



City Chambers
DUNDEE
DD1 3BY

13th August, 2010

Dear Sir or Madam

You are requested to attend a MEETING of the **POLICY AND RESOURCES COMMITTEE** to be held in the City Chambers, Dundee on Monday, 23rd August, 2010 following the meetings of the City Council, Education, Leisure, Arts and Communities, Housing, Dundee Contract Services and Environment Services, City Development and Social Work and Health Committees called for 6.00 pm.

Yours faithfully

DAVID K DORWARD

Chief Executive

Members are reminded that, in terms of The Councillors Code, it is their responsibility to make decisions about whether to declare an interest in any item on this agenda and whether to take part in any discussions or voting.

This will include all interests, whether or not entered on your Register of Interests, which might be perceived as influencing your opinion/vote on any matter.

AGENDA OF BUSINESS

1 MINUTES

- (a) IMPROVEMENT AND EFFICIENCY SUB-COMMITTEE - 30TH JUNE, 2010
- (b) RECESS SUB-COMMITTEE - 2ND AUGUST, 2010

The minutes of meetings of the above Sub-Committees, copies of which are appended hereto, are submitted for information and record purposes. (Copies enclosed).

2 CHANGING FOR THE FUTURE

(Report No 441-2010 enclosed).

3 SHARED RISK ASSESSMENT ASSURANCE AND IMPROVEMENT PLAN

(Report No 410-2010 enclosed).

4 CRITICAL INCIDENT STRESS MANAGEMENT

(Report No 357-2010 enclosed).

5 CORPORATE PARENTING

(Report No 369-2010 enclosed).

6 DUNDEE COMMUNITY REGENERATION FUND 2010/2011 - 2012/2013

(Report No 431-2010 enclosed).

7 ANNUAL PROCUREMENT REPORT

(Report No 550-2010 enclosed).

8 REVENUE MONITORING

(Report No 403-2010 enclosed).

9 CAPITAL MONITORING

(Report No 393-2010 enclosed).

10 CHANGE OF NAME DEVELOPMENT QUALITY COMMITTEE (AN107-2010)

The term 'Development Management' was formally introduced in the Planning etc (Scotland) Act 2006 to replace the terms 'Development Control' which had hitherto been used in the planning system to refer to the responsibilities of planning authorities in discharging planning applications and all related functions under the 1997 Planning Act.

The subsequently amended 1997 Act and all related secondary legislation, Circulars, documents of Scottish Government policy and advice uses the new term.

It is also now exclusively used by all Scottish local authorities to describe the above functions. The term is also now, and has been for some time, used in reports to Committee and in correspondence.

It is therefore most appropriate to change the name of the Development Quality Committee to Development Management Committee to reflect the above developments.

11 IT DEPARTMENT SERVICE PLAN

(Report No 428-2010 enclosed).

12 SUPPORT SERVICES DEPARTMENT SERVICE PLAN

(Report No 435-2010 enclosed).

13 SUPPLY OF IT EQUIPMENT

(Report No 424-2010 enclosed).

14 REVISED CHARGES FOR DUDHOPE HOUSE

(Report No 419-2010 issue with the agenda for the Education Committee).

15 TENDERS RECEIVED BY CITY ENGINEER

(Report No 412-2010 enclosed).

16 REDUCTION OF ON-STREET PROSTITUTION - SERVICE LEVEL AGREEMENTS TO PROVIDE SUPPORT FOR WOMEN - DUNDEE CITY COUNCIL AND ACTION FOR CHILDREN

(Report No 416-2010 enclosed).

APPENDIX

At a MEETING of the **IMPROVEMENT AND EFFICIENCY SUB-COMMITTEE OF THE POLICY AND RESOURCES COMMITTEE** held at Dundee on 30th June, 2010.

Present:-

BAILIES

Willie SAWERS

Helen WRIGHT

COUNCILLORS

Ken GUILD

Craig MELVILLE

Jimmy BLACK

Richard McCREADY

Fraser MACPHERSON

Councillor GUILD, Convener, in the Chair.

Unless marked thus * all items stand delegated.

I SUBSTITUTES

It was reported that for the purpose of this meeting, Councillor Melville would substitute for Councillor Duncan, and Councillor McCready would substitute for Councillor Keenan.

II CORPPORATE PERFORMANCE SELF ASSESSMENT 2009/2010 - REPORT FOR 12 MONTHS MONITORING TO 31ST MARCH, 2010

There was submitted Report No 274-2010 by the Director of Finance advising the Sub-Committee of the self-assessment of performance of Dundee City Council for the twelve months to 31 March 2010, as defined by the Key Quarterly Performance Indicators.

The Sub-Committee agreed to note that performance levels for the financial year had generally been maintained or improved.

The Sub-Committee further agreed that all Chief Officers review the content of Appendix 1 as it related to their service and consider if there were any indicators for which performance could be improved in 2009/10.

III FINAL REPORT ON PROJECTS AND OUTCOME MEASURES IN THE COUNCIL PLAN 2007-2011

There was submitted Report No 290-2010 by the Assistant Chief Executive providing a final report on progress with the priority projects and outcome measures included in the Council Plan 2007-2011.

The Sub-Committee agreed to:-

- i) note the content of the report, including the appendices which detailed progress made on the Council Plan 2007-2011;
- ii) agree that, as part of the commitment to Public Performance Reporting, this information be added to the Plans and Performance page on the Council's website, and that copies of this report be made available to partner organisations, local groups and members of the public on request; and

- iii) remit chief officers to ensure that any plan items not yet completed be carried forward into departmental service plans or single outcome agreement delivery plans.

Ken GUILD, Convener.

At a MEETING of the **RECESS SUB-COMMITTEE** held at Dundee on 2nd August, 2010.

Present:-

Bailie Willie SAWERS

COUNCILLORS

Ken GUILD
Andrew DAWSON

Bob DUNCAN
Kevin KEENAN

Brian GORDON
Fraser MACPHERSON

Councillor Ken GUILD, Convener, in the Chair.

Unless marked thus * all items stand delegated.

I TENDERS RECEIVED

There was submitted Report No 404-2010 by the City Architectural Services Officer giving details of an offer received for the undernoted contract:-

(a) CITY SQUARE COMPLEX - UPGRADE OF ELECTRICAL INFRASTRUCTURE

The Sub-Committee agreed to accept a negotiated offer from E W Edwardson (Electrical Contractors Ltd), Dundee amounting to £71,928.14, together with allowances of £980 for CDM Co-ordinator and £11,523 for professional services, making a total expenditure of £84,431.14.

II TENDERS RECEIVED

There was submitted Report No 378-2010 by the City Engineer giving details of an offer received for the undernoted contract:-

(a) WHITFIELD SPINE ROAD

The Sub-Committee agreed to accept a negotiated offer from Tayside Contracts amounting to £1,686,219, together with allowances of £29,244 for site investigations, £691,986 for public utilities, £171,821 for professional fees, £2,000 for CDM Co-ordinator and £67,449 for contingencies, making a total expenditure of £2,648,719.

The Sub-Committee agreed that the undernoted item be considered as a matter of urgency in terms of Standing Order No 17(b) in view of the timescales involved.

III BBC LAST NIGHT OF THE PROMS - 11TH SEPTEMBER, 2010

There was submitted Agenda Note AN94-2010 informing the Sub-Committee that traditionally the Scottish element of BBC Proms had taken place annually in Glasgow. This year, for the first time, the concert would be screened from the Caird Hall on 11th September, 2010 with a capacity audience of 2,000 and free ticket entry. The Executive Producer of the BBC Proms had contacted Dundee City Council to see if the City Council would be interested in staging an outdoor broadcast of the Caird Hall event in the City Square.

The BBC indicated that it had received in excess of 3,500 applications for the 2,000 free tickets available for the Caird Hall. The capacity of the City Square was estimated at 600 seated or 4,000 standing. Half seating and half standing would allow for up to 2,300 tickets and this was the option preferred by the Council.

This would be the first time that the Proms event had been held at the Caird Hall and would be the first event of this kind to be staged in the City Square. In terms of logistics and crowd safety, those issues could be satisfactorily dealt with and the Council's Emergency Planning Officer had been involved in the discussions.

The outdoor event in City Square would cost no more than £15,000 to put on and would be met from the Council's General Contingency and it was recommended that the Sub-Committee agreed to this event being held.

The Convener, seconded by Councillor Duncan, moved that the outside event be held. As an amendment, Councillor Macpherson, seconded by Councillor Gordon, moved that the outside event be not held.

On a division, there voted for the motion - Bailie Sawers and Councillors Guild, Andrew Dawson and Duncan (4); and for the amendment - Councillors Keenan, Gordon and Macpherson (3) - whereupon the motion was declared carried.

Ken GUILD, Convener.

REPORT TO: POLICY & RESOURCES COMMITTEE - 23 AUGUST 2010

REPORT ON: CHANGING FOR THE FUTURE

REPORT BY: CHIEF EXECUTIVE

REPORT NO: 441-2010

1. PURPOSE OF REPORT

- 1.1 This report advises members of the current projection of the Revenue Budget position for the three financial years 2011/12 to 2013/14 and seeks approval of a strategy entitled Changing for the Future, which sets out how the City Council plans to achieve the level of savings required to deliver a balanced budget in each of these financial years.

2. RECOMMENDATIONS

The Policy & Resources Committee are asked to:

- 2.1 note the projection of the 2011/12 to 2013/14 Revenue Budgets and the level of savings required to deliver a balanced budget in each of those financial years as detailed in Section 4 of the report.
- 2.2 approve the proposed Changing for the Future work programme as set out in Section 5 of the report.
- 2.3 approve the establishment of a Changing for the Future Board with the membership as set out in paragraph 6.1.
- 2.4 note that regular reports will be brought back to the Policy & Resources Committee outlining progress with the Changing for the Future programme and to the appropriate Committees as decisions are required.

3. FINANCIAL IMPLICATIONS

- 3.1 There are no direct financial implications as a result of this report.
- 3.2 The Changing for the Future programme of work will generate reports and actions that will have direct financial implications for the Council, and when required, reports will be considered by the appropriate Committee. These reports will identify the individual savings proposals that are planned to deliver a balanced budget for the financial years 2011/12 to 2013/14.

4. UPDATED FINANCIAL PROJECTION 2011/12 TO 2013/14

- 4.1 At the meeting of the Policy & Resources Committee on 26 October 2009, Members were advised of the Revenue Budget projections for the financial years 2011-2014. These projections were based on the Chancellor's Pre-Budget Report for 2010/11 and a report prepared by the Centre for Public Policy for Regions (CPPR) looking at possible scenarios for the Scottish Government Budget over the period 2011-2014. The assumptions made in the report of 26 October 2009 reflected a cumulative real terms funding reduction of 12% in the period up to 2014.

At that time it was projected that the Council would require to find the following savings over the 3 financial years 2011-2014 to achieve a Council Tax freeze:

	£m
2011/12	12.553
2012/13	6.500
2013/14	5.161

4.2 The Council subsequently set its Revenue Budget and Council Tax for 2010/11 on 11 February 2010. Total savings of £5.344m were made in order to achieve a council tax freeze for the fourth consecutive financial year.

4.3 Following the Westminster elections in May 2010, the Chancellor of the Exchequer announced that there would be an Emergency Budget on 22 June 2010 to implement £6bn of UK budget cuts in 2010/11. The Scottish Government's consequential share of these cuts has been confirmed as £332m and the Cabinet Secretary for Finance and Sustainable Growth has agreed with the Chancellor that he will defer taking these cuts until 2011/12.

4.4 The CPPR has subsequently prepared updated projections based on the impact of the UK Government's various budget measures (i.e. the Emergency Budget cuts plus the reductions announced in May for 2010/11). These show that the Scottish Government's discretionary budget (i.e. Departmental Expenditure Limits or DEL) could be 14% lower in real terms by 2014/15. This includes the impact of the deferred cut for 2010/11 referred to in 4.3 above. The impact of this 14% real terms reduction over the next 3 financial years 2011-14 is weighted towards the early years and in cash terms the reduction is estimated as follows:

2011/12	4%
2012/13	1.7%
2013/14	1.7%

4.5 The above assumptions are for the aggregate Scottish DEL and make no judgement on how the total may be allocated at either departmental or budget line. A key issue is the extent to which the NHS budget (or health spending in general) in Scotland will be protected by the Scottish Government when allocating resources for 2011-2014. The actual impact on local government as a whole will not be known until the Scottish Budget is announced in October 2010 and on the City Council in particular until December 2010. In the meantime the Director of Finance has projected the impact for the City Council based on the aggregate estimated reductions.

4.6 The projected Revenue Budgets for 2011-2014 have also been adjusted to reflect current and future spending pressures in Social Work and Education, which have been identified after the Final Revenue Budget for 2010/11 was approved in February 2010. Taken together with the assumptions on Government Grant reductions, the estimated savings requirements for 2011-2014 are now projected as follows:

	£m
2011/12	20.240
2012/13	9.910
2013/14	9.175

A summary of the Revenue Budget projections for the financial years 2011/12 to 2013/14 are shown in Appendix A

- 4.7 It should be noted that these projections are not based on the worst case scenario. Should the Scottish Government decide to protect the Health budget, then the impact on other Departments, including local government is likely to be more severe, and the level of savings required by the City Council could be greater

5. CHANGING FOR THE FUTURE

- 5.1 During the past four months the Council's Management Team has been developing a long term strategy to address the difficult financial environment that the City Council and all other public sector service providers will be operating in for the foreseeable future.

- 5.2 The strategy has been developed on the basis of 4 discrete workstreams being:

Voluntary Early Retirement/Voluntary Redundancy Scheme

Departmental savings submissions of 5%

Corporate Improvement Programme (approved by the Policy and Resources Committee on 26 April 2010)

Tayside Collaborative Opportunities programme with the other Tayside Councils

- 5.3 The Management Team has been working on a plan to consolidate the 4 workstreams into a single programme and has also identified that the previous methods of identifying budget savings that have worked successfully for the Council in the past will not be sufficient to meet the financial challenges now facing the Council.

- 5.4 The outcome of the Management Team's work on the aforementioned four workstreams enabled the creation of a single programme entitled Changing for the Future, which in itself has the following four main sub-programmes:

Service Prioritisation

Reshaping the Service Delivery Model

Assets

Enabling the Change

A schedule detailing the individual projects that make up the Changing for the Future programme is enclosed at Appendix B

5.4.1 Service Prioritisation

This sub-programme is critical to the delivery of the entire programme, and is scheduled to be completed by the end of August 2010. Chief Officers are compiling comprehensive lists of their departmental services, assessing each service to determine to what degree it is core or non-core to the priorities of the Council, and forming an initial view of the level of service that needs to be provided over the medium term.

5.4.2. Reshaping the Service Delivery Model

Following on from the Service Prioritisation sub-programme and the identification of core and non core services, it is then important that the service delivery model for the Council and each of the services therein, is redesigned to provide our services in the most productive and effective way. There are three key projects within this sub-programme namely:

Agreeing the best core operating mode for each service and sub-service, including the reform and redesign of support services and the pooling of corporate functions.

Consideration and development of alternative service delivery options, including shared services, arms length companies, commissioning and outsourcing.

Review of the Council's overall management and organisational structure.

This sub-programme is scheduled to be mainly delivered during the remainder of the calendar year 2010, however there will be some elements of this programme that may not be fully developed in time for savings to be included in the 2011/12 Revenue Budget.

5.4.3 Assets

This sub-programme is the development of a corporate wide asset and infrastructure strategy, and includes the optimum organisation of all Council staff whose focus is on assets of any type. Assets include property, fleet, land and open space, etc and will be now be considered as corporate assets, moving away from the current departmental management of assets. This sub-programme will be developed between June 2010 and March 2011, with potential savings and efficiencies identified and included in the 2011/12 and 2012/13 Revenue Budgets.

5.4.4 Enabling the Change

This sub-programme will look at the corporate wide changes that will support the new service delivery models identified through the Reshaping the Service Delivery Model sub-programme (Para 5.4.2). This sub-programme includes projects such as workforce planning, mobile and flexible working, electronic document management, voluntary early retirement/voluntary redundancy scheme and a review of staff terms and conditions. This sub-programme will be developed between June 2010 and March 2011, with potential savings and efficiencies identified and included in the 2011/12 and 2012/13 Revenue Budgets.

5.5 The only element of the original 4 workstreams not included within the Changing for the Future programme is the 5% savings proposals submitted by each Department, which is planned, will be actively considered during the Autumn of 2010. However, due to the inevitable interrelationship between these two programmes it is essential they are governed and managed in a co-ordinated manner. Any savings identified by Departments and requiring a change in policy will be considered by the appropriate Committee, and if possible will be introduced during 2010/11, thus assisting with meeting any spending pressures in the current financial year along with assisting towards the significant savings requirements in 2011/12 and later years.

6. GOVERNANCE AND RESOURCES

- 6.1 The overall governance and management of the Changing for the Future programme and the Revenue Budget savings exercise is critical, if the Council is going to deliver balanced budgets in the financial years 2011/12 to 2013/14 inclusive.

Historically, budgetary exercises within the Council have generally been within the remit of the Administration Group with budget savings being exchanged between the respective Party groupings one week before to the Budget Setting meeting in mid February. Although substantial savings have been made in almost every year since the Council's formation in 1996, the level of savings required in the current and projected financial environment are unprecedented and requires a new approach to budgetary decision making that will involve consensus, cooperation and openness between all elected members and the senior officers of the Council.

In order to achieve this new approach, it is proposed that a Changing for the Future Board is established to oversee and guide the Changing for the Future programme and the Revenue Budget process with membership as follows:

Chief Executive (Chair)
Director of Finance
Leader of Administration
Depute Leader of Administration
Administration Finance Spokesperson
Leader of Labour Group
Leader of Conservative Group
Leader of Liberal Democrat Group
Lord Provost John Letford
Depute Lord Provost Ian Borthwick

- 6.2 The Board would meet on a private and confidential basis in order to allow discussion and analysis of information and formulate strategic proposals. Meetings would be held monthly and would ensure that the Changing for the Future programme and Revenue Budget savings are delivered. The establishment of the Group does not take away the role or powers of the Council and Committees and all policy reports emanating from the programme and Revenue Budget savings will be taken to the appropriate Committee for their consideration and determination.
- 6.3 The members of the City Council's Strategic Management Team will each be assigned sponsorship roles for programmes, sub-programmes and projects and the Team will collectively assist with the management of the programme.
- 6.4 The Policy & Resources Committee of 26 April 2010 approved Report 182-2010 which included the creation of a Corporate Improvement Team, headed up by the Corporate Improvement Manager. The Strategic Management Team will be the driving forces in taking forward the Changing for the Future programme, supported by the Corporate Improvement Team, the entire staffing resources of which will be devoted to the delivery of the Changing for the Future programme.

7.0 POLICY IMPLICATIONS

- 7.1 This report has been screened for any policy implications in respect of sustainability, strategic environmental assessment, anti-poverty, equality impact assessment and risk management. There are no major issues.

An equality impact assessment has been carried out and will be made available on the Council website <http://www.dundee.gov.uk/equanddiv/equimpact/>.

8.0 CONSULTATIONS

- 8.1 The Depute Chief Executive, Director of Finance and Assistant Chief Executive have been consulted in the preparation of this report.

9.0 BACKGROUND PAPERS

Equality impact assessment

DAVID K. DORWARD
CHIEF EXECUTIVE

13 August 2010

APPENDIX A

DUNDEE CITY COUNCIL

REVENUE BUDGET PROJECTION 2011-2014

	<u>2011/12</u> <u>£000</u>	<u>2012/13</u> <u>£000</u>	<u>2013/14</u> <u>£000</u>
Revised Provisional Revenue Budget	367,362	371,054	375,394
<u>Less:</u> General Revenue Funding	(289,300)	(284,382)	(279,547)
Use of Balances	<u>(1,300)</u>	<u>0</u>	<u>0</u>
Amount to be Met From Council Tax	76,762	86,672	95,847
Amount to be Met from Council Tax for Balanced Budget	<u>56,522</u>	<u>56,522</u>	<u>56,522</u>
Savings and Efficiencies Required to Achieve Balanced Budget	20,240	30,150	39,325
<u>Less:</u> Previous Years Savings and Efficiencies	<u>0</u>	<u>(20,240)</u>	<u>(30,150)</u>
Revised Savings and Efficiencies Required to Achieve Balanced Budget	<u>20,240</u>	<u>9,910</u>	<u>9,175</u>

APPENDIX B

Project NO	Programme	Project Name	Project Description	Project Sponsor	Start Date	End Date
1	Service Prioritisation	Service Prioritisation	Compiling the comprehensive list of services, by department and assessing each service to determine whether it is core to the priorities of the Council or not.	Chris Ward	Jun-10	30/08/10
2	Reshaping Service Delivery Models	Organisational Restructure	Re-design the departmental organisational structure to improve both the effectiveness and efficiency of service delivery	David Dorward	Jun-10	31/10/10
3		Operating Model Re-design	Determine the most appropriate operating models for the Council, particularly focusing on common functions that are currently provided by a number of Departments	Patricia McIlquham	Jul-10	30/09/10
4		Alternative Service Delivery Models	To determine for services/activities whether an alternative delivery model would achieve better VFM	Patricia McIlquham	Jun-10	30/09/10
5		Review of Social Work Service Delivery Model	Review and consider all opportunities to improve service delivery model	Alan Baird	Jun-10	30/10/10
6		Review of Education Service Delivery Model	Review and consider all opportunities to improve service delivery model	Jim Collins	Jun-10	31/10/10
7		Review of Leisure & Communities Service Delivery Model	Review and consider all opportunities to improve service delivery model	Stewart Murdoch	Jun-10	31/10/10
8		Review of Dundee Contract Services Service Delivery Model	Review and consider all opportunities to improve service delivery models	Ken Laing	Aug-10	31/10/10
9		Review of Housing Services - a) Sheltered Wardens and b) Out Of Hours Demand	Review service provision in these 2 particular areas to ensure it meets current needs and is VFM	Elaine Zwirlein	a) 01/06/10 b) 01/06/10	a) 31/12/10 b) 31/03/11
10		Review Welfare Rights	Consider how a city wide provision of this service is best achieved	Chris Ward	Aug-10	30/11/10
11		Review of Car Parking Services	Review and consider all opportunities to improve service delivery model	Mike Galloway	Jun-10	31/03/11
12		Review of Corporate Maintenance of Land	Consider how to move from departmental servicing of land to corporate maintenance based on geographical area e.g. cut grass, litter pick, remove graffiti, serve fixed penalty notices for dog fouling, smoking etc.	Patricia McIlquham	Aug-10	31/12/10
13		Review of Ground Maintenance	Review and consider all opportunities to improve service delivery models	Stewart Murdoch	Aug-10	31/10/10
14		Review of Procurement	Ensure all depts roll out the corporate procurement strategy and review how the Council procures goods & services to realise further efficiencies. Consider a more centralised function.	Marjory Stewart	2009	31/03/11
15		Review of Architect & Engineer Fees	Review to ensure simplification of charges and their administration	Marjory Stewart	Jul-10	31/10/10

Project NO	Programme	Project Name	Project Description	Project Sponsor	Start Date	End Date
16		Charging Review	Corporate review of charges, benchmarked against the charging strategy across other local authorities	Marjory Stewart	Jul-10	30/11/10
17		Review of Internal Charging Systems	Review of procedures for charging of internal services to ensure efficient and effective processes	Marjory Stewart	Jul-10	31/10/10
18		Discretionary Expenditure Review	Corporate review of discretionary expenditure - mobile phone bills, conferences, training, etc	Marjory Stewart	Jul-10	30/10/10
19		Review of Payroll	Ensure all depts utilise the payroll system efficiently and effectively. Review how depts administer payroll functions and consider whether centralisation would be better VFM	Marjory Stewart	Jul-10	31/03/11
20		Enhancement of Web Based Client Services	Enable the public to do more on-line and reduce staffing costs	Patricia Mcllquham	2009	31/03/12
21		IP Telephony	Transfer of phones to internet to reduce costs	Patricia Mcllquham	Aug-10	31/03/11
22		Implementation of CeRDMS	Corporate scanning and workflow mgt system	Mike Galloway	2009	31/03/12
23		Support of Lean Service Reviews	Support departments in continuing Lean Service reviews	Chris Ward	2009	31/03/12
24		Review of Shared Services - Perth & Angus	Consider collaborative working with other Councils as opportunities arise	David Dorward	Mar-10	31/12/10
25	Assets	Corporate Asset Strategy	Develop a detailed plan for the assets owned by the Council and how they will be managed	Mike Galloway	Jul-10	30/11/10
26		Fleet Strategy & Integration of Fleet Mgt	a) Develop a detailed plan for the fleet owned by the Council b) Look at cost saving opportunities when considering the entirety of the council's transport requirements and removal duplication of activities spread across departments	Ken Laing	01/07/10 01/08/10	30/11/10 31/03/11
27		Review & Integration of Property Mgt	Similar to the Fleet Mgt (project 26) - look at all property related matters as an entirety and remove duplication of activities.	Mike Galloway	Jul-10	31/03/11
28		Review of Footpaths and Carriageways	Review how best to provide this service into the future	Mike Galloway	Nov-10	31/03/11
29	Enabling The Change	Voluntary Early Retirement / Redundancy	To address the planning & delivery of changes to the workforce to support wider programme changes & cost reduction targets	Marjory Stewart	May-10	31/10/10
30		Review of Terms and Conditions	Standardise and simplify Council employees Terms & Conditions	Alan Baird	Jul-10	31/12/10
31		Mobile / Flexible / Home Working	Equipping staff to work from home or away from a fixed office e.g. any DCC location	Alan Baird	Jul-10	17/12/10
32		Review Workforce Management	Review of workforce plan due to early retirement scheme, vacancy management, new service delivery models, etc	Alan Baird	Jul-10	31/12/10
33		Review of Staff Travel	Review arrangements in relation lease car / car pool to ensure VFM	Mike Galloway	Nov-10	31/03/11

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23 AUGUST 2010

REPORT ON: SHARED RISK ASSESSMENT ASSURANCE AND IMPROVEMENT PLAN

REPORT BY: DIRECTOR OF FINANCE

REPORT NO: 410-2010

1 PURPOSE OF REPORT

To provide elected members with a summary of the Shared Risk Assessment Assurance and Improvement Plan that was recently prepared by Audit Scotland on behalf of the various regulatory bodies responsible for scrutinising the services provided by the Council.

2 RECOMMENDATIONS

It is recommended that elected members note the information contained within this report and in the attached Assurance and Improvement Plan.

3 FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

4 MAIN TEXT

4.1 The Assurance and Improvement Plan sets out the programme of work that is planned to be undertaken by the scrutiny bodies during the period from April 2010 to March 2013. It is the intention that the overall level of scrutiny activity undertaken is proportionate to the level of risk being assessed. The process has therefore been informed through a shared risk assessment that was undertaken by Audit Scotland. This evaluation includes the Council's response to addressing the risks identified. The results of the overall assessment are outlined in Appendix 1 and 2 of the report. A summary of the agreed programme of work that details all planned scrutiny activity at both a corporate and service level is also included in Appendix 3.

4.2 The Assurance and Improvement Plan is the product of a collaborative approach adopted by the following scrutiny bodies that are responsible for reviewing services provided by the Council:

- Audit Scotland
- Care Commission
- HM Inspectorate of Education (HMIE)
- Scottish Housing Regulator (SHR)
- Social Work Inspection Agency (SWIA)

Through working together and sharing knowledge, expertise and information, this approach aims to maximise the efficiency and effectiveness of external scrutiny arrangements and minimise the impact that scrutiny activity has on the Council.

4.3 The Assurance and Improvement Plan is divided into the following areas:

Introduction

The introduction provides a general background to the work undertaken by Audit Scotland including an outline of the plans, objectives and approach taken. This section also summarises the various sources of information that have been referred to during preparation of the plan.

Summary

This section summarises the findings of the review and details the planned scrutiny activity that will be undertaken including:

- scrutiny work planned in response to specific risks that have been identified
- ongoing scrutiny activity that is being undertaken at a local level
- work that is targeted as being required as part of national scrutiny arrangements

The Council's Context

This section sets out the key social, demographic and financial statistics and information for the City of Dundee.

Performance Assessment

This section details the results of the performance assessment of whether the Council is delivering targeted outcomes for its communities. This evaluation considered a review of relevant performance measures including Single Outcome Agreement performance reports, statutory performance indicators, key performance indicators and other inspections or audit reports that have recently been carried out. The results summarise the evidence considered by Audit Scotland, their overall risk assessment along with the Council's response which are outlined in Appendix 1. It is pleasing to note there are no areas where any significant concerns or risks have been identified. This section also highlights the implications for scrutiny activity planned in these areas.

Corporate Assessment

This section summarises the results of the assessment of corporate performance arrangements the Council has in place including improvement plans for Asset Management, Human Resources and procedures in place to ensure good governance and accountability etc. The results of this risk assessment are summarised in Appendix 2, including details of the evidence considered, overall risk assessment along with the Council's response. There are three areas Audit Scotland have identified as significant concerns, however, progress in these areas has been made by the Council since the Assurance & Improvement Plan was issued. Further details on these specific areas together with details of the recent actions taken to address these issues are provided in paragraph 4.4 below. This section also highlights the implications for planned scrutiny activity in these areas which will include a review of the Council's progress in implementing the improvement action plans agreed following the recent BV2 Audit and measuring the impact these actions have made so far.

Conclusion

The shared risk assessment referred to above was designed to ensure the level of external scrutiny activity is proportionate to the assessed risk. The results of this evaluation have been reflected in the Assurance and Improvement Plan, which is detailed in Appendix 3. The plan is a three year rolling programme and the activities that will be undertaken during 2010 include:

- SHR Progress report and Scottish Housing Quality Standard Survey (September)
- Initial Scrutiny Level Assessment by the SWIA (November)
- HMIE joint follow-through inspection of services to protect children (November)
- Fostering and Adoption inspections by the Care Commission (December)

Details of further inspections planned during 2011 to 2012 are included Appendix 3.

- 4.4 As detailed above, the Corporate Assessment undertaken by Audit Scotland identified three areas as significant concerns that required to be addressed by the Council. Details of these specific areas together with the recent actions taken to address these issues are provided below:

Governance and Accountability

It was noted that elected member scrutiny of decision making and performance requires to be improved and that a wide-ranging review of current arrangements was planned. On 28 June 2010, the City Council agreed a review of scrutiny arrangements for Council Services. This review set out a number of recommendations including revising the Terms of Reference for the Scrutiny Committee and operating arrangements for both Scrutiny Committee and Scrutiny Panels. For further details on the various changes agreed please refer to report 370-2010.

Challenge and Improvement

The Corporate Assessment noted specific concerns regarding the Council's ability to challenge performance and seek improvements. This included that the Council had been generally cautious about the extent of change and therefore progress in some areas has been too slow. In addition, it was noted that progress on a programme of lean service reviews has been limited to specific areas of service delivery and not identified from any corporate assessment of performance. The Policy & Resources Committee approved a Corporate Improvement Programme on 26 April 2010. The aim of this programme is to modernise the way the services are provided through introducing a variety of significant changes in the manner in which the Council operates. The areas on which these changes are focused include improved working practices, refocused corporate training and self evaluation, allied with the implementation of a Corporate Improvement Programme. The Corporate Improvement Team will be responsible for the completing the planned programme of lean service reviews, whilst these reviews will be initially be related to specific services, the aim is to encourage departments to embed lean service principles across all areas of service delivery. For further details on the various changes agreed please refer to report 182-2010.

Equalities

It was noted that the Council has made relatively slow progress in eliminating discrimination and promoting equalities. These concerns included that a more effective approach to Equalities Impact assessments were required. Revised procedures and guidance on Equalities Impact assessments were recently agreed by the Council's Management Team on 28 July 2010. This guidance includes the provision of equality assessment tools for identifying the impact new policies and procedures may have. The Council's dedicated webpage www.dundee.gov.uk/equanddiv/ provides further guidance and policies on equalities and diversity.

5 **POLICY IMPLICATIONS**

This report has been screened for any policy implications in respect of sustainability, Strategic Environmental Assessment, Anti-Poverty and Equality Impact Assessment and Risk Management.

There are no major issues. It is noted above in paragraph 4.4, that revised procedures and guidelines have been agreed for Equality Impact Assessments.

6 **CONSULTATIONS**

The Chief Executive and Depute Chief Executive (Support Services) have been consulted on the content of this report.

7 **BACKGROUND PAPERS**

None.

MARJORY M STEWART
DIRECTOR OF FINANCE

DATE: 13 AUGUST 2010

Dundee City Council

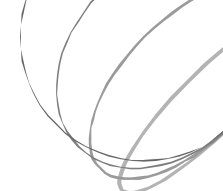
Shared Risk Assessment Assurance and Improvement Plan



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Introduction



The Assurance and Improvement Plan

1. The Assurance and Improvement Plan (AIP) sets out the planned scrutiny activity for Dundee City Council for the period from April 2010 to March 2013. It sets out the basis of our risk assessment of the council and the scrutiny response. The scrutiny activity is proportionate based on the assessed risks.
2. This AIP is the product of a collaborative approach adopted by the following scrutiny bodies operating in Dundee City Council:
 - Audit Scotland
 - Care Commission
 - HM Inspectorate of Education (HMIE)
 - Scottish Housing Regulator (SHR)
 - Social Work Inspection Agency (SWIA).

Why have we prepared this AIP?

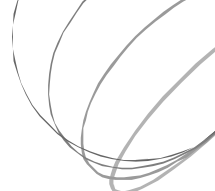
3. The overall objectives of this collaborative approach are to maximise the efficiency and effectiveness of scrutiny work and minimise the impact of scrutiny activity on the council. This will be achieved by:
 - jointly identifying and monitoring key scrutiny risks through the sharing of intelligence and information
 - coordinating the timing and approach of our audit, inspection, regulation and improvement support activity
 - drawing on, and taking account of each other's work to avoid duplication of effort; and
 - building on each other's work to maximise its value.
4. The AIP draws on a number of sources of information, including
 - the Best Value 2 pathfinder audit in Dundee City Council (March 2010)
 - reports and data from HMIE, SWIA, SHR and the Care Commission (including published inspection reports and other supporting evidence)
 - the annual audit report to the Controller of Audit and elected members for 2008/09
 - the council's monitoring reports on the Single Outcome Agreement
 - local and statutory performance indicators.

What do we mean by scrutiny risk assessment?

5. All local government scrutiny bodies have agreed the definition of shared risk assessment as:

'A joint approach using key information about local government to plan scrutiny activity that is proportionate and based on risk'

6. In assessing risk we consider the scale or impact/seriousness of an issue and the likelihood of its occurrence. A serious issue, well managed by the council may not represent a high risk. We also identify areas of uncertainty where insufficient evidence is available to make a judgement, where the evidence is unclear or where the impact of any action taken by a council to address an area of concern is unclear.
7. Serious concerns identified through the shared risk assessment may include areas where the available evidence indicates that:
 - performance is poor, slipping or not improving
 - service or outcome standards are unacceptable
 - improvement is not on track to achieve a target
 - locally agreed priorities do not reflect evident and pressing need
 - insufficient account is being taken of inequality
 - insufficient account is being taken of people whose circumstances make them vulnerable or who are at risk of avoidable harm
 - there are question marks about the sustainability of current performance or the achievement of improvements
 - processes to support continuous improvement are not well established or are ineffective.
8. We recognise that risk levels will change as significant events occur and as councils take action to address identified risks. Scrutiny bodies, through local area network contacts, will maintain awareness of activity, including unit level inspection. As new information comes to light the LAN lead, in consultation with other LAN members will update the AIP as appropriate. LAN members will draw any significant matters to the attention of the LAN lead as they arise. The LAN lead will determine what action should be taken in terms of initiating contact with other LAN members.
9. The council is expected to initiate contact with the LAN lead where significant events occur that are likely to influence scrutiny activity. Councils are encouraged to maintain contact with LAN leads to discuss any concerns arising from the AIP or any joint scrutiny activity.



What does proportionate scrutiny mean?

10. When considering the appropriate level of scrutiny activity for each council we consider the following points to ensure that it is proportionate:
 - is scrutiny activity the best driver for improvement?
 - if so, how can we tailor that activity to the areas where it will have the most impact?
 - how can we tailor that activity in terms of its frequency, intensity and scope?
 - what is the minimum level of scrutiny required to provide assurance to the public?
 - how can we work together to minimise the impact of the scrutiny activity on the council?

Baseline scrutiny activity

11. The focus of the AIP is strategic scrutiny activity, that is scrutiny activity which is focused at corporate or whole service level. There will also be baseline scrutiny activity at establishment level throughout the period of the AIP; for example, school and residential home inspections. Scrutiny bodies also reserve the right to make unannounced scrutiny visits. These will generally be made in relation to care services for vulnerable client groups.
12. The annual audit of local government also comprises part of the baseline activity for all councils and this includes work necessary to complete the audit of housing benefit and council tax benefit arrangements. In addition, other work may be undertaken as a result of a specific Ministerial request or existing statutory requirements.

Status of the AIP

13. The status of the AIP remains draft until the National Scrutiny Round Table and/or the Local Government Scrutiny Co-ordination Strategic Group has approved the AIPs for each council. The role of the national round table is to ensure that councils are treated equitably in terms of the assessment of risk and the proportionality of the scrutiny response. The national round table will also ensure that available scrutiny resources are appropriately targeted to areas of greatest risk.


Publication

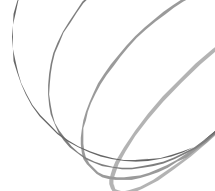
14. Once agreed, the AIP is a public document and councils are expected to consider the AIP at an appropriate committee and/or at full council level. Our intention is to publish the national scrutiny schedule and the AIPs for all 32 councils on the Accounts Commission scrutiny web page.

Summary

In a period of modest rises in its resources there has been a general improvement in the performance of Dundee City Council over the past five years. The council and its partners have strong working relationships and are making progress against many of their objectives for the city. The council is aware of where it needs to improve its performance and ways of working, but progress in some areas has been too slow. The council has a reasonable level of self-awareness and improvement plans are in place, or being introduced, to address a number of specific concerns identified by recent scrutiny activity. However there remains some uncertainty about the implementation and impact of improvement actions and the capacity of the council to drive through significant improvement and change against a backdrop of public sector spending constraint.

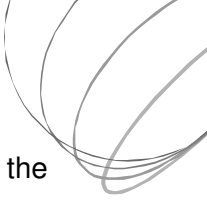
As a result the level of scrutiny activity is designed to better understand how well the council is doing in identified areas of uncertainty and to establish the effectiveness of its actions in known areas of concern. This scrutiny activity will be targeted in those areas assessed as highest risk and these are set out in the remainder of this AIP. The AIP gives an overview of the information that informed the risk assessment and shows how this links to the proposed scrutiny response.

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15. The shared risk assessment is designed to ensure that corporate scrutiny activity is proportionate and focused on risks. It also helps to identify areas of collaborative working between scrutiny bodies, helping to reduce overall scrutiny levels by removing potential areas of duplication and by creating the conditions for more innovative, joined up scrutiny arrangements.
 16. Dundee is Scotland's fourth largest city. After a period of decline the area's population is now showing signs of stabilising. However, there are high levels of deprivation and health and social inequality. Unemployment is above the national average and rising. The council and its partners have a clear and ambitious vision for tackling these issues and are making progress against many of their objectives for the city. This approach is underpinned by a good understanding of the needs and concerns of local people.
 17. There are strong relationships among partner organisations in Dundee, with many examples of joint working on projects having a positive impact on the quality of the services delivered. However, partnership working at a strategic level requires to be strengthened.
 18. Within the context of the city and its relatively high levels of deprivation there has been a general improvement in service performance over the past five years. However, this improvement has not been consistent in all services with significant concerns raised about housing and services to protect children. The council has reported progress in addressing these issues but the impact remains uncertain at this early stage.
 19. Member scrutiny of decision making and performance needs to improve. The council is generally aware of where it needs to improve its ways of working and has implemented some improvements. However, much of the improvement that has been made has been in response to external pressure (such as inspection). In some important areas where the council has identified a longstanding need to improve its arrangements there has been insufficient commitment or capacity and the pace of change has been too slow.
 20. The council has managed its resources prudently over recent years and has made some efficiency savings. However, the existing incremental approach will not be sufficient to meet the significant challenges that lie ahead for public sector services. In recognition of this the Council has recently approved a Corporate Improvement Plan to increase and expand the level of change management through improved working practices, refocused corporate training and self evaluation. It is intended that this will play a significant role in the delivery of the projected £30m of savings required over the period 2010/11 to 2013/14.

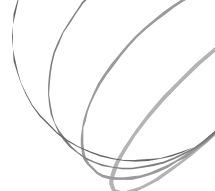


21. The Local Area Network (LAN) has planned scrutiny activity to consider significant risk areas incorporating some collaborative working between the scrutiny bodies. A summary of planned scrutiny activity over the three year period 2010-2013 - including specific scrutiny work identified for Dundee City Council, ongoing local baseline activity and baseline activity being undertaken as part of national scrutiny programmes - is presented in the table below.

Summary of planned scrutiny activity 2010/13	
Specific work	<p>Specific scrutiny exercises to be undertaken in response to identified risks will include:</p> <ul style="list-style-type: none"> • 2010/11 – SHR verifying progress against housing improvement plan. • 2010/11 – HMIE Protection of Children and Young People – follow-up. • 2010/11 – HMIE request an update report on attainment levels and on the impact of strategies to support those requiring More Chances More Choices. • 2010/11 – Initial Scrutiny Level Assessment by SWIA, which will be used to inform the scrutiny plan for 2011/2012. • 2010/11 – 2012/13 – annual review of progress of implementation and impact of change programme and BV improvement plan by Audit Scotland. • 2011/12 – SHR follow-up of housing management and asset management.
Ongoing work	<p>Baseline scrutiny activity being undertaken locally will include:</p> <ul style="list-style-type: none"> • inspection of education and care establishments by the Care Commission and HMIE. • monitoring of performance and risk through link inspector contact by HMIE and SWIA. • annual audit of accounts, governance and accountability, and financial position by Audit Scotland. • ongoing monitoring of emerging risks to inform future risks assessment and scrutiny plans by all members of the LAN.
National work	<p>Baseline scrutiny activity being undertaken as part of national scrutiny programmes targeted at priority risk areas will include:</p> <ul style="list-style-type: none"> • 2010/11 – review of council update on progress on meeting Scottish Housing Quality Standard by SHR. • 2010/11 – 2011/12 – annual reviews of fostering and adoption services by the Care Commission. • 2011/12 - joint inspection of services to protect children and young people (CP2).

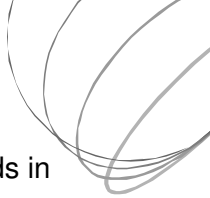
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22. The council has recently been subject to reviews by Audit Scotland (BV2), HMIE and the SHR. This has helped to identify any specific areas of concern and the council is working to implement improvement plans to address these. In 2010/11 corporate level scrutiny will include SHR follow-up work in Housing and Asset Management, a joint interim follow through inspection of services to protect children led by HMIE, and a SWIA initial scrutiny level assessment (ISLA). The annual audit will monitor the council's development of its corporate improvement plans and the implementation of the key aspects of these highlighted in the recent BV2 pathfinder audit, assessing their overall impact over the next three years.
23. Collaborative working will be undertaken in 2011/12 linking the outcomes from SWIA's ISLA, HMIE's Child Protection (CP2) and the Care Commission's Fostering and Adoption inspections.
24. National risk priorities have been identified by the Scottish Government and these are reflected in the shared risk assessments for all councils. Planned scrutiny work will address the national scrutiny priorities as follows:
- baseline service inspection programmes will examine the effectiveness of arrangements for protection, welfare and access to opportunities for vulnerable groups. These will be augmented by targeted follow-up of concerns previously identified in child protection and housing.
 - local auditor follow-up work will examine the progress and impact of improvement actions arising from the recent BV2 audit intended to assist the council in securing best value and ensuring public money is being spent properly. Baseline annual audit activity will also keep the stewardship, propriety and governance of public resources under review.
 - the impact of the recession and the associated pressure on the council's finances will be kept under review through the baseline annual audit and will inform future LAN considerations.

The Council's Context

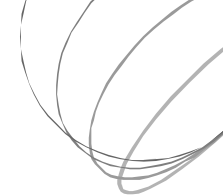


Dundee is Scotland's fourth largest city. The area has a declining population and high levels of deprivation and health and social inequality. Unemployment is above the national average and rising. The city is transforming itself into a knowledge based economy. However the ultimate impact of the recession on the city's transformation is unclear.

25. Dundee is the smallest council area in Scotland, with the city boundaries covering only 26 square miles. This helps to give council officers and members a strong sense of identity and purpose.
26. Dundee is Scotland's fourth largest city with 142,000 people living there, but there are around 300,000 people within a 30-minute drive, including 20,000 who commute into the city to work. Compared to the Scottish average there are more people aged 15 - 29 living in the city. Population projections indicate that the population, although currently stable, will decrease by 9.2% by 2031. The increase in people of pensionable age is projected to be significantly less than the Scottish average. At the same time, the populations of children and people of working age are projected to decrease by a greater proportion than the Scottish average.
27. Dundee faces significant challenges of deprivation and health and social inequality. Over the past three decades, with the loss of its traditional manufacturing industries, the economy of Dundee has largely been in decline. Unemployment amongst the working age population is well above the Scottish average, and more than one in five are claiming benefits. Almost one in three of its population live in areas of high deprivation, the third highest proportion in Scotland.
28. Life expectancy in the most deprived areas of Dundee is around 10 years below the national average, and the city has high levels of alcohol-related deaths, problematic drug users, teenage pregnancies, and mothers smoking in pregnancy. Educational attainment has been amongst the lowest in Scotland.
29. Compared with Scotland on average, renting from a social or a private landlord is more prevalent in Dundee. By contrast home ownership is less common. Just over half (53.62%) of the population own their property, while 34.68% rent from a social landlord (the council, a housing association or other registered social landlord) and just under 12% rent from a private landlord. Housing prices are lower in Dundee than the Scottish average.

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30. Car ownership is less prevalent in Dundee than Scotland as a whole. 53% of households in Dundee have access to at least one car, compared to 70% in Scotland. The majority (67%) of people travel to work by car (2% below the Scottish average). In Dundee, 8.9% of driver journeys were delayed due to traffic congestion, lower than the Scottish average of 12.82%.
 31. Dundee is undergoing significant change in the face of these issues. It is transforming itself into a knowledge-based economy, with growth in further education and in science, technology and retail employment. The physical condition of key parts of the city has been much improved and the Waterfront redevelopment is also aiming to transform the image of the city.
 32. The city faces further challenges in the short to medium term. The current recession in the UK economy poses a threat to the economic momentum of the city, increasing risk of deepening social and health inequalities. It will also lead to a reduction in public sector resources.
 33. Internally, the council is also undergoing a significant transition in its leadership. After many years of a Labour and Liberal Democrat administration, a minority SNP administration took power in April 2009. In October 2009, a new Chief Executive was appointed following the retirement of the previous post holder, who had been in the role since the council was created in 1995.
 34. Following the May 2007 elections there was a streamlining of the council's committee structure reducing the number of committees from 13 to seven. All members continue to serve on all committees.
 35. In 2008/09 the council spent approximately £641 million on the provision of public services, £595 million on revenue costs and the remainder on capital projects. Income for the year from central government, local taxation and other sources amounted to £508 million. The council has adopted a prudent approach to managing its finances in the past and there is no history of overspends.
 36. The general fund decreased by £1.1 million during the year to a balance of £7.4 million which equates to 1.8% of the council's annual net operating expenditure. Of this balance £4.3 million is unallocated. This exceeds the minimum level of £2.1 million agreed by the council in February 2008 to cope with unforeseen events. A revenue budget monitoring report presented to the Policy and Resources Committee in March 2010 projected an overspend of £168k for 2009/10.

Self-evaluation



The council's approach to self-evaluation remains at a relatively early stage of maturity. It is not yet able to present a coherent picture of how well it is delivering overall on its strategic objectives or clearly articulate the impact the council and its partners are having in priority outcome areas. It reviews the way it does things and there is some evidence these reviews lead to proposals for change but systematic option appraisal is not well embedded.

37. The council considers the way it does things using a wide range of review processes. These have included best value service reviews, reviews arising from the application of the Improvement Service's efficiency diagnostic and "lean service" process reviews. Further review activity is incorporated into the council's corporate plan. There is evidence that these reviews lead to proposals for change to the way things are done but systematic option appraisal is not well embedded. The number of separate reviews also suggests that scrutiny activity is not well coordinated.
38. The council has also made use of the European Foundation Quality Model (EFQM) since 1998 to support some of its self evaluation activity. All departments have carried out EFQM self-assessments and in some areas application of the model is well developed. The Social Work department recently received an Excellence (bronze) award from EFQM. EFQM has also been used at corporate level, most recently in 2007 as part of the process for the developing the Council Plan. There is evidence that this has helped identify areas for improvement.
39. The first Best Value report on Dundee City Council highlighted elected member scrutiny and a lack of challenge as areas for improvement. The BV2 report highlighted that much of the successful improvement activity in recent years had been in response to external stimulus and that the critical findings of the recent SHR and HMIE inspections had come as a surprise to elected members. The report concluded that insufficient progress had been made in improving elected member scrutiny and challenge.
40. The council also operates an online performance monitoring database that it uses to report on performance at a number of levels. The system is now well established, and the council has made a step change in improving its performance management arrangements.

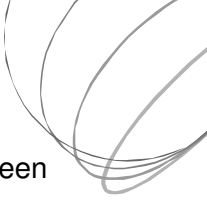
Delivering outcomes for communities

The council and its partners are making progress against many of their objectives for the city. There have been significant reductions in crime levels and progress has been made across a wide range of measures, covering the local economy, wellbeing and education. There is some uncertainty about the impact of the recession on targets and there are still gaps in the available monitoring information. The performance of council services has risen overall during a period of a modest real terms rise in the resources applied each year. Although, not all key services have been performing well, the council is making progress in implementing improvement plans in relation to child protection and housing.

Council planning and approach

41. The council and its partners have established a clear vision for Dundee. Their key objectives reflect the underlying issues that need to be addressed in the city and are reflected in the themes and 11 desired outcomes within Dundee Partnership's current Single Outcome Agreement (SOA), summarised in below. The main challenges relate to tackling the interwoven issues of unemployment, social inequality, deprivation and health.

Dundee Partnership: Strategic themes and outcomes	
Learning and culture	<ul style="list-style-type: none"> • Our people will be better educated and skilled within a knowledge economy renowned for research, innovation and culture.
Children and young people	<ul style="list-style-type: none"> • Our children will be safe, nurtured, healthy, achieving, active, respected, responsible and included.
Health and wellbeing	<ul style="list-style-type: none"> • Our people will experience fewer health inequalities • Our people will have improved physical and mental well being • Our people will receive effective care when they need it.
Work and enterprise	<ul style="list-style-type: none"> • Dundee will be a regional centre with better job opportunities and increased employability for our people.
Community safety	<ul style="list-style-type: none"> • Our communities will be safe and feel safe.
Building stronger communities	<ul style="list-style-type: none"> • Our people will experience fewer social inequalities • Our people will live in stable, attractive and popular neighbourhoods • Our people will have high quality and accessible local services and facilities.
Dundee environment	<ul style="list-style-type: none"> • Dundee will have a sustainable environment and environmental justice.

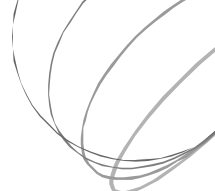
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42. The aims set out in the SOA are consistent with those previously agreed between partners. They have agreed that it will be the key strategic document that underpins each of their own plans. It is focused on a manageable and meaningful number of high-level outcomes and supporting indicators, clearly linked to the Scottish Government's strategic objectives and national outcomes, and to the strategic objectives in the existing Council Plan.
43. The links between the SOA and the council's current operational plans are less clear. The council has recognised the need to establish a clearer connection between service plans and the themes of the SOA, community plan, Council Plan and other key strategies. Work is underway to address this to ensure that the council's activity supports delivery of the desired outcomes. Thematic SOA delivery plans are currently being developed to more clearly identify who is doing what, and to set out intermediate outcomes and performance measures as a basis for monitoring progress. Partners have recognised the need to address gaps in the information currently available to help assess progress, for example in measuring the reduction in inequalities.

Strategic Priorities

44. In assessing whether Dundee City Council is delivering outcomes for its communities, we considered relevant performance measures from a number of key sources including: single outcome agreement (SOA) performance reports, statutory performance indicators (SPIs), key performance indicators and other inspection/ audit reports. The detail of our evaluation is contained in Appendix 1.

Work and enterprise

45. There is good evidence that, in recent years the council and its partners have made progress in delivering this outcome with significant success in reducing unemployment between 2006 and 2008. The economic recession, however, has threatened this progress with unemployment rising to 5.8% (January 2010) from 3.9% (December 2008). The full impact of the recession on the Dundee economy is unclear at present and there is uncertainty as to whether the actions taken by the council and its partners will be sufficient to deliver the desired outcomes. We will continue to monitor the economic data relating to this objective.

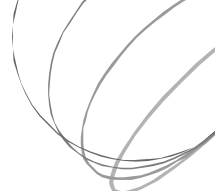


Learning and culture

46. Progress on this outcome is mixed. Good progress has been made towards improving the education and skills of people in Dundee and developing a 'knowledge economy'. Also, the impact of community learning services in Dundee and the outcomes achieved by participants have been assessed by HMIE as very good overall, with some projects nationally-recognised as models of good practice.
47. Attainment levels in secondary schools have improved by more than the national average, although, they remain below the Scottish average. The council has not used data on schools to demonstrate whether it is making progress in closing the gap in attainment levels between the city average and pupils coming from the most deprived areas. HMIE has expressed concern as to the degree of impact of More Choices More Chances (MCMC) strategies on positive destination figures. HMIE will review attainment levels and positive destination data annually.

Children and young people

48. The children and young peoples' services provided by the council have been an area of particular concern. The council and its partners in health and police were the subject of a highly critical joint inspection of services to protect children by HMIE in June 2009, with an early follow-up report published in March 2010. An improvement plan has been agreed and the council has made significant changes to its systems and processes, however, it is too early to determine the impact of these changes on service users.
49. The council is experiencing increasing difficulty in meeting the needs of looked after and fostered children, and is taking steps to reduce the number of children in expensive out of area placements; some children are experiencing significant delays while waiting for permanent new families.



Health and well being

50. There is some evidence that the health of the Dundee population is improving. Deaths from coronary heart disease, hospital admissions related to alcohol, and child obesity have reduced. In other areas, however, there is uncertainty as to whether the council and its partners are achieving their objectives, in part due to the long term nature of these; smoking, children's dental health and substance abuse are areas where improvement is required. In addition, the council lacks adequate monitoring information to demonstrate that it is improving health or tackling health inequalities. The LAN will monitor progress against outcomes.

Community safety

51. Overall satisfactory progress is reported by the council and its partners, with crime levels in Dundee at their lowest for a decade. In many cases, ambitious targets set for 2010/11 have already been met. No significant risks have been identified in this area.

Building stronger communities

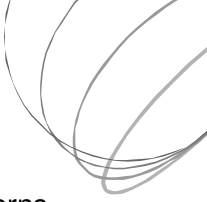
52. There is good evidence of progress in improving the quality and condition of the built environment and the city's infrastructure. There have been significant improvements to the city centre and facilities available across the city, including schools, arts venues and community facilities. There is, however, little clear evidence to show that the council and its partners are making any significant progress on reducing social inequality. From the information that is currently available, the Dundee Partnership has not yet been able to reduce the proportion of the population living in the 15 per cent most deprived Scottish datazones. Similarly, the difference in average incomes between the deprived areas and the rest of the city has increased. The LAN will monitor progress against outcomes.

Dundee environment

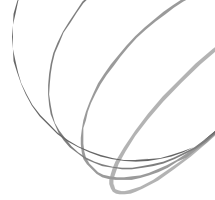
53. There is insufficient evidence to properly assess the overall progress of the council and its partners in improving the city's sustainable environment. Progress measures tend to focus on the completion of projects rather than providing an assessment of impact. However, the evidence that is available suggests that the council is making some progress, in particular in recycling where current projections are that the Council has achieved its 40% target for 2009/10. The LAN will monitor progress against outcomes.

Services

54. The Best Value 2 Pathfinder audit identified that, within the context of the city and its relatively high levels of deprivation, many council services are performing well. Available performance measures show general improvement in the services provided to the public, although this is not consistent across the organisation.
55. **Education service** Overall the Education Service is steadily improving. The management team and overall service structure are relatively new and the benefits of these changes are beginning to be realised. Although there are positive signs of improvement, attainment and attendance levels remain below national averages. A significant increase in attainment levels to bring them more in line with national levels is a challenge which will take time. A degree of uncertainty exists due to the lack of evidence of sustained and continuous improvement in some aspects of the service.
56. HMIE will continue with the planned programme of inspection of schools and pre-school establishments (sometimes jointly with the Care Commission). HMIE completed its planned follow-through inspection of Services to Protect Children and Young People in March 2010. The evaluations from these inspections will contribute to the National Performance Framework. This may also result in some follow-through inspection activity. HMIE will inspect Community Learning and Development concurrently with any non-denominational secondary school inspection. HMIE will also be involved in scrutiny activity as a result of Ministerial requests and other statutory obligations. The District Inspector (DI) will continue to support and challenge Education Services regularly and as appropriate.
57. **Social Work service** In 2007 SWIA assessed the Social Work service as having a number of 'very strong aspects' to the delivery of social work services and some areas for improvement. The Care Commission has identified important strengths in council run care homes for older people with grades of good and very good being achieved across the service. These services are also highly rated by the residents. The Care Commission has also reported favourably in respect of council run residential childcare units. SWIA has recommended that the department develop a commissioning strategy for its community care and children's services and continues to monitor the progress of its implementation.

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58. **Housing** The Scottish Housing Regulator's 2009 inspection raised significant concerns about the council's housing services. Asset management and repairs and housing management were assessed as "poor". In addition to addressing the findings of the SHR the council still has a considerable amount to do to ensure that its housing stock meets the SHQ standard by the 2015 target date. Although the pace of improvement has shown an increase only 23% of existing stock meets the required standard. An improvement plan has been agreed with the SHR who will review the council's progress against this in September 2010. This will inform follow-up work which is scheduled for September 2011.
59. **Corporate Services** The council has in the past managed its finances prudently with a strong emphasis on the annual budget and controlling expenditure within individual funding streams. There is no history of overspends and uncommitted general fund reserves are currently above the target levels. However, there are some underlying pressures in the recurring budget that the council will have to manage in future years alongside the significant constraints on public expenditure in the medium term.
60. The existing approach to resource management and planning is unlikely to be effective moving forward. The council and its partners will need to take a more strategic approach to resource allocation, being more flexible in the way individual funding streams applied. The Corporate Improvement Plan approved by Council on 26 April includes a number of initiatives aimed at addressing this.
61. **Environmental/Regulatory Services** The council's Environmental/Regulatory services are generally performing well with good performances noted in noise complaints food hygiene inspections. There are, however, some areas where performance could improve.
62. **Cultural Services** There are no significant risks identified for the Cultural Services division. The Leisure and Community Learning departments provide valuable opportunities for the people of Dundee to participate in sporting and cultural activities. Some CLD projects have been nationally recognised as models of good practice.
63. **Roads and Street Lighting** The Roads and Street Lighting service is generally performing well. The council is highly ranked for the low percentage of its roads in need of maintenance and its traffic light repairs. SPIs, however, show that in some areas, e.g. carriageway, traffic light and street light repair performance is showing signs of decline.

Implications for scrutiny activity

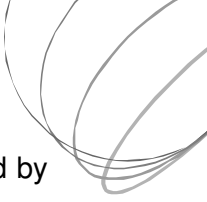


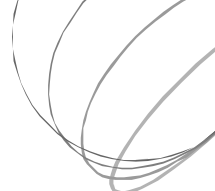
64. In Social Work and Housing the relevant inspectorates will follow-up the council's progress in addressing improvement areas previously reported. This scrutiny activity will be designed to establish recent performance and the impact of actions that the council has taken. It will be focused on agreed improvement actions and will seek to confirm the council's own assessment of its progress:
- In 2010 a joint interim follow through inspection of services to protect children led by HMIE to assess progress against the main points for action raised in their report of an inspection published in June 2009.
 - In 2010/11 the council will submit a self assessment of the action taken following the agreement of the SHR inspection improvement plan in 2009 and its impact on customers. The findings from this will inform future follow-up work by the SHR in 2011/12.
 - SWIA will undertake an initial scrutiny level assessment (ISLA) in 2010/11 which will help to determine the nature and focus of scrutiny activity they and the LAN members will undertake in following years.
65. In response to a ministerial request to carry out a further 3 year programme of joint inspection of services to protect children between 2009 and 2012, the council and its partners in health and police will be subject to a joint inspection of services to protect children in 2012. The outcomes from the follow through inspection in 2010 will help to determine the scope of this work. It is anticipated that it will be coordinated with the Care Commissions reviews of fostering and adoption services, with an integrated approach being piloted in another council shortly. We would also anticipate the any scrutiny SWIA identifies as a result of completing the ISLA being coordinated with this work to avoid any duplication and minimise the impact on the council and its partners.
66. The LAN will continue to review outcome and performance information as it emerges, discussing relevant aspects of this with the council on an ongoing basis. This will include regular HMIE District Inspector meetings, ongoing liaison with link inspectors and other regular contact with SWIA, the Care Commission and Audit Scotland. Such discussions will also cover any corporate or partnership issues emerging from establishment/unit inspections. Any emerging issues or risks will be reflected in future risk assessments, and may lead to further scrutiny work where these are considered significant.

Corporate assessment

The council and its partners have a clear and ambitious vision for tackling the issues facing the city. There are strong relationships amongst partner organisations in Dundee and they are making progress against many of their objectives. However, partnership working at a strategic level requires to be strengthened. The council is generally aware of where it needs to improve and has made improvements in some areas. However, in other areas the pace of change has been too slow. Some of the council's corporate arrangements, in particular those for elected member scrutiny and risk management are under-developed and there is concern about the council's capacity to drive through significant improvement, service development and change.

67. In determining the corporate assessment for Dundee City Council, we considered the corporate performance and arrangements in place. The detail of our evaluation is contained in Appendix 2.
68. The council and its partners have a clear and ambitious vision for the area, based on a sound approach to community engagement and a good understanding of the needs and concerns of local people.
69. There are strong relationships amongst partner organisations in Dundee, with many examples of effective joint working on projects having a positive impact on the quality of the services being delivered. There have been problems in more complex operational areas, where roles and responsibilities are confused. Partnership working at a strategic level requires to be strengthened. The introduction of the Single Outcome Agreement has helped the partners to begin to address this.
70. The council is generally aware of where it needs to improve its ways of working and has implemented some improvements. However, much of the improvement that has been made to ways of working has been in response to external pressure (such as inspection). In some important areas where the council has identified a longstanding need to improve its arrangements there has been insufficient commitment or capacity and the pace of change has been too slow.
71. The council has a sound record of working with local communities and taking a systematic approach to defining their needs. Over 80% of local plans agreed through Local Community Planning Partnerships (LCPP) have been delivered. The LCPPs are viewed positively by those involved.

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72. The council has adopted a prudent, incremental approach to improvement, underpinned by strong central control of resources and high levels of managerial accountability. This has been effective in driving up performance levels and ensuring that spending was tightly controlled. With the financial challenges the council faces in coming years from reduced funding the current approach is unlikely to deliver the scale of change required. The council needs to do more to ensure that its resources are aligned with its priorities and, with its partners, will require to take a more strategic approach to resource allocation, being more flexible in the way individual funding streams are applied.
 73. Asset Management Plans have been produced for a number of services, but these are disjointed and reactive. Human resources are managed well at an operational level, staff are generally well motivated and committed with high levels of morale but the council's corporate HR strategy is under developed and slow progress is being made towards improving it. The council has made slow progress in transforming its procurement arrangements and needs to increase the pace of change.
 74. The council has many of the key elements in place to ensure good governance and accountability. However, elected member scrutiny of decision making and performance needs to improve. Elected members need to make a bigger contribution to the leadership of the council and its partnerships over a range of important areas and need to be better supported by officers to do so. Corporate risk management processes are under-developed and not yet fully embedded. Recent inspectorate activity has indicated that members and officers are not risk aware. Members are not, however, sufficiently involved in risk management.
 75. The council has made relatively slow progress in eliminating discrimination and promoting equalities. Few managers and no elected members have received formal race equality training and the council has limited evidence to demonstrate that it delivers equalities more widely in its services.
 76. The council also needs to do more to embed sustainable delivery of services and outcomes and to ensure that sustainability is scrutinised by members and officers.



Implications for scrutiny activity

77. An Audit of Best Value and Community Planning (BV2) was undertaken by Audit Scotland in 2009, to establish the council and its partner's overall performance in addressing their strategic priorities and improving services. This considered the effectiveness of the council's management arrangements and partnership working. The audit focused on how well the council has driven improvement in the use of public resources in the very challenging period ahead and how well placed it is to further improve at this point. The findings of that audit have been considered in determining the scrutiny activity for 2010/2013.
78. Key areas of uncertainty will be explored through the annual audit, including:
- the council's progress in implementing improvement actions to address the key issues raised in the BV2 audit (see table below), and measuring their impact.
 - the management of the council's overall financial position in the face of financial constraints and increased demand for services. In particular the council's approach to identifying and achieving efficiencies and savings.

Best Value 2 : Improvement actions	
The council	<p><i>The council needs to :</i></p> <ul style="list-style-type: none"> • continue to implement improvement actions agreed following the recent inspection of housing. • put in place an effective approach to elected member scrutiny of decision-making and performance. • ensure that it is more open and transparent, with better discussion of key issues in public meetings. • implement a more coordinated approach to improvement and efficiency in order to create more corporate capacity for improvement and change, including. • target efforts better and implement more robust planning and monitoring of progress, implementation and impact. • make greater and more robust use of benchmarking, cost comparison and option appraisal considering the scope for alternative approaches and more joint working. • strengthen corporate working and internal partnerships, building more collaborative working and ensuring learning and best practice is identified and shared more widely. • improve its strategic management of resources, improving longer term financial planning and developing more active planning for the use of assets and people.

	<ul style="list-style-type: none"> • increase ownership and improve leadership in promoting equalities; engage more effectively with equalities groups. Develop a more effective approach to Equalities Impact Assessment and better monitoring of impact.
Elected Members	<p><i>Elected Members need to:</i></p> <p>increase their contribution and ownership of key subjects – leading community planning at a strategic level, policy development, risk management, efficiency and improvement. Council officers need to provide better support to enable members to do this.</p>
The council and its partners	<p><i>With its partners, the council should:</i></p> <ul style="list-style-type: none"> • continue to implement improvement actions to ensure effective services to protect children. • establish shared and clearly understood priorities for spending that reflect the anticipated reduction in available resources in a collaborative manner that brings together the political choices of local elected members and the nationally led policies and priorities of other public sector partners. • ensure that meetings at all levels of the partnership are better focused on coordinating partnership activity, deciding on priorities and who does what and monitoring progress and impact. • review partnership structures to ensure that the respective roles and responsibilities of different groups are clear, minimising overlap. • ensure that partnership aims are specified at an appropriate level and are supported by relevant indicators and measures of impact and progress.

Conclusion

Summary of planned scrutiny activity

79. The appendices to this plan show a summary of the evidence we considered and the overall risk assessments made by the LAN on the outcome, service and corporate risk assessments. They show what scrutiny response the LAN has decided is appropriate in each area. The shared risk assessment process is designed to ensure the level of scrutiny activity is proportionate, based on the assessed risks.
80. These results are then reflected in the Assurance and Improvement Plan at Appendix 3 which sets out the basis of our scrutiny risk assessment and the planned scrutiny activity for Dundee City Council for the period from April 2010 to March 2013. The plan covers a three year rolling period and includes all scrutiny activity at corporate and service level.
81. National risk priorities have been identified by the Scottish Government and these are reflected in national scrutiny priorities which have been considered in the shared risk assessments for all councils. The national scrutiny priorities are:
- **protection, welfare and access to opportunities for: children, adults in need of support and protection, and older people.** This priority will be addressed through baseline service inspection programmes – including a joint inspection of services to protect children, scrutiny activity by SWIA and Care Commission fostering and adoption inspections - HMIE and SHR's follow-ups of progress against improvement plans.
 - **assuring public money is being used properly.** This priority will be addressed through the follow-up of the BV2 audit, which will examine the council's progress towards the implementation of agreed improvement actions and their impact. Baseline annual audit activity will also keep the stewardship, propriety and governance of public funds under review.
 - **the impact of the recession.** This priority and the associated pressure on the council's finances will be kept under review through the baseline annual audit.
82. On-going progress updates of the risks identified within this report by the appropriate scrutiny body will inform future risk assessments and the levels of scrutiny activity.

Appendix 1 – Risk Assessment

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Work & Enterprise</p> <p>Dundee will be a regional centre with better job opportunities and increased employability for our people.</p> <p>(NO1,NO2,NO3)</p>	<p>Area of uncertainty</p>	<p><i>There is evidence that the council has been making progress in recent years, however, the recession has had a significant impact which must be managed now and in the years to come.</i></p> <ul style="list-style-type: none"> • progress was evidenced through reductions in unemployment and the numbers claiming workless benefits and increases in new business start ups and employment in the knowledge, financial retail and leisure services sectors. • the number unemployed increased in 2008/09 and is above the national average. 	<p>No specific scrutiny work planned.</p>
<p>Learning & Culture</p> <p>Our people will be better educated and skilled within a knowledge economy renowned for research, innovation and culture.</p> <p>(NO1,NO2,NO3, NO4,NO5,NO7, NO13)</p>	<p>No significant risks identified</p>	<p><i>Good progress has been made towards improving the education and skills of people in Dundee and in developing a knowledge economy. However attainment levels are still considerably below the national average and need to continue to improve.</i></p> <ul style="list-style-type: none"> • the numbers employed in the city's education and research sector have increased over the past 2 years and are above target. • 2006 HMIE inspection assessed the impact of learning services in Dundee and the outcomes achieved by participants as very good. • the numbers of adults attending classes to improve literacy and numeracy have increased by over 13%. • the proportion of young people going on to further education or training is now well above the national average. 	<p>No specific scrutiny work planned.</p>
	<p>Area of uncertainty</p>	<ul style="list-style-type: none"> • educational attainment levels are improving but remain well below 	<p>HMIE will request update reports</p>

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>the national average.</p> <ul style="list-style-type: none"> there have been concerns as to the degree of impact More Choices More Chances (MCMC) strategies have had on numbers moving on to positive destinations. The council has introduced a number of initiatives to address these concerns and some improvements have been achieved. the council has not used data on schools to indicate whether it is making progress in closing the gap in attainment levels between the city average and pupils coming from the most deprived areas. 	<p>on attainment and MCMC from the Director of Education in 2010/11.</p>
<p>Children & Young People</p> <p>Our children will be safe, nurtured, healthy achieving, active, respected, responsible and included.</p> <p>(NO2,NO3, NO4,NO5,NO6, NO7, NO8,NO9, NO15)</p>	<p>Area of uncertainty</p>	<p><i>Child protection has been an area of specific concern. Following an HMIE inspection an improvement plan has been implemented but it is too early to assess the impact of the changes introduced.</i></p> <ul style="list-style-type: none"> the numbers of children looked after or fostered are rising with some children experiencing significant delays while waiting for permanent new families. the council is seeking to reduce the numbers of children in expensive out-of-area residential placements. most pupils with ASN are successfully integrated into mainstream education. very negative CP inspection in June 2009. lack of confidence that all children at risk from harm, abuse or neglect are identified and receive appropriate help and support. the number of young people not going on to positive destinations has risen and is still well above the national average. The council is working to target those currently in negative destinations. 	<p>HMIE Joint Inspection of services to protect children in 2012.</p> <p>SWIA will carry out an initial scrutiny level assessment (desk based risk assessment) in 2010. The link inspector will continue to support self evaluation undertaken by the Council.</p>

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> the Social Work service is seeking to implement an improvement plan for child protection against a significant backcloth of financial pressure. 	
Health & Well Being <ul style="list-style-type: none"> Our people will experience fewer health inequalities. Our people will have improved physical and mental wellbeing. Our people will receive effective care when they need it. 	No significant risks identified	<p><i>There is some evidence that the health of the Dundee population is improving. However, further improvements are necessary to support the achievement of outcomes.</i></p> <ul style="list-style-type: none"> improvements have been recognised in the levels of coronary heart disease, alcohol related hospital admissions and childhood obesity. all schools are health promoting. 	No specific scrutiny work planned.
	Area of uncertainty	<ul style="list-style-type: none"> monitoring information for the various outcome aims is incomplete. To some extent this is due to the long-term nature of some of these. the proportion of the population who smoke has increased over the 	

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
(NO2,NO3, NO4,NO5,NO6, NO7, NO8,NO9, NO12, NO15)		<p>last two years and is unlikely to meet the 2010 target of 22%.</p> <ul style="list-style-type: none"> • services to support substance misusers and their dependents are under developed and lack prioritisation. • concern regarding the quality of commissioned care home services for older people. 	
<p>Community Safety</p> <ul style="list-style-type: none"> • Our communities will be safe and feel safe. <p>(NO9, NO11)</p>	No significant risks identified	<p><i>The council is moving in the right direction and there is evidence that good progress has been made towards this outcome.</i></p> <ul style="list-style-type: none"> • recorded crime levels in Dundee are at their lowest for a decade and customer satisfaction with the police service in Dundee is well above the national average. • the number of people killed or seriously injured in road traffic accidents. The target for reduction by 2010/11 was surpassed in 2008/09. • Chief Officers in Dundee City Council, NHS Tayside and Tayside Police have established a Chief Officers Group with a joint responsibility for public protection. This has provided for clearer joint accountability and a stronger strategic focus on protecting the public. 	No specific scrutiny work planned.
<p>Building Stronger Communities</p> <ul style="list-style-type: none"> • Our people will experience fewer social inequalities. • Our people will live in stable, popular and attractive communities. • Our people will have high quality and accessible local 	No significant risks identified	<p><i>There is good evidence of progress in improving the quality and condition of the built environment and the city's infrastructure. However, there is little clear evidence to show that the council and its partners are making any significant progress on reducing social inequality.</i></p> <ul style="list-style-type: none"> • the proportion of public buildings suitable and accessible to disabled people is amongst the highest in Scotland. • residents' surveys show increased satisfaction with access to and quality of local services and facilities. 	No specific scrutiny work planned.

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
services and facilities. (NO2,NO3, NO4,NO5,NO6, NO7, NO8,NO9, NO10, NO11, NO12, NO13, NO14, NO15).		<ul style="list-style-type: none"> the facilities provided by the Leisure and Communities department have a positive impact on the community, helping adults and young people to develop skills through engaging in a wide range of leisure, cultural and community activities. the council is promoting a 'broadband economy', using communication technology to support economic and social development. 	
	Area of uncertainty	<ul style="list-style-type: none"> uncertainty as to whether the council is reducing social inequality the proportion of the population living in the most deprived Scottish datazones increased slightly to 28.4% in 2009. the difference in average incomes between the deprived areas and the rest of the city has increased from 17.3% to 18.8% against the Council's target to reduce this to 15%. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Dundee Environment <ul style="list-style-type: none"> Dundee will have a sustainable environment. (NO12, NO14)	No significant risks identified	<i>There is insufficient evidence to properly assess the overall progress of the council and its partners in improving the city's sustainable environment. However, the available evidence suggests that the council is making some progress.</i> <ul style="list-style-type: none"> recycling rates have steadily increased to 35.6% in 2008/09. This is the highest rate amongst the four Scottish city councils. a waste-to energy plant has helped to more than halve the amount of waste that is sent to landfill. the overall cleanliness of the city, as measured by the LEAMS index has steadily improved. the number of green flags, awarded for parks, and blue flags, for beaches, has increased in line with targets. 	No specific scrutiny work planned.

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
	Area of uncertainty	<ul style="list-style-type: none"> progress measures tend to focus on the completion of projects rather than providing an assessment of impact. evidence suggests that the air quality in the city has deteriorated. 	No specific scrutiny work planned

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
Education	No significant risks identified	<p><i>Early Years</i></p> <ul style="list-style-type: none"> early years centres are a strength. <p><i>Primary</i></p> <ul style="list-style-type: none"> primary school inspection results show performance that is 'good' overall rather than 'very good'. All inspections over the last two sessions have been positive in respect of Scotland Performs and improvements in performance were good or better in all cases. the percentage of primary schools in which the ratio of pupils to available places is between 81-100% has declined from 17.5% in 2006/07 to 10.8% in 2008/09 exclusion rates for primary schools fell slightly in 2009 but are still more than double the national average and the highest in 	No specific scrutiny work planned

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>Scotland.</p> <ul style="list-style-type: none"> attainment in reading, writing and mathematics rose between 2003 and 2008. However attainment in writing still requires improvement. <p><i>Overall</i></p> <ul style="list-style-type: none"> follow-up inspection of council's education service in 2009 found that significant improvements had been achieved in a number of areas. clear corporate focus on raising attainment. promotion of the arts is a key strength. the appointment of a new Director of Education and a new Head of Secondary Education and a review of the overall management structure are still relatively recent occurrences. The full impact and benefits of these changes are beginning to be realised. the service plan mirrors the council's corporate plan. The ten themes link to priorities in the annual improvement plan and the SOA outcomes. teacher-pupil ratios are more generous than the national average in both primary and secondary sectors. 	
	Area of uncertainty	<p><i>Overall</i></p> <ul style="list-style-type: none"> absence figures are still above those of comparators. <p><i>Secondary</i></p>	HMIE will request update reports on attainment and MCMC from the Director of Education in 2010/11.

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> attainment levels have increased by more than the national average but remain considerably below the national average. results across all key measures at S4 showed a small but significant increase in 2009, with a subsequent rise in the three year average for mathematics and English at level 3. results at S5 in 2009 declined overall and are below the national average. significantly S6 results across all key measures showed an increase in 2009 and the three year averages showed an improving figure. Results are still below the national and comparator averages. the proportion of young people going on to education or training is now well above the national and comparator authority averages. However, the number of young people not going on to positive destinations (18%) in 2009 has risen and is well above the national average. the proportion of young people leaving school with recognised qualifications has improved marginally. performance of the lowest performing 20% of young people has improved significantly. exclusion figures are decreasing but are still high in comparison with national figures. 	
Social Work	No significant risks identified	<ul style="list-style-type: none"> 2007 inspection of Social Work services identified a number of 'very strong aspects' of the delivery of social work services and some areas for improvement. 	SWIA will carry out an initial scrutiny level assessment during 2010. which will include the areas of uncertainty identified

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> 2008/09 performance data shows that the council performs well in number of areas. all council run care homes for older people are now rated good or very good and there are high levels of user satisfaction. the performance of Residential Childcare Units is rated as very good. although still below the target of 30% the balance of social work expenditure on home care has increased to 28%. This is helping to address poor waiting times for home care. there is a positive relationship between Social Work Department's Contracts team in inspection activity for private and voluntary sector care homes for older people. moderate progress is being made in developing a commissioning strategy for its community care and children's services. 	below. The link inspector will continue to support self evaluation undertaken by the council.
	Area of uncertainty	<ul style="list-style-type: none"> within Children's Secure and Close Support Units there are issues relating to the deployment of management and staff, and uncertainty over funding for educational service at secure accommodation. inspection of Child protection services in 2009 raised significant concerns and made a number of critical key findings. there are concerns regarding the assessment framework used by the criminal justice service. This is likely, however, to be replaced in the next 18 months as a result of national policy initiatives. the council is still poor in submitting social background reports to the children's reporter on time, although performance has 	<p>HMIE joint follow-through inspection of services to protect children in November 2010 will evaluate progress made by the council and its partners against the main points for action since June 2009.</p> <p>HMIE Joint Inspection of services to protect children in 2012.</p>

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		improved over the last year.	
Housing	Area of uncertainty	<ul style="list-style-type: none"> a 2009 inspection raised significant concerns about the council's housing services. Housing and asset management were both assessed as poor. An improvement plan has been agreed with the SHR. more than 75% of the council's housing stock still falls short of the SHQS standard. concerns about the performance of the housing service continue to be reflected in current performance data. 	<p>SHR will review progress towards implementation and impact of agreed improvement plan from 2009 inspection during 2010/11.</p> <p>Follow-up from this to be undertaken in 2011/12.</p>
Corporate services	Area of uncertainty	<ul style="list-style-type: none"> the existing approach to resource management and planning is unlikely to be effective moving forward. there are some underlying pressures in the recurring budget that the council will have to manage in future years alongside the significant constraints on public expenditure in the medium term. the council has recognised the need to create greater management capacity to identify and deliver the scale of change required and is introducing a Corporate Improvement Plan to address this. five out of the six corporate services SPIs are in the bottom quartile. The council tax collection rate has improved over the medium term. However, the council has the second lowest level of Council Tax collected in year. 	<p>Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.</p>

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
Environmental services/ regulatory services	No significant risks identified	<ul style="list-style-type: none"> net cost of refuse collection is in the top quartile. there is good joint working with the council's Food and Health and Safety Team in joint regulatory activity. performance in dealing with noise complaints is good. food hygiene inspections are highly ranked. 	No specific scrutiny work planned.
	Area of uncertainty	<ul style="list-style-type: none"> ranked 25th for the percentage of derelict land (Countryside management). middling performance for most aspects of waste management. planning performance is average and declining. 	No specific scrutiny work planned.
Cultural services	No significant risks identified	<ul style="list-style-type: none"> Leisure Services and CLD staff provide valued opportunities for the people of Dundee to participate in sporting and cultural activities. A number of projects target disadvantaged areas and some CLD projects have been nationally recognised as models of good practice. the number of attendances per 1,000 population for sports and leisure facilities excluding pools is improving, however the proportion using pools has declined by almost 10% since 2006/07. the use of libraries and learning centre/access points both feature in the top quartile. However, SPIs show that the number of additions per 1,000 population is declining across all categories. The percentage of the population that borrows from libraries is ranked 28th and is declining. 	No specific scrutiny work planned.

PERFORMANCE ASSESSMENT: DUNDEE CITY COUNCIL			
Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
Roads and street lighting	Area of uncertainty	<ul style="list-style-type: none"> the council is ranked 4th overall for the overall percentage of the road network that should be considered for maintenance treatment (23.3%) the council is ranked 5th overall for the number of traffic light repairs completed within 24 hours (99.8%). Street light repair performance is showing signs of decline, from 96.9% in 2006/07 to 94.6% in 2008/09. The Council is ranked 16th. the number of bridges failing European standard has remained constant since 2006/07. The council is ranked 28th 	No specific scrutiny work planned.

Appendix 2 – Corporate Assessment

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Vision and Strategic Direction Vision and strategic direction	No significant risks identified	<p><i>We consider this to be an area of mixed risk. We have identified some concerns regarding leadership and culture and the alignment of plans and resources. The change of administration and the appointment of a new Chief Executive provide opportunities for change but also mean some uncertainty as to the council's future strategic direction.</i></p> <ul style="list-style-type: none"> • very strong commitment to the city from members and officers. • good understanding of what matters to local people. Clear and ambitious vision linked to this. 	No specific scrutiny work planned
	Area of uncertainty	<ul style="list-style-type: none"> • new administration's priorities unclear at present, currently in taking stock period. The council needs to be clear on these given the financial issues ahead. • a more radical review of spending priorities is likely to be required to ensure that the council can balance its books and align spending to corporate priorities. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Leadership and Culture	Area of uncertainty	<p><i>We consider this to be an area of mixed risk. Members and officers are aware of the scale of the financial challenge that they face but are uncertain as to how they will respond. Existing approaches are unlikely to be appropriate moving forward. A Corporate Improvement Plan has been introduced to support change management.</i></p> <ul style="list-style-type: none"> • Members and officers recognize the scale of the financial challenge facing the Council, but are not yet clear as to how they will respond. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> Members need to make a bigger contribution over a range of areas (leading community planning at a strategic level, policy development, scrutiny, risk management) self-evaluation within the council has been used infrequently in a piecemeal fashion and the council's approach to self-evaluation remains at a relatively early stage of maturity. little corporate working, and internal partnership working between departments has been poor. good practice that exists in parts of the organization not identified and rolled out. Intent to change and early signs of this but cultural issues remain. Evolutionary approach. existing incremental approach (efficiency, budgeting, organization change, improvement) which will not be sufficient in current context. Cautious prudent approach limits potential impact. A Corporate Improvement Plan has been introduced to support change in a number of key areas. previous CE was pivotal for a long period. Leadership style/capacity of new CE is uncertain. 	
Planning and resource alignment	Area of uncertainty	<ul style="list-style-type: none"> the SOA has an appropriate strategic focus and provides a firm basis for alignment, although work to establish an effective golden thread is continuing. less able to articulate how partners will deliver on strategic aims and priorities, but improving. the council's self-assessment acknowledges that they need to improve at matching resources and priorities. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Partnership working and community leadership	No significant risks identified	<i>The council performs well at lower operational level but there are some significant risks and concerns identified in respect of its strategic focus.</i>	No specific scrutiny work planned

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> strong relationships amongst partner organisations with many examples of effective joint working on individual projects. public sector organisations operating in Dundee are committed to partnership working. growing commitment to partnership working identified in HMIE INEA follow-through in 2009. local community planning partnerships (LCPPs) across Dundee have been successful in working with partners and communities to identify local partners, influencing partner's plans and allocating Fairer Scotland Funds to deliver projects to meet these priorities. the SOA has brought more purpose to community planning, leading to new community plan next year. 	
	Area of uncertainty	<ul style="list-style-type: none"> no real strategic approach/big picture thinking. Lack of specifics on who is doing what and resource commitments. involvement and ownership of elected members in strategic partnership working has been limited. partnership governance arrangements are overly complex. These structures have not supported effective performance management and accountability is unclear. strategic planning across the community planning partnership has been limited. A genuinely collaborative approach is generally adopted, but some partners feel that at times the council can be too firm in pursuing its own line. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Community engagement	No significant risks identified	<p><i>There are strong relationships amongst partner organisations in Dundee with many examples of effective joint working on individual projects. The public sector organisations in Dundee are committed to partnership working and this has generally been effective with a positive impact on services being delivered.</i></p> <ul style="list-style-type: none"> • sound record of working with local communities and taking a systematic approach to defining their needs. • committed to LCPPs and they work – over 80% of local plans delivered. LCPPs are viewed positively by those involved. • development of Cluster Support Teams has led to local issues being addressed and closer involvement of families and the wider community with schools. 	No specific scrutiny work planned
Governance and Accountability Governance and accountability	Areas of uncertainty	<p><i>There is uncertainty as to whether the approaches adopted by the council in prior years are fit for purpose in the current environment.</i></p> <ul style="list-style-type: none"> • relationships between officers and members are good, and the administration meets regularly with senior officers to discuss and resolve current issues. • relations between political groups are poor following the change of administration and little discussion now takes place outwith formal meetings. • the council has many of the key elements in place to ensure good governance and strong accountability, and regularly reviews its compliance with governance standards. • expected standards of behaviour and the statutory responsibilities of senior officials are well understood. • elected members have personal development plans in place, but there is some resistance to training amongst members and take up has previously been poor. • senior managers provide status reports on the indicators of the 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL				
Corporate Area	Assessment	Initial risk assessment	Evidence/rationale	What we plan to do
			SOA. There is a quarterly performance report to the Best Value sub-committee and a biannual report to the Dundee Partnership Management Group.	
		Significant concerns and risks	<ul style="list-style-type: none"> elected member scrutiny of decision making and performance needs to improve. Some changes recently but limited and with little overall impact. a wide-ranging review of current arrangements is planned. However, the council has previously not shown that it values the contribution that effective scrutiny makes to improvement. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Public reporting	Performance	Areas of uncertainty	<ul style="list-style-type: none"> the council publishes an annual performance report and makes a significant amount of information available on its website.. the extent of discussion in public meetings is limited and the council has been cautious about how it reports publicly to members. annual report to the public on progress re SOA, SPIs and individual department performance. Concern re precision of targets/ benchmarking. 	No specific scrutiny work planned
Performance management and improvement	Customer focus and responsiveness	Areas of uncertainty	<p><i>The council shows good progress in some aspects of performance management and improvement but there is uncertainty regarding its future strategy.</i></p> <ul style="list-style-type: none"> the council carries out an annual consumer survey to track progress against customer care issues and the public's overall perception of the council as an organisation. However, there is little evidence of the surveys having significant influence on policy or budget decisions. good arrangements to gather and respond to the views of young people, such as through the EA Pupil Council.. SHR report highlighted customer related weaknesses in housing management. 	No specific scrutiny work planned

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> strong focus on increasing parental involvement and consultation with parents, for example through Open Voice events. More work requires to be done to engage parents, particularly in the secondary sector, in their children's education. 	
Performance management	No significant risks identified	<p><i>The council's performance management arrangements are generally satisfactory. However, there some uncertainties identified around the council's arrangements for scrutiny of performance and decision making.</i></p> <ul style="list-style-type: none"> the council has made a step change in improving its performance in the last few years. It has a well established online performance monitoring database which is well used. formal reporting takes place quarterly and management information is available directly from the strategic plan monitoring database on a continuing basis. 	No specific scrutiny work planned
	Area of uncertainty	<ul style="list-style-type: none"> annual performance reports to committees provide updates on major projects, but tend not to include trends, benchmarking information, or complaints. establishing outcome and other local performance measures linked to key priorities requires development. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Efficiency	Area of uncertainty	<p><i>The council's approach to generating efficiencies has been largely incremental, focussed on managerial accountability for tightening control of budgets. A more coherent and coordinated approach to efficiency and improvement is required. There remains uncertainty about the council's capacity to deliver the level of efficiency savings required.</i></p> <ul style="list-style-type: none"> whilst a specific committee has been established to oversee efficiency and improvement work there is no specific plan of work and no targets have been set. the council has reported efficiency savings of £3.5 million in 2008/09, representing around 1.9 percent of its revenue funding. Dundee was one of a minority of councils not to achieve the government's national target of 2 percent. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL				
Corporate Area	Assessment	Initial risk assessment	Evidence/rationale	What we plan to do
Challenge and improvement		Significant concerns and risks	<p><i>Where the council has been committed to improvement it has been able to make a difference. However, there are specific concerns regarding the council's ability to challenge its performance and seek improvement. The council is generally aware of where it needs to improve and has implemented some improvements to its ways of working. It has generally been cautious about the extent of change and takes an incremental approach. This has meant that progress in some areas has been too slow.</i></p> <ul style="list-style-type: none"> • a series of 'lean service' reviews has been established. However, these tend to focus on very specific, relatively small areas of service delivery and are not identified from any corporate assessment of performance. • much of the successful improvement activity has been in reaction to external scrutiny rather than being initiated internally. Where the council has identified a longstanding need to improve its arrangements the pace of change has been too slow. • although many of the specific actions identified by the council are generally well progressed, these have had limited impact. There has been insufficient commitment or capacity to make the necessary improvements. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Risk management		Area of uncertainty	<p><i>Further work is needed to fully establish strategic risk management within the council. The council has some risk management arrangements in place. However, risk management is not yet well embedded and elected members and senior officers have little involvement in systematically monitoring risks.</i></p> <ul style="list-style-type: none"> • strategic risk register completed for the first time this year (2009), but not reviewed at a senior level. • members not sufficiently involved in risk management. • corporate risk management processes still at an early stage and 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>not yet fully embedded.</p> <ul style="list-style-type: none"> members/officers didn't recognise service problems before CP and SHR reports. BCP approved in February 2009 but only limited testing to date. 	
Use of Resources Financial management	No significant risks identified	<p><i>The council has in the past been able to manage its finances well. However, there is uncertainty whether existing financial management arrangements will support the council in the future.</i></p> <ul style="list-style-type: none"> Council recognises the need to improve financial planning and integrate this better with asset management and workforce planning. General Fund above the minimum level set out in the council's reserve policy. No history of overspends. 	No specific scrutiny work planned
	Area of uncertainty	<ul style="list-style-type: none"> now taking medium term view on financial planning (4 years) but detail not there yet and longer term resource planning remains limited. Not tied into workforce planning or asset management planning, neither of which are sufficiently developed. limited long term financial planning which restricts the council's ability to prioritise expenditure to meet longer term objectives. 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Asset management	Area of uncertainty	<p><i>Asset management remains an area of concern. Corporate processes are poorly developed and there is evidence to suggest that the council is struggling to maintain an appropriate and fit for purpose asset base.</i></p> <ul style="list-style-type: none"> Asset Management Plans have been produced for a number of services, but these are disjointed and reactive. recent slowdown in capital receipts expected to continue, limiting 	Audit Scotland local audit team to review progress through follow-up to assess implementation and impact of BV2 improvement actions.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>overall capacity to fund capital projects.</p> <ul style="list-style-type: none"> corporate asset management covers a relatively small proportion of the total asset base. A best value review of asset management is, however, a component of the Corporate Improvement Plan. corporate strategy for managing all assets and better linking asset management and financial planning not expected to be completed until 2011. asset management SPI marked 'unreliable' due to the lack of robust data on the number of operational buildings and condition surveys. major building programme and PPP have improved the school estate. 	
Managing people	No significant risks identified	<p><i>At an operational level there are no significant concerns. At the strategic level, however, there are areas of uncertainty. The council's workforce planning process is underdeveloped and the council cannot yet demonstrate that its existing workforce will meet its future needs.</i></p> <ul style="list-style-type: none"> staff are generally well motivated and committed with high levels of morale and good relationships between the council and trades unions. positive staff survey responses and focus groups. broad education CPD programme managed online. Many courses twilight to save on cover costs. Staff are happy with the provision. 	No specific scrutiny work planned
	Area of uncertainty	<ul style="list-style-type: none"> the human resources strategy is underdeveloped, with progress 	No specific scrutiny work

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>in improving it much slower than planned.</p> <ul style="list-style-type: none"> the council generally has a good focus on training needs supported by personal development planning. However the approaches to this are inconsistent and have not been an effective tool for managing individual performance. workforce planning is underdeveloped. the PRD system requires review. 	planned.
Procurement	Area of uncertainty	<p><i>The council has made some progress in transforming procurement. However, the council needs to develop a corporate approach to procurement and increase the pace of change in order to ensure that it benefits from the efficiencies and cost savings it anticipates.</i></p> <ul style="list-style-type: none"> member of Scotland Excel corporate procurement function established but still at an early stage the council recognises that procurement is not yet sufficiently embedded throughout the organization. concerns about the level of resources dedicated to improving procurement practices. the council lacks a corporate approach to procurement. 	No specific scrutiny work planned.
ICT	No significant risks identified	<p><i>No significant risk identified.</i></p> <ul style="list-style-type: none"> makes good use of ICT, with clear strategy lined to corporate plans. the ECDL qualification is available to pupils in all secondary schools. 	No specific scrutiny work planned
Equalities	Significant concerns and risks	<i>The council has made relatively slow progress in eliminating</i>	Audit Scotland local audit team to

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p><i>discrimination and promoting equalities.</i></p> <ul style="list-style-type: none"> the council has introduced a number of new initiatives through their Equality Scheme published in January 2010 which are aimed at supporting the mainstreaming of these activities. greater ownership and leadership in promoting equalities is required a more effective approach to Equalities Impact assessments is needed. there is a need to develop more sustained community engagement with equalities groups, set clearer equality outcome targets, improve monitoring and analysis of equalities data. no councillors and few managers have had formal race equality training. the council has limited evidence to demonstrate that it delivers equality more widely in its services. the percentage of women in higher salary bands is below the Scottish average./the council has one of the lowest proportions of women in senior positions. the council has established equality schemes and operates a number of equalities groups but these require to be more effective. educational outcomes for those in care are better than the national average. 	review progress through follow-up to assess implementation and impact of BV2 improvement actions.
Sustainability	Area of uncertainty	<p><i>The council needs to do more to embed sustainable delivery of services and outcomes for its citizens.</i></p> <ul style="list-style-type: none"> a Sustainability Development Governance Framework is being 	No specific scrutiny work planned.

CORPORATE ASSESSMENT: DUNDEE CITY COUNCIL			
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>introduced to support the continued integration of sustainable development into all council policies, services and activities.</p> <ul style="list-style-type: none"> • sustainability lacks scrutiny by elected members and chief officers. Strategic environmental assessment is not consistently applied to policy appraisal and development. • energy consumption reduced by 0.4% in 2008/09 (and by 10% 2002 – 2007)). • an energy Management Group monitors energy management action plan for reducing greenhouse gas emissions. 	

Appendix 3 – Assurance and Improvement Plan

The AIP is a three year rolling programme.

2010-11 (Year 1)												
Scrutiny activity	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
SWIA – ISLA review												
SHR Housing Progress report and SHQS survey return												
HMIE joint follow-through inspection of services to protect children.												
Care Commission – Fostering and Adoption inspections												

2011-12 (Year 2)	
Issues for scrutiny/improvement	Scrutiny bodies/council potential involvement
Follow-up of Housing Management and Asset Management improvement.	SHR
Follow-up of progress and impact of change programme and BV2 Improvement plan.	Audit Scotland
Scrutiny activity identified as a result of completion of the ISLA.	SWIA.
Joint inspection of services to protect children and young people (CP2).	HMIE

2012-13 (Year 3)	
Issues for scrutiny/improvement	Scrutiny bodies/council potential involvement
Follow-up of progress and impact of change programme and BV2 Improvement plan.	Audit Scotland

DUNDEE CITY COUNCIL

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23RD AUGUST 2010

REPORT ON: CRITICAL INCIDENT STRESS MANAGEMENT

REPORT BY: CHIEF EXECUTIVE

REPORT NO: 357-2010

1.0 PURPOSE OF REPORT

This report provides details of Protocols which represent a commitment to the provision of Critical Incident Stress Management in Dundee. It specifically addresses the provision of Critical Incident Debriefing for personnel working across departments and services within the Council. It also contains details of a 'Multi-Agency Protocol for the Support Employees Affected by Critical Incidents' for use by agencies who deliver joint services, including those designed to support children and adults at risk in the city.

2.0 RECOMMENDATIONS

It is recommended that members of the Policy and Resources Committee:

- 2.1 note and endorse the contents of the report;
- 2.2 agree to the adoption of the Dundee City Council Protocol for the Support of Staff Affected by Critical Incidents and of the Multi-Agency Protocol for the Support of Staff Affected by Critical Incidents;
- 2.3 ask the Chief Executive, in his role as chair of the Chief Officers Group, to ensure the implementation of the Multi-Agency Protocol through the work of the Child and Adult Support and Protection Committees;
- 2.4 ask the Chief Executive to ensure that relevant staff are trained and equipped to take on the role of facilitators of Critical Incident Debriefing (psychological debriefing).

3.0 FINANCIAL IMPLICATIONS

None. Activities will be carried out by existing staffing within existing revenue budgets.

4.0 MAIN TEXT

4.1 Critical Incidents and Critical Incident Stress Management

All agencies involved in the planning, development and delivery of services have a duty of care for their employees. This includes the provision of care following a critical incident which has occurred within the workplace. In developing and adopting a Council-wide Protocol for the Support of Staff Affected by Critical Incidents, Dundee City Council is recognising its duty of care to employees and its role in the provision of support to staff.

Critical Incident Stress Management, including Critical Incident Stress Debriefing (or Psychological Debriefing), is a recognised system of care providing an organisational response to help promote normalisation and recovery for employees who may experience stress following a critical incident.

A critical incident is an event **outside the range of normal human experience** that would be distressing to anyone. Examples of critical incidents which can occur while at work may include:-

- the traumatic death or injury of service users and/or members of staff/co-workers;

- an event where anyone seriously harms himself/herself/others or attempts/completes suicide;
- death of a child, young person or adult from suspected violence, neglect or in any other suspicious circumstance or as a result of any other condition which may have a lasting effect on personnel;
- events which occur outside work could also be included which have an impact on staff e.g. the suicide or traumatic death of a colleague that affects personnel; and
- any incident or situation which managers consider require Critical Incident Stress Management debriefing.

4.2 **The 5 Phases of Critical Incident Stress Management**

As well as providing definitions, the protocols also details the 5 phases of aspects of critical incident stress management. These are:

1. Prevention

The identification of risks that are specific to staff working in the agencies covered by this protocol.

2. Preparedness

The planning and rehearsal of processes to be undertaken when a critical incident occurs including planning, policy and procedural guidance development, and staff development.

3. Critical Incident Response

Implementing planned procedures to ensure that information is shared, immediate changes are implemented and people are helped to deal with their trauma and are supported and helped to return to *normal* levels of functioning as soon as possible.

4. Post Critical Incident Response

Implementation of recovery processes to facilitate the return to routine including critical incident debriefing and on-going monitoring of reactions. It may also include the development and implementation of a response plan.

5. Long- term Response

This involves the resumption of regular routine, the review of existing plans and may include memorials, counselling or other employee specific support.

The type of intervention used depends on the situation, the number of people involved, and their proximity to the event. The optimum is a three-step approach that addresses the trauma at various stages of progression: defusing, debriefing, and individual followup.

4.3 **Critical Incident Debriefing**

Critical Incident Debriefing is part of a comprehensive spectrum of techniques and approaches called Critical Incident Stress Management. It needs to take place in this context and not be seen as a 'one-off' debriefing or as a stand alone method of crisis intervention. Carried out as part of a continuum of support, it is a well received intervention for most people. It is known to be useful for enabling screening, education and support. It promotes normalisation and recovery by having involved personnel discuss their thoughts, emotional reactions and the stress symptoms they are experiencing Critical incident debriefing is **not** a forum for discussion of the circumstances or details of the event.

It should be provided after an event which is outside the usual range of experiences and which challenges one's ability to cope. Such a crisis event will have an impact sufficient enough to overwhelm the usually effective coping skills of either an individual or group. It should be conducted by experienced, well-trained practitioners.

The main aims of Critical Incident Debriefing are:

- to reduce the impact of the traumatic event;
- to mitigate against acute signs and symptoms of distress, dysfunction or impairment;
- to accelerate the normal recovery process from a traumatic event;
- to normalise the stress response;
- to provide education in stress management coping techniques;
- to restore adaptive independent functioning;
- to provide a screening opportunity to identify group members who might benefit from additional support services or a referral for professional care; and
- to facilitate access to a higher level of support or care, where necessary.

This Debriefing process will often take place within the member of staff's own agency. For Dundee City Council employees this response will be governed by the Dundee City Council Protocol. When it is clear that a significant incident, such as the sudden death of a child or adult, affects staff from a number of agencies who have been working jointly, then consideration should be given to the benefits to be gained by multi-agency debriefing, governed by the Multi-Agency Protocol.

4.4 **Roles and Responsibilities**

The Protocols define the roles and responsibilities of all staff, employees, managers and senior managers within the Council. However, the Chief Executive of the Council and the Lead Officers of the Child and Young Person's and Adult Protection Committees and the MAPPA Co-ordinator have very specific roles to play.

Lead Officers

When it has been agreed that multi-agency debriefing should take place, the debriefing process will be co-ordinated through the Lead Officers reporting to the Children and Young Persons Protection Committee or the Adult Support and Protection Committee or the MAPPA Strategic Oversight Group. The Senior Manager or Manager will make contact with the appropriate Lead Officer.

The Chief Executive of the Council

In cases involving the sudden death of a service user - child, young person or adult - from suspected violence or neglect or in any other suspicious circumstance or as a result of any other condition which may have a lasting effect on personnel - the Chief Executive of the Council should give consideration to the setting up of a Critical Incident Management Group.

As well as addressing the need for Critical Incident Stress Debriefing, such a group might address the management of press releases, the conduct of pre-inquiry or pre-trial management reviews and other matters that emerge.

The Chief Executive will make this decision in consultation with his/her colleague Chief Officers.

In cases involving the sudden death of a child, young person or adult where there is multi-agency involvement, the Chief Executive of the Council, as Chair of the Chief Officers Group, should give consideration to the setting up of a multi-agency Critical Incident Management Group.

The Chief Executive will make this decision in consultation with his/her colleague Chief Officers from Tayside Police and NHS Tayside.

Where there is, or is likely to be, a criminal investigation, the Procurator Fiscal (or a representative from the Procurator Fiscal's Office) must be a member of this group.

4.5 **Action to be taken following a Critical Incident**

The actions to be taken following a Critical Incident are outlined in Appendix 3 of the Protocol - 'Action to be Taken Following a Critical Incident'. They include:

- Step 1** Manager is made aware of the involvement of an employee(s) in a critical incident by employee or others.
- Step 2** Where an employee does not know of the critical incident - they need to be told. The manager should decide how this should be done, by whom and when.
- Step 3** Manager meets with the employee, initially assesses the situation, and discusses and provides coping with trauma information (contained in Appendix 1 of the Protocol _ 'Coping With Trauma - Signs and Symptoms'). The Manager also considers the need to re-prioritise the employee's workload, including diversion of phone, change of duties etc and where appropriate offers basic support. The Manager will consider whether single agency or multi-agency debriefing should take place. The Manager will complete a record of the initial support meeting using the proforma attached as Appendix 2 of the Protocol- 'Record of Initial Support Meeting'.
- Step 4** Manager makes contact with appropriate Senior Manager who will provide the Manager with support and will also make the decision about a referral on for multi-agency debriefing.
- Step 5** Where it is decided that single agency debriefing should take place, the Manager will initiate this within his/her own agency. Where it is decided that there would be a benefit in having multi-agency debriefing the Manager or Senior Manager will make contact with the Lead Officer(s) Child and/or Adult Support and Protection.
- Step 6** The Lead Officer Child or Adult Support and Protection will initiate multi-agency debriefing using an experienced and trained facilitator.
- Step 7** Where the critical incident involves the death of a child or adult at risk, the Chair of the Chief Officers Group will be advised and will consider the need to set up a Critical Incident Management Group.
- Step 8** Following debriefing decisions need to be made about follow up activities and what should be in a response plan. This will detail who will do what and when.
- Step 9** Senior Manager and/or Manager will decide on arrangements for the implementation and monitoring of any response plan put in place.

4.6 **Special Circumstances**

The Protocols include information on special considerations which have to be given when staff may be involved in giving evidence in court or to an inquiry and on the need for confidentiality. They also addresses the issue of contact with the media.

5.0 **POLICY IMPLICATIONS**

This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management.

There are no major issues.

6.0 CONSULTATIONS

The Depute Chief Executive (Support Services), the Director of Finance, the Director of Social Work, the Director Education, the Director of Housing and the Director of Leisure and Communities have been consulted in preparation of this report.

7.0 BACKGROUND PAPERS

None.

David K Dorward
Chief Executive

3RD AUGUST 2010

D R A F T

CRITICAL INCIDENTS

**DUNDEE CITY COUNCIL
PROTOCOL FOR THE
SUPPORT OF EMPLOYEES
AFFECTED BY CRITICAL INCIDENTS**

March 2010

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1. INTRODUCTION

This protocol represents a commitment to the provision of Critical Incident Stress Management in Dundee City Council. It specifically addresses the provision of Critical Incident Debriefing for personnel working across departments and services within the Council.

2. DUNDEE CITY COUNCIL PROTOCOL ON CRITICAL INCIDENT STRESS MANAGEMENT AND DEBRIEFING

Dundee City Council recognises the crucial role played by staff in the delivery of services to support, care for and protect people in Dundee. Elected members and Chief Officers are aware of their responsibilities which include a duty of care for their employees. This involves the provision of care following a critical incident which has occurred within the workplace.

Critical Incident Stress Management, including Critical Incident Stress Debriefing (or Psychological Debriefing), is a recognised system of care providing an organisational response to help promote normalisation and recovery for employees who may experience stress following a critical incident.

3. DEFINITIONS

3.1 Critical Incident

A critical incident is an event **outside the range of normal human experience** that would be distressing to anyone. Examples of critical incidents¹ which can occur while at work may include:-

- the traumatic death or injury of service users and/or members of staff/co-workers;
- an event where anyone seriously harms himself/herself/others or attempts/completes suicide;
- death of a child or adult from suspected violence, neglect or any other condition which may have a lasting effect on personnel²;
- events which occur outside work could also be included which have an impact on staff e.g. the suicide or traumatic death of a colleague that affects personnel; and
- any incident or situation which managers consider require Critical Incident Stress Management debriefing.

Incidents such as these can occur in virtually any work environment and anyone can suffer a post-traumatic stress response following a critical incident. Even persons who

¹ These examples may be considered to be critical incidents if they are outside the normal human experience of the staff member/employee. For some staff the death of patients or service users is a more common occurrence and would not be considered a critical incident.

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have witnessed or experienced similar situations in the past, without significant effects, may be affected by the incident. Response reactions are described in detail in Appendix 1, Coping with Trauma - Signs and Symptoms.

3.2 Critical Incident Stress Management

Critical Incident Stress Management (CISM) is an adaptive, short-term helping process that focuses solely on an immediate and identifiable problem. It spans pre-incident preparedness to acute crisis to post-crisis follow up. Its purpose is to enable people to return to their daily routine more quickly and with less likelihood of experiencing post traumatic stress disorder.

3.3 Critical Incident Stress Debriefing

Critical Incident Stress Debriefing is a confidential discussion of a critical incident relating to the feelings and perceptions of those directly involved prior to, during, and after a stressful event. Debriefings are not counselling, nor an operational critique of the incident, but are intended to provide support and an outlet for views and feelings associated with the event.

4. THE PURPOSE, PHASES AND CONTENT OF CRITICAL INCIDENT STRESS MANAGEMENT

4.1 Purpose

CISM is designed to help people deal with their trauma one incident at a time, by allowing them to talk about the incident when it happens without judgment or criticism. All interventions are strictly confidential, the only caveat to this is if the person carrying out the intervention determines that the person being helped is a danger to him/her self or to others. If this was to happen the employee should be kept informed of all steps to be taken. The emphasis is always on keeping people safe and returning them quickly to more *normal* levels of functioning.

Normal is different for everyone, and it is not easy to quantify. Critical incidents raise stress levels dramatically in a short period of time and after treatment a new *normal* is established, however, it is always higher than the old level. The purpose of the intervention process is to establish or set the new *normal* stress levels as low as possible.

4.2 The Phases of Critical Incident Stress Management

1. Prevention -

The identification of risks that are specific to staff working in Dundee City Council and those contracted to provide services on the Council's behalf.

2. Preparedness -

The planning and rehearsal of processes to be undertaken when a critical incident occurs including planning, policy and procedural guidance development, and staff development.

3. Critical Incident Response -

Implementing planned procedures to ensure that information is shared, immediate changes are implemented and people are helped to deal with their trauma and are supported and helped to return to *normal* levels of functioning as soon as possible.

4. Post Critical Incident Response -

Implementation of recovery processes to facilitate the return to routine including critical incident debriefing and on-going monitoring of reactions. It may also include the development and implementation of a response plan.

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This involves the resumption of regular routine, the review of existing plans and may include memorials, counselling or other employee specific support.

4.3 Types of intervention

The type of intervention used depends on the situation, the number of people involved, and their proximity to the event. The optimum is a three-step approach that addresses the trauma at various stages of progression: defusing, debriefing, and individual follow-up.

(a) Defusing

Where practical, a defusing is done the day of the incident before the person(s) has a chance to sleep. The defusing is designed to assure the person/people involved that their feelings are normal, tells them what symptoms to watch for over the short term and to offer them a lifeline in the form of a telephone number where they can reach someone to whom they can talk. Defusings are limited only to individuals directly involved in the incident and are often done informally. They are designed to assist individuals in coping in the short term and address immediate needs.

(b) Debriefing

Debriefings are usually the second level of intervention for those directly affected by the incident.

A debriefing is normally done within 72 hours of the incident and gives the individual or group the opportunity to talk about their experience, how it has affected them, discuss coping mechanisms, identify individuals at risk, and inform the individual or group about services available to them. The final step is to follow up with them the

day after the debriefing to ensure that they are safe and coping well or to refer the individual for further support, including professional counselling.³

(c) *Follow-up*

The important final step is follow-up. This is generally initially done within the week following the debriefing. It is likely further follow ups will be included in any response plan which is developed, however, this will depend on the situation. Follow up can also be referred to as 'watchful waiting'. It is important that a manager continues to review an employee's progress as reactions can be delayed. Appendix 3 - 'Actions Following a Critical Incident', includes details of the suggested schedule for such reviews.

5. CRITICAL INCIDENT DEBRIEFING

Critical Incident Debriefing is part of a comprehensive spectrum of techniques and approaches called Critical Incident Stress Management. It needs to take place in this context and not be seen as a 'one-off' debriefing or as a stand alone method of crisis intervention. Carried out as part of a continuum of support, it is a well received intervention for most people. It is known to be useful for enabling screening, education and support.

It should be provided after an event which is outside the usual range of experiences and which challenges one's ability to cope. Such a crisis event will have an impact sufficient enough to overwhelm the usually effective coping skills of either an individual or group. It should be conducted by experienced, well-trained practitioners.⁴

The main aims of Critical Incident Debriefing are:

- to reduce the impact of the traumatic event;
- to mitigate against acute signs and symptoms of distress, dysfunction or impairment;
- to accelerate the normal recovery process from a traumatic event;
- to normalise the stress response;
- to provide education in stress management coping techniques;
- to restore adaptive independent functioning;
- to provide a screening opportunity to identify group members who might benefit from additional support services or a referral for professional care; and
- to facilitate access to a higher level of support or care, where necessary.

³ Dundee City Council Social Work Department Staff Support Service has a list of independent counsellors who can be accessed via the Staff Support Officer.

⁴ Staff trained in psychological debriefing can also be contacted via the Educational Psychology Service or the Social Work Department Staff Support Officer. The Council is working to expand the number of staff trained and experienced in this intervention.

A Critical Incident Debriefing usually takes place as a group discussion at a time when the emotional impact of an event sets in, usually within 12 - 72 hours. It promotes normalisation and recovery by having the involved personnel discuss issues such as their thoughts, their emotional reactions and the stress symptoms they are experiencing. The group setting provides a forum for communication and helps to re-establish order and a sense of safety. It also helps those involved to recognise the universality of their reactions. **It is not a forum for discussion of the circumstances or details of the event** (See Section 8, p. 10 'Staff Attending Inquiries or Court').

It would appear that CISD is most effective when used with small homogenous groups who have encountered a powerful traumatic event. In such instances, as well as reducing distress it can also help to restore group cohesion and unit performance.

Involvement of staff in Critical Incident Debriefing should be seen as automatic in certain circumstances:

1. major disasters;
2. multiple casualty events;
3. line of duty death or suicide of a colleague; and
4. the death of a child or adult from violence, neglect or any other condition which may have a lasting effect on personnel.

Involvement should be seen as automatic, as opting in can be felt by some to be seen as a sign of weakness. This Protocol sets out expectations within Dundee City Council and should be considered in conjunction with the 'Multi-Agency Protocol for the Support of Employees Affected by Critical Incidents'.

6. ROLES AND RESPONSIBILITIES

6.1 All Staff

It is essential that good communication channels are maintained by those involved directly or indirectly when a critical incident occurs.

6.2 Employees

Staff in all Dundee City Council departments and services must report any significant incident in which they have been involved or with which they have been connected as a result of their employment and/or work activities. They should also, as soon as is practicable after the event, report the incident to their line manager in line with the Council's policies.

6.3 Managers

Managers have a duty to be aware of, and make staff aware of the signs and symptoms of stress and acute stress reactions (see Appendix 1 - 'Coping With Trauma - Signs and Symptoms'). All managers must ensure that the details of these incidents are adequately reported and that appropriate action is taken.

In addition to managers having a duty to respond when staff report an incident, they should also be proactive in the identification of situations when Critical Stress Debriefing should take place.

This Debriefing process will often take place within the member of staff's own department or service. Incidents may involve staff who work together from more than one department or service of the Council. Where this is the case, the Council Protocol will apply. However, when it is clear that a significant incident, such as the sudden death of a child or adult, affects staff from a number of agencies who have been working together (for example in a joint service), then consideration should be given to the benefits to be gained by multi-agency debriefing. This should be discussed with and agreed by a Senior Manager.

6.4 Senior Managers

Managers can expect to receive support from their own line manager throughout this process as detailed above under point 6.3. Where the incident involves staff who work together in a multi-agency setting or team a Senior Manager will make a decision whether to initiate multi-agency debriefing (see Multi-Agency Protocol for the Support of Staff Affected by Critical Incidents).

6.5 Lead Officers to Chairs of Protection Committees

When the critical incident involves the death from abuse or neglect of a child or an adult at risk of harm and it has been agreed that multi-agency debriefing should take place, the debriefing process will be co-ordinated through the appropriate Lead Officer reporting to the CYPPC or Adult Support and Protection Committees. The Senior Manager or Manager will make contact with the appropriate Lead Officer.

6.6 Critical Incident Management Group

In cases involving the sudden death of a service user - child, young person or adult - from suspected violence or neglect or in other suspicious circumstances⁵, the Chief Executive should give consideration to the setting up of a Critical Incident Management Group.

As well as addressing the need for Critical Incident Stress Debriefing, such a group might address the management of press releases, the conduct of pre-inquiry or pre-trial management reviews and other matters that emerge.

The Chief Executive will make this decision in consultation with his/her colleague Chief Officers.

⁵ (see also Footnotes 1 & 2 on Page 3)

In cases involving the sudden death of a child, young person or adult where there is multi-agency involvement, the Chief Executive of the Council, as Chair of the Chief Officers Group, should give consideration to the setting up of a multi-agency Critical Incident Management Group.

The Chief Executive of the Council will make this decision in consultation with his/her colleague Chief Officers from Tayside Police and NHS Tayside.

Where there is, or is likely to be, a criminal investigation, the Procurator Fiscal (or a representative from the Procurator Fiscal's Office) must be a member of this group.

7. STEPS AND DECISIONS TO BE TAKEN FOLLOWING A CRITICAL INCIDENT

The actions to be taken following a Critical Incident are outlined in Appendix 3 - 'Action to be Taken Following a Critical Incident'.

Step 1 Manager is made aware of the involvement of an employee(s) in a critical incident by employee or others. The Manager will determine if the incident is such that it should be dealt with under this specific protocol or the multi-agency protocol or an agency specific protocol. In many cases it will be more appropriate to follow single agency protocols⁶.

Step 2 Where an employee does not know of the critical incident - they need to be told. The manager should decide how this should be done, by whom and when.

Step 3 Manager meets with the employee, initially assesses the situation, and discusses and provides coping with trauma information (See Appendix 1 _ 'Coping with Trauma - Signs and Symptoms'). The Manager also considers the need to re-prioritise the employee's workload, including diversion of phone, change of duties etc and where appropriate offers basic support. The Manager will consider whether single agency or multi-agency debriefing should take place. The Manager will complete a record of the initial support meeting using the proforma attached as Appendix 2 - 'Record of Initial Support Meeting'.

Step 4 Manager makes contact with appropriate Senior Manager who will provide the Manager with support and will also make the decision about a referral on for multi-agency debriefing.

⁶ For example, Managing Critical Incidents and Sudden Bereavement - Guidance for minimising risk to staff and students and promoting effective practice (Dundee City Council Education Department and Barnardo's Scotland). This protocol is used after the death of a school pupil from illness or accident.

- Step 5** Where it is decided that single agency debriefing should take place the Manager will initiate this within his/her own agency. Where the critical incident involves the sudden death of a child or adult at risk of harm, and it is decided that there would be a benefit in having multi-agency debriefing, the Manager or Senior Manager will make contact with the Lead Officer(s) Child and/or Adult Support and Protection (See Multi-Agency Protocol on Critical Incident Management).
- Step 6** The Lead Officer Child or Adult Support and Protection will initiate multi-agency debriefing using an experienced and trained facilitator.
- Step 7** Where the critical incident involves the sudden death of a service user - a child, young person or adult at risk - from suspected violence or neglect or in other suspicious circumstances, the Chief Executive of the Council will be advised and will consider the need to set up a Critical Incident Management Group. Where there has been multi-agency involvement, the Chief Executive, as Chair of the Chief Officers Group, will consult with colleague Chief Officers in Tayside Police and NHS Tayside on the need to establish a multi-agency Critical Incident Management Team.
- Step 8** Following debriefing, decisions need to be made about follow up activities and what should be in a response plan. This will detail who will do what and when.
- Step 9** Senior Manager and/or Manager will decide on arrangements for the implementation and monitoring of any response plan put in place.

8. STAFF ATTENDING INQUIRIES OR COURT

After a critical incident a member of staff may be required to give a statement to the police and thereafter attend an inquiry or court to give evidence in either a civil or criminal law case, connected to his/her employment. This might be anything between two or three months to many months after the event. The waiting alone in the knowledge that citation is inevitable can be very stressful. Members of staff should be aware that the law dictates that copies of any statement that they make to the police in criminal proceedings will be disclosed to the defence, together with the details of any convictions that the member of staff might have. The police may require to seize records to be used in evidence and it is good practice to ensure that these records are copied before handing over the originals. The requirement to attend court and give evidence may have the potential to traumatise or re-traumatise individuals as giving evidence requires memory recall and oral narration of the incident.

As part of our duty of care towards employees, Dundee City Council will ensure that staff are supported throughout the investigatory and court processes. The police can insist on interviewing a member of staff on his/her own during the investigatory process although support in the form of a colleague, manager or Trade Union representative may be permitted in certain circumstances. The court will decide if a

witness can be accompanied by a support person while giving evidence during court proceedings. Any member of staff who receives a citation to attend court and who would like to be accompanied by an identified support person should seek permission for this to happen as soon as possible. Witnesses must attend court unless formally excused by the person citing them or upon the acceptance by the court of a 'soul and conscience' certificate signed by a doctor.

It is impossible to provide detailed guidance to cover all possible circumstances, however, the greatest care must be taken to ensure that nothing happens which could have an adverse effect on the prosecution process. In particular a staff member who is a potential prosecution witness **must not discuss with any other potential witness** a matter on which s/he is likely to have to give evidence. Those conducting the debriefing or otherwise offering support to staff must ensure that matters which may be the subject of evidence in court are not discussed (orally or in writing) in circumstances where a witness's recollection could be compromised.

Training should be made available for staff in order to prepare them for attendance at court. Any such training needs to be done in conjunction with advice from the Procurator Fiscal and the Crown Office.⁷

9. POST COURT/INQUIRY SUPPORT

The death of a child or adult at risk may result in a court case or external inquiry. In these circumstances staff will be unable to discuss the details of the critical incident with one another. They will only be able to do so once all legal or formal proceedings are over. (This does not mean that staff cannot be involved in debriefings - which concentrate on feelings and reactions rather than events and facts).

When formal processes are concluded, and circumstances allow this to happen, consideration should be given to providing the staff involved with an opportunity to meet together for a facilitated discussion of events and the feelings experienced.

Indications are that, where this has taken place, staff have found this helpful. A proposal for such a meeting should be included in a single or multi-agency critical incident response plan. There may well be organisational and/or practice issues which may emerge from such a meeting. This meeting may also provide staff with a form of closure which has not been available to them before.

10. CONFIDENTIALITY

It shall be mandatory that staff at all levels involved maintain strict confidentiality in matters discussed. It should be noted that circumstances may exist which may compromise the rule of confidentiality. This may be the case where the professional assessment indicates a level of risk to the employee, third parties or there is a potential for serious professional misconduct.

⁷ It should be noted that when there is a criminal investigation **any matters** can be referred to the Procurator Fiscal for guidance.

Where circumstances dictate that it is necessary to disclose certain information this will be done with the consent (or at least the knowledge) of the employee and the Council.

11. MEDIA GUIDANCE

Contact by the press or the media may be a further source of stress for members of staff. Staff who find themselves in the position of being contacted by the media, should contact the Council's Public Relations service who will have their own policies and procedural guidance to cover such situations. Staff members should not offer comment themselves. Contact with the Public Relations service will usually be made by a manager or senior manager.

After certain critical incidents a decision may be made for there to be one spokesperson. This is a decision which may be made by the Critical Incident Management Team, if established.

APPENDIX 1

COPING WITH TRAUMA - SIGNS AND SYMPTOMS⁸

What is a traumatic event?

A traumatic event usually leaves the person with intense fear, helplessness, or horror that can affect his/her ability to carry out daily duties or responsibilities. For many people the worst time is when all the fuss has died down but the strong feelings remain.

Typical reactions to trauma

Not everyone experiences the same set of responses to trauma, but people typically experience reactions that fall into four basic categories. Below are some examples of reactions that you may experience:-

Psychological and Emotional <ul style="list-style-type: none">• Shock, feeling like it isn't really happening, numbness• Anxiety• Sadness, low mood• Re-experiencing of the traumatic event e.g. nightmares and/or flashbacks• Hyper-vigilance (scanning environment for possible danger)	Cognitive <ul style="list-style-type: none">• Difficulty concentrating• Forgetfulness• Absent mindedness• Low attention span• Impulsivity• Poor judgement/decision making
Physical <ul style="list-style-type: none">• Headaches• Nausea• Exaggerated startle response• Fatigue• Shortness of breath, dry mouth• Trembling• Feelings of panic e.g. sweaty palms	Behavioural <ul style="list-style-type: none">• Hyperactivity or less activity• Short tempered• Withdrawing from others• Avoidance of activities or places that remind you of the traumatic event• Sleeping difficulties• Risk taking e.g. taking drugs, increased alcohol intake, impulsive behaviour• Changes in eating behaviour

⁸ Information supplied by Occupational Health and Safety Advisory Service

REMEMBER: Trauma reactions are normal reactions to extremely abnormal circumstances.

What can you do to cope?

- Give yourself time to heal and anticipate that this will be a difficult time in your life. Your body and mind will tell you what to do: your job is to listen to them.
- Talk to people as much as you need to. Reach out. Try talking with family, close friends, or keep a diary expressing how you feel.
- Focus on your basic needs, eat something even if you don't have an appetite and get plenty of rest
- Do things that feel good to you, for example, take baths, read, exercise and spend time with people who make you feel safe.
- Allow yourself to cry, rage, express your feelings when you need to. Try not to numb your feelings with alcohol, drugs as this will only complicate the situation.
- Avoid making major life decisions as this time as this will only add to the stress you may currently be feeling

APPENDIX 2

RECORD OF INITIAL SUPPORT MEETING

Date

Time

Location

Duration

Attendees

Name:	Designation:

Non Attendees

Name:	Designation:

Summary of Discussions and Outcomes (continue on separate sheet if necessary)

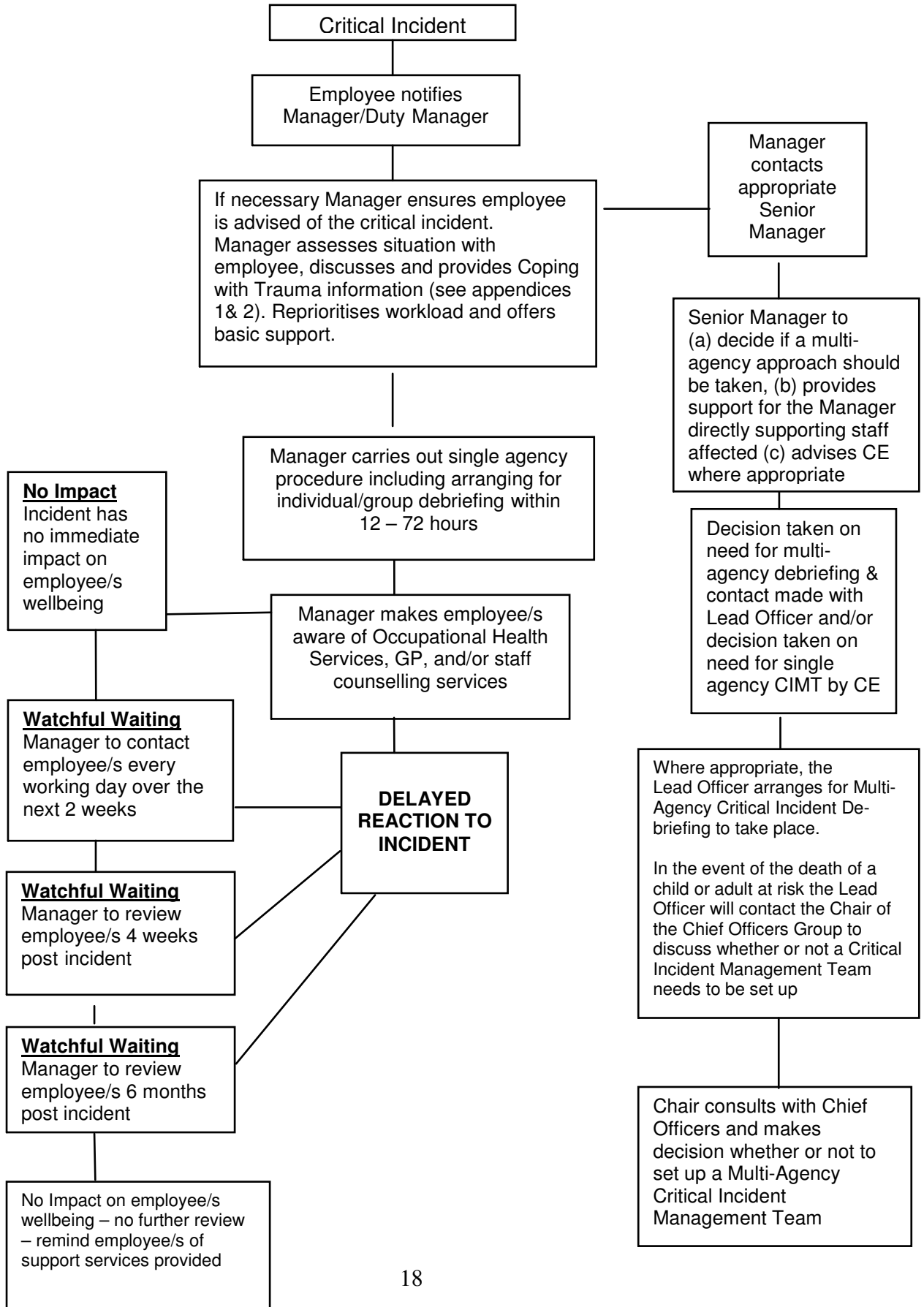
Follow Up Meeting (continue on a separate sheet if necessary)

Signed
Line Manager
Designation
Directorate

Date

APPENDIX 3 ACTIONS FOLLOWING A CRITICAL INCIDENT

These are detailed below in the form of a flow chart, which outlines decisions and steps required when consideration is given to multi-agency debriefing following a critical incident.



APPENDIX 4

FURTHER INFORMATION/CONTACTS

- OHSAS Critical Incident Management Policy
Access details: <http://www.ohsas.co.uk>
- Crown Office and Procurator Fiscal Service Website – Key Information for staff required to attend court as a witness
Access details:
<http://www.COPFS.gov.uk>
Refer to the heading ‘Key Information’ then the link ‘Are you a witness?’
- Post Traumatic Stress Disorder Signs and Symptoms
Access details:
<http://www.rcpsych.ac.uk/mentalhealthinfo/problems/ptsd/posttraumaticstressdisorder>
- Samaritans – Confidential emotional support 24/7
Access details: <http://www.samaritans.org> or telephone 08457 909090
- www.trauma.org.uk
- www.apa.org/practice/traumaticstress.html
- Education Department Guidance
Access details
www.dundee.gov.uk/dundee/uploaded_publications/publication_1203.pdf
www.dundee.gov.uk/dundee/uploaded_publications/publication_1279.pdf

D R A F T

CRITICAL INCIDENTS

**MULTI -AGENCY PROTOCOL FOR THE
SUPPORT OF EMPLOYEES
AFFECTED BY CRITICAL INCIDENTS**

December 2009

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1. INTRODUCTION

This multi-agency protocol represents a commitment to the provision of multi-agency Critical Incident Stress Management in Dundee. It specifically addresses the provision of Critical Incident Debriefing for personnel working across services to support children and adults at risk in the city.

2. MULTI-AGENCY PROTOCOL ON CRITICAL INCIDENT STRESS MANAGEMENT AND DEBRIEFING

The Chief Officers Group, the members of the Children and Young Person's Protection Committee, the members of the Adult Support and Protection Committee and the MAPPA Strategic Oversight Group recognise the crucial role played by staff in the delivery of services to support and protect children and their families and adults at risk in Dundee. All agencies involved in the planning, development and delivery of people protection services have a duty of care for their employees. This includes the provision of care following a critical incident which has occurred within the workplace.

Critical Incident Stress Management, including Critical Incident Stress Debriefing (or Psychological Debriefing), is a recognised system of care providing an organisational response to help promote normalisation and recovery for employees who may experience stress following a critical incident.

3. DEFINITIONS

3.1 Critical Incident

A critical incident is an event **outside the range of normal human experience** that would be distressing to anyone. Examples of critical incidents¹ which can occur while at work may include:-

- the traumatic death or injury of patients/service users and/or members of staff/co-workers;
- an event where anyone seriously harms himself/herself/others or attempts/completes suicide;
- death of a child or adult from suspected violence, neglect or any other condition which may have a lasting effect on personnel²;
- events which occur outside work could also be included which have an impact on staff e.g. the suicide or traumatic death of a colleague that affects personnel; and
- any incident or situation which managers consider require Critical Incident Stress Management debriefing.

¹ These examples may be considered to be critical incidents if they are outside the normal human experience of the staff member/employee. For some staff the death of patients or service users is a more common occurrence and would not be considered a critical incident.

² If the death is the result of illness or accident, existing single agency guidelines should be followed.

Incidents such as these can occur in virtually any work environment and anyone can suffer a post-traumatic stress response following a critical incident. Even persons who have witnessed or experienced similar situations in the past, without significant effects, may be affected by the incident. Response reactions are described in detail in Appendix 1, Coping With Trauma - Signs and Symptoms.

3.2 Critical Incident Stress Management

Critical Incident Stress Management (CISM) is an adaptive, short-term helping process that focuses solely on an immediate and identifiable problem. It spans pre-incident preparedness to acute crisis to post-crisis follow up. Its purpose is to enable people to return to their daily routine more quickly and with less likelihood of experiencing post traumatic stress disorder.

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4.1 Purpose

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Normal is different for everyone, and it is not easy to quantify. Critical incidents raise stress levels dramatically in a short period of time and after treatment a new *normal* is established, however, it is always higher than the old level. The purpose of the intervention process is to establish or set the new *normal* stress levels as low as possible.

4.2 The Phases of Critical Incident Stress Management

1. Prevention -

The identification of risks that are specific to staff working in the agencies covered by

this protocol.

2. Preparedness -

The planning and rehearsal of processes to be undertaken when a critical incident occurs including planning, policy and procedural guidance development, and staff development.

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Implementing planned procedures to ensure that information is shared, immediate changes are implemented and people are helped to deal with their trauma and are supported and helped to return to *normal* levels of functioning as soon as possible.

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This involves the resumption of regular routine, the review of existing plans and may include memorials, counselling or other employee specific support.

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Where practical, a defusing is done the day of the incident before the person(s) has a chance to sleep. The defusing is designed to assure the person/people involved that their feelings are normal, tells them what symptoms to watch for over the short term and to offer them a lifeline in the form of a telephone number where they can reach someone to whom they can talk. Defusings are limited only to individuals directly involved in the incident and are often done informally. They are designed to assist individuals in coping in the short term and address immediate needs.

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Debriefings are usually the second level of intervention for those directly affected by the incident.

A debriefing is normally done within 72 hours of the incident and gives the individual or group the opportunity to talk about their experience, how it has affected them,

discuss coping mechanisms, identify individuals at risk, and inform the individual or group about services available to them. The final step is to follow up with them the day after the debriefing to ensure that they are safe and coping well or to refer the individual for further support, including professional counselling.

(c) Follow-up

The important final step is follow-up. This is generally initially done within the week following the debriefing. It is likely further follow ups will be included in any response plan which is developed, however, this will depend on the situation. Follow up can also be referred to as 'watchful waiting'. It is important that a manager continues to review an employee's progress as reactions can be delayed. Appendix 3 - 'Actions Following a Critical Incident', includes details of the suggested schedule for such reviews.

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It should be provided after an event which is outside the usual range of experiences and which challenges one's ability to cope. Such a crisis event will have an impact sufficient enough to overwhelm the usually effective coping skills of either an individual or group. It should be conducted by experienced, well-trained practitioners.

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- to facilitate access to a higher level of support or care, where necessary.

A Critical Incident Debriefing usually takes place as a group discussion at a time when the emotional impact of an event sets in, usually within 12 - 72 hours. It promotes normalisation and recovery by having the involved personnel discuss issues such as their thoughts, their emotional reactions and the stress symptoms they are

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It would appear that CISD is most effective when used with small homogenous groups who have encountered a powerful traumatic event. In such instances, as well as reducing distress it can also help to restore group cohesion and unit performance.

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It is essential that good communication channels are maintained by those involved directly or indirectly when a critical incident occurs.

6.2 Employees

Staff in all agencies must report any significant incident in which they have been involved or with which they have been connected as a result of their employment and/or work activities. They should also, as soon as is practicable after the event, report the incident to their line manager in line with the policies of their agency.

6.3 Managers

Managers have a duty to be aware of, and make staff aware of the signs and symptoms of stress and acute stress reactions (see Appendix 1 - 'Coping With Trauma - Signs and Symptoms'). All managers must ensure that the details of these incidents are adequately reported and that appropriate action is taken.

In addition to managers having a duty to respond when staff report an incident, they should also be proactive in the identification of situations when Critical Stress Debriefing should take place.

This Debriefing process will often take place within the member of staff's own agency. When it is clear that a significant incident, such as the sudden death of a child or adult, affects staff from a number of agencies who have been working together, then consideration should be given to the benefits to be gained by multi-agency debriefing. This should be discussed with and agreed by a senior manager.

6.4 Senior Managers

Managers can expect to receive support from their own line manager throughout this process as detailed above under point 6.3. A Senior Manager should make the decision to initiate multi-agency debriefing.

6.5 Lead Officers to Chairs of Protection Committees

When it has been agreed that multi-agency debriefing should take place, the debriefing process will be co-ordinated through the Lead Officers reporting to the CYPPC or Adult Support and Protection Committees of MAPPAs Strategic Oversight Group. The Senior Manager or Manager will make contact with the appropriate Lead Officer.

6.6 Critical Incident Management Group

In cases involving the sudden death of a service user - a child, young person or adult - from suspected violence or neglect, or in other suspicious circumstances³ the Chair of the Chief Officers Group should give consideration to the setting up of a Critical Incident Management Group.

As well as addressing the need for Critical Incident Stress Debriefing, such a group might address the management of press releases, the conduct of pre-trial management reviews and other matters that emerge.

The Chair will make this decision in consultation with his/her colleague Chief Officers

Where there is, or is likely to be, a criminal investigation, the Procurator Fiscal (or a representative from the Procurator Fiscal's Office must be a member of this group.

7. STEPS AND DECISIONS TO BE TAKEN FOLLOWING A CRITICAL INCIDENT

The actions to be taken following a Critical Incident are outlined in Appendix 3 - 'Action to be Taken Following a Critical Incident'.

³ (see also Footnotes 1 & 2 on Page 3)

- Step 1** Manager is made aware of the involvement of an employee(s) in a critical incident by employee or others. The Manager will determine if the incident is such that it should be dealt with under this specific multi-agency protocol or not. In many cases it will be more appropriate to follow single agency protocols, for example those in operation in NHS Tayside, Tayside Police, and Dundee City Council⁴.
- Step 2** Where an employee does not know of the critical incident - they need to be told. The manager should decide how this should be done, by whom and when.
- Step 3** Manager meets with the employee, initially assesses the situation, and discusses and provides coping with trauma information (See Appendix 1 – 'Coping With Trauma - Signs and Symptoms'). The Manager also considers the need to re-prioritise the employee's workload, including diversion of phone, change of duties etc and where appropriate offers basic support. The Manager will consider whether single agency or multi-agency debriefing should take place. The Manager will complete a record of the initial support meeting using the proforma attached as Appendix 2 - 'Record of Initial Support Meeting'.
- Step 4** Manager makes contact with appropriate Senior Manager who will provide the Manager with support and will also make the decision about a referral on for multi-agency debriefing.
- Step 5** Where it is decided that single agency debriefing should take place, the Manager will initiate this within his/her own agency. Where it is decided that there would be a benefit in having multi-agency debriefing the Manager or Senior Manager will make contact with the Lead Officer(s) Child and/or Adult Support and Protection and/or if appropriate, the MAPPA Co-ordinator.
- Step 6** The Lead Officer Child or Adult Support and Protection will initiate multi-agency debriefing using an experienced and trained facilitator.
- Step 7** Where the critical incident involves the sudden death of a service user -a child, young person or adult at risk - from suspected violence or neglect, or in other suspicious circumstances, the Chair of the Chief Officers Group will be advised and will consider the need to set up a Critical Incident Management Group.
- Step 8** Following debriefing decisions need to be made about follow up activities and what should be in a response plan. This will detail who will do what and when.
- Step 9** Senior Manager and/or Manager will decide on arrangements for the implementation and monitoring of any response plan put in place.

⁴ Including Managing Critical Incidents and Sudden Bereavement - Guidance for minimising risk to staff and students and promoting effective practice (Dundee City Council Education Department and Barnardo's Scotland).

8. STAFF ATTENDING COURT

After a critical incident a member of staff may be required to give a statement to the police and thereafter attend court to give evidence in either a civil or criminal law case, connected to his/her employment. This might be anything between two or three months to many months after the event. The waiting alone in the knowledge that citation is inevitable can be very stressful. Members of staff should be aware that the law dictates that copies of any statement that they make to the police in criminal proceedings will be disclosed to the defence, together with the details of any convictions that the member of staff might have. The police may require to seize records to be used in evidence and it is good practice to ensure that these records are copied before handing over the originals. The requirement to attend court and give evidence may have the potential to traumatise or re-traumatise individuals as giving evidence requires memory recall and oral narration of the incident.

As part of their duty of care towards employees agencies must ensure that staff are supported throughout the investigatory and court processes. The police can insist on interviewing a member of staff on his/her own during the investigatory process although support in the form of a colleague, manager or Trade Union representative may be permitted in certain circumstances. The court will decide if a witness can be accompanied by a support person while giving evidence during court proceedings. Any member of staff who receives a citation to attend court and who would like to be accompanied by an identified support person should seek permission for this to happen as soon as possible. Witnesses must attend court unless formally excused by the person citing them or upon the acceptance by the court of a 'soul and conscience' certificate signed by a doctor.

It is impossible to provide detailed guidance to cover all possible circumstances, however, the greatest care must be taken to ensure that nothing happens which could have an adverse effect on the prosecution process. In particular a staff member who is a potential prosecution witness **must not discuss with any other potential witness** a matter on which s/he is likely to have to give evidence. Those conducting the debriefing or otherwise offering support to staff must ensure that matters which may be the subject of evidence in court are not discussed (orally or in writing) in circumstances where a witness's recollection could be compromised.

Training should be made available for staff in order to prepare them for attendance at court. Any such training needs to be done in conjunction with advice from the Procurator Fiscal and the Crown Office⁵.

⁵ It should be noted that when there is a criminal investigation **any matters** can be referred to the Procurator Fiscal for guidance.

9. POST COURT/INQUIRY SUPPORT

The death of a child or adult at risk may result in a court case or external inquiry. In these circumstances staff will be unable to discuss the details of the critical incident with one another. They will only be able to do so once all legal or formal proceedings are over.

When formal processes are concluded, and circumstances allow this to happen, consideration should be given to providing the staff involved with an opportunity to meet together for a facilitated discussion of events and the feelings experienced.

Indications are that, where this has taken place, staff have found this helpful. A proposal for such a meeting should be included in a multi-agency critical incident response plan. There may well be organisational and/or practice issues which may emerge from such a meeting. This meeting may also provide staff with a form of closure which has not been available to them before.

10. CONFIDENTIALITY

It shall be mandatory that staff at all levels involved maintain strict confidentiality in matters discussed. It should be noted that circumstances may exist which may compromise the rule of confidentiality. This may be the case where the professional assessment indicates a level of risk to the employee, third parties or there is a potential for serious professional misconduct.

Where circumstances dictate that it is necessary to disclose certain information this will be done with the consent of the employee and agency (employer).

11. MEDIA GUIDANCE

Contact by the press or the media may be a further source of stress for members of staff. Staff who find themselves in the position of being contacted by the media, should contact their agencies public relations or communications department/services. Agencies will have their own policies and procedural guidance to cover such situations. Staff members should not offer comment themselves.

After certain critical incidents a decision may be made for there to be one spokesperson on behalf of all agencies. This is a decision which may be made by the Critical Incident Management Team, if established.

APPENDIX 1

COPING WITH TRAUMA - SIGNS AND SYMPTOMS⁶

What is a traumatic event?

A traumatic event usually leaves the person with intense fear, helplessness, or horror that can affect his/her ability to carry out daily duties or responsibilities. For many people the worst time is when all the fuss has died down but the strong feelings remain.

Typical reactions to trauma

Not everyone experiences the same set of responses to trauma, but people typically experience reactions that fall into four basic categories. Below are some examples of reactions that you may experience:-

Psychological and Emotional <ul style="list-style-type: none">• Shock, feeling like it isn't really happening, numbness• Anxiety• Sadness, low mood• Re-experiencing of the traumatic event e.g. nightmares and/or flashbacks• Hyper-vigilance (scanning environment for possible danger)	Cognitive <ul style="list-style-type: none">• Difficulty concentrating• Forgetfulness• Absent mindedness• Low attention span• Impulsivity• Poor judgement/decision making
Physical <ul style="list-style-type: none">• Headaches• Nausea• Exaggerated startle response• Fatigue• Shortness of breath, dry mouth• Trembling• Feelings of panic e.g. sweaty palms	Behavioural <ul style="list-style-type: none">• Hyperactivity or less activity• Short tempered• Withdrawing from others• Avoidance of activities or places that remind you of the traumatic event• Sleeping difficulties• Risk taking e.g. taking drugs, increased alcohol intake, impulsive behaviour• Changes in eating behaviour

⁶ Information supplied by Occupational Health and Safety Advisory Service

REMEMBER: Trauma reactions are normal reactions to extremely abnormal circumstances.

What can you do to cope?

- Give yourself time to heal and anticipate that this will be a difficult time in your life. Your body and mind will tell you what to do: your job is to listen to them.
- Talk to people as much as you need to. Reach out. Try talking with family, close friends, or keep a diary expressing how you feel.
- Focus on your basic needs, eat something even if you don't have an appetite and get plenty of rest
- Do things that feel good to you, for example, take baths, read, exercise and spend time with people who make you feel safe.
- Allow yourself to cry, rage, express your feelings when you need to. Try not to numb your feelings with alcohol, drugs as this will only complicate the situation.
- Avoid making major life decisions as this time as this will only add to the stress you may currently be feeling

APPENDIX 2

RECORD OF INITIAL SUPPORT MEETING

Date

Time

Location

Duration

Attendees

Name:	Designation:

Non Attendees

Name:	Designation:

Summary of Discussions and Outcomes (continue on separate sheet if necessary)

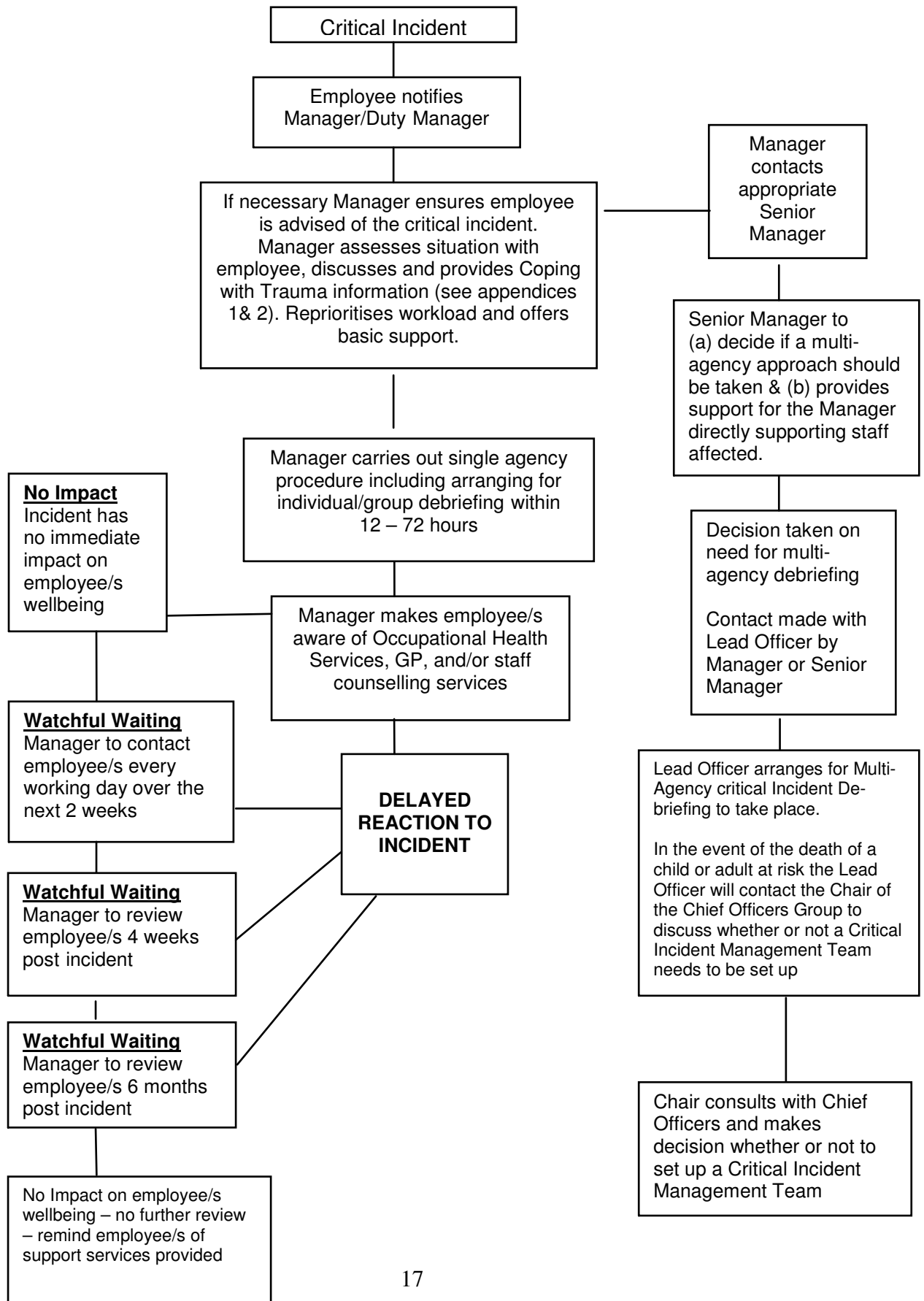
Follow Up Meeting (continue on a separate sheet if necessary)

Signed
Line Manager
Designation
Directorate

Date

APPENDIX 3 ACTIONS FOLLOWING A CRITICAL INCIDENT

These are detailed below in the form of a flow chart, which outlines decisions and steps required when consideration is given to multi-agency debriefing following a critical incident.



APPENDIX 4

FURTHER INFORMATION/CONTACTS

- OHSAS Critical Incident Management Policy
Access details: <http://www.ohsas.co.uk>
- Crown Office and Procurator Fiscal Service Website – Key Information for staff required to attend court as a witness
Access details:
<http://www.COPFS.gov.uk>
Refer to the heading ‘Key Information’ then the link ‘Are you a witness?’
- Post Traumatic Stress Disorder Signs and Symptoms
Access details:
<http://www.rcpsych.ac.uk/mentalhealthinfo/problems/ptsd/posttraumaticstressdisorder>
- Samaritans – Confidential emotional support 24/7
Access details: <http://www.samaritans.org> or telephone 08457 909090
- www.trauma.org.uk
- www.apa.org/practice/traumaticstress.html
- Dundee City Council Education Department Guidance
Access details
www.dundee.gov.uk/dundee/uploaded_publications/publication_1203.pdf
www.dundee.gov.uk/dundee/uploaded_publications/publication_1279.pdf

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23 AUGUST 2010
REPORT ON: CORPORATE PARENTING
REPORT BY: ASSISTANT CHIEF EXECUTIVE
REPORT NO: 369-2010

1. PURPOSE OF REPORT

This report updates members of the Policy and Resources Committee on the progress of Dundee's Corporate Parenting Policy established by Dundee City Council on 9th June 2008 and the work underway to develop further support to looked after children in the city.

2. RECOMMENDATIONS

It is recommended that the Committee agree and endorse the 2009/2010 Corporate Parenting Annual Report (attached) and the recommendations therein:

- i) a Looked After Children Board is developed to 'Champion' the needs of Looked After Children
- ii) the work and impact of the 'Board' to be monitored and evaluated and any recommendations reported to the Policy and Resources Committee within the 2012 Annual Report on Dundee's Corporate Parenting Strategy.
- ii) the concept of the 'family firm' is developed within the city's Public Sector Recruitment Approach with the aim of improving positive destinations for Looked After Children in transition into the adult world
- iii) a self-evaluation framework based on quality indicators designed by HMIE is developed and implemented

3. FINANCIAL IMPLICATIONS

None.

4. BACKGROUND

Dundee City Council has a statutory duty to co-operate in promoting the welfare of children and young people who are looked after by the City.

As of 3rd March 2010, there were 617 children and young people looked after within the city. One hundred and sixty five were looked after in the family home by their parents, 228 were looked after by other family or friends, 176 were looked after by Foster Carers and 48 were looked after in residential accommodation.

As Corporate Parents, Dundee City Council and its partners have a duty to accept responsibility for all children in the City's care, making their needs a priority and ensuring support for their care and education which includes seeking the same outcomes as any good parent would want for their own child. In carrying out that duty the Corporate Parent needs to listen to the views of children and young people and

taking account of those views, consider the impact on children of any new policy respect diversity and give young people the support they need as they move into adulthood.

The attached Annual report goes some way to identify how Dundee City Council and its partners within integrated Children's Services can meet those statutory responsibilities.

5. **POLICY IMPLICATIONS**

This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no issues in this regard to report on.

6. **CONSULTATIONS**

The Chief Executive, Depute Chief Executive (Support Services), Director of Finance, the Director of Education, Director of Leisure & Communities, Director of Finance, Director of Housing and Director of Social Work, along with NHS, Police and Voluntary Sector partners have been consulted on this report

7. **BACKGROUND PAPERS**

None.

Chris Ward
Assistant Chief Executive

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13/08/2010



Corporate Parenting Annual Report 2009/2010

1.0 Introduction and Background

The Scottish Government publication, 'These Are Our Bairns', (a guide for community planning partnerships) states that 'Corporate parenting operates at the strategic, operational and individual levels. It highlights three key elements of the role of a corporate parent:

- The statutory duty on all parts of a local authority to co-operate in promoting the welfare of children and young people who are looked after by them, and a duty on other agencies to co-operate with councils on fulfilling that duty.
- The co-ordination of the activities of the many different professionals and carers who are involved in a child or young person's life, and taking a strategic child centred approach to service delivery.
- The shift in emphasis from 'corporate' to 'parenting' defined by Jackson et al 2003 as *'the performance of all actions necessary to promote and support the physical, emotional, social and cognitive development of a child from infancy to adulthood'*.

Corporate parenting is not only a responsibility but a real opportunity to improve the futures of looked after children and young people. It needs to be recognised that all parts of the system have a critical contribution to make if corporate parenting is to be a success. Good parenting demands continuity and organisations, by their nature, are continuously changing. Staff move on, elected members change, structures change, procedures change. One challenge of being a corporate parent is to manage these changes while giving each individual child or young person a sense of stability.

This paper describes Dundee's corporate parent approach with children and young people who are, or who have been looked after in the city. It examines the role of the corporate parent and specifically within three areas:

- the proposed development of a Champion for Looked After Children Board
- the approach to positive employment and training outcomes including the concept of the 'family firm' (this is where the local authority makes training, shadowing and or work placement opportunities available for looked after and previously looked after children) and
- outlines the process for undertaking a self-evaluation of Dundee's corporate parent approach

For the purposes of clarity, Looked After Children fall into three broad categories:

- 1 Children who are looked after at home under a Supervision Requirement from the Children's Hearing system.

- 2 Children who are looked after away from home within a foster setting or a kinship care setting (kinship care is where a child is placed formally with another member of the family or close family friend).
- 3 Children who are looked after and accommodated within a residential establishment which could be an open children's unit/home, it could be a residential school or a secure unit.

As of 3rd March 2010, there were 617 children and young people looked after within the city. One hundred and sixty five were looked after in the family home by their parents, 228 were looked after by other family or friends, 176 were looked after by Foster Carers and 48 were looked after in residential accommodation.

1.1 Locally there are a number of policy documents which guide the work with looked after children in Dundee.

Dundee City Council first adopted a corporate parenting policy in 2000 (report 291-2000) and the city was the first in Scotland to do so. This groundbreaking policy was refreshed and presented to the Policy and Resources Committee on 9 June 2008 and committed Dundee City Council to working together for Dundee's children in need. It stipulates that when carrying out Corporate Parenting responsibilities the Council will adopt the behaviour of a good parent at all times. The Policy commits Dundee City Council to share collective responsibility for ensuring that children who are looked after are provided with quality experiences and the help they need to maximise their full educational, social and economic potential. It also says that the Council, when carrying out these duties, will act as positive advocates for these vulnerable children and will actively challenge instances of less favourable or different treatment.

The **Corporate Parenting Charter** was set before the Policy and Resources Committee on 24 November 2008. The Charter sets out a social and moral obligation for us to do our best for those children and young people for whom we are Corporate Parents. It makes the point that like any good parent we want all our children and young people to enjoy school and do well there. We want them to be healthy and happy, secure and confident. We want to maximise their potential which could include going to college, university or apprenticeships, to find good jobs, to have loving relationships and happy lives. We want them to feel included and effective members of our communities and in the fullness of time to be good parents themselves.

1.2 **Nationally** the 2007 Scottish Government strategy ***We Can and Must Do Better*** aimed to drive up aspirations and achievement across the board for looked after children. The strategy specifically included delivering year on year improvements in educational attainment, post-education pathways, health and dental outcomes and access to sustained, appropriate accommodation.

As the corporate parent for these vulnerable children, local authorities and their partners are responsible for ensuring that looked after children achieve the same well-being and success that all parents wish for their children. Getting from a position where looked after children are six times more likely to be excluded and 60% of care leavers are not in education, employment or training - to that goal requires a radical transformation of our aspirations and practice for Scotland's most vulnerable children.

'**These are Our Bairns**' 2008, (*a guide for community planning partnerships on being a good corporate parent*) raised the bar on expectations from corporate parents, with a clear and unequivocal statement from the Minister for Children an Early Years, "Corporate parents attitude should be these children are my responsibility, are in my care and I need to do the best for them. The buck stops with them". The document

which is based on the aspirations of children themselves, sets out clear guidance for those in the role of corporate parent and importantly gives useful indicators on 'how we will know if we have made a difference'

The policy documents above are part of a suite of policies and procedures available to guide us on the journey to developing and implementing a good corporate parent structure. The policies around corporate parenting have to be viewed within the overarching context of the '**Getting it Right for Every Child**' (GIRFEC) approach. Getting it right for every child includes those who are looked after or previously looked after.

As corporate parents we need to adopt the GIRFEC mantra that every child in Dundee will be safe, healthy, achieving, nurtured, active, respected, responsible and included.

Curriculum for Excellence is a crucial element of the getting it right agenda. It aims to enable all of Scotland's children to become successful learners, confident individuals, responsible citizens and effective contributors. Meeting all elements of a Child's wellbeing is a necessary requirement for this to be achieved.

It is clear that a collaborative partnership approach which includes parents and carers will be most successful in addressing this aim and it is expected that the full range of professionals working with children will be familiar with it and contribute to achieving it.

How we do this is the key to positive outcomes and many of these are articulated within the 2010-2012 Dundee **Integrated Children's Service Plan**.

2.0 The Corporate Parent

Corporate Parenting involves the demonstration of ownership and leadership at a senior level including Elected Members and Chief Officers. Elected Members and Chief Officers have a specific role to play in ensuring that outcomes and life chances of looked after children and young people are maximised. Being a good Corporate Parent means:

- accepting responsibility for all children in Dundee City Council's care
- making their needs a priority and ensuring support for their care and education
- seeking the same outcomes as any good parent would want for their own child
- listening to the views of children and young people and taking account of them
- considering the impact of children on any new policy
- respecting diversity
- giving young people the support they need as they move into adulthood

As a Corporate Parent we have a right and a duty to question as to whether children and young people are safe, well looked after and supported. This level of scrutiny might include:

- how are children supported in school?
- what support is there when they leave care?
- are outcomes improving?
- are agencies doing enough to equip and support staff and foster and kinship carers who have responsibility for the direct day to day of these children?
- do agencies have a role as employers in supporting looked after children into employment?

2.1 Where we are now in Dundee?

Dundee is developing a very strong approach to supporting Looked After Children, the 'Welcome to My World' event in June 2008 saw participants from across children's services sign up to be 'champions' and this paper is an extension of that commitment.

The event was so successful that the Scottish Government was inspired by the work and incorporated the ideas into the national development and launch of national strategy for Looked After Children 'These are our Bairns'.

The engagement of young people in the process of defining policy was something that Scottish Government found particularly persuasive.

Dundee has established a charter for looked after children across the city. We have a dedicated 'Looked After Children' theme group attached to the Strategic Planning Group of Integrated Children's Services.

Looked After Children are a strategic priority for Dundee, both within the Community Planning Partnership via the Single Outcome Agreement and within the Integrated Children's Services Plan which has the key outcome of "*Children and young people who are, or have been looked after in Dundee have improved life chances*". Issues affecting Looked After Children are addressed in the outcomes and actions articulated throughout the Plan.

The Scottish Government provided a one-off allocation of £92,000 to Dundee through the ***We Can and Must Do Better*** strategy to support and improve activity around raising and sustaining awareness of corporate parent responsibilities.

In Dundee this fund is being used for activities such as:

- awareness raising events, for national and local elected members and senior officers;(These are our Bairns)
- multi-disciplinary development event bringing together education, social work, housing, partners in the NHS and others; (Welcome to my World)
- awareness-raising through events and other media; (Opal Fruit)
- publication of local strategies (Corporate Parent Policy and Charter)
- consultation events with looked after children; (Pure Media)
- 'reward fund' to celebrate the success of looked after children or care leavers. (*grants are awarded to acknowledge an achievement or attainment by children and young people who are, or have previously been, looked after, both at home and or accommodated*).

Looked After Children are a strategic priority group within the More Choices More Chances agenda. We have a joint protocol between Dundee's Social Work Department and Dundee College with a view of increasing support for looked after children who are applying or actually placed within college.

Dundee has recently commissioned a DVD called 'Opal Fruit' which followed children over a twelve month period supporting them to express their views on living within the care system in the city. The DVD has now been developed in conjunction with national materials as part of an awareness raising approach with staff across children's services which was formally launched on 14th June 2010.

2.2 National Activity

Many local authorities across Scotland are currently working within or working to an agenda which includes a Corporate Parenting Strategy and the idea of a Children's Champion for looked after children. A 2009 seminar attended by representatives of most Scottish Local Authorities highlighted elected members as a particular area for action. It was generally felt that the Corporate Parenting agenda, as it stands, was not enough and there needed to be a more strategic approach which included all sectors of our communities, i.e. Local Authority, NHS, Public and Private Sectors.

There is a great deal of innovative work underway across the country particularly around the development of a Looked After Children Champion. Much of this work is multi-agency where senior officers, practitioners and elected members collaborate to develop better services to support children and young people.

Some examples of practical support include:

- provision of tenancies for young people leaving residential care
- supported flats for care leavers.
- care leavers involved in Corporate Parent Groups
- children and young people forums established
- young people involved in staff interviews
- reference groups where young people can raise issues direct with councillors.
- agreement with NHS re access to dentists.
- senior staff designated as Looked After Children Champions

All of the above suggests a great deal of work is in development and ongoing across the country. There is no obvious 'one size fits all' and it is more about developing an approach which meets local needs.

In Dundee our throughcare and aftercare service supports care leavers into tenancies, we involve young people in interviews for residential staff and we have close working relationships with NHS Tayside including the provision of a dedicated Looked After Children Nurse. We also have a multi-agency looked after children theme group which reports through the Integrated Children's Services structure.

The theme group is responsible for developing services that address the needs of looked after children and young people in Dundee and to collectively develop and implement strategies for addressing those needs and thus improving life outcomes for looked after children and young people. It has a strategic overview where representatives from key LAC agencies carry out specific tasks to ensure that the needs of looked after children are being met, i.e. health assessments, educational provisions, placements etc.

The LAC group carries out its aims by promoting:

- the assessment of health needs of those who become accommodated
- the development of ways to improve their educational attainment
- the involvement and participation of children and young people
- the importance of placements in or near Dundee if possible, where appropriate
- the importance of maintaining children and young people in education
- the need for care leavers to have opportunities in education, training or employment

All of these aims are linked into the delivery framework within the Integrated Children's Services Plan 2010/2012.

There is however, a perceived gap in the membership and scope of this group. It does not include children, young people, or elected members with its main focus of service and practice development and delivery and not the strategic overview. It could be argued that the Integrated Children's Services Strategic Planning Group takes that role, but Looked After Children are one theme out of 10 and again there are no elected members or young people represented on that group.

Recommendation 1

It is recommended that we address this gap through the establishment of a Looked After Children Children's/Corporate Parent Board with the primary remit of providing a platform for looked after children and young people to engage with their "corporate parent" and make their needs known.

The Board with young person representation would go a long way to firmly establishing the development of a "participation strategy" to support children making their views known, as described in Dundee's Integrated Children's Services Plan.
(See appendix 1 for Board remit)

Following on from the above it is recognised that we are stepping into new territory in how we engage with our looked after children and encourage them to put their point of view to those responsible for deciding policies and designing services for looked after children.

The fact that we are breaking new ground means that we have to pay particular attention to how the Board's processes, procedures and outcomes develop and ultimately impact on our corporate parent approach. It is therefore crucial that we build a monitoring and evaluation element into the process and that we regularly update the Integrated Children's Services Strategic Planning Group and report back to Policy and Resources Committee through the annual reporting framework.

Recommendation 2

The work and impact of the 'Board' to be monitored and evaluated and any recommendations reported to the Policy and Resources Committee within the 2012 Annual Report on Dundee's Corporate Parenting Strategy.

3.0 Training, Employability and the Family Firm

One of the most challenging aspects for a looked after child is the transition into the world of work.

The '**family firm** concept' has been developing across the country where many authorities are making opportunities available within their own departments for employment for looked after children. Such opportunities include:

- enhanced work experience across children's services partnerships, appropriate adult services and other relevant council departments and agencies
- improved links with further education, in particular their college pilot for looked after young people and care leavers.
- creation of more opportunities with Skillseeker programme
- improved partnerships between human resources and children's services with focus on removing the barriers to young people taking up those opportunities.

- programme of skills for access to work.
- supported employment team for Looked After Children and care leavers and
- partnership with Skills Development Scotland to provide support and to build on what is currently available for young people and care leavers.
- developing interview techniques through an interactive DVD
- apprentice scheme within local authority departments.
- employment schemes with the voluntary sector.
- summer jobs with the NHS

In **Dundee** we are endeavouring to develop positive economic destinations for post school Looked After young people and care leavers.

From a 16+ Learning Choices point of view, all care leavers are flagged within the More Choices More Chances early indicators and this is used to identify young people most in need of support for the post school transition.

We have developed a process to identify Dundee young people who are looked after and accommodated outwith the city to ensure each of these young people are also given a 16+ Learning Choices suitable offer.

The structures are in place to develop this approach, such as structured work experience placement's and guaranteed interviews for selected posts currently managed through our Public Sector Recruitment Approach. We plan to adapt these more specifically to the needs and interests of care leavers and options could include:

- **Work Experience placement's** - a priority of public sector placement's to MCMC young people including care leavers is being built into the current review of work experience placement's for school age children
- **Get Ready for Work / Skill seeker admin posts** - we have a group of personnel and providers' looking at how to improve the current system of placements under GRfW. The plan is to develop a supported programme which could support care leavers. The aim is to get better at sourcing placements in the council and negotiate a guaranteed interview for selected positions at the end of the placement period.

We are also reviewing our Skill seeker / Admin Modern Apprentice approach which will include targeting Care leavers in the 16-18 group.

In terms of dedicated employability support for Looked After young people and care leavers SDS and our Moving On team have an established a data sharing protocol and co-work cases where appropriate.

Social Work and Dundee College have a protocol which offers support to LAC and those previously looked after.

The Venture Trust (Inspiring Scotland) has a project 'Inspiring Young Futures' targeted at engaging Care Leavers and Young Carers into employment opportunities based within the Moving On team.

The above are aligned to the Young Adult Joint Action Team and provider network meetings.

We have successfully negotiated with Inspiring Scotland to widen their target group to all young people who have been known to SWD and this has resulted in a substantial increase of referrals to the service.

We have commissioned Pure Media Scotland to deliver a number of initiatives aimed at engaging, supporting and promoting positive outcomes for Looked After and previously Looked After Children.

One of these initiatives is 'Catalyst' where the aim is to:

- engage young people within the care system in Dundee to encourage them to take the next step in life by getting them to think about their future and what they need to achieve their hopes and dreams
- ensure that we experiment with ways of engaging people that wouldn't ordinarily participate in this kind of project

One of our key successes to date was the securing of resources to create two pilot 16hr a week placements for two 'Catalyst' graduates. This is a new innovative approach which we will closely monitor and evaluate to see how it might be more widely used in the future.

Recommendation 3

It is recommended that the 'Family Firm' concept should be developed through the Public Sector Recruitment Approach and aligned directly with the suite of activities available through the More Choices More Chances strategy. Development and implementation should also align with the 16+Learning Choices and be monitored through the Young Adult Joint Action team.

4.0 Self-evaluation

Self-evaluation, within the overall process of planning for improvement and excellence, will help identify current good practice and positive impacts and identify areas for further development.

Self-evaluation will help to:

- recognise the work we are doing which has a very positive impact on the lives of looked after children and their families;
- encourage staff, at all levels, to reflect upon practice and identify the strengths and areas for improvement;
- identify levels of service we need to maintain or improve;
- identify what we can do to make things better for looked after children and their families; and inform stakeholders about the quality of services in our area.

Self-evaluation for improvement will focus on answering two key questions about our practice:

How good are we now?

This will help us to identify our strengths and development needs in key aspects of our work and the impact our work has on looked after children and their families.

and

How good can we be?

We ask this question to help us set priorities for improvement and to form a clear picture about what high quality corporate parenting would look like.

It is not a one-off activity which is done for its own sake. It is a dynamic process which goes on throughout the year. We will use self-evaluation to establish a baseline from which to plan to improve outcomes for looked after children. We will also use it as a means of ensuring our stakeholders' commitment to set priorities and change.

After we have taken planned action, ongoing self-evaluation will help us to monitor our progress and determine impact.

Recommendation 4

It is recommended that the Integrated Children's Services Looked After Children Theme Group should carry out a self-evaluation on corporate parenting resulting in an improvement plan and a schedule for ongoing monitoring of outcomes.

APPENDIX 1

Looked After Children/Corporate Parent Board

The LAC/Corporate Parent Board would play a key role in linking the views and aspirations of our looked after children with the leadership and policy shaping of our chief officers and elected members.

The Board would be chaired by the Chair of Dundee's Integrated Children's Services and meet quarterly and membership would be made up of five Looked After Children, one each from residential, foster, at home, kinship, and after care Manager of Integrated Children's Services, Chair of Looked After Children Theme Group, Children's Rights Officer, Convenors and the Major Opposition spokesperson for Social Work, Education, Chair of the CHP and Senior Tayside Police representative.

In essence the Board would be a forum for young people to be listened to, in which the agenda would primarily consist of issues raised by children and young people, or on their behalf by their carers or workers.

The Board would not replicate or overlap the remit of the existing Looked After Children theme group nor would it subvert the existing routes for workers through their management teams. However, it would be entirely appropriate for the LAC theme group to suggest the Board consider specific issues as highlighted to the theme group by children young people their families, carers and workers.

The Board in turn can request the LAC theme group undertake a particular activity in furtherance of the needs of looked after children.

The Board may also wish to take a view on key strategic and or service developments as they affect looked after children, but these should be limited in number, in order to maintain the interest and participation of children and young people.

The above is a suggested approach to Board composition and remit, based on the pick of best practice elsewhere across the country.

However, we must take into consideration the needs and aspirations of children and young people, including those who may potentially join the Board as representatives.

We have heard the views of some young people via the making of Opal Fruit DVD where young people raised concerns about the potential intimidating nature or tokenism of such forums. We therefore intend to consult further with looked after children and young people during the roll-out and follow up of the Opal Fruit awareness-raising DVD.

It is therefore suggested that any views expressed during that consultation are acknowledged and where appropriate, incorporated into the Board structure and key processes.

The establishment of a looked after children Board will necessitate some very complex and detailed planning involving all key stakeholders across integrated children's services. One of the most significant elements will be training and support to the Elected Members, Senior Officers and Young People acting as representatives on the Board.

Part of this training will come from 'Who Cares Scotland' who have been commissioned by the Scottish Government to develop and deliver Corporate Parenting Awareness Training based on the 'These Are Our Bairns' guidance for Community Partnerships on Corporate Parenting.

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23 AUGUST 2010
REPORT ON: DUNDEE COMMUNITY REGENERATION FUND 2010/11 - 2012/13
REPORT BY: ASSISTANT CHIEF EXECUTIVE
REPORT NO: 431-2010

1. PURPOSE OF REPORT

1.1 This report confirms the Community Regeneration Fund allocations for 2010/11 - 2012/13 and makes recommendations for grants.

2. RECOMMENDATIONS

2.1 It is recommended that committee approves the funding proposals contained in section 5 of this report.

3. FINANCIAL IMPLICATIONS

3.1 This report makes allocations from the Dundee Community Regeneration Fund which was approved at Policy and Resources Committee of 7 December 2009. An allocation of £125,000 is available to each of the Community Regeneration Forums in the city for each of the three years from 2010/11.

3.2 Grants of £43,107 in 2010/11, £3,113 IN 2011/12 are recommended in this report.

4. BACKGROUND

4.1 Policy and Resources Committee on 7 December 2009 approved Report No 58-2010 which set out arrangements for the mainstreaming of the Fairer Scotland Fund. This included the commitment to continue to make funding available to community regeneration forums to support local regeneration activity.

4.2 The community regeneration forums have been recognised by the Scottish Government as best practice. They are a strong democratic means of identifying and responding to local need, promote community empowerment and capacity building and work well in representing a community regeneration perspective within Local Community Planning Partnerships.

4.3 Report No 84-2010 on 22 February 2010 approved the arrangements for making allocations for the six wards with data zones identified as within the most disadvantaged 15% in Scotland as defined by the Scottish Index of Multiple Deprivation 2008. These are Coldside, East End, Lochee, Maryfield, North East and Strathmartine.

4.4 Each forum has an annual allocation of £125,000 for each of the three years 2010/11, 2011/12 and 2012/13.

4.5 The process by which Dundee City Council allocates funding to local projects through community regeneration forums was agreed by Policy and Resources Committee in December 2004 (Report No 743-2004). The same procedures apply to the Dundee Community Regeneration Fund.

4.6 Community regeneration forums will be invited to allocate funding of up to £25,000 on small grants, up to £50,000 on diversionary and preventative youth work and no less than £50,000 on physical improvements.

5. FUNDING ALLOCATIONS AND PROPOSALS

5.1 The budget for each community regeneration forum is summarised below, together with allocations proposed in this report. (Totals include marginal carry forwards from 2009/10).

Dundee Partnership Fund 2010- 2011

Local Forum	Total Allocation	Previously Allocated	Current Proposals	Still Available
Coldside	£125,000	£15,015	£24,498	£85,487
East End	£125,849	£56,123	£3,793	£65,933
Lochee	£125,665	£72,344	£5,592	£47,729
Maryfield	£125,000	£16,927	£2,522	£105,551
North East	£125,000	£57,511	£4,601	£62,888
Strathmartine	£125,000	£50,154	£2,101	£72,745
Total	£751,514	£268,074	£43,107	£440,333

Dundee Partnership Fund 2011- 2012

Local Forum	Total Allocation	Previously Allocated	Current Proposals	Still Available
Coldside	£125,000	£0	£0	£125,000
East End	£125,000	£0	£0	£125,000
Lochee	£125,000	£0	£3,113	£121,887
Maryfield	£125,000	£4,784	£0	£120,216
North East	£125,000	£0	£0	£125,000
Strathmartine	£125,000	£0	£0	£125,000
Total	£750,000	£4,784	£3,113	£742,103

Dundee Partnership Fund 2012-13

Local Forum	Total Allocation	Previously Allocated	Current Proposals	Still Available
Coldside	£125,000	£0	£0	£125,000
East End	£125,000	£0	£0	£125,000
Lochee	£125,000	£0	£0	£125,000
Maryfield	£125,000	£4,784	£0	£120,216
North East	£125,000	£0	£0	£125,000
Strathmartine	£125,000	£0	£0	£125,000
Total	£750,000	£4,784	£0	£745,216

5.2 The proposals contained in Appendix A recommend the allocation of £43,107 from local budgets in 2010/11 and £3,113 in 2011/12.

6 **POLICY IMPLICATIONS**

6.1 The community regeneration process has previously been screened for policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-poverty, Equality Impact assessment and Risk Management.

6.2 The resources made available through the Dundee Community Regeneration Fund are targeted on those areas which fall within the most disadvantaged 15% of data zones in the 2008 Scottish Index of Multiple Deprivation. This funding is intended to tackle a range of inequalities.

7 **CONSULTATIONS**

7.1 Consultation has taken place with the Chief Executive, Depute Chief Executive and the Director of Finance

7.2 Partner agencies, community representatives and voluntary sector representatives have also been consulted and involved in the assessment of applications and the formation of recommendations contained in this report.

8 **BACKGROUND PAPERS**

8.1 Report to Policy and Resources Committee, December 2004, Report No 743-2004.

8.2 Report to Policy and Resources Committee, December 2009, Report No 591-2009.

Chris Ward
Assistant Chief Executive

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13/08/2010

POLICY & RESOURCES COMMITTEE
23 AUGUST 2010

DUNDEE PARTNERSHIP - 2010/2011

Ref No.	Applicant	Description of Projects	Total Project Costs	Amount Requested	Forum Decision Amount
C006	Post of Caretaker. Maxwelltown Information Centre	Funding for a 6 month pilot of a caretaker post to enable greater use of the centre in the evenings. The post is for 12 hours per week and will enable additional let income to be generated.	£2,088	£2,088	£2,088
CP001	Dudhope Skate Park Lighting. Friends of Dudhope Park	For the installation and three year maintenance of four floodlights with timers at the skate park in Dudhope Park.	£22,410	£22,410	£22,410
EE011	Under 12's Project	To provide a fun day aimed at bringing the community together and improve community engagement.	£1,262	£1,062	£1,062
EE010	North East Community Team Leisure & Communities	To enable local residents to access the flower show at a reduced rate. 100 tickets will be allocated to local families via a simple application process.	£1,000	£630	£630
EE012	East End Panto Leisure & Communities	To purchase / hire equipment and materials needed to put on a community pantomime.	£1,100	£1,100	£1,100
EEY014	Under 12's Project	To provide a 2 week programme of activities during the October school holidays.	£1,225	£1,001	£1,001
L015	Menziesshill Art & Craft Group	For 14 group members to visit the art and craft exhibition held in Glasgow at the SECC during October.	£179	£179	£179
L016	Family Fun Day. Menziesshill Community Centre	To bring in fun day activities such as a giant bouncy castle, radio station, drumming group, round-a-bouts for the younger children and a science workshop	£800	£800	£800

**POLICY & RESOURCES COMMITTEE
23 AUGUST 2010**

DUNDEE PARTNERSHIP - 2010/2011

Ref No.	Applicant	Description of Projects	Total Project Costs	Amount Requested	Forum Decision Amount
L017	Newsletter. Menzieshill Community Centre	To produce 1,500 copies of a Community Newsletters for each of Christmas 2010 and Easter 2011.	£800	£800	£800
L018	Healthy Living Group. Dundee Healthy Living Initiative	To run three, 10-week courses on practical cooking skills around food, mood, health and wellbeing. Application for 2 years funding	£3,113 per year	£3,113 per year	£3,113 for both 2010/11 and 2011/12
LY013	Gymnastics - Pilot. Lochee Primary School	To pilot a lunchtime gymnastics class in Lochee Primary, catering for 16 children on a weekly basis, for 26 weeks of the year.	£700	£700	£700
MY005	Youth Cultural Integration Project. Yusuf Youth Initiative & CLD Youth Team	To facilitate four integration events. Each event will bring together 25-35 young people aged 8-14 years to participate in sporting activities, team building exercises, communal eating and cultural information sharing.	£1,600	£1,100	£1,100
MP001	Private Space Facility Improvement. Web Project	Creation of a private 1:1 space with adjoining toilet for use by young people requiring privacy for discussion with staff and/or Chlamydia or Pregnancy testing	£1,422	£1,422	£1,422
NEP002	Youth Shelter at Mill O' Mains Leisure & Communities	To relocate a youth shelter to a more appropriate site within Mill O Mains in an effort to reduce anti-social behaviour within the area	£3,303	£3,303	£3,303
NEY012	Football Project. Sports Development	Provision of 24-week long football programmes for 43 primary aged children at two local schools	£1,298	£1,298	£1,298
S010	Scone Palace Coach Trip. Turnberry Avenue Sheltered Housing	Coach trip to Scone Palace for 30 residents and friends of Turnberry Avenue Sheltered Housing in order to promote mental health and well being	£200	£200	£200

POLICY & RESOURCES COMMITTEE
23 AUGUST 2010

DUNDEE PARTNERSHIP - 2010/2011

Ref No.	Applicant	Description of Projects	Total Project Costs	Amount Requested	Forum Decision Amount
S011	Kirkton Festival. Kirkton CC Management Group	To provide activities for young children in the form of carnival rides, climbing wall, horse & cart rides and street football at the Kirkton Festival on 12 September 2010	£1,026	£1,026	£1,026
SY007	Kirkton Kids Autumn Programme 2010. Kirkton CC Management Group	To offer a six day programme of diverse activities and opportunities for P1-P7 children during the autumn holiday period.	£875	£875	£875

TOTAL AMOUNT: £43,107

REPORT TO: POLICY AND RESOURCES COMMITTEE (23 August 2010)
REPORT ON: PROCUREMENT PROGRAMME ANNUAL REPORT 2009/10
REPORT BY: DIRECTOR OF FINANCE
REPORT NO: 550-2010

1.0 PURPOSE OF REPORT

This report summarises the Procurement Programme activities for the 2009/10 financial year and updates on actual performance against the objectives included in the approved Procurement Strategy 2008 -2011. It identifies full achievement against 4 of the 5 programme objectives the Shared Service Procurement team set for themselves, with continuing evidence of achievement against the ongoing objective of continuous improvement. It also identifies achievement of procurement efficiency opportunities for 2009/10 of £633 910.

2.0 RECOMMENDATION

It is recommended that the Council notes the content of this report, which is submitted in accordance with the approved procurement objectives as contained within the Tayside Procurement Strategy 2008 -2011.

3.0 FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report. The procurement efficiency savings identified were addressed to some extent in corporate budget savings for 2009/10 but the majority were made available to departments for use in delivering services and/or achieving departmental budget efficiency targets.

The anticipated savings opportunity figures identified (£633,910) are estimated figures based on previous spend levels by Council departments for the commodities concerned and take into account the average savings which the new contracts are expected to bring. This approach to procurement savings calculations is in line with best practice and is consistent with that used by Scotland Excel. The actual level of saving achieved by Council departments may be higher or lower than the amount projected depending on the type of products being bought and departments purchasing from these contracts rather than from other suppliers. In addition because the projected savings are based on national average pricing pre and post the introduction of collaborative contracts our local experience may be for savings of a greater or lesser amount than the average estimate indicates is achievable a cautious approach to estimating procurement savings for budget setting purposes continues to be adopted.

4.0 MAIN TEXT

4.1 BACKGROUND

The McClelland Review of Public Sector Procurement published in March 2006 was widely welcomed by Ministers and the large number of stakeholders across both the Scottish public and private sectors. Two of the

key findings of the McClelland report were that there was a requirement for significant improvement in procurement practice and that efficiency could be delivered through collaboration across the public sector.

The report highlighted key areas for improvement in procurement practice and in particular raised issues relating to governance, the need to develop a skilled resource and the requirement to adopt best practice in procurement.

In August 2008, the 3 Tayside Local Authorities created a shared procurement service to deliver a procurement reform programme across the Councils and Tayside Contracts. The Councils call this shared service initiative the Tayside Procurement Consortium (TPC).

4.2 THE TAYSIDE PROCUREMENT STRATEGY 2008 - 2011

The Councils have embarked upon a Procurement Programme which, when fully realised, will deliver efficiency through improved procurement practice across the three Councils.

In summary, the Tayside Procurement Strategy 2008 – 2011 set out five programme objectives:

- Implement an overall procurement strategy.
- Deliver a collaborative procurement approach.
- Develop the knowledge and skills of those involved in Procurement.
- Work towards being seen as an exemplar of best Procurement practice by all stakeholders, such as: improving procurement activity within services through the introduction of procurement toolkits and standardisation of approach to tendering, developing effective local supplier engagement.
- Commit to continuous improvement and efficiency savings through the roll out of e-Procurement which contributes to process improvement.

4.3 PROGRESS AGAINST PROGRAMME OBJECTIVES

1. Implementation of an overall procurement strategy **Achieved**

A common procurement strategy and associated governance framework has been implemented following full approval by respective Committees in Angus, Dundee City and Perth & Kinross Councils and Tayside Contracts.

2. Deliver a collaborative procurement approach **Achieved**

Highlights:-

- Creation of a Shared Procurement Service
- Membership of Scotland Excel
- Identification of Key Council Users and contacts
- Full Contract audit
- Performance Monitoring

A shared procurement service has been established with officers located at a central office in Tayside House (Dundee), in each authority and in Tayside Contracts. Key personnel have been identified and implementation groups have been established to deliver the prioritised work programme within their respective areas.

Scotland Excel – all Tayside councils are now members and are fully engaged in collaborative activity.

A high level contract audit was carried out in the initial phase of the programme and a contract database has been created and is updated on an ongoing basis and made available on the council intranets.

The Scottish Government have initiated a formal assessment to measuring procurement capability. The Council was first assessed in October 2009 and it should be noted that a number of improvements have been applied since this initial assessment. This assessment will be carried out annually and the results used to help monitor overall performance. Further information is provided in **Appendix A**.

3. Develop the knowledge and skills of those involved in Procurement **Achieved**

Highlights:-

- Development of Procurement Procedures documents
- Provision of Training on tendering and on tactical purchasing
- Increasing the number of staff with professional purchasing qualifications – Member of the Chartered Institute of Purchase and Supply (MCIPS)
- Effective communication and engagement with Services.

Procurement User guides, helpful document templates, and relevant Procurement support information have been developed and are now published and available to all staff. This assists in ensuring a standard best practise approach to its procurement activity.

Training sessions have been held throughout the year to develop the skills and knowledge of those involved in procurement across the Councils and Tayside Contracts. In this financial year, in excess of 1000 days of formal procurement training have been delivered to Tayside officers (both service-based and central procurement unit staff). The following is indicative of the type of training arranged and delivered:-

- e-Procurement training
- Strategic Procurement
- Understanding EU Regulations
- Mini Tendering & Use of Frameworks
- Higher National Certificate
- CIPS post graduate diploma

Twelve officers from across the Councils and Tayside Contracts are studying towards attaining their professional procurement qualification MCIPS.

Regular meetings have been held with a variety of stakeholders. Presentations have been made to committees, management teams, and key users within each area.

Supplier engagement events have been held in close liaison with City Development and with partners such as the Dundee and Angus Chamber of Commerce, Supplier Development Programme, Scottish Government and Scotland Excel.

4. Work towards being seen as an exemplar of best procurement practice **Achieved**

Highlights:-

- Procurement pages on Council Websites
- Procurement guidance pages on Council Intranets
- Improved local supplier engagement

The Councils have a Procurement area on the respective council websites. A range of information about our procurement activity is provided along with a link to contact opportunities.

In line with recommended practice the Tayside Councils are participating in the Public Contracts Scotland Initiative which has introduced a single advertising location where public sector contract opportunities are published. This development assists the business sector in identifying public sector opportunities.

The Procurement team have created a range of documents containing guidance and supporting information to enable staff to deliver improved procurement. A number of Services have taken the information provided by the team and used it as the basis for their own particular requirements.

The Councils are members of the national Supplier Development Programme and have all signed the Scottish Government Suppliers Charter. A number of successful supplier engagement events have been held across the authorities. The Procurement team are building relationships within Chambers of Commerce, Voluntary sectors and other stakeholder bodies.

The Procurement team were honoured for outstanding achievement at the second Excellence in Public Procurement Awards Scotland. The Team was presented as Highly Commended in the John F McClelland Collaborative Procurement category. The winner in the category was Procurement Scotland.

5. Commitment to continuous improvement. **Partially Achieved**

Highlights:-

- Compliance
- Awareness
- Ownership
- Delivery of an e-Procurement system
- Delivery of improved contract terms and efficiency opportunities

Through the introduction of professional procurement officers across the authorities, and through their involvement in tender activity, the level of compliance, awareness and general standard of procurement activity has improved over the reporting period.

The procurement efficiency reform programme for Dundee City Council (Report No 230/2008 was approved by the Policy & Resource Committee at its meeting on 28th April 2008)

The procurement efficiencies delivered for Dundee City Council in 2009/10 through collaborative contracts is reported as £633 910,

The total procurement efficiency figure detailing the cumulative efficiency figure from all procurement activity for 2009/10 (including the e-Procurement efficiencies referred to at Appendix B) will be reported in the council's annual efficiency statement.

Appendix B details the progress made towards implementing an electronic purchasing system across the Council.

Appendix C highlights the collaborative contracts let during the reporting period and the estimated savings that the Council accrued from them.

4.4 TEAM SUCCESS

The shared service procurement initiative was recognised in June 2010 at the UK Excellence in Public procurement awards. The team was presented with a coveted Winner's Award in the Collaborative Procurement Initiative (Public Sector Consortia) category as recognition for the establishment of a shared service organisation that is delivering a procurement reform programme across the local authorities in Tayside. In a well contested, category with four very different finalists, each with their own unique challenges to overcome, it was noted that;

“ the winner is an organisation which was well on its way to establishing principles of collaborative best-practice before collaboration became a hot topic. Following the publication of McClellands Review of Public Procurement in Scotland , the organisation re-focused some of its objectives to fully align with the Review's recommendations, and the results achieved have been impressive. The judges remarked that this was a good example of an organisation sharing its experience to benefit others, and that it showed the potential that a shared service model can realise.

This is no insignificant achievement given the other nominees in the section - Procurement Scotland, NHS etc.

5.0 POLICY IMPLICATIONS

This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty and Equality Impact Assessment.

There are no major issues.

6.0 CONSULTATION

The Chief Executive, Depute Chief Executive (Support Services) and the Head of Procurement have been consulted on the terms of this report.

7.0 BACKGROUND PAPERS

None

8.0 CONCLUSION

The Procurement Programme continues to be successful. In its second full year the programme is contributing to the overall efficiency savings targets set for the Councils by the Scottish Government. The implementation of the next steps of the Procurement Implementation Programme work streams and completion of the roll out of the e-Procurement projects will further contribute to the efficiency agenda. It remains the case, however, that delivery of these ongoing improvements and savings requires continued resource and effort to achieve it.

Appendix A – Procurement Capability Assessment Performance

Procurement Capability Assessment Results and Plans for Improvement Report to Chief Executives – March 2010 – Report by Scotland Excel

1. Purpose

This paper provides a brief overview of the Procurement Capability Assessment (PCA) results for local government and an overview of the improvement programme based on those results that was agreed by council procurement leaders in December.

2. Background

The PCA is a maturity model that assesses procurement performance against a scale, ranging from 0 for non-conformance to 3 for superior performance. The upper reaches of the scale indicate leading practice in the public and private sectors and requires considerable commitment and work to achieve. All of the Scottish public sector has undertaken the assessment which will now run on an annual basis. Appendix A shows the results for local government and the national average across the Scottish public sector. The highlights of the results are discussed below. Procurement leads from across Scotland met on the 16th December to review the results and decide on priorities for improvement. The group agreed on a programme of 6 improvement workstreams as outlined on the next page.

3. PCA Results

The average PCA result for local authorities was 22%, at the top of the 'non-conformance' band of the chart. This is not surprising given it is the first time the sector has undertaken the PCA (NHS has been doing it for three years and has moved from non-conformance to the top of conformance). While there are widely varying circumstances in each organisation some clear conclusions can, and should, be drawn from the modest results. The key points were:

1. There are many examples of good individual practices by individual councils, and there is a strong core of procurement professionals within the procurement team in most councils.
2. Low overall scores were often a reflection of the lack of 'reach' of the core team across other service areas of the organisation (the assessment is of the organisation, not the procurement team).
3. Several of the key McClelland recommendations remain unaddressed in a significant number of local authorities, namely:
 - a. The appointment of a Head of Procurement role reporting directly (or one level down) to the senior management team. This role could be shared between authorities (or with other sectors) if the organisation cannot justify a dedicated role;
 - b. Clear accountability for all procurement activity within the organisation to the Head of Procurement ('reach' and visibility), including social work and construction;
 - c. Ensuring adequate capacity using the McClelland ratio of £15million per procurement professional as a guide (this may be consolidation rather than new staff);
 - d. Lack of e-procurement and other information systems that automate, standardise and allow accurate and timely reporting on procurement performance.
4. Those who invested as a result of McClelland achieved higher scores on average and are now ready to take the next steps on tackling supplier and contract management, Corporate Social Responsibility (CSR), further consolidation of the reach of the procurement function and more strategic engagement of service teams in business planning .
5. There are a variety of other issues that need to be addressed on a council by council basis, and these will be addressed through the improvement programme or local initiatives.

4. The Improvement Programme

The 6 priorities for improvement agreed by the procurement leaders in December are:

1. **Stakeholder Management:** working to ensure that senior stakeholders create the necessary conditions for the delivery of strategic procurement
2. **Benefits Tracking:** ensuring that each organisation and local government as a whole have the necessary information and governance in place to identify, track and realise cash and other benefits flowing from good procurement practice and strategy
3. **Sustainability:** supporting, and joining up, local government efforts to achieve level 3 of the Sustainable Procurement Action Plan by December 2010
4. **Alternative Delivery Mechanisms:** joint development of a process for ensuring that the outsourcing (or alternative market vehicles for service delivery) process in a council adequately reflects the need for governance of procurement within the outsourced service and that procurement professionals contribute to the outsourcing process
5. **Conformance:** this cross-cutting workstream will support the effort to ensure all councils achieve 'conformance' on the PCA as soon as possible
6. **Supplier and Contract Management:** joint development of an approach and tools to assist councils in getting greater value out of their contracts and their supplier relationships

All workstreams will build on, and work with, any existing activities by Scottish Government or others that are already underway in these areas. Scotland Excel is managing the programme of work, but each workstream is being led by a council procurement leader. The outputs of the workstreams will be tested and signed off by a variety of councils to ensure they are fit for purpose for all organisations.

5. What Can Dundee City Council Do?

Each procurement leader will either have created a plan based on their PCA results, or will have incorporated the results into existing departmental or corporate plans for improvement and change. They may already have started to introduce changes as a result of their PCA, but the effort will be ongoing and the outputs of the workstreams will be available from May onward. They will need support for the introduction of change in the organisation as set out below:

1. Improving the role, position and reach of procurement within the organisation
2. Ensuring the participation of procurement in strategic planning and decisions across all services
3. Ensuring procurement governance and good practice is understood and adopted across the organisation
4. Ensuring there is robust governance supporting the management of procurement benefits

Finally, procurement leaders and their teams will need to be challenged to ensure their readiness for the changes outlined above.

6. Next Steps

A follow-up report will be prepared in August 2010 to review progress on the Improvement Programme and to prepare for the next round of assessments. Between now and then the Scotland Excel CEO Management Group who are serving as the board for the Improvement Programme will provide further information on progress and suggestions as to the support required for the programme in each organisation from the senior management team.

PCA Scoring Summary – 2009/10

SECTION	Scottish Public Sector Average	Scottish Local Authorities - Average	TPC Average Scores	Dundee City Council Scores
1 - Procurement Leadership & Governance	43%	25.9%	30%	30%
2 – Procurement Strategy & Objectives	44%	32.9%	38%	38%
3 – Specification of Goods & Services	30%	13.0%	7%	7%
4 – Sourcing Strategies and Collaboration	35%	25.5%	31%	31%
5 – Contract & Supplier Management	29%	13.6%	14%	14%
6 – Key Purchasing Processes & Systems	39%	25.2%	21%	21%
7 – People	45%	25.2%	23%	23%
8 – Performance Measurement	39%	22.1%	17%	17%
Overall Procurement Status for the Organisation	37%	22.6%	23%	23%

Banding: 0 – 24% = Non-Conformance
 25-49% = Conformance
 50 – 74% = Improved Performance
 75-100% = Superior Performance

The score of 23% for Dundee City Council which is above the Scottish Local Authority averages means that at present the Council is just within the non-conformance band. Non-conformance does not mean the Council is doing many things seriously wrong. It simply means we have more work to do to bring all aspects of our procurement practice up to the demanding standards set down in the McClelland Report. It also has to be considered in the light of Dundee City Council being a relatively immature procurement organisation in strategic terms. For example, the council had no recognised procurement function before the appointment of the head of procurement in September 2007 and the shared service procurement arrangements only became operational following tri-council agreement in June 2008. The progress since then has in fact been both notable and marked as set out elsewhere in this report. It may be borne in mind that our shared procurement initiative was honoured for outstanding achievement at the second *Excellence in Public Procurement Awards Scotland* event. Our team was presented as Highly Commended in the John F McClelland Collaborative Procurement category at the event held in Glasgow on 28 October 2009. The winner in the category was Procurement Scotland.

Appendix B – e-Procurement Roll-Out Progress Summary 2009/10

Progress made in the 12 month period to 31 March 2010

There are currently 1,017 Users, in 260 different council locations

6,069 orders for £13.718m have been placed in the year to 31 March 2010.
70% of all orders are issued by e-mail or fax

Planned Roll Out

Authority Purchasing is currently used in every Department within the council except the Social Work Department. A review of procurement procedures within this Department is currently in progress.

The roll out of the system is nearly complete in Leisure & Communities, Education, and Housing. The completion of the roll out across all other major departments is currently being delivered. The success of roll out will be assessed by monitoring the proportion of manual payments to committed purchase orders as indicated in appendix 2. A Phased schedule of dates for withdrawal of manual order pads to be agreed

An ongoing Training and Refresher Programme has commenced and is available to support the roll out of the system throughout the council.

Developments

Interface from GVA Property Maintenance system to Authority Purchasing installed on test system and still currently being tested.

Upgrade to Version 11 of the Software is currently being planned

Punch Out with Lyreco, the Council's stationery supplier, is available and is currently being tested. E-Invoicing is also being discussed with Lyreco.

A pilot for the use of Procurement Cards has been agreed with the Social Work Department. A roll out plan will be approved by the next Strategy Group.

Mark Mitchell has joined the national enhancement user group for CIVICA's Systems to promote Dundee's requirements for future developments of the system.

Supplier Development

There are 3,671 current Purchasing Suppliers on the system. Supplier adoption continues to develop in-line with the Contract Delivery Schedule and for suppliers with the highest volume of invoices paid by the Council.

Dundee City Council Summary of P2P Savings using Authority Purchasing

PO Analysis

Savings Analysis

Financial Year		PO Analysis			Savings Analysis			
		Projected Number of POs	Actual Number of POs	% of Projected POs	£ **Saving Per Transaction	£ Projected Saving	£ Actual Saving	% of Projected Saving
2008/9	Current Month (Feb 2009)	2000	1,957	98%	1526	16,858		
	YTD	22,400	23,080	103%				
	Full Year	22,400	23,080	103%				
2009/10	Current Month (Feb 2010)	2,700	2,416	89%	£4.30	11,610	10,389	89%
	YTD	27,600	26,069	94%	£4.30	118,680	112,097	94%
	Full Year	27,600	26,000	94%	£4.30	118,680	111,800	94%
2010/11	Full Year	40,000	-	-	£4.30	172,000	-	-
No of Users		1,017	(260 locations)					
No of Purchasing Suppliers		3,671						

NB-
Projected Purchase Orders are based on the actual number of POs generated by departments during full year 2008/9.

**** Saving per transaction is based on baseline measurements taken for 2008/09. This exercise to be repeated during current roll out of the system. It is expected this will result in changes to the Saving Per Transaction figure currently stated.**

PAYMENTS MATCHED TO PURCHASE ORDERS

- The eProcurement system is currently used within all departments of the council. The system, however, is not used for all relevant purchases of goods and services in all cases.

Department	Payments	Matched Orders	%age
Chief Executive	945	259	27%
City Development	2,034	338	17%
Education	5,392	1,802	33%
Finance	751	122	16%
Housing	2,897	1,146	40%
Dundee Contracts Services	14	5	36%
Insurance	148	16	11%
Social Work	7,733	177	2%
EHTS	221	92	42%
Scientific Services	227	147	65%
Support Services	679	153	23%
Waste Management	406	32	8%
Total	21,447	4,289	20%

The analysis indicates the extent to which payments made to suppliers are matched with orders on the eProcurement system. The analysis covers the period January to Mid March 2010. A payment that is not matched requires the original order to be cancelled by the department. If matching does not occur it may be because of one of the following:-

- Purchase Order not created
- Purchase Order is not receipted
- Invoice is paid without matching to the original order.

The payments identified in the analysis only include invoices processed manually directly on Authority Financials and excludes invoices interfaced from other system used to process payments e.g. Dundee Contract Services, Waste Management, etc. The analysis includes payments to some suppliers, where it is likely that no order for supplies is likely to ever exist e.g. utilities, which have not yet been excluded. The number of cases in this instance is assumed to be insignificant due to consolidated invoicing for the majority of these supplies.

Appendix C – Collaborative Contracts and Dundee Council opportunities 2009/10

	Existing Contract or Start Date (if new)	Projected Spend (Note 1)	Expected % Efficiency Opportunity (Note 2)	Annual Saving Opp.	Pro Rata % (Note 3)	Net Anticipated Savings Opportunity (Note 4)
Commodities						
Advertising	Jun-09	160	3%	4.8	50%	2.4
Butcher Meat	Oct-09	78	10%	7.8	50%	3.9
Catering Disposables	existing	4	5%	0.2	100%	0.2
Catering Sundries	existing	3	5%	0.1	100%	0.1
Frozen Food	Jun-09	10	10%	1	100%	1
Water Coolers	existing	55	2%	1.1	100%	1.1
Groceries & Supplies	existing	112	10%	11.2	100%	11.2
Milk	Jul-09	65	5%	3.2	0%	
Commercial Catering Equipment	Sep-09	53	5%	2.6	50%	1.3
Signage	Dec-09	90	2%	1.8	25%	0.4
Cleaning Hygiene & Paper Products	Jul-09	220	10%	22	50%	11
Hygiene Units	Apr-09	70	5%	3.5	100%	3.5
Classroom Materials	existing	58	3%	1.7	100%	1.7
Early Learning Materials	Apr-09	57	5%	2.8	100%	2.8
Education Seating	existing	25	3%	0.7	100%	0.7
Education Software	Oct-09	13	5%	0.6	50%	0.3
Exercise Books	Apr-09	150	20%	30	100%	30
Library & Text Books	Jun-09	800	3%	24	75%	18
Musical Instruments	Apr-09	82	10%	8.2	100%	8.2
Specialist Audio Equipment (Schools)	Apr-09	9	5%	0.4	100%	0.4
Wheeled Bins	Nov-09	300	5%	15	40%	6
Fitness Equipment	Oct-09	25	5%	1.2	50%	0.6
First Aid Materials	Jul-09	20	5%	1	50%	0.5
Heavy Vehicles	Jul-09	2500	5%	125	25%	31.2
Light Vehicles	May-09	1100	5%	55	25%	13.7
Plant & machinery Hire		250	5%	12.5	50%	6.2
Vehicle Hire		200	5%	10	50%	5
Tyres	Sep-09	110	5%	5.5	50%	2.6
Spare Parts	Sep 09	290	5%	14.5	50%	7.2
Industrial Gases	Aug-09	12	50%	6	100%	6
Audio Visual	Jan-10	191	5%	9.5	15%	1.4
Disposal I T Hardware	Apr-09					
Library Books	Apr-09	300	3%	9	100%	9
Franking Machines	Oct-09	90	5%	4.5	50%	2.6
Office Furniture	Apr-09	500	5%	25	50%	12.5
Office Supplies	existing	875	20	175	100%	175
Photocopiers	existing	160	10%	16	100%	16
I T Consultancy	May-09					
Interim Mgt & Agency Staff	Apr-09	800	10%	80	10%	8

PPE	Apr-09	275	20%	55	100%	55
Print	Jun-09	100	5%	5	100%	5
Secure Cash Uplift	Jul-09	50	35%	17.5	100%	17.5
Aids for Daily Living	Nov-09	350	5%	17.5	40%	7
Building Materials	existing	800	5%	40	100%	40
Electrical Materials	existing	900	5%	45	100%	45
Plumbing Materials	existing	650	5%	32.5	100%	32.5
Timber	existing	450	5%	22.5	100%	22.5
Ironmongery	Mar-10	5	5%	0.2	5%	0.01
Trades Tools/Sundries	Oct-09	110	5%	5.5	50%	2.7
White Goods	Apr-09	100	5%	5	100%	5
TOTAL						£ 633,910

Notes

1. The projected spend is based on historical average annual spend data.
2. The expected efficiency opportunity is based on benchmarking work on current pre- and post- contract pricing undertaken by the contract "owner", e.g. Scotland Excel or Procurement Scotland but refined to reflect pre-contract prices paid by our councils, wherever possible.
3. The "Pro Rata %" is a reduction to reflect if the contract is only in place for part of the year. It may also reflect where only part of the projected spend is within the scope of the collaborative contract
4. The anticipated savings opportunity figures shown in total and for individual commodities are estimated figures based on previous spend levels by Council departments and taking into account the average savings which the new contracts are expected to bring. This approach to procurement savings calculations is in line with best practice and is consistent with that used by Scotland Excel. The actual level of saving achieved by Council departments may be higher or lower than the amount projected depending on the type of products being bought and departments purchasing from these contracts rather than from other suppliers. In addition because the projected savings are based on national average pricing pre and post the introduction of collaborative contracts our local experience may be for savings of a greater or lesser amount than the

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Date of Report: August 2010

REPORT TO: POLICY & RESOURCES COMMITTEE - 23 AUGUST 2010

REPORT ON: REVENUE MONITORING 2010/2011

REPORT BY: DIRECTOR OF FINANCE

REPORT NO: 403-2010

1 PURPOSE OF REPORT

- 1.1 To provide Elected Members with an analysis of the 2010/2011 Projected Revenue Outturn as at 30 June 2010 monitored against the adjusted 2010/2011 Revenue Budget.

2 RECOMMENDATIONS

- 2.1 It is recommended that the Elected Members:
- a note that the overall General Fund 2010/2011 Projected Revenue Outturn as at 30 June 2010 shows an overspend of £404,000 against the adjusted 2010/2011 Revenue Budget.
 - b note that the Housing Revenue Account as at 30 June 2010 is projecting an overspend of £236,000 against the adjusted HRA 2010/2011 Revenue Budget.
 - c agree that the Director of Finance will take every reasonable action to ensure that the 2010/2011 Revenue expenditure is below or in line with the adjusted Revenue Budget.
 - d instruct the Director of Finance in conjunction with all Chief Officers of the Council to continue to monitor the Council's 2010/2011 Projected Revenue Outturn.

3 FINANCIAL IMPLICATIONS (see Appendix A)

- 3.1 The overall projected 2010/2011 General Fund Revenue outturn position for the City Council shows an overspend of £404,000 based on the financial information available at 30 June 2010. A system of perpetual detailed monitoring will continue to take place up to 31 March 2011 with the objective of the Council achieving a final outturn which is below or in line with the adjusted 2010/2011 Revenue Budget.
- 3.2 The Housing Revenue Account outturn position for 2010/2011 is currently projecting an overspend of £236,000 based on the financial information available for the period to 30 June 2010. A system of perpetual detailed monitoring will continue to take place up to 31 March 2011 with the objective of the HRA achieving a final outturn which is below or in line with the adjusted 2010/2011 HRA Revenue Budget.

4 BACKGROUND

- 4.1 Following approval of the Council's 2010/2011 Revenue Budget by the Special Policy and Resources Committee on 11 February 2010 this report is now submitted in order to monitor the 2010/2011 Projected Revenue Outturn position as at 30 June 2010, against the adjusted 2010/2011 Revenue Budget.
- 4.2 This report provides a detailed breakdown of departmental revenue monitoring information along with explanations of material variances against adjusted budgets. Where departments are projecting a significant under or overspend against adjusted budget, additional details have been provided. Where departmental expenditure is on target and no material variances are anticipated, additional information has not been provided.

5 RISK ASSESSMENT

5.1 In preparing the Council's 2010/2011 Revenue Budget, the Director of Finance considered the key strategic, operational and financial risks faced by the Council over this period (please refer to report 82-2010, approved by Special Policy & Resources Committee on 11 February 2010, for further details). In order to alleviate the impact these risks may have should they occur, a number of general risk mitigation factors are utilised by the Council. These include the:

- system of perpetual detailed monthly budget monitoring carried out by departments
- general contingency provision set aside to meet any unforeseen expenditure
- level of general fund balances available to meet any unforeseen expenditure
- level of other cash backed reserves available to meet any unforeseen expenditure
- possibility of identifying further budget savings and efficiencies during the year, if required.

5.2 The key risks in 2010/2011 have now been assessed both in terms of the probability of whether they will occur and the severity of their impact on the Council should they indeed happen. These risks have been ranked as either zero, low, medium or high. Details of this risk assessment, together with other relevant information including any proposed actions taken by the Council to mitigate these risks, are included in Appendix D to this report.

6 GENERAL FUND SERVICES - MONITORING POSITION AS AT 30 JUNE 2010

6.1 The forecast position as at 30 June 2010 for General Fund services is summarised below:

	<u>Adjusted Budget 2010/11 £000</u>	<u>Forecast 2010/11 £000</u>	<u>Variance £000</u>
Total Expenditure	359,247	359,651	404
Total Income	<u>(359,247)</u>	<u>(359,247)</u>	-
Forecast Overspend	-	<u>404</u>	<u>404</u>

The forecast position as at 30 June 2010 is shown in more detail in the appendices to this report, as follows:

Appendix A shows the variances between budget and projected outturn for each department/service of the Council.

Appendix B provides detailed explanations for the variances against budget that are shown in Appendix A.

Appendix C lists the budget adjustments that have been undertaken to date. These adjustments include funding transfers and the transfer of budgets between budget headings within the Revenue Budget, allocations from Contingencies and also unspent budgets that have been carried forward from the previous financial year.

Appendix D lists the key strategic, operational and financial risks being faced by the Council. These risks have been assessed and ranked accordingly both in terms of the probability of whether they will occur and the severity of their impact on the Council should they indeed happen. Any changes to the assessment from the previous reporting period, together with any additional comments included, are highlighted in bold type.

- 6.2 The following paragraphs summarise the main areas of variance by department along with appropriate explanations. It should be emphasised that this report identifies projections based on the first three months of the financial year to 30 June 2010. The figures are therefore indicative at this stage and are used by the Chief Executive, Director of Finance and Chief Officers to identify variances against budget and enable corrective action to be taken as appropriate.

Departmental Commentary

6.3 Social Work (£466,000 overspend)

The majority of this overspend is within Childrens Services, where family placements are expected to be greater than budgeted due to the increased number of children requiring permanent substitute care away from their birth parents. This variance will be partly offset by savings that are projected mainly due to slippage in staff costs across the department.

6.4 Education (£272,000 overspend)

This reflects an anticipated overspend in third party payments where the department are projecting an overspend for their share of the residential and secure placements budget.

6.5 Finance General (£50,000 underspend)

The above variance reflects savings in staff costs that are anticipated mainly due to delays in filling staff vacancies. This underspend will be partly offset by an estimated shortfall in various income streams received by the department.

6.6 Environmental Health & Trading Standards (£134,000 underspend)

These projected savings mainly relate to staff costs due the current level of unfilled vacancies within the department.

6.7 Finance Revenues (£150,000 underspend)

This mainly reflects additional grant income anticipated by the department together with a projected underspend in supplies and services for computer maintenance costs.

7 HOUSING REVENUE ACCOUNT - MONITORING POSITION AS AT 30 JUNE 2010

- 7.1 The forecast position as at 30 June 2010 for the HRA is summarised below:

	<u>Adjusted Budget 2010/11 £000</u>	<u>Forecast 2010/11 £000</u>	<u>Variance £000</u>
Total Expenditure	50,417	50,750	333
Total Income	<u>(50,417)</u>	<u>(50,514)</u>	<u>(97)</u>
Forecast Overspend	_____ -	<u>236</u>	<u>236</u>

- 7.2 Expenditure on repairs and relets is projected to be greater than budget due to the level of work that has been required on properties together with increased lost rents and bad debts

following an rise in the number of void properties. In addition, the department are also projecting greater than budgeted expenditure in stair lighting costs reflecting increases in the price of electricity. These variances will be partly offset by various underspends and additional income that are projected by the department. The overall impact is a net overspend of £236,000 against the adjusted HRA 2009/2010 Revenue Budget. The department will continue to monitor these areas with the objective of achieving a final outturn which is in line with the budget.

8 **CONCLUSION**

As in previous years, the Director of Finance will work with all Chief Officers of the Council to monitor the Council's 2010/2011 Revenue Budget and, through prudent budget management, take every reasonable action to achieve an outturn position below or in line with the approved 2010/2011 Revenue Budget.

9 **POLICY IMPLICATIONS**

This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management.

There are no major issues.

10 **CONSULTATIONS**

The Chief Executive, Depute Chief Executive (Support Services) and all other Chief Officers have been consulted in the calculation of projected outturns included in this report, insofar as they apply to their own individual department.

11 **BACKGROUND PAPERS**

None.

MARJORY M STEWART
DIRECTOR OF FINANCE

12 AUGUST 2010

REASONS FOR 2010/2011 CONTROLLABLE PROJECTED REVENUE OVERTURN VARIANCES
(Excludes Capital Charges, Central Support Services & Office Recharges)
AT 30 JUNE 2010

<u>Department</u>	<u>Note</u>	<u>Total Variance £,000</u>	<u>Cost Centre</u>	<u>Subjective Analysis</u>	<u>Breakdown of Variance £,000</u>	<u>Reason / Basis of Over/(Under)spend</u>
<u>Social Work</u>	1	466	Departmental	Staff	(200)	Reflects projected savings mainly due to staff slippage.
			Children	Third Party Payments	666	Increased number of children requiring permanent substitute care away from their birth parents.
<u>Education</u>	2	272	Education other than School	Third Party Payments	272	Education Department share of projected overspend on residential and secure placements budget.
<u>Finance General</u>	3	(50)	General	Staff	(111)	Staff costs are projected to be underspent mainly due to various unfilled vacancies.
				Income	54	Reflects shortfall in income for property enquiries, payroll recharges to other bodies and from Joint Boards for internal audit services.
<u>Env Health & Trading Standards</u>	4	(134)	Regulation	Staff	(133)	Staff costs are projected to be underspent mainly due to various unfilled vacancies.
				Income	(12)	Income generated from introduction of smoking prevention enforcement service at Ninewells Hospital.
				Staff	(36)	Reflects projected savings following non-filling of posts vacated due to early retirements.
				Income	45	Reflects shortfall in chargeable income from pest control activities.
<u>Finance Revenues</u>	5	(150)	Revenues	Staff	(14)	Projected underspend due to unfilled vacancies and maternity leave.
				Supplies & Services	(49)	Reflects projected underspend due to computer maintenance costs being less than anticipated.
				Income	(66)	Mainly reflects additional administration grant from Department of Works & Pensions.
<u>Housing Revenue Account</u>	6	236	Repairs & Relets	Staff	216	Reflects increase in the level of relets that is currently required to be carried out through the DCS/Housing Partnership. Within this area gas maintenance and security screen expenditure is also causing particular concern.
				Income	120	Mainly this relates to an increase in lost rents as a result of a greater number of void properties than budgeted. Work is being carried out to improve this situation.
			Lost Rents and Bad Debts			
			Stair Lighting		50	Mainly reflects increased price of electricity charges.
			Homelessness		(53)	Mainly this is due to an anticipated reduction in repairs and furnishings expenditure.
			Sheltered Housing		(29)	Additional income generated from the service charge levied in this area.
			Rent of Houses		(68)	Increased rental income due to a higher level of housing stock than budgeted.

<u>General Fund Departments</u>	<u>Alloc</u>	<u>2009/10</u>	<u>Alloc</u>	<u>Appendix C</u>			
	<u>From</u>	<u>Under</u>	<u>from</u>	<u>Funding</u>	<u>T/Fs</u>	<u>Other</u>	<u>Dept</u>
	<u>Conts</u>	<u>spends</u>	<u>Fund</u>	<u>T/Fs</u>	<u>Between</u>	<u>T/Fs</u>	<u>Totals</u>
	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>
<u>Education</u>							
1. Share of 100 Extra Teachers (Scotland)			30				
2. DSM Balances		185					
3. T/f from Electricity Contract Contingency						600	
							815
<u>Social Work</u>							
1. Child Trust Fund Top Up		7					
2. Community Equipment Service		111					
3. Youth Justice Monies		25					
							143
<u>Leisure & Communities</u>							
1. T/f various expenditure from Waste Management					86		
2. T/f staff costs to CSS - Chief Executive					(34)		
							52
<u>Waste Management</u>							
1. T/f various expenditure to Leisure & Communities					(86)		
2. Zero Waste Fund		140					
3. Other commitments c/fwd		56					
							110
<u>CSS - Chief Executive</u>							
1. T/f staff costs from Leisure & Communities					34		
							34
<u>CSS - Admin & Legal</u>							
1. Correction of budget saving allocation					5		
							5
<u>CSS - Architectural Services</u>							
1. Correction of budget saving allocation					(5)		
							(5)
<u>MS - Finance Revenues</u>							
1. Various commitments c/fwd		60					
							60
<u>Electricity Contract Contingency</u>							
1. T/f allocation to Education						(600)	
							(600)
Total Adjustments (General Fund)	0	584	30	0	0	0	614

Risks - Revenue	Assessment		Risk Management / Comment
	Original	Revised	
<u>General Inflation</u> General price inflation may be greater than anticipated.	Low	Low	Corporate Procurement strategy in place, including access to nationally tendered contracts for goods and services. In addition, fixed price contracts agreed for major commodities i.e. gas and electricity.
<u>Pay Awards</u> Pay awards settlements may be greater than anticipated.	Low/ Med	Low/ Med	Existing Chief Officials and Teachers pay award agreed to 31 March 2011 therefore not considered as risk for the current financial year. Negotiations relating to pay award effective from 1 April 2010 for LG Employees are ongoing.
<u>Single Status</u> The provision for the costs associated with implementing Single Status may be insufficient.	Low	Low	Departmental budgets increased to cover incremental progression through the new grades.
<u>Equal Pay Claims</u> A provision may be required for the cost of equal pay claims.	Low	Low	Relatively few cases being taken through the Employment Tribunal process.
<u>Capital Financing Costs</u> Level of interest rates paid will be greater than anticipated.	Low/ Med	Low/ Med	Treasury Mgmt Strategy. Limited exposure to variable rate funding.
<u>Interest on Revenue Balances</u> Level of interest rates will be lower than anticipated.	Med/ High	Med/ High	Treasury Mgmt Strategy. Reduction in income will be offset by lower temporary borrowing costs.
<u>Savings</u> Failure to achieve agreed level of savings & efficiencies.	Low/ Med	Low/ Med	General risk mitigation factors (ref para 5.1), in particular, regular monitoring by departments to ensure savings targets are met.
<u>Emerging Cost Pressures</u> The possibility of new cost pressures or responsibilities emerging during the course of the financial year.	Low/ Med	Low/ Med	General risk mitigation factors (ref para 5.1), in particular, regular monitoring by departments to ensure cost pressures are identified early and corrective action can be taken as necessary.
<u>Chargeable income</u> The uncertainty that the level of chargeable income budgeted will be received.	Med/ High	Med/ High	General risk mitigation factors (ref para 5.1), in particular, regular monitoring by departments to ensure any shortfalls are identified as early as possible and corrective action can be taken as necessary.
<u>Council Tax Collection</u> Provision for non-collection of Council Tax (3.2%) may not be adequate.	Low	Low	Provision set takes cognisance of amounts collected for previous financial years. Non-payers subject to established income recovery procedures.
<u>New Accounting Standards</u> The impact of adopting International Financial Reporting Standards (IFRS).	Low	Low	Any significant financial impacts are likely to be mitigated by government legislation.

REPORT TO: POLICY & RESOURCES COMMITTEE - 23 AUGUST 2010

REPORT ON: CAPITAL EXPENDITURE MONITORING 2010/11

REPORT BY: DIRECTOR OF FINANCE

REPORT NO: 393-2010

1 PURPOSE OF REPORT

- 1.1 To appraise Elected Members of the latest position regarding the Council's Capital Expenditure programme for 2010/11.

2 RECOMMENDATION

- 2.1 It is recommended that the Committee note the latest position regarding the Council's Capital Expenditure programme for 2010/11.

3 FINANCIAL IMPLICATIONS

- 3.1 This report shows the latest projections on capital projects along with actual spend to 30 June 2010.

	General Services Capital 2010/11 £000	Housing HRA Capital 2010/11 £000
Approved Budget	76,697	32,626
Budget Adjustments	<u>(9,292)</u>	—
Revised Budget	<u>67,405</u>	<u>32,626</u>
Projected Outturn	<u>67,405</u>	<u>32,344</u>
Variance over/(under) Budget	—	<u>(282)</u>
Actual Spend to 30 June 2010	<u>5,684</u>	<u>3,572</u>

An explanation of the major variances since the capital plan was approved at Committee is shown in Section 5 of the report. In terms of the percentage of actual capital spend to projected outturn, General Services and Housing HRA Capital as at 30 June 2010 were 8% and 11% respectively, compared with 11% and 19% respectively for the comparable period to 30 June 2009.

4 BACKGROUND

- 4.1 The Special Policy & Resources Committee of 11 February 2010 approved the 2010/11 Capital Budget for General Services (Report 77-2010). The Housing HRA Capital Programme 2010/11 was approved at the Policy & Resources Committee on 28 June 2010 (Report 379-2010). The Housing HRA Capital Budget reflects information contained in Scottish Housing Quality Standard submission.
- 4.2 Local Authorities from 1 April 2004 are required, by Regulation, to comply with the Prudential Code under Part 7 of the Local Government Act 2003. The Capital Budget for 2010/11 is being monitored within the framework of the Prudential Code.

- 4.3 The Capital Monitoring report provides detailed information on individual projects contained within the Capital Budget and the impact of expenditure movements on future financial years.

5 GENERAL SERVICES CURRENT POSITION

- 5.1 Appendix 2 details the actual spend and the latest projected outturns for all projects, detailed by departments. Appendix 1 summarises this information and shows the latest projection of capital resources required to finance the expenditure.

The latest capital monitoring statement shows a revised Capital Budget for 2010/11 of £67.405m, a reduction of £9.292m since the 2010/11 Capital Budget was approved at Committee in February. The main reasons for this are detailed below.

- 5.1.1 Reduction in expenditure of £2.635m on Whitfield Primary School (Education). This project has been rephased to reflect the latest timescales for the proposed new school, with a revised start on site date of autumn 2010. This expenditure will be required in later years and will be funded from borrowing.
- 5.1.2 Reduction in expenditure of £742,000 on Lochee Primary School (Education). This project has been rephased to reflect the latest timescales for the primary school, with a revised start on site date of autumn 2011. This expenditure will be required in later years and will be funded from borrowing.
- 5.1.3 Reduction in expenditure of £4.753m on West End Primary School (Education) This project has been rephased to reflect the latest timescales for the primary school, with a revised start on site date of early 2011. This expenditure will be required in later years and will be funded from borrowing.
- 5.1.4 Reduction in expenditure of £2.881m on Allan Street New Swimming Pool (Leisure & Communities). This project has been rephased to reflect the latest timescales for the swimming pool and to tie-in with the car park and associated road works. This expenditure will be required in later years and will be funded from borrowing.
- 5.1.5 Reduction in expenditure of £486,000 on Coastal Protection Study (City Development). The design stage will not be completed until the end of 2010/11, resulting in the associated works being delayed until 2011/12. This expenditure will be funded from borrowing.
- 5.1.6 Reduction in expenditure of £498,000 on Central Waterfront (Chief Executive). This reduction relates to rephasing of the capital expenditure programme. This expenditure will be required in later years. The expenditure will be funded from a combination of Scottish Enterprise monies and General Capital Grant from Scottish Government.
- 5.1.7 Additional expenditure of £548,000 on Allan Street Car Park and £485,000 on the Road Works associated with the Car Park and Swimming Pool (City Development). These projects have been rephased to reflect the latest timescales, which therefore require budgets to be brought forward. This expenditure will be funded from borrowing.
- 5.1.8 Additional expenditure of £1.738m, across various departments, now required in 2010/11 as a result of committed expenditure in 2009/10 slipping into 2010/11.

5.2 Capital Resources

5.2.1 The table below shows the latest position:-

	Approved Budget £000	Adjustments £000	Revised Budget £000	Projected Outturn £000	Variance £000
General Capital Grant	10,372	(2,119)	8,253	8,253	-
Capital Receipts/Capital Fund	4,860	5,244	10,104	10,104	-
Capital Funded from Current Revenue	450	118	568	568	-
Borrowing	<u>61,015</u>	<u>(12,535)</u>	<u>48,480</u>	<u>48,480</u>	-
	<u>76,697</u>	<u>(9,292)</u>	<u>67,405</u>	<u>67,405</u>	-

5.2.2 The reduction in the General Capital Grant, from Scottish Government, of £2.119m relates to the transfer of grant to revenue to fund expenditure on Central Waterfront projects, which does not meet the strict criteria for capital expenditure

5.2.3 The increase in Capital receipts/Capital Fund in 2010/11 is matched by a corresponding reduction in 2009/10. The overall effect between the 2 years is zero.

5.2.4 The revised budget for borrowing is £48.480m, a reduction of £12.535m since the capital budget was approved, is due to the reasons as detailed above, in Para 5.1.

5.4 The table below shows the effect of any changes in 2010/11 on future year's capital expenditure and resources.

	2010/11 £000	2011/12 £000	2012/13 £000
Capital Expenditure			
Approved Budget per Capital Plan 2010-2013	76,697	59,392	27,422
Variances Per Latest Monitoring (per Appendix 3)	<u>(9,292)</u>	<u>(2,491)</u>	1,131
Revised Budget	<u>67,405</u>	<u>56,901</u>	<u>28,553</u>
Capital Resources			
General Capital Grant	8,253	4,795	3,831
Capital Receipts/Capital Fund	10,104	1,600	1,600
Capital Funded from Current Revenue	568	3,100	-
Borrowing	<u>48,480</u>	<u>47,406</u>	<u>23,122</u>
Revised Budget	<u>67,405</u>	<u>56,901</u>	<u>28,553</u>

6 HOUSING HRA - CURRENT POSITION

6.1 Appendix 2 details the actual spend and the latest projected outturns within Housing HRA Capital Programme. Appendix 1 summarises this information and shows the latest projection of capital resources required to finance the expenditure.

6.2 The latest capital monitoring statement shows a Projected Outturn of £32.344m, a decrease in expenditure of £282,000 since the capital budget was approved at Committee. There has been a decrease of £400,000 on Energy Efficiency - Heating, Kitchens and Bathrooms as a result of a reduction in the number of properties being renovated in Craigie 2nd and 3rd. There has also been a reduction of £153,000 on Free from Serious Disrepair - Roof Renewal as a result of tenders on new contracts being less than budgeted. These are offset by an increase in expenditure on Community Care of £123,000 due, in the main, to the inclusion of an additional project.

- 6.3 The latest capital monitoring shows projected capital resources of £30.102m, a reduction in resources of £141,000 since the capital budget was approved. This is due to a reduction in the anticipated receipts from the sale of Council Houses/New Build sales, based on the actual receipts received so far.
- 6.4 Capital expenditure as a percentage of capital resources is currently standing at 107%. This variance between expenditure and resources will be met by additional slippage to be identified throughout the year.

7 RISK ASSESSMENT

- 7.1 There are a number of risks which may have an impact on the Capital Expenditure programme for 2010/11. The main areas of risk are set out below, together with the mechanisms in place to help mitigate these risks.
- 7.2 Currently, building cost inflation levels are low, however, they can on occasion be relatively high in comparison to general inflation. Therefore delays in scheduling and letting contracts may lead to increases in projected costs. In such an event, every effort will be made to ensure delays are avoided wherever possible and any increase in costs minimised.
- 7.3 Slippage in the Capital programme leads to the need to reschedule projects in the current year and possibly future years, therefore creating problems in delivering the programme on time. For this reason the programme is carefully monitored and any potential slippage is identified as soon as possible and any corrective action taken.
- 7.4 Capital projects can be subject to unforeseen price increases. The nature of building projects is such that additional unexpected costs can occur. Currently Council experiencing very competitive tenders. Contingencies are built into the budget for each capital project and these will be closely monitored throughout the project.
- 7.5 There is risk associated with projects that are not yet legally committed as the works are not yet tendered for, and there is potential for costs to be greater than the allowance contained within the Capital Plan. As the majority of spend on these projects is in future years, the risk in the current year is not significant. Future years' Capital Programmes will be adjusted to reflect updated cost estimates.
- 7.6 The accurate projection of the value and timing of capital receipts from asset sales is difficult in the current economic climate. There is therefore a risk that the level of capital receipts assumed in the financing of the capital programme will not be achieved. In preparing the capital plan the Council has budgeted on a low level of Capital receipts being achieved. The Council has a Capital Fund which can be used to cover any shortfall, in the short-term, in the level of receipts required. Similarly, additional borrowing can be used to cover any temporary shortfalls in capital receipts.
- 7.7 The amount and timing of capital receipts can also be difficult to accurately project as sales are often conditional on planning permission and other non-financial factors. This is the case even in times of relative economic stability.
- 7.8 General Capital Grant is received from Scottish Government via the Local Government Finance Settlement each year. There is a risk associated with future years' grants as indications suggest that levels of public sector support may be reduced. In the current Capital Plan the Council has assumed a 10% year on year reduction in General Capital Grant levels received. Any reductions will necessitate a review of the Council's Capital Programme.

- 7.9 Capital projects must be affordable in terms of their impact on the Council's Revenue Budget. The option appraisal process should ensure that the revenue impact of capital projects has been calculated and reflected in future years' Revenue Budgets.

POLICY IMPLICATIONS

- 8.1 This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, and Equality Impact Assessment.

There are no major issues.

9 CONSULTATION

- 9.1 The Chief Executive, Depute Chief Executive (Support Services) and Director of Housing have been consulted in the preparation of this report.

10 BACKGROUND PAPERS

- 10.1 None

**MARJORY M STEWART
DIRECTOR OF FINANCE**

29 JULY 2010

DUNDEE CITY COUNCIL CAPITAL EXPENDITURE MONITORING 2010/11

Appendix 1

	<u>Approved</u> <u>Capital</u> <u>Budget</u> <u>2010/11</u> <u>£000</u>	<u>Carry</u> <u>Forward</u> <u>from</u> <u>2009/10</u> <u>£000</u>	<u>Budget</u> <u>Adjust</u> <u>£000</u>	<u>Carryforward</u> <u>into</u> <u>Future Years</u> <u>£000</u>	<u>Virements</u> <u>£000</u>	<u>Total</u> <u>Budget</u> <u>Adjustments</u> <u>£000</u>	<u>Revised</u> <u>Capital</u> <u>Budget</u> <u>2010/11</u> <u>£000</u>	<u>Actual</u> <u>Spend</u> <u>30 Jun 2010</u> <u>£000</u>	<u>Projected</u> <u>Outturn</u> <u>2010/11</u> <u>£000</u>	<u>Variance</u> <u>£000</u>	<u>Spend as</u> <u>a % of</u> <u>Projected</u> <u>Outturn</u>
GENERAL SERVICES											
Capital Expenditure 2010/11											
Education	19,268	413		(8,249)		(7,836)	11,432	522	11,432	0	5%
Social Work	2,408	26				26	2,434	(218)	2,434	0	-9%
City Development	35,174	63		547		610	35,784	3,696	35,784	0	10%
Leisure & Communities	10,617	583		(2,881)		(2,298)	8,319	352	8,319	0	4%
Waste Management	3,506	250			(100)	150	3,656	111	3,656	0	3%
Environmental Health & Trading Standards / Scientific Services	166					0	166	0	166	0	0%
Chief Executive / Support Services/Finance	5,008	178	(498)	51	100	(169)	4,839	1,235	4,839	0	26%
Dundee Contract Services - Client & Contractor	550	225				225	775	(14)	775	0	-2%
Capital Expenditure 2010/11	76,697	1,738	(498)	(10,532)	0	(9,292)	67,405	5,684	67,405	0	8%
Capital Resources 2010/11											
Expenditure Funded from Borrowing	61,015	1,746	(3,749)	(10,532)		(12,535)	48,480	820	48,480		
Capital Grants	10,372		(2,119)			(2,119)	8,253	3,117	8,253		
Capital Funded from Current Revenue	450	118				118	568	0	568		
Capital Receipts:-											
Net Asset Sales/ Capital Fund Contribution	4,860	(126)	5,370			5,244	10,104	1,747	10,104		
Capital Resources 2010/11	76,697	1,738	(498)	(10,532)	0	(9,292)	67,405	5,684	67,405		
Capital Expenditure as % of Capital Resources	100%						100%		100%		

DUNDEE CITY COUNCIL CAPITAL EXPENDITURE MONITORING 2010/11

Appendix 1

	<u>Approved</u> <u>Capital</u> <u>Budget</u> <u>2010/11</u> <u>£000</u>	<u>Carry</u> <u>Forward</u> <u>from</u> <u>2009/10</u> <u>£000</u>	<u>Budget</u> <u>Adjust</u> <u>£000</u>	<u>Carryforward</u> <u>into</u> <u>Future Years</u> <u>£000</u>	<u>Virements</u> <u>£000</u>	<u>Total</u> <u>Budget</u> <u>Adjustments</u> <u>£000</u>	<u>Revised</u> <u>Capital</u> <u>Budget</u> <u>2010/11</u> <u>£000</u>	<u>Actual</u> <u>Spend</u> <u>30 Jun 2010</u> <u>£000</u>	<u>Projected</u> <u>Outturn</u> <u>2010/11</u> <u>£000</u>	<u>Variance</u> <u>£000</u>	<u>Spend as</u> <u>a % of</u> <u>Projected</u> <u>Outturn</u>
HOUSING HRA											
Capital Expenditure 2010/11											
Free from Serious Disrepair - Roofs	2,432					0	2,432	264	2,279	(153)	12%
Free from Serious Disrepair - Roughcast	50					0	50	3	66	16	5%
Energy Efficient - External Insulation and Cavity Fill	425					0	425		425	0	0%
Energy Efficient - Heating, Kitchens and Bathrooms & Showers	6,680					0	6,680	1,162	6,280	(400)	19%
Energy Efficiency-Ferolli & Ravenheart boiler replacement	200					0	200		200	0	0%
Modern Facilities & Services - Kitchens and Bathrooms only	5,165					0	5,165	742	5,209	44	14%
Modern Facilities & Services - Individual Shower Programme	356					0	356	80	356	0	22%
Healthy, Safe & Secure - Fire Detection	25					0	25		25	0	0%
Healthy, Safe & Secure - Door Entry System	86					0	86	26	174	88	15%
Healthy, Safe & Secure - Security & Stair Lighting	164					0	164		164	0	0%
Increase Supply of Council Housing - New Builds	8,608					0	8,608	1,027	8,608	0	12%
Increase Supply of Council Housing - Demolitions	5,980					0	5,980	94	5,980	0	2%
Miscellaneous - Fees	60					0	60		60	0	0%
Miscellaneous - Disabled Adaptations	900					0	900	136	900	0	15%
Miscellaneous - East District Housing Office	100					0	100		100	0	0%
Access Road Whitfield	1,900					0	1,900		1,900	0	0%
Owners Receipts	(925)					0	(925)	(57)	(925)	0	6%
Community Care	420					0	420	95	543	123	17%
Capital Expenditure 2010/11	32,626	0	0	0	0	0	32,626	3,572	32,344	(282)	11%
Capital Resources 2010/11											
Expenditure Funded from Borrowing	24,793					0	24,793	2,674	24,793		
Capital Receipts:- Council House / New Build Sales	3,000					0	3,000	743	2,859		
Land Sales	1,700					0	1,700		1,700		
Sale of Last in Block	750					0	750	155	750		
	30,243	0	0	0	0	0	30,243	3,572	30,102		
Capital Expenditure as % of Capital Resources	108%						108%		107%		

EDUCATION CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/10 £'000	Projected Outturn 2010/11 £'000
Structural Improvement	250					0	250	0	250
Kitchen Improvements	100					0	100	0	100
Computers	570					0	570	0	570
Vehicles	45					0	45	0	45
Cladding	600					0	600	0	600
Lift Replacements	200					0	200	0	200
Public Access	100					0	100	0	100
Curriculum Improvements	230					0	230	5	230
Electrical Upgrades	724					0	724	33	724
General Improvements & Upgrades	450	(22)				(22)	428	60	428
Replacement Heating Systems	520					0	520	(48)	520
Roof Replacements	680					0	680	78	680
Window Replacements	600					0	600	95	600
Water Hygiene	60					0	60	0	60
Toilets	140					0	140	58	140
Kingspark Project	637	235	1,140			1,375	2,012	928	2,012
Less Angus Council Contributions			(840)			(840)	(840)	(720)	840
Less Health Board Contributions			(300)			(300)	(300)	0	300
Whitfield Project	6,350	(61)		(2,925)		(2,986)	3,364	0	3,364
Less Developers Funding	(290)			290		290	0	0	-
Lochee Project	1,100	22		(742)		(720)	380	26	380
West End Project	5,975	47		(4,753)		(4,706)	1,269	15	1,269
Harris Project	500	(23)		(452)		(475)	25	1	25
Less Scottish Government Capital Grant	(333)			333		333	0	0	-
PPP Contract Variations	60	215				215	275	(8)	275
Balances	-					0	0	1	
Education Total	19,268	413	0	(8,249)	0	(7,836)	11,432	522	11,432

SOCIAL WORK CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £'000
Property Upgrades	50	18				18	68	(1)	68
Milview Cottage (Strathcarron)	36					0	36	(102)	36
Elmgrove House Replacement	750					0	750		750
Day Services Acc for Learning Disabilities	550					0	550		550
Elms Residential Unit for Young People	200					0	200		200
Seymore Lodge Replacement	2,468	25				25	2,493	4	2,493
(Less Contribution Tayside Health Board)	(823)	(9)				(9)	(832)	(128)	(832)
(Less Contribution Tayside Police Joint Board)	(823)	(8)				(8)	(831)	9	(831)
Social Work Total	2,408	26	0	0	0	26	2,434	(218)	2,434

CITY DEVELOPMENT CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £000
Road & Minor Schemes									
Road Safety Measures	200					0	200		200
Pedestrian Crossings / Traffic Lights	100	74				74	174	36	174
Footpaths	400					0	400	60	400
Smarter Choices smarter Places	34					0	34	4	34
Less Scottish Government Grant	(34)					0	(34)		(34)
Environmental Improvements Programme									
Albert Square Environmental Improvements		20				20	20		20
Central Area & Other Projects	400	31				31	431	45	431
Community Regeneration Project						0			
Lochee	200	200	367			567	767	33	767
(Less Town Centre Regeneration Fund)			(367)			(367)	(367)	(33)	(367)
Hilltown		74				74	74		74
Accepted Practices									
Street Lighting Renewal	580					0	580	123	580
Road Reconstruction / Recycling	1,413					0	1,413	194	1,413
Bridge Assessment & Work Programme	200					0	200		200
Linlathen Bridge East	305	47				47	352	2	352
Less Developers Contributions	(305)	(47)				(47)	(352)	(2)	(352)
Regional Transport Partnership	1,729	791				791	2,520	10	2,520
Less TACTRAN Grant		(595)				(595)	(595)	(10)	(595)
Coastal Protection Study	622			(486)		(486)	136		136
Dykes of Gray	2,870	100	(2,130)			(2,030)	840		840
Less Developers Contributions	(2,870)	(100)	2,130			2,030	(840)		(840)
Parking									
Allan Street Car Park	591	118		548		666	1,257		1,257
Allan Street Associated Road Works				485		485	485		485
Administrative Buildings									
Tayside House Pooled Property Payment	185					0	185		185
Dundee House	22,834	(126)				(126)	22,708	3,052	22,708
Office Accommodation	2,245	63				63	2,308	60	2,308
City Square - Upgrade/weatherproof Windows	200					0	200		200
City Square - 7-11 Castle Street		3				3	3		3
Industry/Business									
Acquisition of Land/Buildings	1,500	(975)				(975)	525		525
Industrial Estates Improvements	400					0	400		400
Technopole Site Servicing	150					0	150		150
Business Support Initiative	150					0	150		150
Estates Servicing - Claverhouse East & West	200					0	200		200
Unit G Records Storage Facility		14				14	14	15	14
Other Expenditure									
Shopping Parade Improvements	325	24				24	349	37	349
Demolition of Surplus Properties	550	247				247	797		797
St Saviours		100				100	100	70	100
City Development Total	35,174	63	0	547	0	610	35,784	3,696	35,784

LEISURE & COMMUNITIES CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £'000
McManus Galleries Restoration & Dev Project			50			50	50	(143)	50
(Less NHMF Lottery McManus Galleries)								491	
(Less Historic Scotland)			(50)			(50)	(50)	(22)	(50)
Leisure Centre Improvements	39	63				63	102	58	102
Lochee Leisure Centre Roof		30				30	30	26	30
(Less Scottish Govt TCRF Monies)		(30)				(30)	(30)	(30)	(30)
DISC Replacement Pitches	358					0	358	0	358
Parks / Master Plan	190	76				76	266	(7)	266
New Swimming Pool	7,200	(169)		(3,231)		(3,400)	3,800	0	3,800
(Less SportsScotland Lottery Funding)	(750)	169		350		519	(231)	(231)	(231)
Camperdown Development (incl Visitor Ctre & Electrical Works)	773	128				128	901	129	901
Camperdown Country Park - Development Plan	10					0	10	0	10
Cemeteries	215	136				136	351	(3)	351
New Cemetery Extension	1,737	18				18	1,755	0	1,755
DCA	20				(20)	(20)	0	0	0
Environmental/Paths for All	40	7				7	47	3	47
Libraries	25				(25)	(25)	0	0	0
Neighbourhood Centres	25				(25)	(25)	0	(3)	0
Purchase of Vehicles & Equipment	121					0	121	1	121
Caird Hall	234	50			19	69	303	50	303
Roof Replacement/Improvement Programme	330	5			(300)	(295)	35	34	35
Camperdown Roof Replacement		61			421	482	482	1	482
Heating & Ventilation	50	39			(70)	(31)	19	(2)	19
Leisure & Communities Total	10,617	583	0	(2,881)	0	(2,298)	8,319	352	8,319

WASTE MANAGEMENT CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £'000
Purchase of Bins	140					0	140	35	140
Baldovie Redevelopment	260				(100)	(100)	160	0	160
Riverside Landfill Site	50					0	50	7	50
Purchase of Skips	30					0	30	0	30
Waste Management Property	220					0	220	0	220
Purchase of Vehicles & Equipment	600					0	600	70	600
(Less Sale of Vehicles, & Machinery & Ins Receipt)	0					0	0	(1)	0
Marchbanks Redevelopment	2,000	250				250	2,250	0	2,250
Recycling Initiatives	206					0	206	0	206
Waste Management Total	3,506	250	0	0	(100)	150	3,656	111	3,656

ENVIRONMENTAL HEALTH & TS/SS CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £000
Air Quality Monitoring Equipment	24					0	24	0	24
Contaminated Land	142					0	142	0	142
Environmental Health & TS/SS Total	166	0	0	0	0	0	166	0	166

CHIEF EXECUTIVE/SUPPORT SERVICES/FINANCE CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £000
Vacant & Derelict Land Fund - 2007/08 Programme		17				17	17		17
<i>Less Scottish Government Capital Grant</i>		(17)				(17)	(17)		(17)
Vacant & Derelict Land Fund - 2008/09 Programme		462				462	462	29	462
<i>Less Scottish Government Capital Grant</i>		(462)				(462)	(462)		(462)
Vacant & Derelict Land Fund - 2009/10 Programme	1,750					0	1,750		1,750
<i>Less Scottish Government Capital Grant</i>	(1,750)					0	(1,750)		(1,750)
Vacant & Derelict Land Fund - 2010/11 Programme	1,750				100	100	1,850		1,850
<i>Less Scottish Government Capital Grant</i>	(1,750)					0	(1,750)		(1,750)
Central Waterfront	2,718		(2,718)			(2,718)	0		
Surface Water Drainage Tank			1,621			1,621	1,621	775	1,621
Works Completion Bridge Ramp One			1,034			1,034	1,034		1,034
Demolition Tayside Hse & Olympia			100			100	100		100
Const'n New Rail Bridge, Concourse & Junction			200			200	200		200
Discovery Car Park			25			25	25		25
A92/Trades Lane			50			50	50		50
Project Management & Design			374			374	374	134	374
<i>(Less SE Contribution)</i>			(1,184)			(1,184)	(1,184)		(1,184)
Cycling, Walking & Safer Streets	249					0	249	3	249
<i>Less Scottish Government Grant Funding</i>	(249)					0	(249)		(249)
Unadopted Footpaths	500					0	500	62	500
Disabled Access	11					0	11		11
Health & Safety Works	538				(73)	(73)	465		465
Purchase of Computer Equipment	800	150			73	223	1,023	113	1,023
Energy - Spend to Save	100					0	100		100
ICT Strategy	50	(22)				(22)	28	1	28
Telephony and Data Network Upgrade	128	(23)				(23)	105		105
Finance Revenues Print Unit - Shore Terrace	101					0	101		101
Corporate Electronic Records Management System	62	28		51		79	141	86	141
14 City Square - Kitchen Refurbishment		45				45	45	32	45
Chief Executive/Support Services/Finance Total	5,008	178	(498)	51	100	(169)	4,839	1,235	4,839

DUNDEE CONTRACT SERVICES CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £000
Public Open Spaces	50					0	50	0	50
Playground Improvements	50	(3)				(3)	47	0	47
Purchase of Plant, Machinery & Vehicles	450	228	14			242	692	0	692
<i>Less Sale of Vehicles etc</i>			(14)			(14)	(14)	(14)	(14)
Dundee Contract Services Total	550	225	0	0	0	225	775	(14)	775

HOUSING HRA CAPITAL MONITORING 2010/11

Nature of Expenditure	Approved Budget 2010/11 £'000	2009/10 Carry Forward £'000	Budget Adjust. £'000	C/f into Future Years £'000	Virements £'000	Total Adjusts £'000	Revised Budget 2010/11 £'000	Expenditure to 30/06/2010 £'000	Projected Outturn 2010/11 £'000
Free From Serious Disrepair									
Roof Replacement	2,432					0	2,432	264	2,279
Roughcast Renewal	50					0	50	3	66
Energy Efficiency									
External Insulation and Cavity	425					0	425	0	425
Heating, Kitchens, Bathrooms & Showers	6,680					0	6,680	1,162	6,280
Ferolli & Ravenheart boiler replacement	200					0	200	0	200
Modern Facilities and Services									
Kitchens and Bathrooms and Showers	5,165					0	5,165	742	5,209
Individual Shower Programme	356					0	356	80	356
Healthy, Safe and Secure									
Fire Detection	25					0	25	0	25
Door Entry System	86					0	86	26	174
Security & Stair Lighting	164					0	164	0	164
Increase Supply of Council Housing									
New Builds	8,608					0	8,608	1,027	8,608
Demolitions	5,980					0	5,980	94	5,980
Miscellaneous									
Fees	60					0	60	0	60
Disabled Adaptations	900					0	900	136	900
East Area Office	100					0	100	0	100
Access Road Whitfield	1,900					0	1,900	0	1,900
Owner Receipts	(925)					0	(925)	(57)	(925)
Community Care									
Lounge Upgrades & Warden Call Replace'	420					0	420	95	543
Housing HRA Total	32,626	0	0	0	0	0	32,626	3,572	32,344

CAPITAL MONITORING 2010/11**Summary of Changes to Approved Budget 2010/11**

(and effect on future years)

	<u>Adjustment</u>			
	<u>2010/11</u>	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>
<u>Adjustments:</u>				
<u>Education</u>				
Carryforward from 2009/10	413			
Whitfield PS - rephasing of expenditure & income	(2,635)	2,420	215	
West End PS - rephasing expenditure	(4,753)	3,400	1,193	160
Lochee PS - rephasing of expenditure	(742)	(4,750)	4,754	738
Harris Academy - rephasing of expenditure & income	(119)	(1,033)	(3,833)	4,985
<u>Social Work</u>				
Carryforward from 2009/10	26			
<u>City Developments</u>				
Carryforward from 2009/10	63			
Coastal Protection Study - slippage on programme	(486)	486		
Allan Street Car Park - rephasing of expenditure	548	(1,897)	1,339	10
Allan Street Associated Road Works - rephasing of expenditure	485	291	(780)	4
<u>Leisure & Communities</u>				
Carryforward from 2009/10	583			
Allan Street Swimming Pool - rephasing of expenditure & income	(2,881)	320	2,581	(20)
<u>Waste Management</u>				
Carryforward from 2009/10	250			
Baldovie Redevelopment - vire to VDLF (Riverside Nature Reserve)	(100)			
<u>Chief Executive, Support Services & Finance</u>				
Carryforward from 2009/10	178			
CERDMS - bring forward budget from 2011/12	51	(51)		
Central Waterfront - rephasing of capital expenditure & transfer to revenue	(498)	(1,677)	(4,338)	
VDLF - Riverside Nature Reserve - vire from Waste Management	100			
<u>Dundee Contract Services - Contractor</u>				
Carryforward from 2009/10	225			
	(9,292)	(2,491)	1,131	5,877

REPORT TO: Policy and Resources Committee - 23 August 2010
REPORT ON: Information Technology Division Service Plan 2010-2012
REPORT BY: Head of Information Technology
REPORT NO: 428-2010

1.0 PURPOSE OF REPORT

1.1 To seek committee approval of the Information Technology Division Service Plan 2010-2012.

2.0 RECOMMENDATIONS

2.1 The Committee is recommended to approve the Information Technology Division Service Plan 2010-2012.

3.0 FINANCIAL IMPLICATIONS

3.1 The projects and actions identified in the plan will be met from existing revenue and capital budgets.

4.0 MAIN TEXT

4.1 The Information Technology Division's role is to advise Council and to design, deliver, support and maintain Information Technology (IT) services across the Council. The Division has a key role in providing technology enablers to assist the Council to modernise its service delivery and increase the efficiency and effectiveness of service delivery across all of its areas of responsibilities.

4.2 The proposed Information Technology Division Service Plan 2010-2012 has been developed taking account of the strategic challenges facing the Division along with the priorities set out in the Council Plan 2010-2012. The plan establishes the following key objectives and identifies strategies and projects to ensure they are realised:

- Increase efficiency of corporate and inter-agency processes by deploying software solutions
- Increase Customer satisfaction when in contact with Customer Services
- Extend the provision of Mobile, Flexible and Home working technologies
- Successfully deliver all Information and Technology aspects of the forthcoming major accommodation changes
- Provide an Information and Communications infrastructure which meets the needs of the organisation and supports service improvement
- Improve the efficiency and effectiveness of the Information Technology Division

- 4.3 Further detail on how these objectives will be delivered is identified in the plan. Measurement of performance and targets will allow progress towards meeting these objectives to be monitored. These are also identified within the plan.

5.0 POLICY IMPLICATIONS

- 5.1 This Report has been screened for any policy implications in respect of Sustainability, Strategic Assessment, Anti-Poverty, Equality Impact Assessment and Risk Assessment. There are no major issues. The Equality Impact Assessment will be made available on the Council website: <http://www.dundee.gov.uk/equanddiv/equimpact/>.

6.0 CONSULTATIONS

- 6.1 The Chief Executive, Depute Chief Executive (Support Services) Director of Finance and Assistant Chief Executive have been consulted.

7.0 BACKGROUND PAPERS

- 7.1 Council Plan 2010-2012
7.2 IT Service Plan EQIA

Mr. Ged Bell. Head of Information Technology

Date: 3 August 2010

INFORMATION TECHNOLOGY DIVISION SERVICE PLAN 2010-2012

Strategic Statement by Head of Information Technology

This service plan sets out how the Information Technology Division will meet the aims of the Council Plan to deliver the outcomes for the citizens of Dundee as expressed in the Single Outcome Agreement and to improve services and become a Best Value Council.

The Division's role is to advise Council and to design, deliver, support and maintain Information Technology (IT) services across the Council. The Division has a key role in providing technology enablers to assist the Council to modernise its service delivery and increase the efficiency and effectiveness of service delivery across all of its areas of responsibilities.

The Division's historic responsibilities were mainly inward looking as an internal provider of services to Council Departments to enable them to fulfil their service provision duties. Over the past four years the Division has transformed its function, developed capability and prioritised direct services to our Citizens by the growth of our on-line services.

Our Role in Fulfilling the Council Plan

The Council Plan sets out key priorities for the Council as a whole. Through provision of the underpinning information and technology systems, the IT Division has an indirect role in supporting all of the Council's key aims. However, the Council Plan priorities which are most directly relevant to the IT Division are:

- Corporate Change and Improvement Program. The IT Division has a key role in the following areas within the program:
 - Extend the provision of Mobile, Flexible and Home working technologies
 - Successfully delivering all information and technology aspects of the forthcoming major accommodation changes
 - Provide an Information and Communications infrastructure which meets the needs of the organisation and supports service improvement
- Customer Satisfaction. The IT Division has a key role in the following areas:
 - Maximise the use of self-service on-line services for information and transactions
 - Maximise the use of Citizen Account and National Entitlement card to minimise the need for Customers to complete forms when the Council already holds information
 - Increase efficiency of corporate processes by deploying software solutions

Key Challenges from the External Environment

The key external pressures facing the Division are:

- Expectation of modern 24x7, on-line , customer-focused services
- financial pressures to achieve savings, with the potential to affect investment in core Information Technology services
- growing requirement to work with other public sector partners and share information
- increasing and ever-changing Information Security threats and the need to maintain public confidence in how the public sector handles customer data.

Key Divisional Priorities

Taking account of the above and the Council Plan priorities, the division's key priorities are:

- Make all orders, requests and financial transaction services available via the website
- maximise the use of Citizen Account and National Entitlement Card so that customers don't need to complete forms when the Council already holds the information
- manage and deliver the Information Technology elements of the major accommodation changes and data-centre relocation which the Council will undertake over the next 12 months
- provide a robust IT infrastructure which supports the changing needs of the Council. These include:
 - o Mobile, Flexible and Home Working technology and infrastructure
 - o Electronic Document Management technology and infrastructure
 - o Centralised, standardised core infrastructure which minimises the lifecycle costs

Taking the Division Forward

In order to build the Information Technology Division's capacity to improve and to meet the objectives set out in this plan, the department will:

- carry out a departmental assessment under the Public Sector Improvement Framework and apply the lessons to the development of Information Technology Services.
- develop whole system approaches to support carrying out lean service reviews of key services
- deploy technologies which increase efficiency of IT services and reduce lifecycle costs

- ensure that all staff have an annual development and appraisal meeting with their manager and that ensure that individual priorities are closely linked to corporate/divisional priorities
- deploy corporate electronic records document management system
- Adopt mobile flexible working policies to improve productivity and save office accommodation space.

Division Objectives

- Increase efficiency of corporate and inter-agency processes by deploying software solutions
- Increase Customer satisfaction when in contact with Customer Services
- Extend the provision of Mobile, Flexible and Home working technologies
- Successfully deliver all Information and Technology aspects of the forthcoming major accommodation changes
- Provide an Information and Communications infrastructure which meets the needs of the organisation and supports service improvement
- Improve the efficiency and effectiveness of the Information Technology Division

Objective: Increase efficiency of corporate and inter-agency processes by deploying software solutions

Action Plan	Lead Officer	Completion Date
Development of processes (Workflows, e-forms & reports) and bespoke integrations to support CeRDMS project	Jim Walker	June 2012
Develop & deploy all software solutions to meet Housing Regulator Action Plan recommendations	Norrie Mclver	June 2012
Deploy single shared assessment and child protection messaging inter-agency software solution	Jim Walker	Nov 2010
Deploy joined-up systems for inter-departmental/inter-agency service delivery	Jane Crawford	June 2012
Deploy corporate self-service applications to increase efficiency of operation	Jane Crawford	June 2012

Performance Indicators for this objective	Baseline	Target
Number of CeERDMS processes and integrations deployed	0	Increase by 10 p.a.
Number of joined-up systems for inter-departmental/inter-agency service delivery	15	Increase by 3 p.a.
Number of corporate self-service applications deployed	3	Increase by 3 p.a.

Objective: Increase Customer satisfaction when in contact with Council Services

Action Plan	Lead Officer	Completion Date
Complete the program of delivering online all possible services, requests and payments	John Lawson	June 2012
Deployment of Information Strategy Action Plans - maximising the use of common information & maximising re-use of Citizen and Property Information	Jane Crawford	June 2012
Deployment of applications providing information using Website GIS (Geographical Information System) portal	Paul McGovern	June 2012
Make services more efficient by exploiting a web-based GIS toolkit	Paul McGovern	June 2012

Performance Indicators for this objective	Baseline	Target
Savings derived from process efficiencies deployed (Information Strategy)	£736K p.a.	Increase by 200K p.a.
Number of orders, requests and financial transactions available on the website	64	Increase by 8 p.a.
Number of services delivered by Contact Centres, CRM systems and Information Strategy	31	Increase by 5 p.a.
Number of applications providing information using website GIS	2	Increase by 3 p.a.
Number of services made more efficient by exploiting a web-based GIS toolkit	N/A	Increase by 3 p.a.

Objective: Extend the provision of Mobile, Flexible and Home working technologies.

Action Plan	Lead Officer	Completion Date
Develop an investment proposal for upgrading the Council's telephony estate to provide telephony for flexible workforce	Ged Bell	Oct 2010
Develop a common software platform for deploying existing Council Software on Mobile devices - to operate in a robust manner over Mobile Phone networks	Ged Bell	Dec 2010
Update IT acceptable use policies to cover home, mobile and flexible working	Ged Bell	Dec 2010

Performance Indicators for this objective	Baseline	Target
Number of staff who have access to mobile, flexible or home IT Services	1050	Increase by 300 p.a.

Objective: Deliver all Information and Technology aspects of the forthcoming major accommodation changes

Action Plan	Lead Officer	Completion Date
Deliver all aspects of Data Centre provision at Dundee House	Steve Boyd	Jul 2011
Deliver all aspects of Information Technology requirements for staff and visitor use at Dundee House	Steve Boyd	May 2011
Design and deliver resilient Network for Dundee House and interconnect to Shore Tce. Data-centre	Graeme Quinn	Mar 2011
Deploy IP Telephony and increase telephony resilience at Dundee House	Graeme Quinn	Mar 2011
Upgrade central server provision and further consolidate applications onto Citrix VDI platform	Steve Boyd	Apr 2012
Consolidate and upgrade Firewalls prior to Dundee House move	Jim Gorman	Oct 2010
Perform all Major LINUX operating System upgrades prior to Dundee House Move	Jim Gorman	Nov 2010
Upgrade Internet filtering software prior to Dundee House Move	Jim Gorman	Dec 2010
Provision of CeRDMS platform, storage, live environment and e-mail integrations required for Dundee House	Jim Walker	Apr 2011
De-commission all possible stand-alone server based applications prior to Dundee House Move	Jim Walker	Dec 2010
Deploy additional centralised data storage and upgrade central Linux Servers - to increase capacity and resilience prior to Dundee House Move	Tim Simpson	Nov 2010
Update all Systems-based addresses prior to Dundee House move	John Lawson	Apr 2011
Eliminate all possible central print functions and replace with web-based reports or CeRDMS - prior to Dundee House move	Jane Crawford	Apr 2011

Objective: Provide an Information and Communications infrastructure which meets the needs of the organisation and supports service improvement

Action Plan	Lead Officer	Completion Date
Provide access to additional cloud based personal data storage for all schools pupils	Niall Gibb	Apr 2011
Develop patch management and upgrade management policy	Neil Cathro	Feb 2011
Implement upgraded security endpoint protection and laptop encryption	Neil Cathro	April 2011
Consolidate IT asset management information from service desk and software inventory	Neil Cathro	Mar 2011

Performance Indicators for this objective	Baseline	Target
Annual average cost per IT workstation	£132.35	Reduce by 2% p.a.
Average fix-time for all IT support calls	12.38 hours	Maintain
Uptime of citizen-based internet services	99.5%	Increase

Objective: Improve the efficiency and effectiveness of the Information Technology Division

Action Plan	Lead Officer	Completion Date
Carry out a departmental assessment under the Public Sector Improvement Framework and apply the lessons to the development of the delivery of IT services	Jane Crawford	Mar 2012
Ensure that all staff have an annual development and appraisal meeting with their manager	Ged Bell	Dec 2010
Deploy corporate electronic records document management system across IT Division	Ged Bell	April 2011
Adopt mobile flexible working policies to improve productivity and save office accommodation space.	Ged Bell	Oct 2011

Performance Indicators for this objective	Baseline	Target
Desk : officer ratio	1:1	8:10

Risk Register					
Service Objective	Nature of risk (1)	Overall Assessment of Probability and Severity (P * S) (2)	Risk Controls (3)	Business Continuity Implications (4)	Lead Officer for managing the risk (5)
Increase efficiency of corporate and inter-agency processes by deploying software solutions	Loss of key staff	(2 x 4) 8	Career grade retention program	N	Jane Crawford
	Lack of client department support or resource	(3 x 5) 15	Well defined user requirements. Client dept. commitment	N	Jane Crawford
	Lack of IT Infrastructure provision	(2 x 4) 8	Business Continuity Strategy	Y	Tim Simpson
Increase Customer satisfaction when in contact with Customer Services	Loss of key staff	(2 x 4) 8	Career grade retention program	N	Jane Crawford
	Lack of client department support or resource	(3 x 5) 15	Well defined user requirements. Client dept. commitment	N	Jane Crawford
	Lack of IT Infrastructure provision	(2 x 4) 8	Business Continuity Strategy	Y	Tim Simpson
Extend the provision of Mobile, Flexible and Home working Technologies.	Loss of key staff	(2 x 4) 8	Career grade retention program	N	Ged Bell

	Lack of client department support or resource	(3 x 5) 15	Well defined user requirements. Client dept. commitment	N	Ged Bell
	Lack of IT Infrastructure provision	(2 x 4) 8	Business Continuity Strategy	Y	Tim Simpson
Successfully deliver all Information and Technology aspects of the forthcoming major accommodation changes	Loss of key staff	(2 x 4) 8	Career grade retention program	N	Steve Boyd
	Lack of client department support or resource	(3 x 5) 15	Well defined user requirements. Client dept. commitment	N	Steve Boyd
	Lack of IT Infrastructure provision	(2 x 4) 8	Business Continuity Strategy	Y	Tim Simpson
Provide an Information and Communications infrastructure which meets the needs of the organisation and supports service improvement	Loss of key staff	(2 x 4) 8	Career grade retention program	N	Steve Boyd
	Lack of client department support or resource	(3 x 5) 15	Well defined user requirements. Client dept. commitment	N	Steve Boyd
	Lack of IT Infrastructure provision	(2 x 4) 8	Business Continuity Strategy	Y	Tim Simpson

Information Technology Division - Performance Review

A review of the 2007-2011 IT Division Service Plan had identified that the Division performed well against targets. A reduction in the cost of IT Contracts has allowed financial resources to be invested in improvement areas. Another key area is the continued growth of applications and services being available online and at the Contact Centres. These initiatives are accruing significant Departmental savings. Deployment of low-power thin client desktops and flat screens exceeds targets and both these initiatives reduce cost and carbon footprint. IT support performance and reliability levels continue to improve.

Definition	Performance Statistics		Improvement Status		Benchmarks		Commentary
	Previous Figures (b) = baseline	Latest Figures (b) = baseline	Yearly Trend	Long Term Trend	Average	Best	
% of faults resolved within SLA times (true faults)	12/09 - 91.85 09/09 - 90.46 06/09 - 90.22 03/09 - 95	03/10 - 92.67					Latest Update (followed by remedial action if declining performance indicated)
CRT screen replacement with low-powered LCD panel.	03/09 - 1,392 03/08 - 950 03/07 - 950	03/10 - 2,000					All CRT screens throughout the Council have now been replaced with low power LCD equivalents
Citizen Account/Corporate Address Gazetteer - increase in number of systems integrated.	03/09 - 21 03/08 - 18 03/07 - 16 03/06 - 11	03/10 - 27					Systems integrated in 2009/10 were Social Work, Emergency system, FPNs, DUNCAN, ASB, Housing
Cost of IT Contracts as % of IT budget.	03/07 - 33 01/06 - 33 03/05 - 33	03/09 - 32					Elimination of Teamware mail platform resulting in net saving of £66K per annum. Replacement of DS library system with Civica Spydus resulting in net saving of £25K per annum. Addition of ePlanning services and other software resulting in net increase of £30K per annum. Overall net reduction of £61K per annum (1%) as a result of these initiatives
Cost per workstation across the Council (£)	03/09 - 134 03/08 - 137	03/10 - 132.35					
Data cleansing/matching - number of records	03/09 - 210,461 03/08 - 135,000	03/10 - 277,304					

matched to Citizen Account.	03/07 - 79,000 03/06 - 51,000					
Growth in number of joined-up systems for inter-departmental/inter-agency working.	03/09 - 9 03/08 - 6 03/07 - 3	03/10 - 15				Live this year were JATs, household enquiry for Police/ASB, Active4Life, DUNCAN, Welfare Rights portal, Lettings Contact Centre
Growth in online service transactions.	03/09 - 59 03/08 - 53 03/07 - 47	03/10 - 64				Live in 2009/10 were litter FPNs, fly-tipping FPNs, noise FPNs, smoking FPNs and report graffiti
Integration of GIS with services provided by Council's CRM/Contact Centres.	03/09 - 1 03/08 - 1 03/07 - 1	03/10 - 3				Pest Control, House Letting, Land Ownership
Number of applications providing information via internet GIS portal.	03/09 - 2 03/08 - 0 03/07 - 0	03/10 - 8				Simple location mapping, Elections web site, Winter Maintenance, My Dundee, Ward Mapping, Available Now housing, Housing Letting Areas, Recycling Points all live
Number of low-power desktop devices	03/09 - 1,841 03/07 - 1,771 03/06 - 482 03/05 - 380	03/10 - 1,963				Corporate IT policy is to deploy low power NC desktop in preference to PC workstation. More NCs will be deployed during annual bid process for 2010/11
One Stop Shop - growth in number of services provided by Council's CRM/Contact Centres.	03/09 - 17 03/08 - 15 03/07 - 10 03/06 - 6	03/10 - 31				Live in 2009/10 were Rent Account enq at Customer Services, report ASB at Customer Services, report repairs at Customer Services, council emergency system, report road defect, report street lighting, report other P&T fault, pay smoking fine, pay litter fine, pay dog fouling fine, pay parking fine, pay fly tipping fine, pay noise fine, Lettings contact Centre
Process efficiencies achieved through the information strategy (£).	03/09 - 474,000 03/08 - 135,000 03/07 - 100,000	03/10 - 736,700				Current efficiencies achieved through the strategy are £736,700 per annum
Update of multi-user system access.	09/09 - 0 12/08 - 0 03/08 - 0 12/07 - 0	03/10 - 100				The introduction of 1st line support has reduced the downtime of systems
Uptime of Citizen internet services	12/09 - 99.5 09/09 - 99.5 06/09 - 98.6 03/09 - 99.5	03/10 - 99.7				Box Office 99.88%, Formschecker 99.36%, HomePage 99.60%, City Payments 99.93%

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23RD AUGUST 2010
REPORT ON: SUPPORT SERVICES DEPARTMENT SERVICE PLAN 2010-2012
REPORT BY: DEPUTE CHIEF EXECUTIVE (SUPPORT SERVICES)
REPORT NO: 435-2010

1.0 PURPOSE OF REPORT

1.1 To seek approval of the Support Services Department Service Plan.

2.0 RECOMMENDATION

2.1 It is recommended that the Committee approves the Support Services Department Service Plan attached at Appendix 1.

3.0 FINANCIAL IMPLICATIONS

3.1 All services are provided for in the Department's Revenue Budget and Capital Plan.

4.0 MAIN TEXT

4.1 The Support Services Department Service Plan 2010-12 has been produced within the framework of the Council Plan 2010-2012 which was approved by the Policy and Resources Committee on 24th May 2010 (Article 1 refers) and will assist the Council in delivering the Single Outcome Agreement and improving efficiency.

4.2 The Service Plan is the main performance management document for the Department. It will be included in the online plan and performance databases. A number of performance measures and targets have been included in the Plan to ensure that progress can be assessed on a regular basis. The measures and targets will form the core of the Department's annual performance report.

4.3 All employees of the Support Services Department will be briefed on the Service Plan. In addition the Plan will be available on the Council's website.

5.0 POLICY IMPLICATIONS

5.1 This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti Poverty, Equality Impact Assessment and Risk Management. There are no major issues.

5.2 Equality Impact Assessments have been carried out and will be made available on the Council website <http://www.dundee.gov.uk/equanddiv/equipact/>.

6.0 CONSULTATIONS

6.1 The Chief Executive and Director of Finance have been consulted in the preparation of this Report.

7.0 BACKGROUND PAPERS

7.1 The Council Plan 2010-2012
Equality Impact Assessments

Patricia McIlquham
Depute Chief Executive (Support Services)

DATE: 29 July 2010

**Support Services Department
Service Plan
2010-2012**



SUPPORT SERVICES DEPARTMENT SERVICE PLAN

CONTENTS

Strategic Statement by Depute Chief Executive (Support Services)
 Our Role in Fulfilling the Council Plan
 Key Challenges from the External Environment
 Taking the Department Forward
 Department Objectives, Projects, Risk Register and Performance Review

Strategic Statement by Depute Chief Executive (Support Services)

This Service Plan sets out how the Support Services Department will meet the twin aims of the Council Plan

- to improve outcomes for the people of Dundee relating to social and economic issues affecting the quality of life; and
- to deliver Best Value by being an efficient customer focussed organisation that meets the community's aspirations for excellent local government services and an ethical approach to equalities and sustainable development.

The Department's overall purpose is to deliver cost effective and efficient services across the Council and externally. The Department will therefore constantly try to improve upon current performance to ensure that all its customers, whether internal or external, receive the best service possible.

In addition the Department will continuously review its key processes to improve efficiency wherever possible and provide Best Value services.

Our Role in Fulfilling the Council Plan

Aim One - To deliver the outcomes expressed in the SOA.

The Support Services Department through its various Divisions will contribute to all five of the Council's priorities - A Working City, Quality of Life and Social Inclusion, Healthy, Safe Communities, Getting it right for every Child and Corporate Change and Improvement. For example, the Legal Division will continue to support the City Development Department in attracting inward investment to the City, the City Archives by saving, caring and sharing Dundee's written heritage will support learning and community engagement, the Scientific Services Division through its analytical services, safety testing and advice will help our communities to be safe and feel safe, the Architectural Services Division through its support for the Education Department will contribute to our children being safe, healthy, achieving and active and through its support for the Housing Department will help people to live in attractive neighbourhoods and the Administration Division, along with all the other Divisions, will contribute to Best Value.

Key Challenges from the External Environment

The key external pressures facing the Department are:-

- Best Value external inspections of Council governance and performance;
- Financial pressures to achieve savings affecting all public services and the need to do "more for less";
- New legislation from Europe, Westminster and Holyrood which requires staff to update their knowledge and expertise and may require capital investment in new equipment and facilities;
- The current economic climate may increase the demand for certain services, for example debt recovery, and reduce the demand for certain others, for example sampling;
- Scottish Government policy on the design and procurement of capital works;
- The developing sustainable and environmental agenda in Scotland;
- The developing collaborative working agenda in Scotland.

Key Department Priorities

Taking account of the above and the Council plan priorities, the Department's key priorities are:-

To contribute to all five of the Council's priorities in the Council Plan
To deliver cost effective and efficient services across the Council and externally.

Taking the Department Forward

In order to build the Support Services Department's capacity to improve and to meet the objectives set out in the plan the Department will:-

- carry out a departmental assessment under the Public Sector Improvement Framework and apply the lessons to ensure continuous improvement and effective management.
- ensure that all employees have clarity regarding their work objectives and receive the required learning and development through the Performance and Development Framework.
- commit to the corporate electronic records and document management system
- adopt mobile and flexible working practices to improve productivity and efficiency where possible
- commit to working with the Council's partners and exploring shared service opportunities
- commit to sustainable development

Department Objectives, Projects and Performance Indicators. Risk Registers and Performance Reviews

Architectural Services Objectives

1. To be the leading (local authority) Multi Disciplinary Consultancy Service in East Scotland, recognised for innovation and best practice, and to maintain the Councils' commitment to a sustainable environment.
2. Work collaboratively to integrate and consolidate all property related activities and information, which contribute to the authority's corporate asset management programme.
3. To deliver the Council's corporate statutory maintenance programme (health and safety contracts) to ensure that the property facilities are safe and well maintained.
4. To deliver the Council's capital & minor works programme, ensuring the Authority's property portfolio are constructed to a high quality, are accessible and sustainable.

5. To deliver the Housing Department capital programme enabling the housing stock to achieve Scottish Housing Quality Standard by 2015, so that our people live in attractive communities.

1. **To be the leading (local authority) Multi Disciplinary Consultancy Service in East Scotland, recognised for innovation and best practice, and to maintain the Councils' commitment to a sustainable environment.**

Ref	Action Plan	Lead Officer	Completion Date
1.1	Develop EFQM process into the PSIF framework	JA	July 2011
1.2	Review our QA processes, and work collaboratively with others to improve electronic communication within the organisation	JA/SB/MK	April 2011
1.3	Develop employees to their full potential in meeting the operational needs of ASD	RP/MK/SB/JA	ongoing
1.4	Promote the Division's innovations and successes	RP	on going
1.5	Promote and implement the sustainable agenda in Dundee and in the wider construction community	RP	on going
1.6	Promote and support the aims and objectives of the Tayside Construction Forum	RP	on going

Performance Indicators for this objective	Baseline	Target
Improve EFQM score (PSIF score from 2011)	250	300
Retain ISO 9001 accreditation	retain	retain
Retain ISO 14001 accreditation	retain	retain
Personal development plan in place for all staff	90%	100%
Maintain Healthy Working Lives "silver" award	retain	retain
Staff Absence %	2.3%	2.0%
Employee Survey	60%	70%
waste recycled from construction sites	75%	76%

2. **Work collaboratively with others to integrate and consolidate all property related activities and information, which contribute to the authority's corporate asset management programme, and corporate improvement programme.**

	Action Plan	Lead Officer	Completion Date
2.1	Working collaboratively with others to source and provide property information directly to the GVA system for asset management purposes	JA	April 2011
2.2	Develop and improve processes to source and provide relevant property related information for asset management purposes	MK/SB/JA	April 2011
2.3	Provide advice & support on issues relating to corporate property asset management, incl, property reviews and drive the development of a Dundee City Council Estate Strategy	MK/SB/JA	April 2011
2.4	Actively contribute to the councils corporate improvement programme, incl Asset Management Plan, CeDRMS, and flexible & mobile working etc	MK/SB/JA	April 2011

Performance Indicators for this objective	Baseline	Target
Commercial EPCs completed %	85%	95%
Property Reviews completed %	10%	25%
Estate Strategy approved by Council	approved by Council	
% staff taking advantage of flexible working	10%	20%

3. **To deliver the Council's corporate statutory maintenance programme (health and safety contracts) and responsive maintenance (building services) to ensure that the property facilities are safe and well maintained.**

Action Plan	Lead Officer	Completion Date
Ensure the corporate contracts are developed, procured and administered effectively, all in compliance with legislation and meeting the corporate needs of the organisation	JA	April 2011 (ongoing thereafter)
Work collaboratively with others in the organisation to ensure all certificates, reports, and relevant data are managed directly through the GVA system	JA	April 2011
Collaborate with clients (incl partners contractors and others) to achieve financial efficiencies	JA/SB	April 2011

Performance Indicators for this objective	Baseline	Target
Statutory maintenance (Health and safety) contracts completed within set annual budget	(+/- 5%)	(+/- 1%)
% properties incl in H&S contracts with full DCC Compliance certificates (or equivalent certificate/report) as at 30/3/11	85%	95%tbc
Number of Health and safety accidents on sites	0	0
Benchmark ASD fees with other local authorities using data from RICS/SCALA	Mean cost	2% below mean cost

4. **To deliver best value in the Council's capital & minor works programme, ensuring the property portfolio is efficiently designed, and constructed to a high quality, is accessible for all and sustainable.**

Action Plan	Lead Officer	Completion Date
Ensure the capital and minor works programmes are designed, procured and administered to meet the needs of the clients	JA/SB/MK	April 2011 (ongoing thereafter)
Collaborate with the client departments and partners (incl contractors and suppliers) to achieve financial efficiencies	JA/SB/MK	April 2011 (ongoing thereafter)
Revise the current procurement selection process probably by using Framework Agreements following Scottish Government guidance	SB	April 2011

Performance Indicators for this objective	Baseline	Target
Projects completed within budget costs	80%	85%
Projects completed within programme	80%	85%
Client satisfaction with performance of design, procurement and project administration team	65%	70%
Number of Health and safety accidents on sites	0	0
Benchmark ASD fees with others	mean fee	1% below mean fee

5. **To deliver the Housing Department's capital programme enabling the housing stock to achieve Scottish Housing Quality Standard by 2015, so that our people live in attractive communities**

Action Plan	Lead Officer	Completion Date
Ensure the capital and minor works programmes are designed, procured and administered to meet the needs of the clients, and the Scottish Quality Housing standard	JA/SB/MK	April 2015
Collaborate with the Housing Department and Partners (incl contractors and suppliers) to achieve financial efficiencies	JA/SB/MK	April 2011 (ongoing thereafter)

Performance Indicators for this objective	Baseline	Target
Projects completed within budget costs	80%	85%
Projects completed within programme	80%	85%
Client satisfaction with performance of design, procurement and project administration team	65%	70%
Number of Health and safety accidents on sites	0	0
ASD fee in comparison with similar local authorities for SQHS improvement work.	TBC	TBC

Risk Register					
Service Objective	Nature of risk (1)	Overall Assessment of Probability and Severity (P * S) (2)	Risk Controls (3)	Business Continuity Implications (4)	Lead Officer for managing the risk (5)
1. To be the leading (local authority)Multi disciplinary Consultancy Service in East Scotland, recognised for innovation and best practice, and maintaining the Councils' commitment to a sustainable environment	<p>The council loses credibility over the competence of its project design, procurement and administration abilities,</p> <p>The council loses credibility over its commitment to sustainability and environmental issues</p>	(4 * 3) (12)	<p>Retain and attract qualified and competent staff.</p> <p>Clients Commit to realistic project budgets and programmes</p> <p>Visible commitment by Council to environmental issues & sustainability</p>	possible delay in projects and time spent dealing with adverse publicity	RP
2. Work collaboratively to integrate and consolidate all property related activities and information, which contribute to the authority's corporate asset management programme.	The council fails to deliver a credible corporate property asset management programme (e.g. as required by Audit Scotland) incorporating a dynamic Estate Strategy and maintenance Investment programme etc	(5 * 3) (15)	Fully implement a Corporate property management programme sharing information across council, and utilising skills and experience of all DCC property professionals	Delay and inefficient process for corporate property decisions	RP

Risk Register					
Service Objective	Nature of risk (1)	Overall Assessment of Probability and Severity (P * S) (2)	Risk Controls (3)	Business Continuity Implications (4)	Lead Officer for managing the risk (5)
3. To deliver the Council's corporate statutory maintenance programme (health and safety contracts) to ensure that the property facilities are safe and well maintained	Failure (possibly catastrophic) of equipment or system, resulting in injury or fatality to member of public or staff, possibly resulting in prosecution of Council by HSE or others	(5 * 3) (15)	Retain and attract appropriate qualified and competent staff. Clients Commit to maintaining safe buildings providing realistic budgets regular auditing of systems	Closure of buildings and associated disruption of services to community	RP
4 To deliver the Council's capital & minor works programme, ensuring the Authority's property portfolio are constructed to a high quality, are accessible and sustainable	Design or construction failure (possibly catastrophic) of a building or associated system, resulting in injury or fatality to member of public or staff, possibly resulting in prosecution of Council by HSE or others	(5 * 3) (15)	Retain and attract appropriate qualified and competent staff. Clients Commit to providing realistic budgets and programmes	Closure of buildings and associated disruption of services to community	RP
5. To deliver the Housing Department capital programme enabling the housing stock to achieve Scottish Housing Quality Standard by 2015, so that our people live in attractive communities	Design or construction failure (possibly catastrophic) of a building or associated system, resulting in injury or fatality to member of public or staff, possibly resulting in prosecution of Council by HSE or others	(5 * 3) (15)	Retain and attract appropriate qualified and competent staff. Clients Commit to providing realistic budgets and programmes		RP

Division Overview

Overall the Division has made the following performance improvements in its priority indicators:-

- **processing contractor invoices**
- **personal development plans for all staff**
- **staff absenteeism**
- **sustainability - waste recycled from construction sites**
- **sustainability - chain of custody documentation for sustainable timber**
- **achieved the Silver Healthy Working Lives Award**
- **ASD fees are significantly lower when benchmarked with other local authorities**

Key Performance Indicators

definition	05/06	06/07	07/08	08/09	09/10	Current Target	Bench mark	Improvement Status
customer satisfaction questionnaire (2 yr)	n/a	70%	n/a	70%	n/a	75%		►
process contractor invoices within 30days	72%	74%	82%	90%	100%	100%	85%	▲
EFQM score	n/a	n/a	250	n/a	n/a	300		►
retained ISO 9001 accreditation	yes	yes	yes	yes	yes	retain		►
retained ISO 14000	yes	yes	yes	yes	yes	retain		►
retain IIP accreditation	yes	yes	yes	yes	yes	retain		►
Healthy Working Lives Award (formally Shaw)	bronze	bronze	bronze	bronze	silver	retain silver		▲
personal development plan for all staff	50%	50%	55%	65%	80%	90%		▲
% staff absence	n/a	n/a	n/a	4%	2.6%	2.3%		▲
employee survey	67%	n/a	70%	n/a	n/a	75%		►
no of H&S accidents	0	0	0	0	0	0		►
waste recycled from construction sites	25%	30%	40%	65%	70%	75%	75%	▲
sustainable timber	n/a	50%	65%	75%	86%	90%		▲
sustainable awards	n/a	3	3	1	0	1		▼
Design awards	2	2	2	1	0	1		▼
fee income/exp %	2%	1%	1%	(1%)	0%	2%		►
benchmark project fees with other authorities	11%	11%	11%	11%	11.0 %	11.0%	14%	►

Status: ▲ = >5% improvement, ► = maintained, ▼ = >-5% deterioration

Scientific Services Objectives

Provision of Statutory functions and other scientific services

Maintain Official Food & Feed Enforcement Laboratory status

Improve service delivery

Maintain Partnership status with The Royal Society of Chemistry

Participate in the Review of Scientific Services for Scotland

Service Objective: To Provide statutory functions of Public Analyst, Agricultural Analyst, Food Examiner and other Scientific Services.					
Performance Indicators for this objective	Baseline	Target	Previous Years Trends		
			2008/2009	2009/2010	
Achieve satisfactory outcome of Annual UKAS audit to ISO17025	Satisfactory Audit	Satisfactory Audit	Satisfactory Audit	Satisfactory Audit	
Satisfactory Performance in external proficiency test schemes	Satisfactory score in 95% of test rounds (for accredited tests).	Up	95 %	95 %	

Service Objective: Improve Service Delivery					
Performance Indicators for this objective	Baseline	Target/Direction	Previous Years Trends		
			2008/2009	2009/2010	
% of Priority Sample Reports issued within target turnaround times.	80%	Up	NA	81%	
Number of new methods or scope of existing methods improved to meet client needs.	5	5	22	12	

Projects for Tayside Scientific Services

Service Objective: To Improve Service Delivery					
Project Description	Lead Officer	Start Date	End Date	Strategic Theme	
Whole Systems Project- to identify any areas of waste within service.	JC		March 2011	Best Value	
Participation in Review of Scientific Services for Scotland.	JC	May 2010	March 2011	Best Value/Shared Services	

Administration and Legal Services

General Services - Objectives

Electoral Registration

To publish a complete and accurate register by ensuring that all eligible electors are registered to vote and no ineligible people are registered.

Licensing

To review the licensing policy statement and prepare the statutory over-provision assessment and thereafter deal with all applications within the statutory timescales.

Committee Services - Objectives

Maintain satisfaction levels.

Comply with statutory timescales etc.

Office Services - Objectives

Customer Services

Corporate Customer Services Teams will become a centre of excellence in meeting the Council's Customer Service standards and provide a quality customer care service.

Telephone Services

Telephone Services will continue to support the development of the Customer Contact Centres (Revenues; DCS/Housing; Corporate) i.e. the implementation of voice recording and will work with the Information Technology Department to implement VOIP throughout the Council when the opportunity permits.

Registration Service

The Registration Service will continue to provide an excellent registration, civil ceremonies and genealogical services to members of the public along with the Family History Centre in collaboration with Leisure and Communities Department.

Key Performance IndicatorsGeneral Services

Service Objective: To publish a Complete and Accurate Register

Definition	08/09	09/10	Target or Direction	Bench Mark	Improvement Status
% of households returning annual Canvass Form	85.29%	86.25%	90%	90%	MAINTAINED

GENERAL SERVICES

Service Objective: To Review the Licensing Policy Statement and Prepare the Statutory Overprovision Assessment and Deal with Applications within the Statutory Timescales

Definition	08/09	09/10	Target or Direction	Improvement Status
% of licences issued within 21 days	100%	100%	100%	MAINTAINED

Committee Services

Service Objective: Customer Satisfaction

Definition	08/09	09/10	Target or Direction	Improvement Status
Customers satisfied or better with presentation of agenda and minutes	99%	100%	95%	IMPROVING
Customers satisfied or better with content of agenda and minutes	97%	99%	95%	IMPROVING

Committee Services

Service Objective: Compliance with Statutory Timescales etc

Definition	08/09	09/10	Target or Direction	Improvement Status
Agendas issued within statutory timescales	100%	100%	100%	MAINTAINED
Minutes completed by target date for production of Council Volume	100%	100%	100%	MAINTAINED

Office Services**Service Objective: Provide a Quality Customer Care Service**

Definition	08/09	09/10	Target or Direction	Improvement Status
* Number of calls offered	39,003	37,102	INCREASE	SLIGHT DETERIORATION
* Number of calls answered	32,520	30,572	INCREASE	SLIGHT DETERIORATION
* Average call waiting time	29 SECS	31 SECS	DECREASE	SLIGHT DETERIORATION
* Number of calls answered after comfort message	18,888	19,179	DECREASE	IMPROVING
* Number of calls abandoned	3,948	3,850	DECREASE	IMPROVING
* Number of calls abandoned after comfort message	2,956	2,345	DECREASE	IMPROVING

* **Annual Figures.**

Office Services**Service Objective: Provide a Quality Customer Care Service (cont...)**

Definition	08/09	09/10	Target or Direction	Improvement Status
* % of calls answered	83%	82%	75%	SLIGHT DETERIORATION
Customer satisfied or better with service from Customer Service Team	-	-	-	CUSTOMER SURVEYING COMMENCING JUNE 2010
Number of complaints regarding Customer Service Team	0	0	0	MAINTAINED
Proportion of staff trained in customer service skills	100%	100%	100%	MAINTAINED
Number of services accessible via Customer Service Team	26%	26%	30%	MAINTAINED
Number of services accessible via two or more channels	26%	26%	30%	MAINTAINED

* **Annual Figures.**

Performance Indicators**Service Objective: Customer Satisfaction**

Definition	08/09	09/10	Target or Direction	Improvement Status
% of public satisfied with professionalism of staff	97%	96%	100%	SLIGHT DECLINE
Report by Registrar General's Examiner - Error Rate	8%	4%	4%	IMPROVING
% of public satisfied with quality of service	95%	96%	100%	IMPROVING
% of public satisfied with speed of service delivery	96%	96%	100%	MAINTAINED

ADMINISTRATION

Risk Register					
Service Objective	Nature of risk	Overall Assessment of Probability and Severity (P * S)	Risk Controls	Business Continuity Implications	Lead Officer
Registration/civil marriages	Staff numbers inadequate to meet demand	6x2 = 12	Good quality staff and effective management, support and training.	N/A	RL
Provide Corporate Customer Services/ Telephone Services to members of the public	Communications failure	4x2 = 8	Maintain effective Business Continuity Plan.	N/A	RL
Provision of Committee Services to the Council, its Committees, Sub-Committees and Working Groups.	Stress to staff/inadequate staffing.	3x2 = 6	Good quality staff, effective supervision and training.	N/A	GMH
Provision of Committee Services to the Council, its Committees, Sub-Committees and Working Groups.	IT equipment failure.	4x2 = 8	Maintain Business Continuity Plan.	N/A	GMH

Risk Register					
Service Objective	Nature of risk	Overall Assessment of Probability and Severity (P * S)	Risk Controls	Business Continuity Implications	Lead Officer
Ensuring that applications for licences are processed speedily and efficiently and within the statutory timescales.	Loss of IT.	2x2 = 4	Maintain Business Continuity Plan.	N/A	SG
To prepare a Licensing Policy Statement and Over Provision Assessment and thereafter deal with all transitional applications within the statutory timescales whilst continuing to maintain the current level of service provision to licensees, applicants and the general public.	Failure to comply with all relevant legislation.	3x3 = 9	Good quality staff and effective supervision and training.	N/A	SG
Production of Electoral Register.	Register not published by due date.	2x3 = 6	Adhere to canvass procedures.	N/A	SG

Risk Register					
Service Objective	Nature of risk	Overall Assessment of Probability and Severity (P * S)	Risk Controls	Business Continuity Implications	Lead Officer
To publish a complete and accurate register by ensuring that all eligible electors are registered to vote and no ineligible people are registered.	Loss of IT/Staff Shortage	4x3 = 12	Maintain Business Continuity Plan.	N/A	SG
To develop a strategy that will enable the Council to evaluate its emergency.	Loss of key staff	2x5 = 10	Good quality staff and effective supervision and training.	Y	JH
Contingency plans, train and develop staff as to their duties during an emergency and assess staff emergency response and recovery.	Loss of communicationary IT facilities.	3x5 = 15	Maintain Business Continuity Plan.	Y	JH

Legal Services Objectives
Archives

To provide a Best Value Archive Service

Key Performance Indicators

Definition	08/09	09/10	Target or Direction	Improvement Status
% of records produced for inspection within target of 1 working day	100	100	100	Maintained
% of requests responded to within target of 10 working days	95	97	95	Improving
Time taken from request until legal records available for inspection in working days	1	1	1	Maintained

Legal

To provide a Best Value legal service

Key Performance Indicators

Definition	08/09	09/10	Target or Direction	Improvement Status
% Of Notices of Proceedings issued within target of 3 working days	100	100	100	Maintained
% of outstanding accounts processed within target of 10 working days	100	100	100	Maintained
Council House Sales - working days to issue offer	5	2	5	Improving
Council House Sales - working days to complete sale (non DCC loan)	14	5	14	Improving
Number of working days to process sequestration	6	3	10	Improving

Legal Services

Risk Register					
Service Objective	Nature of risk	Overall Assessment of Probability and Severity (P * S)	Risk Controls	Business Continuity Implications	Lead Officer
Legal Division - Provision of comprehensive Legal Services to the Council, its Committees, Sub Committees and Officers	Professional errors and omissions	4	Good quality staff and effective supervision. Hierarchical nature of organisation	N/A	RM
Archive and Record Centre - Data Protection Act/Freedom of Information Act/Human Rights Act/EEC Directive re environmental information.	Failure to provide information	1	Regulated by statutory framework.	N/A	RM
Health and Safety	Staff injury from manual handling	6	Health and Safety Section Training	N/A	RM
Health and Safety	Volunteer/work placement injury	2	Compliance with Council wide Health	N/A	RM

			and Safety protocols		
Health and Safety	Staff hours/lone working after	8	Compliance with Council wide Health and Safety protocols	N/A	RM
Health and Safety	Assault	1	Compliance with Council wide Health and Safety protocols	N/A	RM
Data Protection Act	Records Security Breach	1	Compliance with Data Protection Act Provisions	N/A	RM

Performance Overview

Overall the Administration and Legal Services Divisions have made the following performance improvements in their priority indicators:-

Customer satisfaction
Some aspects of call handling
Error rate as reported by Registrar General's Examiner
Council House Sales
Sequestrations

The following indicators have shown a declining trend and will be subject to a detailed review in the period ahead:-

Some aspects of call handling

The full analysis of the Divisions' Key Performance Indicators are contained in the tables above. These indicators are contained in the current Service Plan to provide ongoing trends as a baseline for judging the performance of the Divisions in the future.

REPORT TO: Policy and Resources Committee - 23 August 2010
REPORT ON: Supply of I.T. Equipment
REPORT BY: Head of Information Technology
REPORT NO: 424-2010

1.0 PURPOSE OF REPORT

1.1 Report for information to Committee. The I.T. Equipment purchased under the Buying Solutions and Procurement Scotland Framework Agreements.

2.0 RECOMMENDATIONS

2.1 The Committee is recommended to:

- i) Note the I.T. purchases amounting to £ 578,388 detailed in appendix 1. This covers the period 5 April to 2 August of financial year 2010/2011.
- ii) Approve ongoing engineering maintenance costs of £ 26,639 per annum for the above purchases.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The Director of Finance has confirmed that equipment with a capital value of £ 133,244 has been funded through the current year's allowance of £1,023,000 for the purpose of Computer Equipment in the Chief Executive Department's Capital Plan.
- 3.2 The Director of Finance has confirmed that equipment with a capital value of £ 392,608 has been funded through the current year's allowance of £ 570,000 for the purposes of Computer purchases in the Education Departments Capital Plan.
- 3.3 Equipment with a value of £ 52,536 has been funded through existing departmental budgets.
- 3.3 The annual recurring engineering maintenance costs of £ 26,639 will be met from the 2010/2011 Revenue expenditure for the I.T. Division.

4.0 MAIN TEXT

- 4.1 The Policy and Resources Committee (900-2002) of 16 December 2002 approved the OGC Catalist Procurement Scheme (now known as Buying Solutions) as a permanent means of purchasing I.T. equipment.
- 4.2 The above report remitted the Head of Information Technology to report regularly to the Policy and Resources Committee on the I.T. purchases made through the above scheme.
- 4.3 Procurement Scotland Framework Agreements have also been used to ensure best value is obtained in I.T. purchases.
- 4.4 Appendix 1 details the purchases made from 5 April 2010 until 2 August 2010.

5.0 POLICY IMPLICATIONS

5.1 This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Assessment. The major issues identified are:

- i) For the operation and maintenance of a wide range of I.T. equipment and support systems, consideration will be given in support of all service developments in line with the **Purchasing and Procurement** principles of the Sustainability Policy.
- ii) The impact of this policy will have the combined effect of reducing energy costs, life cycle costs and ensure sustainable recycling of equipment at end of useful life.

6.0 CONSULTATIONS

6.1 The Chief Executive, Depute Chief Executive (Support Services), and Director of Finance have been consulted.

7.0 BACKGROUND PAPERS

7.1 None

Mr. Ged Bell. Head of Information Technology

Date: 3 August 2010

APPENDIX 1**Details of I.T. Equipment purchased.****5 April 2010 until 2 August 2010**

Name of Company	Value of procurement	Equipment types
Hewlett Packard	£ 382,229	Desktops / Monitors
Insight	£ 27,995	Notebooks
Insight	£23,997	Printers / Peripherals
Insight / Softcat	£ 119,819	Servers
European Electronique	£ 20,335	Network
Misco	£4,013	Peripherals
Total	£ 578,388	

**REPORT TO: EDUCATION AND POLICY & RESOURCES COMMITTEES –
23 AUGUST 2010**

REPORT ON: REVISED CHARGES FOR DUDHOPE HOUSE

REPORT BY: DIRECTOR OF EDUCATION

REPORT NO: 419-2010

1.0 PURPOSE OF REPORT

1.1 The report requests approval to increase the charges for the educational provision at the Young Persons' Unit, Dudhope House, in order to cover the costs of providing the education service.

2.0 RECOMMENDATIONS

2.1 It is recommended that the Education and Policy & Resources Committees:

- i. note the content of this report ;
- ii. approve the proposal to increase charges as outlined in paragraph 3.2 below; and
- iii. instruct the Director of Education to inform other local authorities of this decision.

3.0 FINANCIAL IMPLICATIONS

3.1 A review has been undertaken of the charges made to other local authorities for providing education in accordance with Circular No 5/2001, Standards in Scotland's Schools Act 2000, Education of Children Absent from School Through Ill-health.

3.2 The previous charge of £98.00 per day was raised in line with inflation to £101.00 following a decision taken by the Policy & Resources Committee in February 2010 (report no. 82-2010, refers) pending the outcome of the review. This review has highlighted (see Financial Appendix) that the existing charge no longer reflects the actual cost of providing the service and recommends that the daily charge is increased from £101.00 to £150.00 per patient per day.

3.3 All local authorities on which a rise in charges would impact were informed in March 2010 of the intention to seek Committee approval to raise the charge to £150 from the start of the new academic session.

3.4 The impact on the revenue income will be dependent on the number of young persons who require the service. Dundee City Council has no locus in referring young people to Dudhope House, that being a medical decision reached by each young person's local health authority and NHS Tayside. The level of income can, therefore, change significantly year on year depending on the number of children who attend from outwith the authority.

4.0 MAIN TEXT

- 4.1 Dudhope House is a National Health Service facility, managed by NHS Tayside, which supports children and young people with a diagnosis of a mental health illness. The service provides for children and young people from across the north of Scotland. Children can only be referred to and placed in the facility for health reasons. Within the facility Dundee City Council has a duty to provide an education service and ensure continuity of education for the duration of the young persons' treatment in Dudhope House.
- 4.2 The *Young Persons' Unit* within Dudhope House is a residential facility with the capacity for 6 inpatients from age 12-18. Education is provided on the basis of a morning's or afternoon's attendance.
- 4.3 A careful log is kept of the access to education by each individual. For children from authorities other than Dundee, the local authority responsible for the education of each individual is then charged accordingly. Educational sessions are timetabled around therapy sessions delivered by NHS staff.
- 4.4 Consideration has been given to sustainability of the level of teacher support provided within Dudhope House. This review of charges will enable the Department to sustain the necessary staffing levels and maintain the high quality of educational provision available to Dudhope House in-patients.

5.0 POLICY IMPLICATIONS

- 5.1 This Report has been screened for any policy implications in respect of sustainability, strategic environmental assessment, anti-poverty, equality impact assessment and risk management. There are no major issues. An Equality Impact Assessment has been carried out and will be made available on the Council website:
<http://www.dundee.gov.uk/equanddiv/equimpact/>

6.0 CONSULTATIONS

- 6.1 This report has been subject to consultation with the Chief Executive, the Depute Chief Executive (Support Services) and the Director of Finance.

7.0 BACKGROUND PAPERS

- 7.1 Equality Impact Assessment

Jim Collins
Director of Education

11 August 2010

EW/JC/MM

Financial Appendix

Comparison of Income and Expenditure: Financial Year 2009-2010

INCOME

	£	£
Recharge to local authorities		60,417

EXPENDITURE

Staffing (2.2FTE)	102,760	
Supplies and Services	2,000	
Administration	10,400	

TOTAL 115,160

Shortfall 54,743

Projected Income based on a charge of £150/day
(based on an average 3-5 pupils for 190 days) 114,000

REPORT TO: POLICY AND RESOURCES COMMITTEE - 23 AUGUST 2010
REPORT ON: TENDERS RECEIVED BY CITY ENGINEER
REPORT BY: CITY ENGINEER
REPORT NO: 412-2010

1 PURPOSE OF REPORT

1.1 This report details tenders received and requests a decision on acceptance thereof.

2 RECOMMENDATION

2.1 Approval is recommended of (1) the acceptance of the tender submitted by the undernoted contractor and (2) the undernoted total amount, including allowances, for the project.

Project Reference	Project Description	Contractor	Tender Amount	Total Amount	Finance Available
P09224	- Ballindean Car Park	Tayside Contracts	£50,000.00	£50,000.00	£50,000.00
Total			£50,000.00	£50,000.00	£50,000.00

3 FINANCIAL IMPLICATIONS

3.1 The Director of Finance has confirmed that funding for the above project is available as detailed on the attached sheet.

4 POLICY IMPLICATIONS

4.1 This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues.

5 CONSULTATIONS

5.1 The Chief Executive, Depute Chief Executive (Support Services), Director of Finance and Assistant Chief Executive have been consulted and are in agreement with the contents of this report.

6 BACKGROUND PAPERS

6.1 There are no background papers of relevance to this report.

7 FURTHER INFORMATION

7.1 Detailed information relating to the above Tenders is included on the attached sheet.

Mike Galloway
Director of City Development

Fergus Wilson
City Engineer

FW/EH

26 July 2010

Dundee City Council
Tayside House
Dundee

CLIENT	CITY DEVELOPMENT								
PROJECT NUMBER PROJECT PROJECT INFORMATION	P09224 Ballindean Car Park Construction of a 20 bay car par at Ballindean Terrace								
TOTAL COST	<table> <tr> <td>Contract</td> <td>£50,000.00</td> </tr> <tr> <td>Non Contract Allowances</td> <td>Included</td> </tr> <tr> <td>Fees</td> <td>Included</td> </tr> <tr> <td>Total</td> <td><u>£50,000.00</u></td> </tr> </table>	Contract	£50,000.00	Non Contract Allowances	Included	Fees	Included	Total	<u>£50,000.00</u>
Contract	£50,000.00								
Non Contract Allowances	Included								
Fees	Included								
Total	<u>£50,000.00</u>								
FUNDING SOURCE	Capital Budget for Health and Safety								
BUDGET PROVISION & PHASING	2010/2011 £50,000.00								
ADDITIONAL FUNDING									
REVENUE IMPLICATIONS	None								
POLICY IMPLICATIONS	The project design incorporates the principles of sustainability through the use of recycled materials and improvement of the local environment.								
TENDERS	<p>As part of the Roads Maintenance Partnership approved by the Chief Executive, the following offer was received from Tayside Contracts:-</p> <table> <thead> <tr> <th><u>Tenderer</u></th> <th><u>Tender</u></th> </tr> </thead> <tbody> <tr> <td>Tayside Contracts</td> <td>£50,000.00</td> </tr> </tbody> </table>	<u>Tenderer</u>	<u>Tender</u>	Tayside Contracts	£50,000.00				
<u>Tenderer</u>	<u>Tender</u>								
Tayside Contracts	£50,000.00								
RECOMMENDATION	To accept the offer from Tayside Contracts								
ALLOWANCES	All included								
SUB-CONTRACTORS	None								
BACKGROUND PAPERS	None								

DUNDEE CITY COUNCIL

REPORT TO: Policy & Resource Committee - 23 August 2010

REPORT TO: Reduction of On Street Prostitution - Service Level Agreements to provide support services to Women - Dundee City Council and Action for Children

REPORT BY: Director of Leisure and Communities Department

REPORT NO: 416-2010

1.0 PURPOSE OF REPORT

1.1 To gain approval for the extension of the Service Level Agreements between Dundee City Council and Action for Children from 1st July 2010 - 31st March 2011.

2.0 RECOMMENDATIONS

It is recommended that the Committee:

2.1 agree the extension of the Service Level Agreements between Dundee City Council and Action for Children to 31 March 2010.

3.0 FINANCIAL IMPLICATIONS

3.1 The total cost of the 9 month extension to the Service Level Agreements is £26,182. This will be met in full by the Alcohol and Drugs Partnership.

4.0 MAIN TEXT

4.1 Report number 400-2009 to Policy and Resources Committee on 14 September 2009 established a Service Level Agreement between Dundee City Council and Action for Children in respect of drug treatment/support services for women involved in street prostitution until 30th June 2010.

4.2 Dundee Alcohol and Drug Partnership have confirmed funding of £26,182 in order to sustain drug treatment services to women involved in street prostitution (pending a review of the care pathway for this client group) from 1st July 2010 - 31st March 2011. However, the Alcohol and Drug Partnership are not a constituted body and are therefore unable to make contractual arrangements directly with Action for Children.

4.3 Specific targets/outcomes of the Service Level Agreement are outlined in Appendix 1.

4.4 This is part of an overall strategy to reduce on street prostitution which includes enforcement action taken by Tayside Police. The Alcohol and Drug Partnership and Violence Against Women Partnership will lead a review of drug treatment provision for women involved in prostitution during the period of the proposed contract extension.

5.0 POLICY IMPLICATIONS

5.1 This report has been screened for any implications in respect of Sustainability, Strategic Environmental Assessment, Anti Poverty, Equality Impact Assessment and Risk Management.

There are no adverse implications.

5.2 Implementation of these Service Level Agreements will contribute to the following policy and strategic priorities:

- National Outcome 9 and 11
- Dundee Outcome 7
- The Council Plan 2007-2011, Building Stronger Communities/Community Safety
- Leisure & Communities Service Plan 2007-2011 Community Safety
- Dundee Community Safety Partnership Strategy 2009-2012

6.0 CONSULTATION

6.1 The Chief Executive, Assistant Chief Executive, Depute Chief Executive (Support Services), Director of Finance and the Chief Constable have been consulted and are in agreement with its contents.

7.0 BACKGROUND PAPERS

7.1 The following background papers as defined by Section 50D of the Local Government (Scotland) Act 1973 were relied on to a material extent in preparing the above report.

Service Level Agreement between Dundee City Council and Action for Children.

Service Level Agreement extension notification, Director of Leisure and Communities.

STEWART MURDOCH
DIRECTOR OF LEISURE AND COMMUNITIES DEPARTMENT
27 JULY 2010