

# Public Document Pack



## EXECUTIVE COMMITTEE TUESDAY, 16 NOVEMBER 2021

A MEETING of the EXECUTIVE COMMITTEE will be held VIA MICROSOFT TEAMS on  
TUESDAY, 16 NOVEMBER 2021 at 10.00 am

J. J. WILKINSON,  
Clerk to the Council,

9 November 2021

<b>BUSINESS</b>		
1.	<b>Apologies for Absence</b>	
2.	<b>Order of Business</b>	
3.	<b>Declarations of Interest</b>	
4.	<b>Minute (Pages 3 - 6)</b>  Minute of meeting held on 5 October 2021 to be noted for signature by the Chairman (copy attached).	2 mins
5.	<b>Monitoring of the General Fund Revenue Budget 2021/22 (Pages 7 - 50)</b>  Consider report by Director, Finance & Corporate Governance (copy attached.)	10 mins
6.	<b>Monitoring of the Capital Financial Plan 2021/22 (Pages 51 - 76)</b>  Consider report by Director, Finance & Corporate Governance (copy attached.)	10 mins
7.	<b>Balances at 31 March 2022 (Pages 77 - 86)</b>  Consider report by Director, Finance & Corporate Governance (copy attached).	10 mins
8.	<b>COVID-19 Response - Update on Proposals to Further Support Individuals Facing Financial Hardship (Pages 87 - 106)</b>  Consider report by Director, Resilient Communities (copy attached).	20 mins
9.	<b>Revised Complaints Handling Procedure (Pages 107 - 182)</b>  Consider report by Director, Resilient Communities (copy attached).	10 mins
10.	<b>Coronavirus (Covid-19) Tenant Grant Fund - Outline of Fund and Proposals for Administration of Fund (Pages 183 - 220)</b>	20 mins

	Consider report by Director, Resilient Communities (copy attached).	
11.	<b>Scottish Borders Council Queen's Platinum Jubilee Fund</b> (Pages 221 - 226)  Consider report by Director, Resilient Communities (copy attached).	10 mins
12.	<b>Our Plan and Your Part in it: SBC's Corporate Performance and Improvement Report Quarter 2 2021/22</b> (Pages 227 - 292)  Consider report by Director, People, Performance & Change (copy attached).	20 mins
13.	<b>Any Other Items Previously Circulated</b>	
14.	<b>Any Other Items which the Chairman Decides are Urgent</b>	
15.	<b>Private Business</b>  Before proceeding with the private business, the following motion should be approved:-  "That under Section 50A(4) of the Local Government (Scotland) Act 1973 the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the relevant paragraphs of Part 1 of Schedule 7A to the aforementioned Act."	
16.	<b>Minute</b> (Pages 293 - 294)  Consider Private Minute of Meeting held on 5 October 2021 (copy attached).	2 mins

#### NOTES

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

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**Membership of Committee:-** Councillors S. Haslam (Chairman), S. Aitchison (Vice-Chairman), G. Edgar, C. Hamilton, S. Hamilton, E. Jardine, S. Mountford, M. Rowley, R. Tatler, G. Turnbull and T. Weatherston

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**SCOTTISH BORDERS COUNCIL  
EXECUTIVE COMMITTEE**

MINUTE of Meeting of the EXECUTIVE  
COMMITTEE held remotely by Microsoft  
Teams on Tuesday, 5 October 2021 at 10.00  
am

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Present:- Councillors S. Haslam (Chairman), G. Edgar, E. Jardine, C. Hamilton,  
S. Hamilton, E. Jardine, S. Mountford, M. Rowley, R. Tatler, G. Turnbull  
Also Present:- Councillors S. Marshall & W. McAteer  
Apologies:- Councillor T. Weatherston  
In Attendance:- Director Education & Lifelong Learning, Director Infrastructure & Environment,  
Director Resilient Communities, Democratic Services Team Leader,  
Democratic Services Officer (D Hall).

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**EDUCATION BUSINESS**

Present: - Mrs L Craig, Mr I. Topping, Eleanor Lockey (Pupil Representative)

**CHAIRMAN**

Councillor C Hamilton chaired the meeting for consideration of Education Business.

**1. STANDARDS AND EQUALITY REPORT AND IMPROVEMENT PLAN**

- 1.1 There had been circulated copies of a report by the Director Education and Lifelong Learning which informed the Executive Committee of progress made by the Education Service and schools during 2021-21 and noted the improvement priorities for session 2021-22. The Standard in Scotland's Schools etc. Act 2000 placed a responsibility on Local Authorities to provide schooling for children and to ensure continuous improvement of the education system. The 2019/20 Standards and Quality Report provided a high level summary of the performance of schools in line with the Education Service Improvement Plan, it noted attainment and achievement across all aspects of service delivery. Appendix A to the report contained the Standard & Quality Report, an evaluation of the academic session 2020 -21 and drew on a range of data/information to support its conclusion. The report acknowledged the challenges faced by schools as a result of COVID-19 and the subsequent two periods of lockdown, but also highlighted a number of successes and achievements across all sectors. Appendix B to the report contained the Improvement Plan, a statement of objectives for academic session 2021-22. The Plan took cognisance of the recovery phase for education and a Build Back Better approach as outlined by the Scottish Government. The inclusion of Inspire Learning as a key driver for improvement in schools was noted in the report.
- 1.2 Members discussed the report and praised the excellent work done in trying times. In response to a question regarding the promotion of participation in local sports clubs in schools, Ms Robertson undertook to examine the issue further ahead of the expected resumption of team sports. In response to a question on specific plans to improve numeracy and literacy rates, Ms Robertson explained that plans were included in the framework, with clear strategies set out therein. The recovery curriculum also gave

explicit permission for teachers to focus on areas that had been identified as requiring attention. Regarding the development of young people in the workforce, Ms Munro explained that the high rate of leavers in the region that moved on to positive destinations reflected the willingness of many stakeholders to create opportunities for young people. In response to a question on mental health challenges faced by pupils, in particular young girls, Ms Strong explained that the wellbeing of pupils continued to be of the highest importance and that support was available 24/7. In response to a question regarding the promotion of schemes in schools, Ms Strong acknowledged that communications could be better and that she would liaise with schools to improve awareness of the availability of help.

#### **DECISION**

**NOTED the report.**

#### **2. SOUTH EAST IMPROVEMENT COLLABORATIVE**

There had been circulated copies of a report by the Director Education & Lifelong Learning which informed the Executive Committee of the progress made by the South East Improvement Collaborative (SEIC) and the improvement priorities from August 2021. The report highlighted SEIC progress and achievements, as well as detailed the priorities from August 2021. It demonstrated commitment and action to achieving the national aims of excellence, equity and empowerment. In response to a question, Ms Strong, Chief Education Officer clarified that the focus of the collaborative was on improving staff skills development, which would have the effect of improving experiences for young people.

#### **DECISION**

**(a) NOTED the SEIC improvement plan as contained in Appendix 1 to the report; and**

**(b) AGREED to support the involvement of staff in relevant improvement activities for the benefit of Children and Young People in the Scottish Borders.**

### **OTHER BUSINESS**

#### **CHAIRMAN**

Councillor Haslam chaired the meeting for the remainder of the meeting.

#### **3. MINUTE**

There had been circulated copies of the Minute of the meeting held on 14 September 2021.

#### **DECISION**

**APPROVED for signature by the Chairman.**

#### **4. PLACE BASED INVESTMENT PROGRAMME**

4.1 There had been circulated copies of a report by the Director of Resilient Communities that provided information on the Scottish Government Place Based Investment Programme which had provided an allocation of £38m of capital funding to Scottish Local Authorities, payable in the financial year 2021/22 with a view to supporting town centre regeneration projects and developing community wealth building. The Scottish Borders had been provided with an allocation of £912k which had been allocated based on a combination of total population and existing deprivation levels. The existing allocation needed to be financially committed by the end of the current financial year. Scottish Government and Council Leaders had agreed that Local Authorities would

receive a share of funding to help support place based investment over the next five years. Council officers had concentrated on the key priority towns identified in the Town Centre Matrix and had currently identified three potential projects in Eyemouth, Galashiels and Jedburgh that funding could be allocated to at the present time, with further work being carried out by officers in the other localities with a view to identifying and delivering additional placed-based projects in other settlements before the end of the financial year.

- 4.2 In response to a question regarding the project in Galashiels, Mr Johnstone, Lead Officer explained that the stone slabs that had been used in certain areas of Galashiels had not been fit for purpose, the supplier had accepted responsibility and that partial compensation was being provided by the supplier. It was confirmed that the replacement of slabs would primarily take place at Market Square and Cornmill Square, with works also being undertaken to reinstate a local statue at Market Square. With regard to the Town Centre Matrix which had last been updated in 2019, Mr Johnstone confirmed that the new officers in post would be reviewing these.

#### **DECISION**

##### **AGREED to:-**

- (a) acknowledge the Scottish Government's Place Based Investment Programme intended to provide place based funding for Scottish Local Authorities over the next five years; and**
- (b) allocate £560k from the current financial year allocation to three key projects within the priority towns of Eyemouth, Galashiels and Jedburgh.**

#### **5. HAWICK FLOOD PROTECTION SCHEME – UPDATE ON ACTIVE TRAVEL NETWORK**

- 5.1 With reference to paragraph 7 of the Minute of 16 March 2021, there had been circulated copies of a report by the Director Infrastructure and Environment that provided an update on the Active Travel Network element of the overall Hawick Flood Protection Scheme following the report to Executive Committee on 16 March 2021. An additional £3.7M of funding was granted to the Council by Sustrans for the Active Travel Network element of the Hawick Flood Protection Scheme. This additional funding allowed for increased Neighbourhood Links to be considered. Since the previous report, Officers had collaborated with Sustrans to identify a range of additional measures. Those additional measures were identified within the report.

- 5.2 In response to a question regarding the environmental impact of using asphalt to pave footpaths, Mr Curry undertook to examine the viability of alternative materials. The Chairman invited contributions from the local Members in attendance, who spoke extremely highly of this additional work as part of the Flood Protection Scheme.

#### **DECISION**

**AGREED to approve the additional measures identified within the report to provide enhanced Active Travel Network Neighbourhood Links within the Hawick Flood Protection Scheme.**

#### **6. WINTER SERVICES PLAN**

There had been circulated copies of a report by the Director Infrastructure and Environment that provided a review of the performance of Scottish Borders Council's Winter Service during 2020/21, and presented at Appendix A to the report, SBC's proposed Winter Service Plan for 2021/22. The report included in Appendix B the details of the ward members workshops held following last winter, and provided

feedback and updates following those meetings. SBC provided a winter service on over 3,000km of roads and 1250 km of footway across the Scottish Borders. The Winter Service Plan was reviewed annually and presented to elected members to outline the steps that aimed to make sure the road and footway network was safe. As part of the Fit for 2024 programme of transformational change, the Council was required to modernise and adapt all of its services to meet present and anticipated future needs in a responsive and agile manner, ensuring that services could continue to be delivered cost effectively and sustainably, while delivering efficiencies and savings where required. The winter of 2020/21 was not significant in terms of snowfall, which was limited to a few occasions. There was an almost unprecedented period of prolonged frost from late December to mid-February. This, coupled with increased sensitivity and expectation due to Covid-19, had resulted in above average salt usage and a higher than normal number of precautionary treatments being required. The Winter Service Plan for 2021/22 was similar to the previous 2020/21 Plan in terms of policy, priorities, routes, call out arrangements and resource planning. In response to a question on modernisation, Brian Young, Network Manager, explained that improvements would entail a variety of measures such as using technology to manage salt spread rates. Mr Young explained that the monitoring of salt bins was another ongoing matter, with operations staff assessing bins ahead of winter. In response to a question on the importance of communications and the SB Alert system, Mr Young undertook to look into the use of text messaging to issue weather alerts.

## **DECISION**

- (a) **NOTED the performance of the SBC Winter Service during 2021/21; and**
- (b) **AGREED to endorse the Winter Service Plan for 2021/22.**

## **7. PRIVATE BUSINESS**

**AGREED under Section 50A(4) of the Local Government (Scotland) Act 1973 to exclude the public from the meeting during consideration of the business detailed in the Appendix to this Minute on the grounds that it involved the likely disclosure of exempt information as defined in Paragraph 8 of Part I of Schedule 7A to the Act**

## **SUMMARY OF PRIVATE BUSINESS**

### **8. MINUTE**

The Committee noted the Private Minute of the Meeting on 14 September 2021.

### **9. PROPOSED RELOCATION OF A BUSINESS FROM EARLSTON TO LAUDER INDUSTRIAL ESTATE**

The Committee considered a report by the Director Environment and Infrastructure and approved the recommendations.

*The meeting concluded at 11.50 am.*

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**MONITORING OF THE GENERAL FUND REVENUE BUDGET  
2021/22**
**Report by Director, Finance & Corporate Governance**  


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**EXECUTIVE COMMITTEE**
**16 November 2021**


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**1 PURPOSE AND SUMMARY**

- 1.1 This report provides the Executive Committee with budgetary control statements for the Council's General Fund based on actual expenditure and income to 30 September 2021 along with explanations of the major variances identified between projected outturn expenditure/income and the current approved budget.**
- 1.2 The Council has continued to experience impacts from the COVID-19 pandemic in the second quarter of the financial year. Due to the very challenging operating environment it remains essential that the Council continues to operate as efficiently as possible to ensure that any financial implications not yet clear can be managed as the financial year progresses.
- 1.3 The approved new Corporate structure has been reflected in this report. Forecasts have been completed at the second quarter of 2021/22 at the 30<sup>th</sup> September, projecting the Council to be in a balanced position at the financial year end. This position requires a further draw down of £0.620m from the COVID-19 reserve compared to the reported position at the end of the first quarter of the current year. This forecast position includes the carry forward of resources from 2020/21. Impacts from COVID-19 are expected to continue in to 2022/23, the COVID-19 reserve will be drawn down as required to meet identified financial pressures. The latest forecast includes all known pressures including loss of income, confirmed Scottish Government funding, the effects of the continued freeze on discretionary spend and assumptions around delivery of Financial Plan savings.
- 1.4 Significant confirmed funding is in place for 2021/22, along with a commitment that additional expenditure incurred through the Integration Joint Board (IJB) delivering Health & Social Care services will be funded by Scottish Government. The confirmed funding is categorised as follows:

<b>Confirmed Covid-19 funding – 2021/22</b>	<b>£m</b>
Funding provided by Scottish Government	24.074
Funding included in the 2021/22 Financial Plan for COVID-19 response	1.654
Reserve carried forward from 2020/21 underspend	2.256
Assumed IJB funding through LMP – tbc	3.579
<b>Total COVID-19 funding</b>	<b>31.563</b>

- 1.5 The total COVID-19 funding is split between funding which has been ring-fenced to be used for a specific purpose (£13.411m) for example education recovery, IJB funding, admin funding and funding to support communities, and that which can be used more generally by the Council to address COVID-19 pressures (£18.152m). This includes all residual COVID-19 funding carried forward from 2020/21 and full details of funding available are shown in Appendix 2.
- 1.6 There has been an ongoing impact on the delivery of planned Financial Plan savings during 2021/22 as a result of the diversion of management time to the pandemic during 2020/21 and 2021/22. Financial plan savings of £9.301m require to be delivered in 2021/22. An analysis of deliverability has been updated as shown in Appendix 3. Following the September month end £2.491m (27%) savings have been delivered permanently, £1.964m (21%) are profiled to be delivered by 31 March 2022 and £4.846m (52%) have been delivered on a temporary basis through alternative savings.

## **2 RECOMMENDATIONS**

- 2.1 **It is recommended that the Executive Committee:-**
- (a) notes the projected corporate monitoring position reported at 30 September 2021, the remaining pressures identified, the underlying cost drivers of this position and the identified areas of financial risk as reflected in Appendix 1;**
  - (b) notes the COVID-19 funding detailed in Appendix 2;**
  - (c) notes the progress made in achieving Financial Plan savings in Appendix 3; and**
  - (d) approves the virements attached as Appendix 4 & 5.**

### 3 PROJECTED OUTTURN

- 3.1 The revenue monitoring position set out in this report and summarised in Appendix 1 is based on actual income and expenditure to the 30 September 2021.
- 3.2 The COVID-19 emergency situation, which affected the UK throughout 2020/21, has continued to cause financial implications for the Council. The pandemic has caused a major impact on delivery of public services, with major impacts on a number of Council Services. The Council played a key role in supporting Borders communities, businesses and residents during a very challenging 2020/21 and continues to do so in 2021/22. The Council has received significant financial support from Scottish Government to maintain public services during the pandemic and to administer a variety of support grants to local businesses now totalling £71.4m.
- 3.3 The Scottish Government has continued to take a twin track approach to providing funding for the costs of COVID-19 and is separating Health and Social Care activities delivered by the Integration Joint Board (IJB) out from impacts on other Council Services. The Council is continuing to work proactively with NHS Borders on the joint cost collection exercise for Health & Social Care costs associated with COVID-19 and continue to submit quarterly Local Mobilisation Plan (LMP) returns, the next one will be based on this September month end position. It is assumed that all COVID-19 related financial impacts will be funded through the LMP but that any impact of delays in delivery of financial plan savings will require to be funded by the Council. In addition the Council has received significant funding from the Scottish Government since March 2021 to support financial pressures in both 2020/21 and 2021/22. A full analysis of COVID-19 funding is provided at Appendix 2.
- 3.4 Pay award negotiations for 2021/22 are still not concluded and therefore continue to represent a risk to the revenue budget. The Council has budgeted for a 2% pay award. It is understood that both UNISON and Unite have a mandate to undertake industrial action from October 2021 to March 2022. Contingency planning has been taking place across the affected services. To date we have received no intimation of any proposed dates for action.
- 3.5 Analysis of the revenue budget after 6 months of the financial year forecasts a balanced year end position will be delivered assuming that the COVID-19 reserve will be sufficient to cover pressures as they materialise. This position reflects updates in both known COVID-19 implications and service specific issues to provide an estimated year end position. The remaining one-off COVID-19 reserve has been adjusted by £0.620m at the second quarter position leaving a balance of £9.961m to address service pressures.
- 3.6 The current monitoring position indicates additional forecast annual expenditure and impacts on income associated with COVID-19 and service pressures of £21.602m as shown below.

<b>Budget Pressure</b>	<b>£m</b>	<b>Comment</b>
Additional COVID-19 costs	7.946	These additional costs are detailed per service in Appendix 1 and include additional costs such as PPE, cleaning materials and additional homecare costs and also includes the distribution of additional Scottish Government funding such as that to support families and those facing financial hardship.
Education recovery	5.033	Specific Scottish Government funding to support education recovery
IJB Local Mobilisation Plan (LMP)	3.579	Assumed funding from Scottish Government through the LMP based on commitment to fund COVID-19 costs
Delays in delivery of financial plan savings	2.040	The ongoing response has reduced management capacity to drive forward change in some cases along with the current operating models making change very challenging which has resulted in delays in delivery.
Loss of budgeted income	0.636	Income from fees & charges has been impacted during 2020/21 in services such as planning fee income, schools meals and waste income.
Service pressures	2.368	Net service pressures experienced in the first 6 months of 2021/22 detailed in Appendix 1.
<b>Total Council pressures</b>	<b>21.602</b>	

- 3.7 In order to support the Council's response to the COVID-19 pandemic funding has been made available by the Scottish Government. Full details of funding available are shown in Appendix 2. To supplement the funding from Scottish Government, CMT has again, taken decisions around discretionary spend and the impact of the current operating model to allow services to mitigate Council pressures. The updated total funding of £21.602m required to address current forecasts is detailed below:

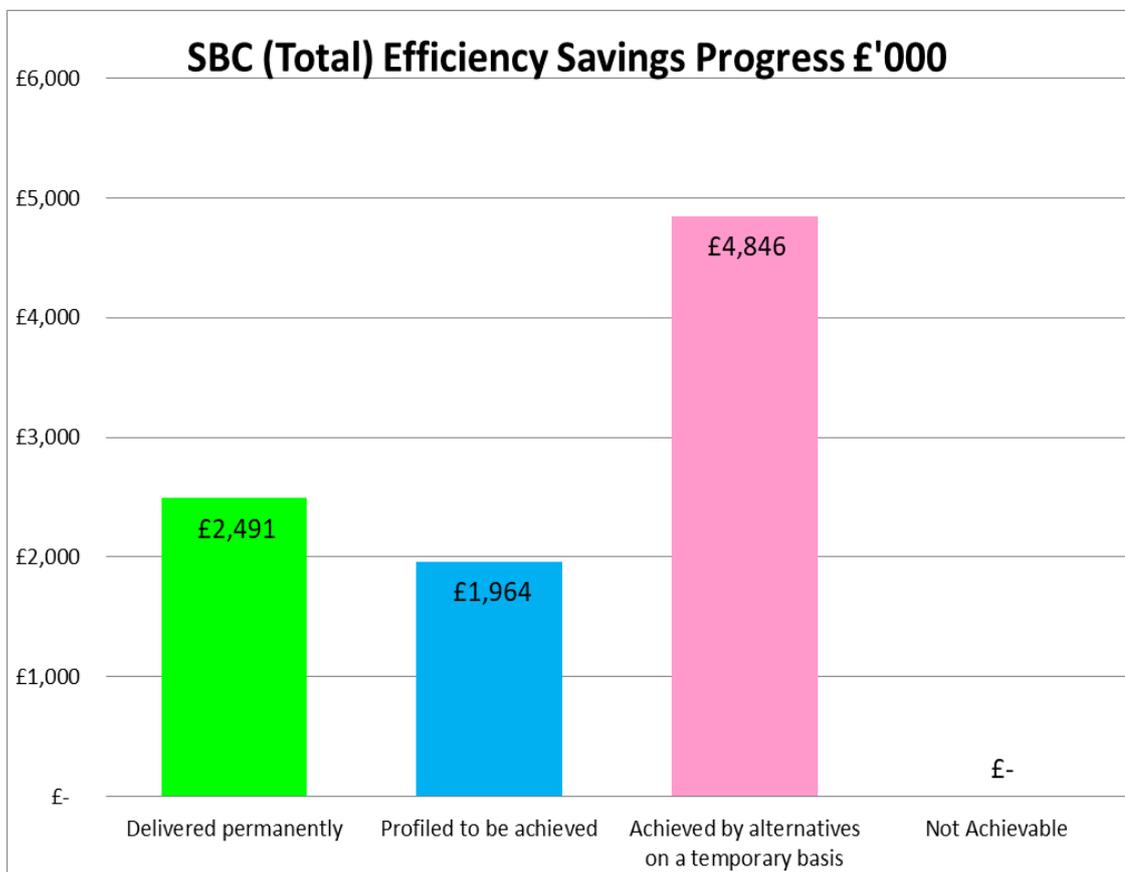
<b>Funding</b>	<b>£m</b>	<b>Comment</b>
Scottish Government funding (SG)	11.347	Scottish Government funding to support COVID-19 pressures.
Education recovery	5.022	Specific Scottish Government funding to support education recovery
IJB Local Mobilisation Plan (LMP)	3.579	Assumed funding from Scottish Government for IJB pressures from COVID-19 reflecting reporting through the Local Mobilisation Plan (LMP).
Council 2021/22 Financial Plan	1.654	Budget allocated through the 2021/22 Financial Plan to support COVID-19 response and recovery.
<b>Council COVID-19 revenue funding</b>	<b>21.602</b>	

3.8 The following management action will continue during the remainder of the financial year with the aim of containing any pressures yet to emerge. Updates on the progress of this management action will continue to be presented to the Executive Committee on a quarterly basis as part of the monitoring process:

- Contain additional costs wherever possible;
- Maximise income opportunities for the Council;
- Continue the current freeze on discretionary spend to release further service budgets to contribute to the COVID-19 reserve;
- Consider wherever possible how savings can be accelerated from 2022/23 into 2021/22 to support the financial position in the current year;
- Continue engagement with COSLA to ensure the Council is fully aware and engaged in any discussions on any further Scottish Government funding.

3.9 It should be noted that any budget shortfall at 31 March 2022 will require to be funded from reserves at year end.

3.10 There has been an ongoing impact on the delivery of planned Financial Plan savings during 2021/22 as a result of the diversion of management time to the pandemic during 2020/21 and 2021/22. The level of savings required by the financial plan in 2021/22 totals £9.301m. An analysis of delivery of savings as at the end of month 6 is provided in Appendix 3. This analysis shows that following the September month end £2.491m (27%) savings have been delivered permanently, £1.964m (21%) are profiled to be delivered by 31 March 2022 and £4.846m (52%) have been delivered on a temporary basis through alternative savings.



3.11 CMT are placing significant emphasis on ensuring the £1.964m, which is profiled to be delivered by 31 March 2022, is progressed and delivered as soon as possible. Work has also commenced, as part of the 2022/23 financial planning process, to ensure that permanent plans are in place for the £4.846m delivered temporarily in 2021/22 to ensure permanent resolution in 2022/23.

### 3.12 **Infrastructure & Environment**

Infrastructure and Environment are forecasting a reduced surplus within SBcContracts primarily as a result of reduced profit which is being impacted by material price increases and increased lead times as reported in the wider construction market. Reduced income across Architects, Engineers and Fleet Management and the continued impact of COVID-19 are contributing to an overspend within the Service.

### 3.13 **Social Work & Practice**

Social Work & Practice is forecasting a pressure of £0.470m at the end of the second quarter after the proposed virements have been actioned. These pressures are primarily as a result of service pressures in Children & Families Social Work and Learning Disability Service. These service pressures are as a result of increases in care package costs and out of area placement costs which have increased above budget. Reviews of the costs of care packages to ensure these are appropriate to the needs of clients, whilst being as cost effective as possible, including regular scrutiny panel meetings, remains a priority action for management. The COVID pressures funded via the Local Mobilisation Plan (LMP) have been updated with a second LMP claim totalling £3.579m, a decrease from the first claim of £3.805m.

### 3.14 **Children & Young People**

The service has continued to ensure a balanced position is projected at the end of September 2021. COVID-19 funding continues to be utilised appropriately to ensure young people are supported in the autumn term.

The 2021/22 academic session saw an additional 29.1 FTE teachers employed through additional Scottish Government funding to reduce the attainment gap and to accelerate the Inspire Learning programme; £250k remains uncommitted at the end of September to be used as the need is identified. £1.710m of COVID funding relating to PPE and safe return of schools (logistics) is currently un-committed. Work continues to put plans in place to deliver the required Financial Plan savings on a permanent basis.

### 3.15 **Resilient Communities**

A net underspend of £224k is being forecast primarily from a net underspend from rents, rates and an improving financial position in Council Tax Reduction Scheme. This underspend is being redirected to support pressures elsewhere in the Council.

### 3.16 **Finance & Corporate Governance**

This service area holds the corporate COVID-19 reserve. The service is managing within existing budget with the anticipated costs relating to the ongoing independent inquiry proposed to be funded from reserves. An element of the IT revenue budget is being capitalised to fund part of the LAN/WIFI refresh (£27k).

### 3.17 **People, Performance and Change**

The department is managing vacancies across services and is forecasting an overall underspend (£49k). Available budget will be transferred from Business Change to fund additional transformational spend anticipated for 2021/22.

## **4 IMPLICATIONS**

### 4.1 **Financial Recommendations**

There are no costs attached to any of the recommendations contained in this report, its content being specifically related to the performance of the revenue budget in 2021/22.

### 4.2 **Risk and Mitigations**

There is a risk that further cost pressures may emerge as the year progresses or that the savings required to compensate for non-delivery of Financial Plan savings may not be delivered as planned, both of which may impact on the outturn position. Every effort must continue to be made by Service Directors to contain projected spend in the remainder of the year and to consider permanent effects on the Financial Plan. These efforts include maintaining a focus on sound financial management, balancing the budget and delivering good value for money and ensuring these remain key aspects the culture of the council.

### 4.3 It is imperative therefore that as many savings as possible identified within the 2021/22 and previous financial plans are delivered permanently to ensure affordability and budget sustainability.

The risks identified above are being managed and mitigated through:-

- (a) monthly reports of actual expenditure and income against approved budgets being made available to budget managers from the Council's Business World System.
- (b) review of budget variances and monitoring of management actions to control expenditure by Finance, Service staff and Service Directors and monthly reporting to CMT.
- (c) engagement with Departments and review of monthly management

accounts by management teams.

- (d) supporting departmental corporate transformation projects to monitor and deliver the planned corporate transformation savings in the medium-term Financial Plan.

**4.4 Integrated Impact Assessment**

It is anticipated there will be no adverse impact due to race, disability, gender, age, sexual orientation or religion/belief arising from the proposals contained in this report.

**4.5 Sustainable Development Goals**

There are no significant effects on the economy, community or environment.

**4.6 Climate Change**

No effect on carbon emissions are anticipated from the recommendation of this report.

**4.7 Rural Proofing**

It is anticipated there will be no adverse impact on the rural area from the proposals contained in this report.

**4.8 Data Protection Impact Statement**

There are no personal data implications arising from the proposals contained in this report.

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

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

**5 CONSULTATION**

- 5.1 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 any comments received have been incorporated into this final report.

**Approved by**

**David Robertson**  
**Director Finance & Corporate Governance**

**Signature .....**

**Author(s)**

Name	Designation and Contact Number
Suzy Douglas	Financial Services Manager 01835 824000 X 5881

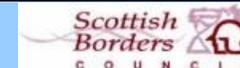
**Background Papers:**

**Previous Minute Reference:**

**Note** – You can get this document on tape, in Braille, large print and various computer formats by contacting the Author. Information on other language translations as well as additional copies can also be provided.

**MONTHLY REVENUE MANAGEMENT REPORT**  
**SCOTTISH BORDERS COUNCIL** 2021/22  
**SUMMARY**

AT END OF MONTH: Sep-21



	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Infrastructure & Environment	44,885	23,303	46,976	47,497	(521)	521	0	Income pressures within SBCContracts and the wider service are driving the forecast pressure. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
Social Work & Practice	54,386	18,143	56,407	57,373	(966)	966	0	Pressures from additional out of area placements within Children & Families. The second Local Mobilisation Plan (LMP) return to fund COVID-19 impacts totals £3.579m. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
Education & Lifelong Learning	96,863	40,978	105,279	106,913	(1,635)	1,635	0	A balanced position is forecast following virements.
Resilient Communities	18,688	(4,297)	21,103	21,367	(264)	264	0	Net underspend in homeless rents payable and receivable identified following review and continuing month on month reduction and improving outlook for Council Tax Reduction Scheme. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
Finance & Corporate Governance	46,936	15,321	48,039	47,709	330	(330)	0	Pressure from independent inquiry to be funded from reserves. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
People, Performance and Change	7,611	3,580	7,948	7,921	26	(26)	0	Additional income and staff turnover savings. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
Strategic Commissioning & Partnership	22,387	11,420	21,879	21,384	495	(495)	0	Small premises related underspend within Trusts due to Covid-19. Transfer of care provision at Dovecot Extra Care Housing development to Eildon Housing Association. A balanced position is forecast following virements to reflect latest expenditure and income forecasts across the Council.
<b>Total</b>	<b>291,757</b>	<b>108,448</b>	<b>307,631</b>	<b>310,166</b>	<b>(2,535)</b>	<b>2,535</b>	<b>0</b>	
<b>Financed by:</b>								
Revenue Support Grant	(190,186)	(98,720)	(199,829)	(202,196)	2,367	(2,367)	0	Additional Scottish Government funding for i) Tenant Hardship Grant Fund (grants £175k, administration £9k); ii) Discretionary Housing Payments (£374k); iii) CO2 monitoring (£64k); iv) Core curriculum costs (£82k); v) Music tuition (£69k); vi) Summer of Play (£353k); vii) Additional teachers and support staff (£1,067k); and viii) extension of self-isolation assistance (April - December 2021) including administration (£174k).
Non-Domestic Rates	(33,571)	(13,334)	(26,668)	(26,668)	0	0	0	
Council Tax	(65,261)	(66,867)	(65,261)	(65,351)	90	(90)	0	Improved net growth and less exemptions, however increased disabled reliefs and discounts forecast.
Second Homes Council Tax	(1,177)	0	(1,040)	(1,103)	63	(63)	0	Projected additional income through Second Homes Council Tax forecast at this time (£63k).
Capital Financed from Current Revenue	0	0	267	355	(88)	88	0	Virement to capitalise available revenue budget to fund purchase of new waste containers (£51k) and increased ICT spend, including network upgrade, cable installation and wireless access points installation as part of LAN/WIFI refresh (£37k).
Reserves:								
Earmarked Balances from 2020/21	(1,562)	(16,695)	(17,877)	(17,877)	0	0	0	
Earmarked Balances for future years	0	0	3,037	3,107	(70)	70	0	To earmark available budget into 2022/23 for Queen's Platinum Jubilee Fund (£70k).
Transfers to/from Reserves	0	11,353	(260)	(433)	173	(173)	0	Anticipated pressure for services of QC and external firm of solicitors for independent inquiry (£150k) to be funded from unallocated Reserves. Drawdown from Workforce Management allocated Reserve (£23k).
<b>Total</b>	<b>(291,757)</b>	<b>(184,263)</b>	<b>(307,631)</b>	<b>(310,166)</b>	<b>2,535</b>	<b>(2,535)</b>	<b>0</b>	

**MONTHLY REVENUE MANAGEMENT REPORT  
SCOTTISH BORDERS COUNCIL 2021/22**

**AT END OF MONTH: Sep-21**



Infrastructure & Environment	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
<b>Property</b>	<b>12,601</b>	<b>7,565</b>	<b>12,552</b>	<b>12,636</b>	<b>(84)</b>	<b>84</b>	<b>0</b>	
Property Management Services	13,115	8,637	13,022	13,022	0		0	
Estates Management Services	476	181	449	449	0		0	
Commercial Property Income	(1,264)	(1,272)	(1,243)	(1,243)	0		0	
Architects	126	173	126	210	(84)	84	0	Income pressure (£89k), £23k relating to Covid-19 and balance within internal capital works. £5k reduction in employee costs.
Major Projects	148	(155)	198	198	0		0	
<b>Facilities</b>	<b>5,470</b>	<b>2,932</b>	<b>6,021</b>	<b>6,024</b>	<b>(3)</b>	<b>3</b>	<b>0</b>	
Catering Services	756	737	1,038	1,041	(3)	3	0	Net school meal income pressures and materials offset by service savings
Cleaning & Facilities Management	4,714	2,195	4,983	4,983	0		0	
<b>Parks &amp; Environment</b>	<b>4,359</b>	<b>1,798</b>	<b>4,367</b>	<b>4,367</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Roads &amp; Infrastructure</b>	<b>9,658</b>	<b>5,056</b>	<b>9,901</b>	<b>10,320</b>	<b>(418)</b>	<b>418</b>	<b>0</b>	
Network & Infrastructure Asset Management	9,841	2,549	9,893	9,893	0		0	
SBcContracts	(701)	1,719	(701)	(486)	(215)	215	0	Pressures relating to profit margins (£150k) as a result of material price increases and increased lead times. Additional pressures relating to Covid-19 self isolation (£60k) and increased overheads (£5k)
Engineers	856	540	857	907	(50)	50	0	Income pressure (£50k)
Fleet Management Services	(338)	268	(318)	(165)	(153)	153	0	Reduced vehicle repairs income
Pay Parking	0	(20)	170	170	0		0	
<b>Waste Management Services</b>	<b>9,003</b>	<b>3,638</b>	<b>9,700</b>	<b>9,649</b>	<b>51</b>	<b>(51)</b>	<b>0</b>	Virement to capitalise revenue budget to fund the purchase of new waste containers (£51k)
<b>Passenger Transport</b>	<b>1,678</b>	<b>1,747</b>	<b>1,961</b>	<b>1,965</b>	<b>(4)</b>	<b>4</b>	<b>0</b>	Additional employment costs as a result of Covid-19 (£4k).
<b>Planning Services</b>	<b>889</b>	<b>2</b>	<b>1,561</b>	<b>1,561</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Housing Strategy &amp; Services</b>	<b>1,227</b>	<b>565</b>	<b>913</b>	<b>976</b>	<b>(63)</b>	<b>63</b>	<b>0</b>	Projected additional income through Second Homes Council Tax forecast at this time (£63k).
<b>Total</b>	<b>44,885</b>	<b>23,303</b>	<b>46,976</b>	<b>47,497</b>	<b>(521)</b>	<b>521</b>	<b>0</b>	

**Key Highlights, Challenges and Risks**

The service continues to experience COVID-19 pressures which are being addressed through the Council's COVID-19 reserve.

Construction materials supply chain has been subject to unprecedented disruption in recent months. A surge in demand coupled with constraints on supply has led to price increases, shortages and longer lead times, the effects of this are being seen in SBCContracts profit and this position will continue to be monitored closely through the remainder of the year.

There is a risk around the level of school meal income achieved in the 2nd half of the year. Secondary school meal income is down 13% YTD compared with 2019. The first half of the year has seen some disruption within schools as a result of Covid-19, the forecast assumption for the balance year is for income to be in line with the balance of 2019.

The Planning Service is highly dependent on fee income to achieve their budget target, this will be monitored closely through the balance of the year.

Waste Management Services is currently experiencing increased costs for leachate, should this position continue to year end there may be a requirement to drawdown from the adverse weather reserve. A feasibility study is underway to identify a longer term solution to this following the closure of the landfill site.

Social Work & Practice	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Child Protection	192	70	237	236	1	(1)	0	
Children & Families Social Work	14,807	6,247	15,059	15,529	(470)	470	0	Pressure due to increase in Out of Area Placements. Further commitments pending.
Adult Protection	411	162	411	411	0	0	0	
Emergency Duty Team	317	169	341	352	(11)	11	0	Higher than anticipated staffing costs
Business Support - Staff Development	0	0	0	0	0	0	0	
Quality Improvement	65	171	386	382	4	(4)	0	
Services in Criminal Justice System	1	(140)	(27)	(27)	0	0	0	
Safer Communities	1,229	161	1,306	1,309	(3)	3	0	
Older People	9,880	(935)	8,829	8,874	(45)	45	0	Net underspends in Extra Care Housing amounting to £174k, comprised of overspends at Longfield Cres., Duns and Dovecot, Peebles of £150k and £123k respectively. These overspends caused by requirement to pay void property rent costs and also TUPE costs associated with the transfer of care provision from SB Cares to Eildon at Dovecot. Underspends due to delays in construction at Wilkie Gardens in Galashiels amount to £447k. Direct Payment clawback amounts to £67k. Lower than anticipated 24 hour permanent care costs amount to £86k. Lower than anticipated Locality based care costs amount to £152k. Various minor overspends amount to £28k across the service. Virement relates to the transfer of budget from SB Cares to Older People's service reflecting the transfer of care provision at Dovecot Extra Care Housing development to Eildon Housing Association (EHA).
Joint Learning Disability	16,122	8,176	18,355	18,561	(206)	206	0	Higher than anticipated staffing costs in relation to CFO / CMT approved Agency costs to provide client review support (£50k). Higher than budgeted 24hr Permanent care costs (£82k). Net increase in Community Based Care of £74k - (1 full time residential school client (18 year old) costing £108k plus emergency care required for 1 client costing £53k - off-set by other client reductions).
Joint Mental Health	2,196	848	2,007	2,007	0	(0)	0	
People with Physical Disabilities	2,734	1,417	2,499	2,528	(29)	29	0	Higher than anticipated client care costs.
Generic Services	6,339	1,795	6,910	7,120	(210)	210	0	Ongoing single client specific pressures in relation to delayed transfer to cheaper care provider (£52k). Higher than anticipated Locality Based Community Care costs (£197k). Off-setting savings from lower than anticipated staffing costs - £22k as well as other minor underspends - £17k.
<b>Total</b>	<b>54,293</b>	<b>18,141</b>	<b>56,316</b>	<b>57,282</b>	<b>(966)</b>	<b>966</b>	<b>0</b>	

<b>Public Health</b>	<b>Base Budget (£'000)</b>	<b>Actual to Date (£'000)</b>	<b>Revised Budget (£'000)</b>	<b>Projected Outturn (£'000)</b>	<b>Outturn Variance (£'000)</b>	<b>Proposed Virement (£'000)</b>	<b>Projected (over)/under spend</b>
Public Health	93	2	91	91	0	0	0
<b>Total</b>	<b>93</b>	<b>2</b>	<b>91</b>	<b>91</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Key Highlights, Challenges and Risks**

Social Work & Practice is forecasting a pressure of £0.470m at the end of the second quarter after the proposed virements have been actioned. These pressures are primarily as a result of service pressures in Children & Families Social Work and Learning Disability Service. These service pressures are as a result of increases in care package costs and out of area placement costs which have increased above budget. Reviews of the costs of care packages to ensure these are appropriate to the needs of clients, whilst being as cost effective as possible, including regular scrutiny panel meetings, remains a priority action for management.

The COVID pressures funded via the Local Mobilisation Plan (LMP) have been updated with a second LMP claim totalling £3.579m, a decrease from the first claim of £3.805m.

Education & Lifelong Learning	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Early Years	6,045	(5,159)	7,931	7,931	(0)	0	0	Forecasting breakeven position. Further budget to be allocated within the service in 2021/22 for final 1140 hours expansion.
Primary Schools	29,311	14,872	31,312	31,734	(422)	422	0	Devolve probationer budgets to schools for August 2021 to March 2022( £422k). Possible pressure if current maternity and sickness levels continue.
Secondary Schools	39,864	21,875	41,394	41,512	(118)	118	0	Devolve probationer budgets to schools for August 2021 to March 2022 (£118k). Possible pressure if current maternity and sickness levels continue.
Additional Support Needs	11,571	4,764	11,760	11,760	0	0	0	Assume breakeven as further budgets yet to be allocated for Aug ANA allocation. Tenders awaited for new Transport contracts - awaiting detail from Passenger Transport
Occupational Psychology	704	308	697	697	0		0	Breakeven position - savings have been met
Central Schools	3,222	2,349	6,039	7,134	(1,095)	1,095	0	Devolve probationer budgets to schools for August 2021 to March 2022 (£540k). Additional budget in relation to CO2 monitoring and associated remedial works (£64k). SG funding for Curriculum costs (£82k) and Music Tuition (£69k) for August 21 to March 22. Funding for Summer of Play (£353k) and additional permanent teachers and support staff (£1,067k)
School Meals	1,756	769	1,756	1,756	0		0	Assume breakeven position but P4 and P5 FSM roll out will have an impact, work being done to quantify this.
School Transport	3,442	589	3,442	3,442	(0)		(0)	Route optimisation is now complete. Information for tender process is being collated and the process should get underway shortly.
Community Learning & Development	948	610	947	947	0		0	Assume breakeven although currently showing overspend due to Financial Plan Savings not having been fully met
<b>Total</b>	<b>96,863</b>	<b>40,978</b>	<b>105,279</b>	<b>106,913</b>	<b>(1,635)</b>	<b>1,635</b>	<b>0</b>	

**Key Highlights Challenges & Risks**

There is currently a higher than anticipated level of maternity and sickness in Primary and Secondary Schools, a pressure may materialise if the current levels continue. The tender process for the optimised school bus routes is about to commence, with new contracts expected to be in place for January 2022.

Resilient Communities	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Business Support	5,160	2,539	5,208	5,208	0		0	
Community Planning & Engagement	142	(63)	429	464	(35)	35	0	Undeliverable community capacity Financial Plan saving (£35k).
Localities/Community Fund	1,221	1,586	1,806	1,806	0		0	
Customer Advice & Support Services	3,208	1,261	3,816	3,870	(54)	54	0	Additional Scottish Government funding for Tenant Hardship Grant Fund (grants £175k, administration £9k) and Discretionary Housing Payments administration (£5k). Release available unanticipated income (£19k). Net underspend in homeless rents payable and receivable (£138k) identified following review. Transfer of Discretionary Housing Payments administration funding (£22k). To earmark available budget into 2022/23 for Queen's Platinum Jubilee Fund (£70k).
Economic Development	1,400	322	1,779	1,779	0		0	
Discretionary Housing Payments	733	248	733	1,080	(347)	347	0	Additional Scottish Government funding (£369k). Transfer administration funding to Customer Advice & Support Services (£22k).
Housing Benefits	623	750	647	679	(32)	32	0	Forecast outturn reflects net spend of £777k less overpayments recovered £98k. Overpayments are unchanged from last month and continue to be lower than expected.
Non-Domestic Rates Relief	201	(17,106)	201	150	51	(51)	0	Release budget allocated for Great Tapestry of Scotland (£51k), no longer required in-year as eligible for Business Growth Accelerator relief.
Scottish Welfare Fund	596	495	784	784	0		0	
Council Tax Reduction Scheme	5,407	5,671	5,699	5,546	153	(153)	0	Forecast reflects view of the continuing month on month reduction and improving outlook.
<b>Total</b>	<b>18,688</b>	<b>(4,297)</b>	<b>21,103</b>	<b>21,367</b>	<b>(264)</b>	<b>264</b>	<b>0</b>	

**Key Highlights, Challenges & Risks**

The service is grossing up additional Scottish government funding for Discretionary Housing Payments and Tenant Hardship Grant Fund.

The service is forecasting a net underspend position as a result of a reduced forecast for Council Tax Reduction Scheme, with funding being returned to the Covid-19 Reserve and a net underspend in homeless rents payable and receivable.

Finance & Corporate Governance	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Covid-19 Reserve Fund	7,300	3,673	2,531	2,125	406	(406)	0	Additional General Revenue Grant to fund extension of self-isolation assistance (April - December 2021), including administration (£174k). Hire of portable toilets, showers and storage containers and site rental for Selkirk travelling community for period to July 21 (£40k).
Corporate	(1,581)	0	1,219	1,300	(81)	81	0	Undeliverable Corporate commissioning saving (£81k).
Chief Executive	191	90	188	188	0	0	0	
Corporate Policy	348	(8)	204	116	88	(88)	0	Staff turnover savings (£88k).
Emergency Planning	132	88	159	159	0	0	0	
Finance	4,322	1,739	4,496	4,496	0	0	0	
Interest on Revenue Balances	0	0	0	0	0	0	0	
Legal Services	742	433	740	890	(150)	150	0	Anticipated costs relating to independent inquiry (£150k) to be funded from unallocated Reserves.
Protective Services	1,616	741	1,613	1,613	0	0	0	
Audit & Risk	339	173	360	339	21	(21)	0	Additional staff turnover savings (£21k).
Assessor & Electoral Registration Services	856	428	920	920	0	0	0	
Democratic Services	1,704	1,114	1,747	1,747	0	0	0	
Communications & Marketing	505	234	520	511	9	(9)	0	Additional staff turnover savings due to release of Manager vacancy to end December 2021 (£9k).
Information Technology	11,435	5,046	14,467	14,430	37	(37)	0	To capitalise available revenue budget to fund increased ICT spend, including network upgrade, cable installation and wireless access points installation as part of LAN/WIFI refresh (£37k).
Loan Charges	19,466	1,497	19,312	19,312	0	0	0	
Provision for Bad Debts	125	125	125	125	0	0	0	
Recharge to Non-General Fund	(563)	(51)	(563)	(563)	0	0	0	
<b>Total</b>	<b>46,936</b>	<b>15,321</b>	<b>48,039</b>	<b>47,709</b>	<b>330</b>	<b>(330)</b>	<b>0</b>	

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Finance & Corporate Governance	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
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**Key Highlights, Challenges & Risks**

The COVID-19 reserve is held within Finance reflecting corporate COVID-19 costs and additional Scottish Government funding to be allocated to services. The unallocated balance in the COVID-19 reserve at the end of June 2021 is £10.031m.

Anticipated costs relating to independent inquiry (£150k) to be funded from unallocated Reserves.

People, Performance & Change	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
Human Resources	4,726	2,203	4,807	4,783	24	(24)	0	Staff turnover savings (£24k).
Early Retiral/Voluntary Severance	67	90	67	90	(23)	23	0	Pressure to be funded from drawdown from Workforce Management Allocated Reserve (£23k).
Corporate Transformation	790	484	1,183	1,227	(44)	44	0	Available budget transferred from Business Change to fund additional transformational spend anticipated for 2021/22.
Employment Support Service	383	104	338	322	16	(16)	0	Staff turnover savings (£16k).
Business Change & Programme Management	1,211	536	1,087	1,043	44	(44)	0	Additional staff turnover savings to be used to fund increased transformational expenditure in 21/22 (£44k).
Business Planning Performance & Policy Development	433	163	466	457	9	(9)	0	Additional income (£9k).
<b>Total</b>	<b>7,611</b>	<b>3,580</b>	<b>7,948</b>	<b>7,921</b>	<b>26</b>	<b>(26)</b>	<b>0</b>	

**Key Highlights, Challenges & Risks**

The service has addressed a small pressure from within existing service budgets. Additional income and staff turnover savings are being re-allocated to address pressures elsewhere in the Council.

Strategic Commissioning & Partnerships	Base Budget (£'000)	Actual to Date (£'000)	Revised Budget (£'000)	Projected Outturn (£'000)	Outturn Variance (£'000)	Proposed Virement (£'000)	Projected (over)/under spend	Summary Financial Commentary
SB Cares	16,924	8,625	16,411	15,955	456	(456)	0	Pressures relating to lower than anticipated client income (£40k). Virement relates to the transfer of budget from SB Cares to Older People's service reflecting the transfer of care provision at Dovecot Extra Care Housing development to Eildon Housing Association (£496k).
Cultural Services	3,506	1,372	3,461	3,445	16	(16)	0	Underspend in cleaning contract due to continued temporary closure of facilities as a result of Covid-19 (£16k).
Sports Services	1,957	1,423	2,007	1,984	23	(23)	0	Underspend in premises costs due to Live Borders being awarded 100% Retail, Hospitality & Leisure rates relief in-year (£23k) for Melrose 3G pitch.
<b>Total</b>	<b>22,387</b>	<b>11,420</b>	<b>21,879</b>	<b>21,384</b>	<b>495</b>	<b>(495)</b>	<b>0</b>	

**Key Highlights, Challenges & Risks**

The service is able to operate within budget with through the off-setting of services pressures with available budget.

Virement relates to the transfer of budget from SB Cares to Older People's service reflecting the transfer of care provision at Dovecot Extra Care Housing development to Eildon Housing Association (£496k).

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Details	Amount	Ringfenced				Flexible	Assumed IJB funding through LMP	2021/22 Financial Plan
		Admin.	Education Recovery	Individuals/Families/Communities	Self Isolation/Test & Protect			
General Administration funding (Leaders Nov)	406,000	406,000						
Administration of £100 COVID Spring Hardship payment	5,585	5,585						
Administration of COVID-19 Business Support: Large Self Catering, Exclusive Use Properties and Bed & Breakfast Establishments paying Council Tax	330,000	330,000						
Food Insecurity	177,550		177,550					
Financial Insecurity	330,000		330,000					
Children & young people's mental health (pandemic grant £246,750; framework grant £82,250)	329,000		329,000					
Safe schools return (Logistics)	1,772,000		1,772,000					
Education Recovery (additional staff, family support, digital)	955,000		955,000					
Additional funding to cover continued education recovery	1,032,000		1,032,000					
Lost income scheme	1,416,569				1,416,569			
Financial Insecurity Fund (balance)	54,925		54,925					
Spring Hardship Payment	259,518		259,518					
Discretionary Fund (balance)	900,296		900,296					
Tackling Child Poverty Fund - Parental Employability Support Fund (PESF) Boost	114,000		114,000					
20/21 RSG overstated by duplicate payment (carry into 21/22 to reflect downward redetermination)	111,000				111,000			
Self-Isolation Assistance Service - extension	41,895				41,895			
Additional £15m flexible funding for Level 4	330,000				330,000			
To support Covid-19 pressures including lost income (20/21)	4,999,000				4,999,000			
Test & Protect - local self-isolation assistance service funding to 11/1/21	13,000				13,000			
Test & Protect - support for people extension to 11/1/21	48,000				48,000			
Share of £400k for admin of hardship grants	5,585	5,585						
EH & TS Covid-19 officers	38,000				38,000			
SG education logistics funding (share of £20m)	506,000				506,000			
SG consequentials funding (share of £49m)	195,520				195,520			
20/21 underspend (within Reserves)	2,256,000				2,256,000			
COVID-19 funding - SBC share of £259m national one-off funding	5,757,000				5,757,000			
COVID-19 Funding	889,000				889,000			
Learning needs of children and young people	1,199,000		1,199,000					
Low Income Pandemic Payment	1,163,500		1,163,500					
Family Pandemic Payment	356,320		356,320					
Low Income Pandemic Payment - admin	69,085	69,085						
Family Pandemic Payment - admin	12,252	12,252						
Additional cleaning staff, materials & PPE	520,000						520,000	
Private Sector Housing Grants admin fee	2,000						2,000	
Personal Protective Equipment (PPE)	480,000						480,000	
Community Equipment Store	50,000						50,000	
Wipes in Secondary schools	520,000						520,000	
Masks in schools	28,000						28,000	
Funding for Environmental Health Officers	54,000						54,000	
Admin. for self-isolation grants	19,700	19,700						
Local Self-Isolation Assistance Service (Apr - June 21)	41,895				41,895			
Additional costs associated with the self isolation support grant 20/21	22,673	22,673						
Additional costs associated with the self isolation support grant 21/22	13,604	13,604						
Local Self-Isolation Assistance Service (July - Sept 21)	47,775				47,775			
Extension of Local Self-Isolation Assistance Service (Oct - Dec 21)	47,775				47,775			
School ventilation - CO2 Monitors*	64,000		64,000					
Assumed IJB funding through the LMP	3,579,000					3,579,000		
<b>31,563,022</b>	<b>884,484</b>	<b>5,022,000</b>	<b>3,685,109</b>	<b>240,340</b>	<b>16,498,089</b>	<b>3,579,000</b>	<b>1,654,000</b>	

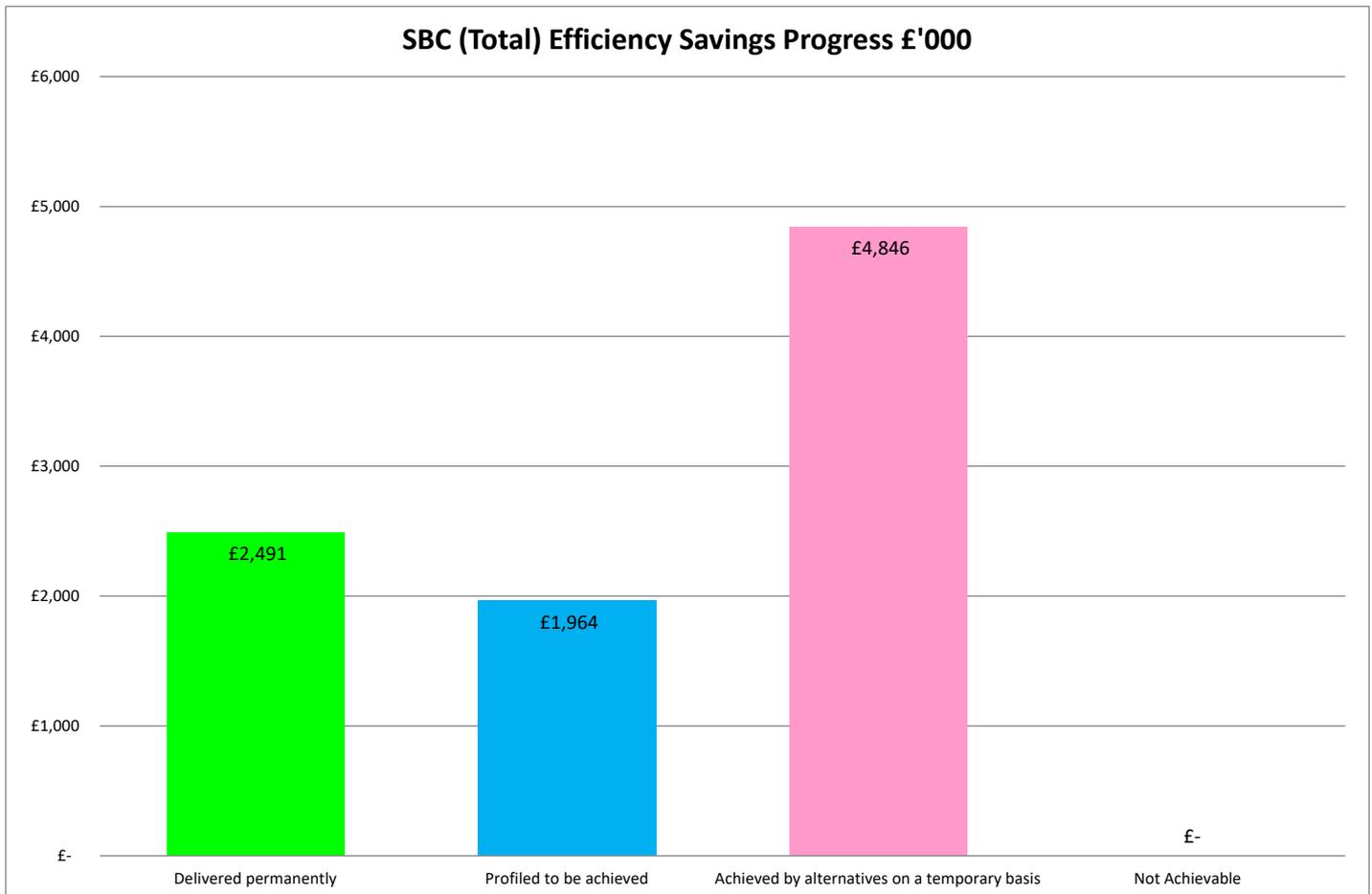
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**FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22**

**SBC Total**

Status	Saving £'000	Saving %
Delivered permanently	£ 2,491	27%
Profiled to be achieved	£ 1,964	21%
Achieved by alternatives on a temporary basis	£ 4,846	52%
Not Achievable	£ -	0%
	<b>9,301</b>	<b>100%</b>

**SBC (Total) Efficiency Savings Progress £'000**

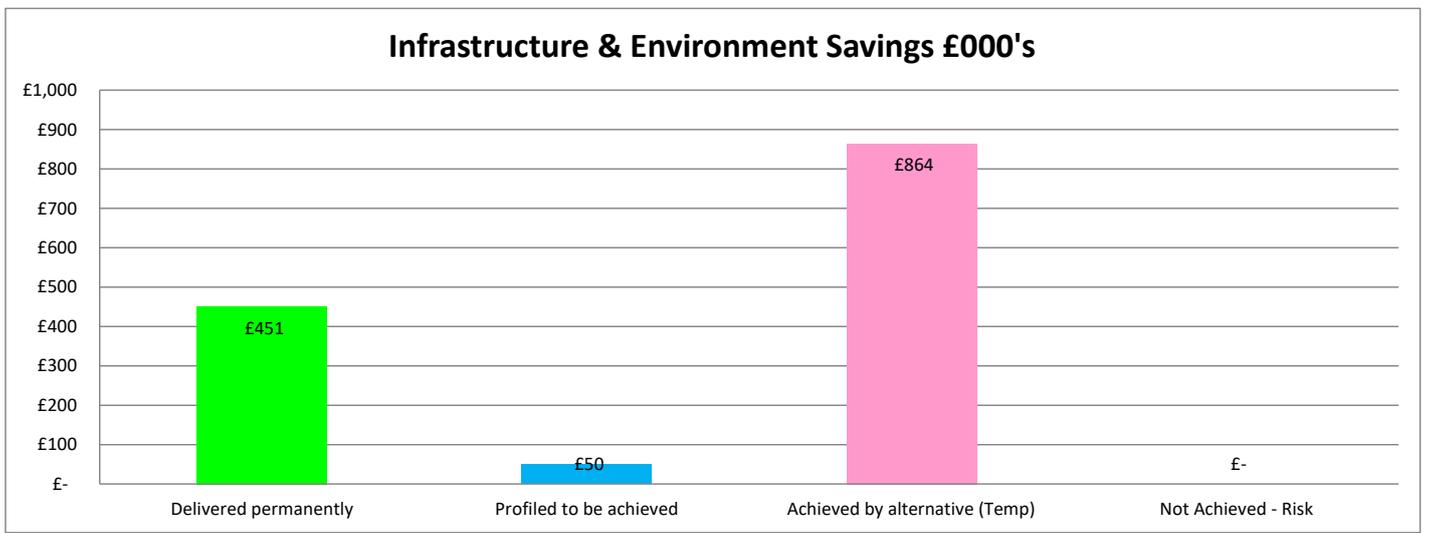


**FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22**

**Infrastructure & Environment**

**Savings :**

	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
More efficient property and asset portfolio and implementation of Corporate Landlord	198	162		36	
New delivery model for Public Toilet provision	50	4		46	
Reduce bus subsidies	55			55	
Facilities Management savings	141	20		121	
<b>2021/22 Savings:</b>					
Additional Fees & Charges Income across Assets & Infrastructure	24	24			
Commercial Rent Income - Inflationary increases	10	10			
Energy Efficiency Project	100	73		27	
Lifecycle Maintenance Kelso HS & Jedburgh Campus	22	22			
More efficient property and asset portfolio and implementation of Corporate Landlord	215			215	
Facilities Management savings	140			140	
Parks & Environment	150	44		106	
Roads & Infrastructure	200	47	50	103	
Waste Management	59	44		15	
Passenger Transport	(15)	(15)			
Planning - review of internal processes and technology opportunities to drive efficiencies	9	9			
Additional Fees & Charges Income across Corporate Improvement & Economy	7	7			
	<b>1,365</b>	<b>451</b>	<b>50</b>	<b>864</b>	<b>0</b>



## FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22

## Social Work &amp; Practice

## Savings :

	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
Review of Day Services (LD)	200	50		150	
Return adults with high supported living needs to the Scottish Borders, decommissioning high-tariff out of area placements (LD)	52			52	
Review of Care Packages (OP)	155	28	127		
Review of Care Packages (LD)	41		41		
Reablement of Homecare	150		150		
Shared Lives	154		100	54	
Recommissioning of HCSS Service	200		80	120	
<b>2021/22 Savings:</b>					
Review of Care Packages (OP)	50	32	18		
Review of Care Packages (LD)	159		159		
Review of Day Care Services (LD)	150	150			
Reablement of Homecare	572		572		
Trusted Assessment (OP and LD)	50		50		
Complex Care (LD)	100		0	100	
Direct Payment Recoupment	(100)	(100)			
Shared Lives	304			304	
Reduction in Local Area Co-ordination Staffing (LD)	113	113			
	<b>2,350</b>	<b>273</b>	<b>1,297</b>	<b>780</b>	<b>0</b>

Social Work &amp; Practice Savings £000's



## FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22

## Education &amp; Lifelong Learning

Savings :	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
Central Schools - Music Tuition Review	19			19	
Primary and Secondary Schools Implementation of Revised DSM Scheme in August 2020	408			408	
Central Schools	156			156	
School Transport	312		104	208	
Community Learning & Development	111	76		35	
<b>2021/22 Savings:</b>					
Increased fees & charges - School meals, Music tuition and general inflationary increase on Lets	35	35			
Inspire Learning	81	81			
Jedburgh Campus funding changes	245	245			
Primary and Secondary Schools Implementation of Revised DSM Scheme in August 2020	529			529	
Central Schools - review of Central Schools, Management Structures and Learning Estate Rationalisation	177	27		150	
Community Learning & Development - Targeted efficiencies to be delivered from the 'Communities Development Review' workstream	39			39	
	<b>2,112</b>	<b>464</b>	<b>104</b>	<b>1,544</b>	<b>0</b>

Education &amp; Lifelong Learning Savings £000's

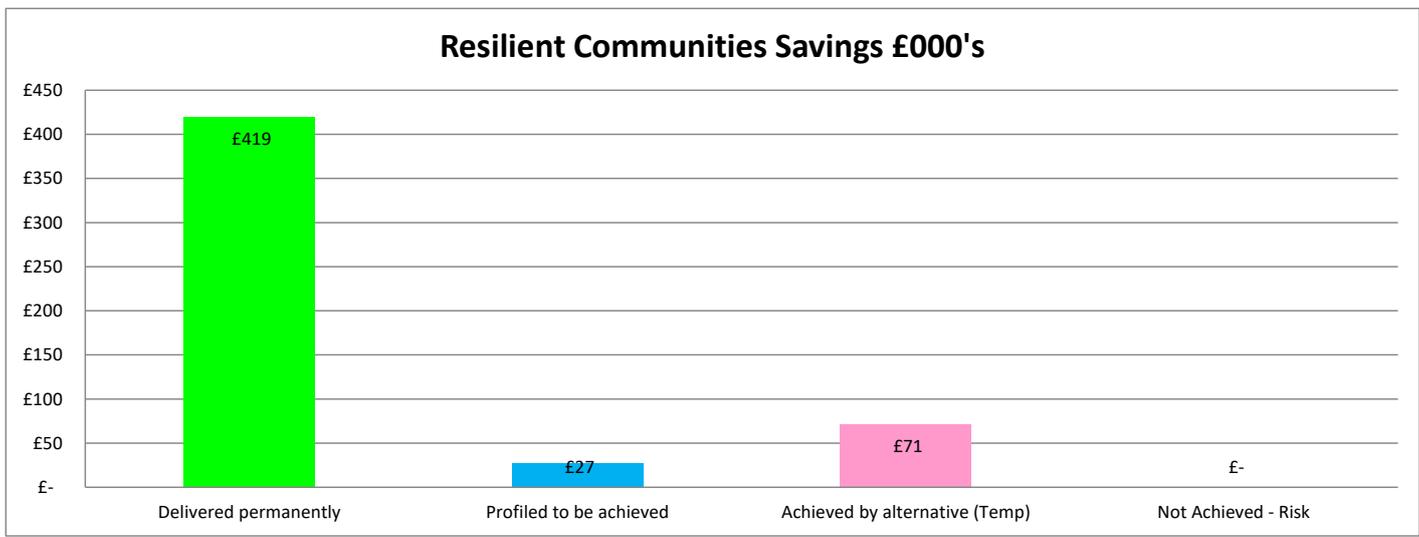


**FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22**

**Resilient Communities**

**Savings :**

	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
A review of community capacity/development resources across the Council	32				32
<b>2021/22 Savings:</b>					
A re-designed operating model through the rollout of digital services across Business Support and Customer Advice & Support Services	446	419	27		
A review of community capacity/development resources across the Council	39				39
	<b>517</b>	<b>419</b>	<b>27</b>	<b>71</b>	<b>0</b>

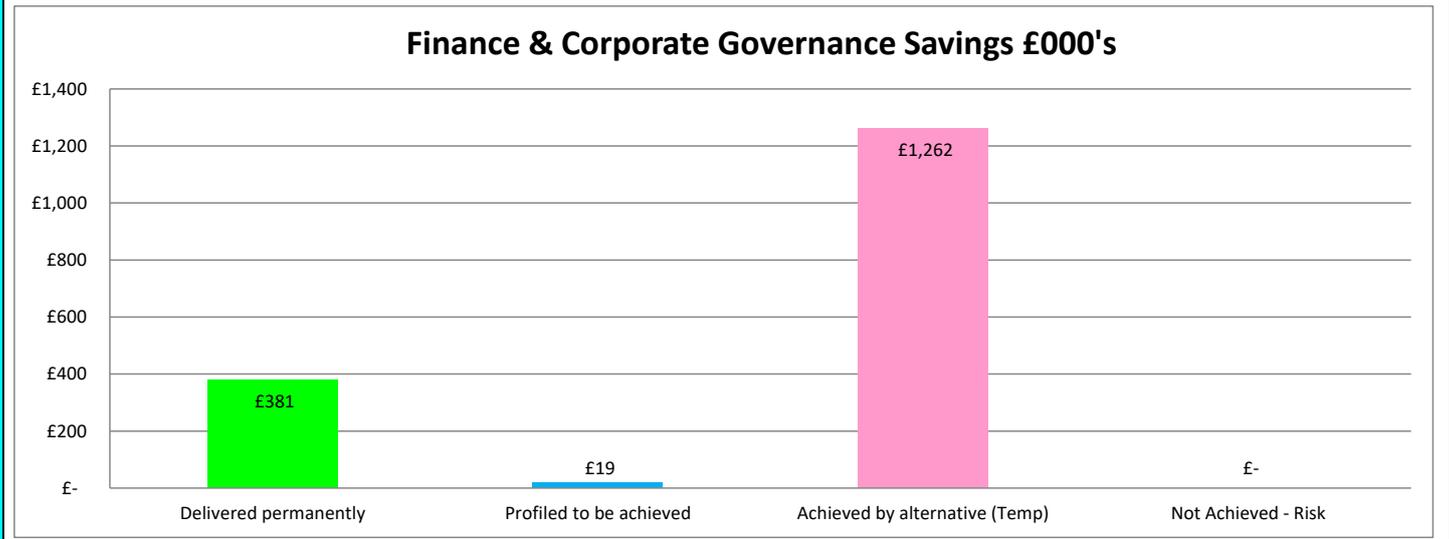


**FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22**

**Finance & Corporate Governance**

**Savings :**

	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
Corporate Commissioning (Contract Management)	681			681	
Procurement savings across all departments	132	132			
Finance savings	71	71			
Legal Services	6			6	
Audit & Risk - Shared Service Opportunity	22			22	
<b>2021/22 Savings:</b>					
Delivery of Contract Management Savings	400			400	
Additional Fees & Charges Income across Regulatory Services	34	34			
Finance Savings	125	23		102	
Loans Charges	25	25			
Legal Services	34			34	
Protective Services	19		19		
Assessors & Electoral Registration Services - Structural review as a result of legislative change	17			17	
Democratic Services - Members travel associated with online meetings	50	50			
Communications & Marketing - Structural review & income generation opportunities	46	46			
	<b>1,662</b>	<b>381</b>	<b>19</b>	<b>1,262</b>	<b>0</b>

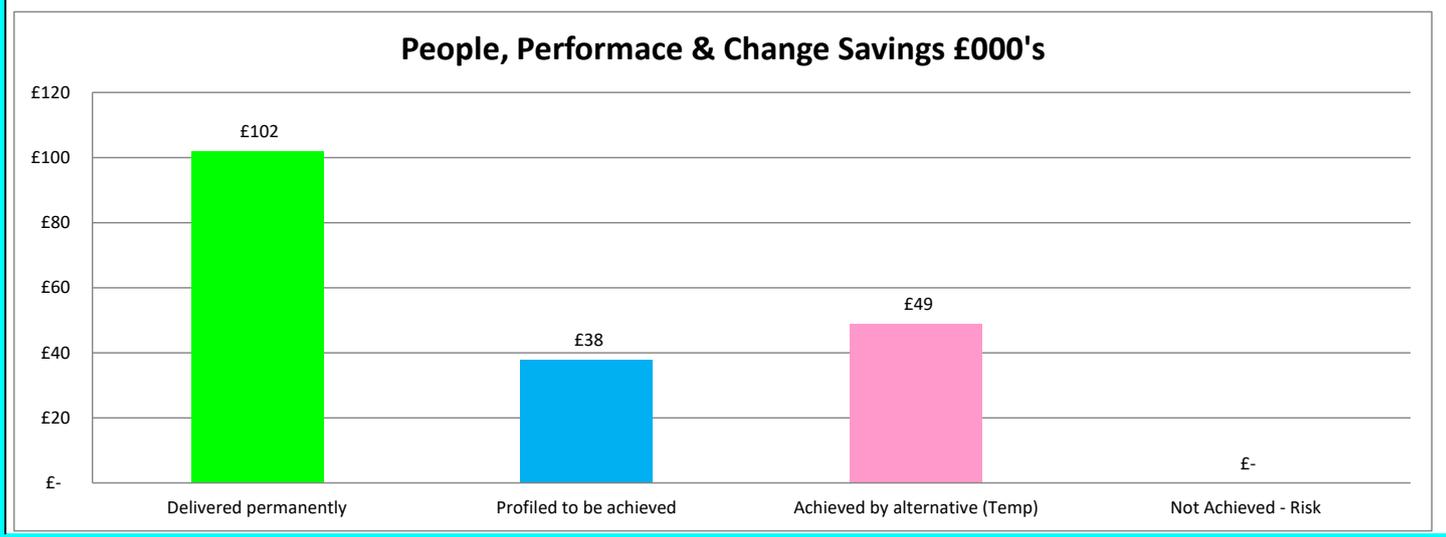


**FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22**

**People, Performance & Change**

**Savings :**

	£'000	Delivered Permanently	Profiled to be achieved	Achieved by alternatives on a temporary basis	Not Achievable
<b>Brought Forward Savings</b>					
Business Planning	15	15			
Business Change	15				15
Reduce subscriptions budget across the Council by a further 10%	38		38		
Progress the rollout of digital services across the Council	34				34
<b>2021/22 Savings:</b>					
HR - structural review as a result of process reviews	20	20			
Employment Support Service - Structural review	5	5			
Structure review within Corporate Improvement & Economy	62	62			
	<b>189</b>	<b>102</b>	<b>38</b>	<b>49</b>	<b>0</b>



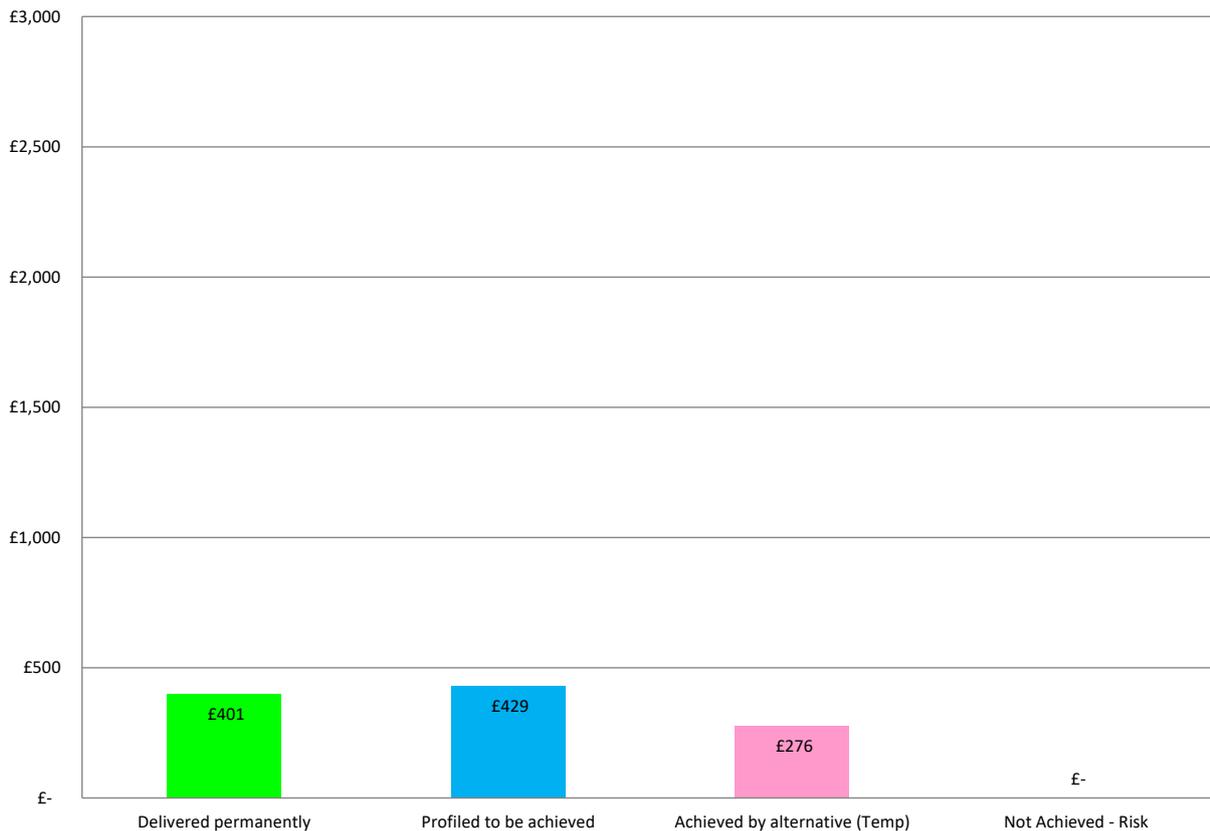
FINANCIAL PLAN EFFICIENCY PROGRESS 2021/22

Strategic Commissioning & Partnership

Savings :

	£'000	Delivered Permanently	Profiled to be achieved	Achieved Non-Recurring	Not Achievable
<b>Brought Forward Savings</b>					
Bordercare Alarms	75			75	
Enterprise Mobility	630		429	201	
<b>2021/22 Savings:</b>					
IT Savings	100	100			
Better use of Fleet Vehicles	45	45			
Residential Care Retendering	100	100	0		
Management Fee reduction to Live Borders based on 3% reduction	156	156			
	<b>1,106</b>	<b>401</b>	<b>429</b>	<b>276</b>	<b>0</b>

Strategic Commissioning & Partnership Savings £000's



Budget Virement Requirement

Corporate

No. of Virements 1

1 Virement is required from

Department	People, Performance & Change	2021/22	2022/23	2023/24
Service	Human Resources	£	£	£
Budget Head	Employee Costs	(24,000)	0	0
Service	Employment Support Service	£	£	£
Budget Head	Employee Costs	(16,000)	0	0
Service	Business Planning Performance & Policy Development	£	£	£
Budget Head	Income	(9,000)	0	0
Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Covid-19 Reserve Fund	£	£	£
Budget Head	Third Party Payments	(580,000)	0	0
Service	Corporate Policy	£	£	£
Budget Head	Employee Costs	(7,000)	0	0
Service	Audit & Risk	£	£	£
Budget Head	Employee Costs	(21,000)	0	0
Service	Communications & Marketing	£	£	£
Budget Head	Employee Costs	(9,000)	0	0
Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Income	(20,000)	0	0
Service	Non Domestic Rates Relief	£	£	£
Budget Head	Third Party Payments	(51,000)	0	0
Service	Council Tax Reduction Scheme	£	£	£
Budget Head	Transfer Payments	(153,000)	0	0
Department	Financed by	2021/22	2022/23	2023/24
Service	Council Tax	£	£	£
Budget Head	Income	(90,000)	0	0
	Total	(980,000)	0	0

**To**

Department	Strategic Commissioning & Partnerships	2021/22	2022/23	2023/24
Service	SB Cares	£	£	£
Budget Head	Income	1,000	0	0

Department	Social Work & Practice	2021/22	2022/23	2023/24
Service	Children & Families Social Work	£	£	£
Budget Head	Third Party Payments	470,000	0	0

Department	Infrastructure & Environment	2021/22	2022/23	2023/24
Service	Architects	£	£	£
Budget Head	Income	84,000	0	0

Service	Catering Services	£	£	£
Budget Head	Income	3,000	0	0

Service	SBcContracts	£	£	£
Budget Head	Income	215,000	0	0

Service	Engineers	£	£	£
Budget Head	Income	50,000	0	0

Service	Fleet Management Services	£	£	£
Budget Head	Income	153,000	0	0

Service	Passenger Transport	£	£	£
Budget Head	Employee Costs	4,000	0	0

Total		980,000	0	0
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**Because**

Reallocation of budgets across Council services to address service and COVID-19 pressures.
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Budget Virement Requirement

Infrastructure & Environment

No. of Virements 1

**1 Virement is required from**

Department	Infrastructure & Environment	2021/22	2022/23	2023/24
Service	Waste Services	£	£	£
Budget Head	Employee Costs	(10,000)	0	0
	Transport-Related Expenditure	(32,960)	0	0
	Supplies & Services	(8,040)	0	0
	<b>Total</b>	<b>(51,000)</b>	<b>0</b>	<b>0</b>

**To**

Department	Financed by	2021/22	2022/23	2023/24
Service	Capital Financed from Current Revenue	£	£	£
Budget Head	Capital Financing Costs	51,000	0	0

**Because**

Underspends from revenue budget to fund waste containers pressure in Capital.
---

**Budget Virement Requirement**

**Social Work & Practice**

**No. of Virements 1**

**1 Virement is required from**

Department	Social Work & Practice	2021/22	2022/23	2023/24
Service	Child Protection	£	£	£
Budget Head	Employee Costs	(1,500)	0	0
Service	Quality Improvement	£	£	£
Budget Head	Employee Costs	(4,500)	0	0
Service	Older People	£	£	£
Budget Head	Third Party Payments	(356,000)	0	0
	Income	(95,000)	0	0
	<b>Total</b>	<b>(457,000)</b>	<b>0</b>	<b>0</b>

**To**

Department	Social Work & Practice	2021/22	2022/23	2023/24
Service	Emergency Duty Team	£	£	£
Budget Head	Employee Costs	11,000	0	0
Service	Safer Communities	£	£	£
Budget Head	Third Party Payments	2,000	0	0
Service	Joint Learning Disability	£	£	£
Budget Head	Employee Costs	48,000	0	0
	Premises Related Expenses	30,000	0	0
	Supplies & Services	(5,000)	0	0
	Third Party Payments	132,000	0	0
Service	People with Physical Disabilities	£	£	£
Budget Head	Third Party Payments	29,500	0	0
Service	Generic Services	£	£	£
Budget Head	Third Party Payments	209,500	0	0
	<b>Total</b>	<b>457,000</b>	<b>0</b>	<b>0</b>

**Because**

In year transfer of budget to absorb various overspends and underspends.

**Budget Virement Requirement**

**Education & Lifelong Learning**

**No. of Virements 1**

**1 Virement is required from**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Employee Costs	(540,222)	0	0

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Primary Schools	£	£	£
Budget Head	Employee Costs	422,371	0	0

Service	Secondary Schools	£	£	£
Budget Head	Employee Costs	117,851	0	0

<b>Total</b>		<b>540,222</b>	<b>0</b>	<b>0</b>
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**Because**

To devolve budgets to Primary and Secondary Schools to reflect probationer teacher recruitment for the 2021/22 academic year .
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Budget Virement Requirement

Resilient Communities

No. of Virements 2

1 Virement is required from

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Discretionary Housing Payments	£	£	£
Budget Head	Transfer Payments	(22,156)	0	0

To

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Employee Costs	22,156	0	0

Because

Transfer budget for the administration of Discretionary Housing Payments (DHP) to Customer Advice & Support Services (£22k).

2 Virement is required from

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Income	(67,000)	0	0

To

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Community Planning & Engagement	£	£	£
Budget Head	Employee Costs	35,000	0	0

Service  
Budget Head

Housing Benefits	£	£	£
Transfer Payments	32,000	0	0

Total	67,000	0	0
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Because

Net underspend in homeless rents payable and receivable identified following review to be used to offset pressures within Resilient Communities relating to undeliverable Financial Plan savings and less Housing Benefit overpayments recovered (£67k).

Budget Virement Requirement      Finance & Corporate Governance      No. of Virements    2

**1 Virement is required from**

Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Information Technology	£	£	£
Budget Head	Supplies & Services	(37,000)	0	0

**To**

Department	Finance by	2021/22	2022/23	2023/24
Service	Capital Financed from Current Revenue	£	£	£
Budget Head	Capital Financing Costs	37,000	0	0

**Because**

Capitalise available revenue budget to fund increase in ICT expenditure including network upgrade, cable installation and wireless access points installation as part of LAN/WIFI refresh (£37k).

**2 Virement is required from**

Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Corporate Policy	£	£	£
Budget Head	Employee Costs	(81,000)	0	0

**To**

Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Corporate	£	£	£
Budget Head	Supplies & Services	81,000	0	0

**Because**

Staff turnover savings to be used to offset undeliverable corporate commissioning savings (£81k).

**Budget Virement Requirement**

**People, Performance & Change**

**No. of Virements 1**

**1 Virement is required from**

Department	People, Performance & Change	2021/22	2022/23	2023/24
Service	Business Change & Programme Management	£	£	£
Budget Head	Employee Costs	(44,000)	0	0

**To**

Department	People, Performance & Change	2021/22	2022/23	2023/24
Service	Corporate Transformation	£	£	£
Budget Head	Third Party Payments	44,000	0	0

**Because**

Additional staff turnover savings to be used to fund increased transformational expenditure in 2021/22 (£44k).
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**Budget Virement Requirement Strategic Commissioning & Partnership No. of Virements 2**

**1 Virement is required from**

Department	Strategic Commissioning & Partnership	2021/22	2022/23	2023/24
Service	SB Cares	£	£	£
Budget Head	Employee Costs	(482,971)	(785,952)	(785,952)
	Travel Related Expenses	(4,813)	(7,500)	(7,500)
	Supplies & Services	(7,883)	(23,300)	(23,300)
	<b>Total</b>	<b>(495,667)</b>	<b>(816,752)</b>	<b>(816,752)</b>

**To**

Department	Social Work & Practice	2021/22	2022/23	2023/24
Service	Older People	£	£	£
Budget Head	Third Party Payments	495,667	816,752	816,752

**Because**

To transfer budget from SB Cares to Older People's service reflecting the transfer of care provision at Dovecot Extra Care Housing development to Eildon Housing Association.

**2 Virement is required from**

Department	Strategic Commissioning & Partnership	2021/22	2022/23	2023/24
Service	Cultural Services	£	£	£
Budget Head	Premises Related Expenditure	(16,000)	0	0
Service	Sports Services	£	£	£
Budget Head	Premises Related Expenditure	(23,000)	0	0
	<b>Total</b>	<b>(39,000)</b>	<b>0</b>	<b>0</b>

**To**

Department	Strategic Commissioning & Partnership	2021/22	2022/23	2023/24
Service	SB Cares	£	£	£
Budget Head	Income	39,000	0	0

**Because**

Underspend in premises costs due to continued temporary closure of facilities due to Covid-19 and eligibility for Retail, Hospitality & Leisure rates relief, to be used to offset pressures relating to lower than anticipated client income (£39k).

**Budget Virement Requirement                      Financed by    No. of Virements    11**

**1 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(184,000)	0	0

**To**

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Employee Costs	9,000	0	0
	Transfer Payments	175,000	0	0

Total	184,000	0	0
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**Because**

Council's share of £10m Tenant Grant Fund (£9.5m grants, £0.5m administration) to be paid as part of General Revenue Grant. Funding towards the prevention of evictions as a result of Covid-19 related rent arrears.

**2 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(374,096)	0	0

**To**

Department	Resilient Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Employee Costs	4,660	0	0

Service	Discretionary Housing Payments	£	£	£
Budget Head	Transfer Payments	369,436	0	0

Total	374,096	0	0
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**Because**

To allocate additional General Revenue Grant funding for Discretionary Housing Payments, including administration (£5k).

**3 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Second Homes Council Tax	£	£	£
Budget Head	Income	(63,000)	0	0

**To**

Department	Infrastructure & Environment	2021/22	2022/23	2023/24
Service	Housing Strategy & Services	£	£	£
Budget Head	Third Party Payments	63,000	0	0

**Because**

Projected additional income through Second Homes Council Tax forecast (£63k).

**4 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Transfers to/from Reserves	£	£	£
Budget Head	Capital Financing Costs	(23,000)	0	0

**To**

Department	People, Performance & Change	2021/22	2022/23	2023/24
Service	Early Retiral/Voluntary Severance	£	£	£
Budget Head	Employee Costs	23,000	0	0

**Because**

Drawdown from Workforce Management allocated reserve to fund current pressure in ERVS budget (£23k).

**5 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(82,000)	0	0

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Materials	82,000	0	0

**Because**

Funding from Scottish Government to remove charges for participation in core curriculum charges (£82k).

**6 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(69,000)	0	0

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Materials	69,000	0	0

**Because**

Funding from Scottish Government to remove charges for music tuition (£69k).

**7 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(1,067,000)	(1,067,000)	(1,067,000)

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Other Direct Employee Costs	1,067,000	1,067,000	1,067,000

**Because**

Permanent additional funding from Scottish Government for permanent additional teaching and support staff (£1.067m).

**8 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(353,000)	0	0

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Commission Payments	353,000	0	0

**Because**

Funding from Scottish Government for Summer of Play activities (£353k).

**9 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(64,000)	0	0

**To**

Department	Education & Lifelong Learning	2021/22	2022/23	2023/24
Service	Central Schools	£	£	£
Budget Head	Third Party Payments	64,000	0	0

**Because**

Council's share of £3m revenue to fund associated additional staffing, training or consultant resource requirements relating to the installation of CO2 monitors (£64k).

**10 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Revenue Support Grant	£	£	£
Budget Head	Income	(173,722)	0	0

**To**

Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Covid-19 Reserve Fund	£	£	£
Budget Head	Third Party Payments	173,722	0	0

**Because**

Additional Scottish Government funding for extension of self-isolation assistance (April - December 2021) including administration (£174k).

**11 Virement is required from**

Department	Financed by	2021/22	2022/23	2023/24
Service	Transfers to/from Reserves	£	£	£
Budget Head	Capital Financing Costs	(150,000)	0	0

**To**

Department	Finance & Corporate Governance	2021/22	2022/23	2023/24
Service	Legal Services	£	£	£
Budget Head	Supplies & Services	150,000	0	0

**Because**

Anticipated costs relating to independent inquiry (£150k) to be funded from unallocated Reserves.

**Budget Virement Requirement**

**Customer & Communities**

**No. of Virements 1**

**1 Virement is required from**

Department	Customer & Communities	2021/22	2022/23	2023/24
Service	Customer Advice & Support Services	£	£	£
Budget Head	Income	(70,000)	0	0

Service	Localities/Community Fund	£	£	£
Budget Head	Supplies & Services	0	70,000	0

<b>Total</b>		<b>(70,000)</b>	<b>70,000</b>	<b>0</b>
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**To**

Department		2021/22	2022/23	2023/24
Service		£	£	£
Budget Head	General Fund Reserve - Earmarked Balances	70,000	(70,000)	0

**Because**

To earmark available budget into 2022/23 for Queen's Platinum Jubilee Fund (£70k).
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## **MONITORING OF THE CAPITAL FINANCIAL PLAN 2021/22**

**Report by Director, Finance & Corporate Governance**

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### **EXECUTIVE COMMITTEE**

**16 November 2021**

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

- 1.1 This report updates the Executive Committee on the progress of the 2021/22 Capital Financial Plan and seeks approval for virements and the reallocation of funds.**
- 1.2 The monitoring tables in Appendix 1 report on actual expenditure to 30 September 2021. Key issues and highlights identified in these tables are summarised within this report.
- 1.3 The September month end position reflects a projected outturn of £84.229m with a net budget variance of £16.445m. This includes net timing movements from 2021/22 of £19.407m. Further timing movements from 2021/22 are likely as the year progresses and there is further clarity on timing of major projects. Significant expenditure is anticipated in Hawick Flood Protection scheme £23.4m and £12m IT investment during 2021/22.
- 1.4 There are a number of macro-economic factors affecting the Capital Plan. Construction materials supply chain has been subject to unprecedented disruption in recent months. A surge in demand coupled with constraints on supply has led to price increases, shortages and longer lead times. The impact of this on tender prices for major projects and the wider Capital Plan continues to be assessed.
- 1.5 Current legally committed projects have a small risk of impact and block programmes of work can operate within a cash constrained budget and are considered lower risk. The most significant risk therefore lies in the small number of contracts being tendered this year which may result in a budget pressure. Any financial implications from these market conditions will be reported through the regular budget monitoring cycle with any longer term impacts reflected in the financial planning process.
- 1.6 Appendix 2 contains a list of the block allocations approved for this year and the various approved and proposed projects to be allocated from them within the 2021/22 Capital Plan.
- 1.7 Appendix 3 contains a list of estimated whole project capital costs for single projects which will not be completed in the current financial year.

## **2 RECOMMENDATIONS**

**2.1 It is recommended that the Executive Committee:**

- (a) Agrees the projected outturn in Appendix 1 as the revised capital budget and approves the virements required;**
- (b) Notes the budget virements previously approved by the Director Finance & Corporate Governance and Director Infrastructure & Environment detailed in Appendix 2 under delegated authority;**
- (c) Notes the list of block allocations detailed in Appendix 2; and**
- (d) Notes the list of whole project costs detailed in Appendix 3.**

### 3 BACKGROUND

- 3.1 The Council approved the Capital Plan for the period 2021/22 to 2030/31 on 19 March 2021, which has subsequently been updated to reflect budget adjustments, associated timing movements and other approvals.
- 3.2 The table below shows the movements in the resources of the Capital Plan through 2021/22:

	<b>£000s</b>
<b>Capital Plan 2021/22 as approved at Council 19 March 2021</b>	<b>87.441</b>
Timing movements and budget adjustments reported as part of out-turn 2020/21	12.329
June Executive Committee timing movements and budget adjustments	(0.008)
Executive Committee 5 <sup>th</sup> October – Place Based investment	0.912
<b>Revised Capital Plan 2021/22</b>	<b>100.674</b>

- 3.3 The presentation of the monitoring tables in Appendix 1 focuses on the three year Operational Plan of the approved 10 year Capital Financial Plan. The first section of the tables in Appendix 1 focuses in detail on the 2021/22 position, there are three columns each for 2022/23 and 2023/24 and then three columns for the 7 year strategic plan 2024/25 to 2030/31. For 2021/22 the variance between the latest approved budget and the projected outturn is analysed between timing movements between financial years and absolute changes in costs (budget movements). For 2022/23 and 2023/24 the table presents the impact of the total variance projected between the latest approved budget and projected outturn. Below the tables, a narrative is provided where appropriate.
- 3.4 This report is the second monitoring report in the planned reporting schedule for 2021/22.

### 4 MONITORING THE PLAN

- 4.1 Appendix 1 to this report contains the budget monitoring tables. The actual expenditure to 30 September 2021 is shown together with the projected outturn for the full financial year and where appropriate contains an explanation of budget movements. Appendix 2 also contains any budget and timing movements approved by the Director, Finance & Corporate Governance and Director Infrastructure & Environment under the Financial Regulations approved in November 2018.
- 4.2 The actual expenditure to 30 September 2021 has been adjusted for any credit balances for accrued expenses from 2020/21 which have not yet been invoiced.
- 4.3 Appendix 2 contains a summary for each block allocation within the 2021/22 Capital Plan of approved and proposed proposals for various projects and programmes.
- 4.4 Appendix 3 contains a list of estimated whole project capital costs for single projects where the project will not be completed in the current financial year.

### 5 HIGHLIGHTS

- 5.1 As reflected in Appendix 1, there are some timing movements with regards to the funding and expenditure associated with projects and they remain in overall healthy positions with regard to service delivery.

## 5.2 Key highlights from variances in Appendix 1 are:

### a) Hawick Flood Protection

Good overall progress has been made within the first full year of construction. Some work sections have, however, had to be re-arranged to allow for local site conditions and/or summer working within the river corridor. This has resulted in a re-profile of the project including a timing movement into 2022/23 of £5.365m.

### b) Eddleston Water path

Gross up funding of £2.173m from Sustrans and South of Scotland Enterprise to fund creation of Eddleston Water path.

### c) Galashiels and Peebles Secondary Schools

Timing movement of £1.123m for Galashiels Academy into 2021/22 to allow for the extended community engagement undertaken during 2021 in preparation for the full planning application. Timing movement of £771k to 2022/23 for Peebles High School to recognise that early enabling works are now forecast for 2022/23 after completion of the planning process.

### d) Borders Innovation Park

Timing movement of £1.562m into 2022/23 to align with the delivery approach reported to Council on 23 September 2021.

### e) Residential Care Home upgrades

External works have been delivered and internal works identified as priorities are being progressed. Delays have been experienced due to Covid-19 restrictions and are now being delayed further by availability of contractors and materials.

### f) New Residential Care Homes

Timing movement of £7.794m to recognise programme challenges associated with business case development. It is understood that a report on the delivery of the new care facilities being planned at Tweedbank and Hawick is planned for Council in November 2021.

## 5.3 Emergency & Unplanned Schemes

The table below provides an update on the position for Emergency & Unplanned Schemes:

	<b>£000s</b>
Budget as Approved at Council 19 March 2021	0.175
Underspend from Private Sector Housing grant adaptations due to COVID-19 delays	0.100
<b>Current balance</b>	<b>0.275</b>

## 6 IMPLICATIONS

### 6.1 Financial

There are no financial implications beyond those contained in the report and Appendices 1-3.

### 6.2 Risk and Mitigations

At the end of September 2021, actual expenditure totalled £24.889m which represents 29.5% of the projected outturn, excluding the impact of year end accruals. There is a risk of timing movements this financial year some of which has already been highlighted in narrative in Appendix 1. It is vital that capital budgets continue to be monitored carefully through the Project Managers and that their outturn projections are as accurate as possible. This is important as optimism bias by managers with respect to spend profiles may

result in the council borrowing in advance of need and thereby incurring the cost of carrying surplus funds.

### 6.3 **Integrated Impact Assessment**

No Equalities Impact Assessment has been carried out in relation to the contents of this report; it is, however, expected that for individual projects this work will have been undertaken by the relevant project manager/ budget holder prior to budget being approved.

### 6.4 **Sustainable Development Goals**

There are no direct economic, social or environmental issues with this report although there may be within individual projects and these will be identified and addressed as appropriate as part of their specific governance arrangements.

### 6.5 **Climate Change**

There are no direct carbon emissions impacts as a result of this monitoring report; however, there may be within individual projects and these will be identified and addressed as appropriate as part of their specific governance arrangements.

### 6.6 **Rural Proofing**

This report does not relate to new or amended policy or strategy and as a result rural proofing is not an applicable consideration.

### 6.7 **Data Protection Impact Statement**

There are no personal data implications arising from the proposals contained in this report.

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

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

## **7 CONSULTATION**

7.1 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 have been incorporated into this final report.

7.2 The Director Infrastructure & Environment has been consulted in the preparation of this report and the content of the detailed appendices.

### **Approved by**

**David Robertson**

**Signature .....**

**Director Finance & Corporate Governance**

### **Author(s)**

Name	Designation and Contact Number
Suzy Douglas	Financial Services Manager, 01835 824000 Ext 5881

**Background Papers:** n/a

**Previous Minute Reference:** n/a

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

Contact us at Suzy Douglas, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA; Tel: 01835 824000 X5881.

Scottish Borders Council  
Capital Financial Plan

**SUMMARY**

	2021/22				2022/23			2023/24			2024/25 - 2030/31		
	Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
	£000		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Plant & Vehicle Fund	528	2,000	2,000	0	2,000	0	2,000	2,000	0	2,000	14,000	0	14,000
Non Plant & Vehicle Fund	115	256	168	88	0	0	0	0	0	0	0	0	0
Flood & Coastal Protection	10,368	24,291	29,656	(5,365)	19,079	7,459	26,538	13,212	(379)	12,833	5,322	(1,361)	3,961
Land and Property Infrastructure	1,134	6,738	8,791	(2,053)	5,033	2,413	7,446	2,818	0	2,818	17,051	0	17,051
Road & Transport Infrastructure	4,024	13,173	10,903	2,270	8,226	0	8,226	8,226	0	8,226	55,027	0	55,027
Waste Management	168	635	584	51	35	0	35	36	0	36	344	0	344
<b>Total Assets &amp; Infrastructure</b>	<b>16,337</b>	<b>47,093</b>	<b>52,102</b>	<b>(5,009)</b>	<b>34,373</b>	<b>9,872</b>	<b>44,245</b>	<b>26,292</b>	<b>(379)</b>	<b>25,913</b>	<b>91,744</b>	<b>(1,361)</b>	<b>90,383</b>
Corporate	3,420	12,757	12,720	37	9,668	0	9,668	3,949	0	3,949	1,291	0	1,291
<b>Total Other Corporate Services</b>	<b>3,420</b>	<b>12,757</b>	<b>12,720</b>	<b>37</b>	<b>9,668</b>	<b>0</b>	<b>9,668</b>	<b>3,949</b>	<b>0</b>	<b>3,949</b>	<b>1,291</b>	<b>0</b>	<b>1,291</b>
School Estate	1,920	11,191	10,598	593	38,505	(452)	38,053	55,922	0	55,922	95,408	0	95,408
<b>Total Young People Engagement &amp; Inclusion</b>	<b>1,920</b>	<b>11,191</b>	<b>10,598</b>	<b>593</b>	<b>38,505</b>	<b>(452)</b>	<b>38,053</b>	<b>55,922</b>	<b>0</b>	<b>55,922</b>	<b>95,408</b>	<b>0</b>	<b>95,408</b>
Ports Infrastructure	84	1,776	1,845	(69)	573	69	642	584	0	584	6,417	0	6,417
Culture & Heritage	34	684	948	(264)	0	279	279	0	0	0	0	0	0
<b>Total Culture &amp; Sport</b>	<b>118</b>	<b>2,460</b>	<b>2,793</b>	<b>(333)</b>	<b>573</b>	<b>348</b>	<b>921</b>	<b>584</b>	<b>0</b>	<b>584</b>	<b>6,417</b>	<b>0</b>	<b>6,417</b>
Economic Regeneration	2,977	9,590	12,090	(2,500)	12,917	2,500	15,417	31,988	0	31,988	62,606	(0)	62,606
Housing Strategy & Services	65	400	565	(165)	450	65	515	500	0	500	3,500	0	3,500
<b>Total Economic Development &amp; Corporate Services</b>	<b>3,042</b>	<b>9,990</b>	<b>12,655</b>	<b>(2,665)</b>	<b>13,367</b>	<b>2,565</b>	<b>15,932</b>	<b>32,488</b>	<b>0</b>	<b>32,488</b>	<b>66,106</b>	<b>(0)</b>	<b>66,106</b>
Emergency & Unplanned Schemes	0	275	175	100	175	0	175	175	0	175	1,225	0	1,225
<b>Total Emergency &amp; Unplanned Schemes</b>	<b>0</b>	<b>275</b>	<b>175</b>	<b>100</b>	<b>175</b>	<b>0</b>	<b>175</b>	<b>175</b>	<b>0</b>	<b>175</b>	<b>1,225</b>	<b>0</b>	<b>1,225</b>
Social Care Infrastructure	52	464	9,632	(9,168)	3,333	9,168	12,501	3,041	0	3,041	8,771	0	8,771
<b>Total Health &amp; Social Care</b>	<b>52</b>	<b>464</b>	<b>9,632</b>	<b>(9,168)</b>	<b>3,333</b>	<b>9,168</b>	<b>12,501</b>	<b>3,041</b>	<b>0</b>	<b>3,041</b>	<b>8,771</b>	<b>0</b>	<b>8,771</b>
Planned Programming Adjustments	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total Planned Programming Adjustments</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Scottish Borders Council</b>	<b>24,889</b>	<b>84,229</b>	<b>100,674</b>	<b>(16,445)</b>	<b>99,994</b>	<b>21,501</b>	<b>121,495</b>	<b>122,451</b>	<b>(379)</b>	<b>122,072</b>	<b>270,962</b>	<b>(1,361)</b>	<b>269,601</b>

Scottish Borders Council  
Capital Financial Plan

		2021/22				2022/23			2023/24			2024/25 - 2030/31		
	R A G	Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Plant &amp; Vehicle Fund</b>														
Plant & Vehicle Replacement - P&V Fund	G	528	2,000	2,000	0	2,000	0	2,000	2,000	0	2,000	14,000	0	14,000
		<b>528</b>	<b>2,000</b>	<b>2,000</b>	<b>0</b>	<b>2,000</b>	<b>0</b>	<b>2,000</b>	<b>2,000</b>	<b>0</b>	<b>2,000</b>	<b>14,000</b>	<b>0</b>	<b>14,000</b>
<b>Non-Plant &amp; Vehicle Fund</b>														
Other Fleet - Electric Vehicles	G	93	150	150	0	0	0	0	0	0	0	0	0	0
Other Fleet - Electric Vehicles - Infrastructure	G	22	106	18	88	0	0	0	0	0	0	0	0	0
		<b>115</b>	<b>256</b>	<b>168</b>	<b>88</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Flood &amp; Coastal Protection</b>														
Flood Prevention Works & Scheme Preparation	G	29	462	462	0	372	0	372	372	0	372	2,604	0	2,604
General Flood Protection Block	G	39	467	467	0	0	0	0	0	0	0	0	0	0
Hawick Flood Protection	A	10,300	23,362	28,727	(5,365)	18,707	7,459	26,166	12,840	(379)	12,461	2,718	(1,361)	1,357
		<b>10,368</b>	<b>24,291</b>	<b>29,656</b>	<b>(5,365)</b>	<b>19,079</b>	<b>7,459</b>	<b>26,538</b>	<b>13,212</b>	<b>(379)</b>	<b>12,833</b>	<b>5,322</b>	<b>(1,361)</b>	<b>3,961</b>
<b>Land and Property Infrastructure</b>														
Asset Rationalisation	G	557	2,201	2,233	(32)	967	32	999	0	0	0	0	0	0
Building Upgrades	G	196	594	594	0	437	0	437	437	0	437	3,994	0	3,994
Energy Efficiency Works	G	127	1,120	1,953	(833)	1,045	833	1,878	1,045	0	1,045	7,315	0	7,315
Health and Safety Works	G	55	563	573	(10)	400	10	410	400	0	400	3,300	0	3,300
Play Areas & Outdoor Community Spaces	G	171	1,009	1,756	(747)	828	937	1,765	508	0	508	1,354	0	1,354
Jedburgh High Street Building	G	0	500	500	0	1,062	0	1,062	428	0	428	0	0	0
Coldstream Cemetery Development	G	29	581	581	0	0	0	0	0	0	0	0	0	0
Cemetery Land Acquisition & Development	A	0	0	601	(601)	294	601	895	0	0	0	1,088	0	1,088
Innerleithen Gypsy/Traveller Site	G	0	50	0	50	0	0	0	0	0	0	0	0	0
Nature Restoration Fund	G	0	120	0	120	0	0	0	0	0	0	0	0	0
		<b>1,134</b>	<b>6,738</b>	<b>8,791</b>	<b>(2,053)</b>	<b>5,033</b>	<b>2,413</b>	<b>7,446</b>	<b>2,818</b>	<b>0</b>	<b>2,818</b>	<b>17,051</b>	<b>0</b>	<b>17,051</b>

Scottish Borders Council  
Capital Financial Plan

		2021/22				2022/23			2023/24			2024/25 - 2030/31			
R A G		Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	
<b>Road &amp; Transport Infrastructure</b>															
	A72 Dirtpot Corner - Road Safety Works	G	0	15	15	0	0	0	0	0	0	0	0	0	
	Cycling Walking & Safer Streets	G	214	406	429	(23)	406	0	406	406	0	406	2,047	0	2,047
	Engineering Minor Works	G	0	14	14	0	0	0	0	0	0	0	0	0	
	Lighting Asset Management Plan	G	155	257	257	0	160	0	160	160	0	160	1,120	0	1,120
	Peebles Bridge	G	0	0	0	0	0	0	0	0	0	0	420	0	420
	Reston Station Contribution	G	0	600	600	0	0	0	0	0	0	0	1,740	0	1,740
	Roads & Bridges -inc. RAMP, Winter Damage & Slopes	G	3,637	9,098	9,098	0	7,660	0	7,660	7,660	0	7,660	49,700	0	49,700
	Street Lighting Energy Efficiency Project	G	9	47	47	0	0	0	0	0	0	0	0	0	0
	Galashiels Transport Interchange	G	0	17	17	0	0	0	0	0	0	0	0	0	0
	Union Chain Bridge	G	9	426	426	0	0	0	0	0	0	0	0	0	0
	Eddleston Water Path	A	0	2,173	0	2,173	0	0	0	0	0	0	0	0	0
	Tweedbank to Reston	G	0	120	0	120	0	0	0	0	0	0	0	0	0
			<b>4,024</b>	<b>13,173</b>	<b>10,903</b>	<b>2,270</b>	<b>8,226</b>	<b>0</b>	<b>8,226</b>	<b>8,226</b>	<b>0</b>	<b>8,226</b>	<b>55,027</b>	<b>0</b>	<b>55,027</b>
<b>Waste Management</b>															
	GRC - Improved Skip Infrastructure	G	0	12	12	0	0	0	0	0	0	0	0	0	0
	Easter Langlee Cell Provision	G	0	59	59	0	0	0	0	0	0	0	0	0	0
	Easter Langlee Leachate Management Facility	G	119	286	286	0	0	0	0	0	0	0	0	0	0
	Easter Langlee Community Recycling Centre	G	0	0	0	0	0	0	0	0	0	0	0	0	0
	New Easter Langlee Waste Transfer Station	G	7	100	100	0	0	0	0	0	0	0	0	0	0
	Closed Landfill Site- Health & Safety Works	G	0	30	30	0	0	0	0	0	0	0	0	0	0
	Easter Langlee Landfill Pump	G	0	0	0	0	0	0	0	0	0	0	0	0	0
	Wheeled Bins (100 in total) - Street Cleansing	G	0	52	52	0	0	0	0	0	0	0	0	0	0
	Waste Containers	G	42	96	45	51	35	0	35	36	0	36	344	0	344
			<b>168</b>	<b>635</b>	<b>584</b>	<b>51</b>	<b>35</b>	<b>0</b>	<b>35</b>	<b>36</b>	<b>0</b>	<b>36</b>	<b>344</b>	<b>0</b>	<b>344</b>
<b>Total Infrastructure &amp; Environment</b>			<b>16,337</b>	<b>47,093</b>	<b>52,102</b>	<b>(5,009)</b>	<b>34,373</b>	<b>9,872</b>	<b>44,245</b>	<b>26,292</b>	<b>(379)</b>	<b>25,913</b>	<b>91,744</b>	<b>(1,361)</b>	<b>90,383</b>

<p><b>Non-Plant &amp; Vehicle Fund</b></p>	
<p>Other Fleet - Electric Vehicles - Infrastructure</p>	<p>Gross up of external grant from Energy Saving Trust for switched on fleets charging infrastructure</p>
<p><b>Flood &amp; Coastal Protection</b></p> <p>Flood Prevention Works &amp; Scheme Preparation</p> <p>Hawick Flood Protection</p>	<p>See Appendix 2 for block re-allocation due to additional costs within Newcastleton Flood Preparation Project relating to unexpected ground conditions. Potential timing movement at a future Executive for Hawick NFM.</p> <p>Good overall progress has been made within the first full year of construction. Some work sections have had to be re-profiled to allow for local site conditions and/or summer working within the river corridor. This has resulted in a timing movement to 2022/23</p>
<p><b>Land and Property Infrastructure</b></p> <p>Asset Rationalisation</p> <p>Building Upgrades</p> <p>Energy Efficiency Works</p> <p>Health and Safety Works</p> <p>Play Areas &amp; Outdoor Community Spaces</p> <p>Cemetery Land Acquisition &amp; Development</p> <p>Innerleithen Gypsy/Traveller Site</p> <p>Nature Restoration Fund</p>	<p>See Appendix 2 for block re-allocation. Timing movement into 2022/23 for Old Canteen Surfacing Works (£32k).</p> <p>See Appendix 2 for block re-allocation.</p> <p>Timing movement into 2020/23 for <b>Non Domestic Energy Efficiency (NDEE) PH2 (£500k), Fuel Switching project (£60k), Solar Photo Voltaic panels (SPV) PH2 (£250k)</b> due to delays in recruiting to Energy Officer post which results in a further timing movement of £23k into the unallocated budget in 2022/23</p> <p>See Appendix 2 for block re-allocation. Timing movement into 2022/23 (£10k)</p> <p>Gross up of External funding for Reston Play Park (£77k) and Scottish Government Renewal of Play Parks funding (£120k) both projects are expected to complete within 2021/22 although the timescales for the Play Park Renewal project are challenging. Timing movements into 2022/23 for Peebles Skate Park (£312k), Jedburgh Play Park and Skate Park (£205k), Public Park Duns (£198k), Play Facilities &amp; Surfacing Review (£162k) and Hawick Walled Garden (£60k) although works for this project are due to begin on site in October</p> <p>Full timing movement taken, still to identify suitable land in Peebles &amp; discussions ongoing over land in Earlston but no purchase anticipated in 2021/22.</p> <p>Gross up external capital funding received from Scottish Government to improve living standards on sites, increase the quality and provision of gypsy/traveller accommodation (£50k).</p> <p>Gross up funding from Scottish Government to support new or enhance existing approaches to restoring biodiversity.</p>

<b>Road &amp; Transport Infrastructure</b>	<p>Cycling Walking &amp; Safer Streets Lighting Asset Management Plan Eddleston Water Path Tweedbank to Reston</p> <p>Gross down external funding from Smarter Choices, Big Bike Bash £20k &amp; Easy Riders £2.5k, transferred to be undertaken through revenue as a condition of funding See Appendix 2 for block re-allocation. Gross up funding from Sustrans (£1,517K) and South of Scotland Enterprise (£656K) to fund creation of Eddleston Water Path. Gross up capital funding from South of Scotland Enterprise to fund feasibility study.</p>
<b>Waste Management</b>	<p>Waste Containers</p> <p>Capitalise revenue budget to partially fund the purchase of bins for new properties (£51k)</p>

Scottish Borders Council  
Capital Financial Plan

		2021/22				2022/23			2023/24			2024/25 - 2030/31		
	R A G	Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Corporate</b>														
ICT - Outwith CGI Scope	G	319	319	282	37	24	0	24	24	0	24	512	0	512
ICT Transformation (previous year)	G	237	275	275	0	0	0	0	0	0	0	313	0	313
Inspire Learning	G	33	132	132	0	111	0	111	683	0	683	466	0	466
IT Projects - pre CGI Contract	G	1	1	1	0	0	0	0	0	0	0	0	0	0
IT Transformation (new investment from CGI contract extension)	G	2,831	12,030	12,030	0	9,533	0	9,533	3,242	0	3,242	0	0	0
		<b>3,420</b>	<b>12,757</b>	<b>12,720</b>	<b>37</b>	<b>9,668</b>	<b>0</b>	<b>9,668</b>	<b>3,949</b>	<b>0</b>	<b>3,949</b>	<b>1,291</b>	<b>0</b>	<b>1,291</b>
<b>Total Other Corporate Services</b>		<b>3,420</b>	<b>12,757</b>	<b>12,720</b>	<b>37</b>	<b>9,668</b>	<b>0</b>	<b>9,668</b>	<b>3,949</b>	<b>0</b>	<b>3,949</b>	<b>1,291</b>	<b>0</b>	<b>1,291</b>

<b>Corporate</b>		
ICT - Outwith CGI Scope		Capitalise revenue budget to fund increased ICT spend including network upgrades, cable installation and wireless access points installation as part of LAN/WIFI refresh.

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	R A G	2021/22				2022/23			2023/24			2024/25 - 2030/31		
		Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>School Estate</b>														
Early Years Expansion	G	143	3,401	3,401	0	0	0	0	0	0	0	0	0	0
Jedburgh Learning Campus	G	52	242	242	0	0	0	0	0	0	0	0	0	0
Eyemouth Primary School	G	5	100	0	100	3,460	(100)	3,360	7,402	0	7,402	4,000	0	4,000
Earlston Primary School	G	223	700	700	0	8,597	0	8,597	4,163	0	4,163	225	0	225
Gala Academy	G	375	2,150	1,027	1,123	14,128	(1,123)	13,005	20,000	0	20,000	20,030	0	20,030
New Hawick High School	G	45	302	302	0	400	0	400	937	0	937	46,663	0	46,663
School Estate Block	G	468	2,599	2,458	141	1,800	0	1,800	1,800	0	1,800	12,530	0	12,530
Peebles High School	G	608	1,697	2,468	(771)	10,120	771	10,891	21,620	0	21,620	11,960	0	11,960
		<b>1,920</b>	<b>11,191</b>	<b>10,598</b>	<b>593</b>	<b>38,505</b>	<b>(452)</b>	<b>38,053</b>	<b>55,922</b>	<b>0</b>	<b>55,922</b>	<b>95,408</b>	<b>0</b>	<b>95,408</b>
<b>Total Education &amp; Lifelong Learning</b>		<b>1,920</b>	<b>11,191</b>	<b>10,598</b>	<b>593</b>	<b>38,505</b>	<b>(452)</b>	<b>38,053</b>	<b>55,922</b>	<b>0</b>	<b>55,922</b>	<b>95,408</b>	<b>0</b>	<b>95,408</b>

<b>School Estate</b>	
Eyemouth Primary School	Timing movement into 2021/22 to align with revised project timetable covering the design fee stage within the current financial year (£100k)
Gala Academy	Timing movement into 2021/22 to align with revised project timetable following extended community engagement undertaken during 2021 in preparation for the full planning application
Peebles High School	Timing movement into 2022/23 to align with revised project timetable with early enabling works now forecast for 2022/23 after completion of the planning process
School Estate Block	Purchase and installation of CO <sup>2</sup> monitors within schools to assist with ventilation issues (£141k)

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	R A G	2021/22				2022/23			2023/24			2024/25 - 2030/31		
		Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Sports Infrastructure</b>														
Culture & Sports Trusts - Plant & Services	G	20	294	363	(69)	215	69	284	215	0	215	1,880	0	1,880
Melrose 3G Pitch	G	4	23	23	0	0	0	0	0	0	0	0	0	0
Netherdale Spectator Stand	G	60	1,454	1,454	0	0	0	0	0	0	0	0	0	0
Floodlighting	G	0	5	5	0	0	0	0	0	0	0	0	0	0
Synthetic Pitch Replacement Fund	G	0	0	0	0	358	0	358	369	0	369	4,537	0	4,537
		<b>84</b>	<b>1,776</b>	<b>1,845</b>	<b>(69)</b>	<b>573</b>	<b>69</b>	<b>642</b>	<b>584</b>	<b>0</b>	<b>584</b>	<b>6,417</b>	<b>0</b>	<b>6,417</b>
<b>Culture &amp; Heritage</b>														
Jim Clark Museum	G	3	33	18	15	0	0	0	0	0	0	0	0	0
Public Hall Upgrades	G	21	26	305	(279)	0	279	279	0	0	0	0	0	0
St. Walter Scott Court House - Phase 2	G	10	625	625	0	0	0	0	0	0	0	0	0	0
Tramontium, Melrose	G	0	0	0	0	0	0	0	0	0	0	0	0	0
		<b>34</b>	<b>684</b>	<b>948</b>	<b>(264)</b>	<b>0</b>	<b>279</b>	<b>279</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Culture &amp; Sport</b>		<b>118</b>	<b>2,460</b>	<b>2,793</b>	<b>(333)</b>	<b>573</b>	<b>348</b>	<b>921</b>	<b>584</b>	<b>0</b>	<b>584</b>	<b>6,417</b>	<b>0</b>	<b>6,417</b>

<b>Sports Infrastructure</b>	
Culture & Sports Trusts - Plant & Services	Small timing movement into 2022/23 to align with revised project timescales.
<b>Culture &amp; Heritage</b>	
Jim Clark Museum	Gross up contribution towards helmet case from Jim Clark Museum Trust (£15k).
Public Hall Upgrades	Timing movements into 2022/23 to align with revised project timescales as a result of Covid delays and Live Borders Project Manager furlough.



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		2021/22				2022/23			2023/24			2024/25 - 2030/31		
		Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
	R													
	A													
	G													
<b>Emergency &amp; Unplanned Schemes</b>														
Emergency & Unplanned Schemes	G	0	275	175	100	175	0	175	175	0	175	1,225	0	1,225
Balance Sheet Review	G	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	275	175	100	175	0	175	175	0	175	1,225	0	1,225
<b>Total Emergency &amp; Unplanned Schemes</b>		0	275	175	100	175	0	175	175	0	175	1,225	0	1,225
<b>Emergency &amp; Unplanned Schemes</b>														
Emergency & Unplanned Schemes		Transfer available budget from Private Sector Housing Grant - Adaptations due to delays (£100k).												

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	R A G	2021/22				2022/23			2023/24			2024/25 - 2030/31		
		Actual to 30/09/21	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Social Care Infrastructure</b>														
Adult Services Facilities Upgrades	G	(0)	0	0	0	0	0	0	0	0	0	0	0	0
Health & Social Care Equipment Purchase	G	0	0	0	0	0	0	0	0	0	0	0	0	0
Care Inspectorate Requirements & Upgrades	G	13	40	40	0	40	0	40	41	0	41	299	0	299
Residential Dementia Care	G	0	0	0	0	0	0	0	0	0	0	0	0	0
Technology Enabled Care	G	0	124	124	0	0	0	0	0	0	0	0	0	0
Residential Care Accommodation - Upgrades	A	21	150	1,524	(1,374)	0	1,374	1,374	0	0	0	0	0	0
2 Residential Care Homes	A	18	150	7,944	(7,794)	3,293	7,794	11,087	3,000	0	3,000	8,472	0	8,472
Deanfield Care Home, Hawick	G	0	0	0	0	0	0	0	0	0	0	0	0	0
		<b>52</b>	<b>464</b>	<b>9,632</b>	<b>(9,168)</b>	<b>3,333</b>	<b>9,168</b>	<b>12,501</b>	<b>3,041</b>	<b>0</b>	<b>3,041</b>	<b>8,771</b>	<b>0</b>	<b>8,771</b>
<b>Total Social Work &amp; Practice</b>		<b>52</b>	<b>464</b>	<b>9,632</b>	<b>(9,168)</b>	<b>3,333</b>	<b>9,168</b>	<b>12,501</b>	<b>3,041</b>	<b>0</b>	<b>3,041</b>	<b>8,771</b>	<b>0</b>	<b>8,771</b>

<b>Social Care Infrastructure</b>	
Residential Care Accommodation - Upgrades	Design works commenced, however timing delays will result in majority of expenditure being incurred in 2022-23. Separate report due to Council in November
2 Residential Care Homes	Design works commenced, however timing delays will result in majority of expenditure being incurred in 2022-23. Separate report due to Council in November

Scottish Borders Council  
Capital Financial Plan

CAPITAL FINANCING	2021/22			2022/23			2023/24			2024/25 - 2030/31		
	Projected Outturn	Latest Approved Budget	Variance	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget	Latest Approved Budget	Variance	Projected Budget
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>C9001 - Capital - General Capital Grant</b>												
Capital - General Capital Grant	(14,823)	(10,533)	(4,290)	(10,689)	0	(10,689)	(10,689)	0	(10,689)	(74,823)	0	(74,823)
Hawick Flood Protection	(16,298)	(19,991)	3,693	(11,914)	(5,532)	(17,446)	(8,138)	675	(7,463)	(2,174)	1,088	(1,086)
Renewal of Play Parks	(113)	0	(113)									
Flood Prevention Works & Scheme Preparation	(462)	(462)	0	(372)	0	(372)	(372)	0	(372)	(2,604)	0	(2,604)
General Flood Protection Block	(66)	(66)	0	0	0	0	0	0	0	0	0	0
School Estate Block	(141)	0	(141)									
Nature Restoration Fund	(120)	0	(120)	0	0	0	0	0	0	0	0	0
<b>C9002 - Scottish Government Specific Capital Grant</b>												
Cycling Walking & Safer Streets	(406)	(406)	0	(406)	0	(406)	(406)	0	(406)	(2,047)	0	(2,047)
Roads & Bridges -inc. RAMP, Winter Damage & Slopes (CWSS)	(100)	(100)	0	(100)	0	(100)	(100)	0	(100)	(200)	0	(200)
Early Years Expansion	(3,401)	(3,401)	0	0	0	0	0	0	0	0	0	0
	<b>(3,907)</b>	<b>(3,907)</b>	<b>0</b>	<b>(506)</b>	<b>0</b>	<b>(506)</b>	<b>(506)</b>	<b>0</b>	<b>(506)</b>	<b>(2,247)</b>	<b>0</b>	<b>(2,247)</b>
<b>C9003 - Other Grants &amp; Contributions - Capital</b>												
Other Fleet - Electric Vehicles	(150)	(150)	0	0	0	0	0	0	0	0	0	0
Other Fleet - Electric Vehicles - Infrastructure	(106)	(18)	(88)	0	0	0	0	0	0	0	0	0
Hawick Flood Protection	(2,989)	(3,996)	1,007	(4,157)	(622)	(4,779)	(2,747)	(385)	(3,132)	0	0	0
Play Areas & Outdoor Community Spaces	(98)	(154)	56	0	(133)	(133)	0	0	0	0	0	0
Cycling Walking & Safer Streets	0	(23)	23	0	0	0	0	0	0	0	0	0
Roads & Bridges -inc. RAMP, Winter Damage & Slopes	(315)	(315)	0	0	0	0	0	0	0	1	0	1
Jim Clark Museum	(22)	(7)	(15)	0	0	0	0	0	0	0	0	0
Hawick Regeneration	(1,963)	(1,963)	0	(440)	0	(440)	0	0	0	0	0	0
Borders Town Centre Regeneration Block	(1,845)	(1,845)	0	0	0	0	0	0	0	0	0	0
Jedburgh High Street Building	(450)	(450)	0	0	0	0	0	0	0	0	0	0
Borders Innovation Park	(554)	(2,116)	1,562	(2,992)	(1,562)	(4,554)	(6,035)	0	(6,035)	(3,653)	0	(3,653)
Landfill Provision	(299)	(299)	0	0	0	0	0	0	0	0	0	0
Peebles High School Insurance Receipt	(1,556)	(1,980)	424	(2,946)	(283)	(3,229)	0	0	0	0	0	0
Eyemouth Regeneration	(430)	(430)	0	0	0	0	0	0	0	0	0	0
Borderlands (SG & Partners)	0	(688)	688	(9,251)	(688)	(9,939)	(25,763)	0	(25,763)	(57,625)	0	(57,625)
Earlston Primary School	0	0	0	(1,763)	0	(1,763)	0	0	0	0	0	0
Innerleithen Gypsy/Traveller Site	(50)	0	(50)	0	0	0	0	0	0	0	0	0
Eddleston Water Path	(2,173)	0	(2,173)	0	0	0	0	0	0	0	0	0
Tweedbank to Reston	(120)	0	(120)	0	0	0	0	0	0	0	0	0
	<b>(13,119)</b>	<b>(14,433)</b>	<b>1,314</b>	<b>(21,549)</b>	<b>(3,288)</b>	<b>(24,837)</b>	<b>(34,545)</b>	<b>(385)</b>	<b>(34,930)</b>	<b>(61,277)</b>	<b>0</b>	<b>(61,277)</b>

CAPITAL FINANCING	2021/22			2022/23			2023/24			2024/25 - 2030/31		
	Projected	Latest	Variance	Latest	Variance	Projected	Latest	Variance	Projected	Latest	Variance	Projected
	Outturn	Approved Budget		Approved Budget		Budget	Approved Budget		Budget	Approved Budget		Budget
£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	
<b>C9004 - Capital Funded from Current Revenue (CFCR)</b>												
Extension of CGI contract	(4,000)	(4,000)	0	(4,000)	0	(4,000)	0	0	0	0	0	0
Waste Containers	(60)	(9)	(51)	0	0	0	0	0	0	0	0	0
ICT - Outwith CGI Scope	(295)	(258)	(37)	0	0	0	0	0	0	0	0	0
ICT Transformation	(70)	(70)	0	0	0	0	0	0	0	0	0	0
	<b>(4,425)</b>	<b>(4,337)</b>	<b>(88)</b>	<b>(4,000)</b>	<b>0</b>	<b>(4,000)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>C9005 - Development Contributions</b>												
Roads & Bridges Block	(80)	(80)	0	0	0	0	0	0	0	0	0	0
Reston Station Contribution	0	0	0	0	0	0	0	0	0	(100)	0	(100)
Play Areas & Outdoor Community Spaces	(65)	(65)	0	0	0	0	0	0	0	0	0	0
Engineering Minor Works	(14)	(14)	0	0	0	0	0	0	0	0	0	0
School Estate Block	(100)	(100)	0	(100)	0	(100)	(100)	0	(100)	(700)	0	(700)
	<b>(259)</b>	<b>(259)</b>	<b>0</b>	<b>(100)</b>	<b>0</b>	<b>(100)</b>	<b>(100)</b>	<b>0</b>	<b>(100)</b>	<b>(800)</b>	<b>0</b>	<b>(800)</b>
<b>C9006 - Capital Receipts</b>												
General Capital Receipt	(1,416)	(1,630)	214	(400)	0	(400)	0	0	0	0	0	0
	<b>(1,416)</b>	<b>(1,630)</b>	<b>214</b>	<b>(400)</b>	<b>0</b>	<b>(400)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>C9007 - Plant &amp; Vehicle Fund</b>												
Plant & Vehicle Replacement - P&V Fund	(2,000)	(2,000)	0	(2,000)	0	(2,000)	(2,000)	0	(2,000)	(14,000)	0	(14,000)
Synthetic Pitch Replacement Fund	0	0	0	(358)	0	(358)	(369)	0	(369)	(3,877)	0	(3,877)
	<b>(2,000)</b>	<b>(2,000)</b>	<b>0</b>	<b>(2,358)</b>	<b>0</b>	<b>(2,358)</b>	<b>(2,369)</b>	<b>0</b>	<b>(2,369)</b>	<b>(17,877)</b>	<b>0</b>	<b>(17,877)</b>
<b>C9008 - Capital Borrowing</b>												
	<b>(27,079)</b>	<b>(43,055)</b>	<b>15,976</b>	<b>(48,106)</b>	<b>(12,681)</b>	<b>(60,787)</b>	<b>(65,732)</b>	<b>89</b>	<b>(65,643)</b>	<b>(109,159)</b>	<b>273</b>	<b>(108,886)</b>
<b>TOTAL CAPITAL FUNDING</b>	<b>(84,229)</b>	<b>(100,674)</b>	<b>16,445</b>	<b>(99,994)</b>	<b>(21,501)</b>	<b>(121,495)</b>	<b>(122,451)</b>	<b>379</b>	<b>(122,072)</b>	<b>(270,961)</b>	<b>1,361</b>	<b>(269,600)</b>

	Latest approved budget £000's	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
<b>Infrastructure &amp; Environment</b>				
<b>Flood &amp; Coastal Protection</b>				
<b>Flood Prevention Works &amp; Scheme Preparation</b>				
Flood Scheme Preparation	0	0	0	0
Flood Scheme Preparation Newcastleton	130	18	148	8
Flood Scheme Preparation Peebles	25	0	25	19
Flood Scheme Preparation Slitrig	35	5	40	0
Flood Scheme Preparation Lindean	10	0	10	0
Hawick SWMP	26	0	26	0
Newcastleton Study	0	0	0	0
Hawick National Flood Management Scheme Preparation	85	(5)	80	0
Galashiels National Flood Management Scheme Preparation	50	0	50	0
Eymouth Coastal and Berwickshire SMP	83	(18)	65	0
Ettrick Valley	18	0	18	2
	<b>462</b>	<b>0</b>	<b>462</b>	<b>29</b>
<b>General Flood Protection Block</b>				
Romanno Bridge Flood Bank	105	0	105	0
Community Resilience	12	0	12	4
Minor Works	215	0	215	0
Management Fees	30	0	30	30
Denholm Flood Works	30	0	30	4
Philippaugh Farm Cottages	35	0	35	0
Galashiels Flood Protection Scheme	40	0	40	1
	<b>467</b>	<b>0</b>	<b>467</b>	<b>39</b>
<b>Land and Property Infrastructure</b>				
<b>Asset Rationalisation</b>				
Paton Street Galashiels Agile Working	953	0	953	259
HQ Reception and new canteen incl retention	37	0	37	33
Old Canteen Demolition & Surfacing Works	33	(32)	1	1
HQ Agile Working	300	128	428	31
Hawick Town Hall Agile Working	763	0	763	227
HQ Lift	48	(48)	0	0
St Mary's Mill Selkirk Upgrade new Museum store	10	0	10	1
Wilton PS, Hawick - demolition	20	(20)	0	0
Ednam, Kelso - demolition	13	(13)	0	0
Fees	33	(33)	0	0
Demolition - preliminaries, provisional sums, contingencies, surveys & fees etc (incl JCJ Group v	23	(14)	9	5
Unallocated	0	0	0	0
<b>Timing movement</b>		<b>32</b>		
	<b>2,233</b>	<b>0</b>	<b>2,201</b>	<b>557</b>

	Latest approved budget	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
<b>Building Upgrades</b>				
Coldingham Primary roofing upgrade	95	(74)	21	21
Lift infrastructure upgrades	8	0	8	0
Dunsdale Workshops roof/valley gutter	55	0	55	4
Coldstream workshops roofing upgrade - final phase	41	0	41	30
1 Castlegate, Jedburgh roofing upgrade	11	0	11	0
Drumlanrig PS window replacement - phase 1	0	0	0	0
Council HQ tower & external lighting upgrade	11	0	11	0
Melrose Grammar lighting upgrade	24	0	24	0
Edenside Primary School lift replacement	10	0	10	9
Burgh Primary window replacement - hall & kitchen	0	0	0	0
Burnfoot Primary window replacement - next phase	33	11	44	39
Burnfoot PS roofing upgrade	44	0	44	6
Hawick Library stonework minor refurbishment	22	0	22	0
Coldingham PS window replacements	44	(15)	29	29
St Margaret's Primary roofing upgrade	22	4	26	26
Newby Court Units roofing upgrade	25	0	25	0
Kirkhope Cemetery boundary wall upgrade	16	14	30	0
Millfield Day Centre boiler replacement/relocation	39	(39)	0	0
Wilton Primary calorifier replacements	33	0	33	0
School Toilet Upgrades	60	0	60	32
Gordon Primary Window replacements	0	40	40	0
Swinton PS Windows replacement	0	34	34	0
Denholm PS amphitheatre steps upgrade	0	25	25	0
Unallocated	0	0	0	0
<b>Timing movement</b>		<b>0</b>		
	<b>594</b>	<b>0</b>	<b>594</b>	<b>196</b>
<b>Energy Efficiency Works</b>				
Energy Efficiency Officer manpower costs	46	(23)	23	0
Non Domestic Energy Efficiency (NDEE) PH2	977	(500)	477	62
PPP LED Lighting Project	116	0	116	65
Low Carbon Infrastructure Transformation (LCITP) Smart Grid	450	0	450	0
Corn Exchange Heating (Melrose)	4	0	4	0
Fuel Switching project	60	(60)	0	0
Solar Photo Voltaic panels (SPV) PH2	300	(250)	50	0
Unallocated	0	0	0	0
<b>Timing movement</b>		<b>833</b>		
	<b>1,953</b>	<b>0</b>	<b>1,120</b>	<b>127</b>
<b>Health and Safety Works</b>				
LEGIONELLA UPGR WATER TANKS	42	0	42	4
SCHOOL TOILET REFURBISHMENT	24	(24)	0	0
ASBESTOS MANAGEMENT BLOCK	35	0	35	13
School Security Upgrade Work	26	0	26	0
Drumlanrig Primary window upgrade	100	0	100	0
Lead testing - Phase 2	91	(41)	50	0
Wellogate Cemetery Lodge, Hawick structural improvements	7	0	7	0
Clock upgrades	30	0	30	0
Coldstream library electrical heating upgrade	5	0	5	0
Greenlaw Primary distribution board replacement	28	0	28	4
Electrical Infrastructure Management	25	0	25	19
Innerleithen Library dry rot works	20	25	45	14
St Ronan's Primary heating upgrade	90	0	90	0
Lochpark Industrial Estate external improvements	10	0	10	0
Electrical upgrades at Selkirk HS	40	0	40	0
6 School Brae, Peebles window refurbishment	0	30	30	0
Unallocated	0	0	0	0
<b>Timing movement</b>		<b>10</b>		
	<b>573</b>	<b>0</b>	<b>563</b>	<b>55</b>
<b>Play Areas &amp; Outdoor Community Spaces</b>				
Peebles Play Park & Skate Park	450	(312)	138	138
Public Park, Duns	198	(198)	0	0
Play Facilities & Surfacing Review	202	(162)	40	20
Walled Gardens Glasshouse Hawick	123	(60)	63	13
Shedden Park	50	0	50	0
Newtown Play Park	183	0	183	0
Management Fee	80	0	80	0
Jedburgh Play Park & Skate Park	205	(205)	0	0

	Latest approved budget	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
Haylodge Park, Peebles	27	0	27	0
Play Park Renewal	0	113	113	0
Reston Play Park	0	77	77	0
Unallocated Balance	238	0	238	0
Gross up External Funding Reston Play Park		(77)	0	0
Gross up External Funding SG Play Park Renewal		(113)	0	0
<b>Timing movement</b>		<b>937</b>		
	<b>1,756</b>	<b>0</b>	<b>1,009</b>	<b>171</b>
<b>Cemetery Land Acquisition &amp; Development</b>				
Peebles land acquisition & site development	601	(601)	0	0
<b>Timing movement</b>		<b>601</b>		
	<b>601</b>	<b>0</b>	<b>0</b>	<b>0</b>

	Latest approved budget	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
<b>Road &amp; Transport Infrastructure</b>				
<b>Cycling Walking &amp; Safer Streets</b>				
Cycle Related Activities	327	(23)	304	203
Walking Related Activities	102	0	102	11
Gross down Smarter Choices funding		23		
<b>Timing movement</b>		<b>0</b>		
	<b>429</b>	<b>0</b>	<b>406</b>	<b>214</b>
<b>Lighting Asset Management Plan</b>				
Bourtree Terrace, Hawick	15	18	33	33
Damside, Innerleithen	2	0	2	1
Corroded Columns	30	0	30	21
Marmion Road Galashiels	4	0	4	0
Netherdale Ind Est, Galashiels	30	0	30	28
Main Road, Earlston	30	15	45	45
Station Road, Stow	30	0	30	20
Eyemouth Ind Est, Eyemouth	30	0	30	3
Rinkvale Cottages, Hawick	10	0	10	2
Preston Road, Duns	20	0	20	2
Carnarvon Street, Hawick	30	(7)	23	0
New scheme to be named	26	(26)	0	0
	<b>257</b>	<b>0</b>	<b>257</b>	<b>155</b>
<b>Roads &amp; Bridges -inc. RAMP, Winter Damage &amp; Slopes</b>				
Surface Dressing	2,500	0	2,500	1,790
Patching	2,150	0	2,150	750
Resurfacing/Overlays	2,000	0	2,000	391
Walls & Structures	263	0	263	116
Footways	310	0	310	139
Drainage	345	0	345	167
Masonry Refurbishment	885	0	885	137
Union Chain Bridge	115	0	115	0
C77 Roundabout	80	0	80	0
STTS	450	0	450	147
	<b>9,098</b>	<b>0</b>	<b>9,098</b>	<b>3,637</b>
<b>Waste Management</b>				
<b>CRC - Improved Skip Infrastructure</b>				
Galashiels Community Recycling Centre	12	0	12	0
<b>Timing movement</b>		<b>0</b>		
	<b>12</b>	<b>0</b>	<b>12</b>	<b>0</b>
<b>Corporate</b>				
<b>ICT-Outwith CGI Scope</b>				
PC replacement	282	37	319	319
Capital Financed by Current Revenue		(37)		
Transfer available budget to IT Transformation		0		
	<b>282</b>	<b>0</b>	<b>319</b>	<b>319</b>

	Latest approved budget	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
<b>Education &amp; Lifelong Learning</b>				
<b>Early Learning and Childcare</b>				
Early Years Expansion	3,401	0	3,401	143
<b>Timing movement</b>		0	0	
	<b>3,401</b>	<b>0</b>	<b>3,401</b>	<b>143</b>
<b>School Estate Block</b>				
<i>Improve and enhance school environments:</i>				
High School Social Areas	411	0	411	
Primary School Refurbishments	965	0	965	282
Priorsford extension	12	0	12	4
School toilet programme	130	0	130	
<i>Meet security and legislative obligations</i>				
Kitchen refurbishment programme	190	0	190	
Accessibility works	0	0	0	14
Secure receptions programme	201	0	201	34
CO <sup>2</sup> Monitoring	0	141	141	
<i>ASN Provision Enhancements</i>				
ASN Provision Enhancements	131	0	131	134
<i>Urgent, unplanned and fees</i>				
Professional fees	268	0	268	
Project closure contingencies	150	0	150	
Gross up SG General Capital Grant		(141)		
<b>Timing movement</b>		0		
	<b>2,458</b>	<b>0</b>	<b>2,599</b>	<b>468</b>
<b>Culture &amp; Sport</b>				
<b>Sports Infrastructure</b>				
<b>Culture &amp; Sports Trusts - Plant &amp; Services</b>				
Pool Hall Humidity Sensors	10	0	0	0
Lighting Eyemouth Leisure Centre	18	0	0	0
External Remedials (Teviotdale Leisure Centre)	40	(1)	39	0
External Remedials (Kelso Swimming Pool)	25	0	0	0
Pool Tank Refurbishment	30	0	0	0
Teviotdale Leisure Centre Pool Pod	10	0	0	0
Galashiels SP & Teviotdale LC - Replacement Pool Covers	20	0	0	0
Teviotdale LC - Replacement Pool Covers	0	(2)	8	0
Selkirk Leisure Centre External Refurbishment	30	(2)	28	0
Air handling unit (AHU) Refurbishment - Various Sites	90	0	35	0
Kelso SP & Teviotdale LC Calorifiers	15	0	15	0
Transform pH Correction (CO <sup>2</sup> to Sodium Hypochlorite) - All Pools	30	0	15	0
Eyemouth Leisure Centre: Gas Boiler replacement	0	0	9	0
BMS upgrade	0	0	10	0
Kelso Swimming Pool: Pool Deck	0	(1)	12	0
Peebles Swimming Pool: Changing facilities	0	(63)	33	0
Teviotdale Leisure Centre: Fire Alarm	0	0	11	0
Legionella compliance	0	0	20	0
Peebles Swimming Pool: circulation pumps	0	0	15	0
Jedburgh Leisure And Facilities Trust	15	0	15	0
Berwickshire Recreation and Sports Trust	29	0	29	20
Unallocated Balance	1	0	1	
<b>Timing movement to 2022/23</b>		69		
	<b>363</b>	<b>0</b>	<b>294</b>	<b>20</b>
<b>Public Hall Upgrades</b>				
Core Halls - Theatre Sound & Lighting	95	0	0	0
Non-Core Halls - Refurbishment	48	0	0	0
Non Core Halls - Front of House Refurbishment	30	0	0	0
Tait Hall - Balcony Seating	50	0	0	0
Tait Hall - Dressing Rooms	20	0	0	0
Tait Hall - Lesser Hall Refurbishment	36	0	0	0
Corn Exchange/Ormiston Institute FoH Refurbishment	26	0	26	21
Kelso Tait Hall refurbishment	0	(173)	0	0
Innerleithen Memorial Hall refurbishment	0	(59)	0	0
Selkirk Victoria Halls:	0	(25)	0	0
PA systems (all venues)	0	(13)	0	0
Unallocated balance	0	(10)	0	0
<b>Timing movement to 2022/23</b>		279		
	<b>305</b>	<b>0</b>	<b>26</b>	<b>21</b>

	Latest approved budget	Proposed Movement	Projected Outturn	Actuals to 30/09/2021
<b>Corporate Improvement &amp; Economy</b>				
<b>Economic Regeneration</b>				
<b>Hawick Regeneration</b>				
Former Armstrong/Armstrong Building	1,713	0	1,713	32
Galalaw Access Road	250	0	250	74
<b>Timing movement</b>		<b>0</b>		
	<b>1,963</b>	<b>0</b>	<b>1,963</b>	<b>106</b>
<b>Borders Town Centre Regeneration Block</b>				
Port House, Jedburgh	424	0	424	216
Hawick Public Realm	110	(110)	0	0
Town Centre Regeneration Enabling Works (Galashiels, Hawick, Eyemouth, Jedburgh, Selkirk)	65	0	65	0
Jedburgh Abbey Ramparts	26	0	26	6
Town Centre Funds (Jedburgh, Hawick, Galashiels, Eyemouth, Selkirk)	22	0	22	10
Town Centre Fund 2020/21	492	0	492	113
Workshop Development	86	0	86	0
Place Based Investment Programme 2021/22	912	0	912	0
<b>Timing movement to 2022/23</b>		<b>110</b>		
	<b>2,137</b>	<b>0</b>	<b>2,027</b>	<b>344</b>
<b>Social Work &amp; Practice</b>				
<b>Social Care Infrastructure</b>				
<b>Care Inspectorate Requirements &amp; Upgrades</b>				
Deanfield, Hawick 01-C100025	6	0	6	(4)
Grove House, Kelso 01-C100026	6	0	6	14
St. Ronans, Peebles 01-C100272	6	0	6	0
Saltgreens, Eyemouth 01-C100027	6	0	6	0
Waverley, Galashiels 01-C100028	6	0	6	3
Day Services 01-C100273	8	0	8	0
Unallocated Balance	2	0	2	0
<b>Timing movement</b>		<b>0</b>		
	<b>40</b>	<b>0</b>	<b>40</b>	<b>13</b>



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## **BALANCES AT 31 MARCH 2022**

**Report by Director, Finance & Corporate Governance**

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### **EXECUTIVE COMMITTEE**

**16 November 2021**

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

- 1.1 This report provides the Executive Committee with an analysis of the Council's balances as at 31 March 2021 and advises Members of the projected balances at 31 March 2022.**
- 1.2 The unaudited Council's General Fund useable reserve (non-earmarked) balance was £8.831m at 31 March 2021. The projected General Fund useable reserve is projected to remain at least £6.315m at 31 March 2021 in line with the Council's Financial Strategy.
- 1.3 The total of all useable balances, excluding development contributions, at 31 March 2022 is projected to be £34.288m, compared to £48.264m at 31 March 2021. The reduction in balances between the two financial years can be attributed to funding carried forward from 2020/21 into 2021/22 through the COVID-19 reserve, part of which has now been attributed to the revenue budget in 2021/22.
- 1.4 The projected balance on the Capital Fund of £8.111m will be affected by any further capital receipts, development contributions, interest credited and any expenditure authorised to be financed from the Fund during the remainder of the financial year.

#### **2 RECOMMENDATIONS**

##### **2.1 It is recommended that the Executive Committee:**

- (a) Notes the audited 2020/21 revenue balances at 31 March 2021;**
- (b) Notes the projected revenue balances as at 31 March 2022 as per Appendices 1 & 2; and**
- (c) Notes the projected balance in the Capital Fund as per Appendix 3.**

### 3 ACCOUNTS AND FUNDS OPERATED BY THE COUNCIL

- 3.1 Income and expenditure relating to the Council's services are accounted for and financed through the following funds (as required or permitted by statute):
- (a) General Fund
  - (b) Corporate Property Repairs & Renewals Fund
  - (c) Insurance Fund
  - (d) Plant & Vehicles renewals Fund
  - (e) Capital Fund

### 4 BALANCES AT 31 MARCH 2022

- 4.1 Appendix 1 summarises the projected transactions and resultant projected balances at 31 March 2022 on the General Fund and Appendix 2 shows the projected non-General Fund balances. The net effect is the useable General Fund balance after earmarked funds and allocated reserves is projected to be at least **£6.315m** at 31 March 2022 which is in line with the recommended level included in the 2021/22 Financial Strategy approved by Council.
- 4.2 The projections in the statement attached in Appendices 1, 2 and 3 are based on actual expenditure and income to 30 September 2021 and are summarised in the table below.

<b>BALANCES</b>	<b>31/03/22 projection £m</b>
Earmarked Balances (non DSM)	10.812
Earmarked Balances (DSM)	0
Allocated Balances	2.004
General Fund (Unallocated Reserve)	8.421
Corporate Property Repairs & Renewals Fund	0
Insurance Fund	1.824
Plant & Vehicles Renewals Fund	8.904
Pitch & Play Park replacement fund	0.953
Capital Fund (exc. Developer Contributions)	1.370
	<b>34.288</b>

- 4.3 Key movements since the last reporting period are as a result of:
- **General Fund unallocated balances** - allocation of £0.150m to support the 2021/22 revenue budget to provide for costs relating to the ongoing independent inquiry;
  - **Earmarked balances** - draw down of £0.620m to leave a remaining £9.961m one-off COVID-19 balance retained in the COVID-19 reserve to support pressures on the revenue budget.
- 4.4 The Corporate Financial Risk Register was considered at the Council Meeting on 19 March 2021 and identified potential risks including the failure to control budgets within approved limits, severe weather events, the economic downturn, potential contractual claims and unplanned emergencies. £6.315m is the recommended level of General Fund Reserve identified in the

Financial Strategy approved by Council on 19 March 2021. The unallocated balance projected at the 31<sup>st</sup> March 2022 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. The general fund reserve will continue to be monitored through the Corporate Financial Risk Register on a regular basis.

- 4.5 Allocated balances as follows total £2.004m in 2021/22 with movement from the last period relating to a draw-down from the Workforce Management reserve of £0.023m as shown below:

<b>ALLOCATED BALANCES</b>	<b>31<sup>st</sup> March 2021 £m</b>	<b>Increase during 2021/22 £m</b>	<b>Released during 2021/22 £m</b>	<b>31<sup>st</sup> March 2022 £m</b>
Municipal Mutual	0.233	0	0	0.233
Adverse Weather (including flood)	1.000	0	0	1.000
Workforce Management	0.794	0	(0.023)	0.771
<b>Total</b>	<b>2.027</b>	<b>0</b>	<b>(0.023)</b>	<b>2.004</b>

- 4.6 Appendix 3 details the balances currently held in the Capital Fund. These balances are temporarily held in the Loans Fund and will attract interest at the end of the financial year. The Fund can only be used for capital purposes or to repay external debt.

## **5 IMPLICATIONS**

### **5.1 Financial**

There are no financial implications beyond those contained in the report and appendices.

### **5.2 Risk and Mitigations**

The major risks associated with this report are that the level of projected balances proves to be insufficient. Service budget pressures plus unexpected liabilities are the most likely sources of pressure on reserves. These risks are being managed through regular monitoring of financial activity in all funds of the Council, including regular revenue and capital budgetary control reports to the Executive Committee. In addition, the Corporate Financial Risk Register is regularly reviewed by senior Finance staff.

### **5.3 Integrated Impact Assessment**

It is anticipated there will be no adverse impact due to race, disability, gender, age, sexual orientation or religion/belief arising from the proposals contained in this report.

### **5.4 Sustainable Development Goals**

There are no significant effects on the economy, community or environment.

### **5.5 Climate Change**

No effect on carbon emissions are anticipated from the recommendation of this report.

**5.6 Rural Proofing**

It is anticipated there will be no adverse impact on the rural area from the proposals contained in this report.

**5.7 Data Protection Impact Statement**

There are no personal data implications arising from the proposals contained in this report.

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

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

**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 any comments received have been incorporated into this final report.

**Approved by**

**David Robertson**

**Signature .....**

**Director, Finance & Corporate Governance**

**Author(s)**

Suzy Douglas	Financial Services Manager 01835 824000 X5881
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**Background Papers:**

**Previous Minute Reference:**

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

**SCOTTISH BORDERS COUNCIL**  
**GENERAL FUND BALANCES AT 31 MARCH 2022**

	GENERAL FUND £'000's	GENERAL FUND (DSM) £'000's	GENERAL FUND (EAR-MARKED) £'000's	ALLOCATED RESERVES £'000's	TOTAL £'000's
<b>Balance at 1 April 2021</b>	<b>8,831</b>	<b>1,220</b>	<b>24,362</b>	<b>2,027</b>	<b>36,440</b>
Projected Income (RSG, NDR, Council Tax)	294,963				<b>294,963</b>
Projected Net Revenue Expenditure	(309,756)				<b>(309,756)</b>
Earmarked Balances from previous year	17,877	(1,220)	(16,657)		<b>0</b>
Earmarked Balances to future years	(3,107)		3,107		<b>0</b>
Draw down from unallocated reserve	(260)				<b>(260)</b>
Drawdown from Workforce Management Allocated reserve	23			(23)	<b>0</b>
Draw down from unallocated reserve for independent inquiry	(150)				<b>(150)</b>
<b>Projected Balance at 31 March 2022</b>	<b>8,421</b>	<b>0</b>	<b>10,812</b>	<b>2,004</b>	<b>21,237</b>

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**SCOTTISH BORDERS COUNCIL**  
**REVENUE FUND BALANCES AT 31 MARCH 2022**  
**(EXCLUDING GENERAL FUND)**

	<b>CORPORATE PROPERTY REPAIRS &amp; RENEWALS FUND £'000's</b>	<b>PLANT &amp; VEHICLES RENEWAL FUND £'000's</b>	<b>INSURANCE FUND £'000's</b>	<b>PITCH &amp; PLAY PARK REPLACEMENT FUND £'000's</b>	<b>TOTAL £'000's</b>
<b>Balance at 1 April 2021</b>	<b>362</b>	<b>7,967</b>	<b>1,532</b>	<b>592</b>	<b>10,453</b>
Projected Income	2,222	2,143	1,780	361	<b>6,506</b>
	<u>2,584</u>	<u>10,110</u>	<u>3,312</u>	<u>953</u>	<u><b>16,959</b></u>
Projected Expenditure	2,584	1,206	1,488	-	<b>5,278</b>
Contribution to Reserves					-
Transfer to/from General Fund					-
	<u>                    </u>	<u>                    </u>	<u>                    </u>	<u>                    </u>	<u>                    </u>
<b>Projected Balance at 31 March 2022</b>	<b>-</b>	<b>8,904</b>	<b>1,824</b>	<b>953</b>	<b>11,681</b>

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**SUMMARY OF CAPITAL FUND**

	<b>Balance as at 31/03/21 £'000</b>	<b>Balance as at 31/03/22 £'000</b>
<b>DEVELOPER CONTRIBUTIONS</b>		
Waverley Railway	-	-
Technical Services	1,111	1,508
Education & Lifelong Learning	4,674	4,514
Planning & Economic Development	-	-
Social Work - Affordable Housing	361	359
Accrued Interest	574	574
<b>Sub Total Developer Contributions</b>	<b>6,720</b>	<b>6,955</b>
Capital Receipts	1,370	1,370
<b>Total</b>	<b>8,090</b>	<b>8,325</b>

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## **COVID-19 RESPONSE – UPDATE ON PROPOSALS TO FURTHER SUPPORT INDIVIDUALS FACING FINANCIAL HARDSHIP**

**Report by Director - Resilient Communities**

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### **EXECUTIVE COMMITTEE**

**16 NOVEMBER 2021**

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

- 1.1 This report presents an update in relation to the allocation of the Scottish Government “Addressing future need to support individuals at financial risk 2020/21” Fund. It also provides further proposals to provide wider financial support to those individuals who require additional help.**
- 1.2 A previous paper, approved by Elected Members on 9 February 2021, detailed £20m of funding announced by Scottish Government to be made available to Local Authorities to support those in financial hardship, of which £330k was available to Scottish Borders Council for Food and Financial Insecurity. Further funding announced by Scottish Government has meant that a further allocation of £330k is now available, giving a total of £660k.
- 1.3 At that meeting in February, Executive Committee approved a set of recommendations in relation to the Financial Insecurity Fund, and delegated the Director of Resilient Communities to award funding as per the areas detailed within Appendix A.
- 1.4 The funding to both foodbanks/FareShare providers and Eildon Housing provided much needed assistance in the provision of white goods, transport and top up of food packs for those specifically who were self-isolating. Hardship payments of £75 have been made to individuals totalling over £99k.
- 1.5 This paper is seeking approval for £100k in relation to the extension of the Warm and Well scheme, £26k for a Scottish Child Payment Bridging Payment, £117k to enhance the Clothing Grants Scheme, £121k to create an Inclusion Fund and £45k for a range of existing third sector networks, Community Planning Partners (including Registered Social Landlords) and any other groups or other organisations.
- 1.6 A Financial Insecurity Group made up of relevant Officers and led by the Director - Resilient Communities, have continued to meet on a regular basis

to discuss the funding. The proposed allocation of the next phase of funding is presented at Sections 5 and 6, which as previous, is based on the Scottish Government guidance, main objectives and the expected outcomes of the fund.

- 1.7 The allocation of funding is in line with other Local Authorities, and reflects the need to maximise the opportunities to disperse this funding in a timely, direct and efficient manner across each of our five locality areas of the Scottish Borders.
- 1.7 All claims, monitoring and evaluation will be in accordance with the guidance and requirements of the Fund.

## **2 RECOMMENDATIONS**

### **2.1 I recommend that the Executive Committee:**

- (a) Notes the funding that has been awarded to date as per Appendix A, and the available balances.**
- (b) Delegates authority to the Director - Resilient Communities to allocate funding as per the details below:**
  - i. Agree the proposals as detailed in Section 5 in relation to the extension of the Warm & Well Borders Scheme.**
  - ii. Agrees the proposals as detailed in Section 5 in relation to Scottish Child Payments Bridging Payments, enhancing the Clothing Grants Scheme and the creation of an Inclusion Grant Scheme.**
  - iii. Allocate funding to a range of existing third sector networks, Community Planning Partners (including Registered Social Landlords) and any other partnerships, networks, resilience groups or other organisations who are already working with vulnerable individuals, to assist with essentials in accordance with the guidance, based on the principles of digital, fuel and food poverty and other items deemed as emergency essentials;**
- (c) Delegate authority to Director of Finance & Corporate Governance to reflect in the budget any further funding which may be allocated to support households over the Winter of 2021-22 in line with the Scottish Government's stated policy intent;**
- (d) Agrees that all claims, financial monitoring and evaluation will be undertaken in accordance with the guidance and requirements of the Fund by officers delegated by the Director of Resilient Communities.**

### **3 BACKGROUND**

- 3.1 A previous paper, approved by Elected Members in February 2021, detailed £20m funding announced by Scottish Government to be made available to Local Authorities to support those in financial hardship. Scottish Borders Council was allocated £330k of this fund for Supporting Individuals at Financial Risk.
- 3.2 Further funding will provide Scottish Borders Council with an additional allocation of £330k, providing that any evidence of spend is in accordance with the Fund's criteria and guidance. The Grant Offer Letter and relevant guidance sets out principles, criteria and timescales for claims and spend.
- 3.3 The main objectives and expected outcomes to be achieved from the Fund are set out below:
  - i. Provision of cash-based support to tackle food insecurity, or alternate provision where this is more appropriate or is the preference of individuals themselves, including for households whose children are registered for Free School Meals;
  - ii. Supplementing local budgets for the Scottish Welfare Fund to ensure demand is met in full;
  - iii. Providing support to meet fuel costs, for example, through existing schemes such as fuel cards or a locally targeted fuel grant;
  - iv. Further boosting local funding for Discretionary Housing Payments as needed;
  - v. Other activities and services, as necessary, to support individuals to overcome financial crisis and support wellbeing.

### **4. SPEND TO DATE**

- 4.1 Awards of £38k have been made to foodbanks, FareShare and other food providers across each area of the Borders to support them with white goods, electrical equipment, transport and food top ups as required.
- 4.2 A payment of £38k was also made to Eildon Housing in support of creating a FareShare depot/hub, staffing and transport. This was initially situated in Galashiels, but has now moved to a bespoke unit in Selkirk. Deliveries from the FareShare warehouse in Leith are stored, sorted and then distributed to FareShare partners with weekly deliveries across the Borders, and has provided continuity to the FareShare network.
- 4.3 An emergency payment of £75.00 has been made to families (approximately 1328 families/2246 children) that qualify for Free School Meals across the Scottish Borders.

### **5. FURTHER PROPOSALS**

- 5.1 The Financial Insecurity Group, led by the Director – Resilient Communities, have continued to consider the issues and impacts from the ongoing pandemic, and using a range of established networks, have identified a range of high level actions that they believe can be delivered in

the timescales and which align with the main aims and objectives of the Fund.

- 5.2 Whilst there are a number of existing support mechanisms to support those suffering financial hardship, this funding is intended to enable Local Authorities to provide additional support being deployed to specific areas, based on immediate need and local insight.
- 5.3 In reference to the main objectives and outcomes of the Fund, it is the Financial Insecurity Group's opinion that the next allocation of this funding should be undertaken in the following way.
- 5.4 **Extend the Warm and Well Borders Scheme** for a further 12 months as detailed at Appendix B:
- I. Warm and Well Borders Scheme - to provide additional funding of £60k to support this scheme for a further 12 months. To date, this scheme has proved very successful in terms of providing much needed support and unlocking considerable benefits and energy efficiency measures.
  - II. Provide additional funding support of £40k to this combined fund would allow a significant number of households access to improvements to their property and quality of life, moving them out of the influence of fuel poverty.
  - III. 3 case studies detailed at Appendix C, provide valuable feedback and demonstrate the effectiveness of the Scheme to date – giving insight into how individuals can be supported out of poverty, both in the immediate support provided and the improvement of circumstances in relation to longer term outcomes.
  - IV. To bring this funding award into line with participatory budgeting and evaluate the effectiveness of the approaches adopted, feedback will be actively sought from those being supported on how the assistance is working and how they can/should be supported in the longer term.
- 5.6 **Scottish Child Payment Bridging Payment** (£26k). To provide a payment equivalent to the Scottish Child Payment bridging payment for payments for parents who have dependent children and meet the means tested eligibility requirements of the award but are ineligible for the payment from Scottish Government. For example, this could assist approx. 91 home schooled children who are not in receipt of free school meals
- 5.7 **Clothing Grant** for all parents who receive Council Tax Reduction (£117k). To provide payment to all parents who have dependent children who are educated in the Scottish Borders and receive Council Tax Reduction as at 1 October 2021 but have not received a clothing grant

already in 2021/22. Estimates are that approx. 780 children would be eligible for payments of £120 for primary school and £150 for secondary school children.

5.8 **An Inclusion Fund** (£121k) is established to give help and assistance which is not available within other forms of support to:

- Mitigate hardship
- Relieve exceptional pressure
- Promote inclusion
- Provide opportunities which ultimately will reduce poverty, increase disposable income or offer longer term solutions

- I. Access to the fund will be through from referrals from various Council services such as Scottish Welfare Fund, Homelessness or Community Care Assessors (Finance) and external partners such as Citizens Advice Bureau and registered social landlords.
- II. The dispersement of the fund and decision making will be delegated to an officer within the Customer Advice & Support Service, and records will be kept on the potential impact of the changes and savings which can be made. Up to £5,000 to be decided by one officer and any awards over that level by at least two officers.
- III. Linked to the Inclusion Fund and Tenancy Support Grant, we will consider financial support to Council Tax payers. This will include maximising benefit, budgeting advice and support to maintain payment arrangements and may include conditional write off of older debt in keeping with the Council's policies and bad debt provisions.

5.9 **Support via Third Sector and other Organisations:** Delegate authority to the Director of Resilient Communities to provide funding for vulnerable households via key organisations. These may include third sector organisations, Resilient Communities Groups, Community Planning Partners (including Registered Social Landlords), and any other existing and established partnerships or networks across the Scottish Borders where financial support is required to enable those organisations to provide assistance around digital, fuel and food poverty, and any other items that are deemed emergency essentials.

5.10 This support to third sector and other organisations has been invaluable in awarding smaller amounts of funding efficiently and effectively. Purchases of cookers, fridge freezers and other white goods and electrical items have been made within days rather than weeks, and has enabled continuity of service for foodbank and FareShare organisations. It has also enabled the direct provision of supermarket cards to assist individuals with immediate requirements and with dignity in doing so.

5.11 In summary, the above proposals will aim to address the poverty that is being experienced across a number of different circumstances across the Scottish Borders in respect of emergency assistance, and giving

communities the opportunity to influence services in relation to longer term support in order to improve income, reduce costs and poverty.

- 5.12 With the unprecedented increases to energy costs and the ongoing uncertainty in the energy market, aligned with the ongoing covid-19 impacts, furlough ending, benefits being cut, and combined with other winter pressures, it is expected that poverty and in particular fuel poverty will impact more people across the region.
- 5.13 This will require further long term poverty interventions to be developed as feedback from end users is gathered in a bottom up approach in order to provide appropriate support to those most in need within our communities and provide sustainable pathways out of poverty.
- 5.14 Scottish Government and CoSLA have recently circulated a report of activities, trends and learning from the funding that has been provided during 2020-21, and this will be reflected on to ensure that officers continue to follow best practice and learn from others across Scotland. This report will also be useful in relation to developing future funding proposals and maximising funding opportunities. [Local action to tackle food insecurity: summary of activities, trends and learning - gov.scot \(www.gov.scot\)](http://www.gov.scot/resources/documents/2021/04/Local-action-to-tackle-food-insecurity-summary-of-activities-trends-and-learning-gov.scot)

## 5 IMPLICATIONS

### 6.1 Financial

A previous paper, approved by Elected Members in February 2021, detailed £20m funding announced by Scottish Government to be made available to Local Authorities to support those in financial hardship. Further funding has provided a further £330k allocation to this fund which gives a total of £660k.

This paper is seeking approval for £100k in relation to the extension of the Warm and Well Scheme, £26k for Scottish Child Payments Bridging Payments, £117k to enhance the School Clothing Grant Scheme, £121k to establish an Isolation Grant Scheme and £45k to provide further support to third sector organisations and other organisations who have existing support networks.

Where possible the distribution and allocation of funding will be distributed through a Participatory Budgeting approach. As part of the CoSLA commitment to participatory budgeting, local authorities have a target for 2021/22 that 1% of the total revenue budgets excluding Council Tax will be distributed using this approach.

### 6.2 Risk and Mitigations

If we do not action these proposals in accordance with the timescales of the Fund we will be unable to claim the Scottish Borders Council share

of funding which will result in the extent of hardship being greater for communities within the Scottish Borders, and there will be a further impact on those who are at financial hardship risk as the continuing effects of the pandemic are known.

**6.3 Integrated Impact Assessment**

This funding will go towards addressing some of the inequality and hardship as a result of the pandemic over the winter and longer term period.

**6.4 Acting Sustainably**

It is anticipated that as a result of this funding there will be a positive effect on the following community outcomes:

- a) Include under-represented or excluded groups
- b) Improve community quality of life
- c) Improve community capacity
- d) Take into account equal opportunities

**6.5 Carbon Management**

There will be no impact on the Council’s carbon footprint as a result of the recommendations in this report.

**6.6 Rural Proofing**

This fund will aim to address some of the particular challenges in relation to rural issues

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

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

**7 CONSULTATION**

7.1 The Chief Financial Officer, the Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Service Director Human Resources, the Clerk to the Council and Corporate Communications have been consulted and any comments received have been incorporated into the final report.

**Approved by**

**Jenni Craig**  
**Director - Resilient Communities**

**Signature .....**

**Author(s)**

Name	Designation and Contact Number
Jenni Craig	Director - Resilient Communities
Shona Smith	Communities & Partnership Manager
Neil Robertson	Energy Efficiency Policy and Strategy Officer
Gary Murdie	Lead Officer, Benefits

**Background Papers:**

Appendix A – Funding awarded to date, Appendix b – Fuel Poverty Proposal, Appendix C – Fuel Poverty Case Studies. [Local action to tackle food insecurity: summary of activities, trends and learning - gov.scot \(www.gov.scot\)](http://www.gov.scot/resources/documents/2021/02/Local-action-to-tackle-food-insecurity-summary-of-activities-trends-and-learning-gov.scot-20210202.pdf)

**Previous Minute Reference:** Executive Committee 09 02 2021

**Note** – You can get this document on tape, 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 Council Headquarters, Newtown St Boswells, Melrose TD6 0SA.



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SG “Addressing future need to support individuals at financial risk 2020/21”

Food and Financial Insecurity Fund - £660k	Approx. Cost £
Payment to third sector organisations who have existing support networks	38,000
Payment in support of FareShare (depot, staffing and transport)	38,830
Hardship payments to individuals	99,600.00
<b>Total spend to date:</b>	<b>176,430</b>
<i>Allocated but not awarded: Expansion of Connecting Scotland Project (allocated to Live Borders &amp; match funded by SoSE)</i>	75,000
<b>Total spend/allocation to date</b>	<b>251,430</b>
<b>Further proposals:</b>	
Extension of the Warm & Well Scheme	100,000
Scottish Child Payments Bridging Payments	26,000
Enhancement of Clothing Grant Scheme	117,000
Inclusion Fund Scheme	121,000
Further support to third sector organisations and other organisations who have existing support networks	44,500
<b>Total</b>	<b>660,000</b>



## **Appendix 2 – Extension of the Warm & Well Borders project by 12 months and the establishment of a Fuel Poverty Intervention Fund**

### **1. Proposal to fund a 12 month extension to the Warm & Well Borders Scheme**

The latest housing condition survey (2016-18) showed 29% of Scottish Borders households were in fuel poverty, with 15% living in extreme fuel poverty. This is in comparison with 25% of households in Scotland in fuel poverty and 11% extreme fuel poverty. Fuel poverty is exacerbated by a number of specific factors affecting properties and households in the Scottish Borders, including: a larger proportion of dwellings built before 1945, the rurality of the Scottish Borders meaning more dwellings are off gas, a larger percentage of older households and a low wage economy. The links between fuel poverty and wellbeing are also well known, fuel poverty can have a severe effect on cold related ill health and personal wellbeing, particularly amongst vulnerable households, and people on low incomes. We also know that a large number of households in the Scottish Borders fall into these categories, and that many of them live in older, hard to treat properties, which are difficult to insulate.

Scottish Borders Council secured two years of funding to the amount of £551,000, from National Grid's Warm Homes Fund to deliver the Warm and Well Borders Scheme. The scheme is a multi-agency approach to reducing fuel poverty, improving energy efficiency of homes, and improving the health and well-being of the most vulnerable households in the Borders. Warm and Well Borders targets vulnerable groups to provide support and advocacy, and to tackle fuel poverty.

The proposed 12 month extension of the Warm and Well Borders Scheme will be delivered through a partnership between Scottish Borders Council and three local Citizens Advice Bureaus but will also work closely with Home Energy Scotland, Changeworks health and social care teams and community health organisations.

To date the scheme has been successful in helping those in fuel poverty access additional support. Between April 2020 and June 2021 365 households have been supported with £562,000 of financial savings and benefits realised.

The current scheme employs 6 FTE across Changeworks and 3 Citizens Advice Bureaus across the Borders offering energy advice and income maximisation. The current project is due to conclude in February 2022.

#### **Recommendation:**

The current funder, National Grid's Warm Homes Fund, has confirmed that at this time there is no scope to fund an extension to the project, however project partners and the Borders Home Energy Forum have recognised there would be significant benefit in continuing the project.

Extending the project, on reduced FTE, would ensure the current levels of support could be maintained. Officers are therefore recommending that £60k be allocated to continue the project in partnership with CAB, which offers the best "cost vs return" ratio. CAB can offer income maximisation advice and can identify if fuel poverty is an issue. In these circumstances CAB will also make a referral to Home Energy Scotland & Changeworks who can then offer the client energy advice, further referral to EES:ABS or Warmer Homes Scotland scheme (or indeed to SBC to access the proposed Fuel Poverty Intervention Fund).

#### **Summary of Benefits:**

- Extension would secure the FTE that were recruited and trained by CAB. These staff have had bespoke training and development invested in them and are already delivering across the region and supporting those most at need.

## **Appendix 2 – Extension of the Warm & Well Borders project by 12 months and the establishment of a Fuel Poverty Intervention Fund**

- The CAB model costs £5,000 per month to staff and manage. The scheme could be extended for 12 months at a cost of £60,000. Based on run rate achieved to date, this could see a potential additional £250,000+ savings realised and 150+ households in fuel poverty assisted.
- The proposed extension would dovetail with the current funding expiry date. There would be no development, training or recruitment required. This offers a seamless extension to the scheme, jobs and service levels are maintained.
- There is a rigorous reporting structure in place that can be maintained to allow the continued success of the scheme to be tracked and monitored. In addition, to bring this funding award into line with participatory budgeting and evaluate the effectiveness of the approaches adopted, feedback will be actively sought from those being supported on how the assistance is working and how they can/should be supported in the longer term.

## Case Study 1 and overview of scheme.

The restrictions imposed due to COVID-19 impacted on being able to deliver the project as hoped. Realigning the delivery model in April 2020 with the support of the Funder allowed a positive response to the pandemic and support for those in fuel poverty was to continue. Warm Homes Fund funding has provided:

- **Advice provision when many needed services were closed.** Advice provided by organisations with expertise best placed to tackle people's fuel poverty issues – Citizens Advice Bureau Income Maximisation Advisors and Changeworks Affordable Warmth Advisors – could still be accessed by people in the Borders. Having paid staff funded to deliver support in the community minimised a large gap left as volunteering ceased, as much of CAB support is delivered by volunteers. Without WHF this service would not have been able to run and people in need would not have benefitted from support. This has a longer term legacy element, as not closing services has kept momentum alive.
- **A lifeline to many people in extreme need.** Before COVID-19 the fuel poverty rate was already high in the Borders (31%). We have found that people struggling with energy costs have been plunged deeper into crisis, while others are experiencing challenges for the first time, for instance people newly unemployed due to the pandemic are grappling with debt, money worries and need welfare support. Changeworks saw a 900% increase in people needing emergency assistance comparing 2019/20 and 2020/21 data. This need is reflected in regional and national statistics: in 2020/21 our partners Home Energy Scotland had over 2,700 referrals in their South-east advice centre for fuel energy credit vouchers and a 107% increase in people on low incomes looking for support. People unable to pay their prepayment meters due to income loss increased from 16% to 37% (April-October 2020) according to an Ofgem COVID-19 survey.
- **Real difference to people's lives.** Case study examples are key here in bringing to life the huge positive impact the intervention and support through the scheme has provided

## Project achievements we are proud of:

- Being accessible and reaching people in need. Both Changeworks and CAB were resilient in the face of disruption, adapting to remote working to ensure a service was delivered. So far, the project has provided advice to over 315 vulnerable people, helping them to tackle their fuel poverty issues. We anticipate that the rate of people supported will continue to increase now the project has its full complement of staffing.
- Achieving £564k in financial savings for householders supported: including 350K for those in Fuel Poverty.
- Developing 21 new relationships with 14 organisations since Partnership Co-ordinator recruited in February (28% of target).
- Responding to the need for crisis support. Clients have been able to easily access energy credit vouchers to tackle energy debt with Changeworks accessing Energy Redress crisis support in autumn 2020 and becoming a Fuel Bank partner this winter. We support clients to resolve their energy crises but also to equip them to manage it themselves in future.

*“At the beginning I was getting bills and couldn’t manage it. I struggle to absorb certain information. I was so anxious. Without [the Advisor’s] help we would not have known about credit vouchers – this was really, really helpful for us for the month. I did not even know that I could change suppliers. I find it easier with things demonstrated rather than written down. It helps when you are struggling to have someone there to help.”*

*“ScottishPower bill for £4000 and threatened by court action. The Advisor supported me to get all sorted – he did things I couldn’t have done. I got a refund. He dealt with it brilliantly, and I am now set up so that everything is manageable, I have a good payment plan, and I have managed to keep on top of everything.”*

- Collaborative working between Changeworks, CABx and HES partners, e.g. cross-referrals co-ordinated marketing and promotional activities.
- Added value funding secured to complement Warm & Well in-depth support: Energy Redress funding for online sessions/workshops, light-touch advice (stalls, energy cafés) and provision of a hardship fund for small measures. Enables flexible and responsive delivery of support across the region.
- Strategic partnerships being formed with Public Health Scotland who are interested in hearing project updates.

#### Future plans

- To work in partnership with Scottish Borders Housing Association to administer their Social Housing Support Fund to provide people in fuel debt with energy credit crisis support.
- To maximise partnership work – with the Partnership Co-ordinator now in post this work is increasing at pace:
  - o We have meetings arranged with Scottish Borders Council health and social care community teams
  - o We will be attending community hub meetings and forums across the region to promote the project and develop links
  - o Marketing campaign in development to promote the project across the region. This will include regional outreach event/s and a week of online activity (webinars, advice sessions, etc) delivered by partners (Changeworks, CAB, SBC and HES).
- Week-long W&W promotional activity, social media and online engagement
- Inclusion in STRATA portal once this work has resumed.

## **Case Study 2 – Identifying and addressing fuel poverty and energy debt.**

The client was referred to CAB through partnership working with the Early Years' service across the borders. A change in household circumstance meant a reduction in money coming in but also a lot of stress and emotional anxiety, meaning the client found it difficult to keep on top of her finances. She turned to online gambling as a way of coping. This led to her getting behind on everyday household expenses.

The client was assisted to access basic banking and now has a current account without an overdraft. The adviser worked with the client to maximise her income and access relevant benefits such as a Discretionary Housing Payment, Council Tax Reduction but also to notify all benefit agencies of her change in circumstances to ensure the correct award was received. The Adviser worked with the client to reduce household expenditure and to seek support for her gambling.

As the adviser began to discuss fuel usage and fuel debt, it became apparent that Changeworks was actively working with the client to reduce her fuel debt and ongoing costs. The adviser sought consent from the client to reach out to Changeworks, discuss support and confirm a plan moving forward. It was agreed that Changeworks would continue to support the client with her energy debt and offer energy advice. The value of partnership working was highlighted at this stage as it was discussed that in applying for 2 grant funds, as the CW advisor was going to do, this could affect the client's sequestration process. An agreement was reached over what would best benefit the client and her situation and how best to proceed.

At this time the client had over £4000 of debt with her energy company. The Changeworks advisor spoke to the energy company on the client's behalf and, after identifying billing issues was able to gain a bill reduction for the client of over £1000. The advisor went on to refer the client for one grant fund to further reduce her energy debt which was successful. The advisor has also discussed with the client how she uses energy within the home and measures for reducing her monthly usage where possible.

Following this, the client was still insolvent so the Money Advice Worker is in the process of arranging the client's sequestration so she can start afresh and concentrate on caring for herself and her children.

The client also still has some outstanding energy debt. The Changeworks advisor is awaiting the results of a funding application to reduce this debt, thereby making the client's energy payments going forward affordable and more manageable.

## **Case Study 3 & Overview – Timescales and typical turn around to realise savings or benefits.**

The benefits system is complex and made up of benefits with different criteria and timescales. To give an idea of the time and effort put into benefits work by the advisers, please see below a detailed case study and a more simplified table of events, timescales and financial gain.

The client's friend showed her a Facebook post Roxburgh & Berwickshire Citizens Advice Bureau had posted to ask those struggling with heating bills to contact the service for help. Client is severely disabled with a mixture of physical and mental health issues meaning she spent large portions of time in the house resulting in higher fuel bills.

She contacted our local office by phone and the Warm & Well adviser established she could maximise the household income to support the additional housing costs.

The client had been transferred to Contributions based Employment & Support Allowance (ESA) after the government ended claims to Incapacity Benefit. Contribution based ESA is a benefit paid by the DWP for those not able to work due to ill health and is based on the person's national insurance record. The DWP sent the client notification that her

contributions-based ESA had come to an end after it was found she had paid insufficient National Insurance Contributions and she wasn't eligible for Income Related ESA as her husband's salary pushed their household income over the earnings threshold.

The adviser undertook a Quick Benefits Check and established an entitlement to Universal Credit (UC) as well as an underlying entitlement to the Limited Capability for Work Related Element (LCWRA) in UC due to the historic ESA claim, the potential for a Discretionary Housing Payment (DHP) to assist with the under-occupancy rules which mean they receive less assistance with rent payments because they are considered to have spare rooms.

Due to the client's health concerns she was also assisted to apply for Personal Independence Payment (PIP), a DWP benefit to assist those impacted by health issues to the point where it limits their ability to deal with their daily living needs and their ability to move around safely and without pain. The client was assisted to apply for this "points based non-means tested" benefit. During the application process the adviser identified, using the DWP's criteria descriptors, that the client may be likely to receive the standard rate for both the Daily Living and Mobility Component.

Unfortunately, the DWP decision maker only awarded points high enough to award the Standard Rate Mobility component and no eligibility for the Daily Living Component.

The CAB assisted the client to lodge a mandatory reconsideration, detailing the client's original answers to the application questions and making clear where these differed from the DWP decision maker's assessment and why the client disagreed with the award.

Thankfully the DWP review team altered the original decision and agreed to award both components at the standard rate for 2 years and backdated the award to the original date of claim.

The award of PIP meant the client's husband could claim the carers element of UC and was assisted by CAB to do so, again requesting a backdate to the date of the original claim for PIP.

Overall the client is £951 better off per month after CAB's input meaning they are able to afford daily living costs and are no longer having to make a choice between eating or keeping warm. They report having a better outlook for the future.

The adviser took 42 hours to complete this case and cost the project £619.92 giving a return on investment of £24 for every pound of funding.

<b>Benefit</b>	<b>When claimed</b>	<b>When awarded</b>	<b>Financial Gain (12 months)</b>
Universal Credit (LCWRA)	August 2020	October 2020	£4,453.56
DHP	August 2020	November 2020	£650.04
PIP Mobility Component	August 2020	January 2021 but backdated to August 2020	Backdated amount – £513.50  Current award - £1,232.40
PIP Daily Living Component	August 2020	March 2021 but backdated to August 2020	Backdated amount – £2,080  Current award - £3,120

Universal Credit (Carers Element)	March 2021	Backdated to August 2020	Backdated amount – £1,304  Current award - £1,956
<b>TOTAL</b>			<b>£15,309.50</b> inclusive of any backdate and a 12-month projection

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## **REVISED COMPLAINTS HANDLING PROCEDURE**

**Report by Director Resilient Communities**

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### **EXECUTIVE COMMITTEE**

**16 November 2021**

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

**1.1 This report proposes the endorsement of the revised Complaints Handling Procedure**

1.2 The report also outlines the key changes being introduced in the revised Complaints Handling Procedure which has been developed following a review by the Scottish Public Services Ombudsman.

#### **2 RECOMMENDATIONS**

**2.1 I recommend that the Committee endorse the revised Complaint Handling Procedure for all Council Departments.**

### **3 BACKGROUND**

- 3.1 The Public Services Reform (Scotland) Act 2010 (the Act) gave the Scottish Public Services Ombudsman (SPSO) the authority to lead the development of a standardised Complaints Handling Procedure (CHP) for the public sector. The Act built on the work of the Crerar and Sinclair reports that sought to improve public sector complaints handling.
- 3.2 The original Local Authority Model Complaints Handling Procedure (MCHP) was published by the SPSO on 28 March 2012 for implementation by 31 March 2013.
- 3.3 In 2018-19, the SPSO conducted a review of the MCHP to establish its effectiveness and usability. Following consultation across all sectors, the MCHPs were revised to standardise the core text across all of Scotland's public services and to update the MCHPs in line with issues identified by the SPSO in their casework, research and good practice.
- 3.4 The updated MCHPs were published under section 16B(5) of the Scottish Public Services Ombudsman Act 2002 on 31 January 2020 with an expectation that public sector organisations would have implemented any changes by April 2021.
- 3.5 The response to Covid-19 has interrupted the planned implementation of the revised MCHP at Scottish Borders Council. The implementation is currently planned for December 2021.

### **4 SCOTTISH PUBLIC SECTOR OMBUDSMAN MODEL COMPLAINTS PROCEDURE**

- 4.1 The SPSO has determined under his statutory powers that the MCHP applicable to Scottish Local Authorities will consist of two stages (Frontline and Investigation) each with specific timelines.
- 4.2 The underlying principles of the MCHP still apply to the revised MCHP
  - simplicity of handling complaints
  - speed of recognising and dealing with complaints
  - resolution of complaints by frontline staff whenever possible
  - staff being trained to avoid complaints
  - staff trained to deal with complaints as they arise
  - lessons being learned from complaints handled
  - valuing complaints as an aid to improvement
- 4.3 The MCHP envisages simple complaints (Frontline) being recognised, addressed and fully resolved at the earliest opportunity by staff dealing directly with frontline contact. These are expected to be dealt with immediately or within 5 days as a rule but in exceptional circumstances, this could be extended to a maximum of 10 days. If at any time it appears the complaint could not be dealt with in that timescale, it must be moved to the next stage – Investigation.

- 4.4 The Investigation stage is expected to take no longer than 20 working days in total although it may be extended in exceptional circumstances.
- 4.5 There is no option for a third stage and where the complaint has been dealt with at Investigation stage and the customer remains dissatisfied the next action would be for the customer to refer the matter to the SPSO who would then directly handle and investigate matters.
- 4.6 A stated intent within the MCHP is that senior managers and officers within Local Authorities are actively involved in the complaints handling and resolution process. This is to engender a culture of valuing the insight provided by complaints and learning from them to improve customer service and future service provision. It is also to ensure complaints are treated with due seriousness within the organisation.
- 4.7 The definition of a complaint is unchanged and is defined as "...an expression of dissatisfaction by one or more members of the public about the Council's action or lack of action, or about the standard of service provided by or on behalf of the Council."

## **5 KEY CHANGES IN THE REVISED MODEL COMPLAINTS HANDLING PROCEDURE**

- 5.1 There is no longer a standalone Social Work MCHP
- (a) In line with feedback received during the SPSO's public consultation on the revision of the MCHPs, they combined the MCHPs for the local authority and social work sectors into a single document.
  - (b) Much of the core text in the revised MCHP has been taken from the Social Work MCHP, which was the last MCHP to be developed by the SPSO prior to their 2018/19 review of the MCHPs.
  - (c) The revised Local Authority MCHP includes some additional text and examples specific to local authorities and health and social care partnerships (HSCPs) handling social work complaints.
- 5.2 Structure and presentation
- (a) The procedure is now presented in five parts to make relevant information easier to find. The five parts are:
    - Part One: Introduction and Overview
    - Part Two: When to use this Procedure
    - Part Three: The Complaints Handling Process
    - Part Four: Governance
    - Part Five: Customer Facing Complaints Handling Procedure
  - (b) The core text has been standardised by the SPSO across all sectors in Scotland. Additional sector-specific text and examples have been included in each version.
- 5.3 Resolving complaints
- (a) Organisations may now resolve a complaint by agreeing any action to be taken with the customer, without making a decision on whether to uphold, not uphold or partially uphold the complaint.

- (b) A clear record of the resolution agreed and signposting to next stage are required.
- 5.4 Agreeing the complaint and outcome sought at stage 2
  - (a) Organisations must agree the points of complaint and outcome sought with the complainant at the start of stage 2 (investigation).
  - (b) Where the points of complaint and outcome sought are clear, this can be done by setting these out in the complaint acknowledgement letter.
- 5.5 Time limit for making complaints
  - (a) The six-month timeframe to make a complaint also now applies where the customer wishes to escalate to Stage 2 because they are unhappy with the Stage 1 response.
  - (b) Therefore, the customer must escalate their complaint to Stage 2 within six months of becoming aware of the issue they are complaining about, or they must escalate their complaint to Stage 2 within two months of receiving their Stage 1 response, whichever is later.
- 5.6 Supporting staff
  - (a) Organisations must share relevant parts of the complaint and response with any staff members who have been complained about.
  - (b) At stage 2, staff members must be given information about the complaint process, support must be made available, and they must be kept updated on any timeframe extensions.
- 5.7 Equality and accessibility
  - (a) Organisations will customise this section to reflect local actions staff may take to support equal access to the complaints process (including for vulnerable groups).
  - (b) Officers at SBC will engage with the Equalities Forum regarding the new complaint recording system and the Council's approach to supporting vulnerable clients and customers to make complaints.
- 5.8 Complaints on social media (and other digital platforms)
  - (a) As a minimum, organisations must respond to complaints on the organisation's own social media channels by signposting to the complaint process and support available.
  - (b) This section will be customised to reflect Scottish Borders Council's policy and approach
- 5.9 Contact from MPs, MSPs and Councillors
  - (a) Organisations can set out details of local procedures but must ensure they comply with relevant legislation
  - (b) Where a complaint is brought by an MP, MSP or elected member, the organisation must handle it in line with the Complaints Handling Procedure and ensure they do not operate a two-tier system.

- 5.10 Performance indicators
- (a) Organisations are to report on and publish complaint statistics in line with performance indicators published by the SPSO
  - (b) These are currently being developed, and will include core performance indicators applicable to all sectors
  - (c) Additional performance indicators to support benchmarking are being developed for some sectors, including the Local Authority sector, in consultation with those sectors' complaint handling networks

## **6 NEW COMPLAINTS HANDLING RECORDING SYSTEM**

- 6.1 One of the reasons the implementation of the MCHP has been delayed is that a new complaints handling recording system is being built as part of the Council's digital customer access project.
- 6.2 Jadu is the software currently used to host SBC's website. Jadu provides a content management solution that is being developed to customise a new customer relationship management system for SBC.
- 6.3 The new complaints recording system is being built because Lagan CRM, the current customer relationship management system, is being decommissioned. Lagan CRM will be replaced by improved technology available through Jadu.
- 6.4 The reporting software Cognos BI has already been replaced by Microsoft Power BI.
- 6.5 During the response to, and recovery from, Covid-19 the majority of officers working on the build of the new system were redeployed to work on Covid-19 related projects.
- 6.6 The officers are now back working on the new build and the system is currently planned to go live in December 2021.

## **7 LEARNING FROM COMPLAINTS**

- 7.1 The new complaints recording system that is being built in Jadu will make a number of improvements to the way the current complaints handling process is managed.
- 7.2 One of the key changes will be an improved focus on learning from complaints.
- 7.3 This is fundamentally important if we are to reduce the recurrence of complaints and continually improve.
- 7.4 The new system will record the reasons behind officer's decision-making, the lessons that have been learned from the complaint case, the root cause of the complaint and the improvement actions that officers have already taken, and any improvement actions to be taken in the future.

- 7.5 This information will regularly be reported on to management teams and the progress of improvement actions will be followed up to ensure completion.

## **8 IMPACT ON STAFF**

- 8.1 Officers engaged in work that brings them into direct contact with customers will require awareness and or operational training on the new system and procedures. Work is ongoing with Human Resources to develop a suite of SB Learning modules. These modules will provide standard training information and course material relevant to staff needs and to ensure overall staff awareness of the new system and procedure.
- 8.2 All new staff are required to receive training on the Complaints Handling Procedure as part of the induction process, and mandatory refresher training is provided for current staff on a regular basis.
- 8.3 Officers directly involved in complaints handling and responses will receive training on the new procedures and the new complaints recording system. Work is ongoing to ensure standard induction material and staff training reflects the new Complaints Handling Procedure.

## **9 IMPLICATIONS**

### **9.1 Financial**

The training and computer system changes will be met from existing resources, therefore, there are no financial implications associated with this report other than those associated with staff time spent on receiving awareness training.

However, it should be noted that given the significant change in the complaints recording system and the length of time since comprehensive complaints refresher training was done the training impact will be a significant investment in time.

Primarily this investment will be made by Customer Advice and Support Service staff who will need to deliver this training initially, but also all officers involved in responding to complaints will be required to do complaints recording system, complaints process refresher and complaints culture at Scottish Borders Council training.

### **9.2 Risk and Mitigations**

- (a) The MCHP has a statutory basis and non-compliance could lead to orders to comply and ultimately Parliamentary censure. The introduction of the revised Complaints Handling Procedure and new complaint recording system within Jadu mitigates that risk.
- (b) Failure to adequately advise and train staff in the new procedure could lead to non-compliance. Appropriate training material is being developed and methods of delivery investigated.

### 9.3 **Integrated Impact Assessment**

A light touch assessment has been conducted and this will be published on Scottish Borders Council's Equality and Diversity Pages of the website as equality, diversity and socio-economic factors have duly been considered when preparing this report. This report is for an amendment to the current Complaints Handling procedure, which is based on the SPSO's MCHP. Each public sector organisation across Scotland is required to implement the MCHP.

The MCHP has been developed with the intent of placing customers at the heart of the complaints process and it highlights Local Authorities duties and responsibilities in relation to Equalities Legislation.

In addition, officers will be engaging with the Equalities Forum regarding the new complaint recording system and the Council's approach to supporting vulnerable clients and customers to make complaints.

### 9.4 **Sustainable Development Goals**

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

### 9.5 **Climate Change**

It is not anticipated that this revised procedure will have any significant impact on climate change. The new complaints recording system is however building in options to issue responses via electronic means, including a self-serve portal. This will result in some reduction in paper usage and posting of physical letters that will reduce the complaints process' carbon footprint.

### 9.6 **Rural Proofing**

It is anticipated there will be no adverse impact on the rural area from the proposals contained in this report.

### 9.7 **Data Protection Impact Statement**

It is anticipated that the proposals in this report will have a minimal impact on data subjects and the Data Protection Officer has confirmed that a Data Protection Impact Assessment is not required.

However, the MCHP does include a section on maintaining confidentiality and data protection, and has frequent reminders about data protection and the requirements to comply with the legislation throughout the procedure.

There is an overarching Data Protection Impact Assessment (DPIA) for Jadu that covers the technical aspects of the functionality that we currently use, but a specific DPIA lite will be completed for the complaints recording system.

### 9.8 **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.

## 10 CONSULTATION

10.1 The Director (Finance & Corporate Governance), Chief Legal Officer (including as Monitoring Officer), Chief Officer Audit & Risk, Director (People Performance & Change), Director (Resilient Communities), Clerk to the Council, Corporate Communications, Corporate Equalities and Diversity Officer, Customer Advice and Support Service Manager have been consulted and their comments incorporated into the final report.

### Approved by

**Name:** Jenni Craig      **Title:** Director – Resilient Communities

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**Background Papers:** Current Complaints Handling Procedure

**Previous Minute Reference:** Executive 2 November 2012 Item No. 5

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

Contact us at Customer Advice and Support Service, Scottish Borders Council, Council Headquarters, Newtown St Boswells, Melrose, TD6 0SA Tel: 01835 824000. Email: [CustomerAdvice@scotborders.gov.uk](mailto:CustomerAdvice@scotborders.gov.uk)



# Scottish Borders Council Complaints Handling Procedure

## Part 1: Introduction and Overview

<i>Version</i>	<i>Description</i>	<i>Date</i>
1	Local Authority MCHP published on SPSO website	March 2012
1	Social Work MCHP published on SPSO website	December 2016
2	Combined and revised version published on SPSO website	January 2020

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## Foreword

From Netta Meadows

Across Scotland, there is a standard approach to handling complaints for all public services. The aim is to ensure consistency and to help us 'get it right first time'. We want quicker, simpler and more streamlined complaints handling, with local, early responses by capable, well-trained staff.

Our approach to complaints handling at Scottish Borders Council should mirror our aim to provide residents and business owners with consistently high quality customer focused services. If we do fall short of these standards, our customers should feel confident that by telling us we will take appropriate steps to make things right, and importantly put in place any learning to ensure we don't repeat mistakes. To achieve this we must be open and honest about what went wrong, how we will fix the problem and what we will do to ensure the problem does not happen again in the future.

We must also commit to valuing complaints and feedback from our customers. Complaints give us valuable information we can use to continuously improve the services we provide, and to increase customer satisfaction with the services we deliver.

By handling complaints locally and quickly, as close to the point of service delivery as we can, complaints are less likely to escalate to the next stage of the procedure. Handling complaints quickly will help us to build better relationships with our customers and it will also help us minimise the resources we use when responding to complaints. Complaints that we do not handle swiftly can greatly add to our workload and are more costly to administer.

Where it is appropriate to conduct, an investigation into the problem raised by a customer the investigation must be thorough, impartial and fair. This will enable us to make decisions based on the evidence and facts. Rather than being defensive about criticism, we must recognise the benefits of receiving a first-hand account of the customers' views and experience. Viewing complaints positively will help us to provide better services, improve our relationships with our customers and enhance the public perception of Scottish Borders Council. It will help us keep the customer at the heart of the process and enable us to better understand how to improve our services by learning from complaints.

## Structure of the Complaints Handling Procedure

1. This Complaints Handling Procedure (CHP) explains to staff how to handle complaints. The CHP consists of:
  - **Part One:** Overview and structure – this document
  - **[Part Two:](#)** When to use the procedure  
Guidance on identifying what is and what is not a complaint, handling complex or unusual complaint circumstances, the interaction of complaints and other processes, and what to do if the CHP does not apply
  - **[Part Three:](#)** The complaints handling process  
Guidance on handling a complaint through stages 1 and 2, and dealing with post-closure contact
  - **[Part Four:](#)** Governance of the procedure  
Staff roles, responsibilities, and guidance on recording, reporting, publicising and learning from complaints
  - **[Part Five:](#)** The customer-facing CHP  
Information for customers on how we handle complaints
2. When using the CHP, please also refer to the 'SPSO Statement of Complaints Handling Principles' and good practice guidance on complaints handling from the SPSO. [www.spsso.org.uk](http://www.spsso.org.uk)

## Overview of the CHP

3. Anyone can make a complaint, either verbally or in writing, including face-to-face, by phone, letter or email.
4. We will try to resolve complaints to the satisfaction of the customer wherever this is possible. Where this is not possible, we will give the customer a clear response to each of their points of complaint. We will always try to respond as quickly as we can (and on the spot where possible).
5. Our complaints procedure has two stages. We expect the majority of complaints will be handled at stage 1. If the customer remains dissatisfied after stage 1, they can request that we look at it again, at stage 2. If the complaint is complex enough to require an investigation, we will put the complaint into stage 2 straight away and skip stage 1.

<b>Stage 1: Frontline response</b>	<b>Stage 2: Investigation</b>	<b>Independent external review (SPSO or other)</b>
<p>For issues that are straightforward and simple, requiring little or no investigation</p> <p>'On-the-spot' apology, explanation, or other action to put the matter right</p> <p>Complaint resolved or a response provided in <b>five working days</b> or less (unless there are exceptional circumstances)</p> <p>Complaints addressed by any member of staff, or alternatively referred to the appropriate point for frontline response</p> <p>Response normally face-to-face or by telephone (though sometimes we will need to put the decision in writing)</p> <p>We will tell the customer how to escalate their complaint to stage 2</p>	<p>Where the customer is not satisfied with the frontline response, or refuses to engage at the frontline, or where the complaint is complex, serious or 'high-risk'</p> <p>Complaint acknowledged within <b>three working days</b></p> <p>We will contact the customer to clarify the points of complaint and outcome sought (where these are already clear, we will confirm them in the acknowledgement)</p> <p>Complaint resolved or a definitive response provided within <b>20 working days</b> following a thorough investigation of the points raised</p>	<p>Where the customer is not satisfied with the stage 2 response from the service provider</p> <p>The SPSO will assess whether there is evidence of service failure or maladministration not identified by the service provider</p> <p>In relation to social work decisions the SPSO can also look at professional decisions</p> <p>Some complaints may also have an alternative route for independent external review</p>

6. For detailed guidance on the process, see [Part 3: The complaints handling process](#).

## Expected behaviours

7. We expect all staff to behave in a professional manner and treat customers with courtesy, respect and dignity. We also ask customers bringing a complaint to treat our staff with respect. We ask customers to engage actively with the complaint handling process by:
  - telling us their key issues of concern and organising any supporting information they want to give us (we understand that some people will require support to do this)
  - working with us to agree the key points of complaint when an investigation is required; and
  - responding to reasonable requests for information.
8. We have a policy in place for when these standards are not met which is our Vexatious Complaints and Correspondence Policy
9. We recognise that people may act out of character in times of trouble or distress. Sometimes a health condition or a disability can affect how a person expresses themselves. The circumstances leading to a complaint may also result in the customer acting in an unacceptable way.
10. Customers who have a history of challenging or inappropriate actions, or have difficulty expressing themselves, may still have a legitimate grievance, and we will treat all complaints seriously. However, we also recognise that the actions of some customers may result in unreasonable demands on time and resources or unacceptable behaviour towards our staff. We will, therefore apply our policies and procedures to protect staff from unacceptable actions such as unreasonable persistence, threats or offensive behaviour from customers. Where we decide to restrict access to a customer under the terms of our policy, we have a procedure in place to communicate that decision, notify the customer of their right of appeal, and review any decision to restrict contact with us. See *Unacceptable Actions Policy* and Guidelines.
11. If we decide to restrict a customer's contact, we will be careful to follow the process set out in our policy and to minimise any restrictions on the customer's access to the complaints process. We will normally continue investigating a complaint even where contact restrictions are in place (for example, limiting communication to letter or to a named staff member). In some cases, it may be possible to continue investigating the complaint without contact from the customer. Our policy allows us in limited circumstances to restrict access to the complaint process entirely. This would be as a last resort, should be as limited as possible (for a limited time, or about a limited set of subjects) and requires approval from the Complaints Review Group. Where access to the complaint process is restricted, we must signpost the customer to the SPSO (see [Part 3: Signposting to the SPSO](#)).
12. The SPSO has [guidance on promoting positive behaviour and managing unacceptable actions](#).

## Maintaining confidentiality and data protection

13. Confidentiality is important in complaints handling. This includes maintaining the customer's confidentiality in relation to information about staff members, contractors or any third parties involved in the complaint.
14. This should not prevent us from being open and transparent, as far as possible, in how we handle complaints. This includes sharing as much information with the complainant (and, where appropriate, any affected staff members) as we can. When sharing information, we should be clear about why the information is being shared and our expectations on how the recipient will use the information.
15. We must always bear in mind legal requirements, for example data protection legislation, as well as internal policies on confidentiality and the use of customer information. Guidance on Data Protection or Information Management processes at Scottish Borders Council can be found at the following [link](#). Alternatively, you can email [dataprotection@scotborders.gov.uk](mailto:dataprotection@scotborders.gov.uk) or [infoteam@scotborders.gov.uk](mailto:infoteam@scotborders.gov.uk) and a member of the team will assist you. The [Information Commissioner's Office](#) also has detailed guidance on data sharing and has issued a data sharing code of practice.
16. The following are some examples of where a response to a complaint may be limited by confidentiality:
  - where a complaint has been raised against a staff member and has been upheld – we will advise the customer that their complaint is upheld, but would not share specific details affecting staff members.
  - where disciplinary action is taken against a staff member we would advise the customer that we are investigating the matter using an internal procedure, and due to Data Protection Legislation are not able to share the outcome of the investigation.
  - where someone has raised a concern about a child or an adult's safety and is unhappy about how that has been dealt with – we would look into this to check whether the safety concern had been properly dealt with, but we would not share any details of our findings in relation to the safety concern.



# Scottish Borders Council Complaints Handling Procedure

## Part 2:

## When to use this procedure

<i>Version</i>	<i>Description</i>	<i>Date</i>
1	Local Authority MCHP published on SPSO website	March 2012
1	Social Work MCHP published on SPSO website	December 2016
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## What is a complaint?

1. Scottish Borders Council's definition of a complaint is: 'an expression of dissatisfaction by one or more members of the public about Scottish Borders Council's action or lack of action, or about the standard of service provided by or on behalf of Scottish Borders Council.
2. For clarity, where an employee also receives a service from Scottish Borders Council as a member of the public, they may complain about that service.
3. A complaint may relate to the following, but is not restricted to this list:
  - failure or refusal to provide a service
  - inadequate quality or standard of service, or an unreasonable delay in providing a service
  - dissatisfaction with one of our policies or its impact on the individual
  - failure to properly apply law, procedure or guidance when delivering services
  - failure to follow the appropriate administrative process
  - conduct, treatment by or attitude of a member of staff or contractor (**except** where there are arrangements in place for the contractor to handle the complaint themselves: see **Complaints about contracted services**); or
  - disagreement with a decision, (**except** where there is a statutory procedure for challenging that decision, or an established appeals process followed throughout the sector).
4. **Appendix 1** provides a range of examples of complaints we may receive, and how these may be handled.
5. A complaint **is not**:
  - a routine first-time request for a service (see **Complaints and service requests**)
  - a first-time report of a fault (for example, potholes or street lighting)
  - a request for compensation only (see **Complaints and compensation claims**)
  - issues that are in court or have already been heard by a court or a tribunal (see **Complaints and legal action**)
  - disagreement with a decision where there is a statutory procedure for challenging that decision (such as for freedom of information and subject access requests), or an established appeals process followed throughout the sector – such as council tax, planning, or a parking ticket appeal (see also **Complaints and social work appeals**)
  - disagreement with decisions or conditions that are based upon social work recommendations, but determined by a court or other statutory body, for example decisions made by a children's panel, parole board or mental health tribunal
  - a request for information under the Data Protection or Freedom of Information (Scotland) Acts
  - a grievance by a staff member or a grievance relating to employment or staff recruitment
  - a concern raised internally by a member of staff (which was not about a service they received, such as a whistleblowing concern)
  - a concern about a child or an adult's safety

- an attempt to reopen a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision
  - abuse or unsubstantiated allegations about our organisation or staff where such actions would be covered by our Vexatious Complaints & Correspondence Policy; or
  - a concern about the actions or service of a different organisation, where we have no involvement in the issue (**except** where the other organisation is delivering services on our behalf: see **Complaints about contracted services**).
6. We will not treat these issues as complaints, and will instead direct customers to use the appropriate procedures. Some situations can involve a combination of issues, where some are complaints and others are not, and each situation should be assessed on a case-by-case basis.
7. If a matter is not a complaint, or not suitable to be handled under the CHP, we will explain this to the customer, and tell them what (if any) action we will take, and why. See **What if the CHP does not apply**.
8. **Appendix 2** gives examples of more complex complaints, some of which are not appropriate for this CHP (**Appendix 3** gives examples specific to social work). The section on **Complaints relevant to other agencies** provides information about some of the other agencies that may be able to assist customers if their complaint is not appropriate for this CHP.

## Who can make a complaint?

9. Anyone who receives, requests, or is affected by our services can make a complaint. This is not restricted to 'service users' and their relatives or representatives, but may also include people who come into contact with or are affected by these services, for example people who live in close proximity to a social work service provision, such as a care home or day centre. In this procedure, these people are termed 'customers', regardless of whether they are or were using a service.
10. We also accept complaints from the representative of a person who is dissatisfied with our service. See **Complaints by (or about) a third party**.

## Supporting the customer

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11. All members of the community have the right to equal access to our complaints procedure. It is important to recognise the barriers that some customers may face complaining. These may be physical, sensory, communication or language barriers, but can also include their anxieties and concerns. Customers may need support to overcome these barriers.
12. We have legal duties to make our complaints service accessible under equalities and mental health legislation. For example:
  - the Equality Act (Scotland) 2010 – this gives people with a protected characteristic the right to reasonable adjustments to access our services (such as large print or BSL translations of information); and
  - the Mental Health (Care and Treatment) (Scotland) Act 2003 – this gives anyone with a 'mental disorder' (including mental health issues, learning difficulties, dementia and autism) a right to access independent advocacy. This must be delivered by independent organisations that only provide advocacy. They help people to know and understand their rights, make informed decisions and have a voice.
13. Examples of how we will meet our legal duties are:
  - providing interpretation and/or translation services for British Sign Language users or where information is requested in another language;
  - providing large print where requested and
  - helping customers access independent advocacy (the Scottish Independent Advocacy Alliance website has information about local advocacy organisations throughout Scotland).
14. In addition to our legal duties, we will seek to ensure that we support vulnerable groups in accessing our complaints procedure. Actions that we may take include:
  - helping vulnerable customers identify when they might wish to make a complaint (for example, by training frontline staff who provide services to vulnerable groups)
  - helping customers access independent support or advocacy to help them understand their rights and communicate their complaints (for example, through the Scottish Independent Advocacy Alliance or Citizen's Advice Scotland); and
  - providing a neutral point of contact for complaints (where the relationship between customers and frontline staff is significant and ongoing)
15. These lists are not exhaustive, and we must always take into account our commitment and responsibilities to equality and accessibility.

## How complaints may be made

16. Complaints may be made verbally face to face or by phone and they can be made in writing online, by email or letter.
17. Where a complaint is made **verbally**, we will make a record of the key points of complaint raised. Where it is clear that a complaint is complex it will be immediately considered at stage 2 (investigation). We may consider completing a complaint form with the customer's input to ensure full details of the complaint are documented. However, there is no requirement for the customer to complete a complaint form, and it is important that the completion of a complaint form does not present a barrier to customers complaining.
18. Complaint issues may also be raised on **digital platforms** (including **social media**).
19. Where a complaint issue is raised via a digital channel managed and controlled by Scottish Borders Council (for example an official Twitter address or Facebook page), we will explain that we do not take complaints on social media, but we will tell the person how they can complain.
20. We may also become aware that an issue has been raised via a digital channel not controlled or managed by us (for example a YouTube video or post on a private Facebook group). In such cases, we **may** respond, where we consider it appropriate, by telling the person how they can complain.
21. We must always be mindful of our data protection obligations when responding to issues online or in a public forum. See [Part 1: Maintaining confidentiality and data protection](#).

## Time limit for making complaints

22. The customer must raise their complaint within six months of when they first knew of the problem, unless there are special circumstances for considering complaints beyond this time (for example, where a person was not able to complain due to serious illness or recent bereavement).
23. Where a customer has received a stage 1 response, and wishes to escalate to stage 2, unless there are special circumstances they must request this either:
  - within six months of when they first knew of the problem; or
  - within two months of receiving their stage 1 response (if this is later).
24. We will apply these time limits with discretion, taking into account the seriousness of the issue, the availability of relevant records and staff involved, how long ago the events occurred, and the likelihood that an investigation will lead to a practical benefit for the customer or useful learning for the organisation.
25. We will also take account of the time limit within which a member of the public can ask the SPSO to consider complaints (normally one year). The SPSO have discretion to waive this time limit in special circumstances (and may consider doing so in cases where we have waived our own time limit).

## Particular circumstances

### Complaints by (or about) a third party

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26. Sometimes a customer may be unable or reluctant to make a complaint on their own. We will accept complaints from third parties, which may include relatives, friends, advocates and advisers. Where a complaint is made on behalf of a customer, we must ensure that the customer has authorised the person to act on their behalf. It is good practice to ensure the customer understands their personal information will be shared as part of the complaints handling process (particularly where this includes sensitive personal information). This can include complaints brought by parents on behalf of their child, if the child is considered to have capacity to make decisions for themselves.
27. The provision of a signed mandate from the customer will normally be sufficient for us to investigate a complaint. If we consider it is appropriate we may take verbal consent, direct from the customer to deal with a third party and would normally follow up in writing to confirm this.
28. In certain circumstances, a person may raise a complaint involving another person's personal data, without receiving consent. The complaint should still be investigated where possible, but the investigation and response may be limited by considerations of confidentiality. The person who submitted the complaint should be made aware of these limitations and that they will not receive a response to the complaint. Where we do not receive a signed mandate, we will issue the response to the customer and not to the third party who raised the complaint.
29. See also [Part 1: Maintaining confidentiality and data protection](#).

### Serious, high-risk or high-profile complaints

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30. We will take particular care to identify complaints that might be considered serious, high-risk or high profile, as these may require particular action or raise critical issues that need senior management's direct input. Serious, high-risk or high profile complaints should normally be handled immediately at stage 2 (see [Part 3: Stage 2: Investigation](#)).
31. We define potential high-risk or high-profile complaints as those that may:
- *involve a death or terminal illness*
  - *involve serious service failure, for example major delays in providing, or repeated failures to provide, a service*
  - *generate significant and ongoing press interest*
  - *pose a serious risk to our operations*
  - *present issues of a highly sensitive nature, for example concerning:*
    - *immediate homelessness*
    - *a particularly vulnerable person*
    - *child protection, or*
    - *adult protection.*

## Anonymous complaints

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32. We value all complaints, including anonymous complaints, and will take action to consider them further wherever this is appropriate. Generally, we will consider anonymous complaints if there is enough information in the complaint to enable us to make further enquiries. Any decision not to pursue an anonymous complaint must be authorised by an appropriate manager.
33. If we pursue an anonymous complaint further, we will record it as an anonymous complaint together with any learning from the complaint and action taken.
34. If an anonymous complainant makes serious allegations, these should be dealt with in a timely manner under relevant procedures. This may not be the complaints procedure and could instead be relevant child protection, adult protection or disciplinary procedures.

## What if the customer does not want to complain?

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35. If a customer has expressed dissatisfaction in line with our definition of a complaint but does not want to complain, we will explain that complaints offer us the opportunity to improve services where things have gone wrong. We will encourage the customer to submit their complaint and allow us to handle it through the CHP. This will ensure that the customer is updated on the action taken and gets a response to their complaint.
36. If the customer insists they do not wish to complain, we are not required to progress the complaint under this procedure. However, we should record the complaint as an anonymous complaint (including minimal information about the complaint, without any identifying information) to enable us to track trends and themes in complaints. Where the complaint is serious, or there is evidence of a problem with our services, we should also look into the matter to remedy this (and record any outcome).
37. Please refer to the example in **Appendix 1** for further guidance.

## Complaints involving more than one area or organisation

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38. If a complaint relates to the actions of two or more areas within our organisation, we will tell the customer who will take the lead in dealing with the complaint, and explain that they will get only one response covering all issues raised.
39. If a customer complains to us about the service of another organisation or public service provider, but we have no involvement in the issue, the customer should be advised to contact the appropriate organisation directly.
40. If a complaint relates to our service and the service of another organisation or public service provider, and we have a direct interest in the issue, we will handle the complaint about Scottish Borders Council through the CHP. If we need to contact an outside body about the complaint, we will be mindful of data protection. See [Part 1: Maintaining confidentiality and data protection](#).
41. Such complaints may include:
- a complaint made to us about a claim for housing benefit where the customer's dissatisfaction relates to the service we have provided and the service the DWP has provided, or
  - a complaint made to us about anti-social behaviour where the customer's dissatisfaction relates to the service we have provided and the service the housing association has provided.

## Complaints relating to a social work service and another service

42. A complaint may relate to a social work service (provided by the local authority or a HSCP) and another service provided by the same organisation. Examples are:
- a social work service and a care service both provided by a HSCP
  - a social work service and a housing service both provided by the local authority.
43. In such cases, a joint response must be given following the guidance above.
44. Alternatively, a complaint may involve services from different organisations. Examples are:
- a complaint about a social work service provided by a HSCP and a care service provided by the local authority
  - a complaint about a social work service provided by the local authority and a housing service provided by a housing association.
45. The aim with such complaints is still to provide a joint response (particularly where the organisations are linked, e.g. NHS providers), though this may not always be possible. Contact must be made with the customer to explain that their complaint partly relates to services that are delivered by another organisation, and that to respond to their complaint, we will need to share information with this organisation. Staff must check whether specific consent is needed from the customer before we can share their information with the other services, and take appropriate action where necessary, bearing in mind any data protection requirements. See [Part 1: Maintaining confidentiality and data protection](#).
46. If it is possible to give a joint response, a decision must be taken as to which service will lead the process. We must ensure that all parties are clear about this decision. The response must cover all parts of the complaint, explain the role of both services, and (for investigation stage complaints) confirm that it is the final response from both services.
47. If a joint response is not possible, you should explain to the person making the complaint the reasons why they will receive two separate responses, and whom they can get in contact with about the other aspects of their complaint. You must also write to both the customer and the other services involved, setting out which parts of the complaint you will be able to respond to.

## Complaints about contracted or commissioned services / ALEOs

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48. We may use Arm's Length External Organisations (ALEOs) to deliver certain services. They are 'arm's-length' because the council retains a degree of control or influence, usually through a funding agreement, and 'external' because they have a separate identity to the council. An example might be a charitable organisation delivering leisure and culture services on our behalf.
49. Where we use an ALEO or contractor to deliver a service on our behalf we recognise that we remain responsible and accountable for ensuring that the services provided meet Scottish Borders Council's standard (including in relation to complaints). We will either do so by:
- ensuring the contractor complies with this procedure; or
  - ensuring the contractor has their own procedure in place, which fully meets the standards in this procedure. At the end of the investigation stage of any such complaints, the contractor must ensure that the customer is signposted to the SPSO.

50. We will confirm that service users are clearly informed of the process and understand how to complain. We will also ensure that there is appropriate provision for information sharing and governance oversight where required.
51. Scottish Borders Council has discretion to investigate complaints about organisations contracted to deliver services on its behalf even where the procedure has normally been delegated.

### **Commissioned social work services**

52. Where social work services are commissioned on behalf of Scottish Borders Council, customers can make complaints under this CHP in relation to the assessment of need, the commissioning or recommendation process, and any element of the service that has been publicly funded. Complaints about any part of service that has been privately funded cannot be considered through this CHP.
53. These services may also be registered as a care service with the Care Inspectorate to deliver a care or support service. If this is the case, customers have the right to complain directly to the Care Inspectorate or to make use of the provider's CHP and thereafter make a complaint to the Care Inspectorate: see **Complaints for the Care Inspectorate**.

### **Complaints about senior staff**

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54. Complaints about senior staff can be difficult to handle, as there may be a conflict of interest for the staff investigating the complaint. When serious complaints are raised against senior staff, it is particularly important that the investigation is conducted by an individual who is independent of the situation. We must ensure we have strong governance arrangements in place that set out clear procedures for handling such complaints.

### **Complaints and other processes**

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55. Complaints can sometimes be confused (or overlap) with other processes, such as disciplinary or whistleblowing processes. Specific examples and guidance on how to handle these are below.

### **Complaints and service requests**

56. If a customer asks Scottish Borders Council to do something (for example, provide a service or deal with a problem), and this is the first time the customer has contacted us, this would normally be a routine service request and not a complaint.
57. Service requests can lead to complaints, if the request is not handled promptly or the customer is then dissatisfied with how we provided the service.

### **Complaints and disciplinary or whistleblowing processes**

58. If the issues raised in a complaint overlap with issues raised under a disciplinary or whistleblowing process, we still need to respond to the complaint.
59. Our response must be careful not to share confidential information (such as anything about the whistleblowing or disciplinary procedures, or outcomes for individual staff members). We should advise the customer, as soon as possible, that we are investigating the matter using the appropriate internal procedure and not the CHP, for example HR Disciplinary Procedure. We must also explain that due to Data Protection Legislation we are not able to share the outcome or learning from the investigation.

60. Where other service related issues are raised alongside the issue that is being investigated under the disciplinary procedures, but are not included in the scope of the disciplinary investigation, the response can include these service related issues. For example, whether service standards were met or not met, where relevant, or expected standards and what we have done to improve things, in general terms.
61. The response should advise the customer that the other matters raised (those being investigated using the disciplinary procedure) are being investigated using, for example the HR Disciplinary Procedure and not the CHP. We must also explain that due to Data Protection Legislation we are not able to share the outcome of that investigation.
62. The two investigations should be kept separate and where possible be undertaken by different officers.
63. The SPSO's report [Making complaints work for everyone](#) has more information on supporting staff who are the subject of complaints.

### **Contact from MPs, MSPs or Councillors**

64. When correspondence comes in from MPs, MSPs or elected members, in relation to one of their constituents, a determination must be made as to whether they are raising a complaint on behalf of their constituent. Where a matter is being dealt with as a complaint, it must be handled in line with this CHP. Organisations should be careful not to operate a 'two-tier' complaint system with preferential treatment for some customers.
65. Where the correspondence is deemed to be a complaint, it should be clear that the MP, MSP or Councillor is acting on behalf of the customer.
66. If this is not clear, we must request a copy of the initial request in writing made to the MP, MSP or Councillor.
67. If the MP, MSP or Councillor is unable to provide a copy of the original written request made to them, they should be asked to obtain and provide a copy of a signed mandate.
68. A signed mandate is definitely required if the original request, made to the MP, MSP or Councillor was made verbally.
69. The Information Commissioner's Office has guidance for elected members in relation to seeking third party consent at the following link:  
<https://ico.org.uk/media/for-organisations/documents/1432063/constituency-casework-of-mps-and-the-processing-of-sensitive-personal-data.pdf>

### **Complaints and compensation claims**

70. Where a customer is seeking financial compensation only, this is not a complaint. However, in some cases, the customer may want to complain about the matter leading to their financial claim, and they may seek additional outcomes, such as an apology or an explanation. Where appropriate, we may consider that matter as a complaint, but deal with the financial claim separately. It may be appropriate to extend the timeframes for responding to the complaint, to consider the financial claim first.

### **Complaints and legal action**

71. Where a customer says that legal action is being actively pursued, this is not a complaint.
72. Where a customer indicates that they are thinking about legal action, but have not yet commenced this, they should be informed that if they take such action, they should notify the complaints handler and that the complaints process, in relation to the matters that will be considered through the legal process, will be closed. Any outstanding complaints must still be addressed through the CHP.

73. If an issue has been, or is being, considered by a court, we must not consider the same issue under the CHP.

### **Social work complaints and appeals**

74. While some social work decisions may be reviewed under alternative arrangements at a local level (for example through appeal or peer review), the SPSO has the power to consider professional social work decisions. The customer should not be required to seek a reconsideration of a decision under both appeal and complaint processes, nor should they be required to make further complaint if dissatisfied with the outcome of an appeal.

75. Therefore, whilst we have discretion to operate appeals procedures, these must be regarded as a special form of complaint investigation (stage 2 of this CHP). Such appeals processes must be compliant with this procedure in terms of the rigour and documentation of the process, must be concluded within 20 working days where possible with a written response to the customer, and must be recorded as a stage 2 complaint on the relevant complaints database (unless recorded elsewhere as an appeal). If the customer raises additional issues of dissatisfaction as well as challenging a professional decision, then the process must consider and respond to every element of the customer's dissatisfaction so that no additional complaint process is required.

76. The final response letter must provide relevant text advising the customer of their right to refer the matter to the SPSO for independent consideration. The SPSO will then investigate matters in full, in line with their standard procedures.

### **Social Work Complaints and the Duty of Candour**

77. In some cases, a complaint may be prompted by a duty of candour disclosure, or a complaint investigation may itself prompt a disclosure. In such cases, we must comply with both this CHP and our duty of candour requirements.

78. It will often be possible to conduct a single review for the purposes of both the complaint investigation and the duty of candour. However, we should take care to ensure that all the issues raised in the complaint are dealt with (including any that are not relevant to the duty of candour disclosure).

### **Complaints for the Care Inspectorate**

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79. Local Authorities and any contractors that provide care services must be registered with the Care Inspectorate. This is the independent scrutiny and improvement body for care and social work across Scotland, which regulates, inspects and supports improvement of care services.

80. The Care Inspectorate has a procedure for receiving information, concerns and investigating complaints from members of the public, or their representatives, about the care services they use. The Care Inspectorate's complaints procedure is available even when the service provider has an alternative complaints procedure in place.

81. The Care Inspectorate encourages people to complain directly to the organisation they receive a service from. However, some people are not comfortable doing this and to support them, the Care Inspectorate may take complaints about care services directly.

82. When complaints are brought to us about registered care services, we have the right to share complaint information about the registered care provider with the Care Inspectorate, to decide who is best placed to investigate the complaint. We can also share the outcome of complaints about contracted and registered services with the Care Inspectorate.

Contact details for the Care Inspectorate can be found on their website:

<https://www.careinspectorate.com/>

## Complaints about Personal Assistants

83. Where an individual directly employs a Personal Assistant to provide their support, using a Direct Payment (as part of a Self-directed Support package), the Personal Assistant is not subject to registration with the Care Inspectorate under the Public Services Reform (Scotland) Act 2011, its regulations and amendments. The individual directly employing the Personal Assistant remains responsible for the management of their employee, including their performance management. The Care Inspectorate would only be able to take complaints about such support workers if they work for a registered care agency.

## Complaints relevant to other agencies

84. Customers may raise concerns about issues which cannot be handled through this CHP, but which other agencies may be able to provide assistance with or may have an interest in. This may include:

The Mental Welfare Commission:

Website: [www.mwcscot.org.uk](http://www.mwcscot.org.uk)

The Children and Young People's Commissioner Scotland:

Website: [www.cycps.org.uk](http://www.cycps.org.uk)

The Scottish Social Services Council:

Website: [www.sssc.uk.com](http://www.sssc.uk.com)

85. This list is not exhaustive, and it is important to consider the circumstances of each case, and whether another organisation may also have a role to play.

## What to do if the CHP does not apply

86. If the issue does not meet the definition of a complaint or if it is not appropriate to handle it under this procedure (for example, it is a service request), we will explain to the customer why we have made this decision. We will also tell them what action (if any) we will take (for example, if another procedure applies), and advise them of their right to contact the SPSO if they disagree with our decision not to respond to the issue as a complaint.

87. Where a customer continues to contact us about the same issue, we will explain that we have already given them our final response on the matter and signpost them to the SPSO. We may also consider whether we need to take action under our Vexatious Complaints and Correspondence Policy.

88. The SPSO has issued a [template letter for explaining when the CHP does not apply](#).

## Appendix 1 – Complaints

The following tables give examples of complaints that may be considered at the frontline stage, and suggest possible actions. For ease of reference, examples of social work complaints are provided in a separate table.

Complaint	Possible actions
The customer complains that their council tax direct debit has been set up wrongly.	Apologise to the customer and update the direct debit details.
The customer has provided evidence to verify their claim for benefits, but the Benefits Service has not updated their case records with this information.	<ul style="list-style-type: none"> <li>• Apologise to the customer.</li> <li>• Update the customer's benefit record to record receipt of evidence.</li> <li>• Check that the benefit award is corrected from the appropriate date.</li> </ul>
The customer complains that a workman did not attend to carry out a housing repair as we had agreed.	<ul style="list-style-type: none"> <li>• Speak to the workman, the service or the service manager to explain the customer's complaint and to agree how to address the issue, for example by arranging a new time and date to do the repair.</li> <li>• Explain the reasons for the failed appointment and apologise to the customer.</li> </ul>
The customer complains that the quality of a repair done by us or our contractor is not satisfactory.	<ul style="list-style-type: none"> <li>• Ask the service department to examine the repair to assess whether or not it is acceptable.</li> <li>• If appropriate, agree that the service department should do more work.</li> <li>• Explain and apologise to the customer.</li> <li>• Obtain a report from the service or contractor to confirm that the repair is now complete.</li> <li>• Feedback the lessons learned from the complaint into a service improvement plan.</li> </ul>
The customer complains that a road which is on our winter gritting route has not been gritted despite previous assurances that it would be.	<ul style="list-style-type: none"> <li>• Confirm if the roads are on our agreed gritting routes.</li> <li>• If assurance had been provided that the road would be gritted, check to confirm if this action occurred, and when.</li> <li>• Where appropriate, provide an explanation and apologise to the customer.</li> <li>• Obtain confirmation from the service to confirm when the road will be gritted</li> </ul>

Complaint	Possible actions
	<ul style="list-style-type: none"> <li>• Feedback the lessons learned from the complaint into a service improvement plan.</li> </ul>
<p>The customer complains that their home carer turned up late and was smoking.</p>	<ul style="list-style-type: none"> <li>• Contact the care service to discuss the matter with a service manager.</li> <li>• The care service should check the timetable for visits and discuss with the home carer the complaint about smoking. The care service should let you know the outcome.</li> <li>• You in turn contact the customer to explain the policy, confirm the timing of visits (for example between 08:00 and 12 noon) and, where appropriate, apologise for the inconvenience.</li> </ul>
<p>The customer complains that a night-working refuse collector woke her up by making excessive noise.</p>	<ul style="list-style-type: none"> <li>• Explain our policy on refuse collection, in particular the approach to night working.</li> <li>• Tell the customer that you will pass on details of the complaint to the service to highlight the noise issue and ask the service to do what they can to control noise.</li> <li>• Apologise to the customer for the inconvenience.</li> </ul>
<p>The customer expresses dissatisfaction in line with the definition of a complaint, but says they do not want to complain – just wants to tell us about the matter.</p>	<ul style="list-style-type: none"> <li>• Tell the customer that we value complaints because they help to improve services. Encourage them to submit the complaint.</li> <li>• In terms of improving service delivery and learning from mistakes, it is important that customer feedback, such as this, is recorded, evaluated and acted upon. Therefore, if the customer still insists that they do not want to complain, record the matter as an anonymous complaint. This will avoid breaching the complaints handling procedure. Reassure the customer that they will not be contacted again about the matter.</li> </ul>

<b>Social work complaint</b>	<b>Possible actions</b>
A service user complains that a social worker did not turn up for a planned visit.	<ul style="list-style-type: none"> <li>• Apologise to the service user</li> <li>• Explain that you will look into the matter</li> <li>• Contact the social worker/manager to find out the reason for the missed appointment, then</li> <li>• Explain the reasons and offer a new appointment.</li> </ul>
A member of the public complains that a home carer parked in a private resident's car parking place.	<ul style="list-style-type: none"> <li>• Take the customer's details and explain that you will look into the matter</li> <li>• Contact the home care service to find out if this is the case</li> <li>• If so, request that this does not happen again, and</li> <li>• Contact the customer, apologise and advise that the worker has been asked to find alternative parking.</li> </ul>
A member of public complains that neighbours (residents of a children's house) have been playing football in the street where they live and are being abusive to passers-by.	<ul style="list-style-type: none"> <li>• Explain to the customer that you will look into the matter and call them back</li> <li>• Contact the manager of the children's house to verify the facts</li> <li>• Request that the manager meet with the neighbour to apologise and engender good relations, then</li> <li>• Call back the customer to update them.</li> </ul>
A complaint about a service provider commissioned by social work services.	<ul style="list-style-type: none"> <li>• Discuss with the customer the different ways for this complaint to be handled, i.e. by a complaint to the Care Inspectorate or through the provider's own CHP, and</li> <li>• Ensure, whatever process is agreed, that the customer is clear how they can progress their complaint to the next stage, should they remain dissatisfied. This may be within the provider's CHP, to Scottish Borders Council, or to the Care Inspectorate. The customer should be advised that they can come back to Scottish Borders Council for further advice if they need to at any stage.</li> </ul>
A service user complains that their care needs assessment does not accurately	<ul style="list-style-type: none"> <li>• Clarify with the customer whether the complaint relates to an assessment of needs or a proposed</li> </ul>

<p>reflect their needs, or that the care package proposed would not meet the needs identified in their assessment.</p>	<p>care package. Establish specifically what the customer is complaining about and what has happened so far. Ask them what they are seeking from their complaint, and explain that you will look into the matter</p> <ul style="list-style-type: none"> <li>• Make internal enquiries to establish what stage the assessment and care planning processes are at</li> <li>• While considering the complaint, if the team indicate that a new assessment or care planning meeting may be offered, pass this offer onto the customer, and ask the team to contact the customer to take this forward, and</li> <li>• If the team are not prepared to look at the matter again, explain why the assessment or care package decision is considered to be adequate, and signpost to the next stage of the CHP.</li> </ul>
<p>A customer complains about social work services impacting on their discharge from hospital.</p>	<ul style="list-style-type: none"> <li>• Check with the hospital social work team about the customer’s care planning in relation to discharge from hospital, and the timing of medical decisions and social work input</li> <li>• It may become apparent at that stage that the discharge process was complicated by a range of issues, in which case it may be appropriate to escalate the complaint to investigation</li> <li>• It may also become apparent that the customer is still in hospital, and may or may not be considered ready for discharge. If they are ready, then pass the complaint onto the team directly involved to respond to as quickly as possible</li> <li>• If the situation is not current, and there were delays from social work services, find out why these happened, and</li> <li>• Respond to the customer by their preferred method, to inform them of the outcome of their complaint. Offer an apology if appropriate, and outline what steps have been put in place to prevent a recurrence of the situation.</li> </ul>

## Appendix 2 – What is not a complaint?

1. A concern may not necessarily be a complaint. For example, a customer might make a routine first-time request for a service. This is not a complaint, but the issue may escalate into a complaint if it is not handled effectively and the customer has to keep on asking for service.
2. In some cases, a measure of discretion or further clarification is required in determining whether something is a complaint that should be handled through this procedure or another matter that should be handled through another process. There are also some specific circumstances when complaints should be handled in a particular manner.
3. The following paragraphs provide examples of the types of issues or concerns that must not be handled through the complaints handling procedure. This is not a full list, and you should decide the best route based on the individual case.

### Planning

4. Customers may express dissatisfaction after the refusal of planning or other related permissions. An example would be dissatisfaction with a condition of consent or an enforcement action.
5. Planning applicants, or their agent, have the right to appeal to Scottish Ministers on planning or related matters determined by Committee or decided under delegated powers. Appeals are usually, but not always, decided by a Reporter from the Directorate of Planning and Environmental Appeals and can be considered on the basis of written submissions or by a hearing or public inquiry. The Reporter appointed to consider the appeal will manage the whole process and consider how to gather enough information to make a decision.
6. Customers who are dissatisfied with one of our planning decisions, and who have a right to appeal to Scottish Ministers, should be directed to this service. However, some complaints about planning matters are from third parties such as neighbours. These customers do not have the right of appeal to Scottish Ministers. These complaints should, therefore, be considered through the CHP.

### Benefits

7. A customer may be dissatisfied or disagree with a decision about their housing or council tax benefit claim. This is not a complaint. The customer may ask us to review the decision. If they remain dissatisfied at the outcome of the review or reconsideration of their claim, they may also appeal against our decision to an independent appeal tribunal. Where they want to do so, you should direct them appropriately.

### Claims for compensation

8. A customer may seek compensation from us if they consider us liable. This includes issues such as personal injury or loss of or damage to property. Claims for compensation only are not complaints, so you must not handle them through the complaints handling procedure. You should be clear, however, that where a customer wants to complain about the matter leading to their request for compensation, for example, workmen damaging their home, or the condition of a public road causing damage to a motor vehicle, you may consider that matter as a complaint, but deal with the request for compensation separately. You may decide to suspend complaint action pending the outcome of the claim for compensation. If you do this, you must notify the customer and explain that the complaint will be fully considered when the compensation claim has been decided.

9. If you receive a compensation claim, you should explain to the customer the process for claiming compensation in line with our policy on these claims.
10. You can still make 'time and trouble' payments for inconvenience suffered by customers, but this must be discussed with your line manager and your Service Director. This is distinct from compensation claims.

### **Licence decisions**

11. We are responsible for issuing various licences, including public entertainment, HMO (houses in multiple occupation), liquor and taxi licences. These have their own legal redress. Customers who are dissatisfied with these decisions will have to pursue this through the correct procedure for the type of licence they want.

### **School exclusions and placing requests**

12. Decisions on appeals against a pupil's exclusion from school or a refusal of a school placing request are made by Committee. Once the Committee has ruled, the customer cannot then use the complaints process to continue their case.

### **School exam results**

13. Schools have devolved authority to offer examinations on the awarding body's behalf. In most cases, this will be the SQA. If a customer is dissatisfied with the result of an exam, the school should refer it to the awarding body.
14. Remember that although there may be an alternative form of redress for the customer as detailed above, you must consider carefully whether or not a customer's representations should be managed within the complaints handling procedure. Dissatisfaction with certain local authority decisions may simply require an explanation and directing to the correct route. If, however, a customer says they are dissatisfied with the administrative process we have followed in reaching a decision, you may consider that dissatisfaction through the complaints handling procedure. An example may be a complaint from a customer who is dissatisfied with a decision and alleges that we failed to follow or apply the appropriate guidance in reaching that decision.

## Appendix 3 – Complex social work scenarios

### Child or adult protection concerns

1. Customers may express concerns that a child or adult is at risk, but frame their concern in terms of dissatisfaction that 'nothing has been done about this'. The member of staff will need to consider whether the person is authorised to make complaints on behalf of the child or adult in question, whether they expect the matter to be handled as a complaint and whether the professional view is that these matters are best addressed through initiating the applicable protection procedures. Where the need to initiate protection procedures and investigate concerns within those procedures is identified, the complaint should be closed. The person making the complaint should be advised of this and signposted to the SPSO.
2. Where a complaint is received about some aspect of protection processes that have already been initiated, for example in relation to the way the processes was applied, this should be considered a complaint, and progressed within the complaints handling procedure.

### Complaints about professional social work decisions

3. A customer may wish to complain about or appeal against a social work decision. Such decisions must be considered in line with the timescales for complaints as specified in the CHP.
4. Some decisions may be considered through an internal appeal procedure. However, any such appeal route must be considered as constituting a special form of stage 2 of this procedure, in that it will result in a thorough response **to all concerns** and onward referral to the SPSO. See also **Social work complaints and appeals**.

### Legal action

5. Legal action takes several forms and each must be handled in a distinctive way:
  - (a) Judicial Review: If a person wishes to seek judicial review of a decision then they should be encouraged to seek legal advice.
  - (b) Litigation: Where a customer says that they are seeking compensation and that legal action is being actively pursued, this is not a complaint. Where a customer indicates that they intend to litigate but have not yet commenced legal action, they should be informed that if they take such action, they should notify the complaints handler and that the complaints process, in relation to the matters that will be considered through the legal process, will be closed. If it becomes apparent that legal action is being pursued, the complaints handler must clarify with the customer if all the issues they have raised will be considered through legal action; any outstanding issues must still be addressed through the CHP.
  - (c) Legal tribunals, etc.: Sometimes the matter complained of may be the subject of ongoing consideration by a relevant legal body, for example where a customer complains of lack of contact with their child who is being looked after by Scottish Borders Council, when that matter falls to be determined by the Children's Panel. In such cases, the customer should be directed to raise the matter either directly or through their legal representatives within that other defined process and the matter should not be accepted as a complaint.

This is distinct from a complaint that Scottish Borders Council and its staff have failed to properly carry out their roles and responsibilities. In the example above, a Children's Panel may have set contact frequency but it is not being properly facilitated by social work staff

due to staffing shortages or some other factor. That is a matter of legitimate complaint under this procedure.

### **Complaints about the content of social work reports submitted to legal bodies**

6. Scottish Borders Council may receive complaints about the accuracy of reports by professional social work staff submitted to Courts or other bodies such as Children's Panels, Parole Boards or Mental Health Tribunals. In such circumstances, the report is provided as a service to the court or tribunal, not as a service to the customer. The customer has no right to veto such reports or insist that content is subject to their approval but they can complain about the content of the report.
7. Scottish Borders Council should consider each complaint and it will usually be necessary to undertake a short screening process to establish whether the issue is appropriate for the CHP. This will depend on the nature and seriousness of alleged inaccuracy, and the status of the report in relation to the progress of court or other proceedings. In particular Scottish Borders Council should consider whether the complaint relates to accuracy of facts, to opinion or to the standard and quality of the work carried out by the professional concerned, and should take one of three actions accordingly:
  - a. advise the customer that, due to the timescales involved, the issue should be raised when the report is presented in court/to the relevant body, as that is the appropriate forum for deciding on the matter
  - b. advise the customer that the complaint raises issues that will be considered under the CHP (such as issues of fact), and progress accordingly, or
  - c. advise the customer that the complaint raises a mixture of issues that will be considered under the CHP and other issues that should be raised within the relevant forum when the report is submitted.
8. If you refuse to consider some or all issues as per (a) or (c) above and direct the customer to raise the matter within the legal process, you must still provide clear information about the reason for this decision, and signpost the customer to the SPSO for access to a review of this decision.
9. Scottish Borders Council should also consider whether the complaint relates to a breach of data protection legislation, in which case it must be processed accordingly. See [Part 1: Maintaining confidentiality and data protection](#).

### **Campaigns**

10. The introduction of a new policy or changes in service, such as the closure of a facility, may lead to a high volume of complaints being received. These should be handled under this procedure on an individual basis on their merits, addressing the issue of how that particular customer is affected by the change. It may be appropriate to provide information about the process that led to the changes, or when the policy may next be reviewed.
11. Occasionally, however, such complaints are evidently part of an organised campaign. Indicators may be that all complaints have identical content or are on a 'form' letter or that all complainers are known to be members of a pressure group that has made separate representations through Scottish Borders Council petitions or elected members.
12. Scottish Borders Council should not accept an unreasonable burden on its complaints processes produced by an organised campaign. Instead, Scottish Borders Council may either issue a single 'form' response or may ask the organisers to nominate a single person to make a single complaint

on behalf of the group. In such circumstances, it would be important to be clear that all the complaints being brought to Scottish Borders Council are identical, and setting out clearly what issues are being considered under the complaint. Any other additional concerns that individuals have may need to be handled as new complaints.

### **Persons under investigation**

13. Scottish Borders Council is likely to have a role in investigating the actions of individuals towards other, more vulnerable people, for example those suspected of child or adult abuse or Guardians and Powers of Attorney who are allegedly misusing their powers.
14. Those individuals are still customers as defined within this procedure and any complaint from them must be considered on its individual merits. For example, a complaint about an improper exercise of investigative procedures should be looked into as a complaint. Any response should take into account any confidentiality issues, and this should be explained to the customer.
15. However, if it is evident that the person is not complaining about the process or the actions of staff, but is complaining that they are under investigation, this should not be accepted as a complaint. Instead, it should be explained to the customer that Scottish Borders Council has a statutory obligation to investigate such matters, and this is not conditional upon their agreement or approval. Their objection to the process is not considered to be a complaint, though they may be directed to seek appropriate legal advice to protect their rights.

### **Looked after and accommodated children/adults under local authority guardianship**

16. Scottish Borders Council has a special duty of care to children in its care or adults for whom it exercises decision-making powers. Special care should be taken when investigating complaints made by or on behalf of those individuals.
17. Artificial barriers of confidentiality should not be imposed to prevent people with a relevant interest in the affairs of an incapacitated adult from complaining on their behalf.
18. Children who are looked after by the Local Authority may complain. They may have little in the way of a support network and may be estranged from their family. It may also be inappropriate for the family to represent the child's interests. Particular care, therefore, should be taken to ensure that the child's complaint is understood and, particularly for younger children, that the response is understood by them.
19. In both cases, the need for personal contact with the customer, and the possible involvement of advocacy services, should be actively considered. We must also always bear in mind our obligations under data protection information. See [Part 1: Maintaining confidentiality and data protection](#).

### **Allegations of fraud/criminality/professional malpractice or incompetence**

20. Discretion is required where the complaint is so serious as to immediately merit investigation under disciplinary processes or referral to another agency.
21. If it is determined that the complaint falls into this category, you should be careful to follow the CHP and mindful of our obligations under data protection legislation. See [Part 1: Maintaining confidentiality and data protection](#).

## Complaints brought by foster carers

22. Complaints brought by foster carers can relate to the support services they receive from Scottish Borders Council, the way our staff engage with them, or services a child in their care is or was receiving or has requested from us.
23. Any complaint brought by a foster carer on behalf of a foster child in the care, or formerly in their care, should be considered under this CHP. Where possible, the views of the child should also be taken into account.
24. Foster carers who are recruited and supported by us may bring complaints about these services. However, approval and de-registration of the carer by Scottish Borders Council may be considered through alternative appeal mechanisms. As noted under **Social work complaints and appeals**, these appeals must be handled in line with the CHP timescales, where possible, and end with signposting to the SPSO.
25. Complaints from foster carers supported by private agencies will not be addressed within this CHP if the complaint is wholly about their own circumstances and support rather than those of the child. Such complaints should be directed to the complaints process of the relevant agency.
26. An agency foster carer may still complain about the way our staff have interacted with them or about any element of service that they might reasonably expect to be provided by Scottish Borders Council, for example invitations to meetings, provision of information about the child in their care or the manner and content of communications with Scottish Borders Council. This list is not exhaustive and such complaints should be carefully considered in terms of the role of Scottish Borders Council staff, before directing them to pursue their complaint with their fostering agency.
27. Where a complaint cannot be considered in part or in whole by Scottish Borders Council, the customer must be given a clear explanation as to why this is, what (if any) parts of their complaint will be investigated and how they may refer the matter to the SPSO.



# Scottish Borders Council

## Complaints Handling Procedure

### Part 3:

## The complaints handling process

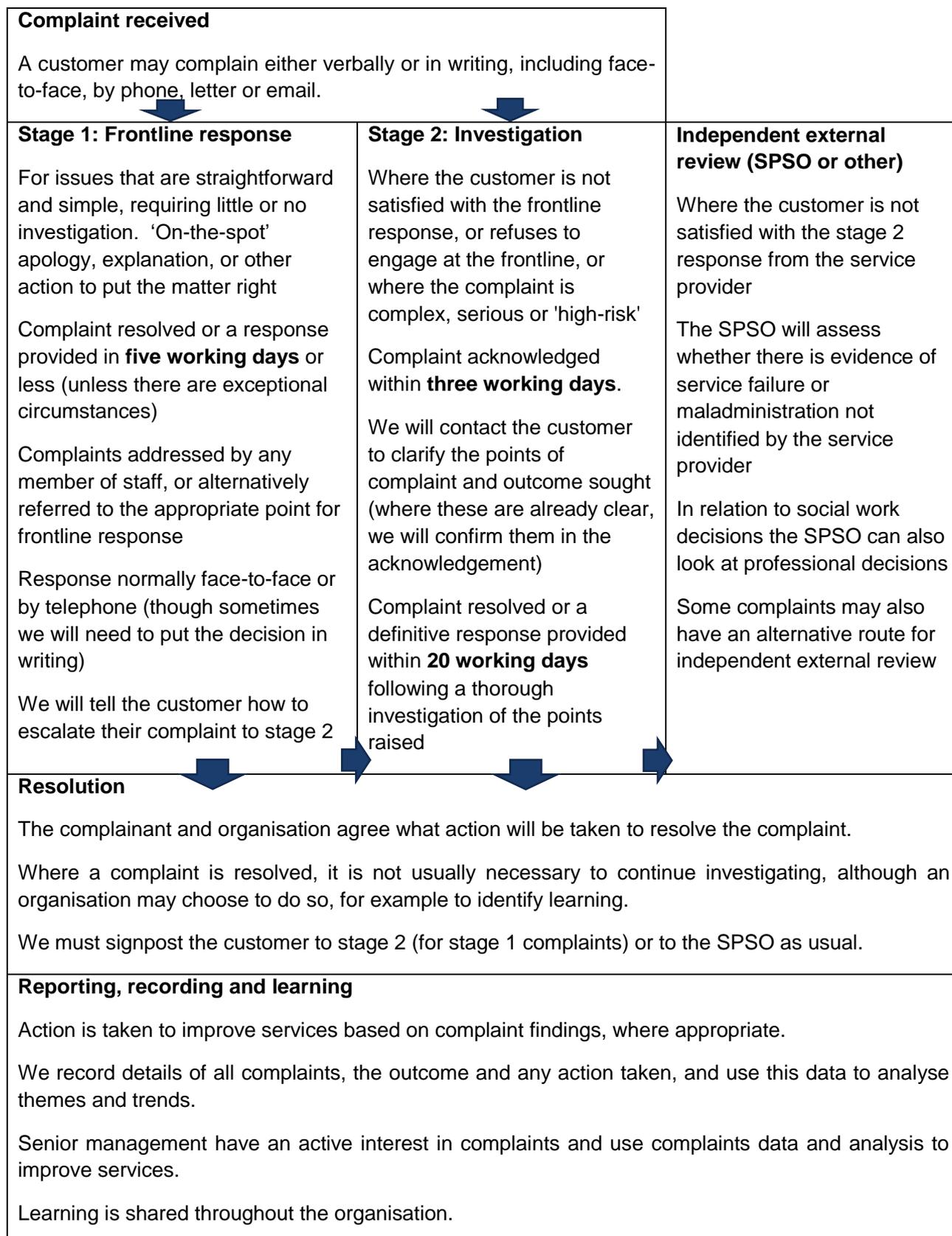
<i>Version</i>	<i>Description</i>	<i>Date</i>
1	Local Authority MCHP published on SPSO website	March 2012
1	Social Work MCHP published on SPSO website	December 2016
2	Combined and revised version published on SPSO website	January 2020

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## The complaints handling process

1. Our Complaints Handling Procedure (CHP) aims to provide a quick, simple and streamlined process for responding to complaints early and locally by capable, well-trained staff. Where possible, we will **resolve** the complaint to the customer's satisfaction. Where this is not possible, we will give the customer a clear and reasoned response to their complaint.



## Resolving the complaint

2. A complaint is **resolved** when both Scottish Borders Council and the customer agree what action (if any) will be taken to provide full and final resolution for the customer, without making a decision about whether the complaint is upheld or not upheld.
3. We will try to resolve complaints wherever possible, although we accept this will not be possible in all cases.
4. A complaint may be resolved at any point in the complaint handling process, including during the investigation stage. It is particularly important to try to resolve complaints where there is an ongoing relationship with the customer or where the complaint relates to an ongoing issue that may give rise to future complaints if the matter is not fully resolved.
5. It may be helpful to use alternative complaint resolution approaches when trying to resolve a complaint. See **Alternative complaint resolution approaches**.
6. Where a complaint is resolved, we do not normally need to continue looking into it or provide a response on all points of complaint. There must be a clear record of how the complaint was resolved, what action was agreed, and the customer's agreement to this as a final outcome. In some cases, it may still be appropriate to continue looking into the issue, for example, where there is evidence of a wider problem or potential for useful learning. We will use our professional judgment in deciding whether it is appropriate to continue looking into a complaint that is resolved.
7. In all cases, we must record the complaint outcome (resolved) and any action taken, and signpost the customer to stage 2 (for stage 1 complaints) or to the SPSO as usual (see **Signposting to the SPSO**).
8. If the customer and *Scottish Borders Council* are not able to agree a resolution, we must follow this CHP to provide a clear and reasoned response to each of the issues raised.

## What to do when you receive a complaint

9. Members of staff receiving a complaint should consider four key questions. This will help them to either respond to the complaint quickly (at stage 1) or determine whether the complaint is more suitable for stage 2:

### 1. What exactly is the customer's complaint (or complaints)?

- 1a. It is important to be clear about exactly what the customer is complaining about. We may need to ask the customer for more information and probe further to get a full understanding.
- 1b. We will need to decide whether the issue can be defined as a complaint and whether there are circumstances that may limit our ability to respond to the complaint (such as the time limit for making complaints, confidentiality, anonymity or the need for consent). We should also consider whether the complaint is serious, high-risk or high profile.
- 1c. If the matter is not suitable for handling as a complaint, we will explain this to the customer (and signpost them to SPSO). There is detailed guidance on this step in [Part 2: When to use this procedure](#).
- 1d. In most cases, this step will be straightforward. If it is not, the complaint may need to be handled immediately at stage 2 (see **Stage 2: Investigation**).

### 2. What does the customer want to achieve by complaining?

- 2a. At the outset, we will clarify the outcome the customer wants. Of course, the customer may not be clear about this, and we may need to probe further to find out what they expect, and whether they can be satisfied.

### 3. Can I achieve this, or explain why not?

- 3a. If a staff member handling a complaint can achieve the expected outcome, for example by providing an on-the-spot apology or explain why they cannot achieve it, they should do so.
- 3b. The customer may expect more than we can provide. If so, we will tell them as soon as possible.
- 3c. Complaints that can be resolved or responded to quickly should be managed at stage 1 (see **Stage 1: Frontline response**).

### 4. If I cannot respond, who can help?

- 4a. If the complaint is simple and straightforward, but the staff member receiving the complaint cannot deal with it because, for example, they are unfamiliar with the issues or area of service involved, they should pass the complaint to someone who can respond quickly.

4b. If it is not a simple and straightforward complaint that can realistically be closed within five working days (or ten, if an extension is appropriate), it should be handled immediately at stage 2. If the customer refuses to engage at stage 1, insisting that they want their complaint investigated, it should be handled immediately at stage 2. See **Stage 2: Investigation**.

## Stage 1: Frontline response

10. Frontline response aims to respond quickly (within five working days) to straightforward complaints that require little or no investigation.
11. Any member of staff may deal with complaints at this stage (including the staff member complained about, for example with an explanation or apology). The main principle is to respond to complaints at the earliest opportunity and as close to the point of service delivery as possible.
12. We may respond to the complaint by providing an on-the-spot apology where appropriate, or explaining why the issue occurred and, where possible, what will be done to stop this happening again. We may also explain that, as an organisation that values complaints, we may use the information given when we review service standards in the future. If we consider an apology is appropriate, we may wish to follow the [SPSO guidance on apology](#).
13. [Part 2, Appendix 1](#) gives examples of the types of complaint we may consider at this stage, with suggestions on how to resolve them.
14. Complaints which are not suitable for frontline response should be identified early, and handled immediately at stage 2: investigation.

## Notifying staff members involved

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15. If the complaint is about the actions of another staff member, the complaint should be shared with them, where possible, before responding (although this should not prevent us responding to the complaint quickly, for example where it is clear that an apology is warranted).

## Timelines

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16. Frontline response must be completed within **five working days**, although in practice we would often expect to respond to the complaint much sooner. 'Day one' is always the date of receipt of the complaint (or the next working day if the complaint is received out of hours, on a weekend or public holiday).
17. A working day at Scottish Borders Council is defined as:
  - Monday to Thursday - 08:45 – 17:00
  - Friday - 08:45 – 15:45
  - 24th December (or equivalent last working day before the Christmas break) - 08:45 – 12:00

## Extension to the timeline

18. In exceptional circumstances, a short extension of time may be necessary due to unforeseen circumstances (such as the availability of a key staff member). Extensions must be agreed with an appropriate manager. We will tell the customer about the reasons for the extension, and when they can expect a response. The maximum extension that can be granted is five working days (that is, no more than **ten working days** in total from the date of receipt).
19. If a complaint will take more than five working days to look into, it should be handled at stage 2 immediately. The only exception to this is where the complaint is simple and could normally be handled within five working days, but it is not possible to begin immediately (for example, due to the absence of a key staff member). In such cases, the complaint may still be handled at stage 1 if it is clear that it can be handled within the extended timeframe of up to ten working days.

20. If a complaint has not been closed within ten working days, it should be escalated to Stage 2 for a final response.
21. **Appendix 1** provides further information on timelines.

## **Closing the complaint at the frontline response stage**

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22. If we convey the decision face-to-face or on the telephone, we are not required to write to the customer as well (although we may choose to). We must:
- tell the customer the outcome of the complaint (whether it is resolved, upheld, partially upheld or not upheld)
  - explain the reasons for our decision (or the agreed action taken to resolve the complaint, or the agreed action taken to resolve the complaint (see **Resolving the complaint**)); and
  - explain that the customer can escalate the complaint to Stage 2 if they remain dissatisfied and how to do so (we should not signpost to the SPSO until the customer has completed stage 2).
23. We will keep a full and accurate record of the decision given to the customer. If we are not able to contact the customer by phone, or speak to them in person, we will provide a written response to the complaint where an email or postal address is provided, covering the points above.
24. If the complaint is about the actions of a particular staff member/s, we will share with them any part of the complaint response which relates to them, (unless there are compelling reasons not to).
25. The complaint should then be closed and the complaints system updated accordingly.
26. At the earliest opportunity after the closure of the complaint, the staff member handling the complaint should consider whether any learning has been identified. See [Part 4: Learning from complaints](#).

## Stage 2: Investigation

27. Not all complaints are suitable for frontline response and not all complaints will be satisfactorily addressed at that stage. Stage 2 is appropriate where:
- the customer is dissatisfied with the frontline response or refuses to engage at the frontline stage, insisting they wish their complaint to be investigated. Unless exceptional circumstances apply, the customer must escalate the complaint within six months of when they first knew of the problem or within two months of the stage 1 response, whichever is later (see [Part 2: Time limits for making a complaint](#))
  - the complaint is not simple and straightforward (for example where the customer has raised a number of issues, or where information from several sources is needed before we can establish what happened and/or what should have happened); or
  - the complaint relates to serious, high-risk or high profile issues (see [Part 2: Serious, high-risk or high profile complaints](#)).
28. An investigation aims to explore the complaint in more depth and establish all the relevant facts. The aim is to resolve the complaint where possible, or to give the customer a full, objective and proportionate response that represents our final position. Wherever possible, complaints should be investigated by someone not involved in the complaint (for example, a line manager or a manager from a different area).
29. Details of the complaint must be recorded on the complaints system. Where appropriate, this will be done as a continuation of frontline response. If the investigation stage follows a frontline response, the officer responsible for the investigation should have access to all case notes and associated information.
30. The beginning of stage 2 is a good time to consider whether complaint resolution approaches other than investigation may be helpful (see **Alternative complaint resolution approaches**).

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## Acknowledging the complaint

31. Complaints must be acknowledged within three working days of receipt at stage 2.
32. We must issue the acknowledgement in a format that is accessible to the customer, taking into account their preferred method of contact.
33. Where the points of complaint and expected outcomes are clear from the complaint, we must set these out in the acknowledgement and ask the customer to get in touch with us immediately if they disagree. See **Agreeing the points of complaint and outcome sought**
34. Where the points of complaint and expected outcomes are not clear, we must tell the customer we will contact them to discuss this.

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## Agreeing the points of complaint and outcome sought

35. It is important to be clear from the start of stage 2 about the points of complaint to be investigated and what outcome the customer is seeking. We may also need to manage the customer's expectations about the scope of our investigation.
36. Where the points of complaint and outcome sought are clear, we can confirm our understanding of these with the customer when acknowledging the complaint (see **Acknowledging the complaint**).

37. Where the points of complaint and outcome sought are not clear, we must contact the customer to confirm these. We will normally need to speak to the customer (by phone or face-to-face) to do this effectively. In some cases, it may be possible to clarify complaints in writing. The key point is that we need to be sure we and the customer have a shared understanding of the complaint. When contacting the customer we will be respectful of their stated preferred method of contact. We should keep a clear record of any discussion with the customer.

38. In all cases, we must have a clear shared understanding of:

- **What are the points of complaint to be investigated?**

While the complaint may appear to be clear, agreeing the points of complaint at the outset ensures there is a shared understanding and avoids the complaint changing or confusion arising at a later stage. The points of complaint should be specific enough to direct the investigation, but broad enough to include any multiple and specific points of concern about the same issue.

We will make every effort to agree the points of complaint with the customer (alternative complaint resolution approaches may be helpful at this stage). In very rare cases, it may not be possible to agree the points of complaint (for example, if the customer insists on an unreasonably large number of complaints being separately investigated or on framing their complaint in an abusive way). We will manage any such cases in accordance with our Vexatious Complaints and Correspondence Policy, bearing in mind that we should continue to investigate the complaint (as we understand it) wherever possible.

- **Is there anything we can't consider under the CHP?**

We must explain if there are any points that are not suitable for handling under the CHP (see [Part 2: What to do if the CHP does not apply](#)).

- **What outcome does the customer want to achieve by complaining?**

Asking what outcome the customer is seeking helps direct the investigation and enables us to focus on resolving the complaint where possible.

- **Are the customer's expectations realistic and achievable?**

It may be that the customer expects more than we can provide, or has unrealistic expectations about the scope of the investigation. If so, we should make this clear to the customer as soon as possible.

## Notifying staff members involved

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39. If the complaint is about the actions of a particular staff member/s, we will notify the staff member/s involved (including where the staff member is not named, but can be identified from the complaint). We will:

- share the complaint information with the staff member/s (unless there are compelling reasons not to)
- advise them how the complaint will be handled, how they will be kept updated and how we will share the complaint response with them

- discuss their willingness to engage with alternative complaint resolution approaches (where applicable); and
- signpost the staff member/s to a contact person who can provide support and information on what to expect from the complaint process (this must not be the person investigating or signing off the complaint response).

40. If it is likely that internal disciplinary processes may be involved, the requirements of that process should also be met. See also [Part 2: Complaints and disciplinary or whistleblowing processes](#).

## Investigating the complaint

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41. It is important to plan the investigation before beginning. The staff member investigating the complaint should consider what information they have and what they need about:

- what happened? (this could include, for example, records of phone calls or meetings, work requests, recollections of staff members or internal emails)
- what should have happened? (this should include any relevant policies or procedures that apply); and
- is there a difference between what happened and what should have happened, and is Scottish Borders Council responsible?

42. In some cases, information may not be readily available. We will balance the need for the information against the resources required to obtain it, taking into account the seriousness of the issue (for example, it may be appropriate to contact a former employee, if possible, where they hold key information about a serious complaint).

43. If we need to share information within or outwith the organisation, we will be mindful of our obligations under data protection legislation. See [Part 1: Maintaining confidentiality and data protection](#).

44. The SPSO has resources for conducting investigations, including:

- [Investigation plan template](#)
- [Decision-making tool for complaint investigators](#)

## Alternative complaint resolution approaches

45. Some complex complaints, or complaints where customers and other interested parties have become entrenched in their position, may require a different approach to resolving the matter. Where we think it is appropriate, we may use alternative complaint resolution approaches such as complaint resolution discussions, mediation or conciliation to try to resolve the matter and to reduce the risk of the complaint escalating further. If mediation is attempted, a suitably trained and qualified mediator should be used. Alternative complaint resolution approaches may help both parties to understand what has caused the complaint, and so are more likely to lead to mutually satisfactory solutions.

46. Alternative complaint resolution approaches may be used to resolve the complaint entirely, or to support one part of the process, such as understanding the complaint, or exploring the customer's desired outcome.

47. The SPSO has guidance on [alternative complaint resolution approaches](#).

48. If Scottish Borders Council and the customer (and any staff members involved) agree to using alternative complaint resolution approaches, it is likely that an extension to the timeline will need to be agreed. This should not discourage the use of these approaches.

### **Meeting with the customer during the investigation**

49. To effectively investigate the complaint, it may be necessary to arrange a meeting with the customer. Where a meeting takes place, we will always be mindful of the requirement to investigate complaints (including holding any meetings) within 20 working days wherever possible. Where there are difficulties arranging a meeting, this may provide grounds for extending the timeframe.

50. As a matter of good practice, a written record of the meeting should be completed and provided to the customer. Alternatively, and by agreement with the person making the complaint, we may provide a record of the meeting in another format. We will notify the person making the complaint of the timescale within which we expect to provide the record of the meeting.

### **Timelines**

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51. The following deadlines are appropriate to cases at the investigation stage (counting day one as the day of receipt, or the next working day if the complaint was received out of hours, on a weekend or public holiday):

- complaints must be acknowledged within **three working days**
- a full response to the complaint should be provided as soon as possible but not later than **20 working days** from the time the complaint was received for investigation.

52. A working day at Scottish Borders Council is defined as:

- Monday to Thursday - 08:45 – 17:00
- Friday - 08:45 – 15:45
- 24th December (or equivalent last working day before the Christmas break) - 08:45 – 12:00

### **Extension to the timeline**

53. Not all investigations will be able to meet this deadline. For example, some complaints are so complex that they require careful consideration and detailed investigation beyond the 20 working day timeline. It is important to be realistic and clear with the customer about timeframes, and to advise them early if we think it will not be possible to meet the 20 day timeframe, and why. We should bear in mind that extended delays may have a detrimental effect on the customer.

54. Any extension must be approved by an appropriate manager. We will keep the customer and any member/s of staff complained about updated on the reason for the delay and give them a revised timescale for completion. We will contact the customer and any member/s of staff complained about at least once every 20 working days to update them on the progress of the investigation.

55. **Appendix 1** provides further information on timelines.

## Closing the complaint at the investigation stage

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56. The response to the complaint should be in writing (or by the customer's preferred method of contact) and must be signed off by a manager or officer who is empowered to provide the final response on behalf of Scottish Borders Council.
57. We will tell the customer the outcome of the complaint (whether it is resolved, upheld, partially upheld or not upheld). The quality of the complaint response is very important and in terms of good practice should:
- be clear and easy to understand, written in a way that is person-centred and non-confrontational
  - avoid technical terms, but where these must be used, an explanation of the term should be provided
  - address all the issues raised and demonstrate that each element has been fully and fairly investigated
  - include an apology where things have gone wrong (this is different to an expression of empathy: see [the SPSO's guidance on apology](#))
  - highlight any area of disagreement and explain why no further action can be taken
  - indicate that a named member of staff is available to clarify any aspect of the letter; and
  - indicate that if they are not satisfied with the outcome of the local process, they may seek a review by the SPSO (see **Signposting to the SPSO**).
58. Where a complaint has been **resolved**, the response does not need to provide a decision on all points of complaint, but should instead confirm the resolution agreed. See **Resolving the complaint**.
59. If the complaint is about the actions of a particular staff member/s, we will share with them any part of the complaint response which relates to them, (unless there are compelling reasons not to).
60. We will record the decision, and details of how it was communicated to the customer, on the complaints system.
61. The SPSO has guidance on responding to a complaint:
- [Template decision letter](#)
  - [Apology guidance](#)
62. At the earliest opportunity after the closure of the complaint, the staff member handling the complaint should consider whether any learning has been identified. See [Part 4: Learning from complaints](#).

## Signposting to the SPSO

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63. Once the investigation stage has been completed, the customer has the right to approach the SPSO if they remain dissatisfied. We must make clear to the customer:
- their right to ask the SPSO to consider the complaint
  - the time limit for doing so; and

- how to contact the SPSO.

64. The SPSO considers complaints from people who remain dissatisfied at the conclusion of our complaints procedure. The SPSO looks at issues such as service failure and maladministration (administrative fault), and the way we have handled the complaint. There are some subject areas that are outwith the SPSO's jurisdiction, but it is the SPSO's role to determine whether an individual complaint is one that they can consider (and to what extent). All investigation responses must signpost to the SPSO.
65. The SPSO recommends that we use the wording below to inform customers of their right to ask the SPSO to consider the complaint. This information should only be included on Scottish Borders Council's final response to the complaint.

### **Information about the SPSO**

The Scottish Public Services Ombudsman (SPSO) is the final stage for complaints about public services in Scotland. This includes complaints about Local Authorities. The SPSO is an independent organisation that investigates complaints. It is not an advocacy or support service (but there are other organisations who can help you with advocacy or support).

If you remain dissatisfied when you have had a final response from Scottish Borders Council, you can ask the SPSO to look at your complaint. You can ask the SPSO to look at your complaint if:

- you have gone all the way through Scottish Borders Council's Complaints Handling Procedure
- it is less than 12 months after you became aware of the matter you want to complain about, and
- the matter has not been (and is not being) considered in court.

The SPSO will ask you to complete a complaint form and provide a copy of this letter (our final response to your complaint). You can do this online at <https://www.spsos.org.uk/complain/form/start/> or call them on Freephone 0800 377 7330.

You may wish to get independent support or advocacy to help you progress your complaint. Organisations who may be able to assist you are:

- Citizens Advice Bureau
- Scottish Independent Advocacy Alliance

The SPSO's contact details are:

SPSO  
Bridgeside House  
99 McDonald Road  
Edinburgh  
EH7 4NS

(if you would like to visit in person, you must make an appointment first)

Their freepost address is:

FREEPOST SPSO

Freephone: 0800 377 7330

Online contact [www.spsso.org.uk/contact-us](http://www.spsso.org.uk/contact-us)

Website: [www.spsso.org.uk](http://www.spsso.org.uk)

### **Factoring complaints and complaints from shared owners**

66. The SPSO does not normally look at complaints about our factoring service or complaints from shared owners. These complaints can be considered by the First Tier Tribunal for Scotland (Housing and Property Chamber). Their contact details are on their website: <https://www.housingandpropertychamber.scot/>
67. Where the complaint relates to social housing, we should still signpost these complaints to the SPSO, as there may be some aspects the SPSO can consider (for example, if the customer is dissatisfied with how we have handled their complaint). However, we should also notify the customer of their right to approach the Tribunal if they are dissatisfied with our response to these kinds of complaint.

### **Post-closure contact**

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68. If a customer contacts us for clarification when they have received our final response, we may have further discussions with the customer to clarify our response and answer their questions. However, if the customer is dissatisfied with our response or does not accept our findings, we will explain that we have already given them our final response on the matter and signpost them to the SPSO.

## Appendix 1 - Timelines

### General

1. References to timelines throughout the CHP relate to working days. We do not count non-working days, for example weekends, public holidays and days of industrial action where our service has been interrupted.
2. We do not count school holidays as non-working days. Complaints received during school holidays should follow the same timelines as set out for frontline response and investigation, unless there are special circumstances that would extend these timelines.
3. A working day at Scottish Borders Council is defined as:
  - Monday to Thursday - 08:45 – 17:00
  - Friday - 08:45 – 15:45
  - 24th December (or equivalent last working day before the Christmas break) - 08:45 – 12:00

### Timelines at frontline response (stage 1)

4. We will aim to achieve frontline response within five working days. The date of receipt is **day one**, and the response should be provided (or the complaint escalated) on **day five**, at the latest.
5. If we have extended the timeline at the frontline response stage in line with the CHP, the response should be provided (or the complaint escalated) on **day ten**, at the latest.

### Transferring cases from frontline response to investigation

6. If the customer wants to escalate the complaint to the investigation stage, the case must be passed for investigation without delay. In practice, this will mean on the same day that the customer is told this will happen.

### Timelines at investigation (stage 2)

7. For complaints at the investigation stage, **day one** is:
  - the day the case is transferred from the frontline stage to the investigation stage
  - the day the customer asks for an investigation or expresses dissatisfaction after a decision at the frontline response stage; or
  - the date we receive the complaint, if it is handled immediately at stage 2.
8. We must acknowledge the complaint within three working days of receipt at stage 2 i.e. by **day three**.
9. We should respond in full to the complaint by **day 20**, at the latest. We have 20 working days to investigate the complaint, regardless of any time taken to consider it at the frontline response stage.
10. Exceptionally, we may need longer than the 20 working day limit for a full response. If so, we will explain the reasons to the customer, and update them (and any staff involved) at least once every 20 working days.

## Frequently asked questions

- *What happens if an extension is granted at stage 1, but then the complaint is escalated?*

The extension at stage 1 does not affect the timeframes at stage 2. The stage 2 timeframes apply from the day the complaint was escalated (we have 20 working days from this date, unless an extension is granted).

- *What happens if we cannot meet an extended timeframe?*

If we cannot meet the extended timeframe at stage 1, the complaint should be escalated to stage 2. The maximum timeframe allowed for a stage 1 response is ten working days.

If we cannot meet the extended timeframe at stage 2, a further extension may be approved by an appropriate manager if there are clear reasons for this. This should only occur in exceptional circumstances (the original extension should allow sufficient time to realistically investigate and respond to the complaint). Where a further extension is agreed, we should explain the situation to the customer and give them a revised timeframe for completion. We must update the customer and any staff involved in the investigation at least once every 20 working days.

- *What happens when a customer asks for stage 2 consideration a long time after receiving a frontline response?*

Unless exceptional circumstances exist, customers should bring a stage 2 complaint within six months of learning about the problem, or within two months of receiving the stage 1 response (whichever is latest). See [Part 2: Time limits for making a complaint](#).

## Appendix 2 – The complaint handling process (flowchart for staff)

<p>A customer may complain verbally or in writing, including face-to-face, by phone, letter or email.</p> <p>Your first consideration is whether the complaint should be dealt with at stage 1 (frontline response) or stage 2 (investigation).</p>	
<p><b>Stage 1: Frontline response</b> ↓</p>	<p><b>Stage 2: Investigation</b> ↓</p>
<p>Always try to respond quickly, wherever we can</p>	<p>Investigate where:</p> <ul style="list-style-type: none"> <li>• The customer is dissatisfied with the frontline response or refuses to engage with attempts to resolve the complaint at stage 1</li> <li>• It is clear that the complaint requires investigation from the outset</li> </ul>
↓	↓
<p>Record the complaint and notify any staff complained about</p>	<p>Record the complaint and notify any staff complained about</p> <p>Acknowledge the complaint within <b>three working days</b></p>
↓	↓
<p>Respond to the complaint within <b>five working days</b> unless there are exceptional circumstances</p>	<p>Contact the complainant to agree:</p> <ul style="list-style-type: none"> <li>• Points of complaint</li> <li>• Outcome sought</li> <li>• Manage expectations (where required)</li> </ul> <p><i>(these can be confirmed in the acknowledgement where the complaint is straightforward)</i></p>
↓	↓
<p>Respond to the complaint as soon as possible, but within <b>20 working days</b> unless there is a clear reason for extending the timescale</p>	<p>Respond to the complaint within <b>five working days</b> unless there are exceptional circumstances</p>
↓	↓
<p>Is the customer satisfied?</p> <p>You must always tell the customer how to escalate to stage 2</p>	<p>Communicate the decision, normally in writing</p> <p>Signpost the customer to SPSO and advise of time limits</p>
↓	↓
<p>(Yes) Record outcome and learning, and close complaint.</p> <p><i>(No) -&gt; to Stage 2: Investigation</i></p>	<p>Record outcome and learning, and close complaint</p>
↓	↓
<p>Follow up on agreed actions flowing from the complaint</p> <p>Share any learning points</p>	



# Scottish Borders Council

## Complaints Handling Procedure

### Part 4:

### Governance

<i>Version</i>	<i>Description</i>	<i>Date</i>
1	Local Authority MCHP published on SPSO website	March 2012
1	Social Work MCHP published on SPSO website	December 2016
2	Combined and revised version published on SPSO website	January 2020

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## Roles and responsibilities

1. All staff will be aware of:
  - the Complaints Handling Procedure (CHP)
  - how to handle and record complaints at the frontline response stage
  - who they can refer a complaint to, in case they are not able to handle the matter
  - the need to try and resolve complaints early and as close to the point of service delivery as possible; and
  - their clear authority to attempt to resolve any complaints they may be called upon to deal with.
2. Training on this procedure will be part of the induction process for all new staff. Mandatory refresher training will be provided for current staff on a regular basis.
3. Senior management will ensure that:
  - Scottish Borders Council's final position on a complaint investigation is signed off by an appropriate manager or officer in order to provide assurance that this is the definitive response of Scottish Borders Council and that the complainant's concerns have been taken seriously
  - it maintains overall responsibility and accountability for the management and governance of complaints handling (including complaints about contracted services)
  - it has an active role in, and understanding of, the CHP (although not necessarily involved in the decision-making process of complaint handling)
  - mechanisms are in place to ensure a consistent approach to the way complaints handling information is managed, monitored, reviewed and reported at all levels in Scottish Borders Council; and
  - complaints information is used to improve services, and this is evident from regular publications.
4. **Chief Executive:** The chief executive provides leadership and direction in ways that guide and enable us to perform effectively across all services. This includes ensuring that there is an effective CHP, with a robust investigation process that demonstrates how we learn from the complaints we receive. The Chief Executive may take a personal interest in all or some complaints. Regular management reports assure the Chief Executive of the quality of complaints performance.
5. The Chief Executive is also responsible for ensuring that there are governance and accountability arrangements in place in relation to complaints about contractors/ALEOs. This includes:
  - ensuring performance monitoring for complaints is a feature of the service/management agreements between Scottish Borders Council and contractors/ALEOs.
  - setting clear objectives in relation to this complaints procedure and putting appropriate monitoring systems in place to provide Scottish Borders Council with an overview of how the contractor/ALEO is meeting its objectives.

6. **Chief Social Work Officer (CSWO):** The CSWO has an important role in the consideration of social work complaints information and, on occasion, the content of individual complaints. Their role in overseeing the effective governance of social work services and monitoring these arrangements includes complaints about social work services. The CSWO should also take appropriate account of complaints information in fulfilling their obligations to promote continuous improvement and best practice. Furthermore, the CSWO or their delegated officers may have specific interest in complaints relating to individuals for whom they have decision-making responsibilities.
7. **Directors:** On the Chief Executive's behalf, Directors are responsible for:
  - managing complaints and the way we learn from them
  - overseeing the implementation of actions required as a result of a complaint
  - investigating complaints; and
  - deputising for the Chief Executive on occasion.
8. They will also be responsible for preparing and signing off decisions for customers, so they should be satisfied that the investigation is complete and their response addresses all aspects of the complaint. However, Directors may decide to delegate some elements of complaints handling (such as investigations and the drafting of response letters) to other staff. Where this happens, Directors should retain ownership and accountability for the management and reporting of complaints.
9. **Service Managers:** Service Managers may be involved in the operational investigation and management of complaints handling. As senior officers they will be responsible for quality assessing decision letters to customers, so they must be satisfied that the investigation is complete and the response addresses all aspects of the complaint. They will also be responsible for authorising extensions to timescales for responding to complaints.
10. **Complaints Investigator:** The complaints investigators are responsible and accountable for the management of the investigation. They will be involved in and manage the investigation and all aspects of the response to the customer. This will include preparing a comprehensive written response, including details of any procedural changes in service delivery and identifying wider opportunities for learning across the organisation. They will also be responsible for ensuring that improvement actions identified are carried out and completed.
11. **Complaints Handler:** The complaints handlers are responsible for responding to complaints at frontline. This includes investigating the complaint and all aspects of the response to the customer that may be face to face, over the telephone or via written correspondence.
12. **Human Resources/Training Team:** The HR / training team is responsible for ensuring training is available for all new staff on the CHP as part of the induction process, and that mandatory refresher training is available for current staff on a regular basis.
13. **Line Managers:** Line Managers are responsible for ensuring that all new members of staff complete the CHP training as part of the induction process and that all staff undertake the mandatory refresher training.
14. **SPSO Liaison Officer:** Our SPSO liaison officer's role includes providing complaints information to the SPSO in an orderly, structured way within requested timescales. It also includes providing comments on factual accuracy on our behalf in response to SPSO reports, and confirming and verifying that recommendations have been implemented.

## Recording, reporting, learning from and publicising complaints

15. Complaints provide valuable customer feedback. One of the aims of the CHP is to identify opportunities to improve services across Scottish Borders Council. By recording and analysing complaints data, we can identify and address the causes of complaints and, where appropriate, identify training opportunities and introduce service improvements.
16. We also have arrangements in place to ensure complaints about contractors or ALEOs are recorded, reported on and publicised in line with this CHP.

### Recording complaints

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17. It is important to record suitable data to enable us to fully investigate and respond to the complaint, as well as using our complaint information to track themes and trends. As a minimum, we should record:
- the customer's name and contact details
  - the date the complaint was received
  - the nature of the complaint
  - the service the complaint refers to
  - staff member responsible for handling the complaint
  - action taken and outcome at frontline response stage
  - date the complaint was closed at the frontline response stage
  - date the investigation stage was initiated (if applicable)
  - action taken and outcome at investigation stage (if applicable)
  - date the complaint was closed at the investigation stage (if applicable); and
  - the underlying cause of the complaint and any remedial action taken.
  - the outcome of the SPSO's investigation (where applicable)
18. If the customer does not want to provide any of this information, we will reassure them that it will be managed appropriately, and record what we can.
19. Individual complaint files will be stored in line with our document retention policy

### Learning from complaints

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20. We must have clear systems in place to act on issues identified in complaints. As a minimum, we must:
- seek to identify the root cause of complaints
  - take action to reduce the risk of recurrence; and
  - systematically review complaints performance reports to improve service delivery.
21. Learning may be identified from individual complaints (regardless of whether the complaint is upheld or not) and from analysis of complaints data.

22. Where we have identified the need for service improvement in response to an individual complaint, we will take appropriate action.

- the action needed to improve services must be authorised by an appropriate manager
- an officer will be designated the 'owner' of the issue, with responsibility for ensuring the action is taken
- a target date must be set for the action to be taken
- the designated individual must follow up to ensure that the action is taken within the agreed timescale
- where appropriate, performance in the service area should be monitored to ensure that the issue has been resolved; and
- any learning points should be shared with relevant staff

23. SPSO has guidance on **Learning from complaints**.

24. Senior management will review the information reported on complaints regularly to ensure that any trends or wider issues which may not be obvious from individual complaints are quickly identified and addressed. Where we identify the need for service improvement, we will take appropriate action (as set out above). Where appropriate, performance in the service area should be monitored to ensure that the issue has been resolved.

## Reporting of complaints

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25. We have a process for the internal reporting of complaints information, including analysis of complaints trends. Regularly reporting the analysis of complaints information helps to inform management of where services need to improve.

26. We will report at least **quarterly** to senior management on:

- performance statistics, in line with the complaints performance indicators published by SPSO
- analysis of the trends and outcomes of complaints (this should include highlighting where there are areas where few or no complaints are received, which may indicate either good practice or that there are barriers to complaining in that area).

## Publicising complaints information

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27. We publish on a **quarterly** basis information on complaints outcomes and actions taken to improve services.

28. This demonstrates the improvements resulting from complaints and shows that complaints can help to improve our services. It also helps ensure transparency in our complaints handling service and will help to show our customers that we value their complaints.

29. We will publish an **annual** complaints performance report on our website in line with SPSO requirements, and provide this to the SPSO on request. This summarises and builds on the quarterly reports we have produced about our services. It includes:

- performance statistics, in line with the complaints performance indicators published by the SPSO; and

- complaint trends and the actions that have been or will be taken to improve services as a result.

30. These reports must be easily accessible to members of the public and available in alternative formats as requested.

# COMPLAINTS HANDLING PROCEDURE

SCOTTISH BORDERS COUNCIL



# SCOTTISH BORDERS COUNCIL COMPLAINTS HANDLING PROCEDURE

Scottish Borders Council is committed to providing high-quality customer services.

## WE VALUE COMPLAINTS AND USE THEM TO HELP US IMPROVE OUR SERVICES

**If something goes wrong or you're dissatisfied with our services, please tell us. This leaflet describes:**

- our complaints procedure
- how to make a complaint
- how we will handle your complaint
- what you can expect from us

## WHAT IS A COMPLAINT?

**A complaint is any expression of dissatisfaction about:**

- our actions or lack of action
- standards of service provided by us or on our behalf



## WHAT YOU CAN COMPLAIN ABOUT

### **You can complain about things like:**

- our failure or refusal to provide a service
- inadequate quality or standard of service
- an unreasonable delay in providing a service
- dissatisfaction with one of our policies or its impact on you
- our failure to properly apply law, procedure or guidance when delivering services
- our failure to follow the appropriate administrative process
- the conduct, treatment by or attitude of a member of staff or contractor (except where arrangements are in place for the contractor to handle the complaint themselves)
- your disagreement with a decision, (except where there is a statutory procedure for challenging that decision, or an established appeals process followed throughout the sector)

## WHAT YOU CAN'T COMPLAIN ABOUT

### **There are some things we can't deal with through our complaints handling procedure, including:**

- routine first-time requests for a service
- first-time reports of a fault (for example, potholes or street lighting)
- requests for compensation only
- issues that are currently in or have already been heard by a court or tribunal (if you have an ongoing complaint and decide to take legal action you should let us know)
- where the law outlines how to challenge a decision (such as Freedom of Information and Subject Access Requests)
- where there is an established appeals process followed throughout the sector (such as council tax, planning, or a parking ticket appeal)
- a decision or condition based on social work recommendations, but determined by a court or other statutory body (such as decisions made by a children's panel, parole board or mental health tribunal)
- requests for information under the Data Protection or Freedom of Information (Scotland) Acts

- grievances by a staff member or a grievance relating to employment or staff recruitment
- concerns raised internally by a member of staff (which was not about a service they received, such as a whistleblowing concern)
- concerns about a child or an adult's safety
- requests to reopen a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision
- abuse or unsubstantiated allegations about our organisation or staff where such actions would be covered by our Vexatious Complaints and Correspondence Policy
- concerns about the actions or service of a different organisation, where we have no involvement in the issue (except where the other organisation is delivering services on our behalf)

If other procedures or rights of appeal can help you resolve your concerns, we'll give information and advice to help you.

## WHO CAN COMPLAIN

**Anyone who receives, requests or is directly affected by our services can make a complaint, including representatives of the person dissatisfied with our service such as:**

- relatives
- friends
- advocates
- advisers

If you make a complaint on behalf of someone else you may need their written consent. Please also read the section on GETTING HELP TO MAKE YOUR COMPLAINT below.

# HOW TO COMPLAIN

**You can make a complaint online at [scotborders.gov.uk/complaints](https://scotborders.gov.uk/complaints) or**

- by email
- by phone
- in writing to any of our offices
- in person at any of our offices

You can find our contact details at [scotborders.gov.uk/contact](https://scotborders.gov.uk/contact) or at the end of this leaflet

You can make a complaint anonymously, but if you'd like a response let us know your name and contact details.

## **You should also tell us:**

- as much about the problem as possible
- what went wrong
- what you would like us to do to put things right

# WHEN YOU SHOULD MAKE YOUR COMPLAINT

**It's easier for us to address complaints if you let us know as soon as possible, but you should make your complaint within six months of:**

- the event you want to complain about
- finding out that you have a reason to complain

In exceptional circumstances, we may be able to accept a complaint after this time limit. If you don't think the time limit should apply to your complaint, you should tell us why not.

# HOW WE HANDLE YOUR COMPLAINT

## STAGE ONE: FRONTLINE RESPONSE

**Where possible, we'll try to respond to your complaint when you first tell us about the problem, which could mean**

- an on-the-spot apology and explanation if something has clearly gone wrong
- immediate action to resolve the problem

We'll give you our decision at Stage One in 5 working days or less, unless there are exceptional circumstances.

If you're not satisfied with our response, we'll tell you what you can do next.

**If you decide to take your complaint to Stage Two, you must normally tell us:**

- within six months of the event you want to complain about or finding out that you have a reason to complain; or
- within two months of receiving your Stage One response (if this is later)

In exceptional circumstances, we may be able to accept a Stage Two complaint after the time limit. If you don't think the time limit should apply to your complaint, you should tell us why not.

## STAGE TWO: INVESTIGATION

### **Complaints are handled at this stage for two reasons:**

- you're not happy with the outcome or response to your complaint at Stage One
- complaints that clearly require more detailed investigation

If you don't want your complaint to be handled at Stage One, you can ask us to handle it at Stage Two instead.

### **When we investigate your complaint at Stage Two we'll:**

- acknowledge receipt of the complaint within 3 working days
- confirm our understanding of the complaint we'll investigate
- confirm our understanding of the outcome you're looking for

### **When investigating your complaint we:**

- may try to resolve your complaint by having a conversation with you, and in some cases we may suggest using an alternative approach such as mediation; or
- we'll give you a full written response

You'll normally receive a response within 20 working days, but if our investigation will take longer than this we'll let you know our revised timescales and keep you updated on progress.

## WHAT IF YOU'RE STILL DISSATISFIED?

### **You can ask the Scottish Public Services Ombudsman (SPSO) to look at your complaint if:**

- you've got all the way through Scottish Borders Council's complaint handling procedure and you're dissatisfied with our final decision or you're not satisfied with the way we've handled your complaint; and
- it's less than 12 months after you became aware of the matter you want to complain about; and
- the matter has not been (and is not being) considered in court.

Some complaints have an alternative route for independent review, but we'll tell you how to do this when we give you our final response to your complaint.

# SCOTTISH PUBLIC SERVICES OMBUDSMAN (SPSO)

The SPSO are an independent organisation that investigate complaints, and they'll ask you to complete a complaint form and provide a copy of our final response to your complaint.

## **You can do this:**

- online at [www.spsso.org.uk/complain/form](http://www.spsso.org.uk/complain/form)
- or by calling Freephone 0800 377 7330

They're not an advocacy or support service, but if you need help to progress your complaint you can find details of organisations who can help in the section on GETTING HELP TO MAKE YOUR COMPLAINT below.

## **The SPSO's contact details are:**

### **SPSO**

Bridgeside House | 99 McDonald Road | Edinburgh | EH7 4NS

(if you would like to visit in person, you must make an appointment first)

## **Their freepost address is:**

### **FREEPOST SPSO**

freephone: 0800 377 7330

online contact: [www.spsso.org.uk/contact-us](http://www.spsso.org.uk/contact-us)

[www.spsso.org.uk](http://www.spsso.org.uk)

# CARE COMPLAINTS

If your complaint relates to a care service we provide, you can choose whether to complain to us or the Care Inspectorate. You can find out more about their complaints procedure, or make a complaint, by contacting them.

## **CARE INSPECTORATE**

tel: 0345 600 9527 | email: [concerns@careinspectorate.gov.scot](mailto:concerns@careinspectorate.gov.scot)  
[www.careinspectorate.com](http://www.careinspectorate.com)  
online complaint: Making a complaint online

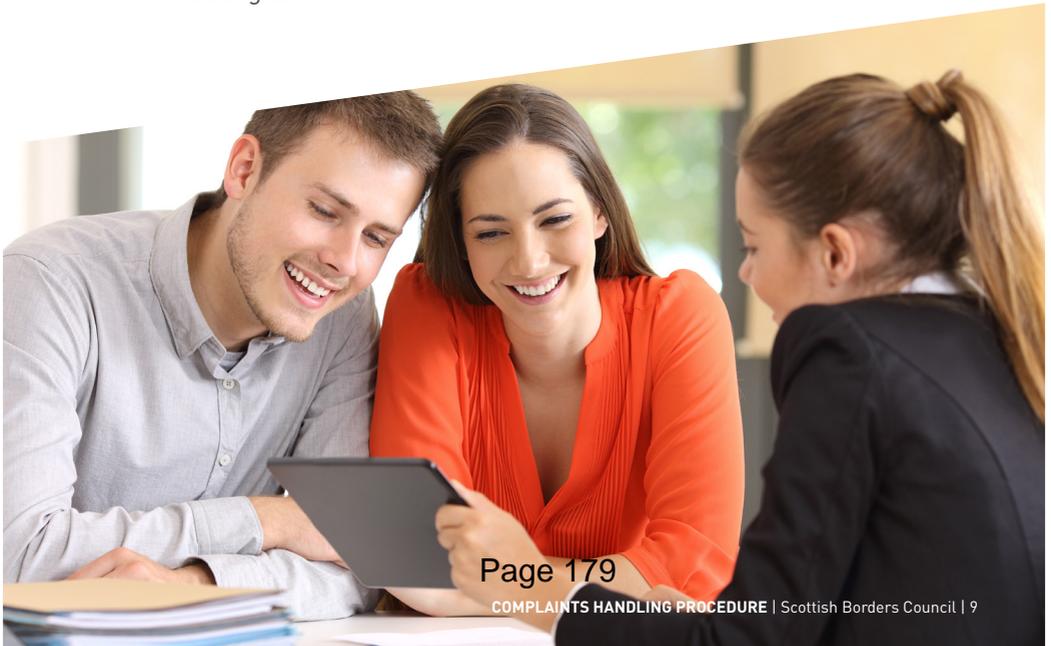
# GETTING HELP TO MAKE YOUR COMPLAINT

We understand that you may be unable or are reluctant to make a complaint yourself. Friends, relatives, or advocates can make a complaint for you if you have given them your consent.

**Some organisation that may also be able to help you are:**

## **SCOTTISH INDEPENDENT ADVOCACY ALLIANCE**

tel: 0131 510 9410 | email: [enquiry@siaa.org.uk](mailto:enquiry@siaa.org.uk)  
[www.siaa.org.uk](http://www.siaa.org.uk)



## **BORDERS INDEPENDENT ADVOCACY SERVICE**

Low Buckholmside | Galashiels | TD1 1RT  
tel: 01896 752200 | email: [info@bordersadvocacy.org.uk](mailto:info@bordersadvocacy.org.uk)  
[www.bordersadvocacy.org.uk](http://www.bordersadvocacy.org.uk)

## **CITIZENS ADVICE SCOTLAND**

[www.cas.org.uk](http://www.cas.org.uk)  
Or check your phone book for your local citizens advice bureau.

We're committed to making our service easy to use for all members of the community. In line with our statutory equalities duties, we'll always ensure that reasonable adjustments are made to help you access and use our services.

If you have trouble putting your complaint in writing, or want this information in another language or format, such as large font, or Braille, please contact our Customer Advice and Support Service.

# **CUSTOMER ADVICE AND SUPPORT SERVICE CONTACT DETAILS**

## **CUSTOMER ADVICE AND SUPPORT SERVICE**

Council Headquarters | Newtown St Boswells | MELROSE | TD6 0SA  
tel: 0300 100 1800 | email: [CustomerAdvice@scotborders.gov.uk](mailto:CustomerAdvice@scotborders.gov.uk)  
[www.scotborders.gov.uk](http://www.scotborders.gov.uk)



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.

CUSTOMER ADVICE AND SUPPORT SERVICE  
Scottish Borders Council | Council Headquarters  
Newtown St Boswells | MELROSE | TD6 0SA  
tel: 0300 100 1800  
email: [CustomerAdvice@scotborders.gov.uk](mailto:CustomerAdvice@scotborders.gov.uk)  
[www.scotborders.gov.uk](http://www.scotborders.gov.uk)



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## **CORONAVIRUS (COVID-19) TENANT GRANT FUND – OUTLINE OF FUND AND PROPOSALS FOR ADMINISTRATION OF FUND**

**Report by Director - Resilient Communities**

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### **EXECUTIVE COMMITTEE**

**16 November 2021**

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

- 1.1 This report describes the Scottish Government’s Tenant Grant Fund and requests delegated authority for the Director – Resilient Communities to allocate, monitor and evaluate the Scottish Borders allocation from the Fund.**
- 1.2 The Deputy First Minister announced on 23 June 2021, a new £10M Tenant Grant Fund as a way of preventing evictions as a result of COVID-19 related rent arrears.
- 1.3 The Scottish Government wrote to Local Authorities on 10 September 2021 outlining the aims of the Tenant Grant Fund and stating the level of award to each Local Authority, and again on 17 September 2021 with guidance to support Local Authorities in their administration of the Fund.
- 1.4 Scottish Borders Council has been awarded £175k Grant Fund and £9k for administration of the Fund. Officers are liaising with partners, including the 4 locally based RSLs, to assess the scale of demand for the Fund and to inform development of mechanisms for delivering the Fund appropriately and effectively.

#### **2 RECOMMENDATIONS**

##### **2.1 I recommend that the Executive Committee:**

- (a) Notes the aims of the Fund and the funding that has been awarded as per the Scottish Government letter of 10 September 2021 (Appendix 1).**
- (b) Delegates’ authority to the Director - Resilient Communities to allocate, monitor and evaluate funding in accordance with the Coronavirus (COVID-19) Tenant Grant Fund Guidance for Local Authorities (Appendix 2).**

### **3 BACKGROUND**

- 3.1 The Deputy First Minister announced on 23 June 2021, a new £10M Tenant Grant Fund as a way of preventing evictions by supporting tenants who have fallen into rent arrears as a direct result of the coronavirus pandemic.
- 3.2 The Scottish Government then wrote to Local Authorities on 10 September 2021 outlining the aims of the Tenant Grant and stating the level of award to each local authority, and again on 17 September 2021 with guidance to support local authorities in their administration of the fund.
- 3.3 Scottish Borders Council have been awarded £175k Grant Fund and £9k for administration of the Fund. The funding is for the 2021/2022 financial year only. The amount allocated to each Local Authority was based on a hybrid allocation methodology of 50% homelessness and 50% DHP (Other).
- 3.4 The aim of the Grant Fund is:
- Local Authority Officers will use the Grant Fund as one of the tools for saving tenancies, creating sustainable housing solutions for individuals and preventing homelessness.
  - To complement the range of options local authorities already use to prevent homelessness
  - Focus on supporting those most at risk of homelessness, where tenancies can be saved, and where this funding can support an agreement between the landlord and tenant.
- 3.5 The guidance on how the Grant Fund is to be used includes:
- a) It should be available to all tenants living in the private and social rented sector at risk of homelessness.
  - b) It should be targeted at highly vulnerable individuals/households.
  - c) Landlords must demonstrate that they are complying with the pre-action requirements for rent arrears and agree not to progress a repossession on the basis of rent arrears where a grant is paid and the tenant meets all future agreed rent and repayment obligations.
  - d) Further the Grant is specifically to help repay rent arrears that have arisen due to the Coronavirus pandemic between 23 March 2020 and 9 August 2021. Arrears before 23 March 2020 will not be covered.
  - e) Arrears after 9 August 2021 can only be covered in exceptional circumstances, where the local authority is satisfied that arrears relate to continued impact of the pandemic restrictions.

## **4. ADMINISTRATION OF THE FUNDING**

- 4.1 The Tenant Grant Fund is intended to be flexible and the Guidance, whilst providing a framework for administering the funding, also encourages local authorities to exercise a large degree of discretion in administering it, as part of a broader holistic approach to homelessness prevention.
- 4.2 The emphasis on flexibility and local discretion is welcome. However, this also presents challenges in terms of, for example, setting criteria for prioritising awards in way that ensures fairness and equality for tenants, and across tenures and Local Authority areas.
- 4.3 Further, the Tenant Grant Fund has to be used this financial year, ending 31 March 2022. This is a very short timescale to develop and implement the necessary assessment and payment mechanisms.
- 4.4 The above concerns about the challenges are shared by Officers in other local authorities and have been raised in national groups. SBC Officers are liaising with colleagues in other Local Authorities to explore urgently how best to meet these challenges.
- 4.5 SBC officers are also liaising urgently with partners, including the 4 locally based RSLs, to assess the scale of demand for the Fund.
- 4.6 SBC Officers will, taking on board the results of communications with colleagues in other local authorities and with local partners, urgently develop mechanisms for delivering the Fund effectively and in accordance with the Guidance.
- 4.7 The distribution of funds in individual cases will abide by the core principles of maximising the number of cases assisted from all funding options balanced against maximising the long term sustainability of the tenancy being supported.

## **5 IMPLICATIONS**

### **5.1 Financial**

Scottish Borders Council has been awarded £175k Grant Fund and £9k for administration of the Fund from the Scottish Government's £10M Tenant Grant Fund. Grant award criteria and process have to be developed and implemented urgently in order to ensure that grants are awarded in accordance with the Guidance and during financial year 2021/2022.

### **5.2 Risk and Mitigations**

If we do not action these proposals in accordance with the Guidance and during financial year 2021/2022 then we may not make full use of the Scottish Borders Council share of the £20m Tenant Grant Fund (£175k) which will increase the risk of more vulnerable people in becoming homeless.

### 5.3 **Integrated Impact Assessment**

This funding will go towards addressing some of the inequality and hardship experienced by tenants as a result of the pandemic and will reduce the risk of tenants becoming homeless. A 'light touch' Integrated Impact Assessment is attached (Appendix 3).

### 5.4 **Acting Sustainably**

It is anticipated that as a result of this funding there will be a positive effect on the following community outcomes:

- a) Include under-represented or excluded groups
- b) Improve community quality of life
- c) Improve community capacity
- d) Take into account equal opportunities

### 5.5 **Carbon Management**

There will be no impact on the Council's carbon footprint as a result of the recommendations in this report.

### 5.6 **Rural Proofing**

Not applicable.

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

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

## **6 CONSULTATION**

6.1 The Director (Finance & Corporate Governance), Chief Legal Officer (including as Monitoring Officer), Chief Officer Audit & Risk, Director (People Performance & Change), Director (Resilient Communities), Clerk to the Council, Corporate Communications, Corporate Equalities and Diversity Officer, Customer Advice and Support Service Manager have been consulted and any comments received have been incorporated into the final report.

6.2 The Corporate Management Team have been consulted and any comments received will be incorporated into the final report.

### **Approved by**

**Jenni Craig**  
**Director – Resilient Communities**

**Signature .....**

### **Author(s)**

Name	Designation and Contact Number
Jenni Craig	Director - Resilient Communities
David Kemp	Homelessness and Financial Support Manager

**Background Papers:**

Appendix 1 – Scottish Government letter of 10 September 2021 regarding Tenant Hardship Grant Fund

Appendix 2 – Coronavirus (COVID-19) Tenant Grant Fund Guidance for Local Authorities

Appendix 3 - 'light touch' Integrated Impact Assessment

**Previous Minute Reference:** n/a

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

Contact us at Council Headquarters, Newtown St Boswells, Melrose TD6 0SA.

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E: [Catriona.MacKean@gov.scot](mailto:Catriona.MacKean@gov.scot)

**Sent to:**

Chief Executives  
Directors of Housing  
Directors of Finance

Copy to Chief Executive COSLA

10 September 2021

Dear Colleague,

**Tenant Hardship Grant Fund**

On 23 June 2021 the Deputy First Minister announced a new £10m Tenant Grant Fund as a way of preventing evictions as a result of COVID-19 related rent arrears.

Ministers and COSLA Leaders have agreed to distribute revenue funding of £10m in the 2021/2022 financial year across local authorities, based on a hybrid allocation methodology for the Fund of 50% homelessness and 50% DHP (Other). Allocations are set out at Annex A.

Payments will be made as a redermination to General Revenue Grant at the end of March 2022 and £9.5m will be for use as grants, with £0.5m for administration distributed on the same basis.

The aim of the Tenant Hardship Grant is:

- that Local Authority officers - who are already well placed to provide a range of support to people facing housing problems - would use the grant fund as one of the tools for saving tenancies, creating sustainable housing solutions for individuals and preventing homelessness. We envisage this will mainly be delivered through officers working in housing and homelessness services, unless local authorities feel there is a more appropriate route for this;
- this new intervention would aim to complement the range of options local authorities already use to prevent homelessness. It is also intended to be linked to the existing pre-action requirements for rent arrears in both the social and private rented sectors; and
- the main focus of the new grant funding would be on supporting those most at risk of homelessness, where tenancies can be saved, and where this funding can support an agreement between the landlord and tenant.

It should be noted that this funding is a finite amount, made available during this financial year only.

The following summarises where the grant can and cannot be paid:

- i. The grant would be available to all tenants living in the private and social rented sector at risk of homelessness, administered by local authorities.
- ii. The grant should be targeted at highly vulnerable individuals/households.
- iii. Landlords must demonstrate that they are complying with the pre-action requirements for rent arrears and agree not to progress a repossession on the basis of rent arrears where a grant is paid and the tenant meets all future agreed rent and repayment obligations.
- iv. The grant is specifically to help repay rent arrears that have arisen due to the Coronavirus pandemic between 23 March 2020 and 9 August 2021.
- v. Arrears before 23 March 2020 would not be covered.
- vi. Arrears after 9 August 2021 (based on the current strategic framework) can only be covered in exceptional circumstances, where the local authority is satisfied that arrears relate to continued impact of the pandemic restrictions.

The Scottish Government is keen to learn from the administration of the grant and are willing to consider expanding the remit to support a wider range of circumstances, for example, if there is lower uptake than expected. Therefore, local authorities are asked to provide quarterly basic data and information to support this, which would include the number of grants made (split by tenure type), the amount of grant awarded and the number of evictions it is anticipated to have prevented (at that point in time).

### Guidance to support administration

In order to support the administration of the Tenant Hardship Grant Fund, guidance has been prepared in partnership with COSLA, ALACHO, Local Authority practitioners and housing stakeholders.

This guidance will be made available to local authorities during the week beginning Monday 13 September, with a view to the Tenant Hardship Grant Fund being officially launched during the week beginning Monday 27 September.

I look forward to engaging with you further as the impact of the fund is monitored.

Yours sincerely,



**Catriona MacKean**  
Deputy Director, Better Homes

Tenant Hardship Grant Fund AllocationFunding Allocation 2021/22

	2021/22 Allocation	
	Grant Fund	Admin
	£000s	£000s
Aberdeen City	393	21
Aberdeenshire	278	15
Angus	156	8
Argyll & Bute	93	5
City of Edinburgh	1,499	79
Clackmannanshire	138	7
Dumfries & Galloway	207	11
Dundee City	358	19
East Ayrshire	190	10
East Dunbartonshire	105	6
East Lothian	175	9
East Renfrewshire	82	4
Falkirk	218	11
Fife	615	32
Glasgow City	1,542	81
Highland	296	16
Inverclyde	93	5
Midlothian	158	8
Moray	87	5
Na h-Eileanan Siar	22	1
North Ayrshire	298	16
North Lanarkshire	562	30
Orkney Islands	21	1
Perth & Kinross	179	9
Renfrewshire	214	11
Scottish Borders	175	9
Shetland Islands	24	1
South Ayrshire	189	10
South Lanarkshire	439	23
Stirling	105	6
West Dunbartonshire	263	14
West Lothian	326	17
All	9,500	500

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# **Coronavirus (Covid-19) Tenant Grant Fund**

Guidance for Local Authorities

17 September 2021  
Version 1.0

**Information in this document is provided by the Scottish Government, in conjunction with the Convention of Scottish Local Authorities (CoSLA), to all Scottish local authorities. This Guidance is a live document, and updated versions will be provided to local authorities as and when required.**

#### **Important information**

- Each local authority has been awarded an allocation, based on the distribution agreement between CoSLA and Scottish Government– to be used this financial year, ending 31 March 2022. There will be no further allocations.
- Any grant award to a landlord should be a one-off award, and only cover a period of under 12 months. Otherwise it could be classed as an annual payment, and would have tax implications for the tenant. **In practice, any award would be based on the actual period when the rent arrears occurred, which in most cases will be a less than 12 months.**
- The grant is to help prevent homelessness and sustain tenancies by directly reducing, alleviating or paying off rent arrears altogether, where a tenant is in either the social or private sector, and has faced difficulties due to Coronavirus. The period the grant covers is between 23 March 2020 and 9 August 2021. Any arrears accrued before 23 March 2020, and after 9 August 2021, cannot be covered by this grant.

#### **Background**

On 23 June the Deputy First Minister announced the Scottish Government's intention to launch a £10m grant fund later in the year to support private and social rented tenants who have incurred rent arrears as a direct result of the Covid-19 pandemic.

The £10m fund will enable local authorities to respond in a discretionary and flexible way in order to assist tenants struggling with rent arrears who are at risk of homelessness as quickly, and efficiently as possible. Through this fund, the Scottish Government will provide a one-off grant to each local authority in Scotland. Details of the allocations for individual local authorities, and the broad parameters for distributing this funding, are set out in this guidance.

The document sets out guidance for local authorities regarding the basis on which allocations from the Tenant Grant Fund are made to local authorities and sets out high level parameters which local authorities should take into account when using this funding to support tenants.

**This Guidance has no statutory basis. It is not intended to constitute and should not be interpreted as legal advice on the contractual arrangements necessary for a local authority to pay a grant to a landlord. Local authorities should obtain their own independent legal advice on any correspondence or contractual documents passing between them and a landlord or tenant.**

This document has been developed by the Scottish Government in conjunction with COSLA, the Association of Local Authority Chief Housing Officers (ALACHO) and both social and private housing stakeholders.

## **1. Purpose of the funding**

The purpose of the Tenant Grant Fund is to mitigate the short to medium term financial challenges being experienced by tenants adversely impacted by restrictions and regulations introduced since March 2020, to control the spread of COVID-19.

This fund enables local authorities to prevent homelessness and sustain tenancies by directly reducing, alleviating or paying off rent arrears altogether where a tenant is in either in the social or private rented sectors, and has faced difficulties due to Coronavirus. Local authorities have discretion, as to payment in individual cases and should consider whether the payment is necessary or justified action to avoid the tenant becoming homeless. This recognises the experience that local authorities have in supporting people in a housing crisis, and will help identify where funding would be most effectively provided.

The main focus of the grant funding is to support those most at risk of homelessness, in circumstances where tenancies can be saved through such intervention. By contributing to the payment of rent arrears, this funding may also assist the landlord and tenant in reaching a repayment agreement as part of the pre-action requirements process.

The grant may be particularly supportive to tenants in the private rented sector, given private landlords may have lower ability to manage sustained rent arrears in the longer term and the greater risk of homelessness these tenants may face.

The grant fund is flexible, enabling local authorities to exercise a large degree of discretion in administering it, as part of a broader holistic homelessness prevention approach. It can be used alongside other existing tools and financial support such as Discretionary Housing Payments (DHPs), benefits checks etc., and it can cover a proportion, or all, of a tenant's rent arrears. It can also be used where other solutions aren't available and local authorities will be best placed to identify priority cases, to ensure the fund is targeted at those who need it most.

The grant fund could assist landlords and tenants in reaching a repayment plan, possibly as part of the pre-action requirements. So, as a further option that could be explored, where it has not been possible to agree a reasonable and sustainable repayment plan, the grant fund could assist the tenant and landlord to come to a reasonable arrears repayment plan. For example, this could include a proportion of the arrears being paid off by the grant fund, alongside the landlord reducing the amount of arrears owed, (if it is able to do so, without causing undue difficulty) and providing income maximisation support to the tenant resulting in a more manageable level of debt to repay. However, there could be private landlords who are also facing financial difficulty as a consequence of the pandemic and may be unable to contribute to a reduction of the debt, and the local authority could take this into account. Where the landlord is a social landlord, they must make reasonable efforts to provide the tenant with advice and assistance regarding grants.

This non-statutory guidance supports local authorities in making decisions on how they should distribute this funding, while recognising the variability within and across local housing systems will demand differing approaches.

## 2. How grants will be provided

Local authorities will be responsible for distributing grants to tenants based on the allocation they receive from the £10m discretionary funding pot.

### Allocation of funds to local authorities

We have worked closely with COSLA to agree a methodology for determining individual allocations to local authorities. COSLA Leaders' Group agreed that the allocation of the £10m to local authorities through the Tenants Grant Fund was to be paid on the basis of 50% homelessness and 50% Discretionary Housing Payment (Other). Further details on the methodology is as below:

- 'homelessness' element uses the current homelessness GAE funding allocation methodology across local authorities for the delivery of local authority homelessness services, which is based on the average numbers of applications to local authorities under the homeless persons legislation that were assessed as homeless or threatened with homelessness (both intentional and unintentional), over the three years 2017/18 to 2019/20. This excludes any data for the more recent year 2020/21, to maintain consistency with the time periods of data used in the current homelessness GAE allocation methodology.
- 'DHP (Other)' element is a fixed amount that is given to Local Authorities, to spend at their discretion, between DHP Core, Local Housing Allowance, and Benefit Cap mitigation.

Notification of each local authorities allocation from the £10m Tenant Grant Fund was provided via a letter issued to Chief Executives, Heads of Housing and Heads of Finance on 10 September 2021, and we ask that local authorities continue to adhere to the conditions of the grant as set out in the letter.

## 3. Who is eligible

Local authorities can use this funding to provide direct financial support to tenants via landlords in their area as long as it is specifically for the purposes of paying rent arrears arising from the impact of the COVID-19 pandemic, to help prevent homelessness. Local authorities should ensure that the following applies:

- i. The grant fund is used specifically to help repay rent arrears that have arisen due to the Coronavirus pandemic between 23 March 2020 and 9 August 2021;
- ii. Arrears before 23 March 2020 cannot be covered;
- iii. Arrears after 9 August 2021 (based on the Scottish Government's current [strategic framework](#)) can only be covered in exceptional circumstances, where the local authority is satisfied that arrears relate to continued impact of the pandemic restrictions.
- iv. The grant should be paid directly to the landlord in order to avoid any implications for a tenant who is in receipt of other forms of financial support and on the strict condition that the landlord credits the tenant's rent account with that amount.

- v. Landlords must demonstrate that they are complying with the pre-action requirements for rent arrears and agree not to progress a repossession on the basis of Covid related rent arrears where a grant is paid and the tenant meets all future agreed rent and repayment obligations;
- vi. The grant should be targeted at vulnerable individuals/households who would become homeless or do not have alternative sources of support;

#### What local authorities should take into account when determining who to fund

First and foremost, local authority decisions on where they should direct their funding allocations must be based on their knowledge of the local rental market and understanding of the impacts of COVID-19 regulations and restrictions on tenants within their area. Local authorities have discretion in determining who is most vulnerable.

Limits to the funding available through this scheme will inevitably require local authorities to prioritise which tenants should receive support and therefore local knowledge will be vital in determining where the funding can most effectively be deployed.

This grant covers any arrears accrued within the time frame indicated above in order to target Covid-related arrears. However, local authorities should still make enquiries, as to any relevant circumstances.

As an example, where the local authority find that full housing costs had been paid directly to the tenant but they did not then pay their rent, and the local authority may consider whether it would be beneficial to help the tenants to better manage their finances.

Local authorities can use discretion to review cases where, though the pre-action requirements have been followed, a notice of proceedings or a notice to leave has already been served prior to any grant funding release. In these situations, if the landlord was willing to suspend or withdraw this notice in return for a payment from the Fund, the tenancy could be sustained. However, the local authority may wish to see evidence of the notice being suspended or withdrawn prior to making payment.

**Further key considerations - which local authorities should pay close attention to in deciding whether a Tenant Grant Fund payment is appropriate - are set out on page 9 of this guidance.**

#### How tenants will receive funding

There is no standard application process that a tenant must go through. Instead, local authorities will use their discretion to decide how to administer the grant. A grant may be appropriate in individual circumstances to help sustain a tenancy to prevent eviction and homelessness or it may be appropriate in order to support a tenancy being brought to an end without the tenant being responsible for rent arrears. Any grant award will be paid directly to the landlord.

The following potential – but not exclusive - pathways have been identified in relation to a tenant receiving grant support:

- A tenant presents with financial related housing difficulties and is at risk of homelessness, or is referred by a third sector organisation or housing advice organisation.
- On receiving a section 11 notification from a private landlord of intent to evict, or direct contact from a landlord or letting agent concerned about a tenant in rent arrears, a local authority may wish to explore whether the grant could prevent eviction.
- Following presentation for support by a tenant – the local authority should evaluate the situation and consider if pre-action requirements have already been followed. If they have not, consideration should be given to all existing sources of funding available (i.e. Discretionary Housing Payments etc); other support such as income maximisation checks and supporting dialogue between the tenant and landlord to come to a suitable arrangement.
- Similarly, where the landlord or letting agent contacts the local authority regarding a tenant in rent arrears, the local authority should evaluate the situation and consider if pre-action requirements have already been followed and whether the tenant is engaging with the landlord. Again, consideration should be given to all existing sources of funding available (i.e. Discretionary Housing Payments etc), income maximisation checks and encouraging dialogue between the tenant and landlord to come to a suitable arrangement. Early intervention by a local authority, as an independent third party, particularly where a private tenant is not engaging may help to restart dialogue and identify a resolution.

The following potential – but not exclusive – actions that could be taken - have been identified in relation to supporting tenants:

- If it is clear to a local authority that payment of Covid related rent arrears would enable the tenant to remain in their tenancy and therefore, prevent eviction and homelessness, and no other support is available, awarding a grant would be a suitable solution.
- The amount offered will depend on the individual tenant's circumstances (for example, if the landlord has agreed reductions in rent, then that should be taken into consideration). Any grant award to a landlord should be a one-off award, and only cover a period of under 12 months.
- Both the landlord and the tenant should be advised that a grant payment to reduce or clear rent arrears should be seen as a 'fresh start', meaning past Covid-related arrears (accrued within the applicable timeframe) paid off by the grant, will no longer be considered as a ground for future eviction action.
- To support local authorities in engaging with landlords and tenants on grant payments made, a toolkit of correspondence has been provided in Annex A.
- Depending on the individual circumstances of the case, local authorities may wish to ask landlords to write off a proportion of the rent arrears (if the landlord are able to do so, without causing undue difficulty, or undue impacts on other tenants), in return for the remainder of the debt being covered by a grant.

## **To support local authorities in engaging with landlords and tenants on grant payments made, a toolkit of correspondence has been provided in Annex A**

Local authorities are required to make enquires to satisfy themselves of the validity of a tenant's financial and housing situation and that they are working with their landlord to resolve the position. They should consider what supporting information is requested and required to determine eligibility for a grant. Some households may have irregular employed income, for example - many low income households may be working in the 'gig economy', and this should be taken into consideration.

Local authorities should also be engaging with landlords to be assured that the relevant pre-action requirements have been followed. Local authorities should seek confirmation of previous rental payments and arrears claimed for by the landlord, and that those arrears relate to financial difficulties caused by Covid-19. It is crucial that a landlord is willing to work closely with the local authority and the tenant to sustain the tenancy.

As local authorities will be aware, private landlords must also register with local authorities, where they have let properties, and details can be found at [Scottish Landlord Register](#), or with your local private rented sector team. Some local authorities have developed local processes for checking with the Landlord Registration team. It is a criminal offence to rent out a property without having made a valid application for registration.

Given local authorities' responsibilities for managing public funds, it is up to each local authority to ensure that procedures for administering the grants are suitably robust, including due diligence to mitigate against fraud and for audit purposes. This should include giving due regard to the principles for [effective fraud control](#) and having appropriate control mechanisms in place.

We will not hold local authorities financially liable for payments associated with fraud and error. The exception to this would be circumstances where a local authority is found to be in material breach of the relevant UK Government fraud control guidance. Local authorities should ensure that a landlord's claims are verified with the tenant.

### Role of Pre-Action Protocol Requirements

The pre-action requirements provide an important tool for supporting landlords and tenants to ensure they have explored all options for managing the repayment of rent arrears before taking action in court to repossess a property. They are intended to encourage dialogue between the tenant and landlord and provide evidence of the steps landlords have taken to support their tenant to pay their rent and ensure that eviction action is a last resort.

In summary, the pre-action requirements for social and private landlords are to:

- i. Provide the tenant with clear information relating to:** the terms of the tenancy agreement, the amount of rent for which the tenant is in arrears; the tenant's rights in relation to proceedings for possession of a house (including the pre-

- action requirements); and how the tenant may access information and advice on financial support and debt management.
- ii. Social landlords must also make reasonable efforts to provide the tenant with advice and assistance on the tenant's eligibility to receive benefits, loans and make reasonable efforts to provide the tenant with advice and assistance regarding grants and provide the tenant with information about sources of advice and assistance in relation to management of debt.
  - iii. **Make reasonable efforts to agree a reasonable plan with the tenant to make payments to the landlord of:** future payments of rent; and the rent for which the tenant is in arrears.
  - iv. **Give reasonable consideration to:** any steps being taken by the tenant which may affect their ability to make payment to the landlord of the rent for which the tenant is in arrears within a reasonable time; the extent to which the tenant has complied with the terms of any agreed plan; and any changes to the tenant's circumstances which are likely to impact on the extent to which the tenant complies with the terms of an agreed plan

Specific guidance has been provided to support [private](#) and [social landlords](#) to understand and comply with the pre-action requirements. It is expected that in order for a grant to be paid, landlords must have undertaken all the steps required in the pre-action requirements.

Where a landlord has not fully complied, they should be required to do so and further support should be offered to both landlord and tenant in order to reach an agreement. If agreement would be possible on the basis of rent reductions or the writing off of some rent, the grant may form a part in facilitating this agreement alongside other prevention approaches (i.e. benefit entitlement and income maximisation checks).

#### Ongoing proceedings for eviction or repayment of rent arrears

Where a private landlord has an ongoing application to the First-tier Tribunal for Scotland (Housing and Property Chamber) (the "Tribunal") and is applying for consideration for a grant award, they could request for the Tribunal to sist (pause) the application until the outcome of the grant is decided. This will be a matter for the Tribunal to consider.

Should a grant award be made, the private landlord should withdraw any ongoing application with the Tribunal, as the rent arrears which were the subject of eviction or repayment proceedings would be reduced or repaid in full. Adjourning proceedings would allow time to determine whether the arrears can be paid off in full by the grant or, if arrears are only reduced, it may allow time to determine if a sustainable repayment plan can be agreed for the remainder of the arrears. An obligation on the private landlord to seek an immediate adjournment of eviction proceedings and debt recovery proceedings is included within the "in principle" offer of grant (see **Letter [4]** in Annex A). Should the landlord accept this, they would be expected to notify the Tribunal IMMEDIATELY, so that proceedings are not progressed following payment of the grant.

Should a grant be paid, the tenant should also be notified via letter that this has happened, so that they are aware that their rent arrears have either been reduced or paid off altogether. They will also be advised to show this letter to the Tribunal. Wording in **Letter [7]** of Annex A, points this out to the tenant and the landlord, and notes that copies of these letter should be sent to the Tribunal. This is to act as a safeguard, in case the landlord has not notified the Tribunal.

In relation to social housing tenancies, the landlord would have worked extensively with their tenant through the pre-action requirements, and eviction action is always the last resort. Social tenants and landlords may similarly wish to share the above letters with the Sheriff Court, at the appropriate points.

## **KEY CONSIDERATIONS**

**Though the local authority has discretion over who gets an award, there are some specific conditions which must be followed:**

- Any award must be paid to the landlord directly, and cannot be paid to the tenant, as this may affect their benefits entitlement.
- The landlord must be a local authority, a Registered Social Landlord, or registered on the Scottish Landlord Register – if a private landlord, is not so registered they must have at least made a valid application to the Scottish Landlord Register. Some local authorities have developed local processes for checking with the Landlord Registration team for private landlords. It is recognised that unfortunately, some private landlords might not be registered, and this of course calls into question whether the landlord is complying with other aspects of tenancy and housing law, and whether in fact it is possible to work with the private landlord to sustain the tenancy and address wider non-compliance issues. Similarly, where there is no tenancy agreement in the prescribed formats – please see - [Renting a home - Citizens Advice Scotland](#) – this would also indicate non-compliance.
- Both social and private landlords would already be using the existing pre-action requirements, to signpost tenants to get support. The landlord may have already agreed to a rent rebate and/or a repayment plan – which has now broken down. For the private rented sector, the Tribunal has discretion in eviction cases, and will be looking for evidence of compliance with the pre-action requirements, as part of its decision-making process.

**The local authority may wish to maximise support to the tenant and tenancy by:**

- Also working with the tenant to maximise their income through benefit checks etc. or referral to a third party organisation, such as Citizens Advice Scotland, or Shelter Scotland. Though one team might lead the administration of this grant process, they may wish to involve colleagues from other teams, especially around income maximisation.
- Where the tenant is a Registered Social Landlord (RSL) tenant, the RSL may have already tried to work with their tenant, and have satisfied themselves that every other support route has been explored with the tenant. This would ensure maximisation of funding and also has the potential of acting as a 'pre application check'.

- Assisting the tenant and landlord to come to a (further) sustainable and reasonable arrears repayment plan. For example, this could include a proportion of the arrears being paid off by the grant fund, alongside the landlord reducing the amount of arrears owed (if it is able to do so, without causing undue difficulty), and the local authority, or others, providing income maximisation support to the tenant resulting in a more manageable level of debt to repay.
- The local authority may decide that a Tenant Grant Fund payment would not be suitable on grounds that the tenancy cannot be saved for a variety of reasons, such as the tenant's inability to pay rent even after an award has been made for Covid-related arrears. In those circumstances, the local authority is still well placed to support the tenant and may also wish to support the landlord. For example the PRS [Landlord Covid-19 Loan Support Fund](#) is available for private landlords who wish to work with their tenant to sustain a tenancy.
- Local authorities will be best placed to serve the needs of their communities. For example, the tenant may not have English as their first language and authorities may have access to, or wish to use, translation services.

**Where the local authority determines that a grant award is not suitable, it may wish to maximise support to the tenant and tenancy by:**

- providing further assistance from the homelessness team, financial inclusion or equivalent team; Citizens Advice Scotland; or Shelter Scotland.
- considering the implementation of a review process for the refusal of grant applications, or adapting a standard review processes already in place, for this purpose.

#### 4. Monitoring and reporting requirements

Local authorities are asked to provide a brief report to the Scottish Ministers setting out:

- i. the number and level of grants issued and how much grant was paid (broken down by tenure e.g. private, local authority or RSL tenant);
- ii. how many of these grants paid off the rent arrears in full or partially; and
- iii. how many tenancies were sustained – at that time - as a direct result of the grant being paid. As a suggestion, and providing that there are no GDPR issues, you may wish to check a sample of tenancies in say 6, 12 or 18 months. Should you record these details, it would be useful if this could be included in the monitoring report.

These high level reports should be submitted to the Scottish Ministers on the following dates:

- 31 December 2021, and
- 31 March 2022.

Please submit your reports to [tenantgrantfund@gov.scot](mailto:tenantgrantfund@gov.scot).

If you have any queries regarding this guidance, or how to administer the fund, please contact us at: [tenantgrantfund@gov.scot](mailto:tenantgrantfund@gov.scot).



## Local Authorities Toolkit

This next section provides local authorities with a 'Toolkit' which local authorities can use, to support their work to as part of the process to make further enquiries as part of their grant consideration, as well as providing an a suggested "in Principle" offer of grant. Local Authorities are not compelled to use the resources within this toolkit, and are free to use, or not use, this toolkit. It will not, and cannot, cover every scenario.

This toolkit is comprised of:

1. An overview of the process – see below;
2. A flow chart illustrating where the Letters [numbered 1-8] fit into the process;
3. A key to the Letters, with some suggested queries you may wish to ask; and
4. Suggested Letter templates

### An overview of the process

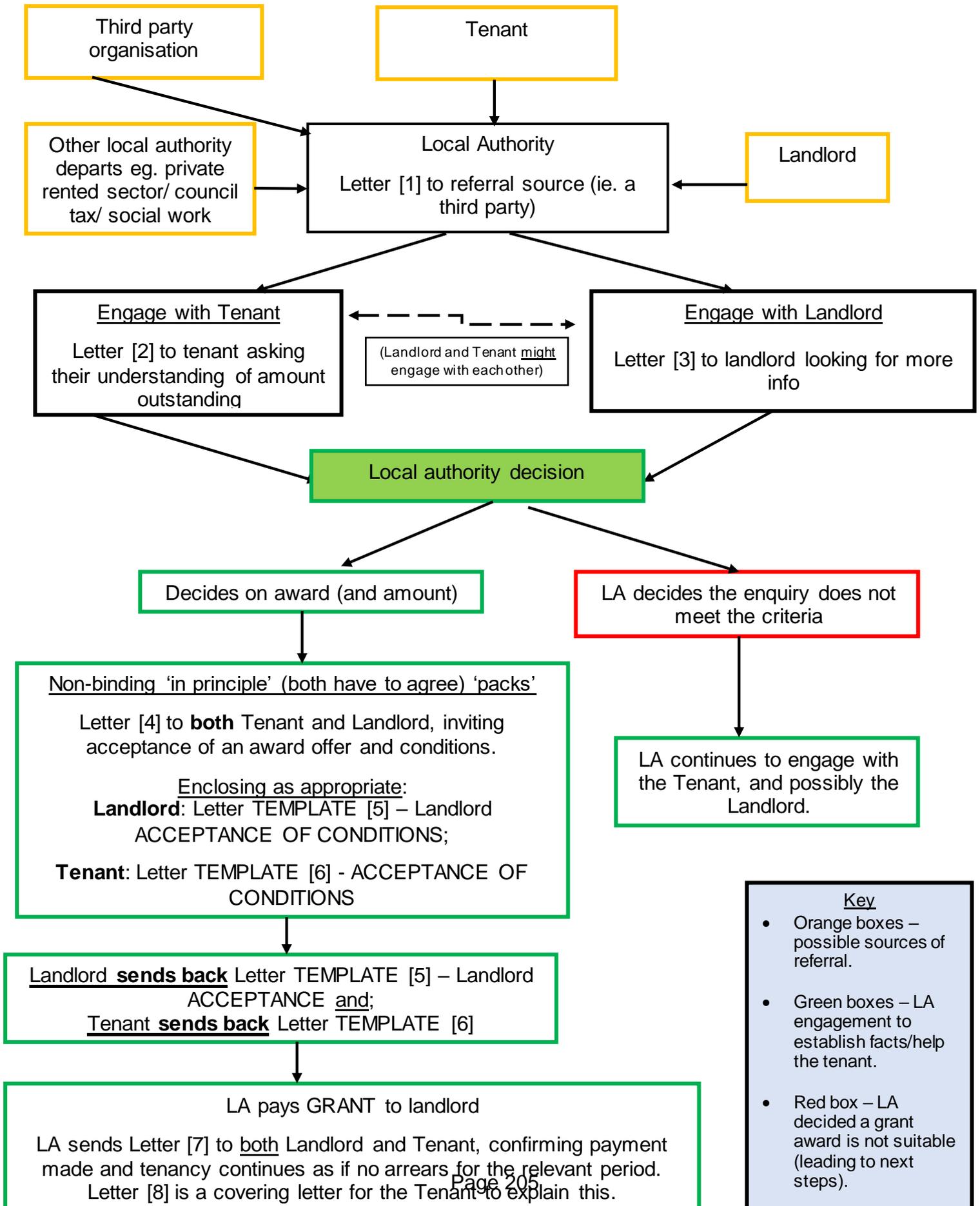
Typically, it is envisaged that an enquiry will go through the following stages:

- (optional) Enquiry is made by a third party;
- Landlord is contacted to establish the facts;
- Tenant is contacted to establish the facts;
- An "in principle" offer is made (if the case progresses) to both parties, subject to certain conditions (as set out in the style letters);
- Each party is invited to accept, on the understanding that an offer will only be made if both parties accept;
- An award is made to the landlord (if both parties accept);
- Both the landlord and tenant are notified that an award has been paid.

Both parties are invited to keep their own records, (particularly if there was an eviction action relating to the period covered by the grant).

**Where a local authority decides a grant award would not be appropriate, they would still be well placed to assist the tenant, and possibly the landlord. For the tenant, this could include further assistance from the homelessness team, financial inclusion or equivalent team; or a referral to [Citizens Advice Scotland](#), or [Shelter Scotland](#).**

Flow chart illustrating where the Letters [numbered 1-8] fit into the process



A key to the Letters, with some suggested queries you may wish to ask

1. **Contact by a third party organisation, on behalf of a tenant – Letter [1]** to acknowledge them.
2. **Letter [2] to tenant, you may wish to ask about the following (not an exhaustive list):**
  - a. the amount of rent arrears and the dates within which the arrears accrued, so you can check valid period claimed for, and compare to landlord's stated outstanding amount;
  - b. the Tenant's current financial status, as they will need to pay the rent going forward to keep the tenancy long term;
  - c. proof of a tenancy, for example:
    - i. copy of the tenancy agreement;
    - ii. schedule of what rent has been paid\*;
    - iii. ask what they should have paid\*;
    - iv. copy of council tax letter – or the LA could check themselves – to satisfy they reside at that address.  
\*NB: though tenants might submit handwritten notes;
  - d. what steps have been taken by the landlord, referencing the pre-action requirements and whether the landlord has offered any rent reduction or agreed a repayment plan.
  - e. would a repayment plan still be possible, if some of the debt has been paid off and funds remain limited?
3. **Letter [3] to landlord, you may wish to ask the following (not an exhaustive list):**
  - a. for their tenant to get in touch (if the local authority is approached directly by the landlord);
  - b. for evidence of compliance with the pre-action requirements and any rent reduction offered or repayment plan agreed by the landlord.
  - c. the amount of rent arrears with the amounts paid and still outstanding broken down by month. This will enable the local authority to check that the period claimed for is valid;
  - d. proof of a tenancy, for example:
    - i. copy of the tenancy agreement;
    - ii. schedule of what rent has been paid\*;
    - iii. ask what they should have paid\*;  
\*NB: via bank statements, as landlords would wish to keep good unequivocal financial audits of payment.
  - e. whether a repayment plan would still be possible if some of the debt has been paid off. Is the tenant now receiving income so they can pay the rent, as well as some arrears?
4. **Letter [4] – TEMPLATE OFFER OF GRANT.** A non-binding 'in principle' offer to both landlord and tenant where the local authority indicates the amount of grant offered and the conditions on which it is offered (**\*see letters [5] and [6] which should also be enclosed as appropriate** )
5. **Letter [5] - TEMPLATE LETTER FOR LANDLORD TO SIGN, with conditions.**

6. **Letter [6] - TEMPLATE LETTER FOR TENANT TO SIGN**, confirming that an award has been made, and reminding them to continue to pay rent to sustain their tenancy.
7. **Letter [7] TEMPLATE LETTER TO LANDLORD THAT AN AWARD HAS BEEN PAID (which is copied to the tenant – see Letter [8])**. This will have details of the grant awarded (and rent arrears therefore paid off). **This letter should only be sent and the grant should only be paid if BOTH parties have sent in Letters [5] and [6] accepting the grant offer on the stated conditions. This letter narrates the agreement constituted by the Offer of Grant (Letter [4]) and the acceptances (Letters [5] and [6]). Please ensure that the Tenant receives a copy of this letter in case the landlord has not disclosed that the grant has been paid and the rent arrears have been either reduced or paid in full.**
8. **Letter [8] TEMPLATE LETTER TO TENANT THAT AN AWARD HAS BEEN PAID (enclosing a copy of Letter [7] which was sent to the landlord)**

**Suggested letter templates are provided in the next section.**

These templates are provided to give local authorities suggestions as to how correspondence with landlords and tenants could be structured, and to highlight the sorts of conditions which local authorities may seek to impose when paying a grant.

They are not intended as legal advice on the formation of a contract between the local authority, the landlord and the tenant. **Local authorities should seek their own legal advice as to the form and content of any documents which go towards creating a contract between them and the landlord and tenants.**

## Letter [1] to a third party organisation

<<Third Party Name and Address>>

<<Reference number>>

<<Date>>

Dear <<name of third party>>

### Tenant Grant Fund

Many thanks for enquiring about the Tenant Grant Fund, on behalf of your client <<tenant name and address>>.]

It is important that the tenant continues to engage with their landlord about their financial situation, as the landlord may be able to help.

This fund is designed to specifically help repay rent arrears that have occurred due to the Coronavirus pandemic between 23 March 2020 and 9 August 2021, and to prevent homelessness. Arrears before 23 March 2020 cannot be covered, as this is viewed as 'pre-pandemic'. For avoidance of doubt, any grant award cannot be used for any other purpose or any other costs or debts, and it is important that your client understands this.

Any potential award under the Fund is subject to further investigation, and it is entirely at our discretion as to whether any amount is offered or not.

The main aim of this fund is preventing homelessness. It is important that your client continues to engage with their landlord, including trying to stick to any agreed repayment plans. For avoidance of doubt, any award, if given, is paid to the landlord direct. This is so that it will not affect any benefits the tenant may be entitled to.

There is no application process for this fund, and your client should contact us at <<LA contact details>>.

Should you have any queries about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours sincerely,

## Letter [2] Responding to tenants /requests for further details

<<Tenant Name and Address>>

<<Reference number>>

<<Date>>

Dear <<name of tenant>>

### Tenant Grant Fund

Many thanks for asking about the Tenant Grant Fund. I am writing to get more details. It is important you understand we cannot offer a grant until we also speak to your landlord. We cannot determine at this point whether a grant would be made on your behalf. The grant is to help you to keep your existing tenancy, and so both you and your landlord must agree to do this. This means that if we award a grant, this is to stop eviction from your home. The grant can only cover rent arrears that happened between 23 March 2020 and 9 August 2021 because of the Coronavirus pandemic. Arrears before 23 March 2020 cannot be covered, as this is viewed as 'pre-pandemic'. If we decide that a grant can be paid, this will mean that a one-off payment of an agreed amount of money is paid to your landlord to clear a proportion, or all of your Covid-related rent arrears.

The main aim of the Tenant Grant Fund is to stop homelessness, but both you and your landlord must continue to work together to achieve this. It is important that you keep in touch with your landlord, and try to stick to any agreed repayment plans or pay off some arrears, if you can.

You may be aware of the extra protections for tenants introduced as a result of Covid (e.g. the extension of most notice periods to 6 months), however, your landlord is still entitled to seek recovery of their property for rent arrears. A landlord can only legally evict you if they have received an eviction order by going through a legal process. To stop an eviction if you receive a grant, both you and your landlord must agree to certain steps that will save the tenancy. For example, your landlord would have to stop any eviction process, and you must agree to pay the rent going forward.

This fund is to stop homelessness (by helping clear Covid-related arrears, and allowing a 'fresh start'), but both landlords and tenants must work together to make this happen. It is important to note that a landlord may not want to receive this grant at all, which means they may not be willing to save the tenancy. They are entitled to do this, but the Tribunal (for private tenants) now has discretion in eviction cases, meaning it can take all relevant factors into consideration, when considering an order for eviction. Social tenants have similar safeguards.

For private rented tenants, the [Coronavirus \(COVID-19\): advice for private tenants - gov.scot \(www.gov.scot\)](https://www.gov.scot), is a useful resource as to where and how to get help. Anyone, whether a social or private tenant can also contact [Citizens Advice Scotland](#), or [Shelter Scotland](#), for help.

**In order to decide whether a grant can be paid in your case, I need to ask you the following questions:**  
**[list queries]**

We also need to contact your landlord, **so we will need their name and address.** To be clear, if we pay out any grant, it will be paid directly to your landlord. This is so that it will not affect any benefits you may be entitled to.

Should you have any questions about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours sincerely,

### Letter [3] Letter to landlord to ask details of what is owed

<<Landlord Name>>  
<<Landlord Address>>  
<<Reference number>>  
<<Date>>

Dear <<name of landlord>>

#### Tenant Grant Fund

Many thanks for enquiring about the Tenant Grant Fund. Further to an approach by your tenant - <<tenant name and address>>, I am writing to get more details. It is important to note that we are unable to determine at this point, whether a grant would be paid to you, or not, as we also need engage with your tenant. The purpose of this funding to help you to sustain the existing tenancy with your tenant by paying off a proportion, or the total amount, of the outstanding rent arrears. In order to receive a grant, both you and your tenant must agree to do this. This means that if we were to award you funding to pay repay rent arrears that have occurred due to the Coronavirus pandemic between 23 March 2020 and 9 August 2021, this is expressly to prevent the eviction of your tenant. Arrears before 23 March 2020 cannot be covered, as this is viewed as 'pre-pandemic'.

The main aim of this fund is preventing homelessness, but both parties must work together to achieve this. It is important that you continue to engage with your tenant, including trying to agree a sustainable repayment plan, or perhaps to write off some of the arrears, if you are able to do so without causing you further difficulty.

If you are awarded a grant from the Fund, both you and the tenant must agree to certain conditions around saving the tenancy. You would have to withdraw or suspend any legal proceedings for eviction or repayment of rent arrears, and the tenant must agree to pay the rent going forward. The main aim of this fund is preventing homelessness (by helping towards the Covid-related arrears, and allowing a 'fresh start'), but both parties must work together to make this happen.

**In order to decide whether a grant can be paid in your case, I need to ask you the following questions: [list queries]**

We also require to contact your tenant, <<tenant name and address>>. For avoidance of doubt, any award, if given, is paid to you directly. This is so that it will not affect any benefits your tenant may be entitled to. We will need your UK based bank account details but we will only ask for this prior to a payment being made. Please be aware that you could also be asked to provide a copy of the tenancy agreement, the agreed rent and bank statements as proof that this rent has not been paid.

Should you have any queries about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours Sincerely,

## Letter [4] Non-binding 'in principle' offer to both landlord and tenant

To: <<Landlord and their Address>>  
<< Tenant and their Address>>

[INSERT DATE]

Dear <<landlord name>>,

**In principle offer of grant for the tenancy with [INSERT NAME(S) OF TENANT] in respect of the Tenancy at [INSERT ADDRESS OF TENANTS].**

### Definitions

1. In this letter, the following terms have the following meanings:

"**We**" means the [INSERT NAME OF THE LOCAL AUTHORITY];

"**the Landlord**" means [INSERT NAME AND ADDRESS OF LANDLORD], and if this is a private landlord, they are a Registered Landlord with the local authority where the "**Property**" is located (in accordance with Part 8 of the [Antisocial Behaviour etc. \(Scotland\) Act 2004](#));

"**the Tenancy**" means the residential tenancy between the Landlord and the Tenant in respect of the Property as set out in a tenancy agreement dated [INSERT DATE OF TENANCY AGREEMENT] as extended and/or amended;

"**the Tenant**" means [insert name and address of the Tenant];

"**the Property**" means [address of the Property] being the residential property rented by the Tenant from the Landlord under the Tenancy;

"**the Rent Arrears**" means £[specify actual amount] which constitutes the amount of rent incurred by the Tenant under the Tenancy Agreement between 23 March 2020 and 9 August 2021 which remains outstanding at the date of this letter as specified in paragraph **Error! Reference source not found.**below;

"**the Grant**" means the amount which is to be paid to the Landlord under the Tenant Grant Fund, as specified in paragraph 2, subject to—

- a. acceptance of this offer by both the Landlord and the Tenant; and
- b. the conditions specified in this offer of grant.

### Conditions

2. The Grant offered to the Landlord is [insert amount in figures (insert amount in words)], and will be paid subject to the conditions specified in this offer of grant.
3. The Grant will only be paid to the Landlord following the acceptance of this offer of grant by both the Landlord and the Tenant.

4. The Grant will not be increased for any reason.
5. The Grant is offered to the Landlord and the Tenant in order to contribute towards the Rent Arrears. It must not, under any circumstances, be paid to any other party.
6. The Grant must be paid be into a UK bank account in the name of the Landlord.
7. The Grant must only be used by the Landlord as payment of [the whole/a part] of the Rent Arrears. The Grant must not be used as payment for rent arrears which accrued before 23 March 2020 or after 9 August 2021.
8. A private Landlord must demonstrate compliance with the pre-action requirements set out in [section 14A of the Housing (Scotland) Act 2001/Part 2 of schedule 1 of the Coronavirus (Scotland) (No 2) Act 2020].
9. The Landlord must not seek or obtain an eviction order on grounds of rent arrears which accrued between 23 March 2020 and 9 August 2021.
10. The Tenant must comply with the terms of the Tenancy and any repayment agreement reached with the Landlord.
11. The Tenant must reside in the Property as their only residence.
12. Where a notice to leave has been served by the Landlord on the Tenant on the grounds of rent arrears, the notice must be withdrawn within one week of payment of the Grant. If no notice to leave has been served by the Landlord on the Tenant, the Landlord must refrain from serving such a notice in respect of rent arrears which accrued between 23 March 2020 and 9 August 2021.
13. Where an application has been made to the First-tier Tribunal for Scotland (Housing and Property Chamber) for an eviction order on grounds of rent arrears which accrued between 23 March 2020 and 9 August 2021, or for a payment order for those arrears, the Landlord must withdraw the application/seek an adjournment of the application within one week of payment of the Grant. If no such application has been made by the Landlord, the Landlord must refrain from making such an application in respect of rent arrears which accrued between 23 March 2020 and 9 August 2021.
14. Where a social Landlord has raised proceedings in the Sheriff Court for eviction on grounds of rent arears which accrued between 23 March 2020 and 9 August 2021, or for repayment of those arrears, the Landlord must abandon/seek a sist of those proceedings within one week of payment of the Grant. If no such proceedings have been raised by the Landlord, the Landlord must refrain from raising such proceedings in respect of rent arrears which accrued between 23 March 2020 and 9 August 2021.
15. Upon payment of the Grant, the Rent Arrears are deemed to be paid [in full/so that only £[specify amount] remains payable to the Landlord by the Tenant].

16. The Landlord and the Tenant must take all reasonable steps to sustain the Tenancy.
17. We may withhold payment, or require immediate repayment, of the Grant or any part of it in the event that the Landlord—
  - a. raises proceedings in the First-tier Tribunal/Sheriff Court to evict the Tenant on grounds of rent arrears which accrued between 23 March 2020 and 9 August 2021; or
  - b. serves a notice to leave on the Tenant on grounds of rent arrears which accrued between 23 March 2020 and 9 August 2021.

#### Next steps

18. The Landlord and the Tenant are invited to accept this offer of grant, on the understanding that the Grant will only be paid upon the acceptance of this Offer of Grant by both parties.
19. To enable this, letter templates are enclosed, for the Landlord and the Tenant to complete respectively. The letter of acceptance by a **private** Landlord must be signed by the Landlord as detailed in the [Scottish Landlord Register](#) for this local authority. [enclose Letter Template [5] and [6]].
20. Once letters of acceptance have been completed by the Landlord and the Tenant respectively, and returned to us, the Grant will be paid to the Landlord.
21. We will notify the Landlord and the Tenant as soon as reasonably practicable after the Grant is paid.
22. We consent to this letter being forwarded to the First-tier Tribunal for Scotland (Housing and Property Chamber) or the Sheriff Court for the purposes of any proceedings raised before them by the Landlord for the eviction of the Tenant or repayment of any rent arrears owed by the Tenant.

Should you have any queries about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours sincerely,

[enclose Letter Template [5] – for the Landlord – for the posting to the landlord].

[enclose Letter Template [6] – for the Tenant - for the posting to the tenant]

**Letter [5]: TEMPLATE– Landlord ACCEPTANCE OF CONDITIONS**

<<LA contact name>>  
<<Local authority name>>  
<<LA Address>>  
<<Reference number>>  
<<Date>>

Dear << LA contact name>>

**Tenant Grant Fund**

Further to your offer of grant, dated ..... <<landlord to insert the date>>, I/we as the landlord accept the offer of grant on the conditions specified. I/we understand that this offer is also conditional on the tenant(s) also accepting the offer.

I/we note that the Grant is to be paid into a UK bank account in my/our name and I/we note our bank account details below:

Name of UK based bank:.....  
Account Name:.....  
Account Code:.....  
Sort Code:.....  
<<Landlord to insert details>>

.....[signed by the landlord]

.....[Landlord's name (as registered with the local authority if it is a private landlord)]

.....[date signed]

**PLEASE RETURN A COMPLETED AND SIGNED COPY OF THIS LETTER TO THE LOCAL AUTHORITY. YOU ARE ADVISED TO KEEP A COPY FOR YOUR OWN RECORDS.**

**Letter [6]: TEMPLATE– Tenant ACCEPTANCE OF CONDITIONS**

<<LA contact name>>  
<<Local authority name>>  
<<LA Address>>  
<<Reference number>>  
<<Date>>

Dear <<LA contact name>>

**Tenant Grant Fund**

Further to your offer of grant, dated ..... <<tenant to insert the date>>, I/we as the tenant(s) accept the offer of grant on the conditions specified. I/we understand that this offer is also conditional on the landlord also accepting the offer.

.....[signed by the tenant(s)]

.....[Tenant(s) address]

.....[date signed]

**PLEASE RETURN A COMPLETED AND SIGNED COPY OF THIS LETTER TO YOUR LOCAL AUTHORITY. YOU ARE ADVISED TO KEEP A COPY FOR YOUR OWN RECORDS.**

**Letter [7] Letter to landlord (and copied to the tenant) THAT AN AWARD HAS BEEN MADE and PAID**

<<Landlord Name>>  
<<Landlord Address>>  
<<Reference number>>  
<<Date>>

**Letter copied to the Tenant(s):** <<Tenant(s) Name, and Address>>

Dear <<name of landlord>>

**Tenant Grant Fund**

Many thanks for enquiring about the Tenant Grant Fund. I am writing to confirm that the grant has now been paid to the bank account specified in your letter of acceptance.

This means that both parties have accepted the offer of grant on the conditions specified and therefore both agree that the tenancy will continue as before.

For avoidance of doubt, the amount awarded is:

£..... [Local authority to insert amount in figures (and words)],

And that the “**period**” of rent arrears referred to is: [insert date in words] to [insert date in words].

This, and other letters relating to this grant award, can be forwarded to the First-tier Tribunal for Scotland (Housing and Property Chamber) or Sheriff Court for the purposes of any proceedings raised before them. If any eviction proceedings are raised in relation to rent arrears which accrued between 23 March 2020 and 9 August 2021, these letters show the steps taken by both parties to pay off the rent arrears.

The First-tier Tribunal for Scotland (Housing & Property Chamber), which deals with private rented housing matters, has discretion in eviction cases while the pandemic is ongoing. This means the Tribunal can take all factors into account when deciding about an eviction action. This includes whether the landlord has followed the pre-action requirements (PARs) or been awarded any Grant, to sustain a tenancy. More details about PARs can be found at [Coronavirus \(COVID-19\): guidance for private landlords and letting agents - gov.scot \(www.gov.scot\)](https://www.gov.scot/Topics/consultations/2020/08/20200801-par-guidance).

In social housing, the PARs were already a feature of the eviction process, and any Grant paid will mean that the relevant rent arrears will no longer exist. More details about PARs can be found at: [Coronavirus \(COVID-19\): guidance for social landlords - gov.scot \(www.gov.scot\)](https://www.gov.scot/Topics/consultations/2020/08/20200801-par-guidance).

Finally, for avoidance of doubt, following payment of the grant the rent arrears in respect of which the grant was paid no longer exist/were reduced accordingly. If there are any ongoing proceedings for eviction or repayment, **you should notify the Tribunal or Court within one week as provided for in the offer of grant.**

Should you have any questions about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours sincerely,

[send a copy of this letter to the Tenant - for their records – there is a short covering Letter [8] to help explain]

**Letter [8] Letter to tenant (enclosing a copy of Letter [7] which was sent to the landlord) THAT AN AWARD HAS BEEN MADE and PAID**

<<Tenant Address>>

<<Reference number>>

<<Date>>

Dear <<name of tenant>>

### **Tenant Grant Fund**

Many thanks for asking about the Tenant Grant Fund. I am writing to confirm that a grant award has been paid to your landlord on your behalf, in relation to your tenancy at the address above.

This means that both parties have accepted the offer of grant on the conditions specified and therefore both agree that the tenancy will continue as before.

I am enclosing a **copy** of the letter which was sent to your landlord to confirm that a grant award has been paid

Should you have any questions about the contents of this letter please e-mail us at <<Email>> or call us on <<tel. number>>.

Yours sincerely,

**Enclosing a copy of the Letter [7] which was sent to the landlord) THAT AN AWARD HAS BEEN MADE and PAID**

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## SCOTTISH BORDERS COUNCIL QUEEN'S PLATINUM JUBILEE FUND

### Report by Director - Resilient Communities

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## EXECUTIVE

**16 November 2021**

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### 1 PURPOSE AND SUMMARY

- 1.1 In 2022, Her Majesty, The Queen will become the first British Monarch to celebrate a Platinum Jubilee, seventy years of service, having acceded to the throne on 6<sup>th</sup> February 1952 when Her Majesty was 25 years old.
- 1.2 This report proposes that a sum of £70k will be allocated to create a Queen's Platinum Jubilee Fund. The purpose of this special fund would be to enable non-profit making community/voluntary groups, schools and churches within the Borders whose project or activity is for the benefit of the wider community, to apply for grant funding to take part in celebratory events/community and legacy projects to mark the Queen's Platinum Jubilee Weekend 2-5 June 2022.
- 1.3 It is proposed that the Queen's Platinum Jubilee Fund would open on 5 January 2022 to allow communities to plan events and activities to take place and close on 30 April 2022 to allow grant award payments to be processed before the Platinum Jubilee Weekend.
- 1.4 Awards up to a maximum of £2,500 will be available. Due to the timescales detailed above and to allow these to be processed on a fast-track basis, it is proposed that decision-making should be agreed at Officer level, with final approval and sign off by the Director, Resilient Communities.

### RECOMMENDATIONS

- 2.1 **I recommend that the Executive Committee:-**
  - (a) **Give approval to the creation of a Queen's Platinum Jubilee Fund of £70k.**
  - (b) **Approval is given for decision making for the Council's Queen's Platinum Jubilee Fund to be agreed at Officer level, with final approval and sign off by the Director, Resilient Communities.**

- (c) That a report providing evaluation and outcomes of the awards made in relation to the Queen's Platinum Jubilee Fund is brought back to Executive at a later date.**

### **3 BACKGROUND**

- 3.1 In 2022, Her Majesty, The Queen will become the first British Monarch to celebrate a Platinum Jubilee, seventy years of service, having acceded to the throne on 6th February 1952 when Her Majesty was 25 years old.
- 3.2 Throughout the year, Her Majesty and other members of the Royal Family will travel around the country to undertake a variety of engagements to mark this historic occasion culminating with the focal point of the Platinum Jubilee Weekend in June.
- 3.3 An extended Bank Holiday, from Thursday 2nd to Sunday 5th June 2022, will provide an opportunity for communities and people throughout the United Kingdom to come together to celebrate the historic milestone. The four days of celebrations will include public events and community activities, as well as national moments of reflection on The Queen's 70 years of service.
- 3.4 This report proposes that a sum of £70k will be allocated to create the Queen's Platinum Jubilee Fund. The purpose of this special fund would be to enable non-profit making community/voluntary groups, schools and churches within the Borders whose project/activity is for the benefit of the wider community to apply for grant funding to take part in celebratory events/community and legacy projects to mark the Platinum Jubilee Weekend.
- 3.5 Communities will have opportunities to come together to celebrate the Queen's Platinum Jubilee for example through events, concerts, open days, street parties, or to create a lasting legacy by perhaps improving public spaces, play parks, gardens, planting commemorative trees etc.
- 3.6 Typical grants (based on the analysis of the previous Queen's Diamond Jubilee Fund) are expected to be in the region of £1,000, but grants up to a maximum of £2,500 will be considered for larger projects or for projects that create a lasting legacy of the Queen's Platinum Jubilee.
- 3.7 The Fund will open on 5 January 2022 to allow for the planning of events and activities and close on 30 April 2022 to allow for grant award payments to be processed before the Platinum Jubilee Weekend.
- 3.8 Application forms, guidance and evaluation will be based on the previous Queen's Diamond Jubilee and VE Funds. Non-constituted groups will be required to nominate a constituted group that will accept the funding award on their behalf.

### **4 IMPLICATIONS**

#### **4.1 Financial**

- (a) Included in this agenda as part of the revenue monitoring report is a proposal to earmark £70k into 2022/23 to fund the creation of a Queen's Platinum Jubilee Fund.

## 4.2 Risk and Mitigations

- (a) The fund is open for a relatively short space of time and there is a risk that failure to secure a decision timeously could hold up effective delivery, thereby placing the development of community projects at risk.
- (b) There is a risk that due to the short timescales there will be limited take up of the fund and therefore a robust communications strategy and plan will be required.

## 4.3 Integrated Impact Assessment

This fund will be open and accessible to all within our communities, and will support and enable everyone to participate in the celebration of the Queen's Platinum Jubilee. The fund will also aim to build community capacity and cohesion by supporting groups in developing projects.

## 4.4 Sustainable Development Goals

The creation of a Queen's Platinum Jubilee Fund is anticipated to have a positive effect in involving the community in developing and implementing projects, encourage volunteering, improving community quality of life and enhancing community capacity

## 4.5 Climate Change

There will be opportunities for groups and organisations within our communities to enhance and improve their environments, and to create lasting legacy projects to benefit communities in the future.

## 4.6 Rural Proofing

N/A

## 4.7 Data Protection Impact Statement

All potential risks of non-compliance with Data Protection legislation have been identified, assessed and recorded within a Data Protection Impact Assessment. The controls to mitigate any potentially negative impacted identified within the Assessment have been/will be implemented to ensure the proposed change to/new data processing complies with Data Protection legislation.

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

N/A

# 5 CONSULTATION

- 5.1 The Director (Finance & Corporate Governance), the Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Director (People Performance & Change), the Clerk to the Council and Corporate Communications have been consulted and any comments received have been incorporated into the final report.

**Approved by**

**Name - Jenni Craig**

**Title – Director, Resilient Communities**

**Author(s)**

Name	Designation and Contact Number
Jenni Craig	Director, Resilient Communities
Shona Smith	Communities & Partnership Manager

**Background Papers:** [insert list of background papers used in compiling report]

**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. Shona Smith can also give information on other language translations as well as providing additional copies.

Contact us at Shona Smith, Council Headquarters, Newtown St Boswells.

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## **OUR PLAN AND YOUR PART IN IT: SBC'S CORPORATE PERFORMANCE AND IMPROVEMENT REPORT QUARTER 2 2021/22**

**Service Director for People, Performance & Change**

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### **EXECUTIVE COMMITTEE**

**16 November 2021**

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

- 1.1 This report presents a high level summary of Scottish Borders Council's Quarter 2 2021/22 performance information with more detail contained within Appendix 2 with a summary of the Community Action Team's activity provided in Appendix 5. The report also includes highlights on the progress of change and improvement projects across Scottish Borders Council (SBC), under the Fit for 2024 programme (Appendix 1), and monitors progress of the Recovery Plan (Appendix 3).**
- 1.2 SBC approved a revised Corporate Plan (Our Plan and Your Part in it 2018-2023) in February 2018, with four corporate themes. In order to monitor progress against the four themes, performance and context information will be presented quarterly to Executive Committee, with an annual summary in June each year.
- 1.3 During Quarter 2 2021/22, SBC has continued to press ahead with a range of important initiatives and innovation, including:
  - (a) Utilising the technology available to us to automate and streamline processes;
  - (b) Launched a Digital Skills programme aimed at improving the overall digital skills of our workforce;
  - (c) Improving outcomes for our young people and their families through Family Group Decision Making.
- 1.4 The information contained within this report will be made available on the SBC website: [www.scotborders.gov.uk/performance](http://www.scotborders.gov.uk/performance)

## **2 RECOMMENDATIONS**

### **2.1 I recommend that the Executive Committee:-**

- (a) Notes the progress update relating to Change and Improvement Projects, referenced in Section 4 and detailed further in Appendix 1;**
- (b) Notes the changes to performance indicators outlined in Section 5 of this report;**
- (c) Notes the performance summarised in Sections 6 and 7, and approves the Quarterly Reports set out at Appendices 1-4 and the action that is being taken within services to improve or maintain performance.**

### **3 BACKGROUND TO SBC PERFORMANCE REPORTING**

- 3.1 SBC approved a revised Corporate Plan in February 2018 (Our Plan and Your Part in it 2018-2023). Against a continued challenging external context, the plan presented how SBC will focus Services for our communities, set across four corporate themes:
1. Our Services For You
  2. Independent, Achieving People
  3. A Thriving Economy, With Opportunities For Everyone
  4. Empowered, Vibrant Communities.
- 3.2 In order to ensure that the corporate themes are addressed effectively, SBC's Performance Management Framework (PMF) was updated and presented to Council on 30 August 2018. This revised PMF set out how SBC would strengthen its performance management across both SBC Services and Commissioned services.
- 3.3 The Appendices reflect a quarterly reporting format structured around the four corporate themes, and use a mixture of narrative, highlights, performance and context indicators.
- (a) Updates on Fit for 2024, Change and Improvement projects are contained in Appendix 1. These are monitored by Corporate Management Team (CMT) and through the SBC Financial Plan and associated monitoring.
  - (b) Appendix 2 contains updates on specific performance and context indicators, structured around SBC's 4 Corporate Themes.
  - (c) Appendix 3 contains updates on monitoring our progress in relation to the Covid-19 Recovery Plan.
  - (d) A schedule of indicators is provided for information at Appendix 4 covering quarterly performance reporting and also annual reporting through the Local Government Benchmarking Framework.
  - (e) To reflect the significant investment made by SBC, an overview of the work and impact of Police Scotland's Community Action Team is provided in Section 7 and within Appendix 5.
- 3.4 It is worth noting that significant changes have taken place since the current Corporate Plan was produced in 2018 and the Council has faced a number of challenges such as Covid-19, Brexit and the global climate crisis. This has led to the need to refresh the Corporate Plan, and re-set our Transformation Programme, to ensure it remains relevant and focussed on delivering the best for the population.
- 3.5 To support the new Plan, we will be developing a revised framework to ensure performance and service planning is fully aligned with the plan, while incorporating a self-evaluation approach to continuously improve services. This will lead to a refresh of this Corporate Performance Report that incorporates key performance indicators better aligned to the SBC's vision and strategic goals.

#### **4 CHANGE & IMPROVEMENT PROJECTS – UPDATE**

- 4.1 Change and Improvement projects are now managed and monitored collectively under Fit for 2024. These projects are delivered in support of SBC's Corporate Plan, the SBC Financial Plan and the Health and Social Care Strategic Plan.
- 4.2 Fit for 2024, the Council's new Transformation Programme was agreed by Council on 28th February 2019. Characterised as 'the next generation' of transformation, the programme aims to fundamentally reshape the Council, from our engagement with our citizens and communities to the way we deliver services. The purpose is to deliver a Council that is adaptable, efficient and effective and capable of not only meeting the challenges ahead, but of fully optimising outcomes for the citizens and communities for which it is responsible.
- 4.3 The following highlights are reported:
- (a) The upgrading of our internet connectivity to Secondary Schools to support modern ways of learning and teaching, and a move to a greater 'online' working environment.
  - (b) How our Place Making approach is supporting a more joined-up, collaborative and participative approach to service delivery in Communities to ensure changes made in a place are relevant and benefit all people.
  - (c) The introduction of Family Group Decision Making within the Children & Young People service aims to provide greater positive outcomes for our young people and their families. It is also envisaged that the number of non-familial care placements will reduce, or the length of time a non-familial care placement is required will lessen, and therefore delivering financial benefits.
  - (d) The launch of our Digital Skills programme which aims to improve the digital skills of our workforce through engagement with Digital Champions and Digital Ambassadors. This initiative will not only focus on improving employee digital skills at work, it also covers foundation skills and skills for life - recognising that there are benefits for SBC colleagues to improve their digital skills overall.
  - (e) The use of Office 365 technologies to simplify, streamline and automate processes such as:
    - Improving Community engagement;
    - Automating the Freedom of Information (FOI) quarterly report.

#### **5 ADDITIONS/CHANGES TO SBC PERFORMANCE INDICATORS (PI)**

- 5.1 It has not been possible on this occasion to update a number of indicators within the report:
- (a) Household Waste and Recycling figures for Q2 21/22 have not been reported. This is due to an issue with the SEPA Waste Data Flow validation tool that is used to calculate these figures. Officers are in contact with SEPA to resolve this issue. It is hoped the Q2 figures will be reported in the Q3 21/22 performance report.
  - (b) Customer Contact information – system development work is ongoing in order to accurately report these figures. The Customer Advice and

Support Service are working with the council's IT partner to progress this work and it is anticipated that recent Officer appointments will support this to move forward.

5.2 The following additional indicators are included in this report:

- Revised indicators for Business Gateway are included in this report. The addition of two new quarterly and two new annual performance indicators will allow us to monitor the Economic impact of the service in the context of the Corporate Plan. This data will be reported one quarter in arrears and as such Q1 21/22 figures are reported in this performance report.

## **6 PERFORMANCE AGAINST THE COUNCIL'S CORPORATE THEMES**

### **6.1 Performance measures – summary of successes**

- (a) The average number of weeks to determine Local Development Householder planning permission applications remains positive. At an average 7 weeks to determine in Q2 21/22, this remains within the national target of 8 weeks.
- (b) The time to process New Housing Benefit Claims and Change Events remains positive and well within target.
- (c) The average time to process Stage 2 and Escalated Complaints remains positive and within the target of 20 days (19.15 days and 19.17 days respectively).
- (d) Council Tax Valuation List and Valuation Roll performance continues to exceed targets. Changes in practice throughout 2020/21 have led to an improvement in this area.
- (e) 81% of Looked After Children are cared for in community family based placements rather than residential placements which continues to exceed the 80% target. Although this is a slight dip when compared to the previous quarter, the indicator demonstrates a positive trend over the last 4 quarters.
- (f) Adults receiving Care at Home (aged 65+) and those using the Self Directed Support Approach remains positive.
- (g) Referrals to Domestic Abuse Services continue to increase and show improvement compared to the same period in 20/21. As government measures to combat COVID-19 are eased, it is expected that referrals into the Domestic Abuse Advocacy Support service (DAAS) will continue to increase.
- (h) Safer Communities indicators relating to Anti-Social Behaviour (ASB) are also positive. With fewer reported incidents of ASB reported in Q2 21/22 when compared to the same period the previous year.
- (i) 92% of industrial and commercial properties that are owned by the Council were occupied at the end of Q2 21/22.
- (j) 116 additional affordable homes were provided to the people of the Borders in Q2 21/22. It is estimated that the total number of affordable homes provided to the people of the Borders by the end of 21/22 will be in excess of 300, which would far exceed the annual target of 128.

- (k) The average rate of people aged 16-64 claiming out-of-work benefits reduced from 5.15% in Q1 to 4.23% in Q2 21/22, equating to 375 fewer people claiming out-of-work benefits.

## 6.2 Performance measures – summary of challenges

- (a) Complaints – the percentage of complaints closed at Stages One and Two and, escalated complaints remain out with target in Q2 21/22. The time to process complaints at Stage One shows a significant increase when compared to the previous quarter. The complaints handling procedure has recently been revised and it is anticipated the new processes will improve performance against these measures.
- (b) The percentage of Freedom of Information requests completed on time remains below target at 80% (against a 100% target). It is envisaged that a review of the FOI process will be taken forward under the second phase of the Digital Customer Access project.
- (c) There has been a decrease in the number of referrals for mediation within the Safer Communities team in Q2 21/22. The decrease is largely due to the impact of the COVID-19 lockdown meaning there is little opportunity to conduct mediation through face-to-face contact, which can also be attributed to the reduction in cases showing agreement or improvement following mediation. Where possible mediation is being conducted through other than face-to-face contact.

## 6.3 Monitoring of the Covid-19 Recovery Plan

- (a) SBC has developed a Recovery Plan that identifies key actions to lead the organisation through its recovery from the pandemic whilst supporting the delivery of our Strategic Aims set out in the Corporate Plan. The Recovery Plan, along with the Corporate Plan, will shape and support ongoing service improvement as agreed at Council on 27 May 2021.
- (b) It is important that we keep track of the difference this Recovery Plan is making over the next 12 months and, in order to do this, we will collect data and organise it in a way that gives us a clear measure of our success and Appendix 3 outlines the indicators we are using to do this.
- (c) Further work is required to develop additional indicators to allow us to fully monitor progress of the Recovery Plan. This work will be undertaken over the next few months in order to provide a fuller picture of our progress in our Q3 21/22 performance report.

# 7 COMMUNITY ACTION TEAM – SUMMARY OF ACTIVITY AND IMPACT

7.1 An infographic summary on the impact of the Community Action Team (CAT) is provided at Appendix 5.

During Q2 2021/22 the CAT has:

- Carried out 305 hours of High Visibility foot patrols and 1,862 hours of mobile patrols;
- Carried out 49 static road checks;
- Issued 266 parking tickets;

- Carried out 29 Person Drug searches (49% positive) and 11 Premises Drug searches (64% positive). The total number of person searches is down in Q2 but there are specific criteria that must be applied before a search can be undertaken. The 49% of positive searches shows a high proportion of the searches were justified and is higher than the Scottish average.

## **8 IMPLICATIONS**

### **8.1 Financial**

There are no costs attached to any of the recommendations contained in this report.

### **8.2 Risk and Mitigations**

Effective performance management arrangements will ensure that services, and those providing services on behalf of SBC, are aware of any weaknesses and can take corrective action in a timely manner, therefore mitigating any risks more effectively. The Council's Risk Management Policy and framework ensures that all services, and services delivered by third parties, identify and manage risks to the achievement of their objectives, with senior management providing appropriate levels of oversight. Performance should be enhanced by having robust risk management arrangements in place. In response to the Best Value Assurance Audit of SBC during 2019, a Best Value Audit Action Plan was created. Progress with this Action Plan, designed for strengthening SBC's approach to performance reporting, has been previously reported to the Audit Committee and continues to be prioritised by the Corporate Management Team.

### **8.3 Integrated Impact Assessment**

There are no adverse equality/diversity implications. Performance reporting may help the Council to identify and address any equality / diversity issues and improve processes and procedures.

### **8.4 Sustainable Development Goals**

Economic, social and environmental impact of SBC actions can be monitored more effectively if there are effective performance reporting arrangements in place.

### **8.5 Climate Change**

There are no significant Climate Change effects arising from the proposals contained in this report.

### **8.6 Rural Proofing**

This report does not relate to new or amended policy or strategy and as a result rural proofing is not an applicable consideration.

### **8.7 Data Protection Impact Assessment**

There are no personal data implications arising from the proposals contained in this report.

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

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

## 9 CONSULTATION

- 9.1 The Director (Finance & Corporate Governance), the Monitoring Officer/Chief Legal Officer, the Chief Officer Audit and Risk, the Director (People Performance & Change), the Clerk to the Council and Corporate Communications have been consulted and any comments received are incorporated in the final report.
- 9.2 The Corporate Management Team have been consulted on this report and any comments received incorporated into the final report.

### Approved by

**Clair Hepburn**

**Director - People, Performance & Change      Signature .....**

### Author(s)

Name	Designation and Contact Number
Melanie Hermiston	Business Services Officer Tel: 01835 824000 Ext 6803

### Background Papers:

**Previous Minute Reference:** 17 August 2021

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

Contact us at Policy, Planning & Performance, Scottish Borders Council Headquarters, Newtown St Boswells, Melrose, [performance@scotborders.gov.uk](mailto:performance@scotborders.gov.uk)

# OUR PLAN for 2018-23 and your part in it

HIGHLIGHTS DURING QUARTER 2 - **JULY 2021** to **SEPTEMBER 2021**



## APPENDIX 1: FIT FOR 2024 HIGHLIGHTS

# fit for 2024

HIGHLIGHTS DURING THE QUARTER **JULY 2021** to **SEPTEMBER 2021**  
Programmes & projects that will impact on performance



## SCHOOL BROADBAND IMPROVEMENTS

CGI, working with its network partner CommsWorld, and in conjunction with Scottish Borders Council identified an opportunity to deliver improved internet Wide Area Network (WAN) connections that would support the regions' objective of becoming the UK's first Smart Rural Region.

The new solution, aligned to SBC's Digital Strategy, increases the reach of fibre connectivity to every secondary school in the region. Historically, connectivity within the Borders (and any rural areas) has been limited both technically and logistically. As technology has progressed over the previous 5 years, we have seen major advances in what can be provided to various sites within the region. An example of this is the increased internet connections implemented at the new Jedburgh Campus.

With the increasing importance of connectivity as a foundation for modern learning and teaching, a move to a greater 'online' working environment and the need to ensure service availability and continuity, CGI brought

forward an opportunity to invest in fibre infrastructure in the Borders as part of the Council's digital transformation.

As a result, Commsworld are currently undertaking work to lay new fibre cables to provide improved internet connectivity to each of our Secondary Schools with the first site migration to the system due to take place at the beginning of November 21.

Because the new fibre cables run from an exchange server to the main site (the schools), this creates an opportunity for further offices and buildings along the cable route, occupied by the Council, to upgrade their connections too. Commsworld laying their own fibre cables also removes the reliance (and rental) of using the Openreach infrastructure, in turn reducing what the Council spends. It also acts as an enabler for future opportunities for the organisation.

It is hoped this work will be complete by the end of the year.



# fit for 2024

HIGHLIGHTS DURING THE QUARTER **JULY 2021** to **SEPTEMBER 2021**  
Programmes & projects that will impact on performance



## FAMILY GROUP DECISION MAKING

Scottish Borders Council, in partnership with Children 1st, implemented Family Group Decision Making (FGDM) in June 2021.

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FGDM is part of Children and Family Social Work Service preparing to be Fit for 2024, and supports children to remain looked after by their immediate family, wherever this is possible and, where this is not possible, to enable them to remain within their existing network of friends and family.

Support is offered as early as possible when there is a risk of family breakdown, and also in circumstances where it is considered children can be rehabilitated home from alternative care arrangements.

FGDM ensures that the child's voice is heard during the decision making process, that children and family members are empowered to participate and create the support plan, and facilitates partnership between families and professionals.

This new approach, first and foremost, will provide greater positive outcomes for our young people and their families. It is also envisaged that the number of non-familial care placements will reduce, or the length of time a non-familial care placement is required will lessen, and therefore delivering financial benefits.

FGDM is being progressed as a 12 month "test of change", with evaluation being undertaken by Robert Gordon University. Although in the early stages of implementation, 15 young people have been referred for FGDM within the first 8 weeks.



fitfor2024



# fit for 2024

## HIGHLIGHTS DURING THE QUARTER JULY 2021 to SEPTEMBER 2021

### Programmes & projects that will impact on performance



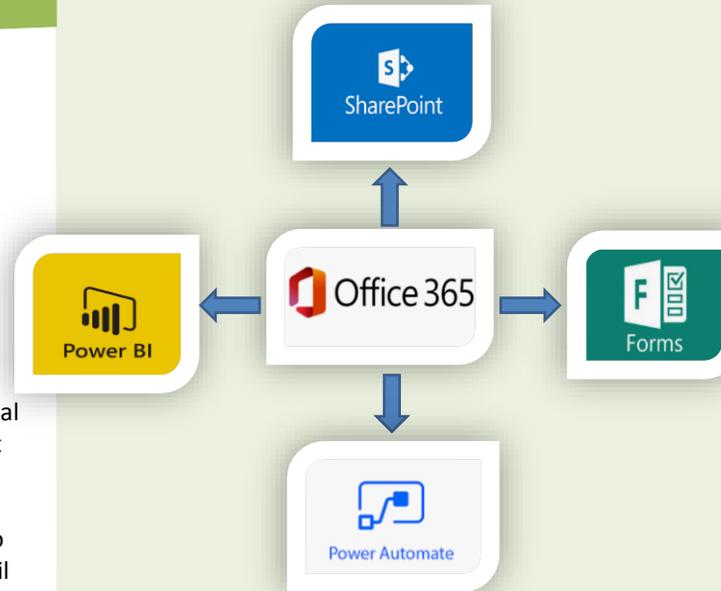
### Improving Community Engagement

The **Have Your Say** form was developed to engage the community in budget options.

SBC took the decision not to continue funding the budget simulator tool. Consideration was given to suitable solutions that could replace the simulator tool and the question was asked as to whether Microsoft Forms could be used to develop an interactive engagement tool around the budget.

A draft version of the form was developed with initial testing undertaken internally. Testers reported that that form was easy to navigate and worked really well. As a result a finalised version has been developed. The new form will allow communities to rank what they feel are priority areas for the Council as well as being able to indicate how likely (or not) they would be to support various budget initiatives such as Climate Change and Council Tax planning.

Utilising technology already available to the organisation has allowed us to replace the old budget simulator tool with this new form, freeing up staff to focus on other tasks and generating a saving.



### Automating Reports with Power BI

Across the organisation there is a need to produce quarterly performance monitoring management information for services. One such report is the quarterly Freedom of Information (FOI) report.

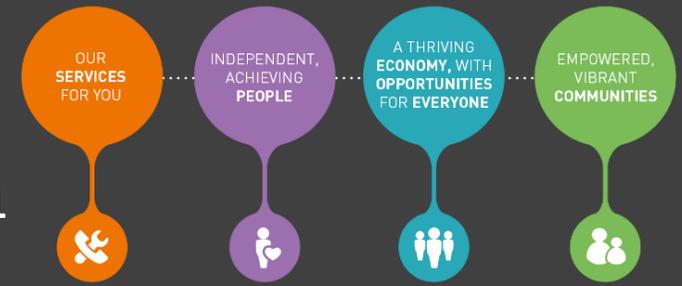
The FOI report was produced manually each quarter which required a great deal of time and effort from staff. Changes in staffing within the FOI team meant there was a need to consider alternative methods for delivering this report.

By utilising a business intelligence solution called Power BI, we have been able to directly link the source data to an effective reporting tool. Meaning, the quarterly report can now be generated by simply refreshing it in Power BI, rather than manually collating all the necessary information.

This innovative approach to data collation has significantly reduced the resource required to produce this report.

# fit for 2024

## HIGHLIGHTS DURING THE QUARTER JULY 2021 to SEPTEMBER 2021 Programmes & projects that will impact on performance



### PLACE MAKING PROGRESS

In August, Council endorsed a series of Place Making proposals aimed at transforming the working relationship between the Council and communities across the Borders. Place Making is about all public services working together with communities to plan and deliver joined-up services and solutions to local needs and priorities. At a national level, the Place Principle agreed between the Scottish Government and CoSLA describes Place Making as:

*“A more joined-up, collaborative and participative approach to services, land and buildings, across all sectors within a place,” which “enables better outcomes for everyone and increased opportunities for people and communities to shape their own lives”*

The place making proposals endorsed by August Council were put forward as the start of an engagement with Area Partnerships and communities and aimed to build on:

- **The experience and lessons learned from the pandemic.** The response to the pandemic highlighted the importance of local community resilience arrangements and the potential of local places and agencies to act collaboratively and effectively in identifying and addressing local needs.
- **Feedback from Area Partnerships.** Over the spring and summer there have been presentations and small workshops with Area Partnerships facilitated by Scottish Futures Trust. The output of these workshops - including local ambitions and priorities for place making - was used to inform the proposals and were incorporated in, and appended to, the report to August Council.
- **Review and Role of Area Partnerships.** The proposals aimed to be consistent with the ongoing review of the Area Partnerships and propose a central Place Making oversight role for them.

- **National & Regional Opportunities.** These include the national Place-Based Investment Programme, UK Levelling-up funds, planning legislation and the Borderlands Inclusive Growth Deal all of which have significant implications and opportunities for place making.

The place making proposals include joint working principles, a common framework for developing local place plans and set out proposed criteria that could be used by Area Partnerships to prioritise place making activity in their communities.

The ambition is to include all communities, including both rural settlements and towns, over time. While Area Partnerships will prioritise activity, early focus will include the target Borderlands communities of Eyemouth, Galashiels, Hawick and Jedburgh. As part of the current Financial Plan, the Administration agreed provision for an additional 9 posts to support this work and recruitment to these posts is underway and nearing completion.

The proposals recognise that there is no “one-size-fits-all” when it comes to place making; each community is different and many already have experience and expertise in this area. Similarly, the proposals recognised that place making needs to progress at a pace which each community is comfortable with.

The intention is that these are joint proposals and views of Area Partnerships are being gathered so that they can be refined and developed. Engagement on this is currently underway and will continue through the next round of Area Partnerships in November and December.





## APPENDIX 2: PERFORMANCE INDICATORS

**Trend Key** (trends are typically represented over the preceding year)

	Increasing value - improvement		Decreasing value – improvement		Broadly level trend
	Increasing value - deterioration		Decreasing value - deterioration		
	Increasing value – context indicator		Decreasing value – context indicator		

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Planning Permission – Average Time to Determine (Weeks)

Performance Indicators	Basis	18-19	19-20	20-21	Q1 20-21	Q2 20-21	Q3 20-21	Q4 20-21	Target	Trend	Status
Major Developments	Average Weeks to determine	13.9	12.9	22.9	-	-	24.9	20.9	-	-	
Local Devs – Non Householder	Average Weeks to determine	9.0	8.0	6.5	9.7	9.2	9.0	8.6	8.0	↓	
Local Devs –Householder	Average Weeks to determine	7.0	6.2	9.1	6.2	6.1	6.8	7.0	8.0	↗	

### Planning Permission – Application Numbers

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Number of applications	Total number in period	1,369	1,200	1,255	419	360	-	↗	

#### Observations:

*Adjusted data for time to determine continues to be received from Scottish Government twice yearly. Quarters 1 and 2 of 2021/22 is expected to be released in November 21.*

No “Major” applications were determined in the first two quarters of 2020-21. However, there is a marked increase in the average weeks to determine in Q3 when compared to the same period in 2019/20 (12.9).

**Local Devs – Non Householder** - Although performance has improved over the last 4 reported quarters, the average weeks to determine still remains slightly above the target.

**Local Devs – Householder** - A slight deterioration in performance over the last 4 reported quarters; however, performance remains better than target. The increasing trend is explained by greater numbers of applications being received as covid-19 restrictions begin to ease.

Performance has been affected by Covid-19 as the service (and its customers) adapted to new ways of working to accommodate the restrictions that were placed on normal practices.

A total of 360 **planning permission applications** have been received during Q2 2021/22. This is an increase when compared to the same period in 2020/21 (324).

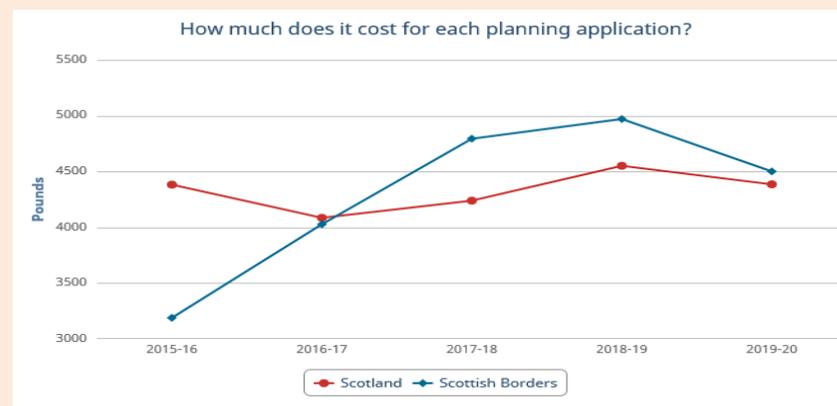
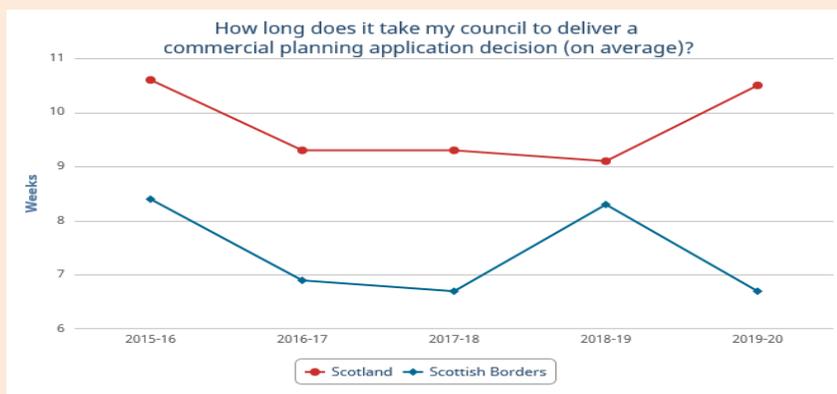
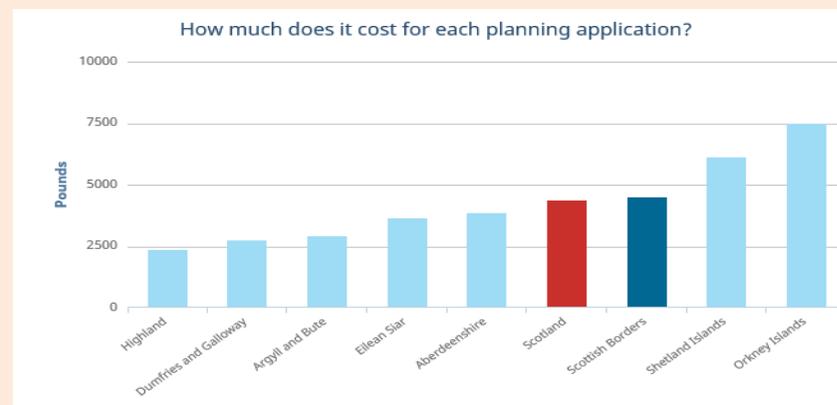
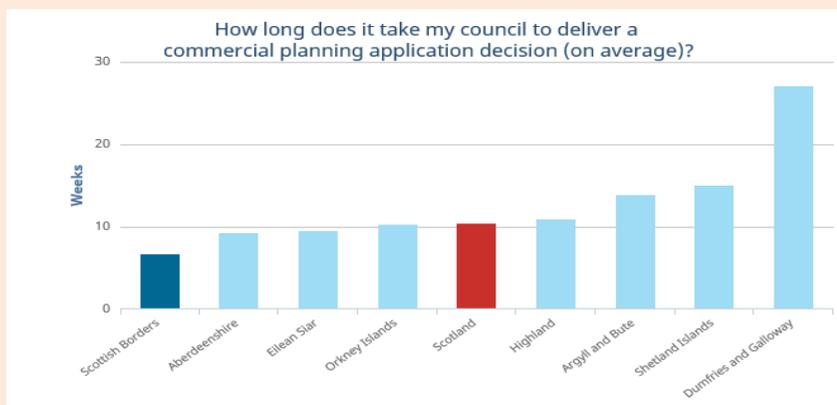
# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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## Planning – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Waste and Recycling

\*SEPA verified figs

Performance Indicators	Basis	2019	2020	Q1 2021	Q2 2021	Target	Trend	Status
Household Waste Recycled	% Recycled rolling annual basis	*49.17%	*52.79%	*52.69%	-	-	↘	
Household Waste Landfilled	% Landfilled rolling annual basis	*28.80%	*0.27%	*0.26%	-	-	↗	
Household Waste Other Treatment	% Other Treatment rolling annual basis	*22.02%	*46.95%	*47.05%	-	-	↗	
Recycling – Community Recycling Centres (CRC)	% Recycled rolling annual basis	63.56%	75.21%	75.43%	75.89%	-	↗	



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#### Observations:

*Note: Recycling data is reported on a rolling annual basis. Years relate to calendar years to align to SEPA reporting. Q2 2021 relates to the year to June 2021.*

*It is important to note that the data used to calculate this indicator has not yet been validated by SEPA and it is possible that some material streams will need to be re-categorised. This may result in an adjustment to performance for the year.*

**NB:** An issue with the SEPA Waste Data Flow validation tool, which is used to calculate the figures for the Household waste and recycling performance indicators, has prevented the Q2 figures being reported. Council Officers are in contact with SEPA to resolve this issue.

We have seen an increase in the **CRC Recycling Rate** in Q2 21/22, which is mainly due to seasonal variations such as increases in green waste tonnage, bulky waste and wood.

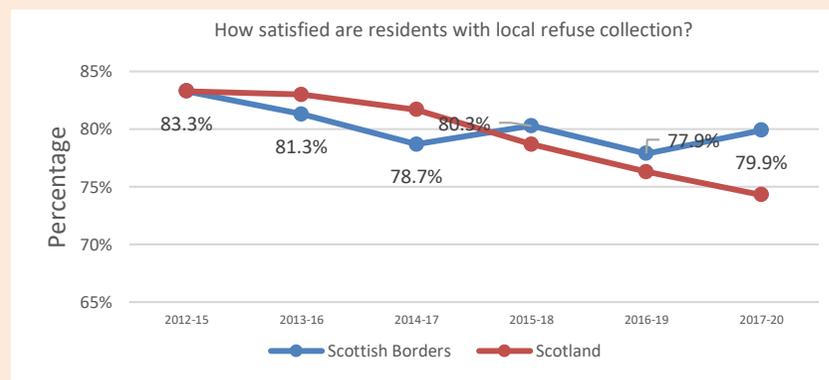
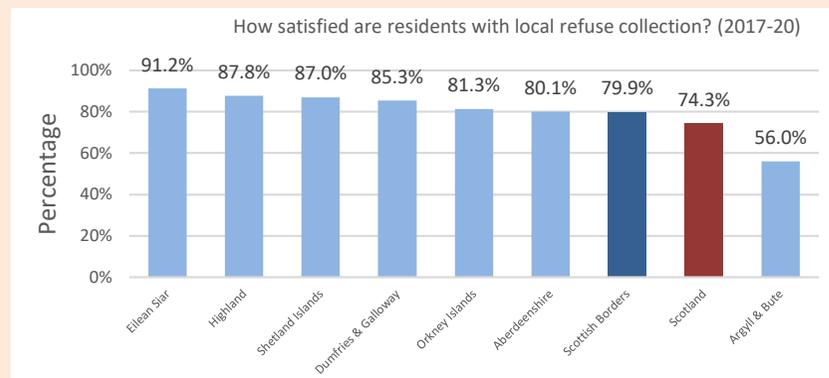
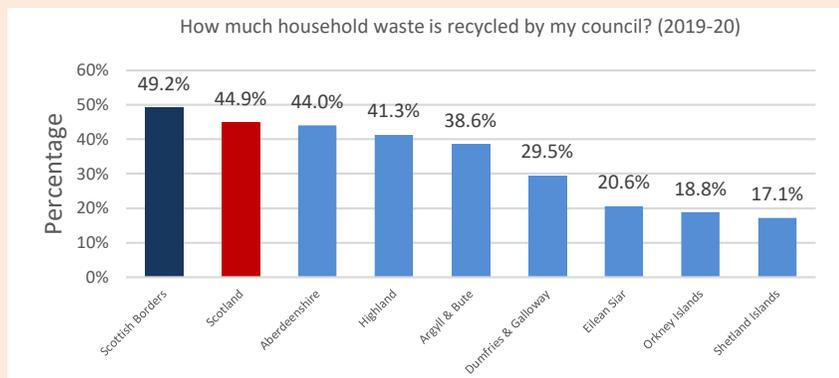
# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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### Waste – How do we compare to others ? (Local Government Benchmarking Framework)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

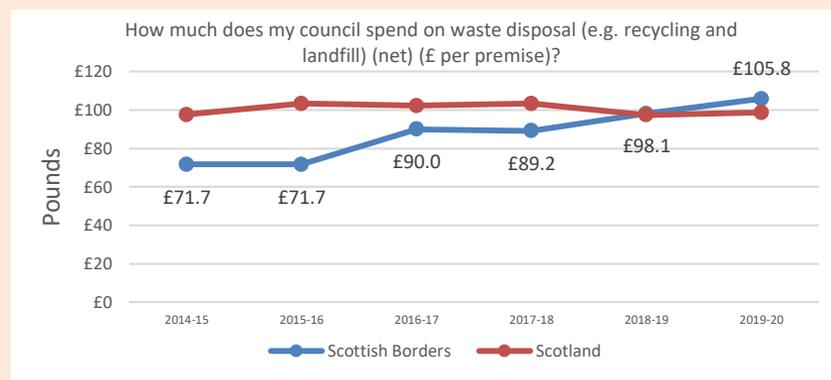
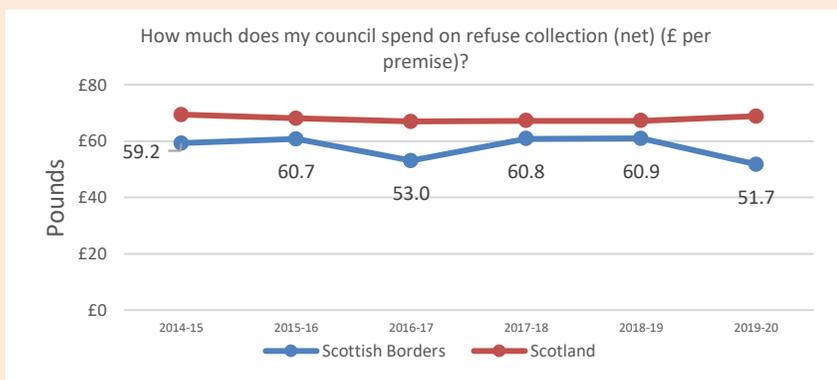
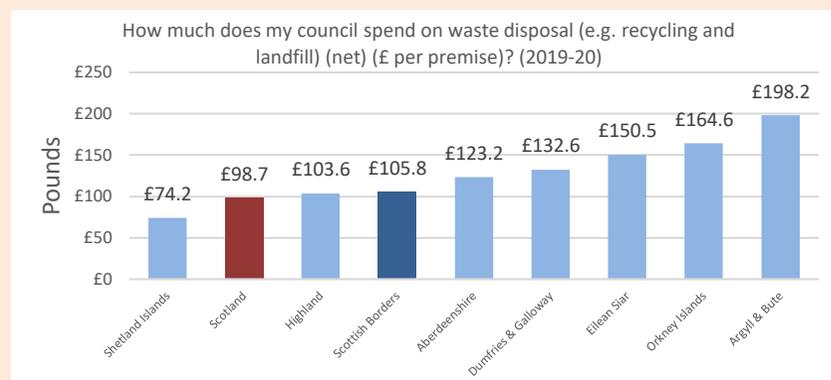
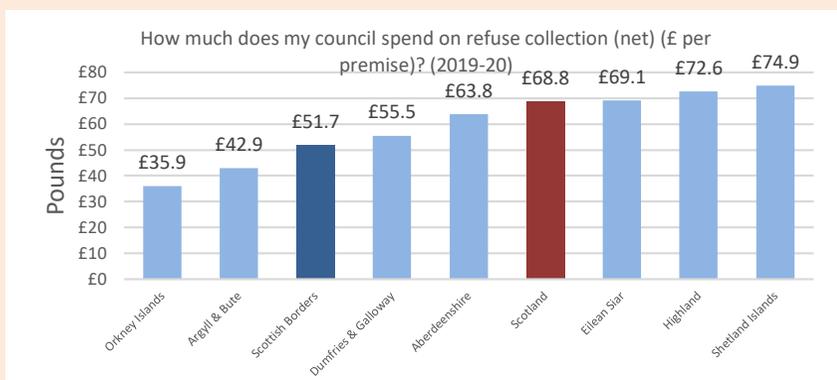
# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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## Waste – How do we compare to others ? (Local Government Benchmarking Framework)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Energy Use (26 key Sites)

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend *	Status
Electricity Consumption	Kwh in period	7,921,217	7,567,839	6,713,382	1,648,469	1,428,707	-	↓	
Gas Consumption	Kwh in period	11,744,733	12,183,596	12,856,277	2,791,566	1,342,163	-	↓	

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#### Observations:

Note: Figures relate to 26 key sites and include some estimated bills so will be subject to minor changes.

These figures include some estimated bills so will be subject to minor changes

#### Overall Performance

Overall our energy consumption was 12% higher than the same period last year. Increases in consumption and the cost of fuel have increased our overall costs by 15%.

#### Electricity:

Our electricity in Q2 was 14% higher than the same period last year, costs increased by 15% due to increased consumption and price increases. Electricity usage increase, in comparison to the same period last year, are likely to be due to more of SBC's assets opening back up and returning to usual operation.

#### Gas:

Our gas consumption increased by 10% in Q2 compared to the same period last year with an increase in costs of 13% due to price increases. This increase is possible due to weather as well as increased ventilation requirement due to COVID.

#### Actions we are taking to improve our performance

As part of the transformation programme of works the Energy Efficiency Programme (EEP) is focused on delivering cost effective energy reductions that represent best value for money while reducing the our energy consumption and costs as much as possible.

For more on performance visit [www.scotborders.gov.uk/performance](http://www.scotborders.gov.uk/performance) or email [performance@scotborders.gov.uk](mailto:performance@scotborders.gov.uk)

Correct at time of publication: 05 November 2021

#### What we have done:

- Continued with our programme of LED upgrades on various sites
- Continued with our programme of installing solar panel arrays
- Retrofitting oil heating systems with biomass boilers
- Converting oil boilers to natural gas
- Installing gas CHP which generates electricity while capturing heat that would otherwise be wasted and using it in our buildings
- Upgraded aging storage heaters with high heat retention heaters or new quick reacting closely controlled electric heaters
- Replacing thermally inefficient glazing with high efficiency double glazing

#### What's coming up:

- Further phases of LED lighting projects
- Construction phase completing for a multi-site energy efficiency project procured through the Non-Domestic Energy Efficiency Framework (NDEEF)
- Looking at ways to maximise renewable energy potential by installing battery systems
- Conducting option appraisals to eliminate expensive and high carbon fuels from our estate
- We are identifying and planning priority work at our most inefficient properties and highest consumers
- We are working closely with our managed services partners to identify and implement efficiency opportunities
- We continue to work hard with our new buildings to ensure they are run as efficiently as possible
- We are actively engaging with new building projects at design concept stage to ensure our new building stock is as efficient as possible and renewable energy opportunities are realised.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Road Casualties

Performance Indicators	Basis	2018	2019	2020	Q1 21	Q2 21	Q3 21	Trend	Status
Fatalities on Borders Roads	Number in period	11	6	5	1	1	3	↗	
Seriously Injured on Borders Roads	Number in period	65	68	47	8	19	17	↗	

### Observations:

Note that Road Casualty figures here are reported on a calendar year basis, by quarter.

The Q2 2021 figure has been adjusted following information from Police Scotland that a person subsequently died in hospital as a result of injuries sustained in a road accident in June 21. Unfortunately, based on un-validated figures, Quarter 3 has seen a further 3 **fatalities** on our roads.

There were 19 people **seriously injured** on Borders Roads in Quarter 2 of 2021. This is 14 up on the equivalent period in 2020 albeit in large part this may be attributable to reduced travel levels due to COVID-19 restrictions in 2020 (the 2019 figure being 20). This reduced slightly in Q3 which saw 17 people seriously injured on our roads. This is inline with the same period in 2022 (16). The Q2 figure of 19 is, however, in excess of the level required to meet the revised national reduction targets for the area.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Customer Advice & Support Services

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Housing Benefit New Claims	Average time to process in days	24.20	13.63	16.99	17.26	18.87	23.00	↗	Green
Housing Benefit Change Events	Average time to process in days	6.51	4.90	3.73	6.14	7.34	7.00	↗	Yellow
Welfare Benefits – People Contacting Us	Number in period	1,329	1,264	1,126	312	261	-	↘	White
Welfare Benefits – Monetary Gain	£m in additional benefits, cases closed in the quarter	£4.537m	£4.916m	£4.237m	£796.3k	£663.2k	-	↘	White
Welfare Benefits – Cumulative Monetary Gain	£m in additional benefits, cases closed ytd	£4.537m	£4.916m	£4.237m	£796.3k	£1.460m	-	↘	White



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### Observations:

**Housing Benefit:** Q2 21/22 demonstrates an increase in time to process new claims compared to the same period in 20/21 (14.42). We are continuing to prioritise new Housing Benefit claims to help assist claimants who may be required to claim Universal Credit instead of Housing Benefit.

**Welfare Benefits:** The number of referrals received in Q2 2021/22 is slightly down on the same period last year. Covid-19 has impacted on the monetary gains, with £788k less in cumulative monetary gains for in Q2 when compared to 2020/21. The DWP continue to experience delays with arranging hearings, with face to face

hearings not having recommenced in the Borders. Macmillan referrals remain low, which is a National trend due to a reduction in cancer diagnosis. Both these factors impact on the figures.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Customer Contact

Performance Indicators	Basis	18-19	19-20	*20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Voice interactions logged by contact centres	Number in period	94.8k	87.2k	126.7k	-	-	-	-	
Face to face interactions – logged through CRM	Number in period	61.7k	53.9k	1.6k	-	-	-	-	
Interactions by email	Number in period	6.7k	8.1k	54k	-	-	-	-	
Web Based Interactions	Number in period	4k	4.1k	5.2k	-	-	-	-	
Total Customer Contacts	Number in period	167.1k	153.3k	187.5k	-	-	-	-	

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### Observations:

*Note: There is a need for technical reports to be developed in order for these measures to be reported on a quarterly basis. This is being progressed with the council's IT provider.*

CV-19 has significantly impacted and changed how we interact with Customers. This is evident in the interactions reported for 2020-21 and when compared to 2019-20 demonstrate:

- A **664% increase** in the volume of Email interactions;
- A **45% increase** in the volume of Voice interactions;
- A **27% increase** in Web Based interactions;
- A **97% decreased** in Face to Face interactions;
- An **increase of approx. 34,000** Customer Contacts overall.

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Council Tax Collection



Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Council Tax Due that was collected	% in period (ytd)	96.84%	96.62%	95.97%	30.88%	56.21%	56.67%	↗	

#### Observations:

Collection levels in Q2 are slightly below expectations in comparison to the Pre CV-19 collection rates. There is a significant amount of outstanding processing as well as staff shortages and the team continue to be heavily involved in additional CV-19 work streams, all of which is impacting on the ability to tackle these backlogs.

Outside factors such as the UC uplift ending and the current increase in utility bills may also start to impact on collection levels over the coming months.

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### Property



Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Target	Trend	Status
Capital receipts	Cumulative in year £m	£1.444m	£676k	£645k	£44k	£1.185m (annual)	↘	
Properties surplus	Number at end of period	30	39	39	36	-	↘	
Properties marketed	Number at end of period	5	7	5	8	-	↗	
Properties under offer	Number at end of period	16	15	12	15	-	↗	

#### Observations:

Three sales have settled in Q1 resulting in **capital receipts** of £44k being generated. While the residential property market has seen significant rises in demand and sale prices over the last 12 months the Councils surplus assets are more for development opportunities or commercial properties. Demand and offers for

surplus assets recently are encouraging and we continue to bring properties to the market when the opportunity arises. The year end Target is currently subject to review by the Capital Receipts working group.

A review of the **surplus assets** has been undertaken with a total number of 36 made up of 8 currently on

the market for sale, 15 under offer and 13 waiting to be brought to the market or subject to Community interests. There is considerable ongoing interest from companies looking for business development plots with ten ongoing discussions. While these are subject to planning consent it is hoped these will lead to sales and employment opportunities throughout the Borders.

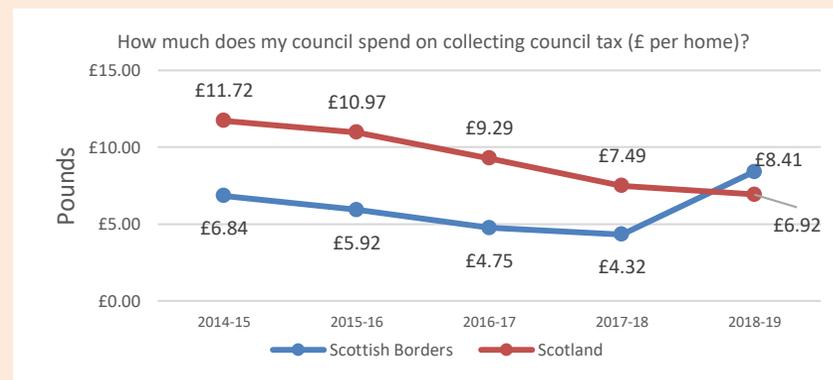
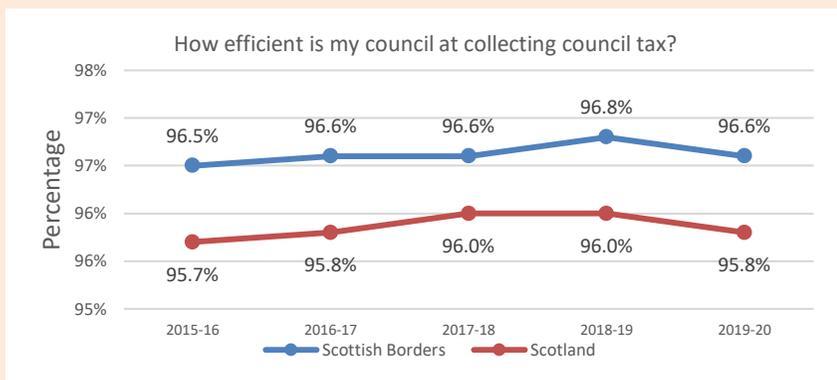
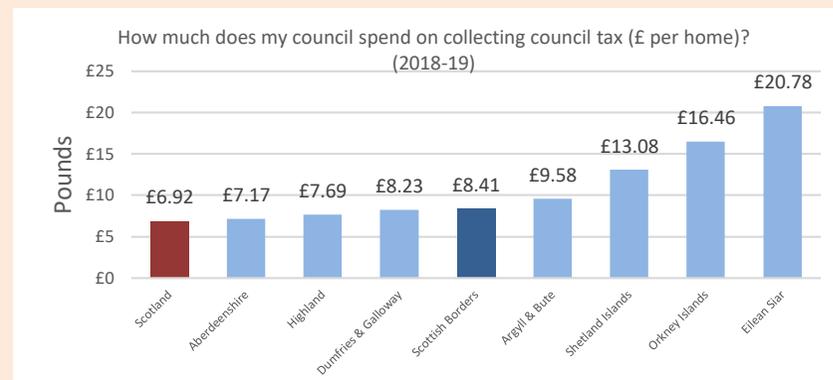
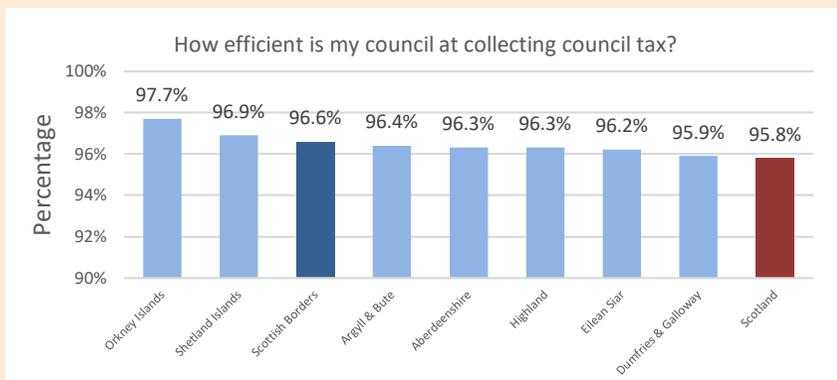
# OUR SERVICES FOR YOU

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## Council Tax Collection – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

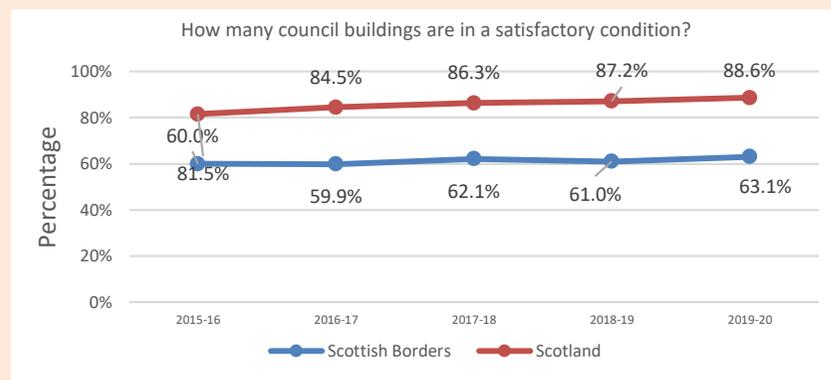
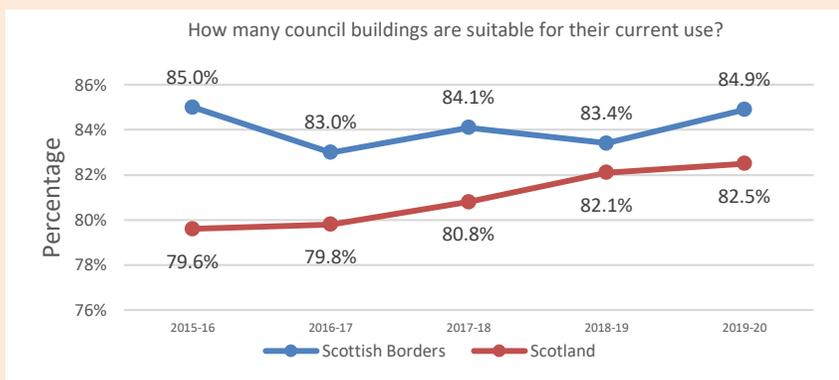
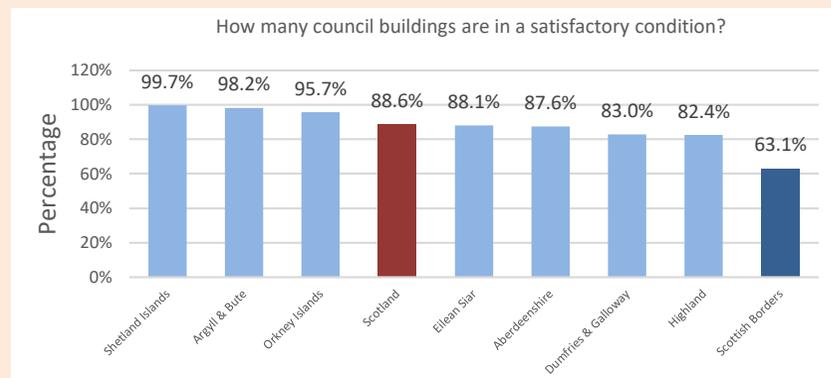
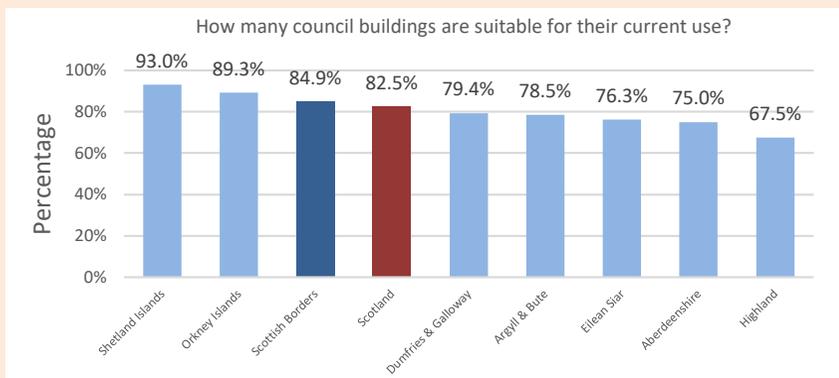
# OUR SERVICES FOR YOU

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## Property – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Complaints Handling

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Complaints Closed at Stage One avg days	Average time to process in days	4.55	5.1	7.22	6.01	26.3	5	↗	Red
Complaints Closed at Stage One within time	% Closed within 5 working days	81.0%	80.6%	73.14%	79.89%	74.86%	100%	↘	Red
Complaints Closed at Stage Two avg days	Average time to process in days	18.22	19.65	19.95	27.67	19.15	20	↘	Green
Complaints Closed at Stage Two within time	% Closed within 20 working days	73.9%	70.2%	59.55%	50%	62.96%	100%	↗	Red
Complaints Closed – Escalated – avg days	Average time to process in days	14.83	20.23	18.19	19.71	19.17	20	↘	Green
Complaints Closed – Escalated – within time	% Closed within 20 working days	78.6%	62.4%	81.67%	71.43%	50%	100%	↘	Red
Number of Complaints Closed	Number in period	645	614	742	215	211	-	↘	White



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#### Observations:

The **percentage of complaints closed within 5 working days at the first stage** has decreased by 5.03% in Quarter 2 (2021/22) compared with Quarter 1 (2021/22) (79.89%). This has increased by 5.76% when comparing with Quarter 2 of 2020/21 (69.1%).

Quarter 2 (2021/22) experienced a decrease of 8.52 **working days to respond to complaints at the investigation stage** when compared to Quarter 1 (2021/22) (27.67). In comparison to Quarter 2 in 2020/21 there has been a

decrease of 3.65 working days (22.8).

Quarter 2 (2021/22) has seen a decrease of 0.54 **days taken to respond to complaints after they have been escalated** in comparison to Quarter 1 (2021/22) (19.71). In comparison to Quarter 2 in 2020/21 the number of days increased by 2.57 (16.6). Our target is working 20 days.

We use our Customer Relationship Management System to manage complaints within the allocated timescales. We also provide refresher training where necessary.

Quarter 2 (2021/22) experienced a decrease of 4 **complaints closed** when compared with Quarter 1 (2021/22) (215). When compared with Q2 of 2020/21 there has been a decrease of 22 complaints closed (233).

55% of complaints were classified as 'Justified' and 39% as 'Unjustified'. In addition 6% complaints were classified as 'Policy'. Where a complaint has been logged anonymously or from someone out with the area it cannot be attributed to a locality and therefore shows as undefined. 72.51% of complaints closed were undefined in Quarter 2.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Complaints Handling – How do we compare to others ? (SBC Complaints Annual Report 2018/19)

### Complaints Closed by Stage

	2017/18			2018/19		
	SBC	Family Group	Scotland	SBC	Family Group	Scotland
Stage One	75.4%	78.6%	88.9%	78.4%	75.3%	87.1%
Stage Two	20.8%	18.7%	8.4%	17.2%	21.3%	9.7%
Escalated from Stage One	3.8%	2.7%	2.6%	4.3%	3.4%	3.1%

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### Complaints Closed by Stage

	2017/18			2018/19		
	SBC	Family Group	Scotland	SBC	Family Group	Scotland
Stage One	4.0	8.6	8.1	4.6	7.9	7.1
Stage Two	17.7	18.2	23.8	18.2	18.5	29.9
Escalated from Stage One	18.0	18.9	15.5	14.9	20.3	23.0

### Complaints Upheld / Not Upheld

	2017/18			2018/19		
	SBC	Family Group	Scotland	SBC	Family Group	Scotland
Stage One - Upheld	42.0%	44.7%	65.8%	36.8%	47.9%	64.5%
Stage One - Not Upheld	58.0%	55.3%	33.5%	63.2%	52.1%	34.6%
Stage Two - Upheld	38.2%	36.9%	53.5%	45.0%	36.8%	55.9%
Stage Two - Not Upheld	61.8%	63.2%	46.2%	55.0%	63.1%	44.1%
Escalated from Stage One - Upheld	50.0%	39.6%	54.0%	39.3%	48.2%	52.3%
Escalated from Stage One - Not Upheld	50.0%	60.4%	46.5%	60.7%	51.8%	47.4%

### Complaints Closed Against Timescales

	2017/18			2018/19		
	SBC	Family Group	Scotland	SBC	Family Group	Scotland
Stage One	86.4%	64.5%	62.9%	81.0%	61.3%	65.0%
Stage Two	67.4%	79.4%	76.6%	73.9%	71.0%	58.2%
Escalated from Stage One	53.8%	65.3%	61.5%	78.6%	61.2%	67.4%

Sources: Scottish Borders Council Complaints Annual Report 2018/19

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Freedom of Information Requests (FOI)

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
% of FOI requests completed on time	% in period	85.8%	88%	85%	86%	80%	100%	↘	
Number of FOI requests received	Number in period	1,418	1,254	959	264	276	-	↗	



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#### Observations:

The Council's FOI performance has shown a decrease in the **percentage of responses completed on time**. Last quarter an average of 86% responses were completed on time and this has declined to 80%. However, **the number of requests for information received** has increased slightly since the last quarter from 264 to 276.

Services are encouraged to publish as much information as possible on the Council's website to limit the number of requests received. However, despite this, the Council routinely receives requests for information relating to matters out with the Council's knowledge, such as housing stock or external libraries. The Information Management Team endeavour to deal with these type of straight forward requests centrally (sometimes without logging with the option for the Applicant to receive a formal response under the correct legislation). This reduces time and pressure on other staff. Resilient Communities is in the process of implementing a customer Web Chat solution on selected webpages of the Council's website. It is expected that the FOI webpage will be piloted in the New Year and it is hoped that this will allow the Information Management Team to improve navigation, format and content to help reduce the number of requests received.

Eight Applicants were dissatisfied with their original response or the Council's failure to provide a response. Six of these review meetings were held in August which is the highest number of reviews held since May 2019. These meetings can be time consuming. A review group consists of the Senior Information Risk Owner (SIRO), Solicitor, Independent Senior Officer, Information Officer and individuals involved in providing original response. For the review requests received in September the number of upheld responses was higher than

overtaken. It is worth noting that no requests for review were received in September.

There are a variety of reasons why FOIs miss the deadline or a request for review and appeal is submitted, some of which are legitimate e.g. they're complex and require quite a bit of work. Other reasons can include, for example, services not reading the question correctly, providing incomplete or inaccurate responses, providing one word answers, responding too late or not giving enough time for Service Directors/Senior Officers to review/sign off. It is worth noting that Applicants can request a review solely on the Council's failure to respond within the legislative timescale. Services are encouraged to set up meetings to discuss complex requests as a significant amount of time can be spent in emailing officers individually. A number of responses, in particular attachments, continue to include sensitive information such as personal data, commercially sensitive data or confidential data. Where an exemption allows such information to be withheld, this information must be highlighted for redaction accordingly by Officers or Information Asset Owners. This sometimes does not happen or the reasons for withholding the information are not provided (the reasons must be included in the Council's final response and the public interest test applied, if required).

There has not been any movement on the FOI project to review the process for requests for information, reviews and appeals. It is envisaged that this will be taken forward under the second phase of the Digital Customer Access (DCA) project.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Social Media



Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Facebook Engagements	Number in period	259.6k	516.7k	560.4k	74.9k	74.2k	-	↘	
Twitter Engagements	Number in period	33.2k	58.3k	50.4k	8.3k	5.9k	-	↘	

### Observations:

During the second quarter of 2021/22 the total reach of all 344 Facebook posts on the SBC corporate account was 2,100,362, with 74,198 post engagements. The number of followers increased by 103 over the quarter. Our Twitter posts during the period were seen 281,766 times, with 5,932 engagements. The number of followers increased by 54. An issue with the Twitter report 1 week in Q2 meant figures were not available for this week. Based on the weekly averages over the quarter, the missing week would add a further ~456 engagements to the Q2 total – adjusting the Q2 total to 6.3k engagements.

# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Assessor – Council Tax Valuation List and Valuation Roll (Non Domestic Rates)



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Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Council Tax Valuation List- Time taken to add new properties to the List	% Within 3 months of the date of occupation/completion and the issue of the banding notice	91%	90%	92%	93%	93%	92%	↗	Green
Valuation Roll (Non Domestic) - Time taken to amend the valuation roll to reflect new, altered or demolished properties	% Within 3 months of the date of completion and the issue of the valuation notice	56%	63%	61%	94%	83%	65%	↘	Green

#### Observations:

These figures are reported annually to Scottish Government and analysed on a monthly basis by Management Team. Other statistical information can be found at [www.saa.gov.uk/general-statistics/](http://www.saa.gov.uk/general-statistics/)

The Assessor for Scottish Borders Council is an independent statutory official who is personally responsible for the preparation and maintenance of the Valuation Roll and Council Tax Valuation List for the Scottish Borders Valuation Area.

The Covid-19 pandemic impacted on the number of **new properties entering the Council Tax List** during 2020-21 being 6.5% lower than in 2019-20. Q1 & Q2 of 2021-22 has seen a significant increase in new entries for the same period, exceeding the figures for the years from 2017-18 to date by between 14% (2018/19) and 189% (2020-21).

The target of 92% of entries made within 3 months has been exceeded for Q1 & Q2 whilst at the same time surpassing the total numbers for the same period in all of the 4 previous financial years. The implementation of the presumption of no survey in 2018 and other changes to working practices set out below has enabled these performance improvements to be achieved.

**The Valuation Roll** contains an entry and a rateable value for every non-domestic property in the Scottish Borders. The Assessor reviewed his target for 2020-21 to reflect the impact of the Covid-19 pandemic in respect of the restriction on physical surveys of non-domestic properties. Following the implementation of changes to working practices during 2020-21 as described below this target has been revised to a level comparable to that in the years prior to 2020-21, aiming to achieve 65% of valuation amendments completed within 3 months.

The number of amendments during Q1 & Q2 has exceeded

those for 3 of the 4 previous financial years for the same period by between 12 & 28% with 83% of the amendments made within the target.

# OUR SERVICES FOR YOU

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Staff Absence

\* SPI Basis

Performance Indicators	Basis	*18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
SBC Absence Rate – Staff	Annual absence rate % to end of quarter reported	5.03%	5.23%	4.74%	5.02%	4.71%	-	↗	
SBC Absence Rate – Teaching Staff	Annual absence rate % to end of quarter reported	3.34%	3.48%	1.98%	3.13%	2.42%	-	↗	



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### Observations:

*Note: Latest figures are not directly comparable with 2018/19 figures which were compiled on an 'SPI basis'. The 2018/19 figures excluded temporary staff with contracts for less than 12 months, and were based on actual full time equivalent (fte) available and absence days, capped at 224/195 days in the year, excluding school and public holiday periods.*

Staff Absence rates remain slightly high when compared to the same period in 20/21 (Staff – 4.41% and Teaching – 1.88%). The increased figures are linked to the impact of the CV-19 pandemic.

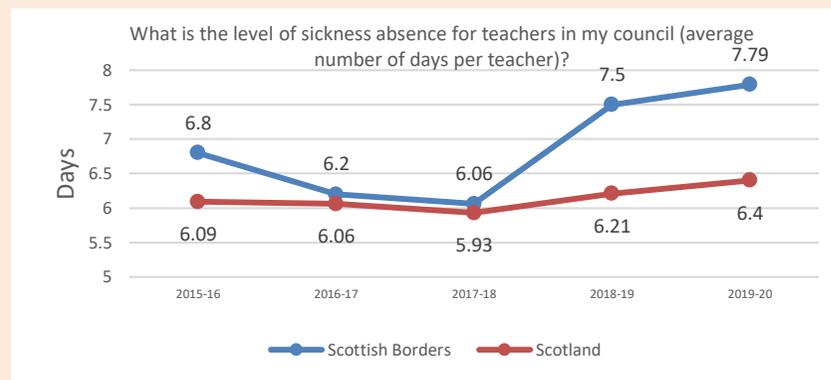
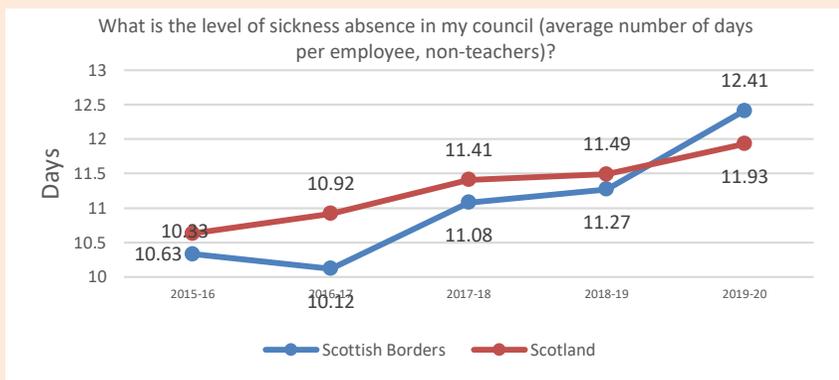
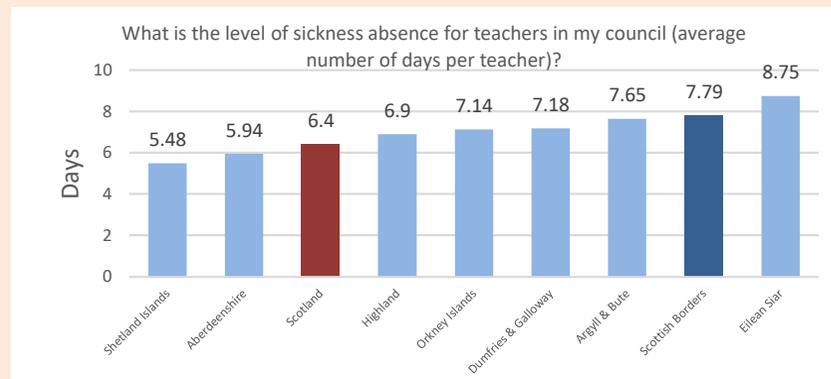
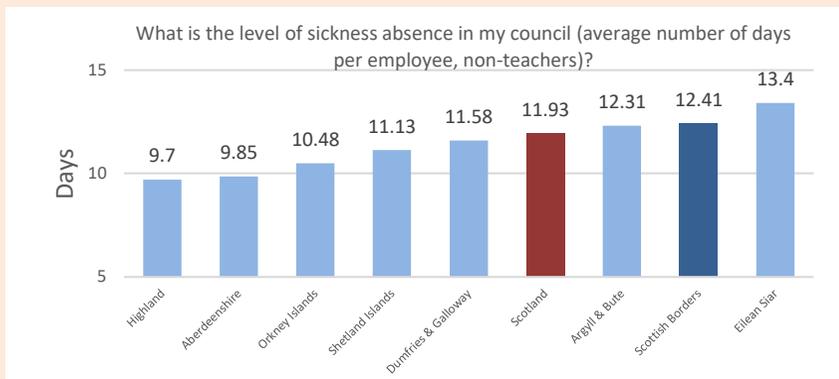
# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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### Staff Absence – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

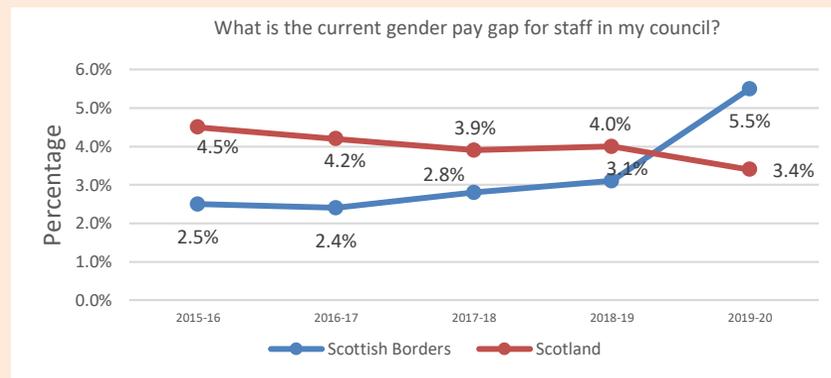
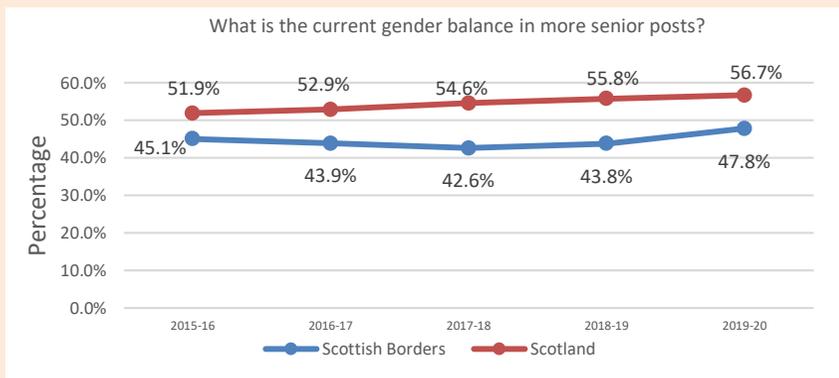
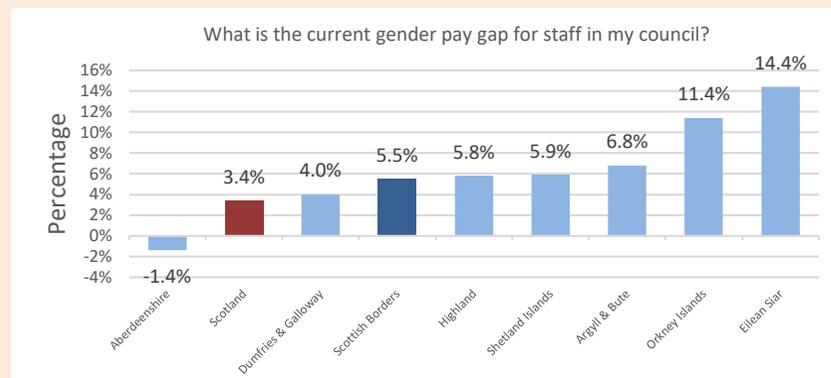
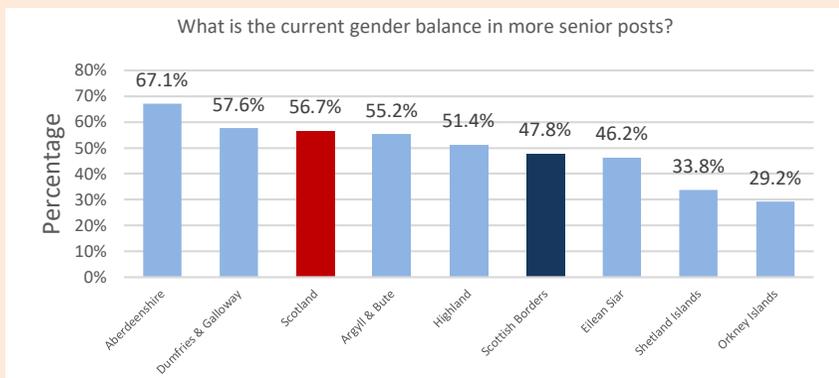
# OUR SERVICES FOR YOU

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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### Gender – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# INDEPENDENT, ACHIEVING PEOPLE

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Schools

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Attendance – Primary Schools	% Attendance in period	95.3%	94.4%	97.1%	95.4%	93.6%	95%	↘	
Attendance – Secondary Schools	% Attendance in period	91.2%	91.0%	97.9%	89.6%	89.8%	92%	↘	
School Attendance – Overall	% Attendance in period	93.2%	92.7%	97.5%	92.5%	91.7%	-	↘	
Exclusion Incidents – Primary Schools	Number in period	31	46	3	2	0	-	↘	
Exclusions (students) – Primary Schools	Number in period	29	38	3	1	0	-	↘	
Exclusion Incidents – Secondary Schools	Number in period	263	158	47	11	16	-	↗	
Exclusions (students) – Secondary Schools	Number in period	236	153	46	11	16	-	↗	
School Exclusion Incidents – Overall	Number in period	294	204	50	13	16	-	↗	
School Exclusions (students) – Overall	Number in period	265	191	49	12	16	-	↗	
School / Nursery Inspections	Number in period	15	5	0	3	0	-	-	



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#### Observations:

Both **Primary and Secondary attendance** shows a deterioration in Q2 21/22 when compared to the same period in 20/21 quarter (Primary – 94.2% & Secondary – 91.7%).

Schools during Q2 21/22.

**0 nursery inspections** were carried out by the Care Inspectorate during Q2 21/22.

A similar picture is evident in exclusion figures. As more students attend schools, there is greater risk of exclusion incidents occurring. Although, 0 exclusion incidents occurred in Primary

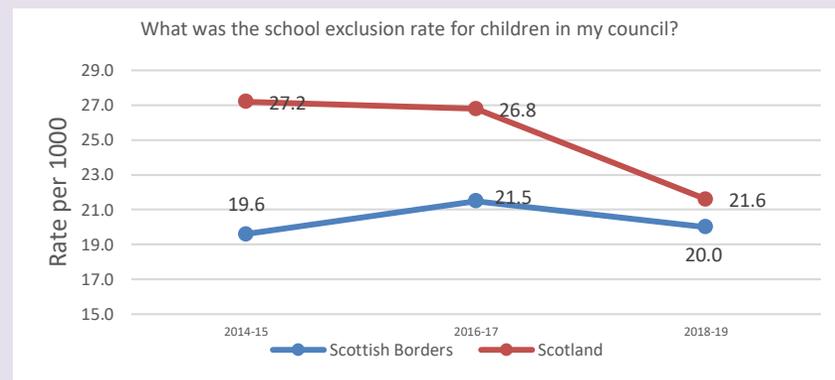
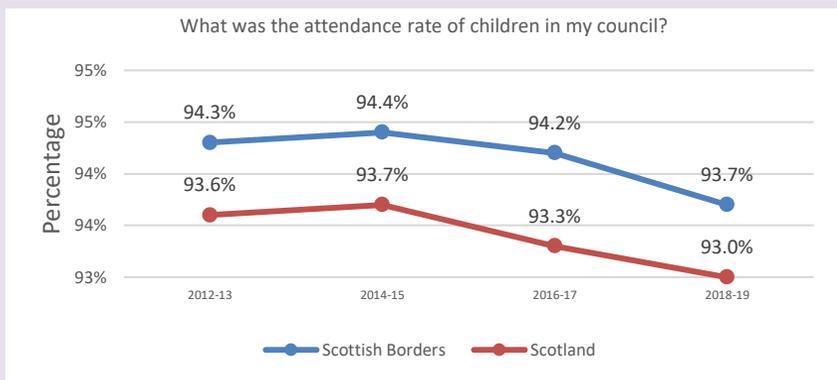
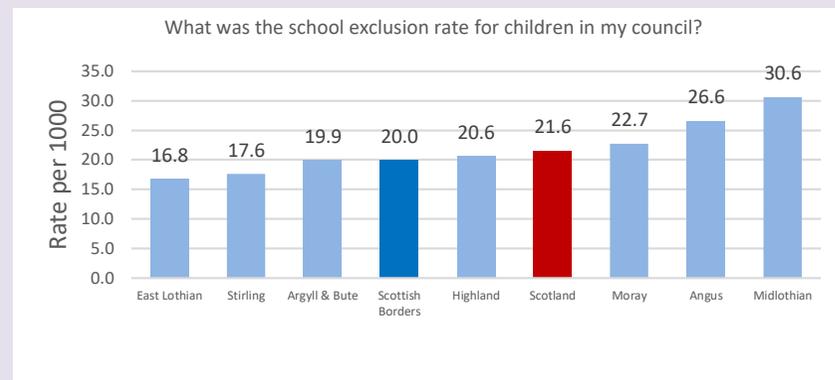
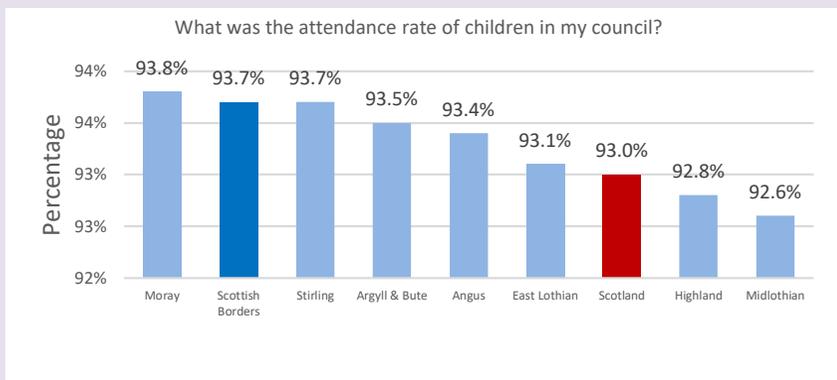
# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Children's Services – How do we compare to others ? (Local Government Benchmarking Framework 2018-19)

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Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

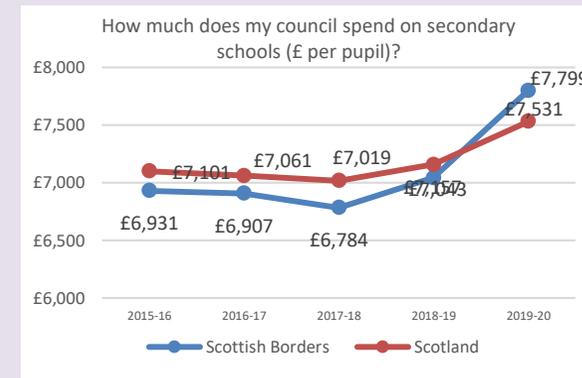
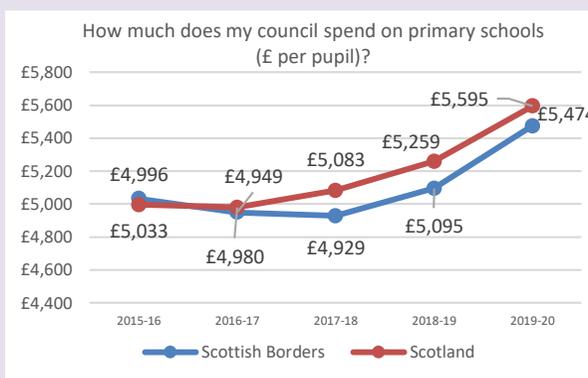
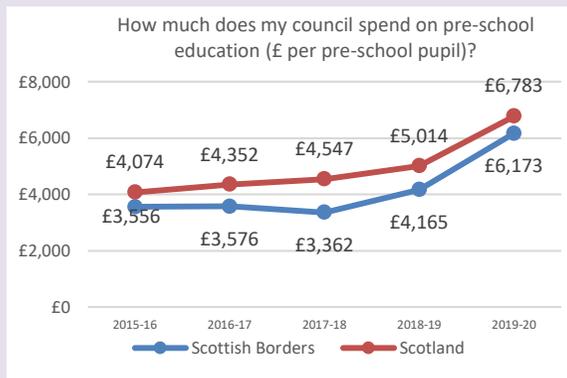
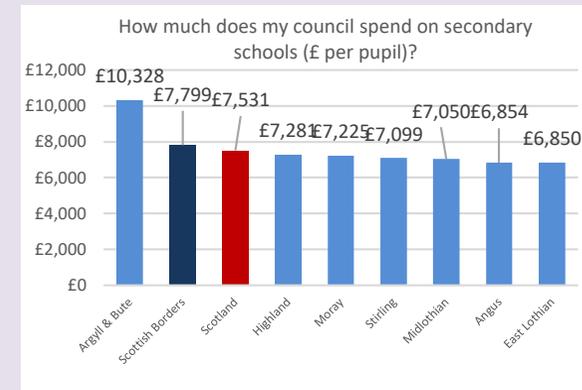
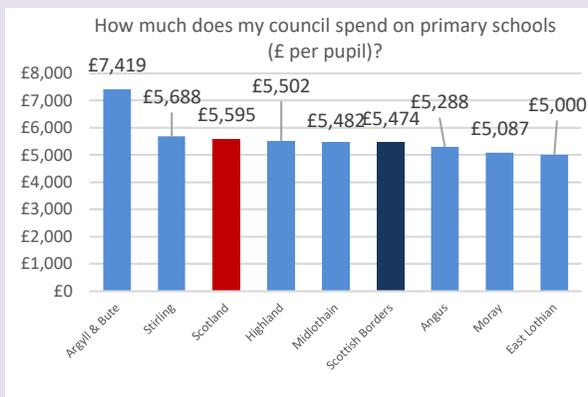
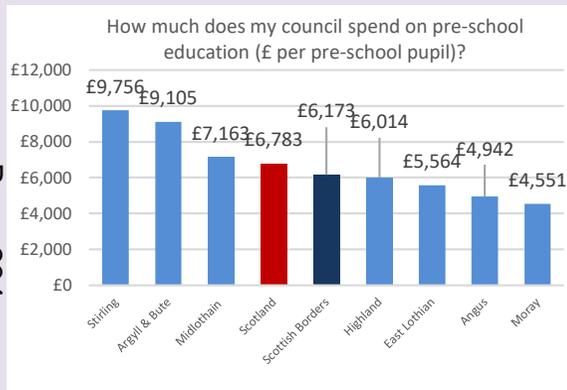
# INDEPENDENT, ACHIEVING PEOPLE

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Spend on Schools – How do we compare to others ? (Local Government Benchmarking Framework 2019-20)

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Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Children & Families Social Work

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Looked After Children (aged 12+) in Community Family Based Placement rather than residential	% at end of period	70%	64%	63%	66%	65%	70%	↗	Orange
Looked After Children (all ages) in Community Family Based Placement rather than residential	% at end of period	84%	80%	81%	83%	81%	80%	↗	Green
Number of Looked After Children	Number at end of period	202	200	180	186	189	-	↘	
Inter-agency Referral Discussions - child	Number in period	590	475	422	108	99	-	↘	
Child Protection Register	Number at end of period	46	30	53	35	46	-	↗	



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### Observations:

Young People reaching adolescence who are Looked After generally have more complex needs and trauma histories, as well as more agency in relation to decision-making. This results in a higher proportion of external care placements being required than with younger children.

**Looked after Children (all ages) in Community Family Based Placements** remains positive and above target at 81% in Q2 21/22.

The overall **Number of Looked After Children** shows a slight increase on the previous quarter although is lower than the

same period in 20/21 (193). This is snapshot data and does not take in to account fluctuations throughout the period. This too will be affected by the implementation of Continuing Care.

The **number of Inter-agency Referral Discussions (IRD)** continues to fluctuate over the quarters. IRD's provide a whole system co-ordinated approach to ensuring vulnerable children are highlighted, supported and their situation monitored to provide stability. Q2 21/22 has decreased for the 4<sup>th</sup> consecutive quarter and shows a reduction in the number of IRDs undertaken compared to the same period in 20/21 (118). The **number of children on the Child Protection Register** has increased when compared to the previous

quarter; however, shows a similar volume of registrations compared to the same period in 20/21. As with the LAC figure, this is a snapshot at the end of the period and doesn't take in to account fluctuations throughout the period.

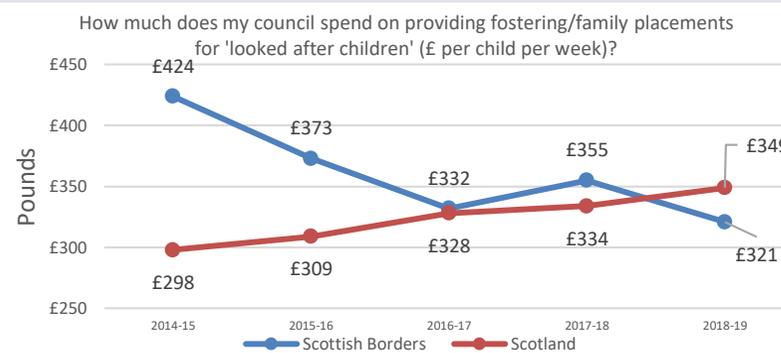
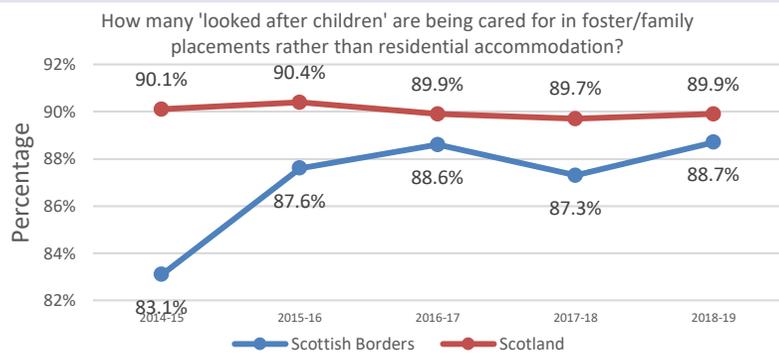
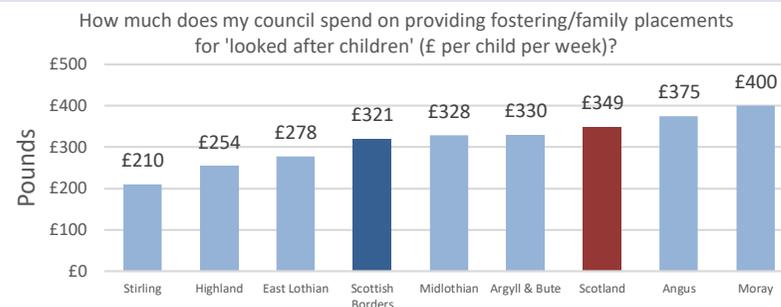
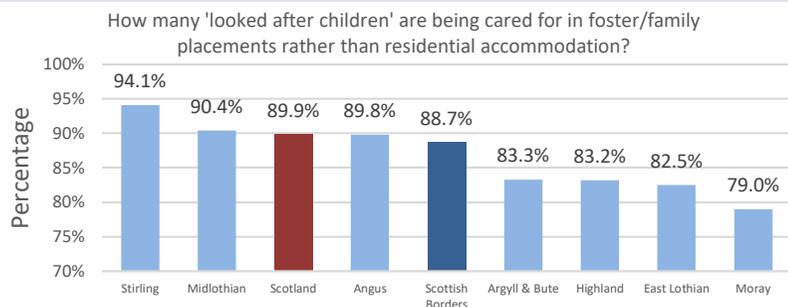
# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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## Children's Services – How do we compare to others ? (Local Government Benchmarking Framework 2018-19)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Community Learning & Development (Annual Performance)

\*3 quarters only

Performance Indicators	17-18	18-19	19-20	*20-21	Trend	Status
Participation – Number of Learners	877	717	685	*274	↓	
Participation - Number of learning programmes delivered	937	896	817	*321	↓	
Achievement - Number of learning programmes that lead to outcomes of: Increased employability	156	204	147	*31	↓	
Achievement - Number of learning programmes that lead to outcomes of: Increased health and wellbeing	635	562	598	*125	↓	
Achievement - Number of learning programmes that lead to outcomes of: Increased skills	374	317	305	*75	↓	
Achievement - Number of learning programmes that lead to outcomes of: Family outcomes	379	326	284	*63	↓	
Progression - Number of learning programmes that lead to: Progression to employment, further learning, volunteering or participation in a community activity	387	484	400	*113	↓	
Progression - Number of learning programmes that lead to: Accreditation (nationally recognised)	273	346	204	*46	↓	

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### Observations: (Note: Figs currently compiled on Annual Basis)

Each learning programme leads to the achievement of evidenced learning outcomes. Learners of all ages (9-65+yrs) may take part in more than one learning programme, which is delivered locally, largely in schools and Community Centres, across the Borders. Learning is designed to be accessible to vulnerable learners, including: people with few or no qualifications; socially isolated; additional support needs; living in SIMD deciles 1-3; low income; unemployed; health issues and Looked After Children.

Learning programmes include: literacy, numeracy; English for Speakers of Other Languages (ESOL); employability; family learning; transitions for vulnerable young people; building young people's resilience; intergenerational learning; health and wellbeing and skills development.

The impact of CV-19 is apparent in the significantly reduced number of participants. The CLD service has been at the heart of the Community Assistance Hubs and the Council's Emergency Response role over the course of the last year. This, along with lockdown and social distancing, has heavily impacted upon our capacity to deliver learning programmes and achieve their planned outcomes.

# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Modern Apprentices

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
New Modern Apprentices employed this year	Cumulative in year number	33	39	28	8	37	-	↗	
Number of Current Modern Apprentices	Number at end of period	34	50	45	46	57	-	↗	
Modern Apprentices securing employment with SBC after MA	Cumulative in year number	11	14	24	3	12	-	↘	

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### Observations:

We continue to see MA opportunities offered in a variety of council Departments. In addition to normal recruitment of MA's, Young Persons Guarantee funding has enabled us to offer additional MA's to young People in the Borders.

Over the last 3 months, there has been a significant increase in **recruitment of apprentices** totalling 37 for the first half of the year. These apprenticeships are taking place within the following departments: Assets & Infrastructure, Human Resources, Children & Young People, Customer & Communities and Finance & Corporate Governance.

SBC currently employ 57 apprentices throughout the organisation. Since April 2021, SBC have advertised 30 apprenticeship opportunities.

# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Adult Social Care #



Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Adults (aged 65+) receiving care at home	% at end of period	78%	79%	78%	79%	78%	70%	→	
Adults using Self Directed Support (SDS) approach	% at end of period	85.2%	94.4%	96.0%	95.3%	95.3%	90%	↗	

## Bed days



Performance Indicators	Basis	18-19	19-20	20-21	Q2 20-21	Q3 20-21	Q4 20-21	Q1 21-22	Target	Trend	Status
Bed days associated with delayed discharges from hospital (residents 75+)	Rate per 1000 population, in period	761	656	601	153	165	166	-	180	↗	
Bed days associated with Emergency Admissions (75+)	Rate per 1000 population, in period	3,544.9	3285.38	-	626.5	1,179.2	1,309.7	-	10% Scottish avg	↗ Q4	Q4

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### Observations:

The data for **emergency admission occupied bed days (age 75+)** has increased for the second consecutive quarter. The sharp increase in Q2 20-21 can be attributed to this measure now including the 4 Borders Community Hospitals. Q1 21-22 data is not currently available due to completeness issues.

The rate of **Bed Days Associated with Delayed Discharge** has increased in Q4 20/21. However, this remains well below the target of 180 and is better than the same period last year (Q4 19/20 – 200). Q1 21-22 data is not currently available due to

completeness issues.

**Adults using SDS** and those **aged 65+ receiving care at home** remains fairly static and above target.

# Please note these indicators are under review with the intention of incorporating additional social care measures in the future.

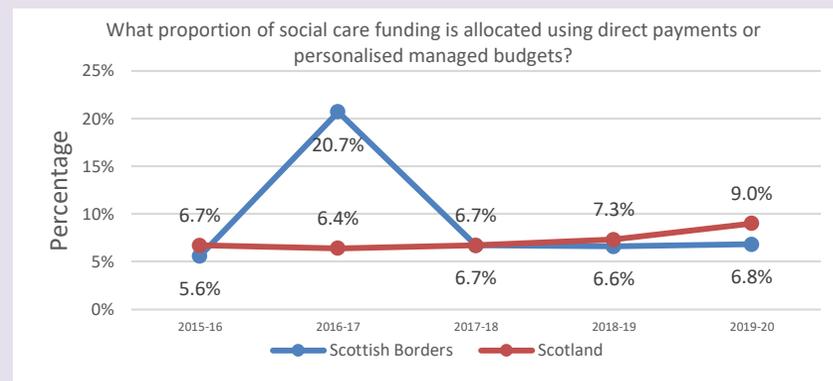
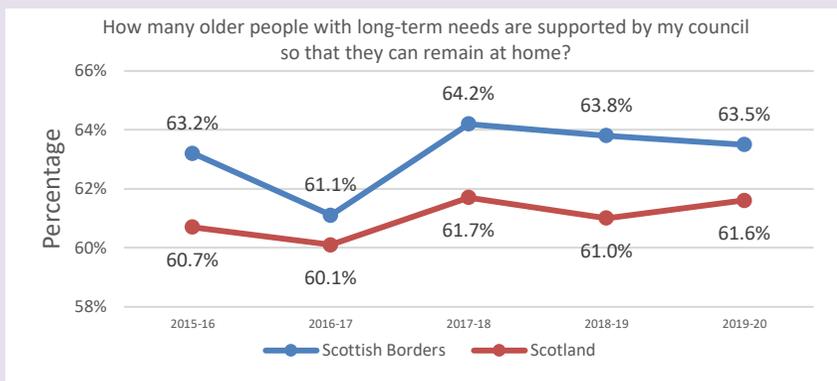
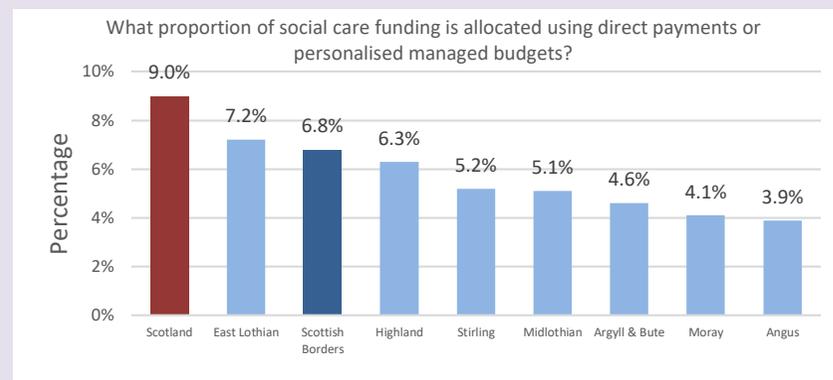
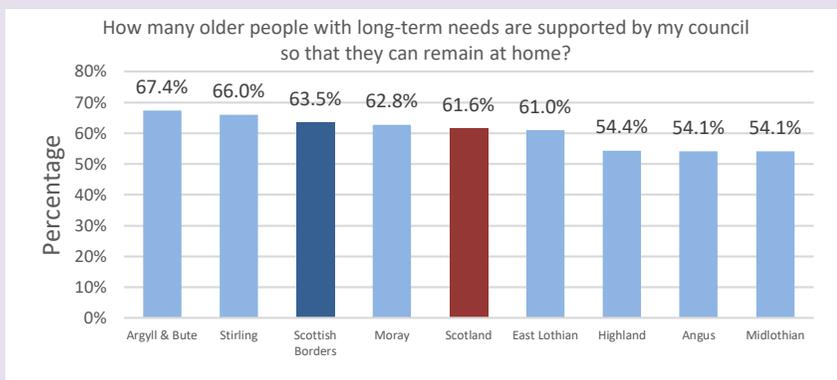
# INDEPENDENT, ACHIEVING PEOPLE

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## Adult Social Care Services – How do we compare to others ? (Local Government Benchmarking Framework 2018-19)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# INDEPENDENT, ACHIEVING PEOPLE

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Adult Protection

\* Target = 2020/21 Ytd. value

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Adult protection - Concerns	Number in period	338	356	238	62	92	-	↗	
Adult protection - Investigations	Number in period	176	205	123	42	65	-	↗	
Referrals To Domestic Abuse Services	Number in year to date	762	693	453	129	255	* 218	↗	
Reported incidents of domestic abuse	Number in year to date	1,005	1,129	1,282	336	658	* 667	↗	
High Risk domestic abuse cases discussed at Multi Agency Risk Assessment Conference	Number in year to date	93	102	123	40	65	* 64	↗	



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#### Observations:

There has been a significant increase in the number of **Adult Protection Concerns and Investigations** received in the in Q2 when compared to the previous quarter. This quarter there has been some spiking of referrals in one or two single days which can happen and isn't attributable to any one thing. In addition there has been a number of referrals within one care home which will have added to the numbers. AP Investigations have more than doubled when compared to the same period in 20/21 (32). Last year's figures were artificially low as more work was done via telephone and video contact and therefore not always recorded under investigations. This quarter's figures are more what we would expect to see as face to face contact has resumed more routinely. Similarly, the number of AP Concerns received has increased by 75 when compared to the same period in 20/21 (67). This can be attributed to the easing of CV-19 restrictions and the increased opportunities to identify individuals at risk.

255 **referrals into DAAS** (Adults) in 2021/22 to date, which is 37 additional referrals when compared to 2020/21 for the same time period and equates to a 17% increase. The COVID-19 pandemic has had an impact on referrals into domestic abuse services but the referrals have increased in quarter 1 and quarter 2 of 2021/22. As government measures to combat COVID-19 are

eased it is expected that referrals into the Domestic Abuse Advocacy Support service (DAAS) will continue to increase.

There have been 65 **referrals to MARAC** in 2021/22 for the year to date compared to 64 in 2020/21 for the same time period, which is a 1 referral, 1.6% increase. During the COVID-19 lockdown MARAC has been running via MS Teams and agency attendance has been excellent. The current Information Sharing Protocol is being reviewed to ensure compliance with GDPR. MARAC will continue to operate via MS Teams until normal service can be resumed. There will be a survey of partner agencies to ascertain views on returning to a blended model of MARAC meetings.

There were 9 fewer **incidents of Domestic Abuse** reported in 2021/22 to date when compared to 2020/21 for the same time period, which equates to a 1.3% decrease. There remain concerns that domestic abuse is underreported, particularly during the current pandemic. During the current pandemic increased scrutiny of the number of domestic abuse incidents that are recorded for the Scottish Borders and the related number of referrals to the DAAS Service is being undertaken with regular updates provided to Police Scotland and Scottish Borders Council Management Team.

# INDEPENDENT, ACHIEVING PEOPLE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Safer Communities

\* Target = 2020/21 Ytd. value

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Cases showing agreement or improvement after mediation	% in period	93.3%	90.7%	63.6%	7.7%	14.8%	80%	↓	
% of clients surveyed (Adults) that reported feeling safer on exit from Domestic Abuse Advocacy Support	% in period (Annual)	100%	100%	74%	-	-	100%	↓	20/21
Referrals to mediation	Number in year to date	123	152	49	4	15	*33	↓	



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### Observations:

A decrease of 18 **referrals to mediation** in 2021/22 to date when compared to 2020/21 for the same time period, which equates to a 54.5% decrease. Similarly, 4.8% of **mediation cases have shown agreement/improvement** following mediation in 2021/22 to date against a baseline target of 80%. The decrease is largely due to the impact of the COVID-19 lockdown meaning there is little opportunity to conduct mediation through face to face contact. Where possible mediation is conducted through other than face to face contact.

14 of 19 (74%) **clients surveyed stated they felt slightly or much improved safety on exit from the service**. Of the Interviews conducted the majority of clients report having a positive experience working with DAAS. On entry to the service advocates are gaining consent to interview clients on exit from the service, which means

interviews are conducted on a representative sample of clients who have worked with DAAS.

# INDEPENDENT, ACHIEVING PEOPLE

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Safer Communities

\* Target = 2020/21 Ytd. value

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Number of reported ASB Incidents	Number in year to date	5,676	5,460	7,289	1,686	3,169	*4,217	↘	Green
ASB Early Interventions	Number in year to date	899	804	898	194	454	*430	↗	Green
Monitored for ASB	Number in year to date	1,561	1,636	1,645	518	958	*834	↗	Orange
Group 1-5 recorded crimes and offences	Number in year to date	3,704	3,577	3,495	1,001	1,963	*1,703	↘	White



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#### Observations:

A 24.9% decrease in **reported ASB incidents** in 2021/22 for the year to date when compared to 2020/21 for the same time period. This equates to 1048 fewer incidents recorded. The significant decrease is mainly due to an easing of COVID-19 government restrictions in quarter 1 of 2021/22 when compared to what was in place in the first quarter of 2020/21, where breaches of government restrictions were recorded as antisocial behaviour by Police Scotland. Through a multi-agency partnership we continue to intervene at the earliest opportunity to reports of antisocial behaviour. The Police Scotland Community Actions Teams (CAT), which are funded by Scottish Borders Council, respond to community issues regarding antisocial behaviour with significant success.

An increase of 24 **ASB Early Interventions** in 2021/22 for the year to date when compared to 2020/21 for the same time period, which equates to a 5.6% increase. There was an initial impact to services due to the COVID-19 pandemic, however

all agencies have now adapted their ways of working and responding to issues and early interventions are similar to last year at this point.

Throughout the pandemic there has been a reduced provision of mediation and victim support services. If these services had been fully operational it is likely that early intervention figures would have been higher.

We continue to work as a partnership to share information and respond in a coordinated way, and are using analysis to better understand antisocial behaviour and to improve the approach being taken and the outcomes for complainants.

124 more people **monitored for antisocial behaviour** in 2021/22 for the year to date when compared to 2020/21 for the same time period, which equates to a 14.9% increase. We are currently looking at amendments to the current antisocial behaviour recording system to enable us to better analyse and understand the effectiveness of intervention methods and so improve the approach being taken and as a result

improve the outcomes for complainants. Monitoring cases are higher than last year at this point due to the fact that we were in lockdown in Quarter 1 of 2020/21 and that resulted in fewer people being monitored. We are continuously looking at what other agencies do or what diversions can be implemented. A formal process exists between partner agencies to take a consistent approach to addressing antisocial behaviour.

A 15.3% increase in **group 1-5 crimes** in 2021/22 to date when compared to 2020/21 for the same time period, which equates to 260 additional victims. The Coronavirus pandemic resulted in a reduction in the number of crimes being reported in quarter 1 and quarter 2 of 2020/21. For quarter 1 and 2 of 2021/22 the number of crimes is higher in comparison as there is not the same level of restrictions now in place. The levels of crimes and antisocial behaviour incidents are constantly monitored Police Scotland and partner agencies intervene early to address issues identified.

# A THRIVING ECONOMY, WITH OPPORTUNITIES FOR EVERYONE

## OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



### Economic Development and Procurement

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Total number of start-up customers who have begun trading (Business Gateway)	Total number in period	-	-	-	3	-	150	-	
Number of clients attending start-up workshops/seminars (Business Gateway)	Total number in period	-	-	-	164	-	250	-	
Number of jobs created (Business Gateway)	Annual Total number of jobs	-	-	-	Annual Measure	Annual Measure	n/a	-	
Sector breakdown of Business Start-Ups (Business Gateway)	Annual breakdown	-	-	-	Annual Measure	Annual Measure	n/a	-	
Industrial and commercial properties owned by the council that were occupied	% occupied at end of period	88%	91%	91%	91%	92%	88%	↗	
Invoices paid within 30 days	% in period	84%	90%	95%	95%	92%	93%	↘	
PCIP Score (Procurement Capability Improvement Programme)	Bi-annual score	78% 2018	n/a	-	Annual Measure	Annual Measure	-	-	
Additional homes provided affordable to people in the Borders, based on our wages?	Number provided in year Annual measure	191	141	107	-	116	128 (Annual)	↗	

**Observations:** Q1 21/22 has been focussed on bedding in the new service with Business Gateway, recruiting the new team and building a post-covid recovery pipeline of potential business start-ups, hence targets have not been met in this first quarter.

The implementation of Invoice Capture has resulted in a slight drop in the **% of Invoices Paid within 30 days**. This is due to some significant changes in the way invoices are received into the ERP system. Work is ongoing to support colleagues with these changes.

We are well on the way to achieving the annual 21/22 target for **provision of affordable homes** with 116 additional homes being provided already in the year to date. It is estimated that the total number of affordable homes provided to the people of the Borders by the end of 21/22 will be in excess of 300.

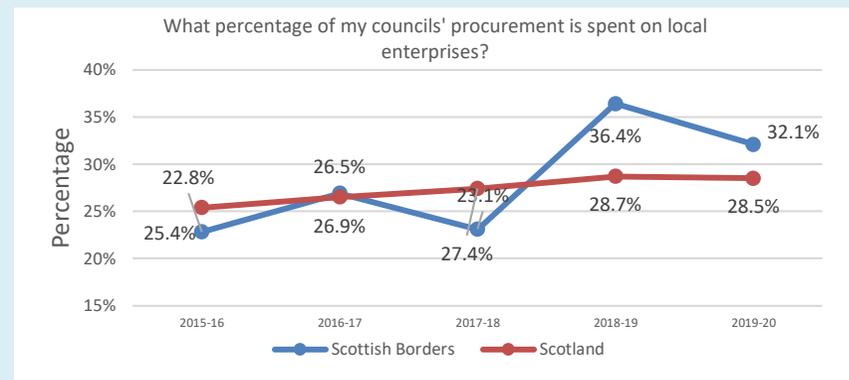
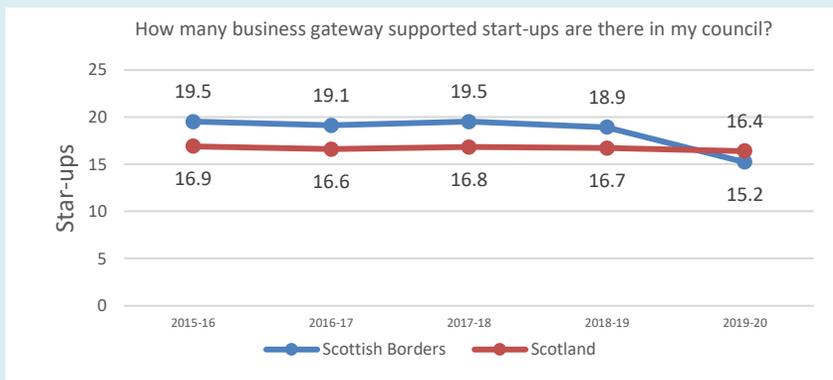
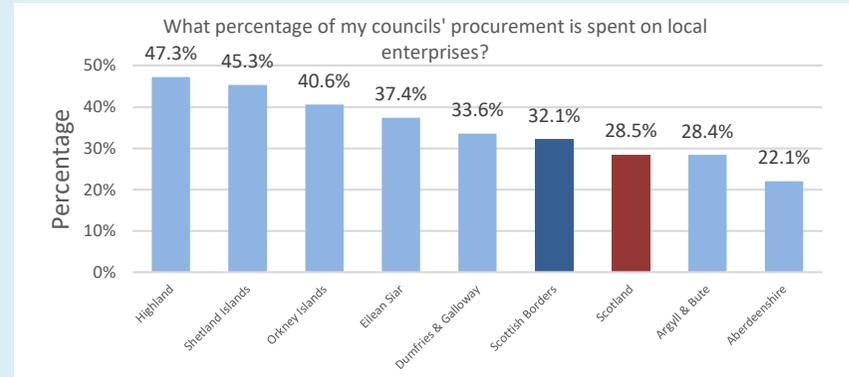
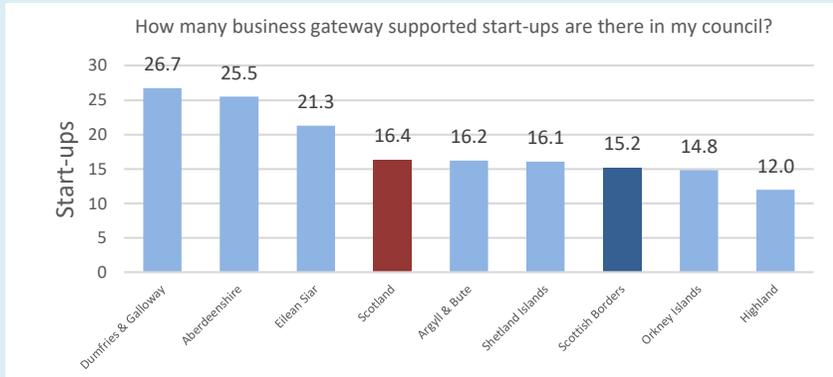
# A THRIVING ECONOMY, WITH OPPORTUNITIES FOR EVERYONE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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## Economic Development – How do we compare to Others ? (Local Government Benchmarking Framework 2019)



Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# A THRIVING ECONOMY, WITH OPPORTUNITIES FOR EVERYONE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Employment

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
16 - 64 Employment rate	% final quarter in period	75.7%	74.9%	77.2%	72.7%	-	72.2% (Scotland)	↘	Green
16 - 64 Claimant Count	% final quarter in period	2.47%	2.77%	5.33%	5.15%	4.23%	4.83%	↘	Green
18 - 24 Claimant Count	% final quarter in period	4.53%	5.17%	9.9%	9.25%	7.27%	6.7%	↘	Orange



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### Observations:

The **16-64 employment rate** was 72.7% in the year to June 2021. The number of those employed in the Scottish Borders fell by 1,000 in the year to this Quarter to 50,300. The rate was above that of Scotland (72.2%) and lower than that of Great Britain (74.8%). NB: there is a lag in receiving the employment rate figures from the Office for National Statistics.

The average rate of **people aged 18-24 claiming out-of-work benefits** was 7.27% in this Quarter, which was higher than the Scottish average of 6.7%. At the end of September 2021, there were 515 young people claiming out-of-work benefits, which was 120 less than at the end of the previous Quarter.

The average rate of **people aged 16-64 claiming out-of-work benefits** was 4.23%, lower than the Scottish rate of 4.8%. At the end of September 2021, there were 2,700 people claiming out-of-work benefits, which is 375 less than at the end of the previous Quarter.

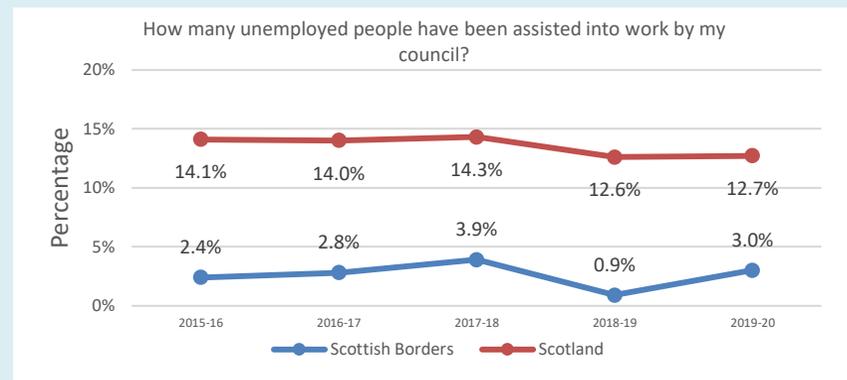
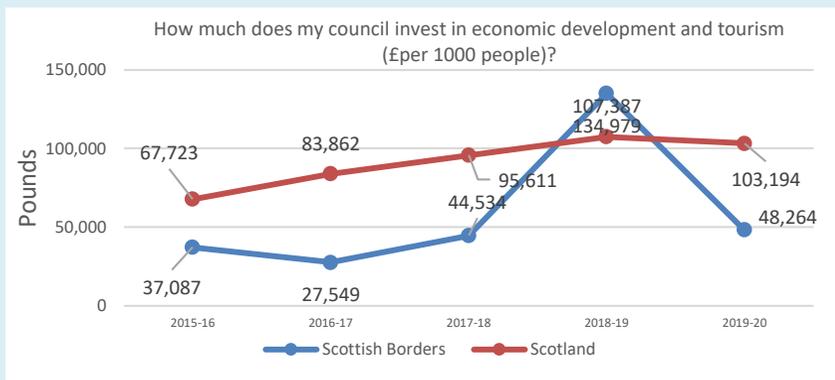
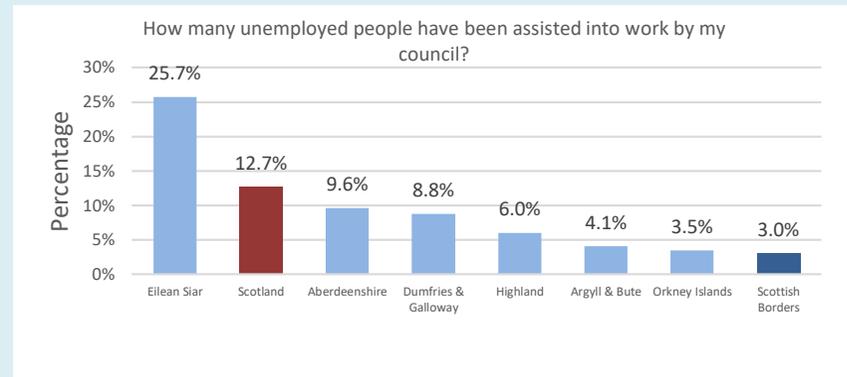
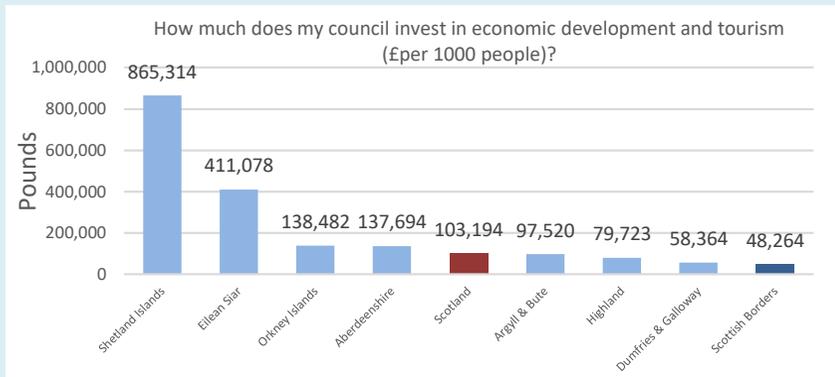
# A THRIVING ECONOMY, WITH OPPORTUNITIES FOR EVERYONE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Economic Development – How do we compare to Others ? (Local Government Benchmarking Framework 2019-20)

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Source: Adapted from mylocalcouncil website, latest LGBF family group & national comparisons

# A THRIVING ECONOMY, WITH OPPORTUNITIES FOR EVERYONE

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Major Projects

Performance Indicators	Basis	18-19	* 19-20	20-21	Q1 21-22	Q2 21-22	Trend	Status
Top Capital projects on target	Number with 'Green' RAG at end of period	18	12	18	14	14	-	-
Top Capital projects slightly behind target	Number with 'Amber' RAG at end of period	1	6	3	4	4	-	-
Top Capital projects not on target	Number with 'Red' RAG at end of period	0	0	0	0	0	-	-

\* June 20 RAG's

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### Observations:

*Note that details of Capital Monitoring are provided to Executive Committee under a separate agenda item.*

# EMPOWERED VIBRANT COMMUNITIES

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Community Empowerment

	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Asset transfer requests Received	Number in period	0	4	3	0	0	-	↘	
Asset transfer requests Agreed	Number in period	3	3	0	0	1	-	↗	
Asset transfer requests Refused	Number in period	0	0	0	0	0	-	→	
Community Participation requests Received	Number in period	6	3	0	0	0	-	→	
Community Participation requests Agreed	Number in period	3	3	0	0	0	-	→	
Community Participation requests Refused	Number in period	2	1	0	0	0	-	→	
People carrying out volunteer work with SBC	Number of people volunteering	155 Q4	181 Q4	197	326	275	-	↗	



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### Observations:

Although no new formal **asset transfer requests** were submitted during Q2 of 21/22 a short term management agreement was put in place for Jedburgh Leisure Facilities Trust to manage both public toilet facilities in the town for a two month trial period. This commenced on 13/09/2021. This is part of the ongoing work with Jedburgh Legacy Group to explore community ownership/management of facilities in the town. An informal enquiry has been received relating to a building in Tweeddale. Two informal enquiries have been received in connection to land and buildings in Teviot & Liddesdale.

No **participation requests** were received during Q2 of 21/22. The six outcome improvement processes associated with the previous participation requests are

continuing. Participation requests and the Community Empowerment (Scotland) Act 2015 in general continue to be promoted through the Area Partnerships.

Q2 of 21/22 saw 275 **people volunteering with SBC**. There was a drop in the number of YP participating in the DoE volunteering module this quarter although the number of Walk It volunteers increased as the initiative continues to restart walks that were paused during CV-19 and, implement new ones. The estimated economic benefit during Q2 was £15,437.58.

# EMPOWERED VIBRANT COMMUNITIES

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



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## Community Funding

Community Fund – Total Value of funding	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Total Scottish Borders	£ awarded in period	n/a	£198.5k	# £416.1k	# £149.8k	# £35.2k	-	-	
Berwickshire	£ awarded in period	n/a	£17.1k	# £111.7k	# £0	# £12.3k	-	-	
Cheviot	£ awarded in period	n/a	£26.0k	# £78.4k	# £2.6k	# £1.1k	-	-	
Eildon	£ awarded in period	n/a	£88.3k	# £93.3k	# £33.1k	# £21.8k	-	-	
Teviot & Liddesdale	£ awarded in period	n/a	£22.6k	# £45.7k	# £27.6k	# £0	-	-	
Tweeddale	£ awarded in period	n/a	£43.4k	# £70.9k	# £86.5k	# £0	-	-	
Borders-Wide	£ awarded in period	n/a	£1.1k	# £16.1k	# £0	# £0	-	-	
Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Neighbourhood Small Schemes Fund	£ awarded in period year to date	£176.7k	£157.7k	£116.7k	£74.5k	£111.3K	-	↗	

### Observations:

**# Community fund:** Please note that the 2019/20 Community Fund was suspended on 20 March 2020, due to Covid-19, and the 2020/21 Fund opened at the beginning of September. Therefore, the amounts reported will relate to this position until all outstanding applications are progressed and is reflected in the increased figures for Q3 2020/21 onwards.

In relation to the **Neighbourhood Small Schemes Fund**, cumulatively to Q2 2021/22, 58 projects were awarded a total of £111,325. The amounts awarded ranged from £50 to £12,765 and averaged £1,919.

# EMPOWERED VIBRANT COMMUNITIES

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Community Resilience

Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Community Resilience – SB Alert Registrations	Number at end of period	5,266 Q4 18-19	6,211	6,458	6,454	6,477 (Oct 21)	10,000 (2 yrs)	↗	
Active community resilience plans	Number at end of period	47 Q4 18-19	55	59	59	-	-	↗	
Progressing community resilience plans	Number at end of period	6 Q4 18-19	0	0	6	-	-	↗	

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### Observations:

*Note: Target for SB Alert Registrations is an aspiration to reach 10,000 over 2 years.*

6,477 people are registered with SB Alert at the end of Q2 2021/22. The benefits of SB Alert will continue to be highlighted through the social media feeds and Resilient Community Groups to encourage additional sign up. The slight reduction in SB Alert registrations is due to the removal of duplicate entries following a cleanse of the data.

The number of active Resilient Community plans remains fairly static in Q1. Several RC Groups were temporarily established in order to provide a community response to the CV-19 pandemic. Therefore, it is anticipated the number of active plans will reduce slightly in future quarters. The Emergency Planning team have commenced a scoping exercise that will look at encouraging these groups to continue post CV-19.

More information about community resilience can be found at:

[https://www.scotborders.gov.uk/info/20008/emergencies\\_and\\_safety/191/resilient\\_communities](https://www.scotborders.gov.uk/info/20008/emergencies_and_safety/191/resilient_communities)

# EMPOWERED VIBRANT COMMUNITIES

OUR PERFORMANCE DURING QUARTER 2 - JULY 2021 to SEPTEMBER 2021



## Community Benefits



Performance Indicators	Basis	18-19	19-20	20-21	Q1 21-22	Q2 21-22	Target	Trend	Status
Contracts awarded with community benefit clauses	Number during period	26	18	14	4	6	-	↗	
Employment opportunities delivered as a result of community benefit clauses	Number during period	25	46	39	7	6	-	↘	

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### Observations:

Community Benefits information is reported twice yearly. The next update will be included in the Q2 21/22 Performance Report.

During this reporting period **contracts awarded that contained a community benefit clause** included:

#### Q1

- Aids to Daily Living Equipment
- Supported Living Care and Support
- Domestic Furniture and Furnishings
- Council Offices, Hawick Town Hall, Hawick – Refurbishment

#### Q2

- Aids to Daily Living Equipment
- Winter Maintenance Framework Agreement (Pathways & Miscellaneous)
- Subcontractor Services Framework Agreement
- Fire Extinguisher Maintenance
- Education Materials
- Lilliesleaf Primary School - Early Learning Centre
- 2021/22 SBC General Bridge Inspections

### Actions we are taking to improve/maintain performance:

It should be noted that the number of the contracts awarded and start dates of those contracts will be subject to natural variation dependant on the timing of contract award, scope and scale of contract opportunities from the Council. It is therefore not possible to trend this indicator on a short term basis.

The following **new start employment opportunities** were realised from the following projects;

#### Q1

- The Hawick Flood Protection Scheme – 6 New Starts
- Domestic Abuse Community Support Service (Children and Adults) – 1 New Start

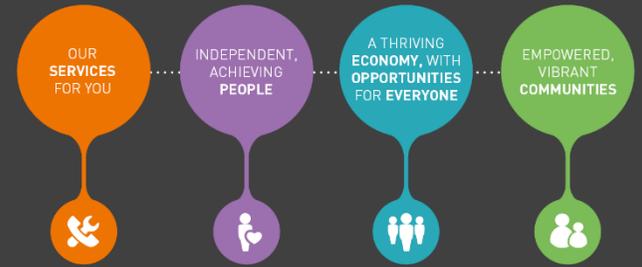
#### Q2

- The Hawick Flood Protection Scheme – 6 New Starts

During this reporting period work experience has still been limited due to the Covid recovery period, it is anticipated to improve in future reporting periods. As evidenced by the new opportunities noted above, the Hawick Flood Protection Scheme contract continues to support the local economy through a wide range of employment opportunities.

# OUR PLAN for 2018-23 and your part in it

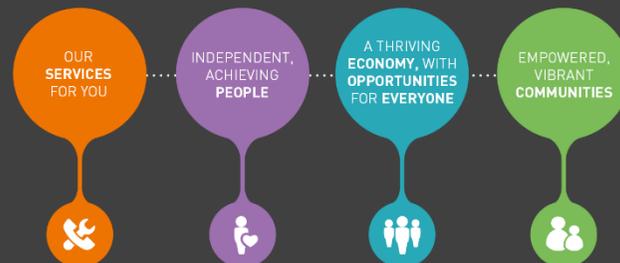
## COVID-19 RECOVERY PLAN PROGRESS



### APPENDIX 3: RECOVERY PLAN PROGRESS

# OUR PLAN for 2018-23 and your part in it

## COVID-19 RECOVERY PLAN PROGRESS



### RECOVERY PLAN PROGRESS REPORTING APPROACH

SBC has developed a Recovery Plan that identifies key actions to lead the organisation through its recovery from the pandemic whilst supporting the delivery of our Strategic Aims set out in the Corporate Plan.

The Recovery Plan, along with the Corporate Plan, will shape and support ongoing service improvement as

agreed at Council on 27 May 2021.

It is important that we keep track of the difference this Recovery Plan is making over the next 12 months and, in order to do this, we will collect data and organise it in a way that gives us a clear measure of our success and Appendix 3 outlines the indicators we are using to do this.

Further work is required to develop additional indicators to allow us to fully monitor progress of the Recovery Plan. This work will be undertaken over the next few months in order to provide a more cohesive picture of our progress

### OUR SERVICES FOR YOU - RECOVERY

\*Existing Performance Indicator

Recovery Plan Principle	How will it be monitored?	Q1 21-22	Q2 21-22	Target	Trend	Status
1. MAINTAIN RESILIENT AND SUSTAINABLE SERVICES	% of complaints classified as 'Failure to deliver service'.	34.59%	47.87%	-	↗	
	Average waiting time from Referral to Assessment of need (adult social care). (weeks)	7.8	5.7	-	↘	
2. DEVELOP OUR PEOPLE AND FUTURE WAYS OF WORKING	Staff engagement					
	*Absence rate of Teaching Staff	3.13%	2.42%		↘	
	*Absence rate of Non-Teaching Staff	5.02%	4.71%		↘	

# OUR PLAN for 2018-23 and your part in it

## COVID-19 RECOVERY PLAN PROGRESS



### INDEPENDENT, ACHIEVING PEOPLE- RECOVERY

\*Existing Performance Indicator

Recovery Plan Principle	How will it be monitored?	Q1 21-22	Q2 21-22	Target	Trend	Status
3. HELP OUR CHILDREN AND YOUNG PEOPLE TO ACHIEVE THEIR EDUCATIONAL AND ATTAINMENT AIMS	% of Student absences due to parents isolating against advice.	-	1%	-	-	
	*School Attendance overall	92.5%	91.7%	-	↘	
4. DELIVER DIGITAL PERFORMANCE TO MAKE THE MOST EFFECTIVE USE OF OUR RESOURCES	Cumulative total amount invested in digital services (£)	-	-	-	-	
	*Customer Contacts (F2F, Email, Web)	-	-	-	-	

### A THRIVING ECONOMY WITH OPPORTUNITIES FOR EVERYONE - RECOVERY

Recovery Plan Principle	How will it be monitored?	Q1 21-22	Q2 21-22	Target	Trend	Status
5. SUPPORT BUSINESS AND GROW THE ECONOMY	£'s issued to Businesses as part of the Covid-19 Recovery Fund.	-	-	-	-	
	*Number of clients attending start-up workshops/seminars (Business Gateway)	164	-	-	-	
6. INVEST IN REGENERATION AND A SUSTAINABLE FUTURE	*Total Number of Business Start-Ups that began trading (Business Gateway).	3	-	-	-	
	*Number of affordable homes provided to people in the Borders.	0	116	-	↗	

# OUR PLAN for 2018-23 and your part in it

## COVID-19 RECOVERY PLAN PROGRESS



### EMPOWERED, VIBRANT COMMUNITIES - RECOVERY

Recovery Plan Principle	How will it be monitored?	Q1 21-22	Q2 21-22	Target	Trend	Status
7. HARNESS THE POWER OF OUR COMMUNITIES TO TACKLE INEQUALITY AND SOCIAL EXCLUSION	*Number of people contacting the Welfare Benefits service.	6,454	6,477	10,000 (2 yrs)	↗	
	Number of Groups/Organisations applying to the Build Back a Better Borders Recovery Fund	-	16	-	-	
	Value of Funding awarded (£)	-	£88.9k	-	-	
	Number of Test and Protect Welfare calls made.	-	1,518	-	-	
	*Number of active Community Resilience Plans	59	-	-		
8. CLIMATE CHANGE	Reduce CO2 emissions by 6.1% per year.	-	-	-	-	
	Number of eCars introduced to rural areas.	-	-	-	-	
	*Electricity consumption. (Kwh in period)	1,648,469	1,428,707	-	↘	
	*Gas consumption. (Kwh in period)	2,791,566	1,342,163	-	↘	



## APPENDIX 4: PERFORMANCE INDICATOR SCHEDULE

# OUR PLAN for 2018-23 and your part in it

## PERFORMANCE INDICATORS SCHEDULE



### Our Services For You

Indicators	Quarterly (#Exec)	Annual (*LGBF)
Planning Application Times	•	Bus & Ind
Planning Application numbers	•	
Cost Per Planning Application		•
Waste Treatment/Recycling Rates	•	Household
Adult Satisfaction - refuse collection		•
Net cost of waste collection per premise		•
Net cost of waste disposal per premise		•
Energy Consumption & Costs By Fuel Type	•	
Road Casualties - Killed & Seriously Injured	•	
Housing Benefits Processing Times	•	
Welfare Benefits - Referrals & Monetary Gain	•	
Customer Interactions By Channel	•	
Council Tax - Collection Levels	•	•
Cost per dwelling of collecting council tax		•
Operation Buildings % - Suitable for current use / Satisfactory Condition		•
Capital Receipts Generated	•	
Properties Surplus / Marketed / Under Offer	•	
Complaints - % Within Timescale	•	
Complaints - Days to respond	•	
Complaints - Numbers	•	
FOI's Received & Completed on Time	•	

Indicators	Quarterly (#Exec)	Annual (*LGBF)
Social Media Engagements By Type	•	
Assessor Performance	•	
Gender pay gap		•
Highest paid 5% employees who are women		•
Sickness absence days - non teacher		•
Sickness absence days - teacher		•
Support services as a % of total gross expenditure		•
Adult Satisfaction - Libraries / Parks & Open Spaces / Museums & Galleries / Leisure Facilities		•
Cost of parks & open spaces per 1,000 popn		•
Cost per attendance - Sports / Libraries / Museums		•
% Roads that should be considered for maintenance treatment by Class	Annual Overall	•
Adult Satisfaction - street cleaning		•
Cost of roads per kilometre		•
Cost per 1,000 population -Trading Standards / environmental health		•
Net cost of street cleaning per 1,000 population		•
Street Cleanliness Score		•
Staff Absence Rates	•	•

# OUR PLAN for 2018-23 and your part in it

## PERFORMANCE INDICATORS SCHEDULE



### Independent, Achieving People

Indicators	Quarterly (#Exec)	Annual (*LGBF)
School Attendance Rate(s)	•	•
School Exclusions Rates(s)	•	•
School attendance rate (Looked After Children)		•
School exclusion rates ('looked after children')		•
Schools/Nurseries inspected	•	
Resident Satisfaction - Schools		•
Cost per Pupil By School Type (Pri/Sec/Pre)		•
Funded early years provision which is graded good/better		•
Children meeting developmental milestones		•
Pupil Attainment - Deprived Areas By Level		•
Pupil Attainment By Level	Annual	•
Pupil Attainment By SIMD Quintile		•
Pupils Positive Destinations		•
Participation rate for 16-19 year olds	Annual	•
Child - Inter-agency Referral Discussions	•	
Looked After Children - Number	•	
Looked After Children - Placement	•	Community
Looked After Children - Gross Costs - Residential / Community		•
Looked After Children - more than 1 placement in the last year		•
Number on Child Protection Register	•	
Child protection re-registrations		•

Indicators	Quarterly (#Exec)	Annual (*LGBF)
Community Learning & Development - Achievement	Annual	
Community Learning & Development - Participation	Annual	
Community Learning & Development - Progression	Annual	
Modern Apprentices - Council Employment	•	
Adults 65+ receiving care at home	•	•
Adults supported at home - agree that services/support had an impact in improving/maintaining quality of life		•
Home care costs per hour 65+		•
Residential costs per week 65+		•
Clients using the Self Directed Support approach	•	
Bed Days - Delayed Discharges / Emergency Admissions 75+	•	
Adult Protection - Concerns & Investigations	•	
Adult Satisfaction - Care or Support		•
Direct Payments + Managed Personalised Budgets spend on adults 18+ as a % of total social work spend on adults 18+		•
Domestic Abuse - Referrals / Incidents / MARAC	•	
Anti-Social Behaviour - Numbers / Early Interventions / Monitored	•	
Group 1-5 Crimes Numbers	•	
Mediation - Referrals & Improvement	•	

# OUR PLAN for 2018-23 and your part in it

## PERFORMANCE INDICATORS SCHEDULE



### A Thriving Economy, With Opportunities For Everyone

Indicators	Quarterly (#Exec)	Annual (*LGBF)
Business Gateway - Businesses Supported	•	
Business Gateway - Start Ups	•	per 10k popn
Invoices paid within 30 days	•	•
Occupancy Rates of Industrial and Commercial Units	•	
Immediately available employment land as a % of total land allocated for employment purposes in the local dev plan		•
Procurement Capability Improvement Programme Score	Annual	
% of procurement spend spent on local enterprises		•
Scottish Borders Business Fund - Number / Value of grants	•	
Employment Rate & Claimant Count	•	
Unemployed people assisted into work - council operated / funded employability programmes		•
Investment in Economic Development & Tourism per 1,000 Population		•
Proportion of people earning less than the living wage		•
Proportion of properties receiving superfast broadband		•
Town Vacancy Rates		•
Capital Project Summary	•	

### Empowered Vibrant Communities

Indicators	Quarterly (#Exec)	Annual (*LGBF)
Asset Transfers	•	
Participation Requests	•	
Volunteer Hours	•	
Community Fund - Value of Funding (inc By Locality)	•	
Neighbourhood Small Schemes Fund - value awarded	•	
Community Resilience Plans by Stage	•	
SB Alert Registration Numbers	•	
Community Benefit Clauses - Contracts / Employment & Skills Opportunities	•	

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# COMMUNITY ACTION TEAM

## IMPACT REPORT FOR QUARTER 1 JULY TO SEPTEMBER 2021



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BERWICKSHIRE	CHEVIOT	EILDON	TEVIOT	TWEEDDALE
<b>TASKING DURING PERIOD</b> 1. Following concerns in relation to drug issues in Eyemouth a CAT presence was requested in the area. 2. Following intelligence received a drugs warrant was executed in Duns in July.	<b>TASKING DURING PERIOD</b> 1. Day of action in Kelso in September to address youth issues and antisocial driving. 2. Following intelligence received two drugs warrants were executed in Kelso in September. 3. CAT maintained a presence at St Boswells Fair in July.	<b>TASKING DURING PERIOD</b> 1. Following intelligence received a drugs warrant was executed in Galashiels in September. 2. Following intelligence received a drugs warrant was executed in Galashiels in July.	<b>TASKING DURING PERIOD</b> 1. Following intelligence received a drugs warrant was executed in Hawick in August. 2. Day of action in July in Hawick regarding intelligence in relation to firearms and supply of drugs.	<b>TASKING DURING PERIOD</b> 1. Several reports of youths drinking alcohol in Peebles in August. 2. Several reports of fire setting in Walkerburn in August.
<b>EVIDENCE OF IMPACT</b> 1. Reassurance patrols were carried out and resulted in positive engagement with the local community. 2. Class B drugs seized.	<b>EVIDENCE OF IMPACT</b> 1. Action taken by CAT over two weekends, which included the issue of a vehicle ASBO. 2. Two people were charged with possession of Class B drugs. 3. The event passed without any major disruption.	<b>EVIDENCE OF IMPACT</b> 1. A male and female were charged with supply of Class A drugs with an approximate street value of £2,800. 2. A human trafficking charge was brought as well as drugs being seized.	<b>EVIDENCE OF IMPACT</b> 1. Class B and C drugs to the value of £6,000 seized. 2. A firearm and class B and C drugs were seized and two males were reported to the procurator fiscal.	<b>EVIDENCE OF IMPACT</b> 1. A person was identified as supplying children under 18 with alcohol and has now been reported to the procurator fiscal. 2. An individual was arrested and charged with fire setting offences.

COMMUNITY ACTION TEAM (CAT) ACTIONS																				
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Raised in Quarter	14	5			9	5			12	10			7	8			8	7		
Accepted in Quarter	13	5			4	4			7	7			7	7			7	6		
<b>% of tasking accepted by the CAT across all localities</b>					<b>2020/21</b> 73%					<b>2021/22 Year to Date</b> 79%										
<b>NOTE:</b> Not all issues received and discussed at the CAT oversight group meeting are taken on as actions by the CAT. Some actions may be more appropriately followed up and actioned by another service within SBC or by a partner organisation. Also some actions are tasked directly through Police Scotland so are not reflected in the figures above but show the impact the team is having in the Borders.																				

# COMMUNITY ACTION TEAM

## IMPACT REPORT FOR QUARTER 1 JULY TO SEPTEMBER 2021



	HI-VISIBILITY FOOT PATROL (HOURS) 				MOBILE PATROL (HOURS) 				STATIC ROAD CHECKS 				ANTI-SOCIAL BEHAVIOUR WARNING LETTERS ISSUED TO UNDER 18s 				NUMBER OF DRUG SEARCHES UNDERTAKEN PERSONS 											
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
	337	305			1,862	1,603			92	49			88	25			74	29										
	Foot patrols are the number of hours CAT officers spend in a specific location carrying out foot patrols. The figure quoted is in individual officer hours.				Mobile patrols are those carried out in marked Police Scotland vehicles and can involve 1 or more officers. The figure quoted is in individual officer hours.				Static road checks are proactive stops of vehicles in known problem locations to prevent or detect criminal or antisocial acts involving vehicles.				Where young people aged under 18 are evidenced committing antisocial behaviour (including drinking alcohol) warning letters are issued to parents/guardians to advise them of the situation.				<p><b>49%</b> of searches were positive for drugs in Q2</p> <p>NUMBER OF DRUG SEARCHES UNDERTAKEN PREMISES </p> <table border="1"> <thead> <tr> <th>Q1</th><th>Q2</th><th>Q3</th><th>Q4</th></tr> </thead> <tbody> <tr> <td>14</td><td>11</td><td></td><td></td></tr> </tbody> </table> <p><b>64%</b> of searches were positive for drugs in Q2</p>				Q1	Q2	Q3	Q4	14	11		
Q1	Q2	Q3	Q4																									
14	11																											
	BERWICKSHIRE				CHEVIOT				EILDON				TEVIOT				TWEEDDALE											
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4								
<b>PARKING:</b> No of Tickets Issued	6	31			11	44			127	120			48	44			60	27										
<b>2021/22 Year to date all localities</b>	<b>Q1</b>				<b>Q2</b>				<b>Q3</b>				<b>Q4</b>															
	252				266																							

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Note: Year to date quarterly totals include tickets issued where the locality wasn't recorded

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