00	3.02%				
Cremation caskets	£234.00	£242.00	£250.00	3.31%				
<b>Interments on a Saturday (last interment 10:30am)</b>								
Adult	£907.00	£935.00	£964.00	3.10%				
Cremation caskets	£369.00	£381.00	£393.00	3.15%				
<b>Interments on a Sunday, holiday or out with seasonal working hours</b>								
Adult	£1,197.00	£1,233.00	£1,270.00	3.00%				
Cremation caskets	£479.00	£494.00	£509.00	3.04%				
<b>Other Charges</b>								
Re-issue of lair certificate	£29.00	£30.00	£31.00	3.33%	5	£ 5		
Burial search fee - first hour	£45.50	£47.00	£48.50	3.19%	100	£ 150		
Burial search fee - second hour	£45.50	£47.00	£48.50	3.19%				
Burial search fee - each additional hour	£11.40	£11.80	£12.20	3.39%				
Marking out, excavate only	£153.00	£158.00	£163.00	3.16%		£ -		
<b>Headstone foundations</b>								
Marking out, excavate, lay foundation	£181.00	£187.00	£193.00	3.21%	305	£ 1,830		
Marking out, excavate only	£153.00	£158.00	£163.00	3.16%	9	£ 45		
<b>Administration Charges</b>								
Non resident lair sale/interment premium 50% of fee	£411.00	£424.00	£437.00	3.07%	17	£ 221		
Admin fee per burial	£56.00	£58.00	£60.00	3.45%	593	£ 1,186		
Issuing Title deed	£28.00	£29.00	£30.00	3.45%	208	£ 208		
Fee selling lair back to SBC - 10% of price paid		£0.00	£0.00	0.00%	12	£ -		
Fee to test dig a lair	£706.00	£728.00	£750.00	3.02%	0	£ -		
Marking a grave for placement of small memorial	£94.00	£97.00	£100.00	3.09%	12	£ 36		
Scattering ashes	£56.00	£58.00	£60.00	3.45%	0	£ -		
Memorial Tree	£33.00	£34.00	£35.00	2.94%	2	£ 2		
<b>Public Conveniences</b>								
RADAR Keys for disabled facilities	£5.00	£5.00	£5.00	0.00%	107	£ -		
<b>Parks &amp; Open Spaces</b>								
<b>Allotments</b>								
Admin Fee	£43.50	£43.50	£43.50	0.00%	82	£ -		
No fee per m2 of plot has been charged								
<b>Changing Pavilion - Hawick</b>								
Dressing room and showers - per 2 teams								
- Adults, Monday to Saturday	£33.00	£34.00	£35.00	2.94%	19	£ 19		
- Adults, Sunday	£40.00	£41.00	£42.00	2.44%	0	£ -		
- Juveniles, Monday to Saturday	£13.50	£14.00	£14.50	3.57%	1	£ 1		
- Juveniles, Sunday	£15.50	£16.00	£16.50	3.13%	5	£ 3		
Individual showers inc. of dressing room								
- Adults	£2.00	£2.00	£2.00	0.00%	0	£ -		
- Juveniles	£1.00	£1.00	£1.00	0.00%	0	£ -		
Dressing room only - per 2 teams								
- Adults, Monday to Saturday	£14.50	£15.00	£15.50	3.33%	35	£ 18		
- Adults, Sunday	£16.50	£17.00	£17.50	2.94%	0	£ -		
- Juveniles, Monday to Saturday	£5.20	£5.40	£5.60	3.70%	0	£ -		
- Juveniles, Sunday	£6.20	£6.40	£6.60	3.12%	7	£ 1		
<b>Other Facilities</b>								
Small facilities (1-6 shows/stands) - Parks & Open Spaces	£116.00	£120.00	£124.00	3.33%	10	£ 40		
Medium Facilities - (7-12 shows/stands) Parks & Open Spaces	£232.00	£239.00	£246.00	2.93%	1	£ 7		
Large Facilities - (13 and over shows/stands) Parks & Open Spaces	£349.00	£360.00	£371.00	3.06%	1	£ 11		
					<b>TOTAL</b>	<b>£22,368</b>		

<sup>1</sup> Fees set by national agency

<sup>2</sup> Additional labour, plant and machinery charged at dayworks rates

<sup>3</sup> Annual charge based on one collection per week

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
<b>Asset &amp; Infrastructure</b>						
<b>Waste Management Services</b>						
<b>Waste Services</b>						
<b>Disposal Charges - per tonne, pro-rata</b>						
<b>Waste Transfer Stations</b>						
Bulky Waste		£ 142.00	£147.00	3.52%		£ -
Commercial & Demolition		£ 129.75	£134.00	3.28%		£ -
Mixed Municipal Waste		£ 140.50	£145.00	3.20%		£ -
Dry Mixed Recyclate - Please contact 0300 100 1800 for current price and further information						£ -
Wood - Please contact 0300 100 1800 for current price and further information						£ -
Administration Charge - charged per invoice. Invoices are collated on a monthly basis	£25.75	£26.50	£27.50	3.77%	328	£ 328
<b>Trade General Waste Contract (Bin)<sup>2,3</sup></b>						
1100 ltr	£1,045.00	£1,076.40	£1,109.16	3.04%	323	£ 10,581
660 ltr	£660.00	£679.64	£700.44	3.06%	202	£ 4,202
360 ltr	£349.00	£359.84	£370.76	3.03%	310	£ 3,385
240 ltr	£255.00	£263.12	£271.44	3.16%	101	£ 840
<b>Trade General Waste Sacks<sup>4</sup></b>						
Per 52 sacks	£134.00	£138.32	£142.48	3.01%	713	£ 2,966
Per 13 sacks (minimum purchase)	£33.50	£34.58	£35.62	3.01%		£ -
<b>Trade Recycling Contracts (Bin)<sup>4</sup></b>						
1100 ltr		£901.16	£957.32	6.23%		£ -
660 ltr	£564.00	£635.44	£672.88	5.89%	67	£ 2,508
360 ltr	£271.00	£292.24	£311.48	6.58%	34	£ 654
240 ltr	£189.00	£194.48	£203.84	4.81%	71	£ 665
<b>Trade Recycling Contracts (Sacks)<sup>4</sup></b>						
Small (3 sacks/week)	£144.50	£177.84	£191.36	7.60%	398	£ 5,381
Medium (7 sacks/week)	£333.00	£410.80	£441.48	7.47%	170	£ 5,216
Large (13 sacks/week)	£547.00	£663.00	£716.56	8.08%	50	£ 2,678
Large quantities from commercial producers will be priced on an individual basis, based on quantity & method of collection						
<b>Trade Recyclate Sacks (Additional to contract only)</b>						
Per 26 sacks	£42.85	£48.88	£51.74	5.85%	522	£ 1,493
<b>Food Contracts<sup>3</sup></b>						
140 ltr bin	£336.00	£336.44	£336.44	0.00%	76	£ -
23 ltr bin	£76.50	£77.48	£77.48	0.00%	69	£ -
1 roll of 35 ltr compostable liners (25 liners/roll)	£3.45	£3.55	£3.75	5.63%	622	£ 124
Replacement key for 140 ltr bin	£5.45	£5.65	£5.80	2.65%	6	£ 1
<b>Special Collections - Business</b>						
Per hour - pro-rata <sup>1</sup>	£117.50	£121.50	£126.00	3.70%	35	£ 158
Minimum charge (20 minutes) <sup>1</sup>	£41.50	£43.00	£44.50	3.49%	35	£ 53
<b>Special Collections - Domestic</b>						
Up to 5 articles (including fridges and freezers)	£33.00	£40.00	£41.50	3.75%	2,150	£ 3,225
<b>Community Recycling Centre Trade Access Permit - tickets are sold in books of 5 or 10 (Prices shown are per book of 5 tickets)</b>						
<b>Recycling permit</b>						
Small - (approx small car or 1-4 bags)	£26.25	£31.50	£32.50	3.17%	20	£ 20
Medium - (approx estate/car-derived van/4x4 or 5-9 bags)	£41.25	£48.00	£49.50	3.13%	10	£ 15
Large - (approx large & small panel vans/micro & mini vans & transit vans not exceeding 3.5t gvw or 10-15 bags)	£52.50	£60.00	£62.00	3.33%	66	£ 132
<b>Recycling &amp; general waste permit</b>						
Small - (approx small car or 1-4 bags)	£52.50	£59.00	£61.00	3.39%	30	£ 60
Medium - (approx estate/car-derived van/4x4 or 5-9 bags)	£92.50	£103.00	£107.00	3.88%	20	£ 80
Large - (approx large & small panel vans/micro & mini vans & transit vans not exceeding 3.5t gvw or 10-15 bags)	£128.75	£143.00	£148.00	3.50%	46	£ 231
<b>Charity disposing of donated household goods</b>						
Small - (approx small car or 1-4 bags)	£10.00	£10.50	£11.00	4.76%	100	£ 50
Medium - (approx estate/car-derived van/4x4 or 5-9 bags)	£20.00	£21.00	£22.00	4.76%	90	£ 90
Large - (approx large & small panel vans/micro & mini vans & transit vans not exceeding 3.5t gvw or 10-15 bags)	£30.00	£31.00	£32.00	3.23%	80	£ 80
<b>TOTAL</b>						<b>£44,996</b>

<sup>1</sup> Additional labour, plant and machinery charged at dayworks rates

<sup>2</sup> Annual charge based on one collection per week

<sup>3</sup> Includes Bin rental, disposal and service

<sup>4</sup> Includes disposal and service

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
Asset & Infrastructure						
Roads & Infrastructure						

#### Road Closure

- per Notice	£155.00	£160.00	£165.00	3.13%	3	£ 15
- per Order	£320.00	£330.00	£340.00	3.03%	169	£ 1,690

Costs for Road Closures are currently being reviewed. It is proposed to introduce a sliding scale depending on the complexity of the closure, however no figures have been agreed as yet

#### Scaffolding Permits

Up to 3 Months and every subsequent 3 months to a maximum of 4 payments (Min to Max)	£140.00	£145.00	£150.00	3.45%	64	£ 320
	£545.00	£562.00	£579.00	3.02%		£ -
	£635.00	£655.00	£675.00	3.05%		£ -
	£730.00	£752.00	£775.00	3.06%		£ -
	£825.00	£850.00	£876.00	3.06%		£ -

#### Temporary Traffic Light Permits

- For sights with junctions or more than two approaches	£0.00	£70.00	£72.50	3.57%	286	£ 715
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#### De-icing salt

Supplied to the public <sup>1</sup> - 1 tonne or more (pro-rata)	£85.50	£88.50	£91.50	3.39%	350.3	£ 1,051
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#### Langlee Recycling Centre

Cover/Washed/Sharp Sand	£22.00	£22.75	£24.00	5.49%	753	£ 941
Building Sand	£22.00	£22.75	£24.00	5.49%	152	£ 190
6mm to 10mm Pipe Bedding	£15.00	£15.50	£16.00	3.23%	135	£ 68
12mm to 25mm Pipe Bedding	£13.00	£13.50	£14.00	3.70%	418	£ 209
25mm to 75mm Type B Filler	£11.00	£11.00	£11.25	2.27%	366	£ 92
Type 1 Sub-Base	£8.25	£8.25	£7.50	-9.09%	6	-£ 5
Concrete Mix	£14.50	£15.00	£15.50	3.33%	441	£ 221
Crusher Run 4"	£7.50	£7.75	£8.00	3.23%	838	£ 210
4 by 2 Clean Stone	£9.25	£9.75	£10.00	2.56%	549	£ 137
Topsoil (as dug)	£6.25	£6.50	£6.75	3.85%	0	£ -
Screened Top Soil	£28.00	£29.00	£30.00	3.45%	29	£ 29
Verge Soil	£4.25	£4.50	£4.75	5.56%	59	£ 15
Plainings	£9.25	£9.75	£9.00	-7.69%	35	-£ 26
Reinstatement Soil	£13.75	£14.25	£14.75	3.51%	25	£ 13
Rubble	£6.50	£6.75	£7.50	11.11%		£ -
Soil and Stone	£6.50	£6.75	£7.50	11.11%		£ -
Slate	£6.50	£6.75	£7.50	11.11%		£ -
Tar Cuttings	£6.50	£6.75	£7.50	11.11%		£ -
Reinforced Concrete	£20.00	£20.75	£22.00	6.02%		£ -

#### Road Occupation

Road Opening Permits	£108.00	£108.00	£108.00	0.00%	87	£ -
Road Occupation Permits	£36.00	£36.00	£36.00	0.00%	50	£ -
					<b>TOTAL</b>	<b>£5,883</b>

<sup>1</sup>excluding delivery - call 01835 825571 for quotation

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage (£)	Estimated Impact of Inflation Increase £'s
<b>Environmental Health</b>						
<b>Pest Control</b>						
Eradication (domestic premises) of wasps	£49.50	£49.50	£49.50	0.00%	455	£ -
Eradication (domestic premises) of ants	£57.25	£57.25	£59.00	3.06%	50	£ 88
Eradication (domestic premises) of insects	£57.25	£57.25	£57.25	0.00%	20	£ -
Eradication (domestic premises) of rats/mice including re-visit	£66.00	£70.00	£73.33	4.76%	150	£ 500
Eradication (domestic premises) of moles	Individually priced and a quotation provided					
Eradication (domestic premises) of fleas* in up to 2 bedroom property. Additional bedroom fee £25.00 - quotation required for over 6 bedrooms	£61.50	£63.50	£67.00	5.51%	20	£ 70
Eradication (domestic premises) of bed bugs* in up to 2 bedroom property. Additional bedroom fee £40.00 - quotation required for over 6 bedrooms	£86.50	£100.00	£105.00	5.00%	5	£ 25
Eradication (commercial premises non-farm) of wasps	£49.50	£51.00	£51.00	0.00%	15	£ -
Eradication (commercial premises non-farm) of ants	£64.50	£66.50	£68.50	3.01%	15	£ 30
Eradication (commercial premises non-farm) of insects	£64.50	£66.50	£66.50	0.00%	15	£ -
Eradication (commercial premises non-farm) of rats/mice* including re-visit	£69.00	£80.00	£83.33	4.16%	9	£ 30
Eradication (commercial premises non-farm) of moles	Individually priced and a quotation provided					
Eradication (commercial premises non-farm) of fleas	Individually priced and a quotation provided					
Eradication (commercial premises non-farm) of bed bugs	Individually priced and a quotation provided					
<b>Annual contracts for pest control for agricultural &amp; commercial premises are costed individually</b>						
<b>Stray Dog Re-Claiming Fee</b>	£100.00	£100.00	£100.00	0.00%	65	£ -
<b>Fish Levy (charge is per hour - minimum charge 1 hour)^</b>			£71.00			£ -
<b>Health Certificates</b>						
<i>(charge is per hour - minimum charge 1 hour)</i>						
Export Health Certificates (Food)	£67.00	£69.00	£71.00	2.90%	800	£ 1,600
Additional Charges:						
Attestation^			£71.00		4	£ 284
Correction / Re-issue of a Certificate	£22.50	£23.25	£24.00	3.23%		£ 2
Copies of a Certificate	£22.50	£23.25	£24.00	3.23%		£ 2
Charge for a Certificate issued at point of entry rather than the originating authority.	£80.00	£82.50	£85.00	3.03%	2	£ 5
Request for Country / Region / Product specific Certificate where there is an absence of a DEFRA agreed format.	£87.00	£90.00	£93.00	3.33%		£ 30
<b>Public Health Funerals</b>						
Recovery of funeral costs under section 50 of the National Assistance Act 1948	£ 200.00	£210.00	£217.00	3.33%	2	£ 14
<b>Abandoned Vehicles #</b>						
Abandoned vehicle - uplift	£ 150.00	£150.00	£150.00	0.00%	10	£ -
Abandoned vehicle - storage - fee per 24 hour storage	£ 20.00	£20.00	£20.00	0.00%	10	£ -
Abandoned vehicle - disposal	£ 150.00	£150.00	£150.00	0.00%	10	£ -
<b>Immigration Visa Property Inspections</b>						
Visit / Inspection Fee	£ 72.50	£75.00	£ 77.50	3.33%	1	£ 3
Revisit Fee	£ 36.25	£37.50	£ 38.75	3.33%	1	£ 1
Issue of letter /report	£ 31.00	£32.00	£ 33.00	3.13%	1	£ 1
<b>Private Water Supply</b>						
Information enquiries - per officer per hour^			£ 55.50		20	£ 1,110
No access visit fee -per officer per hour^			£ 55.50		4	£ 222
<b>The Water intended for Human Consumption (Private Supplies) (Scotland) Regulations 2017</b>						
<b>Regulated (Large/Commercial/Public Activity) Supplies</b>						
Initial supply sample visit fee** - per officer for single property (£55.50 per officer per property for multiple properties)	£72.50	£75.00	£77.50	3.33%	350	£ 875
Subsequent supply sample visit fee** - per hour per officer	£51.50	£53.50	£55.50	3.74%	800	£ 1,600
Supply sample failure notification and investigation fee** - per hour per officer	£51.50	£53.50	£55.50	3.74%	800	£ 1,600
Analysis of monitoring parameters**	As per Scottish Water laboratory costs					
Additional monitoring	As per Scottish Water laboratory costs					
Laboratory sample transfer fee per property sampled^			£5.00		1,000	£ 5,000
Risk Assessment (Preparatory work)**	72.5	75	£0.00		300	£ -
Risk assessment preparatory work** - per hour per officer			£55.50		500	£ 5,250
Risk assessment site visit** - per hour per officer	51.5	53.5	£55.50	3.74%	300	£ 600
Risk assessment write up & issue of information** - per hour per officer	51.5	53.5	£55.50	3.74%	500	£ 1,000
Risk Assessment Review (Preparatory work)	72.5	75	£0.00		120	£ -
Risk assessment review preparatory work - per hour per officer			£55.50		200	£ 2,100
Risk assessment review failure investigation - per hour per officer	£51.50	£53.50	£55.50	3.74%	120	£ 240
Risk assessment review 5 yearly update or inadequacy - per hour per officer^			£55.50		120	£ 6,660
<b>The Private Water Supplies (Scotland) Regulations 2006</b>						
<b>Type B Supplies (2017 Regulations - Exempt Supplies) #</b>						
Sample visit fee** - per single property (£50 per property for multiple properties)	£70.00	£70.00	£70.00	0.00%	60	£ -
Analysis of monitoring parameters**	As per Scottish Water laboratory costs					
Additional monitoring**	As per Scottish Water laboratory costs					
Risk assessment preparatory work**	£70.00	£70.00	£70.00	0.00%	50	£ -
Risk assessment site visit & report (per property or supply)**	£50.00	£50.00	£50.00	0.00%	50	£ -

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage (£)	Estimated Impact of Inflation Increase £'s
Environmental Health						

**Non Statutory**

**Mains Supplies (2017 Regulations - Exempt Supplies)**

Sample visit charge - per hour per officer	£54.00	£56.00	£ 58.00	3.57%	5	£ 10
Analysis of monitoring parameters	As per Scottish Water laboratory costs				5	£ -

<b>TOTAL</b>	<b>£28,950</b>
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^ new fee

\* price may vary depending on the extent of the infestation and a quotation will be provided

# already at statutory max.

\*\* Where sampling of a water supply is undertaken for risk assessment or grant purposes, the above charges will not be made where the provisions of Scottish Government PWS Information Letter 2/2014: Financial Implications - Reimbursement claims under Section 47 of the Local Government in Scotland Act 2003 ("PWS Information Letter 2/2014") are appropriate and can be applied.

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
Trading Standards						

**Weights and Measures Act 1985**

Weighing instruments:						
Not exceeding 15kg	£0.00	£38.20	£39.40	3.14%	2	£ 2
Exceeding 15kg to 100kg	£0.00	£56.75	£58.50	3.08%	2	£ 4
Exceeding 100kg to 250kg	£0.00	£80.50	£83.00	3.11%	1	£ 3

**Fees for the purpose of Section 74(2) and (4) of the 1985 Act**

The fee to be paid for the adjustment of any weight or measure in the course of a service provided pursuant to Section 74 of the Act, shall be the same as the amount prescribed as the fee for testing it ( plus VAT)	£0.00	£103.00	£106.00	2.91%	5	£ 15
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Charge for the issue of a Calibration on the accuracy of any weight	£0.00	£31.00	£32.00	3.23%	6	£ 6
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<b>TOTAL</b>	<b>£29</b>
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SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
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**Civic Government**

**Civic Government : Taxis etc.**

Taxi/Private Hire Operator <sup>1</sup>	£627.00	£648.00	£668.00	3.09%	276	£ 1,840
Taxi/Private Hire Driver (1 year)	£90.00	£93.00	£96.00	3.23%	333	£ 999
Replacement Driver's Badge	£14.00	£15.00	£16.00	6.67%	0	£ -
Substitute Vehicle	£95.00	£98.00	£101.00	3.06%	10	£ 30
Change of Use from Taxi to Private Hire & Private Hire to Taxi Licence	£69.00	£72.00	£74.00	2.78%	0	£ -
Taxi Booking Office (3 years)	£229.00	£236.00	£243.00	2.97%	0	£ -
Temporary Licence Application Plate Deposit (refundable) (duration of licence)	£41 for full set and £17.50 for individual plates					

**Other Civic Government Licensing:**

Second Hand Dealers (3 years)	£195.00	£201.00	£207.00	2.99%	58	£ 348
Street Traders (3 years)	£218.00	£225.00	£232.00	3.11%	17	£ 119
Street Trader employee (duration of employers licence)	£64.00	£66.00	£68.00	3.03%	4	£ 8
Market Operators (3 years)	£270.00	£279.00	£288.00	3.23%	22	£ 198
Metal Dealers (3 years)	£250.00	£258.00	£266.00	3.10%	0	£ -
Itinerant Metal Dealer (3 years)	£250.00	£258.00	£266.00	3.10%	16	£ 128
Indoor Sports Entertainment (3 years)	£164.00	£169.00	£174.00	2.96%	3	£ 15
Late Hours Catering (3 years)	£363.00	£374.00	£385.00	2.94%	11	£ 121
Sex Shops (3 years)	£650.00	£670.00	£690.00	2.99%	0	£ -
Knife Dealer (3 years)	£250.00	£258.00	£266.00	3.10%	1	£ 8
Skin Piercing and Tattooing (1 year Grant)	£195.00	£201.00	£207.00	2.99%	0	£ -
Skin Piercing and Tattooing (3 Years renewal)	£195.00	£201.00	£207.00	2.99%	7	£ 42
Ear Piercing Only (1 year grant)	£127.00	£131.00	£135.00	3.05%	0	£ -
Ear Piercing Only (3 years renewal)	£127.00	£131.00	£135.00	3.05%	3	£ 12

**Public Entertainment:**

Commercial (3 years)	£567.00	£584.00	£602.00	3.08%	0	£ -
Commercial (1 year)	£191.00	£197.00	£203.00	3.05%	1	£ 6
Commercial Funfair (temporary):						
1-5 stalls	£51.00	£53.00	£55.00	3.77%	25	£ 50
6-20 stalls	£164.00	£169.00	£174.00	2.96%	4	£ 20
21 or more stalls	£325.00	£335.00	£345.00	2.99%	5	£ 50
Non-commercial (3 years)	£164.00	£169.00	£174.00	2.96%	60	£ 300
Non-commercial (1 year)	£56.00	£58.00	£60.00	3.45%	1	£ 2
Non-commercial (temporary)	£40.00	£42.00	£44.00	4.76%	60	£ 120
Other temporary licences	£82.00	£85.00	£88.00	3.53%	41	£ 123

**Civic Government : General**

Application for Material Change	£33.00	£34.00	£35.00	2.94%	0	£ -
Issue of Duplicate Licence	£32.00	£33.00	£34.00	3.03%	0	£ -
Certified true copy of entry in register	£32.00	£33.00	£34.00	3.03%	0	£ -

**Miscellaneous Licensing:**

Pet Shops (1 year)	£75.00	£90.00	£93.00	3.33%	5	£ 15
*Dog Breeding Establishments (1 year)	£148.00	£153.00	£158.00	3.27%	3	£ 15
Venison Dealers (3 years)	£111.00	£115.00	£119.00	3.48%	1	£ 4
*Riding Establishments (1 year)	£75.00	£90.00	£93.00	3.33%	15	£ 45
*Dangerous Wild Animals (1 year)	£88.00	£91.00	£94.00	3.30%	1	£ 3
Animal Boarding Establishments (1 year)	£148.00	£153.00	£158.00	3.27%	41	£ 205
Zoo (4 years)	£0.00	£450.00	£464.00	3.11%	0	£ -
Cinemas – Annual	£294.00	£303.00	£312.00	2.97%	1	£ 9
Theatres –						
Commercial (1 year)	£164.00	£169.00	£174.00	2.96%	0	£ -
Non-commercial (1 year)	£65.00	£67.00	£69.00	2.99%	1	£ 2
Commercial (temporary)	£89.00	£92.00	£95.00	3.26%	0	£ -
Non-commercial (temporary)	£40.00	£42.00	£44.00	4.76%	3	£ 6
Residential Caravan Sites	£600.00	£618.00	£637.00	3.07%	0	£ -
Houses in Multiple Occupation (HMO) (3 years)	£572.00	£590.00	£608.00	3.05%	18	£ 324

<b>TOTAL</b>	<b>£</b>	<b>5,167</b>
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**NOTE**

<sup>1</sup> Operators may pay in three annual instalments which may then be subject to approved increases.

\* Wherever a veterinary inspection is required, the applicant will be required to pay the veterinary inspection fee.



SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
<b>Corporate Improvement &amp; Economy Planning</b>						

#### Archaeology

Professional time (per hour)	£67.00	£69.00	£71.00	2.90%	10	£ 20
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#### Books/Leaflets

Borders Heritage Book	£5.00	£5.00	£5.00	0.00%	0	£ -
Tweed Rivers Book	£9.99	£9.99	£9.99	0.00%	0	£ -
Town Trail Leaflets	£1.00	£1.00	£1.00	0.00%	0	£ -
Paths around (old stock)	£1.00	£1.00	£1.00	0.00%	0	£ -
Paths around (new stock)	£2.00	£2.00	£2.00	0.00%	0	£ -
Short walks on the Eastern SUW	£2.50	£2.50	£2.50	0.00%	0	£ -
St Cuthberts Way Short Walks	£9.99	£9.99	£9.99	0.00%	0	£ -

#### Housing

Landlord Registration - Principal Fee <sup>1</sup>	£55.00	£65.00	£67.00	3.08%	1,833	£ 3,667
Landlord Registration - Property Fee <sup>1</sup>	£11.00	£15.00	£15.00	0.00%	1,000	£ -
Landlord Registration - Late Application Fee <sup>1</sup>	£110.00	£130.00	£133.00	2.31%	0	£ -
Private Sector Housing Grant - Recording Fee <sup>1</sup>	£60.00	£60.00	£70.00	16.67%	0	£ -
Private Sector Housing Grant - Admin Fee	£109.00	£113.00	£117.00	3.54%	80	£ 320

#### Pre-Planning Application Advice Service

Written Response						
Type of Development						
Householder Development	£30.00	£40.00	£52.00	30.00%	38	£ 456
Local Development (other than housing)	£100.00	£110.00	£143.00	30.00%	52	£ 1,716
Proposals for 1-2 house/s or flats	£100.00	£110.00	£143.00	30.00%	52	£ 1,716
Housing developments (3-49 houses)	£250.00	£260.00	£338.00	30.00%	14	£ 1,092
Housing developments (more than 49 houses or sites over 2 hectares)	£450.00	£460.00	£598.00	30.00%	2	£ 276
Renewable Energy Projects over 2 hectares	£750.00	£760.00	£988.00	30.00%		£ -
All other major developments	£450.00	£460.00	£598.00	30.00%	2	£ 276

#### Meeting (per meeting)

Type of Development						
Householder Development	£50.00	£60.00	£78.00	30.00%	8	£ 144
Local Development (other than housing)	£250.00	£260.00	£338.00	30.00%	14	£ 1,092
Proposals for 1-2 house/s or flats	£250.00	£260.00	£338.00	30.00%	14	£ 1,092
Housing developments (3-49 houses)	£400.00	£410.00	£533.00	30.00%		£ -
Housing developments (more than 49 houses or sites over 2 hectares)	£700.00	£710.00	£923.00	30.00%		£ -
Renewable Energy Projects over 2 hectares	£1,000.00	£1,010.00	£1,313.00	30.00%		£ -
All other major developments	£700.00	£710.00	£923.00	30.00%		£ -

#### Meeting (per meeting)

Workshop & Written Response						
Type of Development						
Householder Development	£0.00	£0.00	£0.00			£ -
Local Development (other than housing)	£300.00	£310.00	£403.00	30.00%	3	£ 279
Proposals for 1-2 house/s or flats	£300.00	£310.00	£403.00	30.00%	3	£ 279
Housing developments (more than 49 houses or sites over 2 hectares)	£950.00	£960.00	£1,248.00	30.00%	1	£ 288
Renewable Energy Projects over 2 hectares	£1,500.00	£1,510.00	£1,963.00	30.00%		£ -
All other major developments	£950.00	£960.00	£1,248.00	30.00%	1	£ 288

#### Preliminary Enquiries - Building Standards Service

Written Response ^						
Description						
For Parts 1 to 7 inclusive: 50% of Building Warrant fee based on value of work*						£ 2,000
For Part 1 only: 5% of half warrant fee**						
For Part 2 only: 35% of half warrant fee**						
For Part 3 only: 10% of half warrant fee**						
For Part 4 only: 10% of half warrant fee**						
For Part 5 only: 5% of half warrant fee**						
For Part 6 only: 30% of half warrant fee**						
For Part 7 only: 5% of half warrant fee**						

SCOTTISH BORDERS COUNCIL FEES & CHARGES	2019/20 Charge (excl.vat)	2020/21 Charge (excl.vat)	2021/22 Charge (excl.vat)	Increase %	Estimated Usage	Estimated Impact of Inflation Increase £'s
Corporate Improvement & Economy Planning						

Meeting (per meeting) ^						
Domestic applications for single property			£60.00		3	£ 180
Domestic Developments up to 3 unit			£180.00		3	£ 540
Domestic Developments 4-49 units			£360.00			£ -
Domestic Developments over 49 unit			£720.00			£ -
Minor Non-Domestic applications for property in single use			£180.00		1	£ 180
Major or complex Non-Domestic applications for property in single use			£360.00		1	£ 360
Major or complex Non-Domestic applications for property in multiple use			£720.00		1	£ 720

<b>TOTAL</b>	<b>£ 16,981</b>
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<sup>1</sup> Fees set by national agency.

\*Minimum fee is £150.00

\*\*Minimum fee for single Part is £100.00. If more than one single Parts are requested, minimum fee is £150.00

^ new fee

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## **FINANCIAL PLAN FROM 2020/21 – INTEGRATED IMPACT ASSESSMENTS**

**Report By Service Director HR & Communications**

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### **SCOTTISH BORDERS COUNCIL**

**19<sup>th</sup> March 2021**

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

**1.1 This report seeks to provide assurance to members that any potential equality impacts of the proposals contained within the Council's Financial Plan from 2021/22 have been identified and will be managed accordingly.**

1.2 The Council has a legal obligation under the Equality Act 2010, when exercising functions, to have due regard to the need to:

- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act;
- (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

This is known as the Public Sector Equality Duty.

1.3 Carrying out and considering the findings of an Equality Impact Assessment (EIA) as part of the decision making process is the method of ensuring "due regard" is paid to the effect of the relevant policy or practice on the Council's obligations under the Public Sector Equality Duty.

1.4 The Council also has an obligation under the Fairer Scotland Duty to consider how socio- economic inequalities can be reduced through strategic decisions that we make.

1.5 The Council accordingly subjects prospective policies and practices to assessment through an Integrated Impact Assessment (IIA). This addresses potential impacts, both positive and negative, on the Council's duties under the Equalities and Fairer Scotland legislation.

1.6 Initial Integrated Impact Assessments on the 2021/22 Financial Plan proposals have been undertaken as an integral part of the revenue and

capital budget planning processes in order to fully inform decisions proposed by officers and approved by members.

Some of the proposals have been carried forward from previous years and so have already been subject to an impact assessment. Where that is the case they have not been re-assessed at this stage, although may be as the detailed proposals develop.

While some of the assessed proposals indicate no impact, it is recommended that any potential impact continues to be monitored, given the nature of the proposals.

- 1.7 These 83 proposals may potentially impact in a positive or negative way on one or more of the Protected Characteristics or Socio- Economic Factors and any potential negative impact would require ongoing management through their implementation stage, in terms of mitigating and alleviating these impacts. Any positive impacts identified at this stage should be maximised during the planning and implementation stage of the proposals.

## **2 RECOMMENDATIONS**

### **2.1 It is recommended that Council**

- a) **notes the summary outcomes of the 42 Initial Integrated Impact Assessments undertaken in respect of the 2021/22 Financial Plan proposals as detailed in Appendix 1;**
- b) **agrees that officers undertake further and ongoing Impact Assessment work, as necessary, in respect of these proposals with specific reference to the equality or socio- economic groups on whom there may be a possible impact:**
  - (i) **agrees that where there is an identified relevance to the Council's statutory duty and there is a possible positive impact on one or more equality characteristic or socio- economic groups, actions to maximise this impact should be identified and implemented as part of the project planning and delivery of each proposal or project;**
  - (ii) **agrees that where there is an identified relevance to the Council's statutory duty and where there is a possible negative impact on one or more equality characteristic or socio economic group, actions to mitigate and alleviate this impact should be identified and implemented as part of the project planning and delivery of each proposal or project.**

## **3 BACKGROUND**

- 3.1 The Council has a legal obligation in terms of the Equality Act 2010, when exercising functions, to have due regard to the need to:

- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act;

- (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

This is known as the Public Sector Equality Duty.

3.2 The relevant protected characteristics for these purposes are:

- age;
- disability;
- gender reassignment;
- pregnancy and maternity;
- race;
- religion or belief;
- sex;
- sexual orientation

3.3 The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 requires that all changes to Council policy or practice are Impact Assessed for relevance to each part of the Public Sector Equality Duty under the Act.

3.4 From 1<sup>st</sup> April 2018, the Council became subject to the Fairer Scotland Duty. The duty also derives from the Equality Act 2010 and requires the Council to have due regard to how it can reduce inequalities of outcome caused by socio- economic disadvantage when making strategic decisions.

3.5 "Socio- economic disadvantage" is defined as follows:

- Low and/ or No Wealth/ Income
- Material Deprivation
- Area Deprivation
- Socio – economic background

## **4 OVERVIEW OF INTEGRATED IMPACT ASSESSMENT PROCESS**

4.1 In addition to the Council's legal obligations, an Integrated Impact Assessment (IIA) is a tool to help the Council make sure its policies, services and functions are fit for purpose by meeting the needs of its community, service users and staff. Carrying out an IIA involves systematically assessing the potential (or actual) effects of policies on people in respect of the protected characteristics listed in the Equality Act 2010 and the socio-economic factors covered by the Fairer Scotland Duty. These are detailed above in paragraphs 3.2 and 3.5 respectively.

4.2 In addition the Council also undertakes an assessment of potential impact on people with the following characteristics:

- Looked After or Accommodated Children and Young People
- Carers.

- Homelessness
- Addictions and Substance use
- People involved with the Criminal Justice system.

Rural proofing, acting sustainably and carbon management assessments are also undertaken as part of any Policy change decision.

- 4.3 If the IIA shows there is discrimination against a protected group, then the proposal should go no further until the discrimination has been alleviated, mitigated or justified; alternatively if there is a negative but non-discriminatory impact on such a group, efforts should be made to minimise any detrimental impact and to maximise any beneficial impact.

Similarly, due regard should be had to the reduction of any negative impacts on the socio- economic groups.

- 4.4 On reporting equalities and socio- economic impacts to Council it is not enough to state that an IIA has been carried out. The Council must be made aware of what the impacts are and how these can be addressed, and must use these findings within their decision making processes. Copies of each of the Initial Integrated Impact Assessments are available electronically.

## **5 INITIAL IMPACT ASSESSMENT FOR BUDGET PROPOSALS**

- 5.1 As an integral part of the 2021/22 Financial Planning process initial impact analyses on proposals brought forward to members have been undertaken in order to inform the planning and decision making of Corporate Management Team and Members. This seeks to ensure that any potential impacts form part of the evaluation criteria when considering budget proposals alongside financial benefit, potential impact on performance and outcomes, deliverability and the views of stakeholders.

- 5.2 For each of the Financial Planning proposals a relevant officer undertook an initial evaluation of equality impact and impact on socio- economic groups, considering the following factors:

- Whether the proposal has any relevance to the duties of the Council under the Equality Act 2010 (*in terms of eliminating discrimination, victimisation and harassment, promoting equal opportunities and fostering good relations*);
- Whether the proposal is strategic, and therefore any impact on the Fairer Scotland duty falls to be considered;
- Which groups of people may be positively or negatively impacted should the proposal be adopted;
- Where a possible negative impact is identified, what this impact, in summary terms may be and how it may be mitigated against.

- 5.3 Initial Integrated Impact Assessments have been undertaken in respect of 39 key component Revenue Financial Plan savings proposals and 3 Capital Plan proposals. Certain proposals have been identified as clearly operational in nature and accordingly do not require an Integrated Impact



assessment. Other proposals were contained in previous Financial Plans and have already been the subject of assessment. In particular the vast majority of the capital proposals are carried over from previous years so have been the subject of previous assessment.

- 5.4 Those proposals which have been assessed may potentially impact on one or more of the Equality Characteristic Groups or Socio – Economic Groups in a positive or negative way. Any potential negative impact would require ongoing management through each proposal's implementation stage, in terms of mitigating and alleviating these impacts. Any positive impact identified should be maximised during the planning and implementation stage of the proposals.
- 5.5 While some of the assessed proposals indicate no impact, it is recommended that any potential impact continues to be monitored, given the nature of the proposals.

## **6 NEXT STEPS**

- 6.1 The outcomes of the Initial Impact Assessments are summarised in Appendix 1 and the full Initial Assessment templates are available electronically. The proposals will continue to be assessed and managed through evidence gathering and mitigation and alleviation in accordance with the IIA process. There will be particular focus on the proposals in which a potential negative impact has been identified.
- 6.2 If at any point when undertaking further Integrated Impact Assessment evidence suggests there may be discrimination against a protected characteristic or socio-economic group, then the proposal will go no further until the discrimination has been alleviated, mitigated or justified. Alternatively, if there is a negative but non-discriminatory impact on such group, efforts will be made to minimise any detrimental impact and to maximise any beneficial impact.
- 6.3 In a number of cases, relevance to the Council's Equality duty is attributable to potential impact (positive or negative) on employees. Whilst it has been identified that there will be a reduction in numbers of staff in certain areas, steps will be taken to minimise the impact of this on current members of staff as detailed below. For the purposes of brevity this has not been repeated in any individual IIA.
- 6.4 Key to this is the 'People Planning' process, the aim of which is to support managers to consider their current workforce make-up, think about where their services will be in the coming years and plan ahead to manage changes effectively.
- 6.5 To manage changes/ reductions effectively in impacted areas the Council will take into account staff turnover and will consider various options, including Deployment, Redeployment, and Flexible Retirement. It is anticipated that these efforts will reduce the need for staff members to leave the employment of the Council.
- 6.6 Deployment and Redeployment opportunities are sought across the Council, which should increase retention. Relevant HR tools and Policies

promote good practice by prominently stating that employees will be treated fairly and that the Council is committed to ensuring that discrimination, victimisation and harassment does not occur. Additionally, HR Policies provide guidance and procedures that when consistently applied, ensure fairness in application.

All of these aspects demonstrate the Council's commitment to eliminating discrimination, advancing equality of opportunity and fostering good relations.

- 6.7 Similarly, when changes mean that an employee's role alters, whether because of a change in duties, the way the work is undertaken, or a change in location, HR policies and procedures will be used to mitigate the effects of the change and to allow the employee to adapt to a new way of working. This includes the provision of appropriate training, where appropriate, the application of the Council's disturbance policy, consideration of requests for flexible working arrangements and if an employee has a disability the application of such adjustments as are reasonable to allow them to undertake their role.

## **7 IMPLICATIONS**

### **7.1 Financial**

There are no additional financial implications associated with this report, its content referring specifically to the impacts of the Council's Financial Plan proposals.

### **7.2 Risk and Mitigations**

- (a) Rigorously following the Council's agreed process for Integrated Impact Assessment should ensure that any potential impact, positive or negative, of any proposal, on any equality or socio-economic group, is identified in a timely manner.
- (b) Where a potential negative impact is identified, a clear plan for mitigation, alleviation and/or justification will be put in place in order to address this impact. Where any impact prevails, this will be reported back to members to inform ongoing decision-making over the delivery of the required savings within the Financial Plan.
- (c) As detailed in the main body of the report, in addition to the IIA process, HR policies and procedures support the equalities requirements, further mitigating the risk of non-compliance.

### **7.3 Equalities**

The Integrated Impact Assessment process detailed in this report will assist equality outcomes for service users, Council employees and the Borders population. Any issues regarding Council staff will be addressed through Trades Unions and Staff Consultation processes.

7.4 **Acting Sustainably**

There are no economic, social or environmental effects arising directly from this report.

7.5 **Carbon Management**

There are no effects on carbon emissions.

7.6 **Rural Proofing**

There are no implications that would compromise the Council's rural proofing policy.

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

There are no changes required to either the Scheme of Administration or the Scheme of Delegation.

## 8 CONSULTATION

- 8.1 The Executive Director Finance and Regulatory, the Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Clerk to the Council and Corporate Communications have been consulted and their comments have been incorporated into the report.

### Approved by

**Clair Hepburn**  
**Service Director HR & Communications**

### Author

Name	Designation and Contact Number
Iain Davidson	Employee Relations Manager 01835 825221

**Background Papers: Copies of each of the 42 Initial IIA Assessments have been made available electronically.**

### Previous Minute Reference:

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

Contact us at: Iain Davidson, Employee Relations Manager, Scottish Borders Council, Council Headquarters, Newtown St Boswells, and Melrose, TD6 0SA.  
Telephone – 01835 825221. Fax – 01835 824000.  
E-mail – idavidson@scotborders.gov.uk

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Revenue proposals	Is the project relevant to the duties of the Council under the Equality Act 2010			Which groups of people may be impacted (both positively and negatively) if the proposal is adopted?																		
	Elimination of discrimination victimisation and harassment	Promotion of equality of opportunity	Foster good relations	Age	Disability	Gender Reassignment	Marriage/ Civil Partnership	Pregnancy & Maternity	Race	People with Religious or other Beliefs	Sex - Gender Identity	Sexual Orientation	Fairer Scotland Duty	Low/ No Wealth	Material Deprivation	Area Deprivation	Socio - Economic Background	Looked After/ Accommodated Children & Young People	Carers	Homelessness	Addictions/ Substance Use	Involvement in the Criminal Justice System
<b>Corporate</b>																						0
Fit for 2024/ Further Transformation	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
<b>Asset &amp; Infrastructure</b>																						
Additional Fees & Charges Income across Asset & Infrastructure+C7:Y7	N	Y	Y	Negative	None	None	None	None	None	Negative	None	None	Yes	Negative	Negative	Negative	Negative	None	None	None	None	None
Commercial Rent Income	N	Y	Y	None	None	None	None	None	None	None	None	None	Yes	Negative	Negative	Negative	Negative	None	None	None	None	None
Energy Efficiency Project	This proposal is of an operational nature and there will be no equality or Fairer Scotland impact																					
Lifecycle Maintenance Kelso HS & Jedburgh Campus	This proposal is of an operational nature and there will be no equality or Fairer Scotland impact																					
More efficient property and asset portfolio and implementation of corporate landlord	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	None	Pos/ Neg	Pos/ Neg	None	None	Pos/ Neg	None	None	None
Property Savings	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	Positive	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
Facilities Management Savings	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Negative	Negative	Negative	Negative	None	Pos/ Neg	None	None	None
Parks & Environment/ Roads & Infrastructure	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
Waste Management	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	Pos/ Neg	None	None	None
Passenger Transport	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
<b>Corporate Improvement &amp; Economy</b>																						
Structure Review within Corporate Improvement & Economy	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	None	None	None	None	None	Yes	Positive	None	None	None	None	Positive	None	None	None
Additional Fees & Charges Income across Corporate Improvement & Economy	N	N	N	None	None	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
Management Fee Reduction to Live Borders	N	N	N	None	None	None	None	None	None	None	None	None	No									
Planning	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/Neg	Pos/Neg	Pos/Neg	Pos/Neg	None	Pos/Neg	None	None	None
Audit & Risk	N	N	N	None	None	None	None	None	None	None	None	None	No									
<b>Health &amp; Social Care</b>																						
Better use of Fleet Vehicles	Y	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	Positive	Positive	Positive	None	None	None	None	None	None
Review of Care Packages (Older People and Learning Disability_	This proposal has previously been impact assessed																					
Review of Day Care Services (Learning Disability)	Y	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	None	None	None	None	None	Positive	None	None	None
Reablement of Homecare	Y	Y	N	Positive	Positive	None	None	None	Positive	Positive	None	None	Yes	None	None	None	None	None	Positive	None	None	None
Trusted Assessment (Older People and Learning Disability)	Y	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
Complex Care (Learning Disability)	Y	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	Positive	Positive	Positive	Positive	None	Positive	None	None	None
Direct Payment Recoupment	This proposal has previously been impact assessed																					
Locality Working (Older People and Learning Disability)	Y	Y	Y	Positive	Positive	Positive	Positive	None	Positive	Positive	Positive	Positive	Yes	Positive	Positive	Positive	Positive	None	Positive	Positive	Positive	None
Shared Lives	Y	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	Positive	Positive	Positive	Positive	Positive	Positive	None	None	None
Residential Care Retendering	Y	Y	N	Positive	Positive	None	None	None	None	None	None	None	Yes	Positive	Positive	None	None	None	Positive	None	None	None
<b>Children &amp; Young People</b>																						
Increased Fees & Charges	Y	Y	Y	Negative	None	None	None	None	None	None	None	None	Yes	Negative	Negative	Negative	Negative	None	None	None	None	None
Inspire Learning	N	N	N	None	None	None	None	None	None	None	None	None	No									
Jedburgh Campus Funding Charges	This proposal is of an operational nature and there will be no equality or Fairer Scotland impact																					
Primary & Secondary Schools Implementation of Revised DSM Scheme (Fit for 2024) in August 2020	Y	Y	Y	Pos/ Neg	None	None	None	None	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	None	None	None	None	None	None	None
Central Schools	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
School Transport	N	Y	N	Pos/ Neg	Pos/ Neg	None	None	None	None	None	None	None	Yes	Negative	Negative	Negative	Negative	None	None	None	None	None
Community Learning & Development	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	Pos/ Neg	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
<b>Customer &amp; Communities</b>																						
Assessors & Electoral Registration Services - Structural Review - Legislative Change	N	N	N	None	None	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
Assessors & Electoral Registration Services - Fit for 2024	Y	Y	Y	None	None	None	None	None	None	None	None	None	Yes	Negative	Negative	None	Negative	None	None	None	None	None
Redesigned operating model through the rollout of digital services across the Council across Business Support and Customer Advice & Support Services	Y	Y	Y	Pos/Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None
Review of community capacity/ development resources across the Council	Y	Y	Y	Pos/Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/ Neg	Pos/ Neg	Pos/ Neg	Pos/ Neg	None	Pos/ Neg	None	None	None

Revenue proposals	Is the project relevant to the duties of the Council under the Equality Act 2010			Which groups of people may be impacted (both positively and negatively) if the proposal is adopted?																		
	Elimination of discrimination victimisation and harassment	Promotion of equality of opportunity	Foster good relations	Age	Disability	Gender Reassignment	Marriage/ Civil Partnership	Pregnancy & Maternity	Race	People with Religious or other Beliefs	Sex - Gender Identity	Sexual Orientation	Fairer Scotland Duty	Low/ No Wealth	Material Deprivation	Area Deprivation	Socio - Economic Background	Looked After/ Accommodated Children & Young People	Carers	Homelessness	Addictions/ Substance Use	Involvement in the Criminal Justice System
<b>Finance, IT and Regulatory Services</b>																						
Delivery of Contract Management Savings	This proposal is of an operational nature and there will be no equality impact																					
Additional fees & Charges Income across Regulatory Services	N	N	N	None	None	None	None	None	None	None	None	None	Yes	Negative	Negative	None	None	None	None	None	None	None
Finance Savings	N	N	N	None	None	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
IT Savings	This proposal is of an operational nature and there will be no equality impact																					
Loans Charges	This proposal is of an operational nature and there will be no equality impact																					
Legal Services	N	N	N	None	None	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
Protective Services	N	N	N	None	None	None	None	None	None	None	None	None	Yes	None	None	None	None	None	None	None	None	None
<b>Human Resources</b>																						
HR	Y	Y	N	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Positive	Positive	Positive	None	None	Pos/ Neg	None	None	None
Communications & Marketing	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/Neg	Pos/Neg	Pos/ Neg	None	None	Positive	None	None	None
Employment Support Service	Y	Y	Y	Pos/ Neg	Pos/ Neg	None	None	Positive	None	None	None	None	Yes	Pos/Neg	Pos/Neg	Pos/ Neg	None	None	Positive	None	None	None

CAPITAL FINANCIAL PLAN 2020/21	Service	Is the project relevant to the duties of the Council under the Equality Act 2010			Which groups of people may be impacted (both positively and negatively) if the proposal is adopted?											
		Elimination of discrimination victimisation and harassment	Promotion of equality of opportunity	Foster good relations	Age	Disability	Gender reassignment	Marriage/ Civil Partnership	Pregnancy & Maternity	Race	People with Religious or other Beliefs	Sex - Gender Identity	Sexual Orientation	Fairer Scotland Duty	Low/ No Wealth	
<b>Asset &amp; Infrastructure</b>																
Land & Property Infrastructure		This proposal has previously been impact assessed														
Roads & Transport Infrastructure		This proposal has previously been impact assessed														
Cycling, Walking & Safer Streets		This proposal has previously been impact assessed														
Peebles Bridge		This proposal has previously been impact assessed														
Flood & Coastal Protection works		This proposal has previously been impact assessed														
Hawick Flood Protection		This proposal has previously been impact assessed														
Waste Management		This proposal has previously been impact assessed														
Reston Station Contribution		This proposal has previously been impact assessed														
Plant & Vehicle Fund		This proposal has previously been impact assessed														
<b>Corporate Improvement &amp; Economy</b>																
Town Centre Regeneration		This proposal has previously been impact assessed														
Borders Innovation Park		Y	Y	Y	Positive	Positive	Positive	None	None	Positive	Positive	Positive	None	Yes	Positive	
Hawick Regeneration		This proposal has previously been impact assessed														
Newtown St.Boswells Regeneration		This proposal has previously been impact assessed														
Borderlands		N	Y	Y	Positive	Positive	None	None	None	None	None	None	None	Yes	Positive	
Sports Infrastructure		This proposal has previously been impact assessed														
Culture & Heritage		This proposal has previously been impact assessed														
Private Sector Housing Grant		This proposal has previously been impact assessed														
<b>Health &amp; Social Care</b>																
Care Inspectorate Requirements (Older People)		This proposal has previously been impact assessed														
Residential Care Accommodation Replacement		This proposal has previously been impact assessed														None
Technology Enabled Care		This proposal has previously been impact assessed														None
Residential Care Accommodation Upgrades		This proposal has previously been impact assessed														None
<b>Children &amp; Young People</b>																
Early Years Expansion		This proposal has previously been impact assessed														
Eyemouth Primary School		This proposal has previously been impact assessed														
Earlston Primary School		This proposal has previously been impact assessed														
Galashiels Academy		This proposal has previously been impact assessed														
Jedburgh Learning Campus incorporating 3G pitch		This proposal has previously been impact assessed														
New Halkirk High School		This proposal has previously been impact assessed														
Peebles High School		Y	Y	Y	Positive	Positive	Positive	None	None	None	None	Positive	None	Yes	None	
School Estate Block		This proposal has previously been impact assessed														
<b>Finance, IT &amp; Procurement</b>																
ICT - Outwith existing contract scope		This proposal has previously been impact assessed														
ICT Transformation		This proposal has previously been impact assessed														
Inspire Learning		This proposal has previously been impact assessed														
IT Projects - pre CGI contract		This proposal has previously been impact assessed														
IT Projects - extension of CGI contract		This proposal is of an operational nature and there will be no equality or Fairer Scotland impact														
Emergency & Unplanned		This proposal is of an operational nature and there will be no equality or Fairer Scotland impact														

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<b>Integrated Impact Assessments - Revenue Proposals</b>	<b>Page No</b>
<b>Corporate</b>	
Fit for 2024/ Further Transformation	<b>4</b>
<b>Asset &amp; Infrastructure</b>	
Additional Fees & Charges Income across Asset & Infrastructure	<b>12</b>
Commercial Rent Income	<b>18</b>
More efficient property and asset portfolio and implementation of corporate landlord	<b>23</b>
Property Savings	<b>29</b>
Facilities Management Savings	<b>36</b>
Parks & Environment/ Roads & Infrastructure	<b>42</b>
Waste Management	<b>51</b>
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## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Fit for 2024/ Further Transformation</p> <p><i>Fit for 2024</i></p> <p><i>At this stage a further saving of £3m has been identified as a corporate target which will be allocated to services once proposals are developed. There will be a FTE impact. Number to be confirmed.</i></p> <p><i>Further Transformation</i></p> <p><i>This saving reflects the fact that further transformation in service delivery models, management structures, business processes, the use of new technology will be required once Fit for 2024 is fully delivered in response to the on-going changing needs of the Borders population. There will be a FTE impact. Number to be confirmed as proposals are developed.</i></p>
<p><b>What is it?</b></p>	<p>A revised Policy/Strategy/Practice</p>
<p><b>Description of the proposal:</b> Community Learning &amp; Development Review</p>	<p>Structural and process re-engineering review and income generation opportunities.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility</li> </ul>

	<p>and demand-led working patterns</p> <ul style="list-style-type: none"> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets – including reduced estate &amp; single SBC view</li> <li>• Embracing the opportunities from Digital investment</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area: Department:</b>	Corporate
<b>Lead Officer:</b> (Name and job title)	Clair Hepburn Service Director HR & Communications
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Corporate Management Team
<b>Date(s) IIA completed:</b>	05/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Yes

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	

<b>Age</b> Older or younger people or a specific age grouping		X	X	
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p><b>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</b></p> <p><b>Disabled employees may find it more difficult to adjust to a more flexible form of working.</b></p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			X	<b>Increased digital access will be a benefit.</b>
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees,	X			

migrants and asylum seekers)				
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

**If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	<b>Property rationalisation may mean people with low/ no wealth having to travel further to access Council services. An increased use of digital resources can mitigate this by reducing the need to visit Council premises. More efficient services will benefit this group in allowing quicker and easier access.</b>



				<p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background</b> – social class i.e. parents' education, employment and income</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p>

				<p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.</p>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

--

<b>Signed by Lead Officer:</b>	<b>Iain Davidson</b>
<b>Designation:</b>	<b>Employee Relations Manager</b>
<b>Date:</b>	<b>05/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Clair Hepburn Service Director, HR &amp; Communications</b>
<b>Date:</b>	<b>05/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Additional Fees & Charges
<b>What is it?</b>	A revised Policy/Strategy/Practice
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>Review / Increase in charges for :</p> <ul style="list-style-type: none"> <li>• Burials</li> <li>• Headstones</li> <li>• Cremations</li> <li>• Interments</li> <li>• Weekend &amp; public holiday interments</li> <li>• Headstone Foundations</li> <li>• Associated Administration Charges</li> <li>• Public Convenience Radar Keys</li> <li>• Allotments</li> <li>• Changing Pavillion</li> <li>• Other Facilities</li> </ul> <ul style="list-style-type: none"> <li>• Road Closures</li> <li>• Scaffolding Permits</li> <li>• Temporary Traffic Light Permits</li> <li>• De-icing salt</li> <li>• Langlee Recycling Centre purchase charges</li> <li>• Road Occupation Permits</li> </ul>
<p><b>Service Area:</b> <b>Department:</b></p>	Assets & Infrastructure, Parks & Environment, Roads
<p><b>Lead Officer:</b> (Name and job title)</p>	Jason Hedley, Chief Officer Roads
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	

<b>Date(s) IIA completed:</b>	08/03/21
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## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

No
If yes, - please state here:

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b>  <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.) Yes</i></p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	N/A
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	In principle an increase in charges, particularly for sporting facilities, may have an effect on equality of opportunity. In practice, however, the increases are small (a maximum of £11 with others ranging between 20p and £1 for two teams), so the effects should be minimal.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	In principle an increase in charges, particularly for sporting facilities, may restrict access and result in less use by certain groups. In practice, however, the increases are small (a maximum of £11 with others ranging between 20p and £1 for two teams), so the effects should be minimal.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping			X	Slight increase in charges above inflation may be less affordable. In practice, however, the increases are small.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			No change to charges for Radar key access to public conveniences.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			

<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)			<b>X</b>	Increase to charges at weekend and public holidays will affect some groups more. Slight increase in charges above inflation may be less affordable. In practice, however, the increases are small.
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	<b>X</b>			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	<b>X</b>			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			<b>X</b>	Slight increase in charges above inflation may be less affordable. In practice, however, the increases are small.  Those on benefits will receive a Funeral Support Payment for burial costs.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial			<b>X</b>	Slight increase in charges above inflation may be less affordable.

products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				In practice, however, the increases are small.  Those on benefits will receive a Funeral Support Payment for burial costs.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)			X	Slight increase in charges above inflation may be less affordable. In practice, however, the increases are small.  Those on benefits will receive a Funeral Support Payment for burial costs.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income			X	Slight increase in charges above inflation may be less affordable. In practice, however, the increases are small.  Those on benefits will receive a Funeral Support Payment for burial costs.
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**No**



**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

The effect of the increases has been taken into account when setting the rates, which have been established on a 3 year basis.

<b>Signed by Lead Officer:</b>	<b>Jason Hedley</b>
<b>Designation:</b>	<b>Chief Officer Roads</b>
<b>Date:</b>	<b>08/03/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>08/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Commercial Rent Income
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	<p>Inflationary increases to the commercial property charges</p> <p>The Council's sublet estate has the ability to review the rents charged on a regular basis (normally every 3 years)</p> <p>It is proposed that the rent reviews due in 2021/22 are implemented and rents increased in line with market value.</p> <p>The additional income generated by the increases in the rents will support the savings identified in the Council's Corporate Plan</p>
<b>Service Area: Department:</b>	Assets & Infrastructure, Property & Estates
<b>Lead Officer:</b> (Name and job title)	Neil Hastie, Estates Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	<p>Jo Stewart, Estates Officer</p> <p>Donna Coltart, Estates Strategy Officer</p>
<b>Date(s) IIA completed:</b>	2 <sup>ND</sup> February 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

<b>Yes</b>
This policy will support the Council's Fit 4 24 Programme

## 3 Legislative Requirements

### 3.1 Relevance to the Equality Duty:

**Do you believe your proposal has any relevance under the Equality Act 2010?**

*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	N/A
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	In principle an increase in charges may have an effect on equality of opportunity. In practice, however, the increases are in line with inflation so the effects should be minimal.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	In principle an increase in charges may have an effect on equality of opportunity. In practice, however, the increases are in line with inflation so the effects should be minimal.

### 3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal? (You should consider employees, clients, customers / service users, and any other relevant groups)

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping	X			
<b>Disability</b> e.g. Effects on people with mental, physical, sensory	X			

impairment, learning disability, visible/invisible, progressive or recurring				
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			X	Slight increase in charges may make renting property less affordable. In practice, however, the increases are in line with inflation so the effects should be minimal.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	Slight increase in charges may make renting property less affordable. In practice, however, the increases are in line with inflation so the effects should be minimal
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)			X	Slight increase in charges may make renting property less affordable. In practice, however, the increases are in line with inflation so the effects should be minimal
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income			X	Slight increase in charges may make renting property less affordable. In practice, however, the increases are in line with inflation so the effects should be minimal

<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

--

<b>Signed by Lead Officer:</b>	<b>Neil Hastie</b>
<b>Designation:</b>	<b>Estates Manager</b>
<b>Date:</b>	<b>09/03/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>09/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Corporate Landlord
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	<p><i>Savings resulting from property rationalisation and implementing the Corporate Landlord model to drive efficiencies across the Council. Savings will be made from NDR, utilities, property maintenance including cleaning services. Any FTE impact is likely to be from facilities posts in affected buildings.</i></p> <p>The Corporate Landlord Model centralises all property estate related budgets, decision making and activities within a central team. This allows for a more integrated approach to property and facilities management and drives value for money decision making across the whole Council property estate which ultimately leads to significant benefits and cost savings.</p>
<b>Service Area:</b> <b>Department:</b>	Property Services and Facilities Management, Assets & Infrastructure
<b>Lead Officer:</b> (Name and job title)	Neil Hastie, Property Services Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Corporate Landlord Programme Board

<b>Date(s) IIA completed:</b>	27 January 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<b>If yes, - please state here:</b>  Directorate practices and procedures.

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b>  <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p>Yes</p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on Intelligent Client/Service Property Lead and ensuring there is a corporate approach to strategic property asset management which will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on Intelligent Client/Service Property Lead and ensuring there is a corporate approach to strategic property asset management which will promote equality of opportunity.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	Corporate Landlord will work closely with all services within the Council including third sector partners to ensure a focussed and corporate approach to strategic property asset management providing the right property equality outcomes.



**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	Some employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.  Other employees may enjoy the opportunities that digital resources offer.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	Increased digital access will empower all staff allowing them to self-serve within their roles.  Disabled employees may find it more difficult to adjust to a more flexible form of working.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),		X		Increased digital access and agile working will be a benefit to those with child minding and caring responsibilities as a result of the flexibility it will provide.
<b>Race Groups:</b> including colour, nationality, ethnic	X			

origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)				
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation,</b> e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b> Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation –</b> being unable to access		X	X	Some staff may not have the digital connectivity or the

basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				facilities to work from home as roles become more agile.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X	X	Allowing staff to work in an agile way using digital technology places less reliance on being in an office. Remote working, subject to sufficient connectivity will benefit those living in remote communities as commuting will become less of a daily requirement.  For staff living in communities with poor digital connectivity alternative provision will need to be made.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.  Equally, different work patterns will benefit some with caring responsibilities.
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Norrie Curtis</b>
<b>Designation:</b>	<b>Estates Surveyor (Strategy)</b>
<b>Date:</b>	<b>27 January 2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>27 January 2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal:</b></p>	<p>Property Savings</p> <p><i>Further efficiencies from Corporate Landlord through improved processes, purchasing and use of Technology Forge.</i></p>
<p><b>What is it?</b></p>	<p>A revised Policy/Strategy/Practice</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>Rationalising the property estate so that the Council has an estate that is financially sustainable and that investment can be focussed on key strategic buildings.</p> <p>This will be undertaken in line with the following principles that will need to be led by each Directorate as part of their service redesign:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility and demand-led working patterns</li> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Embracing the opportunities from Digital investment</li> <li>• Optimised partnership resources, including better shared services</li> </ul>

	<ul style="list-style-type: none"> <li>Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area: Department:</b>	Property Services, Assets & Infrastructure
<b>Lead Officer:</b> (Name and job title)	Neil Hastie, Property Services Manager Norrie Curtis, Estates Strategy Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 Team Finance Business Partner Communities & Partnerships
<b>Date(s) IIA completed:</b>	27/01/2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> (If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</p> <p><b>Yes</b></p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<p><b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> (Will the proposal discriminate? Or help eliminate discrimination?)</p>	<p>Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.</p>

<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access.  Some employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development.  Disabled employees may find it more difficult to adjust to a more flexible form of working.

<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			X	Increased digital access will be a benefit as it will provide more flexibility.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender		X		Investment in core properties will result in facilities that meet current design standards for example gender neutral WC's.
<b>Sexual Orientation,</b> e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.



<p><b>Is the proposal strategic?</b> Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	Property rationalisation may mean people with low/ no wealth having to travel further to access Council services. An increased use of digital resources can mitigate this by reducing the need to visit Council premises. More efficient services will benefit this group in allowing quicker and easier access.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X	X	An increased use of digital resources may impact on this group. This will be taken into account in the service design.  For current employees, a reduction in staff numbers may mean an impact on this group.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X	X	There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.  For current employees, property rationalisation may mean an impact on this group.

				.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		X	X	An increased use of digital resources may impact on this group. This will be taken into account in the service design.  For current employees, a reduction in staff numbers may mean an impact on this group.
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.  Equally, different work patterns will benefit some with caring responsibilities.  Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Norrie Curtis</b>
<b>Designation:</b>	
<b>Date:</b>	<b>27/01/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>27/01/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Facilities Management Savings</p> <p><i>Year 1 savings to be met from creating a locality model for janitorial services within the learning estate. Providing an enhanced delivery model whilst creating efficiencies. Standardisation of crossing patrol operational hours through natural turnover and redeployment opportunities. Estimated FTE impact 6-7. Future years savings to be met through changes to the production model for school meals and further optimisation of the Facilities Management Service</i></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice  A revised Policy/Strategy/Practice  X <input type="checkbox"/></p>
<p><b>Description of the proposal:</b>  (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).</p>	<p>Structural and process re-engineering review.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility and demand-led working patterns</li> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> </ul>

	<ul style="list-style-type: none"> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets – including reduced estate &amp; single SBC view</li> <li>• Embracing the opportunities from Digital investment</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area:</b> <b>Department:</b>	FACILITIES – Catering & Cleaning
<b>Lead Officer:</b> (Name and job title)	John Gray, Facilities Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 Team
<b>Date(s) IIA completed:</b>	12 February 2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p>Yes</p>

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

<b>3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?</b> <b>(You should consider employees, clients, customers / service users, and any other relevant groups)</b>				
Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.				
	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	Older employees may find it more difficult to adjust to different forms of working and increased use of automation.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	Disabled employees may find it more difficult to adjust to different forms of working and increased use of automation.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who	X			

are married or in a civil partnership				
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),		X		<b>Increased automation and consequently less physical exertion may be a benefit to pregnant employees.</b>
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

**Is the proposal strategic?**

Yes

**If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			X	.  <b>For current employees, a reduction in staff numbers may mean an impact on this group.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	<b>For current employees, a reduction in staff numbers may mean an impact on this group.</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)			X	<b>For current employees, property rationalisation may mean an impact on this group.</b>
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income			X	<b>For current employees, a reduction in staff numbers may mean an impact on this group.</b>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<b>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</b> .  <b>Equally, different work patterns will benefit some with caring responsibilities.</b>  <b>Different work patterns may also make working for the</b>



				<b>Council attractive and practical for those with caring responsibilities.</b>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>John Gray</b>
<b>Designation:</b>	<b>Cleaning &amp; Facilities Manager</b>
<b>Date:</b>	<b>10/02/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>10/02/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal:</b></p>	<p><b>Delivering Infrastructure Sustainably</b></p> <p>Links in as appropriate with other A&amp;I / SBC Service area review works as appropriate.</p> <p><i>Parks &amp; Environment</i></p> <p><i>The continuation of service reviews focussed on communities, reflecting the Climate Emergency as well as the Biodiversity Duty, seeking opportunities to enable communities to respond to their own priorities and initiatives in environmental maintenance. This will be underpinned by a range of operational initiatives that aim to make more efficient use of the resources the Council invests in this area, including appropriate people and succession planning strategies, fleet and regular review of the fleet to ensure a regular replacement and review of operations to maintain best value. Review of our properties including depots to identify and realise opportunities for more efficient and effective working. Flexibility within the workforce and wider A&amp;I department will also be a significant strand of focus. The service will deliver changing benefits especially in the area of environmental maintenance and stewardship, and communities will become more involved in local solutions to discretionary service provision.</i></p>
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	<p><i>Roads &amp; Infrastructure</i></p> <p><i>Develop a viable, agile and sustainable service, coupling commercial opportunities with a professional modern rural roads service. We will reflect asset management principles and professional technical expertise across all roads functions. The service will identify and implement a new structure throughout and develop successful succession plans across the service. A move to digital will aid transformation meanwhile people, property and fleet assets will be reviewed, rationalised and enhanced to deliver improved outcomes.</i></p>
<p><b>What is it?</b></p>	<p>A revised Policy/Strategy/Practice</p>
<p><b>Description of the proposal:</b>          (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).</p>	<p>Service, Digital, Resource, Assets and Process review including income generation opportunities. This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Service Improvements &amp; Resilience, fit for purpose, flexible, sustainable &amp; able to meet future challenges Linking in with other A&amp;I and / or SBC Service area review works as appropriate</li> <li>• Demand-led &amp; informed by evidence with stakeholder input, intelligence &amp; needs</li> <li>• Enhanced stakeholder engagement, participation &amp; empowerment</li> <li>• Improved internal communications &amp; workforce engagement &amp; inclusion Embracing the opportunities from Digital investment</li> <li>• End to end process review &amp; improvement</li> <li>• Productivity, Efficiency &amp; Sustainability, removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>

	<ul style="list-style-type: none"> <li>• Review of Workforce &amp; Assets to identify investment &amp; development opportunities</li> <li>• Operations &amp; Structures review, enhanced skills, flexibility and demand-led working patterns</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Best use of property &amp; physical assets</li> </ul>
<b>Service Areas:</b> <b>Department:</b>	Parks & Environment, Roads & Infrastructure & Fleet Management Asset & Infrastructure
<b>Lead Officer:</b> (Name and job title)	Jason Hedley Chief Officer Roads
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	A&I Service Director Service Area Managers & Teams FF24, HR, Finance & IT Business Partners
<b>Date IIA completed:</b>	January 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
If yes, - please state here: Departmental practices and procedures.

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i> <b>Yes</b>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, improved staff communications & engagement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Improved staff communications & engagement & process improvement, focussing on customer intelligence and needs and enhanced

	community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on staff engagement/communications, community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders. Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources however more flexible operations and processes, with development</p>

				opportunities for staff during their working life, may prove beneficial to many.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders. Disabled employees may find it more difficult to adjust to a more flexible form of working however more flexible operations and processes, with development opportunities for staff during their working life, may prove beneficial to many.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b>		X		Increased digital access should be a benefit.

against <b>maternity</b> discrimination is for 26 weeks after giving birth),				
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions. The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

**Is the proposal strategic? Yes If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	Property rationalisation may mean people with low/ no wealth having to travel further to access Council services. An increased use of digital resources can mitigate this by reducing the need to visit Council premises. More efficient services will benefit this group in allowing quicker and easier access. A single SBC view will mean services are located in the

				same place, meaning less journeys are required to access services for some customers / stakeholders. For current employees, any potential reduction in staff numbers may mean an impact on this group.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		<b>X</b>	<b>X</b>	An increased use of digital resources may impact on this group. This will be taken into account in the service design. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders. For current employees, any potential reduction in staff numbers may mean an impact on this group.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		<b>X</b>	<b>X</b>	There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders. For current employees, property rationalisation may mean an impact on this group.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		<b>X</b>	<b>X</b>	An increased use of digital resources may impact on this group. This will be taken into account in the service design. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders. For current employees, any potential reduction in staff



				numbers may mean an impact on this group.
<b>Looked after and accommodated children and young people</b>	<b>X</b>			
<b>Carers</b> paid and unpaid including family members		<b>X</b>	<b>X</b>	For current employees, a change to work patterns could have either a positive or negative impact on some with caring responsibilities.  Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.
<b>Homelessness</b>	<b>X</b>			
<b>Addictions and substance use</b>	<b>X</b>			
<b>Those involved within the criminal justice system</b>	<b>X</b>			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

Yes

<b>Signed by Lead Officer:</b>	<b>Jason Hedley</b>
<b>Designation:</b>	<b>Chief Officer, Roads</b>
<b>Date:</b>	<b>10/02/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>10/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Waste Management</p> <p><i>Year 1 operational efficiencies including final savings from the kerbside collection review 2 FTE impact from vacant posts. Future years' savings from implementation of national legislation including Deposit Return Scheme and Extended Producer Responsibility obligations. Remaining savings to be made from further optimisation of the waste service including review of working patterns.</i></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice A revised Policy/Strategy/Practice X</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>Structural and process re-engineering review.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Service improvement and adjustments to ensure fit for purpose, flexible, affordable and able to meet future challenges.</li> <li>• Linking in with other A&amp;I and / or SBC Service area review works as appropriate</li> <li>• Embracing the opportunities from Digital investment</li> <li>• Review structures, enhance skills, flexibility and demand-led working patterns</li> </ul>

	<ul style="list-style-type: none"> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets – including reduced estate &amp; single SBC view</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> <li>•</li> </ul>
<b>Service Area:</b> <b>Department:</b>	WASTE
<b>Lead Officer:</b> (Name and job title)	Ross Sharp-Dent Waste Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	28/01/21

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p>Yes</p>

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, staff communication & engagement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, staff communication & engagement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	The focus on staff engagement/communications, community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase.</p> <p>Conversely, older people can benefit from increased digital access.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources, however more flexible operations and processes, with development opportunities for staff during their working life, may prove beneficial to many.</p>

				.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p>Increased digital access is a potentially positive development.</p> <p>Disabled employees may find it more difficult to adjust to a more flexible form of working, however more flexible operations and processes, with development opportunities for staff during their working life, may prove beneficial to many.</p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),		X		Increased digital access should be a benefit.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including	X			

atheists and those with no aligned belief)				
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation,</b> e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b> Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	<p>More efficient services will benefit this group in allowing quicker and easier access.</p> <p>.</p> <p>For current employees, any potential reduction in staff numbers may mean an impact on this group.</p>
<b>Material Deprivation –</b> being unable to access basic goods and services i.e. financial		X	X	<p>For current employees, any potential reduction in staff</p>

products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				numbers may mean an impact on this group.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		X	X	An increased use of digital resources may impact on this group. This will be taken into account in the service design.  For current employees, any potential reduction in staff numbers may mean an impact on this group.
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	For current employees, a change to work patterns could have either a negative or positive impact on some with caring responsibilities.  Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required



Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

--

<b>Signed by Lead Officer:</b>	<b>Ross Sharp – Dent</b>
<b>Designation:</b>	<b>Waste Manager</b>
<b>Date:</b>	<b>10/02/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>10/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Passenger Transport</p> <p><i>Year 1 reversal of a temporary removal of Passenger Transport Manager post and additional income opportunity through use of Development Contribution. Future years savings are related to the review of bus service contracts which will include approach to tender renewal and reviewing and optimising service provision.</i></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice A revised Policy/Strategy/Practice <input type="checkbox"/> X</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>Service, digital resource, and process re-engineering reviews and income generation opportunities.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Service improvement and adjustments to ensure fit for purpose, flexible, affordable and able to meet future challenges.</li> <li>• Linking in with other A&amp;I and / or SBC Service area <u>review works as appropriate</u></li> <li>• Embracing the opportunities from Digital investment – for example route optimisation.</li> <li>• Review structures, enhance skills, flexibility and demand-led working patterns</li> </ul>

	<ul style="list-style-type: none"> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets maximising use of internal fleet.</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area:</b> <b>Department:</b>	WASTE
<b>Lead Officer:</b> (Name and job title)	Ross Sharp-Dent Waste Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	27/01/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p>Yes</p>

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, staff communication & engagement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, staff communication & engagement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	The focus on staff engagement/communications, community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Under 18s and older people may be more reliant on public transport. Therefore alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services.</p> <p>A single SBC view across services will mean services are located in the same place, meaning less journeys are required to access services for some customers/stakeholders.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working</p>

				and increased use of digital resources however more flexible operations and processes, with development opportunities for staff during their working life, may prove beneficial to many.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p>Those in this group may be more reliant on public transport. Therefore alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services.</p> <p>A single SBC view across services will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders.</p> <p>Route optimisation planning will benefit people with a disability.</p> <p>Disabled employees may find it more difficult to adjust to a more flexible form of working however more flexible operations and processes, with development opportunities for staff during their working life, may prove beneficial to many.</p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who	X			

are married or in a civil partnership				
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),		X		Route optimisation will be a benefit.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<p><b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.</p>		X	X	<p>Those in this group may be more reliant on public transport. Alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services. This will be mitigated by route optimisation.</p> <p>Property rationalisation across the Council may mean people with low/ no wealth having to travel further to access Council services.</p> <p>An increased use of digital resources can mitigate this by reducing the need to visit Council premises.</p> <p>More efficient services will benefit this group in allowing quicker and easier access</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders.</p> <p>For current employees, any potential reduction in staff numbers may mean an impact on this group.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>Alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services. This will be mitigated by route optimisation.</p>

				<p>A single SBC view across services will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation –</b> where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		<b>X</b>	<b>X</b>	<p>Alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services. This will be mitigated by route optimisation.</p> <p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review. This will be mitigated by route optimisation.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background –</b> social class i.e. parents' education, employment and income</p>		<b>X</b>	<b>X</b>	<p>Alterations to bus services (i.e. timetables and routes) may impact access to public transport, which has implications for social isolation and access to goods/services. This will be mitigated by route optimisation.</p>



				<p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services for some customers / stakeholders</p> <p>For current employees, any potential reduction in staff numbers may mean an impact on this group.</p>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>Alterations to bus services (i.e. timetables and routes) may impact access to public transport for those with caring responsibilities. This has implications for social isolation and access to goods/services.</p> <p>For current employees, a change to work patterns may have either a positive or negative impact on some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.</p>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

--

<b>Signed by Lead Officer:</b>	<b>Ross – Sharp – Dent</b>
<b>Designation:</b>	<b>Waste Manager</b>
<b>Date:</b>	<b>10/02/2021</b>
<b>Counter Signature Service Director</b>	<b>John Curry</b>
<b>Date:</b>	<b>10/02/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal:</b></p>	<p>Corporate Improvement &amp; Economy Review</p> <p><i>Review of structure within the wider Corporate Improvement &amp; Economy service. 1FTE impact from vacant post. Total number of Service FTE 27</i></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input type="checkbox"/></p> <p>A revised Policy/Strategy/Practice <input checked="" type="checkbox"/> X</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>Creation of a Corporate Improvement Function to support the delivery of the SBC Corporate plan and Re-design of Economic Development structure in line with creation of SOSE and the fundamental principles of the council's Fit for 2024 transformation programme.</p> <p>This review will include changes to the team structure and its associated roles to deliver a more focussed approach to measuring and quality assuring the councils performance in line with the key organisational goals.</p>
<p><b>Service Area:</b> <b>Department:</b></p>	<p>Corporate improvement &amp; Economy</p>
<p><b>Lead Officer:</b> (Name and job title)</p>	<p>Rob Dickson, Executive Director</p>
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	<p>Alison Dubickas, HR Jill Fleming, Finance BP</p>

<b>Date(s) IIA completed:</b>	09/02/2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

**Yes / No** (please delete as applicable)- **Yes**

**If yes, - please state here:** Organisational policies and practices

## 3 Legislative Requirements

### 3.1 Relevance to the Equality Duty:

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.) – **Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> (Will the proposal discriminate? Or help eliminate discrimination?)	The review will follow the Fit for 2024 transformation programme principles and process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> (Will your proposal help or hinder the Council with this)	The review will follow the Fit for 2024 transformation programme principles and process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Foster good relations?</b> (Will your proposal help or hinder the council's relationships with those who have equality characteristics?)	The review will follow the Fit for 2024 transformation programme principles and process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		x	x	<p>Many employees will positively embrace changes to working practices and feel a positive impact.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.</p>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		x	x	<p>Disabled employees may find it more difficult to adjust to a more flexible form of working.</p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	x			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	x			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	x			

<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	x			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	x			
<b>Sexual Orientation,</b> e.g. Lesbian, Gay, Bisexual, Heterosexual	x			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes / No (*please delete as applicable*)

**If No go to Section 4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X		<b>This review impacts internal policies, processes and procedures.</b>  <b>Increased options for flexible working should benefit all colleagues.</b>

<b>Material Deprivation –</b> being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Area Deprivation –</b> where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Socio-economic Background –</b> social class i.e. parents' education, employment and income	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Looked after and accommodated children and young people</b>	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Carers</b> paid and unpaid including family members		X		<b>This review impacts internal policies, processes and procedures. Increased options for flexible working should benefit all colleagues.</b>
<b>Homelessness</b>	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Addictions and substance use</b>	X			<b>This review impacts internal policies, processes and procedures.</b>
<b>Those involved within the criminal justice system</b>	X			<b>This review impacts internal policies, processes and procedures.</b>

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Rob Dickson</b>
<b>Designation:</b>	<b>Executive Director</b>
<b>Date:</b>	<b>09/02/2021</b>
<b>Counter Signature Service Director</b>	
<b>Date:</b>	



## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Increased fees and charges and introduction of new charge
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input type="checkbox"/> x
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	The introduction in 21/22 of new fees (Road opening permits and Building Standards Provisional Enquiries) and increases in provision enquiry fees.  In subsequent years this will be addressed by annual review of our fees and through the reviews of any discretionary spend particularly in 2022/23.
<b>Service Area:</b> <b>Department:</b>	Planning, Housing & Related Services
<b>Lead Officer:</b> (Name and job title)	Ian L Aikman Chief Planning & Housing Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	N/A
<b>Date(s) IIA completed:</b>	28/01/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

No
If yes, - please state here:

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

Do you believe your proposal has any relevance under the Equality Act 2010?

No

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping	No			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	No			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	No			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	No			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	No			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	No			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	No			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	No			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	No			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes (only in that they form part of the Budget process – the proposals in themselves are relatively modest and are operational in nature)

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<p><b>Low and/or No Wealth –</b> enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.</p>	X			<p>The fees relate to providing advice on development proposals and the creation of new accesses which are being funded by the prospective applicant.</p> <p>The second new fee relates to charging for pre –application advice on Building Standards applications</p> <p>The fees charged are a small percentage of the overall cost of the works and should not render them uneconomic or prohibit the development proceeding.</p> <p>There are exceptions for disabled facilities and access, community groups, registered charities and for discussions with residents potentially impacted by a development.</p>
<p><b>Material Deprivation –</b> being unable to access basic goods and services i.e. financial products like life insurance,</p>	X			As above

repair/replace broken electrical goods, warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			As above
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			As above
<b>Looked after and accommodated children and young people</b>	X			As above
<b>Carers</b> paid and unpaid including family members	X			As above
<b>Homelessness</b>				As above
<b>Addictions and substance use</b>	X			As above
<b>Those involved within the criminal justice system</b>	X			As above

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes / No** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

<b>Signed by Lead Officer:</b>	
<b>Designation:</b>	<b>Chief Planning &amp; Housing Officer</b>
<b>Date:</b>	<b>28/01/2021</b>
<b>Counter Signature Service Director</b>	<b>Rob Dickson</b>
<b>Date:</b>	<b>09/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Management Fee reduction to Live Borders
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/> X
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate))	This proposal is a reduction in the annual management fee paid to Live Borders based on a 3% reduction. Live Borders have been involved in discussions around this proposal and have agreed to manage budget pressures within the existing management fee.  The reduction is £156k in 2021/22.
<b>Service Area:</b> <b>Department:</b>	Corporate improvement & Economy
<b>Lead Officer:</b> (Name and job title)	Rob Dickson, Executive Director
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Alison Dubickas, HR Jill Fleming, Finance BP
<b>Date(s) IIA completed:</b>	05/03/21

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

No
If yes, - please state here: N/A

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.) – NO*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	n/a
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	n/a
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	n/a

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping	x			



<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	x			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	x			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	x			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	x			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	x			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	x			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	x			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

**Is the proposal strategic?**

**NO**

**If No go to Section 4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.				
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)				
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income				

<b>Looked after and accommodated children and young people</b>				
<b>Carers</b> paid and unpaid including family members				
<b>Homelessness</b>				
<b>Addictions and substance use</b>				
<b>Those involved within the criminal justice system</b>				

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**No** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

A full impact assessment is not required as this is a reduction in a management fee only to Live Borders.

Live Borders have agreed that they will manage any budget pressures within the existing management fee, therefore there is no direct impact on their service users as a result of this proposal.

<b>Signed by Lead Officer:</b>	<b>Rob Dickson</b>
<b>Designation:</b>	<b>Executive Director</b>
<b>Date:</b>	<b>05/03/21</b>
<b>Counter Signature Service Director</b>	
<b>Date:</b>	

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Planning</p> <p><i>Review of internal processes and technology opportunities to drive efficiencies. Estimated FTE impact 1-2 FTE. Total number of service FTE 62</i></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input checked="" type="checkbox"/> X  A revised Policy/Strategy/Practice <input type="checkbox"/> □</p>
<p><b>Description of the proposal:</b>  (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).</p>	<p>Service reviews over the next 4 years including process, technology and structural changes as opportunities arise supported by People Plan.</p> <p>Structural and process re-engineering review and income generation opportunities.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility and demand-led working patterns</li> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets – including reduced estate &amp; single SBC view</li> </ul>

	<ul style="list-style-type: none"> <li>• Embracing the opportunities from Digital investment</li> <li>• Optimised partnership resources, including better shared services</li> <li>• Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area:</b> <b>Department:</b>	Economic Development and Corporate Services Planning
<b>Lead Officer:</b> (Name and job title)	Rob Dickson/Ian Aikman
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	03/02/2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b>  <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p><b>Yes</b></p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.

<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.</p>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability,		X	X	<p>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase.</p>

visible/invisible, progressive or recurring				<p><b>Increased digital access is a potentially positive development. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</b></p> <p><b>Disabled employees may find it more difficult to adjust to a more flexible form of working.</b></p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			X	<b>Increased digital access will be a benefit.</b>
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls)	X			



and boys) and those who self-identify their gender				
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	<p><b>Property rationalisation may mean people with low/ no wealth having to travel further to access Council services.</b></p> <p><b>An increased use of digital resources can mitigate this by reducing the need to visit Council premises.</b></p> <p><b>More efficient services will benefit this group in allowing quicker and easier access.</b></p> <p><b>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</b></p> <p><b>For current employees, a reduction in staff numbers may mean an impact on this group.</b></p>

<p><b>Material Deprivation –</b> being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation –</b> where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background –</b> social class i.e. parents' education, employment and income</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers</p>

				may mean an impact on this group.
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.</p>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

<b>Signed by Lead Officer:</b>	<b>Ian Aikman</b>
<b>Designation:</b>	<b>Chief Planning Officer</b>
<b>Date:</b>	<b>03/02/2021</b>
<b>Counter Signature Service Director</b>	<b>Rob Dickson, Executive Director</b>
<b>Date:</b>	<b>03/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Audit & Risk
<b>What is it?</b>	A new Policy/Strategy/Practice <input checked="" type="checkbox"/> A revised Policy/Strategy/Practice <input type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	To explore further joint working opportunities with other local authorities.
<b>Service Area:</b> <b>Department:</b>	Corporate Improvement and Economy Audit & Risk
<b>Lead Officer:</b> (Name and job title)	Rob Dickson//Jill Stacey
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	03/02/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**No**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	N/A
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	N/A
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	N/A

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

No

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.				
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)				
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income				



<b>Looked after and accommodated children and young people</b>				
<b>Carers</b> paid and unpaid including family members				
<b>Homelessness</b>				
<b>Addictions and substance use</b>				
<b>Those involved within the criminal justice system</b>				

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**No**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Jill Stacey</b>
<b>Designation:</b>	<b>Chief Officer Audit &amp; Risk</b>
<b>Date:</b>	<b>03/02/2021</b>
<b>Counter Signature Service Director</b>	<b>Rob Dickson – Executive Director</b>
<b>Date:</b>	<b>03/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Better use of Fleet Vehicles SB Cares
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Wider roll out of fleet vehicles to SB Cares staff
<b>Service Area:</b> <b>Department:</b>	SB Cares
<b>Lead Officer:</b> (Name and job title)	Jen Holland, Chief Operating Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Paul Cathrow Service Manager
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes / No (please delete as applicable) NO
If yes, - please state here:

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>	
Do you believe your proposal has any relevance under the Equality Act 2010? (If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> (Will the proposal discriminate? Or help eliminate discrimination?)	Yes ability to offer employment to potential employees who do not own a vehicle, potentially younger staff
<b>Promotion of equality of opportunity?</b> (Will your proposal help or hinder the Council with this)	It will give more people the opportunity to gain employment with SB Cares so promote equality of opportunity.
<b>Foster good relations?</b> (Will your proposal help or hinder the council s relationships with those who have equality characteristics?)	Greater diversity in the workforce will allow more contact between different groups and therefore foster good relations.

<b>3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal? (You should consider employees, clients, customers / service users, and any other relevant groups)</b>				
Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.				
	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X		Increased employment opportunities through provision of vehicle

				<b>impacts on service availability</b>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		<b>x</b>		<b>Increased employment opportunities through provision of vehicle impacts on service availability.</b>  <b>Some disabled people may not be able to use the pool cars, but adjustments would be made, such as allowing them to use their own vehicle.</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	<b>X</b>			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	<b>X</b>			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	<b>X</b>			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	<b>X</b>			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	<b>X</b>			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those	<b>X</b>			

who self-identify their gender				
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b> Yes (<i>please delete as applicable</i>) No</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X		<b>Provision of fleet vehicles will benefit employees and potential employees who do not own their own vehicle.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X		<b>Provision of fleet vehicles will benefit employees and potential employees who do not own their own vehicle</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X		<b>Provision of fleet vehicles will benefit employees and potential employees who do not own their own vehicle, and who live in areas with lower public transport links.</b>

<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes** *(please delete as applicable)*

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

Ability to enhance career opportunities to further market through provision of vehicles for work a barrier for low income individual and families to a career in care

<b>Signed by Lead Officer:</b>	<b>Paul Cathrow</b>
<b>Designation:</b>	<b>Service Manager</b>
<b>Date:</b>	<b>03/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>

<b>Date:</b>	<b>03/03/2021</b>
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## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal: Review of LDS Day Services</b>	
<b>What is it?</b>	A revised Policy/Strategy/Practice <input type="checkbox"/> X
<b>Description of the proposal:</b>	<b>Review and re-provide for client needs, as appropriate. The review will engage stakeholders and benchmark service provision with other local authorities in Scotland and propose alternative service provision. This will include the new digital strategy to support providing services in different ways to reduce isolation and increase social interaction. This is likely to be a change from building to community based workplace and no FTE impact is expected.</b>
<b>Service Area: Department:</b>	<b>LDS Health &amp; Social Care</b>
<b>Lead Officer: (Name and job title)</b>	<b>Simon Burt – General Manager Lisa Samson – SB Cares</b>
<b>Other Officers/Partners involved:</b>  (List names, job titles and organisations)	<b>Jen Holland – Head of Service SB Cares Douglas Ireland – GM LDS Susan Henderson – planning and development officer TL’s SB Cares</b>
<b>Date(s) IIA completed: updated 08/02/21</b>	



## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

No (please delete as applicable)
If yes, - please state here:

## 3 Legislative Requirements

### 3.1 Relevance to the Equality Duty:

**Do you believe your proposal has any relevance under the Equality Act 2010? Yes**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Increasing social interaction and reducing social isolation will assist in eliminating discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Enabling service users to maximise their opportunity and independence will help with equality of opportunity.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	A focus on gaining independence and increasing social interaction will help in fostering good relationships.

### 3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal? (You should consider employees, clients, customers / service users, and any other relevant groups)

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		x		Enabling service users to maximise their opportunity and

				independence will aid groups of all ages.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		x		<b>As above</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	x			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	x			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	x			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	x			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	x			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	x			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b>  Yes (<i>please delete as applicable</i>)  <b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents'	X			

education, employment and income				
<b>Looked after and accommodated children and young people</b>	<b>X</b>			
<b>Carers</b> paid and unpaid including family members		<b>X</b>		<b>Increasing options for service users will provide greater respite opportunities.</b>
<b>Homelessness</b>	<b>X</b>			
<b>Addictions and substance use</b>	<b>X</b>			
<b>Those involved within the criminal justice system</b>	<b>X</b>			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Susan Henderson</b>
<b>Designation:</b>	<b>Planning and development officer</b>
<b>Date:</b>	<b>08/02/21</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>
<b>Date:</b>	<b>08/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Reablement / re-commission Homecare
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Review of Homecare provision and expansion of reablement model. Staff will be trained in reablement approach and identified lower cost providers of homecare services to provide personal care.
<b>Service Area:</b> <b>Department:</b>	SB Cares
<b>Lead Officer:</b> (Name and job title)	Jen Holland, Chief Operating Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Julie Glen Operations Director / Contracts
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes / No (please delete as applicable) NO
If yes, - please state here:

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	A reablement approach will allow service users to maximise their potential and help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Clients will all be offered reablement opportunity, and increased ability will allow greater opportunities for service users.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	N/A

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X		<b>Older people with opportunity and are able will all progress through 6 weeks of re-</b>

				<p>ablement to help improve their independence.</p> <p>Recommissioning will improve scheduling across the Borders ensuring elimination of travel costs and increase availability to keep more older people at home</p>
<p><b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring</p>		X		<p>A reablement approach will allow service users with a disability to maximise opportunities.</p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			
<p><b>Marriage or Civil Partnership</b> people who are married or in a civil partnership</p>	X			
<p><b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),</p>	X			
<p><b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)</p>		X		<p>Reablement will allow service users to play a greater part in community life, including cultural events.</p>
<p><b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)</p>		X		<p>Reablement will allow service users to play a greater part in religious festivals and worship.</p>

<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes / No (*please delete as applicable*) **No**

**If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work	X			



(e.g. accessibility of transport)				
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	x			
<b>Looked after and accommodated children and young people</b>	x			
<b>Carers</b> paid and unpaid including family members		X		<b>Reablement will provide greater opportunities for respite for carers.</b>
<b>Homelessness</b>	x			
<b>Addictions and substance use</b>	x			
<b>Those involved within the criminal justice system</b>	x			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Julie Glen</b>
<b>Designation:</b>	<b>Operations Director</b>
<b>Date:</b>	<b>03/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>

<b>Date:</b>	<b>03/03/2021</b>
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## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Trusted Assessment Scheme
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Introduction and roll out of Trusted Assessment Model. Assessments will be undertaken earlier, within the patient's home and avoiding duplication to enhance the patient experience and provide a person centred approach. Digital solutions and improved efficiencies will enable Social Work staff to focus more on their complex and statutory duties. Estimated 1 FTE reduction.
<b>Service Area:</b> <b>Department:</b>	SB Cares
<b>Lead Officer:</b> (Name and job title)	Jen Holland, Chief Operating Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Julie Glen Operations Director
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

No
If yes, - please state here:

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Quicker discharge from hospital will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Allows staff to be involved and career opportunities.  Quicker return to the community for clients will promote equality of opportunity.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	Yes – will ensure person centred assessments done once by the person closest to client at the time.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	

<b>Age</b> Older or younger people or a specific age grouping		X		The proposal would allow service users to be assessed and have their needs met more quickly and efficiently than currently. Would eliminate multiple similar assessments being undertaken with all professions being able to share information and assessments made at the right time by the right person
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		The proposal would allow service users to be assessed and have their needs met more quickly and efficiently than currently. Would eliminate multiple similar assessments being undertaken with all professions being able to share information and assessments made at the right time by the right person
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including	X			

minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)				
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b> Yes (<i>please delete as applicable</i>) <b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation</b> – being unable to access basic goods and	X			

services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

This proposal improves person centred care eliminating duplication and unnecessary delay in addition this improves job satisfaction for all involved.

<b>Signed by Lead Officer:</b>	<b>Julie Glen</b>
<b>Designation:</b>	<b>Operations Director</b>
<b>Date:</b>	<b>03/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>
<b>Date:</b>	<b>03/03/2021</b>



## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal: Complex Care Unit</b></p>	
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input type="checkbox"/>  A revised Policy/Strategy/Practice  X<input checked="" type="checkbox"/></p>
<p><b>Description of the proposal:</b></p> <p>(Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).</p>	<p><b>Service redesign; repatriation of clients from outside the Scottish Borders area.</b></p> <p><b>The proposal is to provide land to a 3<sup>rd</sup> sector provider in order to allow them to build a Complex Care Unit within the Borders for 8 – 12 adults with a Learning Disability. The provider would build and staff the service and the partnership would purchase placements as required. The service has been identified as a commissioning priority within the Learning Disabilities Commissioning Strategy. The service once available would allow the repatriation of service users outwith the Borders and provide a higher quality of local service provision. This would also likely reduce the need for hospital placements and reduce the length of stay for hospital in patients.</b></p>
<p><b>Service Area:</b> <b>Department:</b></p>	<p><b>LDS</b></p>
<p><b>Lead Officer:</b> (Name and job title)</p>	<p><b>Simon Burt – General Manager</b></p>
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	<p><b>Keith Taylor – Cornerstone</b> <b>Marion Kimber – LDS</b></p>

	<b>Dr Mark Hughes – LDS</b> <b>Kathryn Dixon – SBC Contracts</b> <b>Susan Henderson – Performance and Planning Officer LDS</b>
<b>Date(s) IIA completed: 4<sup>th</sup> Feb 2021</b>	

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

<b>No</b> <i>(please delete as applicable)</i>
<b>If yes, - please state here:</b>

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>	
<b>Do you believe your proposal has any relevance under the Equality Act 2010? Yes</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Yes – Providing local housing to a protected group
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Yes – as above
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	Yes – as above. Reduction in out of area placements.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		x		<b>Carers have less distance to travel to see relatives. Carers supported by having a suitable placement for their adult offspring.</b>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		x		<b>Local placements. Higher quality. Reduced likelihood of prolonged hospital placements.</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	x			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	x			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	x			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	x			

<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)		x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender		x			
<b>Sexual Orientation, e.g.</b> Lesbian, Gay, Bisexual, Heterosexual		x			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>					
<p><b>Is the proposal strategic?</b> Yes / <i>(please delete as applicable)</i> <b>If No go to Section 3.4</b></p>					
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>					
	<b>Impact</b>			<b>State here how you know this</b>	
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>		
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		x		<b>Less travelling to see relatives. Typically people this service is designed for would fit this economic group. They will experience a higher quality of care and support.</b>	
<b>Material Deprivation –</b> being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods,		x		<b>As above</b>	

warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		x		<b>As above</b>
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		x		<b>As above</b>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		x		<b>As above. Reduces carer stress as more readily available supported accommodation.</b>
<b>Homelessness</b>	x			
<b>Addictions and substance use</b>	x			
<b>Those involved within the criminal justice system</b>	x			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

<b>Signed by Lead Officer:</b>	<b>Simon Burt</b>
<b>Designation:</b>	<b>General Manager</b>
<b>Date:</b>	<b>04/02/21</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>
<b>Date:</b>	<b>04/03/2021</b>

# Scottish Borders Council

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal: Locality Working</b></p>	
<p><b>What is it?</b></p> <p>Locality working has been on the agenda of H&amp;SC for a number of years. Pre Covid, What Matters Hubs provided a single point of contact in towns for SW support. As a response to Covid, Community Assistance Hubs have been established in each locality. The aim is now to combine these two approaches to provide a single point of contact in each locality for H&amp;SC support. This single point of access will be supported by multidisciplinary teams which can provide a joined up approach to a client's care.</p> <p>The model will also include wider council services such as Community Learning and Development, Customer Advice and Support, Housing and Communities and Partnerships as well as the Third and Voluntary sector.</p>	<p><del>A new Policy/Strategy/Practice</del> <input type="checkbox"/></p> <p>A revised Policy/Strategy/Practice <input checked="" type="checkbox"/></p> <p>Y</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate))</p> <p><b>Aim -</b></p> <ul style="list-style-type: none"> <li>• We will provide a single point of contact for support in each locality to assist with -             <ul style="list-style-type: none"> <li>○ Health, care and wellbeing</li> <li>○ Economy, skills and learning</li> <li>○ Quality of life</li> <li>○ Our homes</li> <li>○ All of which will increase the resilience of our community</li> </ul> </li> <li>• We will support communities to develop and improve the model</li> </ul> <p><b>Our ways of working</b></p> <ul style="list-style-type: none"> <li>• Person and family centred</li> <li>• Accessible</li> </ul>	

- Focus on health and wellbeing outcomes
- Integrated Partnership approach
- Community based
- Developed with the community
- Use local intelligence to prioritise and shape services
- Empower communities
- Improve the resilience and sustainability of communities
- Ensure consistency of core practices across Localities
- Ensure equity in service provision across Localities
- Continual service improvement/development

#### Outcomes

- More people in good health (physical and mental) and leading an active lifestyle at every age and stage of life
- Improved support and care for older people
- Our public services are high quality, continually improving, efficient and responsive to local people's needs
- Individuals and communities will benefit from joined up seamless services
- Improved shared Planning processes
- Simplified referral pathways
- Joint working between acute and community services to avoid admission and advance discharge
- Secondary care pull patients back into the community
- Working in Partnership will provide joined up, seamless services
- More efficient use of resources through the maximum integration of services
- Reduce duplication
- Reduce inappropriate referrals to wrong services

The aim is to create a single point of contact in each locality for support. The model will be based on the expanding the service provided by the current Community Assistance Hubs and incorporating the model used by the pre COVID What Matters Hubs. Daily virtual support, using an asset based conversation will be provided by the 0300 number supported by a multidisciplinary team. The core multi-disciplinary team will meet daily to discuss -

- Discuss those in each area who are in hospital
- Ready for discharge
- Worried about in community
- New individuals who are identified as a concern
- Review of home 1<sup>st</sup> capacity
- Review care at home capacity
- Review shared client list
- Feedback from community hospital
- Incoming new referrals from 'What Matters' and other referral pathways
- Information sharing, Communication with Third Sector and other partners



Post Covid – physical “What Matters” style hubs will be developed with near me rooms, supported by the third sector, volunteers, CAS and the Multi-disciplinary team

A weekly Community Meeting (name tbc) to include Third Sector and other Partners, will complete the model, with support provided by this group to the core team.

The core partners that will be included in the model are -


- GP's
- District Nurses
- Social Work
- AHP's
- Home First
- Home Care teams
- Local Area Coordinators
- Mental Health and LD
- Public Health including Wellbeing Service
- Third Sector (CAB and other third sector commissioned services)
- Resilient communities & other Community Groups
- START
- Community Hospitals
- Customer Advice & Support
- Communities & Partnership team
- Financial inclusion teams
- Attend Anywhere/Near me rooms
- Community Learning & Development
- Education
- Community Planning Partnership
- Early Years Centres
- Health Visitors
- Matching Unit

Each key team that supports the core H&SC model will develop specific team ways of working and practices which will support the models vision and aims. These include Health, CLD, Communities and Partnerships, Wellbeing, Customer Advice and Support.

<p><b>Service Area:</b> <b>Department:</b></p>	<p>SBC - Health and Social Care, Customer and Communities, Community learning and Development, Education, Housing. NHS – LAC's, Wellbeing Service, District Nurses, Home First Independent sector care providers, housing providers Third Sector and other key partners</p>
<p><b>Lead Officer:</b> (Name and job title)</p>	<p>Jenni Craig Jen Holland Rob McCulloch-Graham</p>
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	<p>Group Manager, Social Care &amp; Health, SBC - Shona MacCorquodale General Manager, Primary and Community NHS Borders - Susannah Flower Associate Director AHP's NHS Borders - Paul Williams</p>

	<p>Communities and Partnerships Manager, SBC- Shona Smith  Quality Improvement Officer, SBC- Kevin McCall  Project Manager, Business Change &amp; Improvement, SBC - Jenny Rudkin  CLDS Youth Work Team Leader, SBC – Norrie Tait  Customer Services Manager, SBC - Les Grant  Local Area Coordinator Manager, NHS Borders – Claire Veitch  Head of Health Improvement/Strategic Lead ADP, NHS Borders - Fiona Doig  Programme Manager SW Review, SBC – Clare Richards  Programme Manager H&amp;SCP, SBC - Graeme McMurdo  Programme Manager, SBC – Frances Eneide  Project Support Officer, SBC - Suzanne Hislop</p>
<b>Date(s) IIA completed:</b>	04.03.21

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

<b>Yes / No</b> <i>(please delete as applicable)</i>
<p><b>If yes, - please state here:</b></p> <p>As well as being part of the FF2024 programme, the model also forms part of the H&amp;SC Strategic Implementation plan (SIP). The SIP has a number of projects which link into locality working. These links can be seen on the attachment below. The model is in line with the Scottish Borders Community Plan.</p> <p>  localities mapping for  SIP.docx</p>

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b>  <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<p><b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i></p>	<p>Eliminate – The locality model will make services more accessible to all. Providing rounded, whole family support in localities</p>

<b>Promotion of equality of opportunity?</b> (Will your proposal help or hinder the Council with this)	The model will provide an equal opportunity for the public to access services
<b>Foster good relations?</b> (Will your proposal help or hinder the council's relationships with those who have equality characteristics?)	The model will be based on a high level framework which will be issued to locality teams. The teams will then engage with their communities to develop the model based on local need. This will foster good relations and take into consideration all aspects of the community irrespective of equality characteristics.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		Y		The model will provide joined up services in each locality for the whole family/all ages.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		Y		The model will provide joined up support in each locality for all and will be able to signpost to further support services and organisations.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth		Y		The model will provide joined up services in each locality for all.
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership		Y		The model will provide joined up services in each locality for all.
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In	Y			The model will provide joined up services in each locality for all, but will not change the way maternity services are provided.

the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),				
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)		Y		The model will provide joined up services in each locality for all.
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)		Y		The model will provide joined up services in each locality for all.
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender		Y		The model will provide joined up services in each locality for all.
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual		Y		The model will provide joined up services in each locality for all.

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes (*please delete as applicable*)

#### If No go to Section 4

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs		Y		The core team will be able to gain support from community team who will be able to offer

and pay bills but have no savings to deal with any unexpected spends and no provision for the future.				support by financial inclusion team, CAB and others. The model will provide a single point of access for all, for multiple areas of support.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		Y		The core team will be able to gain support from community team who will be able to offer support by financial inclusion team, CAB and others. The model will provide a single point of access for all, for multiple areas of support.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		Y		The model will be available in each locality but also virtually via the 0300 number and online support will also be available via Attend Anywhere/Near Me.
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		Y		
<b>Looked after and accommodated children and young people</b>	N			This is currently being considered and will be updated
<b>Carers</b> paid and unpaid including family members		Y		Access to support from the Carers Centre will be available via the what matters hubs
<b>Homelessness</b>		Y		Support will be provided on homelessness and wellbeing via the virtual what matters hub.
<b>Addictions and substance use</b>		Y		Support will be provided on homelessness and wellbeing via the virtual what matters hub.
<b>Those involved within the criminal justice system</b>	N			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Jen Holland/ Jenni Craig/ Rob McCulloch -Graham</b>
<b>Designation:</b>	<b>Chief Operating Officer</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>JEN HOLLAND</b>
<b>Date:</b>	<b>04/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal: Shared Lives</b>	
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/>
<b>Description of the proposal:</b> <b>To commission a Shared Lives scheme within the Borders. This will provide up to 25 placements over a 3 year period for adults with a learning disability whom require live in supported accommodation, respite care and/or day time support.</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).	
<b>Service Area: LDS</b> <b>Department:</b>	
<b>Lead Officer: Simon Burt – General Manager</b> (Name and job title)	
<b>Other Officers/Partners involved:</b> <b>Susan Henderson – Planning and Performance</b> <b>Ryan Douglas – Contracts</b> <b>John Yallop – Finance SBC</b> <b>Emma Martindale – ATL</b> <b>Cornerstone Shared Lives team</b> <b>Shared Lives Carers</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed: updated 4-2-21</b>	

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

<b>No</b> <i>(please delete as applicable)</i>
<b>If yes, - please state here:</b>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010? yes**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Yes – provides suitable support for adults who are vulnerable due to disability.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Yes – Provides appropriate support and enablement to allow greater opportunity.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	Yes – provides a high quality of support.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		x		<b>Supports carers</b>



<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		x		<b>Provides appropriate support for adults with disabilities to live within the local community.</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	x			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	x			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	x			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	x			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	x			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	x			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes (*please delete as applicable*)

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		x		<b>Positive impact. People with disabilities are over represented in this group.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		x		<b>As above</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		x		<b>As above</b>
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		x		<b>As above</b>

<b>Looked after and accommodated children and young people</b>		<b>x</b>		<b>This scheme is providing 7 placements for adults currently moving from placements provided by Foster Carers and will provide future opportunities</b>
<b>Carers paid and unpaid including family members</b>		<b>x</b>		<b>Suitable placements will provide replacement care and respite to carers.</b>
<b>Homelessness</b>	<b>x</b>			
<b>Addictions and substance use</b>	<b>x</b>			
<b>Those involved within the criminal justice system</b>	<b>x</b>			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes** *please delete as applicable)*

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Susan Henderson</b>
<b>Designation:</b>	<b>Planning and development officer</b>
<b>Date:</b>	<b>Updated 04/02/2021</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>
<b>Date:</b>	<b>08/03/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	<b>Residential Care Retendering</b>
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Review of delivery arrangements for Residential Care to ensure the service delivery model provides best value in an environment of increasing service demand.
<b>Service Area:</b> <b>Department:</b>	SBCares
<b>Lead Officer:</b> (Name and job title)	Jen Holland
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HSC
<b>Date(s) IIA completed:</b>	04/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	An improvement to the service delivery model will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	The proposal will improve opportunities for older people and therefore enhance equality of opportunity.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	N/A

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X		<b>The improvement of service delivery for residential care will</b>

				have a positive impact on older people requiring such care.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		The improvement of service delivery for residential care will have a positive impact on people with a disability requiring such care.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X		<b>An increase in FTE will mean greater employment opportunities.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X		<b>.As above,</b> .
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents'	X			

education, employment and income				
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X		<b>An improvement in residential care facilities will benefit family carers.</b>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>				

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Julie Glen</b>
<b>Designation:</b>	<b>Operations Director, SB Cares</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jen Holland</b>



<b>Date:</b>	<b>04/03/2021</b>
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## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Increased Fees & Charges – School Lets. Music Fees & School Meals
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice X
<b>Description of the proposal:</b> Forecast fees & charges increase to be agreed:  School Meals - increase of 10p per meal Music Fees - increase of £3 to £5 per annum School Lets - increase of 20p to 90p per hour	Forecast fees & charges increase to be agreed. (10p increase in price of a school meal in 2021/22, and 2022/23) and inflationary increase on Lets.
<b>Service Area:</b> <b>Department:</b>	Children & Young People
<b>Lead Officer:</b> (Name and job title)	Michelle Strong
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	04/02/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Yes, an increase in fees could adversely impact on some families in terms of the increase in cost for school meals and the increase in cost of music tuition
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Yes – it could hinder the Council
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	It could hinder the Council's relationship to a certain degree

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping			X	<b>Some children may struggle with the added cost to school meals.</b>

				<b>However, all P1-3 pupils are entitled to free school meals, and a number of older children are also eligible.</b>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			X	<b>The increase could affect affordability for some families. In mitigation all P1-3 pupils are entitled to free school meals, and a number of older children are also eligible according to need.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	<b>As above</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)			X	<b>As above</b>
<b>Socio-economic Background</b> – social class i.e. parents'			X	<b>As above</b>

education, employment and income				
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Michelle Strong</b>
<b>Designation:</b>	
<b>Date:</b>	<b>04/02/2021</b>
<b>Counter Signature Service Director</b>	<b>Lesley Munro, Service Director Children Young People &amp; Inclusion</b>
<b>Date:</b>	<b>11/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Inspire Learning
<b>What is it?</b>	A revised Policy/Strategy/Practice X
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).	Efficiency savings identified through the implementation of Inspire Learning Programme.  Efficiency Savings identified include the reduction of IT support costs as well as the need for any IT refresh, consumables, Textbooks, Paper & printing as well as reduced time in ordering such items in schools and therefore associated purchase to pay activities.
<b>Service Area:</b> <b>Department:</b>	CYPS Education
<b>Lead Officer:</b> (Name and job title)	Catherine Thomson Quality Improvement Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Laura Hill – Business IT Partner Jane Scott – Finance Sarah Thomson - CGI
<b>Date(s) IIA completed:</b>	13 <sup>th</sup> February 2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

No (please delete as applicable) NO
If yes, - please state here:

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
**NO**

*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	No
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	No
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	No

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping	<b>X</b>			



<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

**Is the proposal strategic?**

**No** (*please delete as applicable*)

**If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.				
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies				
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)				
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income				

<b>Looked after and accommodated children and young people</b>				
<b>Carers</b> paid and unpaid including family members				
<b>Homelessness</b>				
<b>Addictions and substance use</b>				
<b>Those involved within the criminal justice system</b>				

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**No** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Catherine Thomson</b>
<b>Designation:</b>	<b>Quality Improvement Officer</b>
<b>Date:</b>	<b>28 January 2021</b>
<b>Counter Signature Service Director</b>	<b>Lesley Munro</b>
<b>Date:</b>	<b>28 January 2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p><b>DSM REVIEW - Fit for 2024</b></p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice</p>
<p><b>Description of the proposal:</b>  DSM is the framework by which decision making is delegated to headteachers. A series of principles and formulae are used to allocated resource to schools. Each local authority has their own version of the scheme, which is consistent with national guidance.</p> <p>Following the Fair Funding Scotland Review, new national guidance was published. All local authorities were mandated to review, implement and publish their new scheme by 2021. However, this date was revised due to pandemic and is now April 2022.</p> <p>The current scheme has not changed since a Service review in 2008 (Transforming Children’s Services) and much has changed since then in terms of school rolls, corporate functions and needs of the service users.</p> <p>There are significant year on year savings associated with the review of DSM.</p> <p>There is a requirement to make a minimum saving of £937,000 in 2021/22 from the review of DSM.</p>	<p>DSM Scheme being reviewed in line with National requirements. The new allocation methodology will create a structure which ensures parity and transparency in allocations and structures across all schools. This new scheme will likely result in reduced allocations relating to school management structures of up to 16 FTE with a change in duties and grade for a number of staff, with no detriment to class facing FTE or the pupil:teacher ratio. The total number of employees in this area is 211.72 FTE</p> <p>A DSM review group has been established, consisting of representatives from finance, HR, education, FF24 and CMT.</p> <p>The aim of the group is to progress the DSM review ensuring the scheme and associated processes are fit for 2024 and beyond.</p> <p>Working groups (primary and secondary) have been established to look at innovative ways to transform our services to children, as well as ensure the DSM scheme is efficient and effective.</p> <p>The initial focus of these groups has been to look at look at middle leadership in schools (Principal</p>

	Teachers). The intended outcome is to have a stream-lined middle leadership structure that works within and across schools, has greater capacity to drive improvement and is fair, transparent and consistent across Scottish Borders.
<b>Service Area: Department:</b>	Education
<b>Lead Officer:</b> (Name and job title)	Michelle Strong, Chief Education Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	27 January 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<b>If yes, - please state here:</b>  Departmental practices and procedures.

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i>	
Yes	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Whole system approach to allocation of resources will help eliminate discrimination.

<p><b>Promotion of equality of opportunity?</b> (Will your proposal help or hinder the Council with this)</p>	<p>Agreed principles and expectations of the new scheme will enhance community engagement in how resources are used, and decisions made based on local context. This will promote opportunity for all protected groups.</p>
<p><b>Foster good relations?</b> (Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</p>	<p>The spirit of the new DSM scheme is premised on empowerment and improvement. There are very clear expectations that consultation and decision making should be at a local level. The focus on community engagement, participation and empowerment will help foster good relations between different groups.</p>

<p><b>3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?</b> (You should consider employees, clients, customers / service users, and any other relevant groups)</p>				
<p>Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.</p>				
	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<p><b>Age</b> Older or younger people or a specific age grouping</p>		X	X	<p>The proposed new model will enhance the curriculum offer to our young people in schools.</p> <p>The first phase of the DSM review is focused on middle leadership in schools. The overall reduction in the number of promoted posts across Scottish Borders could reduce the opportunities for ambitious staff to gain promotion.</p> <p>This will be mitigated by consideration of these matters during the service design phase.</p> <p>Older employees may find it more difficult to adjust to a different model of leadership in our and across our schools.</p>

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			



### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	<b>For current employees, a reduction in staff numbers may mean an impact on this group.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X	X	<b>For current employees, a reduction in staff numbers may mean an impact on this group.</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			

<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Michelle Strong</b>
<b>Designation:</b>	<b>Chief Education Officer</b>
<b>Date:</b>	<b>27.01.21</b>
<b>Counter Signature Service Director</b>	<b>Lesley Munro</b>
<b>Date:</b>	<b>27.01.21</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Review of Central Schools, Management Structures and Learning Estate Rationalisation will commence in 2021/22. Intention is to create a focussed and fit-for-purpose structure providing strategic leadership for the core objectives as set out in the Children &amp; Young People Improvement Plan, identifying service delivery models that support outcomes for Children &amp; Young People at a locality model. This may result in a change in duties and grade for a number of staff and a reduction of up to 3 FTE.</p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input checked="" type="checkbox"/> X A revised Policy/Strategy/Practice <input type="checkbox"/> □</p>
<p><b>Description of the proposal:</b> Central Schools</p>	<p>Structural and process re-engineering review and income generation opportunities.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility and demand-led working patterns</li> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> </ul>

	<ul style="list-style-type: none"> <li>Enhanced community engagement, participation &amp; empowerment</li> <li>Best use of physical assets – including reduced estate &amp; single SBC view</li> <li>Embracing the opportunities from Digital investment</li> <li>Optimised partnership resources, including better shared services</li> <li>Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area:</b> <b>Department:</b>	Children & Young People
<b>Lead Officer:</b> (Name and job title)	Michelle Strong
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	14/02/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p> <p>Yes</p>

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

<b>3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?</b> <b>(You should consider employees, clients, customers / service users, and any other relevant groups)</b>				
Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.				
	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and</p>

				increased use of digital resources.
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Disabled employees may find it more difficult to adjust to a more flexible form of working.</p>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			X	Increased digital access will be a benefit.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			

<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation, e.g.</b> Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b> Yes <b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	<p>Property rationalisation may mean people with low/ no wealth having to travel further to access Council services.</p> <p>An increased use of digital resources can mitigate this by reducing the need to visit Council premises.</p> <p>More efficient services will benefit this group in allowing quicker and easier access.</p> <p>A single SBC view will mean services are located in the same place, meaning less</p>

				<p>journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background</b> – social class i.e. parents' education, employment and income</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the</p>



				<p>same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.</p>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Michelle Strong</b>
<b>Designation:</b>	<b>Chief Officer Schools</b>
<b>Date:</b>	<b>28 January 2021</b>
<b>Counter Signature Service Director</b>	<b>Lesley Munro</b>
<b>Date:</b>	<b>28 January 2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b> School Transport Review	Revised delivery arrangements following Transport pilot project. School Transport is outsourced and will have to be retendered once all the revised delivery arrangements have been modelled.
<b>What is it?</b>	A new Policy/Strategy/Practice <input checked="" type="checkbox"/> A revised Policy/Strategy/Practice <input type="checkbox"/>
<b>Description of the proposal:</b> School Transport	
<b>Service Area:</b> <b>Department:</b>	Children Young People & Inclusion
<b>Lead Officer:</b> (Name and job title)	Christian Robertson
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	
<b>Date(s) IIA completed:</b>	28 January 2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	No
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	There is a potential for this to be hindered, but this will be addressed in the tender criteria.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	No

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X	X	The impact is dependent on the detail of the new

				<b>arrangements, which will be covered in the tender criteria.</b>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		<b>X</b>	<b>X</b>	<b>The impact is dependent on the detail of the new arrangements, which will be covered in the tender criteria.</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	<b>X</b>			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	<b>X</b>			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	<b>X</b>			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	<b>X</b>			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	<b>X</b>			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	<b>X</b>			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			X	<b>There is a potential negative impact in that those with low/ no wealth may be more likely to use school transport and less able to find alternative means of travel. This will be addressed in the tendering arrangements.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	<b>As above</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)			X	<b>Children in more rural areas may depend on school transport more. This will be addressed in the tender criteria.</b>
<b>Socio-economic Background</b> – social			X	<b>There is a potential negative impact in that those in the lower socio – economic</b>

class i.e. parents' education, employment and income				<b>classes may be more likely to use school transport and less able to find alternative means of travel. This will be addressed in the tendering arrangements.</b>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered "No" to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Christian Robertson</b>
<b>Designation:</b>	<b>QIM</b>
<b>Date:</b>	<b>28 January 2021</b>
	<b>Lesley Munro</b>

<b>Counter Signature Service Director</b>	
<b>Date:</b>	<b>28 January 2021</b>



## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Targeted efficiencies to be delivered from the 'Communities Development Review' workstream within Fit for 2024. Roles within CLD are to be reviewed in conjunction with other services that fit within the locality model</p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input checked="" type="checkbox"/>  A revised Policy/Strategy/Practice <input type="checkbox"/></p>
<p><b>Description of the proposal:</b>  Community Learning &amp; Development Review</p>	<p>Structural and process re-engineering review and income generation opportunities.</p> <p>This will be undertaken in line with the following principles:</p> <ul style="list-style-type: none"> <li>• Corporate-led, consistent single-SBC approach, external challenge</li> <li>• End to end processes</li> <li>• Reduced structures, enhanced skills, flexibility and demand-led working patterns</li> <li>• Demand-led &amp; informed by evidence, customer intelligence &amp; customer needs</li> <li>• Enhanced community engagement, participation &amp; empowerment</li> <li>• Best use of physical assets – including reduced estate &amp; single SBC view</li> <li>• Embracing the opportunities from Digital investment</li> <li>• Optimised partnership resources, including better shared services</li> </ul>

	<ul style="list-style-type: none"> <li>Process Improvement, productivity focus &amp; removal of non-value adding work, duplication &amp; ineffective effort</li> </ul>
<b>Service Area:</b> <b>Department:</b>	Children & Young People
<b>Lead Officer:</b> (Name and job title)	Kevin McCall, Quality Improvement Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Michelle Srong, Chief Officer Schools Christian Robertson, Quality Improvement Manager Oonagh McGarry, Adult learning team leader Norrie Tait, Youth Learning team Leader  Third Sector Interface Youth Borders CLD Strategic Partners
<b>Date(s) IIA completed:</b>	14/02/2020

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures. External inspection and annual reporting processes from Education Scotland and Scottish Government. Education Quality Improvement Framework, National Duties for Local Authorities on CLD provision.</p>

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> (If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</p> <p>Yes</p>

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote community based learning opportunities for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups. And facilitate effective partnership solutions negotiated with groups and communities.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people being able to access local community social spaces which may impact upon the ability to deliver health, wellbeing and personal development programmes.</p> <p>This will be mitigated by consideration of these matters during the service design phase.</p> <p>Conversely, older people can benefit from increased digital access.</p> <p>A single SBC view will mean services are located in the same</p>

				<p>place, meaning less journeys are required to access services.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.</p>
<p><b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring</p>		X	X	<p>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development. A mixed model of SBC estate and community owned/run spaces would help to mitigate this in our rural authority. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Disabled employees may find it more difficult to adjust to a more flexible form of working.</p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			
<p><b>Marriage or Civil Partnership</b> people who are married or in a civil partnership</p>	X			
<p><b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In</p>			X	<p>Increased digital access will be a benefit.</p>

the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),				
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)		x	x	<b>A reduced property estate may impact negatively on community based learning programmes for refugees, migrants and asylum seekers. This could be mitigated through careful consideration of the technology needs of these groups or ensuring community based spaces are accessible in the areas of greatest need.</b>
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	x			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	x			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	x			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<p><b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.</p>		X	X	<p>Property rationalisation may mean people with low/ no wealth having to travel further to access Council services.</p> <p>Accessible adult, youth and family learning programmes can help develop employability skills and pathways to increase the income base for these households and reduce the dependency levels on Council services. An increased use of digital resources and educational programmes to support the use of technology can mitigate this by reducing the need to visit Council premises.</p> <p>More efficient services will benefit this group in allowing quicker and easier access.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>An increased use of digital resources may impact on this group.</p> <p>This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less</p>

				<p>journeys are required to access services. Improved digital processes can build an infrastructure that helps the materially deprived reach support mechanisms from SBC and other partners e.g. Third Sector.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation –</b> where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background –</b> social class i.e. parents' education, employment and income</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services. Often the socio-economic group with the least secure employment and low income have the greatest prevalence of numeracy and literacy issues. An improved on-line learning offer will assist with accessible learning that</p>

				<p>provides an improved level of anonymity for these adults.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical for those with caring responsibilities.</p>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.



--

<b>Signed by Lead Officer:</b>	 <b>Kevin McCall</b>
<b>Designation:</b>	<b>Quality Improvement Officer</b>
<b>Date:</b>	<b>26/1/21</b>
<b>Counter Signature Service Director</b>	<b>Lesley Munro</b>
<b>Date:</b>	<b>02/02/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Service Provision review as a result of legislative change in respect of the Annual Household Canvass for Electoral Registration.
<b>What is it?</b>	A new Policy/Strategy/Practice <b>X</b> A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Structural and process re-engineering review. £5k of the savings are estimated to have an FTE impact on temporary relief staff canvassers not permanent staff.  This will be undertaken in line with the following principles: <ul style="list-style-type: none"> <li>• End to end processes</li> <li>• Reduced resources</li> <li>• Demand-led &amp; informed by evidence &amp; elector intelligence/data matching</li> <li>• Enhanced community engagement</li> <li>• Embracing the opportunities from alternative Digital solutions</li> <li>• Process Improvement, productivity focus &amp; removal of manual work</li> </ul>
<b>Service Area:</b> <b>Department:</b>	Customer & Communities Assessors and Electoral Services
<b>Lead Officer:</b> (Name and job title)	Brian Rout, ASSESSOR, ELECTORAL REGISTRATION OFFICER and Jenni Craig, SERVICE DIRECTOR CUSTOMER & COMMUNITIES
<b>Other Officers/Partners involved:</b>	Fit for 2024 programme support/HR/Finance - SBC

(List names, job titles and organisations)	
Date(s) IIA completed:	11 March 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
If yes, - please state here:  Electoral Registration statutory practices and procedures.

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
Do you believe your proposal has any relevance under the Equality Act 2010? <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i>	
No	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	N/A
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	N/A
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	N/A

<b>3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal? (You should consider employees, clients, customers / service users, and any other relevant groups)</b>		
Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.		
	<b>Impact</b>	<b>Please explain the potential</b>

	No Impact	Positive Impact	Negative Impact	impacts and how you know this
<b>Age</b> Older or younger people or a specific age grouping	X			
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those	X			

who self-identify their gender				
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			

<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered "No" to all of Sections 3.1 – 3.3.

**No**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

The nature of the change means there will be no impact.

<b>Signed by Lead Officer:</b>	<b>Brian Rout</b>
<b>Designation:</b>	<b>Assessor &amp; Electoral Registration Officer</b>
<b>Date:</b>	<b>11/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jenni Craig</b>

<b>Date:</b>	<b>11/03/2021</b>
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## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Fit for 2024 review of the service - Valuation Roll (non-domestic rates), Council Tax Valuations & Electoral Registration.
<b>What is it?</b>	A new Policy/Strategy/Practice <input checked="" type="checkbox"/> A revised Policy/Strategy/Practice <input type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Structural and process re-engineering review.  This will be undertaken in line with the following principles: <ul style="list-style-type: none"> <li>• End to end processes</li> <li>• Reduced resources</li> <li>• Embracing the opportunities from alternative Digital solutions</li> <li>• Process Improvement, productivity focus &amp; removal of manual work</li> </ul>
<b>Service Area:</b> <b>Department:</b>	Customer & Communities Assessors and Electoral Services
<b>Lead Officer:</b> (Name and job title)	Brian Rout, ASSESSOR, ELECTORAL REGISTRATION OFFICER and Jenni Craig, SERVICE DIRECTOR CUSTOMER & COMMUNITIES
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	11 March 2021



**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Statutory practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**No**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	N/A.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	N/A
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	N/A.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.			X	For current employees, a reduction in staff numbers may mean an impact on this group.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	For current employees, a reduction in staff numbers may mean an impact on this group.
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income			X	For current employees, a reduction in staff numbers may mean an impact on this group.

<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

The impact will be minimal as at this stage the review is only a proposal and may be overtaken by legislative barriers.

<b>Signed by Lead Officer:</b>	<b>Brian Rout</b>
<b>Designation:</b>	<b>Assessor &amp; Electoral Registration Officer</b>
<b>Date:</b>	<b>11/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jenni Craig</b>
<b>Date:</b>	<b>11/03/2021</b>



## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<p><b>Title of Proposal:</b></p>	<p>Redesigned Operating Model – Business Support and Customer Advice &amp; Support Carry out a Fit for 2024 review of these services to look at opportunities to combine/consolidate resources. This will involve a standardised, streamlined process across the organisation, as well as a dependency on the property rationalisation programme. Estimated FTE reductions are 12 FTE from an establishment of 369 FTE.</p>
<p><b>What is it?</b></p>	<p>A new Policy/Strategy/Practice <input checked="" type="checkbox"/> X A revised Policy/Strategy/Practice <input type="checkbox"/></p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>The Service redesigns are being progressed taking into account the expansion of digital customer interaction and self service relative to both the Services and all of the Council. Customer Advice &amp; Support Services (CASS) are delivering the Digital Customer Access (DCA) project, for these Service and the Council as a whole. This will allow the redesign, DCA and other changes to be implemented in such a way as to take advantage of existing and new technology and ways of working, and maximise the associated benefits. This will ensure all customers, internal or external, can obtain the services they need/want at an acceptable quality level and that vulnerable customers unable to use, utilise or access the new ways of engagement to still receive</p>

	the equivalent service to an equal standard. The Services and project adhere to the overall Council and Service principles of utilising technology and driving self service to increase efficiency and quality of service delivery.
<b>Service Area:</b> <b>Department:</b>	Customer & Communities Business Support and CASS
<b>Lead Officer:</b> (Name and job title)	Jenni Craig/Jenny Wilkinson/Les Grant
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	05 March 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<b>If yes, - please state here:</b>  Departmental practices and procedures.

## 3 Legislative Requirements

<b>3.1 Relevance to the Equality Duty:</b>	
<b>Do you believe your proposal has any relevance under the Equality Act 2010?</b> <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i>	
Yes	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will

	promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.</p>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development.</p>



				<p><b>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</b></p> <p><b>Disabled employees may find it more difficult to adjust to a more flexible form of working.</b></p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			
<p><b>Marriage or Civil Partnership</b> people who are married or in a civil partnership</p>	X			
<p><b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),</p>		X		<p><b>Increased digital access will be a benefit.</b></p>
<p><b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)</p>	X			
<p><b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)</p>	X			
<p><b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender</p>	X			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<p><b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.</p>		X	X	<p>Property rationalisation may mean people with low/ no wealth having to travel further to access Council services. An increased use of digital resources can mitigate this by reducing the need to visit Council premises. More efficient services will benefit this group in allowing quicker and easier access. A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods,</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the</p>

warm home, leisure and hobbies				<p>same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical</p>

				for those with caring responsibilities.
Homelessness	X			
Addictions and substance use	X			
Those involved within the criminal justice system	X			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**Yes**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Jenni Craig</b>
<b>Designation:</b>	<b>Service Director, Customer &amp; Communities</b>
<b>Date:</b>	<b>08/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Jenni Craig</b>
<b>Date:</b>	<b>08/03/2021</b>

## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<b>Title of Proposal:</b>	Carry out a Fit for 2024 review of the resources across the organisation that have a role in community development or community capacity building and review arrangement with external bodies. There is likely to be a reduction of c.1 FTE across the organisation.
<b>What is it?</b>	A new Policy/Strategy/Practice <input checked="" type="checkbox"/> A revised Policy/Strategy/Practice <input type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	A review of community capacity/development resources across the Council to be delivered through a locality model with H&SC, Customer & Communities and Community Learning and Development services. The savings will be via a joined up management structures, looking at what the Third Sector can provide as well as cost avoidance through early intervention and prevention and keeping people in the community, instead of hospital admission or managing them home or back in the community to reap the savings from long in patient stays. It will also be focused on maximising collaborative opportunities across public bodies and third sector organisations.
<b>Service Area:</b> <b>Department:</b>	Customer & Communities Community Development
<b>Lead Officer:</b> (Name and job title)	Jenni Craig
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance

<b>Date(s) IIA completed:</b>	11 March 2021

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes
<b>If yes, - please state here:</b>  Departmental practices and procedures.

## 3 Legislative Requirements

### 3.1 Relevance to the Equality Duty:

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Yes

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The focus on community engagement, participation and empowerment will help foster good relations between different groups and services areas.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<p>Increased use of digital resources and a reduced property estate may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. Conversely, older people can benefit from increased digital access. A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>Older employees may find it more difficult to adjust to a more flexible form of working and increased use of digital resources.</p>
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X	X	<p>A reduced property estate may impact adversely on people with a disability. This will be considered in the design phase. Increased digital access is a potentially positive development. A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services.</p>

				<b>Disabled employees may find it more difficult to adjust to a more flexible form of working.</b>
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	<b>X</b>			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	<b>X</b>			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			<b>X</b>	<b>Increased digital access will be a benefit.</b>
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	<b>X</b>			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	<b>X</b>			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	<b>X</b>			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	<b>X</b>			



### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	Property rationalisation may mean people with low/ no wealth having to travel further to access Council services. An increased use of digital resources can mitigate this by reducing the need to visit Council premises. More efficient services will benefit this group in allowing quicker and easier access. A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services. For current employees, a reduction in staff numbers may mean an impact on this group.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X	X	An increased use of digital resources may impact on this group.  This will be taken into account in the service design.  A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services.

				<p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Area Deprivation –</b> where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>There is a potential for property rationalisation to have a negative impact depending on the location of future properties. This will be taken into account during the service review.</p> <p>A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, property rationalisation may mean an impact on this group.</p>
<p><b>Socio-economic Background –</b> social class i.e. parents' education, employment and income</p>		X	X	<p>An increased use of digital resources may impact on this group. This will be taken into account in the service design.</p> <p>A single SBC and partnership view will mean services are located in the same place, meaning less journeys are required to access services.</p> <p>For current employees, a reduction in staff numbers may mean an impact on this group.</p>
<p><b>Looked after and accommodated children and young people</b></p>	X			
<p><b>Carers</b> paid and unpaid including family members</p>		X	X	<p>For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</p> <p>Equally, different work patterns will benefit some with caring responsibilities.</p> <p>Different work patterns may also make working for the Council attractive and practical</p>

				<b>for those with caring responsibilities.</b>
<b>Homelessness</b>	<b>X</b>			
<b>Addictions and substance use</b>	<b>X</b>			
<b>Those involved within the criminal justice system</b>	<b>X</b>			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

--

<b>Signed by Lead Officer:</b>	<b>Shona Smith</b>
<b>Designation:</b>	<b>COMMUNITIES &amp; PARTNERSHIP MANAGER</b>
<b>Date:</b>	<b>11 March 2021</b>
<b>Counter Signature Service Director</b>	<b>Jenni Craig</b>
<b>Date:</b>	<b>11 March 2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Additional fees & Charges Income across Regulatory Services
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).	Extra income from higher Fees & Charges which have been increased in line with inflation. New charges introduced in 21/22 in respect of Risk Assessments for Regulated Water Supplies.
<b>Service Area:</b> <b>Department:</b>	Regulatory Services
<b>Lead Officer:</b> (Name and job title)	Protective Services Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Nuala McKinlay, Chief Legal Officer (Monitoring Officer)
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
If yes, - please state here:			

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010? No**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being pregnant/expecting a baby. Maternity refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			



				pay a domestic water rates charge.
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies			X	As above.
<b>Area Deprivation</b> – where you live (rural areas), where you work (accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

*Tick No if you have answered "No" to all of Sections 3.1 – 3.3.*

Yes  No

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

As above, there are minimal impacts, with safeguards, and the increases are in line with inflation.



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<b>Signed by Lead Officer:</b>	<b>Tricia Scott</b>
<b>Designation:</b>	<b>Protective Services Manager</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>David Robertson, Executive Director, Finance &amp; Regulatory</b>
<b>Date:</b>	<b>04/03/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Finance Savings
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).	Savings build on a previous significant restructure by managing vacancies to achieve medium and long term savings. Team structures within Finance will be reviewed in light of confirmed staffing changes and automation of processes. The savings equate to approximately 3 FTE. The total number of employees in this area is 66.4 FTE.
<b>Service Area:</b> <b>Department:</b>	Finance
<b>Lead Officer:</b> (Name and job title)	Suzy Douglas, Financial Services Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Iain Davidson, Employee Relations Manager
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
If yes, - please state here:			

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010? No**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being pregnant/expecting a baby. Maternity refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			







## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Legal Services
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).	Vacancies and staffing levels will continue to be managed to deliver efficiencies and savings. The savings equate to approximately 1 FTE. The total number of employees in this area is 27.5 FTE.
<b>Service Area:</b> <b>Department:</b>	Legal Services
<b>Lead Officer:</b> (Name and job title)	Nuala McKinlay, Chief Legal Officer (Monitoring Officer)
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Iain Davidson, Employee Relations Manager
<b>Date(s) IIA completed:</b>	03/03/2021



**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
If yes, - please state here:			

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010? No**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being pregnant/expecting a baby. Maternity refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			







## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Protective Services
<b>What is it?</b>	A new Policy/Strategy/Practice <input type="checkbox"/> A revised Policy/Strategy/Practice <input checked="" type="checkbox"/>
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).	Protective Services - Transform the service using technology which will assist in streamlining processes and in turn improve efficiency. Changes to charging regime for Private Water Supplies.
<b>Service Area:</b> <b>Department:</b>	Regulatory Services
<b>Lead Officer:</b> (Name and job title)	Tricia Scott, Principal Regulatory Services Officer
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Nuala McKinlay, Chief Legal Officer (Monitoring Officer)
<b>Date(s) IIA completed:</b>	03/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
If yes, - please state here:			

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010? No**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
 (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Age</b> Older or younger people or a specific age grouping	X			

<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring	X			
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being pregnant/expecting a baby. Maternity refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			



<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p><b>If No go to Section 3.4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<p><b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.</p>	X			
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>	X			
<p><b>Area Deprivation</b> – where you live (rural areas), where you work (accessibility of transport)</p>	X			
<p><b>Socio-economic Background</b> – social class i.e. parents'</p>	X			



## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	HR
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Service reviews over the next 4 years within the Human Resources team including structural changes as a result of process reviews. .
<b>Service Area:</b> <b>Department:</b>	Human Resources
<b>Lead Officer:</b> (Name and job title)	Clair Hepburn
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	04/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Different, more agile ways of working as a result of process reviews will help in eliminating discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Different, more agile ways of working as a result of process reviews will help in extending opportunities to previous hard to reach groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	N/A

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X	X	<b>A change in service delivery, with a greater focus on digital delivery</b>

				<p>may appear to adversely impact on older employees. The SBC Digital Engagement Strategy, will assist with this. Appropriately delivered training for the use of digital technology will be provided. Any change will also increase opportunities for access to a wider range of HR services and training for many employees.</p>
<p><b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring</p>		X	X	<p>Disabled employees may find it more difficult to adjust to a more flexible form of working. Equally, more agile working practices may allow others to take up employment which was not previously practical. Reasonable adjustments to working practices will be considered and put in place where appropriate. Similarly some disabled employees may find it more difficult to access HR services remotely. Appropriately delivered training for the use of digital technology will be provided. Appropriate training will be provided and reasonable adjustments considered and put in place where appropriate. A move to digital access will extend the availability of HR services and training.</p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			

<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),			X	<b>An increased ability to access services remotely will be a benefit.</b>
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

**Is the proposal strategic?**

Yes

**If No go to Section 3.4**

**If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:**

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X		<b>Ability to access services and training remotely, with the use of SBC equipment, will increase access.</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X		<b>Ability to access services and training remotely, with the use of SBC equipment, will increase access.</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X		<b>Remote access means less use will be required of public transport.</b>
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X	X	<b>A more agile form of working will benefit some with caring responsibilities. This may also make working for the Council attractive and practical for those with caring responsibilities. For current employees, a change to work patterns may have a negative impact on some with caring responsibilities.</b>

<b>Homelessness</b>	<b>X</b>			
<b>Addictions and substance use</b>	<b>X</b>			
<b>Those involved within the criminal justice system</b>	<b>X</b>			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Iain Davidson</b>
<b>Designation:</b>	<b>Employee Relations Manager</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Clair Hepburn</b>
<b>Date:</b>	<b>04/03/2021</b>



## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Communications & Marketing
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Replace the delivery of SB Connect twice yearly to households with an online digital version. Structural and process re-engineering review and income generation opportunities.
<b>Service Area:</b> <b>Department:</b>	Human Resources Communications & Marketing
<b>Lead Officer:</b> (Name and job title)	Clair Hepburn
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	04/03/2021

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

Yes

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs and enhanced community engagement will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	A focus on community engagement and participation will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	

<p><b>Age</b> Older or younger people or a specific age grouping</p>		X	X	<p>Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on older people. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. Older people can benefit from increased digital access.</p>
<p><b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring</p>		X	X	<p>Increased digital access is a potentially positive development. Disabled employees may find it more difficult to adjust to a more flexible form of working. Equally, more agile working practices may allow others to take up employment which was not previously practical.</p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			
<p><b>Marriage or Civil Partnership</b> people who are married or in a civil partnership</p>	X			
<p><b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),</p>			X	<p>Increased digital access will be a benefit.</p>

<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on some in this group. This will be mitigated by consideration of these

				<p>matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased participation and interaction.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on some in this group. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased participation and interaction.</p>
<p><b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on some in this group, in particular in areas with poor internet access. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased participation and interaction.</p>
<p><b>Socio-economic Background</b> – social class i.e. parents' education, employment and income</p>	X			

<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X		<b>A service review resulting in more agile forms of working will benefit some employees with caring responsibilities. This may also make working in this service attractive and practical for those with caring responsibilities.</b>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Iain Davidson</b>
<b>Designation:</b>	<b>Employee Relations Manager</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Clair Hepburn</b>

<b>Date:</b>	<b>04/03/2021</b>
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## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Employment Support Service
<b>What is it?</b>	A revised Policy/Strategy/Practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Structural and process re-engineering review.
<b>Service Area:</b> <b>Department:</b>	Human Resources Employment Support Services
<b>Lead Officer:</b> (Name and job title)	Clair Hepburn
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	Fit for 2024 programme support/HR/Finance
<b>Date(s) IIA completed:</b>	04/03/2021



**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

Yes
<p><b>If yes, - please state here:</b></p> <p>Departmental practices and procedures.</p>

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*  
**Yes**

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	Process improvement, focussing on customer needs will help eliminate discrimination.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	Process improvement, focussing on customer intelligence and needs will promote opportunity for all protected groups.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	An improved service will help foster good relations between different groups.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Age</b> Older or younger people or a specific age grouping		X	X	Increased use of digital resources may impact

				<p>adversely on older people. This will be mitigated by consideration of these matters during the service design phase. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. Older people can benefit from increased digital access.</p>
<p><b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring</p>		X	X	<p>Increased digital access is a potentially positive development. Disabled employees may find it more difficult to adjust to a more flexible form of working. Equally, more agile working practices may allow others to take up employment which was not previously practical.</p>
<p><b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth</p>	X			
<p><b>Marriage or Civil Partnership</b> people who are married or in a civil partnership</p>	X			
<p><b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),</p>			X	<p>Increased digital access will be a benefit.</p>

<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			
<b>Sexual Orientation,</b> e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X	X	Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on some in this group. This will be mitigated by consideration of these

				<p>matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased opportunity for participation.</p>
<p><b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies</p>		X	X	<p>Increased use of digital resources, including the move to an online version of SB Connect, may impact adversely on some in this group. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased opportunity for participation.</p>
<p><b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)</p>		X	X	<p>Increased use of digital resources, may impact adversely on some in this group, in particular in areas with poor internet access. This will be mitigated by consideration of these matters during the service design phase. The SBC Digital Engagement Strategy will also assist with this. There can also be a benefit from increased digital access with increased participation possible without the need to travel.</p>
<p><b>Socio-economic Background</b> – social class i.e. parents' education, employment and income</p>	X			

<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members		X		<b>A service review resulting in more agile forms of working will benefit some employees with caring responsibilities. This may also make working in this service attractive and practical for those with caring responsibilities.</b>
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### **4 Full Integrated Impact Assessment Required**

*Select No if you have answered “No” to all of Sections 3.1 – 3.3.*

**Yes**

**If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.**

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<b>Signed by Lead Officer:</b>	<b>Iain Davidson</b>
<b>Designation:</b>	<b>Employee Relations Manager</b>
<b>Date:</b>	<b>04/03/2021</b>
<b>Counter Signature Service Director</b>	<b>Clair Hepburn</b>

<b>Date:</b>	<b>04/03/2021</b>
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## **Integrated Impact Assessment (IIA)**

### **Part 1 Scoping**

#### **1 Details of the Proposal**

<p><b>Title of Proposal:</b></p>	<p>Borders Innovation Park</p>
<p><b>What is it?</b></p>	<p>To support the development of necessary infrastructure to maximise inward investment and the future growth of the Scottish Borders economy</p> <p>A new project within the Edinburgh and South East Scotland City Region Deal (ESES CRD).</p>
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).</p>	<p>The Borders Innovation Park at Tweedbank is intended to encourage innovation and foster inclusive growth through building modern, fit-for-purpose, business and industrial infrastructure that will result in higher skilled, better paid jobs therefore stimulating increased productivity.</p> <p>Within the innovation strand of the Deal, this project would aim to foster a culture of innovation in the Scottish Borders through working with business, regional partners, and the universities. Within the inclusive growth strand of the Deal, this project would look to promote Fair Work and address barriers to labour market entry for disadvantaged groups.</p> <p>Phases 1 and 2 be completed in early 2021, creating 5,660 m<sup>2</sup> of new office space and 2,950 m<sup>2</sup> of new industrial space. Further development will take place beyond this date with phase 3 being completed by 2024. This further development will create another 5,809 m<sup>2</sup> of new office</p>

	<p>space and 400 m<sup>2</sup> of industrial space on land currently on Lowood Estate.</p> <p>The full cost of implementing the project is estimated to be £29,020,000. It has a positive economic impact with an estimated Benefit-Cost ratio (BCR) of £16:£1 and will boost employment by creating an estimated 383 jobs. It will also create an estimated 380 construction jobs. It is anticipated that the project will increase GVA by £350 million excluding construction.</p> <p>As this is a large ongoing project, this IIA will focus on the overall project and phases 1 &amp; 2 of the proposal. As the proposal further progresses and workstreams evolve these will ultimately produce their own individual IIA's.</p> <p><b><u>Preliminary Notice</u></b></p> <p>Whilst this IIA considers all of the protected characteristic there has been an agreement between The Equality &amp; Human Rights Commission and the Edinburgh &amp; South East Scotland City Region Deal Partnership the largest improvement of the Deal will be Disability, Gender, and Race.</p>
<p><b>Service Area:</b> <b>Department:</b></p>	<p>Chief Executive's Economic Development</p>
<p><b>Lead Officer:</b> (Name and job title)</p>	<p>Stuart Kinross Economic Development Officer (Business)</p>
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	<p>Bryan McGrath, Chief Officer Economic Development. Steven Renwick, Project Manager, Major Projects. Karen Ruthven, Planning. Sarah Parkin, Finance.</p>
<p><b>Date(s) IIA completed:</b></p>	<p>27/06/19, 02/08/19, 18/11/19, 11/12/19, and 30/1/2020.</p>



**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

<b>Yes</b>	<b>X</b>	<b>No</b>
<p><b>If yes, - please state here:</b> Edinburgh and South East Scotland City Region Deal, Scottish Borders Council Local Development Plan, SESPlan Strategic Development Plan, Borders Railway Blueprint, Scottish Borders Economic Strategy 2023, Regional Transport Strategy 2015-2025, Central Borders Business Park Supplementary Guidance and Simplified Planning Zone Scheme (2017).</p>		

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>	
<p><b>Do you believe your proposal has any relevance under the Equality Act 2010? Yes.</b>  <i>(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)</i></p>	
<b>Equality Duty</b>	<b>Reasoning:</b>
<p><b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b>  <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i></p>	<p>It is an explicit objective of the project to promote inclusive growth through creating employment opportunities for disadvantaged groups. In particular the focus will be on supporting people who encounter disadvantage from Gender, Race and Disability groups as required by the City Region Deal.</p> <p>It is anticipated that the project’s objectives to promote equality of opportunity described above will help the council’s relationships with those who have the above equality characteristics.</p>
<p><b>Promotion of equality of opportunity?</b>  <i>(Will your proposal help or hinder the Council with this)</i></p>	
<p><b>Foster good relations?</b>  <i>(Will your proposal help or hinder the council s relationships with those who have equality characteristics?)</i></p>	

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?  
(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		<p>One of the project's objectives is to increase the number of highly productive jobs in the area. It is intended that there will be a focus on creating employment for under-represented groups, including those with disabilities, as part of the process for achieving this target. We will be liaising with all potential tenants about workforce mix and the potential to employ workers from a wide base and to participate in the Fair Work initiative.</p> <p>All buildings and their surroundings will be accessible to both employees and service users. Additionally, workspaces will be designed in a way that will meet their needs.</p> <p>The participation of people with disabilities in the project is being specifically scrutinised as part of the City Region Deal's monitoring and evaluation framework.</p>
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender		X		<p>One of the project's objectives is to increase the number of highly productive jobs in the area. It is intended that there will be a focus on creating employment for under-represented groups, including women, as part of the process for achieving this target. We will be liaising with all potential tenants about workforce mix and the potential to employ workers from a wide base.</p>

				The participation of women in the project is being specifically scrutinised as part of the City Region Deal's monitoring and evaluation framework.
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)		X		<p>One of the project's objectives is to increase the number of highly productive jobs in the area. It is intended that there will be a focus on creating employment for under-represented groups, including those from minority ethnic backgrounds, as part of the process for achieving this target. We will be liaising with all potential tenants about workforce mix and the potential to employ workers from a wide base.</p> <p>The participation of people from minority ethnic backgrounds in the project is being specifically scrutinised as part of the City Region Deal's monitoring and evaluation framework.</p>
<b>Age</b> Older or younger people or a specific age grouping		X		The construction phase is planned to create high-value apprenticeships that will be mainly targeted at young people. Community Benefits are likely to ensure that apprenticeships go to as many residents from the local area as possible.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth		X		The designs for the Council owned building will, on the ground floor, have an accessible WC and shower room together with general WC's. On the 1 <sup>st</sup> floor, there will be an accessible WC and general WC's.
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			Evidence at this stage of the process indicates that there will be no impact on individuals from these protected
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being	X			





<b>Date:</b>	<b>31/01/2020</b>
<b>Counter Signature Service Director</b>	<b>Rob Dickson</b>
<b>Date:</b>	<b>31/01/2020</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Borderlands Inclusive Growth Deal.
<b>What is it?</b>	A new 10 year economic investment programme of great significance for policy, strategy, and practice.
<p><b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)</p>	<p>A Heads of Terms agreement for the Borderlands Inclusive Growth Deal was signed on 1 July 2019. This set out what was required to complete the final Deal between the Scottish and UK Governments, and the five Borderlands local authorities, i.e. Carlisle City Council, Cumbria County Council, Dumfries and Galloway Council, Northumberland County Council and Scottish Borders Council.</p> <p>The Heads of Terms focused on four strategic economic investment themes beneath which sits the projects that make up the Deal:</p> <ul style="list-style-type: none"> <li>• Improving places;</li> <li>• Enabling infrastructure;</li> <li>• Encouraging green growth; and</li> <li>• Supporting business, innovation and skills.</li> </ul> <p>The Deal will be funded by £265 million from UK Government, £85 million from the Scottish Government, and £103 million from local partners. Projects in the Scottish Borders will be funded by</p>

	<p>£65 million from Government and a further £28 million from other partners including the Council.</p> <p>The projects in the Deal have submitted strategic and outline business cases and propositions for projects and programmes depending on the stage of each project's development. The projects that are specifically relevant to the Scottish Borders are:</p> <ul style="list-style-type: none"> <li>• A Place Programme of investment to stimulate the repurposing and reinvention of towns and town centres.</li> <li>• A Mountain Biking Project incorporating an innovation centre and an adventure bike park at Innerleithen.</li> <li>• Improving business infrastructure in Coldstream and Hawick.</li> <li>• Destination Tweed, which will create a complete and accessible walking and cycling route stretching from Moffat to Berwick-upon-Tweed.</li> <li>• Maximising the 7Stanes mountain biking network.</li> <li>• Digital Borderlands, which will invest in cutting edge digital and mobile infrastructure.</li> <li>• A Borders Railway Feasibility Study, which will assess the feasibility of extending the railway from Tweedbank to Carlisle.</li> <li>• An Energy Investment Programme, which will deliver inclusive, economic, sustainable, clean growth.</li> <li>• Natural Capital with the aim of developing a Natural Capital Innovation Zone across the Borderlands</li> </ul>
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	<p>area (this also includes revenue funding).</p> <ul style="list-style-type: none"> <li>• A South of Scotland Learning Network that will focus on demand-led skills and innovation in opportunity sectors including clean growth, advanced manufacturing, natural capital, and the visitor economy.</li> </ul> <p>Further stages in the business case process up to, and including, full business case stage, need to be completed for each project before any grant money can be drawn down.</p> <p>As individual projects enter their full business case stage, an IIA for each project will be completed.</p>
<p><b>Service Area:</b> <b>Department:</b></p>	<p>Chief Executive's. Economic Development.</p>
<p><b>Lead Officer:</b> (Name and job title)</p>	<p>Douglas Scott. Senior Policy Adviser</p>
<p><b>Other Officers/Partners involved:</b> (List names, job titles and organisations)</p>	<p>Scottish Borders Council: Rob Dickson, Corporate Transformation and Services Director. There are a range of other officers involved in the Deal across the Council.</p> <p>. The key external organisations the Council is working with are the other Borderlands Inclusive Growth Deal local authorities. These are:</p> <ul style="list-style-type: none"> <li>- Carlisle City Council.</li> <li>- Cumbria County Council.</li> <li>- Dumfries and Galloway Council.</li> <li>- Northumberland Council.</li> </ul>
<p><b>Date(s) IIA completed:</b></p>	<p>25.02.21.</p>

## 2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?

Yes (please delete as applicable)

If yes, - please state here:

Yes – the programme comprises a number of projects which link together and there could be positive cumulative impacts to improve economic and social inclusion.

## 3 Legislative Requirements

### 3.1 Relevance to the Equality Duty:

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)

Yes

Equality Duty	Reasoning:
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> (Will the proposal discriminate? Or help eliminate discrimination?)	
<b>Promotion of equality of opportunity?</b> (Will your proposal help or hinder the Council with this)	The Borderlands Inclusive Growth Deal has at its heart the need to promote economic opportunities to the population of the Borderlands area and the Scottish Borders and to promote economic inclusion. It will help the Council in promoting equality of opportunity.
<b>Foster good relations?</b> (Will your proposal help or hinder the council's relationships with those who have equality characteristics?)	The Deal will help the Council's relationships with those who have equality characteristics because of the programme's emphasis in tackling economic exclusion.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
(You should consider employees, clients, customers / service users, and any other relevant groups)

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	

<b>Age</b> Older or younger people or a specific age grouping		X		
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth	X			
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender	X			

<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Yes</p> <p><b>If No go to Section 4</b></p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.		X		<b>A key objective of the programme is tackling economic exclusion</b>
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies		X		<b>A key objective of the programme is tackling economic exclusion</b>
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)		X		<b>A key objective of the programme is tackling economic exclusion</b>
<b>Socio-economic Background</b> – social class i.e. parents'		X		<b>A key objective of the programme is tackling economic exclusion</b>

education, employment and income				
<b>Looked after and accommodated children and young people</b>		x		<b>A key objective of the programme is tackling economic exclusion</b>
<b>Carers</b> paid and unpaid including family members	x			
<b>Homelessness</b>	x			
<b>Addictions and substance use</b>	x			
<b>Those involved within the criminal justice system</b>	x			

#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**No** (please delete as applicable)

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

The full impact assessment will be required on the projects and programmes that make up the Deal. Equalities and Diversity will also form a key part of the Benefits realisation for the overall Deal.

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<b>Signed by Lead Officer:</b>	<b>Douglas Scott</b>
<b>Designation:</b>	<b>Senior Policy Adviser</b>
<b>Date:</b>	<b>250221</b>
<b>Counter Signature Service Director</b>	<b>Rob Dickson</b>
<b>Date:</b>	<b>25/02/2021</b>

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	<b>Capital Investment Proposal – Learning Estate –Peebles High School</b>
<b>What is it?</b>	A new Policy/Strategy/Practice <b>X</b>
<b>Description of the proposal:</b> <b>Projected costs of preliminary Capital works.</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes, including the context within which it will operate).)	Proposed replacement of Peebles High School
<b>Service Area:</b> <b>Department:</b>	Children and Young People's Services Education
<b>Lead Officer:</b>	Steven Renwick Capital Manager
<b>Other Officers/Partners involved:</b> (List names, job titles and organisations)	John Curry Service Director
<b>Date(s) IIA completed:</b>	February 2020

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

NO (please delete as applicable)
If yes, - please state here:

**3 Legislative Requirements**

**3.1 Relevance to the Equality Duty:**

**Do you believe your proposal has any relevance under the Equality Act 2010?**  
*(If you believe that your proposal may have some relevance – however small please indicate yes. If there is no effect, please enter “No” and go to Section 3.2.)*

<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b> <i>(Will the proposal discriminate? Or help eliminate discrimination?)</i>	The proposal will eliminate discrimination in offering greater equity of access and opportunity for residents and pupils in the community through the provision of high quality environments, extended access and wider provision.
<b>Promotion of equality of opportunity?</b> <i>(Will your proposal help or hinder the Council with this)</i>	The proposal will offer greater equality of opportunity in that it will provide equity of access and opportunity for residents and pupils in the community through the provision of high quality environments, extended access and wider provision.
<b>Foster good relations?</b> <i>(Will your proposal help or hinder the council's relationships with those who have equality characteristics?)</i>	The proposal will help foster good relations in respect of offering greater equity of access and opportunity for residents and pupils in the community through the provision of high quality environments, extended access and wider provision.

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal?**  
**(You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups this proposal may have and how you know this.

	<b>Impact</b>			<b>Please explain the potential impacts and how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	



<b>Age</b> Older or younger people or a specific age grouping		X		Wider opportunity to access facilities and experiences for extended time
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		Appropriately designed and equipped provision to meet the needs of all users.
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth		X		Design of specific areas such as changing facilities will take account of all users.
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership	X			
<b>Pregnancy and Maternity</b> (refers to the period after the birth, and is linked to <b>maternity</b> leave in the employment context. In the non-work context, <b>protection</b> against <b>maternity</b> discrimination is for 26 weeks after giving birth),	X			
<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)	X			
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)	X			
<b>Sex – Gender Identity</b> women and men (girls and boys) and those who self-identify their gender		X		Design of specific areas such as changing facilities will take account of all users.
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual	X			

### 3.3 Fairer Scotland Duty

This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making strategic decisions.

The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.

#### Is the proposal strategic?

Yes

#### If No go to Section 3.4

If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:

	Impact			State here how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.	X			
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			
<b>Area Deprivation</b> – where you live (e.g. rural areas), where you work (e.g. accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>		X		

<b>Carers</b> paid and unpaid including family members		X		
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			


#### 4 Full Integrated Impact Assessment Required

Select No if you have answered “No” to all of Sections 3.1 – 3.3.

**No**

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

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<b>Signed by Lead Officer:</b>	<b>Lesley Munro</b>
<b>Designation:</b>	<b>Service Director YPIE</b>
<b>Date:</b>	<b>28.1.21</b>
<b>Counter Signature Service Director</b>	<b>John Curry – Service Director Assets &amp; Infrastructure</b> 
<b>Date:</b>	<b>29-1-21</b>






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## **PARTICIPATORY BUDGETING**

**Report by Service Director, Customer & Communities**

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### **SCOTTISH BORDERS COUNCIL**

**19 MARCH 2021**

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

**1.1 This report provides an update on the Council's Participatory Budgeting (PB) process, including the national position, and outlines the next steps in delivering a mainstreaming approach.**

1.2 On 29 October 2017, the Convention of Scottish Local Authorities (CoSLA) announced that Council Leaders had agreed that at least 1% of local government budgets would be subject to Participatory Budgeting (PB) by the end of this financial year (2020/21) with the aim of giving communities more influence over decisions on how funding is spent in their local area.

1.3 Nationally, whilst some work on PB continued during 2020, the majority of local PB activity (planning or delivery) stopped whilst in response to the pandemic. As a result CoSLA and Scottish Government have recognised the exceptional circumstance brought about by the pandemic, and the impact this has had on councils ability to meet the 1% Framework Agreement by the end of March 2021.

1.4 CoSLA Leaders have renewed their support to meet the target of 1% and the Framework Agreement is currently being revised. In the meantime it is proposed that officers, working alongside colleagues in CoSLA, develop the Council's mainstreaming approach to Participatory Budgeting as detailed within section 6 of this report.

#### **2 RECOMMENDATIONS**

**2.1 I recommend that Scottish Borders Council:-**

**(a) Notes the current status of the approach to delivering a mainstream approach to Participatory Budgeting; and**

**(b) Agrees to receive a further report from the Service Director Customer & Communities on the programme and timescales for meeting the 1% target.**

### **3 BACKGROUND**

- 3.1 On 29 October 2017, the Convention of Scottish Local Authorities (CoSLA) announced that Council Leaders had agreed that at least 1% of local government budgets would be subject to Participatory Budgeting (PB) by the end of this financial year (2020/21) with the aim of giving communities more influence over decisions on how funding is spent in their local area.
- 3.2 CoSLA and Scottish Government worked together to develop and agree a framework (The Community Choices Framework) which would be used to develop approaches to PB. It defines Community Choices as the term used in Scotland for Participatory Budgeting and sets PB as the enabler for active participation of citizens in local decision making. The current agreement can be found here [https://www.cosla.gov.uk/\\_data/assets/pdf\\_file/0015/18501/communitychoices-frameworkagreement.pdf](https://www.cosla.gov.uk/_data/assets/pdf_file/0015/18501/communitychoices-frameworkagreement.pdf)
- 3.3 The 1% target is defined in the Framework Agreement as 'total estimated expenditure for revenue, as per the local government finance circular, less assumed council tax intake. It is considered reasonable to exclude council tax as it is a local tax and therefore already directly and locally accountable.' (CoSLA/Scottish Government 2017). PB requires to:
- enable active participation of citizens in local decision making;
  - establish a shared expectation that elected members, senior officers, civil society and local communities will use PB to go beyond the current arrangements for consultation and engagement;
  - support the longer term strategic aim of public sector reform that can be achieved by applying spend to the greatest areas of need, where social cohesion can be developed or maintained;
  - deliver a partnership approach to PB whereby mainstream funding is identified across a partnership for mainstream services with an aim to shaping how services are delivered in the area; and
  - actively involve local people with the intention of making them "less passive consumers of public services and more supportive of new models of delivery".
- 3.3 Following the Community Empowerment (Scotland) Act 2015, community empowerment, through participatory democracy, has become an established hallmark of Scotland's national and local policy landscape. Empowerment and participation are embedded as key CoSLA principles and reflected in the National Performance Framework. PB and other participatory processes, enhance local democracy by bringing together those who have traditionally held operational decision-making power with people living in communities impacted by those decisions.

### **4 NATIONAL POSITION IN A COVID-19 RECOVERY CONTEXT**

- 4.1 Nationally, whilst some work on PB continued during 2020, the majority of local PB activity (planning or delivery) stopped in response to the pandemic. As a result CoSLA and Scottish Government have recognised the

exceptional circumstance brought about by the pandemic, and the impact this has had on the ability of councils to meet the 1% Framework Agreement by the end of March 2021.

- 4.2 Scottish Government and CoSLA Leaders have renewed their commitment to meeting the 1% target and the Framework Agreement is currently being revised. This will allow a degree of flexibility in meeting the deadline, alongside the importance of embedding social renewal within future mainstream PB activity.
- 4.3 The [Social Renewal Advisory Board's](#) (SRAB) report, published on 21 January 2021, makes several *Calls to Action* related to the importance of people and communities being in control over the decisions that affect their lives. Call to Action 16, 17, 18 and 20 are all specific in their ask of local influence, empowerment and decision making;

Call to Action 16: Further shift the balance of power so individuals and communities have more control over decisions that affect their lives.

Call to Action 17: Improve service delivery and design by empowering frontline teams and the people and communities they serve.

Call to Action 18: Build on new ways of working, based on what has worked well during the pandemic, and develop new arrangements for local governance.

Call to Action 20: Co-design how we assess progress towards renewal, incorporating deeper engagement with those people and communities who have first-hand experience of poverty, inequality and restricted life chances.

- 4.4 The SRAB's '*If not now, when?*' report recognises that the pandemic has widened the inequalities that were already harming people and communities across Scotland and embeds this as a fundamental challenge to address throughout the report. 'Call to Action 16' is specific in its ask of the public sector to go wider and deeper in its use of participatory budgeting.
- 4.5 Achieving the aspirations set out within these policy areas requires both broadening the scope of PB (beyond the traditional small grants model) and extending the range of partners engaged with the mainstream PB agenda. Work is currently underway through the newly established national PB Strategic Group to establish a shared vision for PB in Scotland which enhances the role of public and third sector partners in Scotland's PB journey.

## **5 CURRENT STATUS WITHIN SCOTISH BORDERS COUNCIL**

- 5.1 Taking into account the Council's challenging current financial position, the PB target is not about identifying a separate and/or additional resource. It is principally about involving communities in decisions regarding existing resources. The 1% is the minimum target set and can be made up of

revenue and capital expenditure. It is for local authorities to decide how to take forward PB budgeting at a local level to reach the target.

- 5.2 The 1% minimum target in the context of the Council's budget for 2021/22 is £2.332m and it is estimated that £0.672m of this budget, via the Community Fund and Small Schemes is already specifically identified for community determined priorities.
- 5.3. On 27 August 2020 Council received a report on the review of Localities Bid Funds 1 & 2, which piloted PB, as well as the Community Fund. A number of challenges were identified from the pilots and these mirror those identified across Scotland, both in the Scottish Government's 'Evaluation of participatory budgeting activity in Scotland 2016-2018/' report, and in discussions within CoSLA. Since then further consultation has taken place with Area Partnerships and key stakeholders on how communities can best be involved in the decisions relating to budget and spending priorities.
- 5.4 The approach going forward should not be about only seeking out additional activities or projects to spend on to validate PB which is what was piloted via Localities Bid Funds 1 and 2. PB should be deployed utilising existing budgets, reflecting strategic priorities, to engage with our communities in the decision making process. This will allow services to prioritise what the public really want delivered, allowing overall operational efficiencies.
- 5.5 As Scottish Borders Council moves forward with its Place Making approach there is an opportunity to utilise PB as part of the suite of tools to enhance community engagement, participation and empowerment and develop the investment strategies linked to place.
- 5.6 The Council approved its Digital Strategy at its meeting on 25 February 2021 to become the UK's first smart connected rural region. Through the extension to the strategic IT partnership with CGI, there are a number of digital opportunities which will be progressed to support the approach to PB.

## **6 MAINSTREAM PARTICIPATORY BUDGETING APPROACHES**

- 6.1 A variety of approaches can be considered in order for the council to achieve the 1% target outlined above. A strategic group, chaired by the Service Director Customer & Communities, with appropriate Service Directors, Service Managers and the Financial Services Manager has been established to drive forward the PB planning and delivery on a corporate basis. This group will consider and identify in scope budget allocations and authorise the allocation of staffing resources across services, as required, to support the delivery process. Whilst the Communities & Partnership team will be the corporate lead for PB delivery, it is envisaged that individual services will engage with communities, and manage and develop the delivery of PB in respect of their budgets, following direction from the task group.
- 6.2 To enable and sustain this approach, the group will examine best practice across Scotland, produce guidance documents, progress the use of relevant digital technology and arrange training for all services and Elected Members



to support the delivery of PB. A small expert delivery team will be established to support services and communities through the process.

- 6.3 The group will also consult on this approach with Scottish Borders Community Planning Partnership and specifically third sector partners, who may be able to provide additional support in order to build capacity within local communities.
- 6.4 The group's aim, with the support of CoSLA, is to develop a suite of options to establish and progress mainstream PB. For each of these options, it will be vitally important to be clear and transparent on what communities can and cannot influence. Where budgets and/or work streams are fixed with little flexibility, these should not be considered as appropriate for inclusion within the PB programme.

## **7 IMPLICATIONS**

### **7.1 Financial**

The 1% target defined in the Framework Agreement is 'total estimated expenditure for revenue, as per the local government finance circular, less assumed council tax intake. For Scottish Borders Council this equates to £2.332m in 2021/22 with an estimated £0.672m already specifically identified for community determined priorities via the Community Fund and Small Schemes. The PB approach will be deployed utilising existing budgets.

### **7.2 Risk and Mitigations**

There is a reputational risk to the Council if there is not an agreed approach or timetable to enable the 1% target to be achieved.

### **7.3 Integrated Impact Assessment**

An Integrated Impact Assessment will be carried out on the future proposals for mainstreaming Participatory Budgeting however the premise of the approach is to ensure that everyone within a particular community has the opportunity to participate. Every effort will be made to support disadvantaged individuals within the protected characteristic groups. As a result it is anticipated that there will be no negative impacts under either the Equality Duty or the Fairer Scotland Duty.

### **7.4 Acting Sustainably**

It is anticipated that through Participatory Budgeting there will be a positive effect on the following community and participation outcomes:

- a) involve the community in developing and implementing the project;
- b) take into account under-represented or excluded groups;
- c) take into account equal opportunities;
- d) improve community quality of life;
- e) improve community capacity;
- f) encourage local action and decision making.

## 7.5 Carbon Management

There are no anticipated effects on carbon emissions as a result of the recommendations made in this report.

## 7.6 Rural Proofing

This report contains no implications that will compromise the Council's rural proofing policy. Mainstreaming Participatory Budgeting will apply across the Borders.

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

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

## 8 CONSULTATION

- 8.1 The Executive Director (Finance & Regulatory), the Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Service Director HR & Communications, the Clerk to the Council and Corporate Communications have been consulted and any comments received have been incorporated into this report.

### Approved by

**Jenni Craig**

**Service Director, Customer & Communities**

**Signed .....**

### Author(s)

Name	Designation and Contact Number
Jenni Craig	Service Director, Customer & Communities, 01835 825013

### Background Papers:

Evaluation of participatory budgeting activity in Scotland 2016-2018: research findings  
<https://www.gov.scot/publications/evaluation-participatory-budgeting-activity-scotland-2016-2018/>

**Previous Minute Reference:** Scottish Borders Council, 27 August 2020

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

Contact us at: Shona Smith, Scottish Borders Council, Council HQ, Newtown St Boswells, Melrose TD6 0SA. Tel: 01835 826626 Email: [ssmith@scotborders.gov.uk](mailto:ssmith@scotborders.gov.uk)