

City Chambers
DUNDEE
DD1 3BY

14th February, 2024

Dear Colleague

CITY GOVERNANCE COMMITTEE

I refer to the Agenda of Business issued in relation to the MEETING of the **CITY GOVERNANCE COMMITTEE** to be held remotely on Monday, 19th February, 2024 and now enclose the undernoted items of business which should be read as replacement for reports previously issued.

Yours faithfully

GREGORY COLGAN

Chief Executive

AGENDA OF BUSINESS

10 LEISURE AND CULTURE DUNDEE – PERFORMANCE AND IMPACT REPORT FOR 2022/2023 - Page 1

(Joint Report No 51-2024 by the Chief Executive and Managing Director of Leisure and Culture, copy attached).

12 IT ASSET MANAGEMENT PLAN - Page 9

(Report No 10-2024 by the Executive Director of Corporate Services, copy attached).

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ITEM No ...10.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: LEISURE & CULTURE DUNDEE - PERFORMANCE AND IMPACT REPORT FOR 2022-23

REPORT BY: CHIEF EXECUTIVE AND MANAGING DIRECTOR OF LEISURE & CULTURE DUNDEE

REPORT NO: 51-2024

1. PURPOSE OF REPORT

To provide the annual report for financial year 2022-23 setting out financial and performance information on Leisure & Culture Dundee to meet the guidance on Following the Public Pound.

2. RECOMMENDATIONS

It is recommended that Committee note the attendance performance across the range of services undertaken by Leisure & Culture Dundee in section 5 and in more detail in Appendix 1.

3. FINANCIAL IMPLICATIONS

- 3.1 In 2022-23 the Council paid a management fee to Leisure & Culture Dundee of £8,476,000. In addition to this, the Council also provided additional revenue support of £1,298,974 to offset lost income due to the COVID-19 pandemic (the agreed additional revenue support budget for the year was £2,618,217). Leisure & Culture Dundee also absorbed the additional cost of the 2022-23 pay award of £703,560. The gross turnover (unaudited) for Leisure & Culture Dundee for the same financial year was £17,045,468. The Management Fee and additional revenue support is 57% of the turnover.
- 3.2 There are further fees paid to Leisure & Culture Dundee by Dundee City Council of £1,149,761 for a variety of other services (see section 4.5).
- 3.3 The Council also provides circa £7.3m to support property and buildings maintenance, IT and support costs, and loan charges in relation to facilities managed by Leisure & Culture Dundee.
- 3.4 As a Scottish Charitable Incorporated Organisation (SCIO) the Scottish Government provides relief of rates to Dundee City Council for the properties operated by Leisure & Culture Dundee, the value of which for 2022-2023 was £3,116,626.
- 3.5 During 2022-2023, Leisure & Culture Dundee raised £1.391m (£1.554m in 2021/22) to support programmes and services provided in Dundee from Sport Scotland (Active Schools included in para 3.2 above), and Macmillan, EventScotland, Creative Scotland, various trusts and private sector sponsorship.
- 3.6 The closure of Olympia for remedial works was expected to have a financial impact on Leisure & Culture Dundee in financial years 2022/23 and 2023/24, but any gap would be offset by staff redeployment and vacancies and anticipated additional income at other leisure facilities throughout the city. It has now reopened on 18 December 2023.
- 3.7 In October 2022 the Council agreed to authorise the Chief Executive to issue a letter of comfort to Leisure and Culture Dundee confirming the Council's continuing financial support in financial year 2022/23 and for a period of at least 12 months beyond the date of the signing of Leisure and Culture Dundee's 2021/22 accounts whilst setting out an expectation that from 2023/24 Leisure and Culture Dundee will operate with a balanced budget (Article III of the minute of Policy and Resources Committee on 31 October 2022 refers). Leisure and Culture Dundee have been provided with additional financial support of £2.914m over the past two years to mitigate the impact of Covid 19 with the expectation that this support will cease this year. The

expected cost of financial support to LACD for 2023/24 of £1.586m will be met from Covid earmarked reserves. To provide certainty, stability and time for Leisure and Culture Dundee to develop a balanced budget from 2024/25 onwards the Council further agreed (Article VI of the minute of the meeting of City Governance on 21 August 2023 refers) to extend this support to 31 March 2024. It was further agreed on City Governance meeting on 4 December 2023 that the Chief Executive was authorised to extend the support to LACD to 30 June 2024 should this be necessary.

4. BACKGROUND

- 4.1 Reference is made to Article VII of the minute of the Policy and Resources Committee of 7 December 2015, (report 425-2015), where approval was given for updating the Council's guidance on Following the Public Pound. As the Council provides substantial funding to Leisure & Culture Dundee to deliver a range of services on its behalf, an annual report is brought to Committee and made publicly available to ensure scrutiny and accountability.
- 4.2 Leisure & Culture Dundee is a Scottish Charitable Incorporated Organisation established in 2011 with responsibility for delivery of the following services on behalf of Dundee City Council:
- Library and Information Services
 - Cultural Services
 - Leisure and Sports Services
- 4.3 Leisure & Culture Dundee is a key partner and in the joint City Plan and Council Plan Progress Report (Article III of the minute of the Policy and Resources Committee of 23 August 2021, Report 211-2021 refers) progress was noted on 11 priority actions and 4 Council Key Performance Indicators where Leisure & Culture Dundee are responsible for delivery. Leisure & Culture Dundee are also essential to the delivery of the City Council's Physical Activity Strategy adopted at the Policy and Resources Committee 31 October 2016 (Report 345-2016, Article III of the minute refers) and the Cultural Strategy 2015-2025 (Article VI of the minute of the meeting of the Policy and Resources Committee on 12 January 2015, report 7-2015 refers).
- 4.4 In addition to its three core service areas listed above, Leisure & Culture Dundee is funded to deliver or oversee a variety of initiatives and agreements on behalf of the Council and Dundee Partnership e.g. Active Schools, Outdoor Education, the School Library Service.
- 4.5 An Annual Report is also submitted to the Office of the Scottish Charity Regulator, and each service produces an annual report, copies of which are available through Dundee's Public Libraries or online at <http://www.leisureandculturedundee.com/who-we-are>. This report is ahead of that timetable and is based on monitoring information shared with the Council for 2022/23.
- 4.6 The Chief Executive and Director of Leisure & Culture Dundee are working on a review of the agreements in place between the Council and Leisure & Culture Dundee to bring forward any necessary amendments. This will include updating the service levels agreements and refreshing the performance management framework.

5. PERFORMANCE DATA AND HIGHLIGHTS FOR 2022/23

- 5.1 The following performance highlights are taken from the public service obligation report (as described in the agreement between the Council and Leisure & Culture Dundee) in Appendix 1, which gives a comparison with the previous year and includes the statutory performance indicators included in the Local Government Benchmarking Framework.
- 5.2 The table gives a summary of the total number of attendances/visits to facilities operated by Leisure & Culture Dundee on behalf of the City Council during 2022/23 compared to 2021/22 and also 2019/2020 (Pre-Pandemic). In person attendance has increased significantly and showing recovery from the restrictions caused by the pandemic. However, to show there is still some way to go to recover to pre COVID levels, the second % Change column gives the

comparison between the latest year compared with the pre Covid year of 2019 – 2020. Museums and Leisure and Sport activity have almost recovered to pre-covid levels.

In Person Attendance	2019/20	2021/22	2022/23	% Change 2022/23 on previous year	% Change 2022/23 on pre-Covid year (2019/20)
Library	997,467	244,702	517,463	111%	-48%
Museums	215,596	104,644	178,956	71%	-17%
Halls/venues	270,175	172,310	134,814	-22%	-50%
Leisure & Sport	1,523,035	1,064,620	1,356,431	27%	-11%
Active Schools	229,424	74,974	124,073	65%	-46%
Wildlife Centre	73,757	85,233	77,827	-9%	6%
TOTAL	3,309,454	1,746,483	2,389,564	37%	-28%
Digital Products					
Library	45,288	124,829	159,410	29%	252%
Culture	371,257	1,351,514	495,318	-63%	33%
TOTAL	416,545	1,476,343	159,410	-89%	-62%

5.3 Leisure & Culture Dundee achievements during 2020/23 include:

- Increased attendance to all leisure and culture premises as recovery from COVID commenced.
- Caird Hall is now moving to full use pre-Covid levels, and event programme continues to expand to attract new audiences.
- The McManus is performing well, with visitor numbers almost back to pre-Covid levels, significantly different to reports from the wider cultural attractions and museum sector.
- A digital strategy is currently being completed to support the service to become more responsive to digital technologies and apply this into organisational culture. This will support creating a digitally upskilled workforce that supports the introduction of advancing technologies into our organisational model.
- Introduced the new membership COMMUNITYFIT which makes the most of existing community facilities which we already have and offer customers a new type of fitness membership that is full-service, affordable, and locally accessible.
- The priorities for Active for Life in 2023 kicked off with a focus to increase referrals getting back to previous pre-Covid levels. A 6-month project plan, working on promotion within the healthcare professionals in the city, has been developed. Active for Life referrals were up 50% in February on January figures.
- Partnership Agreement with sportscotland – agreements have been signed off by sportscotland, Dundee City Council and LACD, confirming the next 4 four years of investment for Active Schools and Community Sports Hubs.
- New partnerships have been entered into with the Community Empowerment team for the Lochee Ward to provide targeted swim access for families and children and has resulted in increased attendances during the year.
- Over the past year, Ancrum Outdoor Centre has moved from strength to strength with more customers than ever before accessing services.

- The Regional Performance Centre has hosted a large number of key national events, local festivals and training sessions.
- Central Library is now a registered 'Data Bank' with the Good Things Foundation, the first in Dundee. Digital Support Volunteers based in the Opportunities department of central library participated in the launch of the initiative and have widely promoted this resource with partners across Dundee.

6. POLICY IMPLICATIONS

- 6.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

7. CONSULTATIONS

- 7.1 The Council Leadership Team and Leisure & Culture Dundee's management team have been consulted in the preparation of this report.

8. BACKGROUND PAPERS

None.

GREGORY COLGAN
CHIEF EXECUTIVE

8 FEBRUARY 2024

JUDY DOBBIE
MANAGING DIRECTOR LEISURE & CULTURE DUNDEE

SERVICE AGREEMENT PART 2 - SPECIFICATION OF PSO SERVICES SUMMARY – Reporting Period: 01/04/2021 to 31/03/2022

Cultural Services

Cultural Services will provide the operation, management development and promotion of the arts, heritage, culture and science services throughout the City. The section will provide access to high quality educational resources and promote inclusion and deliver outreach activities to adults.

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per visit to museums and galleries (LGBF Family Group Average)	£115.12 (£119.65)	£1.34 (£14.26)	-£113.78 (105.39)	-98.8% (-88%)
% of adults satisfied with museums and galleries	No data	No data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
Total visitors in person	215,596	104,644	178,956	+74,312	+71%
McManus	167,391	88,766	132,891	+44,125	+49.7%
Broughty Castle Museum	42,149	11,008	35,513	+24,505	+222.6%
Mills Observatory	5,601	4,870	7,424	+2,554	+52.4%
Collections Unit / Steeple	455	0	0		
Digital Engagement	371,257	1,351,514	495,318	-856,196	-63%
Halls and Music Development Venues	270,175	172,310	134,814	-37,496	-22%
Caird Hall (per 1,000)	132,113	147,886	103,514	+55,628	+116%
Burgh Hall	5,879	946	3,189	+3,143	+68%
Box Office	123,085	23,478	28,111	+24,663	+71%

Leisure and Sport Services

Leisure and Sport Services will provide the operation, management and development of indoor and outdoor sports facilities, the development and delivery of sports activities and events directed towards wider participation in sports and the delivery of services focused on social renewal and the needs of young people on behalf of Dundee City Council in the manner following:

1. Leisure Facility Management
2. Sports Development
3. Golf Course Management and Maintenance
4. Camperdown Wildlife Centre Management
5. Active Schools

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per attendance of sport and leisure facilities (including swimming pools) (LGBF Family Group Average)	£23.47 (£68.69)	£5.61 (£6.81)	-£17.86 (-61.88)	-76.1% (-90.1%)
% of adults satisfied with leisure facilities	71.1%	No Data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
All Sports (incl. Pools and Golf)	1,523,035	1,064,219	1,356,030	+291,911	27%
Olympia	463,141	113,671	12,130	-101,541	-89.3%
Lochee	65,316	44,581	95,253	+50,672	+113.6%
Craigie	4,742	14,652	17,490	+2,838	+19.3%
Grove	34,912	24,938	40,351	+15,413	+61.8%
Harris	40,066	20,174	34,065	+13,891	68.8%
St. John's	7,718	23,752	22,793	-959	-4%
St. Paul's	36,674	25,487	53,066	+27,579	+108.2%
Ancrum	33,612	32,537	37,952	+5,415	+16.6%
DIA	132,524	129,320	174,161	+44,841	+34.6%
DISC	218,355	114,449	141,812	+27,363	+23.9%
Douglas	81,800	50,098	84,638	+34,540	+68.9%
Fintry	2,164	4,320	6,260	+1,940	+44.9%
McTaggart	95,118	51,868	64,333	+12,565	+24%
Menzieshill Community Hub	26,877	27,528	50,163	+22,635	+82.2%
Baldrigon	26,833	33,584	49,193	+15,609	+46.4%
Craigowl	3,440	7,000	11,190	+4,190	+59.8%
St. Andrew's	1,750	5,180	6,730	+1,550	+29.9%
RPC	154,220	274,402	400,161	+125,759	+45.8%
Development (Health & Wellbeing)	36,098	11,951	10,687	-1,264	-10.5%
Sports Development	30,560	9,556	6,140	-3,416	-35.7%
Golf Rounds Caird 9 Hole	5,965	13,179	8,195	-4,984	-37.8%
Golf Rounds Caird 18 Hole	21,150	31,992	29,267	-2,725	-8.5%
Golf Members	1,192	1,202	1,135	-67	-5.5%
LeisureActive Members	4,842	3,681	3,130	-551	-14.9%
Performance Sport DAPP – Institute of Sport & Exercise*	-	-	401	N/A	N/A
Wildlife Centre	73,757	85,233	77,827	-7,406	-8.6%
Active Schools	229,424	74,974	124,073	+49,099	+65.4%

* LACD has been responsible for DAPP since 16th August 2022.

Library and Information Services

Library and Information Services will provide the operation, management and development of library and information services throughout the City. This service will provide access to high quality resources for reading and writing as well as high quality information, as well as an access to high quality educational resources. Services provided will promote inclusion and deliver outreach activities to adults, children and families.

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per visit to libraries (LGBF Family Group Average)	£21.73 (£13.22)	£9.63 (£6.29)	-£12.10 (-6.93)	-55.7% (-47.6%)
% of adults satisfied with libraries	74.3%	No Data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
Library visits per 1,000 of population	6,547	1,639	3,503	+1,864	+113.7%

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022- 23 (Apr-Mar)	+/-	%
Loans of e-books	8,672	12,929	10,286	-2,643	-20.4%
Loans of e-audio books	8,510	11,234	10,884	-350	-3.1%
Loans of e-magazines	13,101	92,997	129,358	+36,361	+39%
Digital literacy sessions	15,005	6,703	8,882	+2,179	+32.5%
Activities promoting reading	3,941	966	3,510	+2,544	+263.3%

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ITEM No ...12.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: IT ASSET MANAGEMENT PLAN

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 10-2024

1.0 PURPOSE OF REPORT

1.1 This report requests approval of the IT Asset Management Plan for 2024-29.

2.0 RECOMMENDATIONS

2.1 It is recommended the Committee approves the IT Asset Management Plan.

3.0 FINANCIAL IMPLICATIONS

3.1 There are no direct financial implications arising from this report.

4.0 BACKGROUND

4.1 With reference to Article IV of the Minute of Meeting of the Policy and Resources Committee of 26 June 2023 (Report 177-2023 refers). The Committee approved the Council's Corporate Asset Management Plan for the period 2023-28.

4.2 The IT Asset Management Plan outlines the priorities and strategies required to develop and support the IT assets, technology and infrastructure that are in place and or required to support the business objectives of the Council and is designed to be read in conjunction with the overarching Corporate Asset Management Plan which provides the strategic context for the management of Council Assets.

5.0 POLICY IMPLICATIONS

5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6.0 CONSULTATIONS

6.1 The Council Leadership Team were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

7.1 None.

**JACQUI KOPEL
HEAD OF CUSTOMER SERVICES & IT**

DATE: 25 JANUARY 2024

**ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES.**

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IT ASSET MANAGEMENT PLAN

2024 -2029

DOCUMENT CONTROL

Version	Date	Author	Summary
Version 1	19 Feb 2024	Jacqui Kopel/Graeme Quinn	Issued for approval to the City Governance Committee
Update Due	February 2029		

STRATEGIC OBJECTIVES

The IT Asset Management Plan outlines the strategy, processes, and guidelines for managing the Council's IT assets effectively. This plan aims to optimise asset usage, reduce costs, minimise risks, and ensure compliance with regulations. By implementing this plan, the Council can achieve better visibility of its IT assets and infrastructure and improve overall efficiency.

This plan supports the Council's vision for a Modern Council and the guiding principles and themes of the Council's Digital strategy by aligning IT assets and services with those of the business.

The IT Service follow industry standard processes for IT asset management based on the IT Infrastructure Library (ITIL) framework. IT asset information is recorded and updated in the Council's IT Service Management (ITSM) system.

The plan aims to deliver best value in the management and maintenance of IT assets, to achieve best value the life cycle and replacement of our assets requires to be considered. The Council utilises several national frameworks for the procurement of IT assets, the frameworks provide an increased reach of suppliers and competitive pricing at a national level while allowing the Council to utilise and support local suppliers.

The IT Asset Management Plan supports the Council's Digital Strategy designed to support the Council's priority to become a modern council. In addition, the IT service provides extensive support to the school's network and equipment within, to support the strategic priority of reducing child poverty and inequalities in income, education and health.

INTRODUCTION

A Corporate Asset Management Plan for the period 2023 – 2028 was approved by the Policy and Resources Committee on 26 June 2023. This plan provides further detail of the Council's Management of its IT assets and a basis for implementing the overall Council objectives.

The IT Asset Management Plan outlines the priorities and strategies required to develop and support IT assets, technology and infrastructure that are in place or are required to support the business objectives of the Council. Ensuring business continuity and providing a platform for improved efficiencies for service delivery and interaction with residents and businesses.

Informing the Asset Management Plan is the Councils Digital and IT Strategies which include the following aims and objectives:

- Improved customer and stakeholder satisfaction
- Anytime, Anywhere, Any channel access for citizens
- Maximum operational efficiency
- Making the best use of digital technologies to build solutions.

The Council currently has in place over 7,000 workstations and supplies and maintains 10,000+ laptops, together with 2871 mobile devices. In addition, it also maintains 37 core applications and 214 public facing interactive web interfaces.

There are many challenges facing the IT service, including delivering best value. Increasing demand for services, modernising applications, increasing rigour in compliance with standards and ever emerging security risks. A need to develop and maintain an IT Asset Management Plan is key to meeting the challenges we face.

The Council recognises that its assets are a significant and valuable resource to delivering efficient and effective services and in achieving the vision, aims and objectives of the Council. To maximise the potential from its assets they must be aligned with the strategic goals and objectives and managed in an active, effective and efficient manner.

Dundee City Council operates a largely independent IT infrastructure for Corporate and Schools IT.

In addition to changes within the corporate environment there has been a significant increase in the number of mobile devices being used in schools, such as laptops and tablets. There has also been an increase in the use of internet for online learning and cloud-based services. The Council are currently investing in high speed fibre internet being installed in all Dundee schools. This will enable improvement in digital learning and allow schools to make greater use of Office 365 and other cloud-based services.

The Scottish Government's strategy for enhancing learning and teaching using digital technology aims to, "Improve access to digital technology for all learners", and "Ensure that digital technology is a central consideration in all areas of curriculum and assessment delivery." One of the building blocks of digital learning is digital infrastructure such as high-speed fibre internet.

The IT service for schools will benefit from improved capacity and reliability with the new fibre internet service. This will allow Children and Family Services to take advantage of cloud and other internet-based learning tools. It will also provide enhanced security capabilities to ensure schools are well protected from cyber-attacks and have a safe environment for digital learning.

CORPORATE CONTEXT

The Council's assets are aligned to six key areas:

- Buildings and Property
- Roads and Infrastructure
- Housing
- Open Spaces
- Fleet
- Information and Communication Technology

The Local Government Scotland Act 2003 places a duty on Local Authorities to demonstrate "Best Value" in delivering services and managing any assets they hold. Effective management of the Councils assets is essential and has a positive impact on the services provided.

The plan deals with the Council's IT Assets and will:

- Ensure all our assets are known and the information we hold on them is accurate and held on appropriate systems which support the reporting of effective management information.
- Ensure all assets are used effectively, meet current service needs and support future service delivery.

IT ASSET MANAGEMENT PLAN AND LINKS WITH OTHER PLANS

The IT Asset Management Plan follows the vision and objectives of the Council Plan and supports the Council ambition to be a Modern Council. In designing the IT Asset Management Plan, we have identified the following overarching objectives.

- IT assets should meet the needs of those that use them. This includes staff, elected members, pupils and citizens of Dundee through the different access channels; Face to face, telephone and online.

- IT assets should be economically sustainable with minimal operating costs on a whole life costing model. This means keeping running costs low by maximising existing asset use, reducing duplication and waste while planning for future capacity requirements, and prioritising capital and revenue spending.
- IT asset acquisition will follow evaluation and consideration of full cycle costs and benefits appraisal.
- IT assets should be environmentally sustainable – considering local and global environmental factors, reducing energy consumption and CO2 emissions through the whole life cycle.
- IT assets must be safe, secure and compliant with legal and regulatory requirements.
- IT assets will support the Council's ability to understand and manage cyber risk.
- IT assets will link to the Council's strategic business objectives.

ASSETS

The Council's IT assets covered in this plan are:

DUNDEE CITY COUNCIL ASSET	QUANTITY
Desktop PC	616
Laptop	3008
Tablet	507
Network Computer (NC)	2336
Servers	72
Network Switches	518
Smartphones	3771
DUNDEE SCHOOLS ASSETS	
Desktop PC	6583
Laptop	7205
Tablet	2364
Servers	52

INVENTORY DATA

The IT Asset Management Plan is based on the available inventory data. All assets are assigned a unique identifier and relevant information is recorded in the IT Service Management system.

Dundee City Council currently utilises several disparate systems to provide IT Service Management functions. A new cloud-based system is currently being procured to provide a single point of contact for everyone within the IT Service and will provide an overall view of all IT assets owned by the Council.

PROCUREMENT & FINANCE

IT asset acquisition will follow evaluation and consideration of full lifecycle costs and benefits appraisal. To enable the Council to deliver on the social, economic and environmental priorities, the Council must transform itself by harnessing digital technology and new ways of working.

The table below provides details of the IT capital budget available to support the Council's objective to design a Modern Council as set out in the Dundee City Council Capital Plan 2023 – 2028.

	2023/24 £000	2024/25 £000	2025/26 £000	2026/27 £000	2027/28 £000
Purchase Computer Equipment	1,837	1,258	1,258	1,108	835
Desktop Management Software		1,500			
Purchase Desktop Collaboration platform	729	700	700	700	850
Smart Cities Digital /ICT Investment	137				
School Connectivity		1,200			
Asset Management System Replacement		20	130		

Council Standing Orders are observed for IT procurements, collaborative working with the Council's procurement team ensures competitive tenders and utilisation of appropriate frameworks and contracts. Procurement strategies will be developed for all regulated procurements to ensure the optimal route to market is delivered. All competitive tenders are carried out with a relevant split of quality and price criteria, ensuring best value is achieved as well as the appropriate technology solution. Consideration is given to greener alternatives to reduce energy consumptions and carbon emissions.

ASSET LIFECYCLE MANAGEMENT

The purchase of new IT assets is managed through the IT BID process. This process ensures that asset information is recorded within the IT service management system and responsible staff are identified as owning the asset.

Regular maintenance of assets is required to be scheduled to prolong asset lifespan and optimise performance. In addition, regular updates and upgrades to keep software and firmware up to date to enhance security and functionality.

Usage of assets will be monitored and tracked to identify those which are under used or not used. This data will inform future investment.

The current defined lifecycle for an IT asset is 5 years, except for smartphones, which is 3 years. Due to the nature of change within technology, assets can often be used longer than this period therefore an assessment of the suitability for a longer lifecycle will be undertaken before an asset is retired.

DISPOSAL

To ensure maximum value from the IT assets an assessment is made of the suitability of the asset to be used for longer. Consideration is given to the overall performance of the asset, vendor and manufacturer end of support dates, cost of change and cost to maintain the asset for longer. This includes an assessment of the environmental impact of using old equipment that may have higher power consumption.

IT assets being retired are properly disposed of in line with Waste Electrical and Electronic Equipment (WEEE) regulations to ensure there is no negative impact on the environment. The process includes data sanitisation and appropriate recycling or reuse of hardware components or full units. The Council engages a third-party contractor to carry out equipment recycling.

For software and licence assets an assessment is made of the suitability for future use. Replacement of software assets typically requires a managed transition before retiral. The replacement of software assets is managed through a relevant IT project and working with the Council service area.

SECURITY AND COMPLIANCE

The Council's certification for the Public Services Network provides an annual assurance that security and compliance standards are being achieved. IT assets will be maintained and upgraded to manufacturer recommended levels to reduce cyber risk.

Regular scans of the IT infrastructure and assets for vulnerabilities are carried out. Software patches and updates are applied regularly to maintain the recommended security levels and ensure software stays fully supported.

Annual compliance checks are carried out and regulatory and contractual compliance requirements are recorded in the IT Service Management database. Compliance requirement changes are reported to the monthly IT management Team.

RISKS TO THE IT ASSET MANAGEMENT PLAN

The table below details some of the main risks associated with the plan and management of the Council assets.

Risk	Category	Likelihood and consequence	Mitigation.
Risk that downtime leads to operational difficulties.	Operational	4x3 Major - Possible	Regular maintenance carried out. System monitoring alerts. System Backups. Change control
Providing timely maintenance or incident resolution	Operational	3x3 Moderate - Possible	Staff training. Weekly IT service meetings to review maintenance and projects. ITSM Reporting
Risk that current assets do not meet the Council or customer current or future needs.	Technical	3x3 Moderate - Possible	Technology refresh projects. Reporting on IT asset end of support, warranty and asset replacement.
Assets are not maintained and updated and present a security risk.	Security	4x3 Major - Possible	IT Health check. Reporting of unsupported assets. Security scans. ITSM tools monitoring assets.
Assets at risk from cyber attack	Security	4x3 Major - Possible	Security protocols in place to protect mobile devices. User identity management to secure user credentials. Backups of data for recovery from an attack.

PERFORMANCE

The IT Service is an internal service provider to all other Council service areas. IT provides overall management of all IT assets and hold regular meetings with internal customers to ensure optimum use of assets.

This plan is based on delivering the performance standards detailed below.

Key Performance Measure	Performance Measure Process	Performance Target.
Security Compliance	PSN Certification Process	Pass
Legislative compliance	Waste, Electrical & Electronic Equipment Regulations	Certification.
System availability	Uptime of major systems measured through IT Service Management tools. Mon-Fri 9am to 5pm	99.9%
Operation	Monitor and track asset usage to identify assets which are under used.	80%

CONCLUSION

The implementation of the IT Asset Management Plan will support delivery of the Council Objectives and ensure investment is targeted in priority areas.

City Chambers
DUNDEE
DD1 3BY

9th February, 2024

Dear Colleague

CITY GOVERNANCE COMMITTEE

You are requested to attend a MEETING of the **CITY GOVERNANCE COMMITTEE** to be held remotely on Monday, 19th February, 2024 following the meetings of the City Council, Climate, Environment and Biodiversity and Fair Work, Economic Growth and Infrastructure Committees called for 5.00pm.

The meeting will be livestreamed to YouTube. Members of the Press or Public wishing to join the meeting as observers should follow this link www.dundee.gov.uk/live

Yours faithfully

GREGORY COLGAN

Chief Executive

AGENDA OF BUSINESS

1 DECLARATION OF INTEREST

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 would reasonably be regarded as so significant that they are likely to prejudice your discussion or decision-making.

2 COUNCIL HOUSING CRISIS

This Item has been placed on the Agenda at the request of Bailie Keenan who will ask the Committee to agree, in light of the current crisis affecting Council Housing in Dundee, that Officers should be asked to report, with recommendations, to the appropriate Committee(s) as soon as possible regarding:-

- The forecast implications for Dundee City Council of the Scottish Government's proposals for the Affordable Housing Supply Programme in 2024-2025 and future years, including the impact on grants for the Council to build new homes.
- The current and forecast implications for Dundee City Council of the Land and Buildings Transaction Tax and Additional Dwelling Supplement (Article II of the Minute of Meeting of the Neighbourhood Services Committee – 26th September 2022 refers).

- The current and forecast levels of Dundee City Council housing voids and the action being taken to reduce these levels.
- The potential use of uncommitted balances to purchase homes on the open market and/or build new homes to reduce Dundee City Council's housing waiting list.

3 ACTS OF KINDNESS

This Item has been placed on the Agenda at the request of Councillor McHugh who will ask the Committee to acknowledge and celebrate acts of kindness across Dundee communities

4 JOINT INSPECTION OF ADULT SUPPORT AND PROTECTION IN THE DUNDEE PARTNERSHIP - FINDINGS AND IMPROVEMENT PLANS - Page 1

(Report No 59-2024 by the Independent Convener of Dundee Adult Support and Protection Committee, copy attached).

5 CAPITAL EXPENDITURE MONITORING 2023/2024 - Page 63

(Report No 38-2024 by the Executive Director of Corporate Services, copy attached).

6 REVENUE MONITORING 2023/2024 - Page 83

(Report No 25-2024 by the Executive Director of Corporate Services, copy attached).

7 CAPITAL PLAN 2024/2029 - Page 97

(Report No 18-2024 by the Executive Director of Corporate Services, copy attached).

8 TREASURY MANAGEMENT ACTIVITY 2023/2024 (MID YEAR REVIEW) - Page 129

(Report No 21-2024 by the Executive Director of Corporate Services, copy attached).

9 ACCOUNTS COMMISSION'S FINDINGS ON BEST VALUE IN DUNDEE CITY COUNCIL - Page 145

(Report No 37-2024 by the Chief Executive, copy attached).

10 LEISURE AND CULTURE DUNDEE – PERFORMANCE AND IMPACT REPORT FOR 2022/2023 - Page 167

(Joint Report No 51-2024 by the Chief Executive and Managing Director of Leisure and Culture, copy attached).

11 ANTI SOCIAL BEHAVIOUR – OCTOBER TO DECEMBER 2023 - Page 175

(Report No 33-2024 by the Executive Director of Neighbourhood Services, copy attached).

12 IT ASSET MANAGEMENT PLAN - Page 185

(Report No 10-2024 by the Executive Director of Corporate Services, copy attached).

13 CLOUD COMPUTING MIGRATION - Page 187

(Report No 41-2024 by the Executive Director of Corporate Services, copy attached).

The Committee may resolve under Section 50(A)(4) of the Local Government (Scotland) Act 1973 that the press and public be excluded from the meeting for the undernoted item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 14 of Part I of Schedule 7A of the Act.

14 INTERNAL AUDIT REPORTS

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REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: JOINT INSPECTION OF ADULT SUPPORT AND PROTECTION IN THE DUNDEE PARTNERSHIP – FINDINGS AND IMPROVEMENT PLANS

REPORT BY: INDEPENDENT CONVENOR, DUNDEE ADULT SUPPORT AND PROTECTION COMMITTEE

REPORT NO: 59-2024

1.0 PURPOSE OF REPORT

To inform the City Governance Committee of the findings of the Joint Inspection of Adult Support and Protection in the Dundee Partnership, published by the Care Inspectorate on 19 December 2023, and to outline improvement plans arising from these findings.

2.0 RECOMMENDATIONS

It is recommended that the City Governance Committee:

- 2.1 Note the content of the inspection report published by the Care Inspectorate (attached as appendix 1).
- 2.2 Note the summary of inspection findings, including areas of strength and areas for improvement (section 4.5).
- 2.3 Note the multi-agency approach to improvement planning that has been progressed since receipt of inspection findings and the improvement plan approved by the Dundee Chief Officers Group and submitted to the Care Inspectorate on 7 February 2024 (section 4.6 and appendix 3).
- 2.4 Request that a further update on implementation and impact of improvement plans is provided to the City Governance Committee inline with the schedule of reporting between the Adult Support and Protection Committee and Chief Officers Group (section 4.6.3).

3.0 FINANCIAL IMPLICATIONS

- 3.1 None.

4.0 MAIN TEXT

- 4.1 In late August 2023 the Dundee Partnership was notified by the Care Inspectorate of their intention to undertake a joint inspection of adult support and protection in the Dundee Partnership area under Section 115 of Part 8 of the Public Services Reform (Scotland) Act 2010. This is the first joint inspection to take place as part of Phase 2 of the national five-year programme of scrutiny and assurance for adult support and protection. Phase one of the programme, covering 26 partnerships across Scotland, concluded in July 2023. Phase 2 is focusing on the six partnerships that were part of the pilot for the joint inspection methodology carried out in 2017/2018. The joint inspection has been carried out by the Care Inspectorate alongside Healthcare Improvement Scotland and His Majesty's Inspectorate of Constabulary Scotland.
- 4.2 The joint inspection has focused on 2 quality indicators:
 - Key adult support and protection processes.
 - Leadership for adult support and protection.

The inspection process commenced at the end of August 2023, with evidence gathering / field work phases finishing in late October 2023. The inspection report for the Dundee Partnership was published on 19 December 2023 (contained within appendix 1).

- 4.3 For both quality indicators the Dundee Partnership was evaluated as Effective (on a 3-point progress statement scale: 'important areas of weakness', 'effective' and 'very effective'). This grading means that the Dundee Partnership is *'effective with areas for improvement. There are clear strengths supporting positive experiences and outcomes for adults at risk of harm, which collectively outweigh areas for improvement.'* In addition to these overall gradings, the joint inspection team identified six areas of strength (please see section 4.5.2 for further detail). Overall the inspection report reflects positively on: assessment of concerns against the threshold for adult protection intervention; information sharing; the quality of initial inquiries and case conferences; the quality and impact of services and support to adults at risk; arrangements for carrying out Large-Scale Investigations (LSI); collaborative working, including with the third sector; learning and development activity for Council Officers; clear strategic vision and comprehensive improvement plans, including for learning and development; value placed on lived experience by strategic leaders; and, the partnership's approach to early intervention, prevention and trauma informed practice.

4.4 Inspection Process

- 4.4.1 As part of the inspection process the Chief Officers Group and Adult Support and Protection Committee led the production and submission of a position statement. This is a short document setting out the partnership's self-assessed strengths and priorities for improvement. A summary of the key achievements and improvement priorities identified in the position statement is provided below (full version contained within appendix 2):

Key Achievements	Improvement Priorities
Key adult support and protection processes	
Early intervention and use of the 'least restrictive' approach.	Lived experience contribution to adult support and protection processes.
Council Officer capacity and expertise.	Practice improvement priorities, including chronologies, risk assessments and plans.
Large Scale Investigations.	Development and implementation of a tiered adult at risk multi-agency pathway.
Quality and availability of independent advocacy.	Capturing, analysing and reporting experiential and outcome data.
Leadership for adult support and protection	
Strategic partnership working.	Implementation of lived experience strategic involvement.
Culture and values, including trauma-informed, person-centred and gender-sensitive approaches.	Policies and procedures.
Quality assurance framework.	Workforce and public communication.
Learning and organisational development.	Implementation of revised governance structure.

- 4.4.2 The position statement is one of a range of processes through which the joint inspection team gathered and evaluated evidence against the quality indicators. Other methods utilised during the inspection process were:

- A workforce survey responded to by 249 staff working across the statutory, third and independent sector;
- Case file reading of 40 records held by Dundee Health and Social Care Partnership (DHSCP) social work services where activity did not proceed beyond the Duty to Inquire stage, and 50 records held by DHSCP social work and health services, NHS Tayside and Police Scotland where adult protection activity did progress beyond the Duty to Inquire stage; and,
- Focus groups with frontline practitioners, frontline managers and strategic leaders.

The majority of inspection activity took place in-person, on-site in Dundee.

- 4.4.3 Throughout the inspection process there was close engagement between the joint inspection team, senior leaders and officers. This included a presentation to the inspection team made by senior leaders and a 'professional discussion' where the joint inspection team provided an overview of findings and there was an opportunity for discussion. The partnership also had some opportunity to comment on the factual accuracy of the draft inspection report.

4.5 Inspection Findings

- 4.5.1 The areas of strength and for improvement contained within the inspection report are very closely aligned to the Partnership's own position statement. The production of the position statement was informed by a range of performance management, quality assurance and self-evaluation activity that had taken place within single agencies and through the Adult Support and Protection Committee and other multi-agency partnerships over the last two years. The statement reflected the significant improvements that have been taken forward across services and supports for adults at risk and the hard-work, dedication and expertise of the frontline adult protection workforce despite the very challenging circumstances associated with the post-pandemic period, including increased demand for health and social care supports and resource and workforce pressures. Close alignment between the position statement and inspection report suggests that local quality assurance and self-evaluation processes are robust and also means that almost all of the areas for improvement identified within the inspection report are already being progressed via the Adult Support and Protection Committee delivery plan or other strategic improvement plans.

- 4.5.2 The joint inspection team identified six key strengths within the Dundee Partnership:

- Initial inquiries were progressed within timescales to meet the needs of adults at risk. Investigatory powers were almost always undertaken or overseen by a Council Officer indicating a strong alignment with the refreshed adult support and protection code of practice.

"Adult support and protection inquiries was an area of concern at our last inspection, but there has been considerable improvement. They are competently undertaken, consistently reach the right decisions and include council officers where necessary almost all the time."

"There was good evidence of positive multi-agency input, and management oversight was evident in almost all cases. This meant that adult support and protection inquiries advanced to the correct stage in almost all cases."

- Multi-agency adult support and protection case conference were well attended meetings where partner agencies worked collectively to support and protect adults at risk of harm.

"Previously, we found that there were not enough case conferences where there should have been. This has been completely turned around, and these forums are critical components in analysing and mitigating risks."

"The partnership had clear strengths in collaborative working including interagency referral discussions (IRDs) and case conferences. Police and health attended almost all IRDs carried out at the investigation stage, and most case conferences. It was clear from case conference minutes that agencies collaborated to support and protect adults at risk."

- Review case conferences were held for almost all adults at risk who required them. The partnership effectively used core groups to review risk and update protection plans.

"The protection plan template was consistently applied at this stage. This assisted the partnership to effectively determine actions to keep the adult at risk of harm safe and supported."

"Adults at risk of harm who had protection plans experienced improvements in their safety and wellbeing. For almost all adults the partnership had made efforts to support the involvement of

the adult in the adult support and protection process. Most staff survey respondents considered the partnership to have made a positive difference to adults at risk of harm through adult support and protection interventions.”

“Almost all adults at risk of harm who needed additional support from provider services got it. For most adults this support was comprehensive, effective, and met the adult’s personal outcomes.”

- The dedicated NHS Tayside Adult Support and Protection Team was a valued resource for staff across partner agencies.

“Health contributed strongly to the strategic leadership and delivery of adult support and protection. This was reflected in the positive contribution health professionals made to improved safety and protection outcomes for adults at risk of harm. The intervention from the appropriate health team to keep adults at risk of harm safe and protected was mostly good or better.”

- Strategic leaders were committed to including the voice and experience of adults in strategic planning and development. The voice of lived experience was evident on the Adult Protection Committee. A collaboration of local and national partners was strengthening this commitment more widely across strategic groups.

“Commendably, an adult with lived experience of adult support and protection processes was a core member of the adult protection committee. The adult was a valued member and was supported to meaningfully contribute to the committee...”

- Strategic leaders had a shared and collaborative vision. This included innovative and ambitious strategic plans to meet the complex needs and vulnerability of adults at risk of harm in Dundee. A protecting people approach had been adopted.

“The adult protection committee and chief officers’ group had appropriate representation from key partners and met regularly. Appropriate priority was given to adult support and protection on the agenda of the chief officers’ group.”

“The partnership was moving towards a public protection framework. They were capitalising on some strong cross sector joint working initiatives...The partnership’s approach to early intervention, prevention and trauma informed practice was developing well within the public protection environment.”

4.5.3 The joint inspection also identified six key areas for improvement:

- The partnership needed to improve the consistent application and quality of investigations, chronology and risk assessment templates.
- Adult support and protection guidance and procedures should be updated as a matter of priority.
- Quality assurance, self-evaluation and audit activities were embedded but to varying degrees, particularly across social work services. These captured areas for improvement but the approaches were inconsistent. Greater cohesion and strategic oversight were needed to ensure they necessary change and improvement.
- The partnership’s adult support and protection Lead Officer and support team should ensure they remain sighted on the quality of practice and prioritise the necessary improvements, including adherence to guidance, under its new public protection arrangements.
- The pace of strategic change and improvement needed accelerated. The partnership was aware through joint inspection in 2017 that improvement was required across key areas of practice and strategic leadership. Their own activity had reached similar conclusions, but progress was limited in key areas.

- The partnership should ensure that strategic planning and implementation of new initiatives across key processes and strategic leadership are well resourced, sustainable and impact assessed.

4.5.4 In addition to these twelve key areas, the report narrative also identifies a range of other strengths and areas for improvement across key processes and leadership at both single and multi-agency levels. All the findings from the inspection report are subject to detailed review by the Adult Support and Protection Committee and other strategic groups within Dundee's protecting people arrangements and will inform future improvement plans and activity (see section 4.6).

4.5.5 Whilst the joint inspection team found that more work is required to ensure that improvements made since the 2017 inspection are consistently embedded into practice, they did recognise that important progress had been made in improving key processes. The current report outlines that improvement work on chronologies, risk assessments and protection plans has supported the development of "*competent templates*" that are embedded into IT systems and supported by comprehensive guidance for staff. In 2017 the inspection found that there were not enough case conferences taking place and the basics for assessing, analysing and managing risk were not in place; the current report states this has "*completely turned around*". Finally, the 2017 inspection highlighted that ASP inquiries were protracted and Initial Referral Discussions were not used appropriately; the position is now that ASP inquiries are competently undertaken and consistently reach the right decisions. Given that the period between 2017 and 2023 was significantly disrupted by the pandemic, with a particular impact on capacity for improvement and development work during 2020, 2021 and beyond, these areas of progress are important achievements. During that period there has also been significant programmes of work prioritised in relation to improving drug services and mental health services; the inspection report recognises these have had positive impacts for many adults at risk of harm. The Chief Officers Group and Adult Support and Protection Committee accept that the current report calls for fuller and more consistent implementation of improvements, at a greater pace as partners move into the next period of improvement activity.

4.6 Improvement Plans

4.6.1 The Dundee Partnership is required to submit an improvement plan addressing the six areas for improvement identified within the inspection report to the Care Inspectorate. This plan has been developed by the Adult Support and Protection Committee in consultation with other strategic groups and has been approved on behalf of the Dundee Partnership by the Chief Officers Group. The improvement plan is contained within appendix 3. The close alignment between the inspection findings and internal self-evaluation activity has meant that the vast majority of areas for improvement were already reflected in the Adult Support and Protection Committee Delivery Plan and subject to ongoing activity. For example, a range of actions focused on further embedding chronologies and risk assessments both on a single and multi-agency basis are already ongoing, including the imminent launch of additional learning and development activities. The Dundee Health and Social Care Partnership has been leading the review of adult protection procedures, including consultation with the workforce and lived experience stakeholders, with this process nearing its conclusion. Plans were already in place to embed routine auditing within Health and Social Care Partnership services and to implement a range of activities set-out in the Adult Support and Protection Committee's Quality Assurance and Self-Evaluation Framework. The Chief Officers Group is currently overseeing the transition to a new Protecting People governance structure that will support an enhanced focus on quality assurance, performance management and strategic oversight. Post inspection the content of the improvement plan submitted to the Care Inspectorate has been fully incorporated into the Adult Support and Protection Committee Delivery Plan. Wider feedback and findings within the inspection report have also been considered and amendments made where needed.

4.6.2 The Chief Officers Group and Adult Support and Protection Committee recognise that three of the six key areas for improvement relate to strategic leadership and oversight of improvement, with a particular focus on enhancing the pace and agility of improvement activity. As well as taking forward actions targeted to further enhance their oversight of adult protection improvement work at both single and multi-agency levels, steps are being taken to ensure that

sufficient resource is in place to actively support the implementation of the improvement plan and wider Adult Support and Protection Delivery Plan.

- 4.6.3 Progress in relation to addressing improvement areas arising from the inspection will be monitored through the Chief Officers Group and will subsequently be shared with single agency governance groups such as Dundee City Council Committee, NHS Tayside Public Protection Executive Group and the Integration Joint Board. It is anticipated that the first substantial update report on progress against the inspection improvement plan will be available to these single agency governance groups in October 2024.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services, or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6.0 CONSULTATIONS

- 6.1 The Council Leadership Team, Chief Social Work Officer, members of the Dundee Adult Support and Protection Committee, members of the Chief Officers Group and the Clerk were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

None

ELAINE TORRANCE
INDEPENDENT CONVENOR, DUNDEE ADULT SUPPORT AND
PROTECTION COMMITTEE

DATE: 15 JANUARY 2024

Appendix 1

Report of Joint Inspection of Adult Support and Protection in Dundee Partnership

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JOINT INSPECTION OF **ADULT SUPPORT** AND **PROTECTION**

Dundee Partnership December 2023

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Joint inspection of adult support and protection in the Dundee partnership

Joint inspection partners

Scottish Ministers requested that the Care Inspectorate lead a second phase of joint inspection and development of adult support and protection in collaboration with Healthcare Improvement Scotland and His Majesty's Inspectorate of Constabulary in Scotland.

Phase two

This programme follows our phase one inspections. We published an [overview report](#) which summarised the findings and key themes identified. Phase two is closely linked to the Scottish Government's improvement plan for adult support and protection, and the national implementation groups which support it.

The joint inspection focus

Phase two joint inspections aim to provide national assurance about individual local partnership¹ areas' effective operations of adult support and protection key processes, and leadership for adult support and protection. We also offer a summary of the partnerships' progress since their inspection in 2017.

Updated [codes of practice](#) were published in July 2022. In recognition that adult protection partnerships were at different stages of embedding these, we issued a single question survey to all partnerships in Scotland. This asked respondents to describe their approach to inquiry and investigation work and outline the role of council officers. Twenty-two partnerships responded, and findings showed that practice and adoption across Scotland is variable, with most areas having work to do in this respect. The Dundee partnership indicated it had not yet fully adopted the codes of practice.

The focus of this inspection was on whether adults at risk of harm in the Dundee partnership area were safe, protected and supported.

The joint inspection of the Dundee partnership took place between August 2023 and November 2023. We scrutinised the records of adults at risk of harm for the preceding two-year period, from August 2021 to August 2023.

1

https://www.careinspectorate.com/images/Adult_Support_and_Protection/1_Definition_of_adult_protection_partnership.pdf

Quality indicators

Our quality indicators² for these joint inspections are on the Care Inspectorate's website.

Progress statements

To provide Scottish Ministers with timely high-level information, this joint inspection report includes a statement about the partnership's progress in relation to our two key questions.

- How good were the partnership's key processes for adult support and protection?
- How good was the partnership's strategic leadership for adult support and protection?

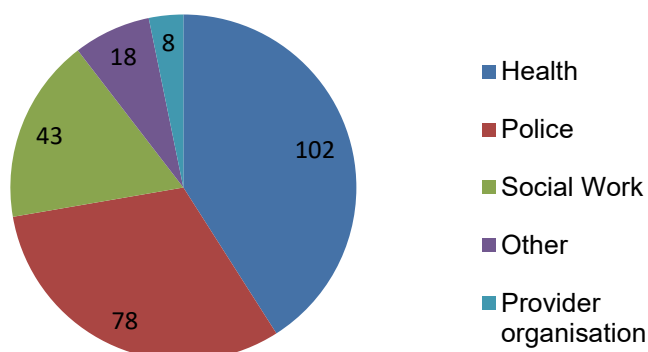
Joint inspection methodology

In line with the targeted nature of our inspection programme, the methodology for this inspection included five proportionate scrutiny activities.

The analysis of supporting documentary evidence and a position statement submitted by the partnership.

Staff survey. Two hundred and forty-nine staff from across the partnership responded to our adult support and protection staff survey. This was issued to a range of health, police, social work and third sector provider organisations. It sought staff views on adult support and protection outcomes for adults at risk of harm, key processes, staff support and training and strategic leadership. The survey was structured to take account of the fact that some staff have more regular and intensive involvement in adult support and protection work than others.

Respondents by Employer type



²

<https://www.careinspectorate.com/images/documents/5548/Adult%20support%20and%20protection%20quality%20indicator%20framework.pdf>

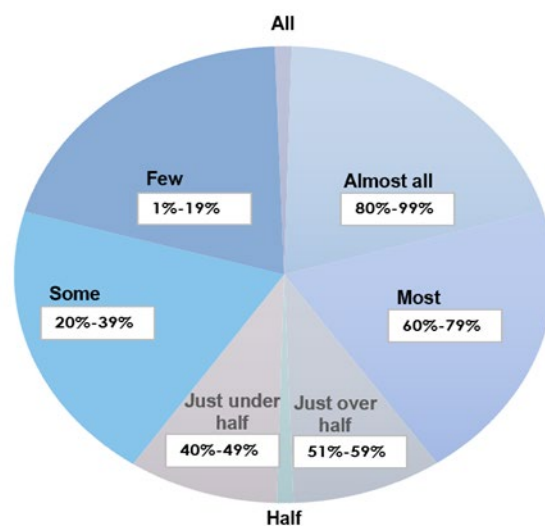
The scrutiny of social work records of adults at risk of harm. This involved the records of 39 adults at risk of harm who did not require any further adult support and protection intervention beyond the initial inquiry stage.

The scrutiny of the health, police, and social work records of adults of risk of harm. This involved the records of 50 adults at risk of harm for whom inquiries have used investigative powers under sections seven to ten of the 2007 Act. This included cases where adult support and protection activity proceeded beyond the inquiry with investigative powers stage.

Staff focus groups. We carried out three focus groups and met with 35 members of staff from across the partnership to discuss adult support and protection practice and adults at risk of harm.

Standard terms for percentage ranges

Data descriptors for percentage scale



Summary – strengths and priority areas for improvement

Strengths

- Initial inquiries were progressed within timescales to meet the needs of adults at risk. Investigatory powers were almost always undertaken or overseen by a council officer indicating a strong alignment with the refreshed adult support and protection code of practice.
- Multi-agency adult support and protection case conferences were well attended meetings where partner agencies worked collectively to support and protect adults at risk of harm.
- Review case conferences were held for almost all adults at risk who required them. The partnership effectively used core groups to review risk and update protection plans.
- The dedicated NHS Tayside adult support and protection team was a valued resource for staff across partner agencies.
- Strategic leaders were committed to including the voice and experience of adults in strategic planning and development. The voice of lived experience was evident on the adult protection committee. A collaboration of local and national partners was strengthening this commitment more widely across strategic groups.
- Strategic leaders had a shared and collaborative vision. This included innovative and ambitious strategic plans to meet the complex needs and vulnerability of adults at risk of harm in Dundee. A protecting people approach had been adopted.

Priority areas for improvement

- The partnership needed to improve the consistent application and quality of investigation, chronology and risk assessment templates.
- Adult support and protection guidance and procedures should be updated as a matter of priority.

- Quality assurance, self-evaluation and audit activities were embedded but to varying degrees, particularly across social work services. These captured areas for improvement but the approaches were inconsistent. Greater cohesion and strategic oversight were needed to ensure the necessary change and improvement.
- The partnership's adult support and protection lead officer and support team should ensure they remain sighted on the quality of practice and prioritises the necessary improvements, including adherence to guidance, under its new public protection arrangements.
- The pace of strategic change and improvement needed accelerated. The partnership was aware through joint inspection in 2017 that improvement was required across key areas of practice and strategic leadership. Their own audit activity had reached similar conclusions, but progress was limited in key areas.
- The partnership should ensure that strategic planning and implementation of new initiatives across key processes and strategic leadership are well resourced, sustainable and impact assessed.

How good were the partnership's key processes to keep adults at risk of harm safe, protected and supported?

Key messages

- Initial inquiries, including those with investigatory powers, were of a good quality and took place within a timescale which met the needs of adults at risk.
- Council officers were deployed almost every time there was an inquiry using investigatory powers.
- The quality of multi-agency adult support and protection case conferences was high. They were well attended and timely. There was evidence of effective multi-agency decision-making and protection planning that supported and protected adults at risk of harm.
- Adult support and protection review case conferences effectively oversaw protection plans.
- The dedicated NHS adult support and protection team had strengthened health's frontline contribution to adult support and protection work.
- When an interagency referral discussion involving key partners took place, there was effective decision making. However, they were not undertaken in accordance with local procedures.
- Competent adult support and protection chronology, risk assessment and investigation templates were in place, but the quality of work completed was mixed. The partnership relied on routinely held case conferences to consolidate this work. The council officer's rationale to proceed to case conference and the voice of lived experience was difficult to determine.
- Screening, triage, and early planning arrangements were not joined up. This meant opportunities to strengthen a shared understanding of adult support and protection thresholds was missed.

We concluded the partnership's key processes for adult support and protection were effective with areas for improvement. There were clear strengths supporting positive experiences and outcomes for adults at risk of harm, which collectively outweighed the areas for improvement.

Screening and triaging of adult protection concerns.

The Dundee partnership's adult support and protection referrals were initially recorded on the social work IT system, before being screened by a duty manager. Where the case was already open it was passed to the relevant team. Where the adult was unknown to social work the referral was passed to the first contact team for further screening. The number of referrals had increased significantly over the last few years with the proportion of referrals from Police Scotland being well above the national average. This reflected, in part, the case complexity and levels of vulnerability the partnership faced.

Overall, almost all adult support and protection referrals, did not proceed beyond the screening stage into adult support and protection processes. These referrals were routed into other supports such as care management. Just over half of adults at risk of harm already received support through services by which the partnership viewed risk was being managed.

The partnership acknowledged there was not a shared understanding of thresholds for adult support and protection progressing beyond screening to initial inquiries. The multi-agency screening hub (MASH) had been piloted briefly, then paused due to lack of staff resources and a high volume of referrals. The impact and value of this approach was therefore unclear.

The partnership's approach and deployment of these well-intentioned access arrangements needed strengthened. Timescales for screening took too long. Planned consultation was designed to review these issues. This included a referral pathway redesign.

Initial inquiries into concerns about adults at risk of harm

Almost all adult support and protection initial inquiries were completed in line with the principles of the legislation and were competently carried out. The partnership did not have timescales for completion of initial inquiries in their current guidance, but we were assured they were embedded in the revised version out for consultation. Most were completed in line with the needs of adults at risk. In the few cases where there were delays, a small number were lengthy.

There was a template on the social work recording system for recording initial inquiry activity which included a section on application of the three-point criteria. This supported staff to clearly record consideration of the three-point criteria which they did, almost all the time. Importantly, the criteria was consistently applied.

There was good evidence of positive multi-agency input, and management oversight was evident in almost all cases. This meant that adult support and protection inquiries advanced to the correct stage in almost all cases.

Most initial inquiries included investigative powers such as visiting the adult at risk of harm, conducting interviews in person or over the phone and examining records. Almost all initial inquiries including those with investigatory powers, were conducted or overseen by a council officer.

Interagency referral discussions

The partnership's guidance showed interagency referral discussions (IRDs) were an integral part of the Dundee partnership's local adult support and protection procedures. Despite this, they were not routinely carried out. More positively, the few IRDs convened were mostly in person and made pertinent decisions about the adult. Most were face to face with the wide range of staff attending reflected in the minutes that often resembled case conferences.

The procedures clearly stated that the purpose of an IRD was firstly to determine if formal adult support and protection procedures were required and secondly to agree how an investigation would be conducted. While interagency referral discussions were appropriately held at the initial inquiry stage, disappointingly their primary focus was on whether adults at risk met the three-point criteria. They were not routinely utilised by statutory partners to agree if investigations were required.

Adults at risk of harm would benefit from a clear, well deployed IRD process focussed on early shared risk identification and mitigation, decision making in relation to the need and plans for investigations. The partnership had the opportunity to better embed IRD and investigation practice through the refreshed local procedures they planned to issue, aligned to the learning and development training plan.

Inquiries including the use of investigatory powers

Chronologies

Chronologies are an important tool for assessing and managing risk. The partnership did not have a specific adult support and protection chronology template. This was similar to the findings of the joint 2017 inspection although the partnership had made some progress. Comprehensive guidance had been issued to partnership staff in April 2022. A generic health and social care chronology template was introduced in June 2022. Whilst this offered the opportunity for staff to record adult support and protection related events, it was not possible to filter it for these. Just under half of adults at risk of harm had a chronology in their record. The quality of these was weak or unsatisfactory in just under half of these records. The chronologies lacked sufficient detail and analysis. Staff lacked confidence in determining significant events and said completing chronologies was time-consuming, which the partnership already recognised.

Risk assessments

The partnership had a well-designed risk assessment template for use at both the initial inquiry and investigation stages. Completion of the template was mostly timely and nearly all reflected multi-agency views. However, their use was typically restricted to the initial inquiry stage. Use of the risk assessment template was less frequent as adults at risk of harm progressed through the protection process. This was a missed opportunity to build and strengthen the impact of protection measures. While almost all adults at risk of harm had a risk assessment in their record, the quality in just under half was weak or unsatisfactory. They were sparse and lacked clear analysis. The social work IT system did not allow workers to progress to case conference without completion of the risk assessment template. This was a sound measure but because full use of risk assessments tailed off as work progressed, case conferences were routinely presented with minimal documentation.

Investigations

The partnership had a distinct adult support and protection template to record investigations. This was a mandatory electronic form that needed completed before moving to case conference. Where investigations were conducted, relevant parties participated in almost all cases, and consistently determined whether the adult was at risk of harm. Almost all were completed in a timeframe that met the needs of the adult at risk. Clear timescales were set out in the partnership's refreshed guidance being consulted on.

The quality of investigations was mixed, with just under half good or better and a few weak or unsatisfactory. When completed the template was often sparse or had information which had been lifted from the initial inquiry template or interagency referral discussions. This undermined the quality of the investigation work and made it difficult to see how decisions were made about progressing to case conference. Consequently, we found that some cases progressing to case conference did not include a competent adult support and protection investigation.

The interface and practice around adult support and protection including initial inquiries, investigations, interagency referral discussions and case conferences was unclear. These processes converged and were regularly used to identify risk and communicate with key partners, instead of investigations. Some cases moved directly from initial inquiry to case conference without a thorough investigation. There was minimal evidence of recordings of investigative interviews. Crucially, the role of council officer in this important area of work was not as transparent as it should have been.

Adult protection initial case conferences

Nearly every case progressing to investigation and beyond went to initial adult support and protection case conference. Almost all were convened without delay and undertaken to a high quality. All relevant agencies were invited to case conferences and mostly attended. Protection orders were required in a small number of cases and were effective. Case conference minutes were of a high standard. They evidenced well-structured meetings and clearly identified risks. Minutes were shared and evident in police, social work, and health records thus consolidating good practice in this area of work.

This process of frequently convened initial case conferences and a robust level of chairing was essential and compensated for the lack of coherent inquiry and investigation processes. Chairs analysed all the required information effectively but there was an over reliance on this. Despite the lack of investigation information, including comprehensive risk assessments and chronologies, they commendably determined what needed to be done. This ensured adults at risk of harm were safe, protected, and supported.

Most adults at risk of harm were not invited to their own case conference and the reasons for this were consistently not recorded in case conference minutes. Of those adults invited to attend, just over half did so, and all those adults were supported to participate. Where there was an unpaid carer, just over half were invited and almost all attended. Invitation to, and attendance at, case conferences was an area of improvement identified in the recently approved adult protection delivery plan.

Adult protection plans / risk management plans

The partnership had an electronic protection plan template, but it was not widely used. Protection planning was routinely captured in the comprehensive minutes of meetings and clearly identified the contributions of multi-agency partners.

The quality of other forms of risk management plans used in the inquiry or investigation stages was mixed, with half being good or better and weak or unsatisfactory in a significant few. For the small number with no risk management plan in place who did not progress to initial adult support and protection case conference, it was difficult to determine how the risks were managed. This meant that potentially, a few adults remained at risk of harm. Protection plans were not present in police and health records indicating more could be done to share critical information.

Adult protection review case conferences

Adult protection review case conferences were convened for almost all adults at risk of harm who required one. The protection plan template was consistently applied at this stage. This assisted the partnership to effectively determine actions to keep the adult at risk of harm safe and supported.

Implementation / effectiveness of adult protection plans

The partnership utilised core groups to review and update protection plans. Adults at risk of harm who had protection plans experienced improvements in their safety and wellbeing. For almost all adults the partnership had made efforts to support the involvement of the adult in the adult support and protection process. Most staff survey respondents considered the partnership to have made a positive difference to adults at risk of harm through adult support and protection interventions. This impact was most positively seen at case conference and where core groups regularly reviewed protection plans.

Large-scale investigations

The partnership had conducted eleven large-scale investigations since 2021; two were on-going. The investigations mainly related to support and protection of adults at risk living in care homes. Large-scale investigations were carried out effectively in accordance with 'Dundee City interagency procedures for large-scale investigations of adults at risk in managed care settings'. These procedures required to be updated to reflect the revised code of practice. Large-scale investigations were carried out within appropriate timescales, with good multi-agency participation and with positive impact for adults at risk of harm.

Collaborative working to keep adults at risk of harm safe, protected and supported.

Overall effectiveness of collaborative working

The partnership had adopted the Tayside Multi-agency Adult Support and Protection Protocol 2019, which included reference to the national care standards. This protocol complemented the local adult support and protection procedures which had been updated in 2020 to include guidance in relation to the Covid -19 pandemic. The local procedures were in the process of being refreshed at the time of the inspection. The partnership planned to embed the revised Scottish Government adult support and protection code of practice in the updated local procedures.

Despite sound procedures, collaborative working in the partnership was variable. Staff commented on the absence of engagement of general practitioners (GPs) in adult support and protection processes. This was also evident through record reading. Lack of engagement of GPs was an important gap in supporting and protecting adults at risk. National adult support and protection guidance for GPs (July 2022) noted that a collaborative approach was vital. More needed done to encourage a closer working relationship.

The partnership had clear strengths in collaborative working including interagency referral discussions (IRDs) and case conferences. Police and health attended almost all IRDs carried out at the investigation stage, and most case conferences. It was clear from case conference minutes that agencies collaborated to support and protect adults at risk.

Health involvement in adult support and protection

NHS Tayside had invested in dedicated health roles to support an integrated approach to adult support and protection. They provided a single point of contact for advice and guidance to social work and police colleagues. For health colleagues, they delivered relevant training and provided advice on all aspects of adult support and protection. Most health staff said they received the right level of mandatory adult support and protection training. Care home liaison, general and mental health nurses, alongside social work colleagues, had a key role in identifying care home residents who were at risk of harm and provided staff with additional support to safeguard adults at risk of harm within care homes.

Health staff consistently contributed to the support and protection of adults in Dundee. Almost all health staff fully understood their role and what to do when they had concerns about an adult at risk of harm. They were confident about appropriately escalating matters relating to adult support and protection. Most health staff were confident about applying the three-point criteria. Almost all health staff were supported to work collaboratively and achieve positive outcomes for adults at risk of harm.

Collaborative working was evident in attendance at interagency referral discussions and case conferences. The NHS Tayside adult support and protection team were working to embed arrangements to make sure the most appropriate health professional attended meetings by requesting that all meeting invitations be routed via their team. This would support improvements in multi-agency risk assessment and protection planning, as well as improve consistency and oversight.

Adult support and protection referrals from health were low. When health professionals made referrals to social work, there was mostly no evidence of feedback to them about the outcome of the referral. Health staff said this led to some staff being unsure about thresholds for an adult support and protection referral.

Health contributed strongly to the strategic leadership and delivery of adult support and protection. This was reflected in the positive contribution health professionals made to improved safety and protection outcomes for adults at risk of harm. The intervention from the appropriate health team to keep adults at risk of harm safe and protected was mostly good or better.

Capacity and assessment of capacity

Just under half of adults at risk of harm records read required a capacity assessment by a health professional. These were almost always requested by social work staff. Those requested were timely, reflecting positive practice. In most cases when a request was made a suitable health professional conducted the required assessment timeously, but some were not. Timely completion of capacity assessments underpinned by an understanding of their importance for decision-making in adult support and protection work required improvement. Non-completion and delays risked impacting the ability of professionals to support and protect adults at risk of harm.

Police involvement in adult support and protection

Contacts made to the police about adults at risk were almost always effectively assessed by control room staff for threat, harm, risk, investigative potential, vulnerabilities, and engagement required (THRIVE). Just over half the cases had an accurate STORM Disposal Code (record of incident type). Opportunities remained for improved consistency in the closure accuracy of STORM disposal codes.

In almost all cases initial attending officers' actions were evaluated as good or better, with meaningful interventions delivered in support of adults at risk of harm. There was evidence of effective practice and relevant contribution to multi-agency responding. Officer assessment of risk of harm, vulnerability and wellbeing was accurate and informed in almost all cases. The wishes and feelings of the adult were almost always appropriately considered and properly recorded.

Where adult concerns were referred, officers did so promptly on almost all occasions, using the interim vulnerable persons database (iVPD). Frontline supervisory input was evident in almost all cases, although not always meaningful and relevant.

The divisional concern hub shared initial protection concerns with social work in a timely and efficient manner, with the actions/records of the hub staff good or better in most cases. Almost all cases showed a resilience matrix and most had a relevant narrative of police concerns, although the quality was at times variable. Effective use was made of iVPD chronologies, with evidence of the inclusion of appropriate additional information aiding case management. We viewed this as a good practice.

The point at which the escalation protocol was initiated (following repeat police involvement) was consistent and in line with national practice. What was less apparent was consideration of subsequent alternative interventions in responding to the needs of the adult, and where appropriate minimising continuing police involvement for instance, recorded single or multi-agency response plan to inform THRIVE assessment and policing response. Greater evidence of strategic input from local area police command may have been expected, particularly in more complex and repeat adult support and protection events.

We also noted a recurring theme where local response officers were routinely deployed to conduct welfare checks and other supportive interventions for adults who were subject to adult support and protection arrangements. This included adults who had failed to attend appointments with partner agencies and requests for transportation. In these circumstances it was not always clear that the police were the appropriate agency to discharge these functions, particularly during daytime hours.

Interagency referral discussions (IRD) were a feature in just under half the cases where there was police involvement. Officer contribution was good or better on almost all occasions; however, police were not invited to all IRDs where their involvement may have been expected. Opportunities remained for the core participants to consider the remit, structure, and outcomes of these discussions to ensure that this shared commitment consistently enhanced the response to adult support and protection.

Police were invited to, and attended almost all, case conferences. Officer contribution to case conference was almost always good or better.

Third sector and independent sector provider involvement

Almost all adults at risk of harm who needed additional support from provider services got it. For most adults this support was comprehensive, effective, and met the adult's personal outcomes.

The third and independent sector were considered as key partners in protection work. There was evidence of attendance and participation in shared decision making at case conferences. Providers were clear about their role in adult support and protection, including how to escalate matters of concern, and where to get advice.

They were less positive about their participation in regular, local multi-agency training and development opportunities around adults at risk of harm.

Key adult support and protection practices

Information sharing

Almost all adults at risk of harm benefitted from partners sharing information. Council officers, police, and health all shared information effectively and appropriately to support and protect adults at risk of harm. Information sharing was particularly effective at interagency referral discussions, case conference and review case conference. Less so at the initial referral stage. Just over half of staff survey respondents said there was timely feedback from social work on action taken after referral.

Management oversight and governance

Recording was in keeping with the needs of adults at risk most of the time. Most records evidenced that line managers had periodically read the records, but some social work records did not. Overall, this lack of governance allowed for some important gaps in relation to investigations, risk assessments and protection plans to go unaddressed. While the partnership had established templates for these, operational managers needed to ensure that social work staff completed them more consistently and competently.

There was evidence of governance in almost all police records. Evidence of exercise of governance was less apparent in health records. This was not necessarily a deficit due to the type of health records scrutinised.

Involvement and support for adults at risk of harm

Almost all adults at risk of harm received support across their adult support and protection journey. The quality of most support was good or better with most staff agreeing that adults at risk of harm were supported to participate meaningfully in decisions affecting their lives.

That said, adults at risk did not routinely receive invitations to attend their own case conferences, and, when relevant, neither did their unpaid carers. This is crucial in terms of getting their lived experience perspective. Just over half of unpaid carers were invited to attend case conferences. Sometimes adults at risk experienced case conferences as overwhelming. The partnership was already sighted on this issue and were aiming to strengthen practice in this area through collaboration work with national and local partners on the authentic voice project. This was embedded in the partnership's adult support and protection committee delivery plan.

Independent advocacy

The partnership offered independent advocacy to just over half of adults at risk of harm who would have benefitted from it. In some cases, it should have been offered but was not. This finding was also an area for improvement following the 2017 joint adult support and protection inspection with results less positive on this occasion. Where advocacy was offered it was mostly accepted. Advocacy was provided for adults at risk within appropriate timescales almost all the time. This effectively supported almost all adults at risk of harm to articulate their experiences or participate in formal meetings.

Independent advocacy services had a representative on the adult protection committee.

Financial harm and alleged perpetrators of all types of harm

Some adults at risk of harm whose records we read experienced financial harm. The partnership acted effectively to stop the harm for most of them. This was achieved through multi-agency partnership working including with banks and other financial bodies.

The alleged perpetrator was known to the partnership in almost all situations. In just over half of these situations, work was required to be undertaken with the perpetrator. The partnership carried out work with the alleged harmer most of the time. The quality of this work was mostly good or better.

Safety outcomes for adults at risk of harm

Almost all adults at risk of harm experienced improved outcomes further to the adult support and protection intervention. For most adults the adult support and protection process delivered improved wellbeing. For almost all adults this was as a result of multi-agency working.

Adult support and protection training

The partnership had recently developed a learning and development plan that consolidated ongoing activity, alongside planned future enhancements. The plan was ambitious and comprehensive. The plan was embedded in the partnership's 'Protecting People framework' and was underpinned by trauma informed learning and development activity. Positively, the development of the plan had been informed by a protecting people training needs analysis undertaken by the health and social care partnership in early 2023.

To the partnership's credit, a second worker training course had been developed and 149 workers had completed this since November 2022. Almost all survey respondents agreed that council officer training had underpinned their understanding of adult support and protection legislation, duties, and role. The council officer training course had been highly commended in June 2022 when it won the Dundee City Council Chief Executive's outstanding service and contribution award. The partnership had more work to do in relation to multi-agency training with just under half of staff agreeing there was regular, local multi-agency training and development opportunities. It was anticipated by the partnership that their recently updated plan would address this.

How good was the partnership's strategic leadership for adult support and protection?

Key messages

- The partnership had a clear and coherent shared vision for protecting people in Dundee. There were strong pathways between public protection partners and their strategy underpinned this joint approach.
- Strategic leaders recognised the experiences of adults at risk of harm in strategic planning, development, and improvement activity. There was a representative with lived experience on the adult protection committee. They were collaborating to further strengthen co-production ambitions.
- Strategic leaders were committed to the delivery of competent, effective, and collaborative adult support and protection practice. External improvement was sought with resources, capacity, and support all in place. Tools and guidance were subsequently implemented to address areas for improvement, but disappointingly they have had limited impact on practice.
- The partnership promoted a good learning culture. It had a multi-agency quality assurance framework in place and were actively applying it. They undertook large scale investigations and learning reviews to a high standard and promoted learning for staff. Despite these sound initiatives strategic oversight and direction of improvement was lacking.
- Strategic leaders had not acted quickly enough to respond to their own evidence from quality assurance activity that improvement work was having limited impact on practice and outcomes, including amending their improvement plans and approaches. The lack of refinement hindered change and improvement.

We concluded the partnership's strategic leadership for adult support and protection was effective with areas for improvement. There were clear strengths supporting positive experiences and outcomes for adults at risk of harm, which collectively outweighed the areas for improvement.

Vision and strategy

The Dundee partnership had adopted an integrated public protection approach. This approach aimed to support people with multiple and complex needs from across the various protection perspectives. The partnership had a clear and person-centred vision underpinning their work across public protection. Leaders held a collaborative event at the beginning of 2023 to directly engage with frontline staff about the public protection vision and strategy. This event was well attended. Despite this good example of engagement just under half of staff agreed that leaders provided a clear vision for their adult support and protection work. More work needs to be done to close this gap. The imminent launch of a dedicated adult protection committee website had potential to strengthen a shared understanding.

The adult protection committee delivery plan included the adult support and protection vision and strategies. It was approved by the chief officers' group during the period of inspection. This comprehensive plan had been developed to supersede the plethora of other plans in place. The partnership recognised that multiple plans made accountability, collective ownership, and the prioritisation of areas of practice challenging. It was too early to assess the implementation and impact of the very recently approved delivery plan.

Effectiveness of strategic leadership and governance for adult support and protection across partnership

The chief officers' group was responsible for overseeing all aspects of public protection including adult support and protection. The adult protection committee was accountable to the chief officers' group. The adult protection committee and chief officers' group had appropriate representation from key partners and met regularly. Appropriate priority was given to adult support and protection on the agenda of the chief officers' group. The chief officers' group required the adult protection committee to identify risk for inclusion on the corporate strategic risk register governed by the chief officers' group. An example was the partnership's need to strengthen its response to workforce capacity challenges. This risk was being mitigated by stepping down non-essential activity and prioritising operational adult support and protection work. A view that staff in Dundee fully supported.

The adult protection committee was supported by public protection lead officers, within which was a dedicated lead officer with a specific focus on adult support and protection. There was a part-time interim arrangement in place with a commitment to recruit longer term. This was pending a review by the health and social care partnership. This post was well supported by dedicated staff in the protecting people team and more senior managers across the partnership. Until this post is appointed to the partnership should consider how they balance their focus on public protection with the much-needed adult support and protection improvement activity.

Both Police Scotland and NHS Tayside had well established single points of contact for adult support and protection. The dedicated NHS Tayside adult support and protection team made a positive impact in terms of support and advice to frontline workers.

The adult support and protection committee had adopted the recently refreshed Scottish Government national minimum dataset reporting framework. The committee planned to review and update the adult support and protection dataset further to include additional measures. This will support routine reporting of national and local performance measures.

Effectiveness of leaders' engagement with adults at risk of harm and their unpaid carers

Commendably, an adult with lived experience of adult support and protection processes was a core member of the adult protection committee. The adult was a valued member and was supported to meaningfully contribute to the committee and met regularly with the independent chair. They had also been involved with a recruitment process.

Leaders were committed to embedding the experiences of adults at risk of harm in strategic planning, development, and improvement activity. A positive example of this was the work which had taken place with the authentic voices project to consider approaches to genuine collaboration with, and learning from, adults at risk of harm. The partnership recognised the implementation of lived experience strategic involvement as a priority for improvement and were developing plans and resources to advance further work in this area.

Delivery of competent, effective and collaborative adult support and protection practice

At a strategic level, leaders collaborated effectively to identify what was needed to improve multi-agency adult support and protection practice. Following the last inspection, the chief officers' group had commissioned external improvement services and prioritised resources, people, and money, to make the necessary improvements identified. A transformational change programme was put in place focussed on addressing chronology, risk assessment and protection plan weaknesses. Staff were at the centre of this approach, and they took the lead in the workstream activity, overseen by senior managers and the chief officers group. This work has successfully delivered competent templates linked to the IT system. While the Covid-19 pandemic impacted on the extent to which this work was embedded, strategic leaders needed to do more. The partnership had produced helpful guidance and templates in relation to these areas of practice, but staff were still not confidently or consistently applying it. Plans to implement wider updated guidance alongside their training plan offered the partnership an improvement opportunity.

NHS Tayside had invested in a dedicated adult support and protection team. This was viewed by health staff as an effective resource. It was evident that involvement of adult support and protection advisors at case conference and interagency referral discussions added value to discussions and decision-making. Adult support and protection advisors presented as champions with competence and confidence. There were positive examples of professional challenge from adult support and protection advisors. This team was an exemplar of good practice to the benefit of adults at risk of harm and had significantly strengthened health's role at a strategic level.

The partnership was moving towards a public protection framework. They were capitalising on some strong cross sector joint working initiatives. This included the community wellbeing centre, and a collaborative between the health and social care partnership and Scottish Ambulance Service which established a paramedic mental health response vehicle. The partnership's approach to early intervention, prevention and trauma informed practice was developing well within the public protection environment.

The partnership had also sought to address the demand in adult support and protection referral and screening activity by committing to a multi-agency screening hub (MASH). Despite well intentioned plans, the deployment of the recently tested approach proved unsustainable. The partnership had reflected on learning from the tested approach and had developed a proposed adults at risk multi-agency pathway. There was confusion about the role and purpose of interagency referral discussions at operational and strategic level. The process remained convoluted and required simplification. The undoubted benefits of interagency referral discussions were not, therefore, fully realised.

Quality assurance, self-evaluation and improvement activity

The partnership had a quality assurance framework. This set out a high-level plan for audit activity including an annual multi-agency audit and ongoing audits of interagency referral meetings. Consequently, there was a multi-agency audit in November 2022 and a single agency social work audit in July 2023. Positively, some staff had been directly involved in evaluating the impact of adult support and protection work and felt it had positively influenced improvement. The adult protection committee had undertaken two initial case reviews since 2021. Briefings were delivered to staff to support them to understand review processes. The committee planned to repeat these briefings to support implementation of their updated learning review guidance.

The partnership had set out an intention to fully embed case file auditing of social work adult support and protection records on a regular basis. This was much needed. A competent tool had been developed but staff were unclear about the progress of implementation of it. Frontline managers said they had insufficient time to take part in planned audit activity. They did not consider self-evaluation activity to be well embedded. Middle managers indicated they were quality assuring work as it came to them on the electronic system. The evidence in relation to the quality of some work strongly indicates a clear disconnect between frontline social work practice and oversight at all levels.

The self-evaluation and continuous improvement sub-group of the adult protection committee had oversight of both single and multi-agency audit activity. This group also carried out vital work on behalf of the committee in relation to analysis of performance data, targeted audit work and dissemination of findings from learning reviews and similar. The self-evaluation and continuous improvement sub-group was the only sub-group of the adult protection committee with a specific focus on adult support and protection. The other sub-groups had developed a wider public protection focus. The partnership planned to move to an integrated adults at risk governance and strategy structure. This included an adult at risk committee replacing the adult protection committee. It was proposed that the pivotal self-evaluation and continuous improvement sub-group's functions would no longer feature in the structure, and instead would be delivered by distinct protecting people sub-groups. While this strategy risked diluting the focus and drive for improvement in adult support and protection work, there was an opportunity for the partnership to review how it reports on performance and governs progress more effectively.

Learning reviews

The partnership guidance on learning reviews had a public protection focus and reflected the latest Scottish Government guidance. The partnership had completed two initial case reviews in the past two years. Neither of these had progressed to significant case review (SCR). Both related to deaths caused by substance misuse. A significant case review was due for publication imminently.

The adult protection committee's self-evaluation and continuous improvement sub-group had a lead responsibility for the dissemination of learning and tracking improvement as a result of partnership reviews as well as national SCRs and learning reviews.

The partnership had concluded a thematic review of fire deaths at the end of 2021. This was a comprehensive multi-agency review. It had shone a spotlight on fire safety and raised awareness across health and social work staff. A short life working group reported progress against actions to the chief officers group and adult protection committee.

Summary

Key processes

The 2017 joint inspection of the Dundee adult protection partnership highlighted some critical areas for improvement across key processes including chronologies, risk assessments and protection plans. The partnership prioritised this improvement work and commendably created significant capacity and resources to ensure improvement. This led to a suite of competent templates for staff to use. However, while these were implemented into their IT system, they were not embedded into working practice in accordance with their guidance. This led to inconsistent practice that continued to be missed by frontline and middle managers who were not undertaking regular audit work. Lack of sufficient governance was also highlighted by the previous inspection.

Previously, we found that there were not enough case conferences where there should have been. This has been completely turned around, and these forums are critical components in analysing and mitigating risks. Multi-agency protection planning is comprehensively laid out in the minutes of meetings. While the adult support and protection key processes lack cohesion, the basics of assessing, analysing and mitigating risks are in place where they were not previously.

The joint screening and triage arrangements differ from 2017. The early screening group is no longer in place. Multi-agency screening arrangements have been tested but proved to be unsustainable as the partnership recognised that more comprehensive redesign was required. The first contact team and initial referral discussions do not provide an impactful solution. This lack of sustainability in early multi-agency decision making undermined a shared understanding of adult support and protection thresholds.

Adult support and protection inquiries was an area of concern at our last inspection, but there has been considerable improvement. They are competently undertaken, consistently reach the right decisions and include council officers where necessary almost all the time.

Strategic leadership

In 2017 the strategic leadership team shared a good working relationship. The inspection at that time recognised the innovation and collaboration across the leadership team and noted promising initiatives set out in a strong vision. However, the 2017 inspection also recognised the partnership's strategic leadership struggled to capitalise on this and make the necessary timely transformation required to progress and sustain service improvement across key areas of adult support and protection practice. This remains a fundamental issue for the partnership, although there are slight but significant differences.

On this occasion many improvement objectives and deliverables have been met by robust improvement methodologies, supported by commissioned improvement agencies. There has been a good measure of success, built on strong engagement strategies inclusive of staff and people with lived experience. For example, new screening and contact arrangements were deployed and refreshed guidance drafted. Tools and templates are developed and embedded in new IT systems. But while this is positive there remains challenges for the partnership governing progress. Use of self-evaluation and audit frameworks continue to provide the leadership team with strengths and weaknesses across key areas of practice, but assessment and refinement of these tools was consistently lacking. This is a significant barrier to sustainable change and improvement.

Health has now effectively augmented the adult protection partnership and strengthened its operational and strategic role well. The partnership benefits from this. There is scope for the partnership to take advantage of this and seek to address the lack of general practitioner input to adult support and protection work. This was an area of work the partnership were focussed on at our last inspection.

Overall, the partnership has made progress since the last inspection and closed some of the gaps in practice by delivering the necessary tools and templates required to operate effectively. The quality of inquiries and case conferences have improved but key processes rely on these too much. Risk assessment and investigation work remain areas for improvement. Innovation is strong but governance and oversight is lacking at all levels and continues to impede the coherent progress needed. The partnership should address this to ensure sustainable progress is maintained.

Next steps

We asked the Dundee partnership to prepare an improvement plan to address the priority areas for improvement we identify. The Care Inspectorate, through its link inspector, Healthcare Improvement Scotland and His Majesty's Inspectorate of Constabulary in Scotland will monitor progress implementing this plan.

Appendix 1 – core data set

Scrutiny of recordings results and staff survey results about initial inquiries – key process 1

Initial inquiries into concerns about adults at risk of harm scrutiny recordings of initial inquiries

- 100% of initial inquiries were in line with the principles of the ASP Act
- 100% of adult at risk of harm episodes were passed from the concern hub to the HSCP in good time
- 82% of episodes where the application of the three-point criteria was clearly recorded by the HSCP
- 95% of episodes where the three-point criteria was applied correctly by the HSCP
- 85% of episodes were progressed timeously by the HSCP
- Of those that were delayed, 50% two weeks to one month, 33% one to three months, 17% more than 3 months
- 97% of episodes evidenced management oversight of decision making
- 82% of episodes were rated good or better.
- 100% of interagency referral discussions (done at initial inquiry stage) were rated good or better.
- 76% of initial inquiries used investigative powers, 91% of initial inquiries done by a council officer

Staff survey results on initial inquiries

- 88% concur they are aware of the three-point criteria and how it applies to adults at risk of harm, 8% did not concur, 4% didn't know
- 65% concur that interventions for adults at risk of harm uphold the Act's principles of providing benefit and being the least restrictive option, 9% did not concur, 27% didn't know
- 59% concur they are confident that the partnership deals with initial adult at risk of harm concerns effectively, 20% did not concur, 21% didn't know

Information sharing among partners for initial inquiries

- 85% of episodes evidenced communication among partners

File reading results 2: for 50 adults at risk of harm, staff survey results (purple)

Chronologies

- 48% of adults at risk of harm had a chronology
- 26% of chronologies were rated good or better, 73% adequate or worse

Risk assessment and adult protection plans

- 88% of adults at risk of harm had a risk assessment
- 27% of risk assessments were rated good or better
- 62% of adults at risk of harm had a risk management / protection plan (when appropriate)
- 50% of protection plans were rated good or better, 50% were rated adequate or worse

Full investigations

- 97% of investigations effectively determined if an adult was at risk of harm
- 84% of investigations were carried out timeously
- 48% of investigations were rated good or better

Adult protection case conferences

- 96% were convened when required
- 86% were convened timeously
- 56% were attended by the adult at risk of harm (when invited)
- Police attended 91%, health 79% (when invited)
- 81% of case conferences were rated good or better for quality
- 91% effectively determined actions to keep the adult safe

Adult protection review case conferences

- 94% of review case conferences were convened when required
- 90% of review case conferences determined the required actions to keep the adult safe

Police involvement in adult support and protection

- 95% of adult protection concerns were sent to the HSCP in a timely manner
- 87% of inquiry officers' actions were rated good or better
- 79% of concern hub officers' actions were rated good or better

Health involvement in adult support and protection

- 79% good or better rating for the contribution of health professionals to improved safety and protection outcomes for adults at risk of harm
- 67% good or better rating for the quality of ASP recording in health records
- 78% rated good or better for quality information sharing and collaboration recorded in health records

File reading results 3: 50 adults at risk of harm and staff survey results (purple)

Information sharing

- 94% of cases evidenced partners sharing information
- 96% of those cases local authority staff shared information appropriately and effectively
- 94% of those cases police shared information appropriately and effectively
- 91% of those cases health staff shared information effectively

Management oversight and governance

- 62% of adults at risk of harm records were read by a line manager
- Evidence of governance shown in records - social work 90%, police 88%, health 33%

Involvement and support for adults at risk of harm

- 81% of adults at risk of harm had support throughout their adult protection journey
- 76% were rated good or better for overall quality of support to adult at risk of harm
- 69% concur adults at risk of harm are supported to participate meaningfully in ASP decisions that affect their lives, 8% did not concur, 22% didn't know

Independent advocacy

- 58% of adults at risk of harm were offered independent advocacy
- 72% of those offered, accepted and received advocacy
- 95% of adults at risk of harm who received advocacy got it timeously.

Capacity and assessments of capacity

- 91% of adults where there were concerns about capacity had a request to health for an assessment of capacity
- 67% of these adults had their capacity assessed by health
- 86% of capacity assessments done by health were done timeously

Financial harm and all perpetrators of harm

- 30% of adults at risk of harm were subject to financial harm
- 60% of partners' actions to stop financial harm were rated good or better
- 78% of partners' actions against known harm perpetrators were rated good or better

Safety and additional support outcomes

- 82% of adults at risk of harm had some improvement for safety and protection
- 92% of adults at risk of harm who needed additional support received it
- 59% concur adults subject to ASP, experience safer quality of life from the support they receive, 14% did not concur, 27% didn't know

Staff survey results about strategic leadership

Vision and strategy

- 46% concur local leaders provide staff with clear vision for their adult support and protection work. 24% did not concur, 29% didn't know

Effectiveness of leadership and governance for adult support and protection across partnership

- 47% concur local leadership of ASP across partnership is effective, 18% did not concur, 35% didn't know
- 49% concur I feel confident there is effective leadership from adult protection committee, 18% did not concur, 33% didn't know
- 36% concur local leaders work effectively to raise public awareness of ASP, 27% did not concur, 37% didn't know

Quality assurance, self-evaluation, and improvement activity

- 39% concur leaders evaluate the impact of what we do, and this informs improvement of ASP work across adult services, 19% did not concur, 42% didn't know
- 35% concur ASP changes and developments are integrated and well managed across partnership, 22% did not concur, 43% didn't know

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Appendix 2

Position Statement – Strengths and Priorities for Improvement (full text)

1. Key processes for adult support and protection (ASP)

Strengths

Early intervention and use of least restrictive approach – In line with legislation and with our commitment to a person-centered and trauma-informed approach we adhere to the least restrictive principle where this is appropriate.²⁰ We have a range of risk management processes and early intervention and support services that effectively identify and actively manage risk at the earliest opportunity, including through appropriate information sharing. Adult protection is progressed where risks cannot be adequately managed or where it is clear that ASP process can provide additional options that are required to keep the person safe. Our most recent audit activity has found that the three-point test is being applied correctly at the screening and Duty to Inquire stage. There is evidence that people who progress through ASP processes are kept safe and have improved wider wellbeing outcomes, and emerging evidence that risk management processes outwith ASP are reducing harm and enhancing safety and wellbeing.

Council Officer capacity and expertise – Dundee has invested in learning and development approaches that have resulted in a high level of Council Officer capacity, confidence and competence. Our Council Officer programme has been recognised as sector leading and includes a focus on professional values and ethics, alongside policy, procedure and practice. Council Officers are well supported by their line managers and are increasingly supporting colleagues who are acting as Second Workers. Action has also been taken to ensure good availability of MHO capacity to ASP processes and to maintain a responsive system where a Capacity Assessment is requested.

Large-scale Investigations (LSI) – Our comprehensive arrangements for oversight and support of the independent sector, delivered through a partnership approach, support a high-quality and improvement focused approach to completing LSIs. Concerns that might require an LSI are proactively identified at the earliest possible stage. Our LSI process is inclusive of all partners, completed to a high standard and there is evidence that it supports improved outcomes for adults at risk, as well as enhancing the overall quality of service available via independent sector providers.

Quality and availability of independent advocacy – Dundee has invested in a range of independent advocacy provision commissioned from third sector services, with the appropriate knowledge and experience to provide a high-quality service. As well as providing advocacy services within ASP processes, they are increasingly providing independent advocacy at a much earlier stage within risk management processes. The capacity within commissioned services meets demand and providers always prioritise ASP related advocacy.

Priorities for Improvement

Lived experience contribution to ASP processes – We recognise the need to focus on achieving a more consistent approach to supporting adults at risk and their unpaid carers / family members to be appropriately involved at all stages of ASP processes (not just case conferences). This includes achieving a consistent approach to recording within case records to enable all partners to understand and address current barriers. Within this there will be a focus on further encouraging uptake of our high-quality, commissioned advocacy services and on providing enhanced supports where adults at risk and their unpaid carers / family members do not wish to engage with advocacy services.

Practice improvement priorities – Our quality assurance findings clearly indicate that whilst some progress has been made in relation to chronologies, risk assessments and plans, in common with many other partnerships across Scotland, this remains an area for continued improvement activity. This will require a continued focus on supporting practice improvement through; learning and organisational development, further amendments to policies, practice tools and recording systems and enhanced focus within ongoing quality assurance. We will also continue to work regionally and nationally to share learning and identify best practice approaches. In addition, we have identified the need to use our data and quality assurance processes to gain a better understanding of the role that IRD meetings have as part of wider approach to information gathering, analysis and decision-making within DTI and investigations, and where there are opportunities to move towards a consistent understanding and approach across all multi-agency partners.

Adult at Risk Multi-agency Pathway – The ASPC has identified this as a critical priority within their new Delivery Plan. All partners have endorsed the move to a tiered multi-agency pathway that supports adults at risk of harm from the earliest point of identification through to ASP processes, where these are required. The pathway will support us to develop a shared understanding of thresholds and shared responsibility for risk assessment and management at all tiers. We recognise that there is a significant programme of work required to finalise the pathway and develop the detailed arrangements that will underpin its implementation. However, we believe that through the COG and the ASPC there is a vision and momentum for change. The feedback we receive from inspection will also inform our next steps.

Experiential and outcome data – Building on the approach already in place within drug and alcohol services, the ASPC plans to implement a process for capturing experiential feedback from adults and carers who have been subject to/supported individuals through ASP processes. In addition, the ASP Committee recognises that further work is required to enable outcome information to be more consistently captured within and reported from case records. This will continue to be a focus in learning and development activities, as well as in the ongoing review of Dundee ASP Procedures. The Self-Evaluation and Continuous Improvement (SECI) Group of the Committee will take a lead on enhancing the focus on outcomes information through the further development of the Committee dataset and future multi-agency audit activity.

2. Leadership of adult support and protection

Strengths

Strategic partnership working - Dundee has a strong history of partnership working across all aspects of community planning, including public protection. We have an inclusive Chief Officer Group and ASP Committee, with membership that extends beyond services who might traditionally be seen as the core partners. There is a strong commitment to an integrated protecting people approach and partners provide representation at a senior level. Public sector partners have prioritised resource to ensure adequate strategic support functions, as well as underpinning single agency systems of governance and oversight.

Culture and values - As a partnership we have committed to delivering our vision in a way that is trauma-informed, person-centered and gender sensitive. This is not just in relation to people who need our services and support, but also in terms of our response to workforce wellbeing. Through our Authentic Voice project and wider lived experience work we have demonstrated the value we place on lived experience contribution as part of a wider trauma-informed approach.

Quality assurance – Over the last year significant progress has been made in developing and implementing a more robust approach to quality assurance, including developing a process for moving from Significant Case Reviews to Learning Reviews and having more effective oversight of implementation of learning from reviews. Led by the ASP Committee SECI Sub-group there is increasing multi-agency quality assurance activity, and individual partner organisations are also now implementing single agency audit tools. Although we acknowledge that this work needs to be fully embedded over the next year, we believe that we now have an overall framework in place to enable this and that, importantly, there is evidence that quality assurance activity is directly informing improvement work.

Learning and organisational development – Partners work collaboratively together, both in Dundee and across Tayside, to develop and deliver a high-quality and varied learning and development programme to operational staff and strategic leaders. This activity is directed to support improvement priorities and has also enable more practitioners from across the workforce to gain the confidence to participate in a range of working groups and improvement activities.

Priorities for Improvement

Implementation of lived experience strategic involvement – Partners are continuing to work together to progress the recommendations from the Authentic Voice Project designed to enhance meaningful, lived experience contribution to our protecting people strategic fora. Over the next two years we anticipate that this will lead to increased voice and influence of adults at risk from a variety of backgrounds into the ASPC and related strategic groups.

Policies and procedures – Work has already begun both in Dundee and Tayside to revise our multi-agency ASP policies and procedures. The completion of this work will also enable us to progress to full implementation of the revised national Code of Practice, supported by comprehensive multi-agency dissemination and related learning opportunities. Whilst our policies are available to the workforce, we will also publish them on our refreshed ASP website by the end of 2023/24.

Workforce and public communications – Although there is a range of public and workforce communication and engagement activity in place across the protecting people landscape, we know that this is an area where a consistent and sustained approach is key. Communications will be a vital aspect of a number of ongoing and planned improvements and will be vital to our work to establish an Adults at Risk Multi-agency Pathway.

Implementation of revised governance structure – A significant programme of work will support our transition to a new multi-agency governance structure, including business processes, organisational development, and communication. Partners also recognise the need for reflective evaluation and ongoing mitigation of any emerging unexpected consequences.

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Appendix 3

Improvement Plan as submitted to the Care Inspectorate

Inspection Improvement recommendation	Ref.	Actions	Indicators of Success	Leads	Timescales	Progress Comments (Green, Amber, Red Tracking – Blue Completed)
<p>1. Improve the consistent application and quality of investigation, chronology, and risk assessment templates.</p> <p><i>(note: this is also underpinned by actions in the following section on policies and procedures)</i></p>	1.1	Review Investigation processes and ensure any changes and findings are reflected in the revised Dundee ASP procedures and case recording systems. To include; DTI/Investigations and use of IRDs. <i>(Linked to 1.5, 2.1 and 2.3)</i>	ASP Procedures reflect updates/changes. Changes reflected in MOSAIC workflow. Updated relevant templates	HSCP PPOG Chair	June 2024	
	1.2	Revise risk assessment recording at case conferences and IRDs to enable easy capture and transfer of information to HSCP risk assessment template. <ul style="list-style-type: none"> Develop standard process for sharing of risk assessments to and from partners when required. 	New templates developed and MOASIC updated. Better/more routine information sharing Improved information sharing reflected in audits.	HSCP MOSAIC Working Group Chair	August 2024	

	1.3	<p>As part of the adults at risk pathway redesign, develop clear proposal for a multi-agency Chronology and Risk Assessments. To include/link with:</p> <ul style="list-style-type: none"> • Lead Professional Model • Agree communication pathways for sharing key events. • Explore single templates for Tayside <p>(Linked to 4.4)</p>	<p>Multi-agency chronology developed and utilised.</p> <p>Single and multiagency Audit activity shows clear improvement in chronologies and risk assessments and in turn better outcomes.</p>	<p>Pathway Redesign SLWG Chair</p>	<p>June 2024</p> <p>*part of wider work on pathway development* See Adults at Risk Pathway timelines</p>	
	1.4	<p>Single agencies continue to develop approach to chronologies and risk assessment and provide assurance to the committee that practice is in place and improving (linked with MASH, ASP pathway and Team Around the Adult work)</p>	<p>Added as a standing item in update reports to the ASP committee.</p> <p>Audits show improvements in number and quality of chronologies and risk assessments.</p>	<p>NHST Public Protection Lead</p> <p>HSCP PPOG Chair</p> <p>Tayside Police Public Protection Lead</p>	<p>Ongoing</p> <p>Regular update item in ASPC meetings</p>	

	1.5	<p>Prioritize and continue targeted work to complete required changes to MOASIC workflows and system upgrades in relation to investigations, chronologies, and risk assessments.</p> <p><i>(Linked to 2.5)</i></p>	<p>ASP forum feedback</p> <p>Audits</p> <p>Staff report better use of system/ staff survey.</p>	<p>HSPC MOSAIC Working Group Chair</p>	<p>July 2024</p>	
	1.6	<p>Review and develop further targeted learning and development activity to support ASP practice improvement priorities for the single and multi-agency workforce, including third sector. Targeted activity to include:</p> <ul style="list-style-type: none"> • Review Council Officer Training to ensure any changed processes and updated ASP procedures are reflected. • Second Officer Training • Codes of practice • Large Scale Investigations • Implementation of ASPC competency tool (HSCP as first priority) • Investigations, chronologies, and risk assessments <p><i>(linked to recommendation 2 and actions 2.7 and 3.3)</i></p>	<p>E-learning, Training, etc. updated and or developed for single and multi-agency purposes.</p> <p># of staff completed e-learning and workshops</p> <p>Training feedback forms /learning outcomes</p> <p>Audit activity shows clear improvement in key process practice.</p>	<p>Team Leader, L&OD, DCC</p> <p>NHST L&OD Co-ordinator</p>	<p>Ongoing</p> <p>Quarterly updates</p>	

	1.7	<p>Agree Dundee memberships on National Implementation Plan Subgroups to ensure best value from involvement.</p> <ul style="list-style-type: none"> Feedback provided to committee to strengthen practice improvement efforts. <p>(Linked to 3.6)</p>	<p>Members on subgroups</p> <p>Meeting minutes</p>	Lead Officer	April 2024	
<p>2. Adult support and protection guidance and procedures should be updated as a matter of priority.</p>	2.1	<p>Finalise update of Dundee HSCP ASP procedures to incorporate the new code of practice and learning from the inspection.</p> <p>(Linked to Recommendation 1)</p>	<p>ASP Forum Feedback</p> <p>Manager Feedback</p>	HSCP PPOG Chair	May 2024	
	2.2	<p>Review and update NHS single agency procedures/guidance to align with updated Dundee Local Area guidance (and other local areas as relevant).</p>	<p>New NHS Single agency procedure completed and disseminated</p>	NHST Public Protection Lead	May 2024	
	2.3	<p>Adapt Dundee HSCP ASP procedures into Dundee Multi-Agency ASP Procedures to align to the new ASP redesigned Pathway and Multi-</p>	<p>Multi agency procedures in place.</p> <p>ASPC minutes - approval</p>	<p>Pathway Redesign</p> <p>SLWG Chair</p>	<p>April 2025</p> <p>*part of wider work on</p>	

	agency Screening Hub once developed. (Linked to 4.4)	Focus group feedback		pathway development* See Adults at Risk Pathway timelines	
2.4	Finalise update of Large Scale Investigations procedure: <ul style="list-style-type: none"> • Completion of self-assessment • Engagement and consultation • Finalise and disseminate 	Staff feedback Reduction in LSIs Learning sessions provided and # of staff attended	HSCP PPOG Chair	April 2024	
2.5	Prioritize and continue targeted work to complete required MOSAIC upgrades/ changes to workflows in relation to any changes of policies, procedures, and inspection findings. (Linked to 1.5)	Single ASP Risk assessment capabilities ASP forum feedback Audits Staff report better use of system/ staff survey.	HSCP MOASIC Working Group Chair	August 2024	
2.6	Ensure all ASP policy and procedures are accessible via the new Adult Support and Protection website and communicated to the multi-agency workforce.	Website available and populated with relevant information. Website Analytics / traffic and use Staff report wider knowledge of plans and future activity	Lead Officer	August 2024	

	2.7	<p>Develop and carry out accompanying Learning and Development activity to embed new Dundee ASP local operating procedures across the workforce.</p> <ul style="list-style-type: none"> • Develop Templates / toolkit to accompany procedures. • Learning and awareness sessions for all staff and multi-agency workforce. • Disseminate via practitioner's forum. <p><i>(Linked to 1.6)</i></p>	<p>Practice audits</p> <p>Manager feedback</p> <p>Templates Developed</p> <p>Session feedback forms</p> <p># of staff attended</p>	<p>Team Leader, L&OD, DCC</p> <p>NHST L&OD Coordinator</p>	July 2024	
<p>3. Quality assurance, self-evaluation and audit activities were embedded but to varying degrees, particularly across social work services. These captured areas for improvement but the approaches were inconsistent. Greater cohesion and strategic oversight were needed to ensure the necessary change and improvement.</p>	3.1	<p>Agree prioritised action plan for Self-Evaluation and Continuous Improvement Sub-group.</p>	<p>SECI Action Plan developed and shared with partners.</p> <p>Revised Audit Calendar shared with partners.</p> <p>Audits and self-evaluation carried out on schedule</p>	SECI Chair	March 2024	
	3.2	<p>Continue to develop process for ASPC oversight of case file audits:</p> <ul style="list-style-type: none"> • Embed multi-agency case file audits (to supplement single agency level audits) • Develop mechanism to provide assurance to ASPC of Single Agency audit activity. 	<p>Audit tool developed</p> <p>Multi-agency peer audit process in place</p> <p>Audit Schedule in place and on track</p>	SECI Chair	<p>Next Audit October 2024</p> <p>Ongoing</p> <p>Quarterly progress</p>	

		(Results, improvement priorities, identify risks, operational staff Input) <i>(Linked to 3.1)</i>	ASPC agenda / minutes Audit assurance reports in place (multi and single agency)		reports to committee	
3.3	Embed routine auditing across identified HSCP teams. <ul style="list-style-type: none"> Finalize and implement audit tool. Targeted quality assurance activity including investigations, risk assessments and chronologies. Mechanisms for management oversight of findings and subsequent alignment of learning and development activities. <i>(Linked to 1.6)</i>	Audits show clear improvement over time Service user feedback reflects improvement efforts Mosaic updated Supervision reflects audit findings	HSCP PPOG Chair	Dec 2024		
3.4	Continue to develop and review ASP data sets , including updating case recording and minute templates to enable revision of current ASPC dataset content relating to attendance at case conferences (and other key meetings) and provision of advocacy services.	Track source information that led to deep dives ASP and SECI minutes and agenda ASPC receives comprehensive data and analysis, and this is informed by and	Senior Information Officer	Ongoing Deep dives as relevant Updates via Regular Committee Agenda Item		

			evidenced in the risk register and delivery plan.			
	3.5	<p>ASPC representation on the Authentic Voice Working Group.</p> <ul style="list-style-type: none"> • Develop ways to capture and evidence personal outcomes for individuals and their families including but not limited to: <ul style="list-style-type: none"> ○ Replicating ADP experiential data collection method for ASP to capture what’s working well for people and where improvements are required. ○ develop targeted audit activity. <p><i>(Linked to 3.4 and 3.2)</i></p>	<p>ASP Actions in AV actions plan.</p> <p>Planning documents / improvement plans informed by lived experience evidence (key LE documents and thematic reports)</p>	Lead Officer	<p>Coordinator - May 2024</p> <p>Action Plan – July 2024</p> <p>Then progression with actions ongoing – 6 quarterly updates</p>	

	3.6	<p>Agree Dundee memberships on national Self-evaluation Sub-group to ensure best value from involvement.</p> <ul style="list-style-type: none"> Feedback provided to committee to strengthen practice improvement efforts. <p>(Linked to 1.7)</p>	<p>Dundee membership on group</p> <p>Feedback via SECI / minutes</p>	Lead Officer	April 2024	
<p>4.</p> <ul style="list-style-type: none"> The partnership's adult support and protection lead officer and support team should ensure they remain sighted on the quality of practice and prioritises the necessary improvements, including adherence to guidance, under its new public 	4.1	<p>Review and update strategic risk register to reflect inspection findings and enhance focus on required improvements.</p>	<p>Risks escalated to COG.</p> <p>Assurance reports</p>	ASP Independent Convener	April 2024	
	4.2	<p>Develop shared understanding and process for single agencies to provide assurance to ASPC on quality assurance and improvement and performance activity.</p> <p>(Linked to 3.1 and 4.3)</p>	<p>Risk Register</p> <p>ASP Assurance Reports to the COG</p> <p>Protecting People Annual Report</p> <p>Template for reporting developed and clear in committee agendas/updates.</p> <p>Schedule developed and accessible to all partners.</p> <p>Audit Calendar</p>	Lead Officer	May 2024	

<p>protection arrangements.</p> <ul style="list-style-type: none"> The pace of strategic change and improvement needed accelerated. The partnership was aware through joint inspection in 2017 that improvement was required across key areas of practice and strategic leadership. Their own audit activity had reached similar conclusions, but progress was limited in key areas. The partnership should ensure that strategic planning and 		<p>4.3</p> <p>Support the implementation of the transition plan for the revised PP governance and strategic structure, specifically arrangements for the new 'Adult at Risk' Committee:</p> <ul style="list-style-type: none"> Revise membership Updated induction resources Training suite / upskilling members New terms of reference Agree collective sub-groups Develop greater focus within this on QA, performance improvement and review reporting arrangements between sub-group, committee and COG. Refresh reporting and assurance arrangements between Committee and COG. 	<p>Transition plan in place and actions relevant to new 'Adult at Risk committee are completed'.</p>	<p>Protecting People Team Service Manager</p>	<p>Implementation Plan May 2024</p> <p>Ongoing – progress update at each ASPC meeting</p>	
	<p>4.4</p>	<p>Develop initial project proposal and implementation plan for the redesign of the multi-agency pathway for adults at risk as laid out in the ASPC delivery plan, including resource requirements.</p>	<p>Proposal agreed</p> <p>Ms L Improvement plan refreshed</p> <p>Workstreams created</p>	<p>Redesign Pathway SLWG Chair</p>	<p>June 2024</p>	

<p>implementation of new initiatives across key processes and strategic leadership are well resourced, sustainable and impact assessed.</p> <p><i>(we've grouped these together as the actions to address will be very similar)</i></p>		<p><i>(Linked to 1.3)</i></p>				
	<p>4.5</p>	<p>Develop enhanced arrangements of ASP processes oversight and performance within HSCP.</p> <ul style="list-style-type: none"> • Improve reporting of relevant management information to management team. • Review supervision arrangements including management oversight in MOSAIC workflows. • Provide L&OD inputs for managers on supervision skills and incorporating quality assurance activity into supervision • Develop service clinical and care governance group to provide enhanced oversight of operational risks. 	<p>Data set in place</p> <p>Data fed into relevant teams, committees and forums</p> <p>Minutes show utilization/changes</p>	<p>HSCP PPOG Chair</p>	<p>Dec 2024</p>	

	4.6	<p>Recruitment to key posts</p> <ul style="list-style-type: none"> Recruit to HSCP ASP Operational Lead Post to support change and improvement programs of work. Permanent recruitment to Multi-agency PP Strategic Lead Officer post. 	Posts filled	<p>HSCP Head of Service</p> <p>Protecting People Team Service Manager</p>	<p>July 2024</p> <p>March 2024</p>	
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A

ADP – Alcohol and Drug Partnership
 APA – Adult Protection Advisors (NHS Tayside role)
 ASP – Adult Support and Protection
 ASPC – Adult Support and Protection Committee
 AV – Authentic Voice

C

CC – Case Conference
 CJS – Community Justice Service
 COG - Chief Officers Group
 CPF - Continuing Professional Development
 C&F – Children and Family Services
 CMHT – Community Health Team
 CSWO – Chief Social Work Officer

D

DCC- Dundee City Council
 DDARS - Dundee Drug and Alcohol Service
 DHSCP – Dundee Health and Social Care Partnership
 DKA – Diabetic Ketoacidosis

G

GS – Gendered Services
 GBV – Gender Based Violence

I

IRD – Initial Referral Discussion

L

LE- Lived Experience
 L&OD – Learning and Organizational Development

M

MAPPA – Multi-Agency Public Protection Arrangements
 MARAC – Multi-Agency Risk Assessment Conferencing
 MASH – Multi Agency Screening Hub
 MAT (Medication Assisted Treatment)

N

NFOD – Near Fatal Overdose Pathway
 NHS – National Health Service
 NHST – National Health Service Tayside

P

PP – Protecting People
 PPOG – Protecting People Oversight Group (Single Agency - Health and Social Care Partnership group)
 PPTF – Protecting People Training Framework
 PR SLWG – Pathway Redesign Short Life Working Group

Q

QA – Quality Assurance

R

RIC- Risk Indicator Checklist

T

TATA – Team Around the Adult
 ToC- Test of Change
 TOR – Terms of Reference
 TSG – Trauma Sub-Group

S

SCOs – Social Care Officers
 SECI - Self-evaluation and Continuous Improvement
 SLWG – Short Life Working Group
 SW – Social Work

V

VAWP – Violence Against Women Partnership
 VPD – Vulnerable Persons Database

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REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024
REPORT ON: CAPITAL EXPENDITURE MONITORING 2023/24
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 38–2024

1 PURPOSE OF REPORT

1.1 To appraise Elected Members of the latest position regarding the Council's Capital Plan 2023-28.

2 RECOMMENDATION

2.1 It is recommended that the Committee note the latest position regarding the Council's Capital Plan 2023-28.

3 FINANCIAL IMPLICATIONS

3.1 This report shows the latest projections for 2023/24 expenditure and total cost as at 31 December 2023.

Appendix 1, which details the General Services position to the end of December 2023, shows a revised projected outturn for 2023/24 of £74.152m, a decrease of £3.655m since the last Capital Monitoring report was approved at City Governance Committee on 8th January 2024 (Report 1-2024, Article III refers). The net movements that have contributed to this movement are summarised in paragraph 5.1 of the report. The net figure of £3.655m will still be required in 2024/25 and 2025/26 and funded from borrowing and grants and contributions in that year.

Appendix 3, which details the Housing HRA position to the end of December 2023, shows a revised projected outturn for 2023/24 of £18.563m, a decrease of £0.480m since the last capital monitoring report was approved at City Governance Committee on 8th January 2024 (Report 1-2024, Article III refers).

An explanation of the major variances is shown in Section 5 and 6 of the report.

4 BACKGROUND

4.1 The Capital Plan 2023-28 was approved at Policy and Resources Committee on 21 November 2022 (Report 309-2022, Article VIII refers).

In addition to monitoring the in-year budget (i.e. 2023/24) the total projected cost of each project will be monitored against the cost when the tender acceptance was approved at Committee. Furthermore, the projected completion date for each project will be monitored against the completion date as anticipated when the tender report was approved. The capital programme is being monitored in conjunction with the Council's asset managers.

The Housing HRA Capital Programme 2023/24 was approved as part of the Capital Plan 2023-28 which was approved at Policy and Resources Committee on 21 November 2022 (Report 309-2022, Article VIII refers). In addition, the Housing HRA Capital Budget reflects information contained in Scottish Housing Quality Standard submission.

Officers within services continue to review the capital programme of works and prioritising those projects that can realistically be progressed during the current year. There is a risk of further slippage in the capital programme, as the Council reacts to the market conditions currently affecting the construction industry. Updated projections will be incorporated into future capital monitoring reports.

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 2023/24 is being monitored within the framework of the updated Prudential Code 2021.

- 4.3 The Capital Monitoring report provides detailed information on major projects and programmes 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 latest projected outturn for major projects and programmes, both for 2023/24 and for the whole project life-span. In addition, the Appendix monitors project timescales. In some instances, it is not possible to provide approved or projected total project costs and timescales due to the project being a block programme containing various smaller projects within it. In these cases, the total cost is assumed to be the budgeted figure plus previous year actuals. The projected completion date is assumed to be the end of the financial year.

Appendix 1 summarises the total gross expenditure for 2023/24 and how this expenditure is funded. The projected budgeted capital expenditure is 100% of the projected capital resources. Project cashflows, for phasing of budgets, are constantly being reviewed. Actual expenditure to 31 December is 64% of the Revised Budget 2023/24 compared to 56% for the same period last year.

The overall net reduction in the projected outturn for 2023/24 reflects project/programmes budgets being reprofiled. Key variations are as follows and details are provided in subsequent paragraphs.

Increases in planned expenditure include:

- Broughty Ferry to Monifieth Active Travel Improvements - £0.520m

Reductions in planned expenditure include:

- Harris Academy Extension – (£0.350m)
- East End Community Campus – (£2.063m)
- Desktop Management Software – (£0.600m)

5.2 2023/24 Expenditure Variations

Appendix 1, which details the General Services position to the end of December 2023, shows a revised projected outturn for 2023/24 of £74.152m, a decrease of £3.655m since the last Capital Monitoring report was approved at City Governance Committee on 8th January 2024 (Report 1-2024, Article III refers). The main reasons for the movement are detailed in points 5.2.1 to 5.2.4 below:

- 5.2.1 Harris Academy Extension (Reduce Child Poverty and Inequalities in Incomes, Education and Health) – Reduction in projected expenditure of £0.350m in 2023/24. The projected underspend on this project is due to not all project contingencies being required for unforeseen works and alterations within the extension and refurbishment. The project is funded by a capital grant from Perth & Kinross Council. There will be a reduction in capital grants & contributions in 2023/24.
- 5.2.2 School Estate Investment – East End Community Campus (Reduce Child Poverty and Inequalities in Incomes, Education and Health) - Reduction in projected expenditure of £2.063m in 2023/24. The budget has been reprofiled to reflect the latest project cashflow from the contractor based on the current sequencing of works contained in the construction programme. The budget will be required in 2024/25. There will be a reduction in borrowing in 2023/24 and a corresponding increase in 2024/25.
- 5.2.3 Broughty Ferry to Monifieth Active Travel Improvements (Tackle Climate Change and Reach Net Zero Carbon Emissions by 2045) – Additional Projected expenditure of £0.520m in 2023/24. The increase in projected expenditure reflects the latest phasing for the programme of works for the various projects that are being undertaken from this budget. There will be a reduction in the 2024/25 budget. The overall cost of the project remains unchanged. There will be an increase in grants & contributions in 2023/24 and a corresponding decrease in 2024/25.
- 5.2.4 Desktop Management Software (Design a Modern Council) – Reduction in projected expenditure of £0.600m in 2023/24. The project is progressing but expenditure will now not be incurred until 2024/25, when the budget will be required. There will be a reduction in borrowing in 2023/24 and a corresponding increase in 2024/25.

- 5.3 Projected capital expenditure as a percentage of projected capital resources is currently standing at 100%. Project cashflows, for phasing of budgets, are constantly being reviewed.
- 5.4 The table below shows the latest position regarding the capital resources for funding of the 2023/24 programme: -

	Approved Budget £m	Adjustments £m	Revised Budget £m	Projected Outturn £m	Variance £m
Borrowing	64.159	(28.035)	36.124	36.124	-
General Capital Grant	13.150	1.772	14.922	14.922	-
Capital Grants & Contributions	12.146	6.786	18.932	18.932	-
Capital Receipts – Sale of Assets	3.000	(1.952)	1.048	1.048	-
Capital Financed from Current Revenue	1.401	(270)	1.131	1.131	-
Capital Fund	<u>2.436</u>	<u>(441)</u>	<u>1.995</u>	<u>1.995</u>	
	<u>96.292</u>	<u>(22.140)</u>	<u>74.152</u>	<u>74.152</u>	<u>-</u>

- 5.4.1 Over the last 5 years the actual outturns achieved have been: -

	£m
2019/20	50.172
2020/21	39.537
2021/22	45.038
2022/23	44.086
2023/24 (Projected)	74.152

5.5 Projected Total Cost Variations

There are no total cost variations to report since the previous capital monitoring report went to committee.

5.6 Completion Date Variations (this compares the estimated completion date as per the tender acceptance report to the actual completion date)

- 5.6.1 There are no completion date variations to report since the previous capital monitoring report went to committee.

Officers are constantly reviewing the capital programme to ascertain the impact of global supply chain issues on the timescales for delivering projects. Officers will report any further revisions to estimated completion dates in future capital monitoring reports.

6 HOUSING HRA - CURRENT POSITION

6.1 2023/24 Expenditure Variations

Appendix 2 details the latest projected outturn for each project, both for 2023/24 and for the whole project life-span. In addition, the Appendix monitors project timescales. In some instances, it is not possible to provide approved or projected total project costs and timescales due to the project being a block programme containing various smaller projects within it. In these cases, the total cost is assumed to be the budgeted figure plus previous year actuals. The projected completion date is assumed to be the end of the financial year.

Appendix 3 summarises the total gross expenditure for 2023/24 and how this expenditure is funded. The projected budgeted capital expenditure is 100% of the projected capital resources. Project cashflows, for phasing of budgets, are constantly being reviewed. Actual expenditure to 31st December 2024 is 33% of the Revised Budget 2023/24 compared to 48% for the same period last year.

6.2 Appendix 3, which details the Housing HRA position to the end of December 2023, shows a revised projected outturn for 2023/24 of £18.563m, a decrease of £0.480m since the last capital monitoring report was approved at City Governance Committee on 4th December 2023 (Report 1-2024, Article III refers). The main reason for the movement is detailed in point 6.2.1 below:

6.2.1 Energy Efficiency - External Insulation and Cavity Fill (Tackle Climate Change and Reach Net Zero Carbon Emissions by 2045) - The projected expenditure has decreased by £0.488m in 2023/24. The reduction in expenditure is due to the revised programme for the External Insulation programmes at Linlathen and Fleming Gardens. The survey and design work are underway however the majority of spend is projected for 24/25 therefore the programme has been updated along with the projected expenditure.

6.3 Projected capital expenditure as a percentage of projected capital resources is currently standing at 100%. Project cashflows, for phasing of budgets, are constantly being reviewed.

6.4 The table below shows the latest position regarding the funding of the 2023/24 programme: -

	Approved Budget £m	Adjustments £m	Revised Budget £m	Projected Outturn £m	Variance £m
Borrowing	22.997	(7.646)	15.351	15.351	-
Capital Grants & Contributions	4.265	(2.392)	1.873	1.873	-
CFCR	450	-	450	450	-
Capital Receipts – Sale of Assets	1.573	(1.134)	439	439	-
Receipts from Owners	<u>450</u>	<u>-</u>	<u>450</u>	<u>450</u>	<u>-</u>
	<u>29.735</u>	<u>(11.172)</u>	<u>18.563</u>	<u>18.563</u>	<u>-</u>

6.4.1 Over the last 5 years the actual outturns achieved have been: -

	£m
2019/20	23.565
2020/21	7.316
2021/22	12.338
2022/23	9.232
2023/24 (Projected)	18.563

6.5 Projected Total Cost Variations

There are no total cost variations to report since the previous capital monitoring report went to committee.

6.6 Completion Date Variations (this compares the estimated completion date as per the tender acceptance report to the actual completion date)

There are no completion date variations to report since the previous capital monitoring report went to committee.

All Housing Capital Projects are continually reviewed across the partnership. Any variations to estimated costs and completion dates will be reported in future capital monitoring reports throughout the year.

7 RISK ASSESSMENT

7.1 There are a number of risks which may have an impact on the Capital Expenditure programme. The main areas of risk are identified in Appendix 4 to this report, along with the impact, consequences and controls in place to mitigate the risk together with the mechanisms in place to help mitigate these risks.

8 POLICY IMPLICATIONS

8.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

9 CONSULTATION

9.1 The Council Leadership Team have been consulted and are in agreement with the content of this report.

10 BACKGROUND PAPERS

10.1 None.

ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

08 FEBRUARY 2024

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2023/24 DUNDEE CITY COUNCIL CAPITAL EXPENDITURE MONITORING TO 31st DECEMBER 2023

	<u>Approved Capital Budget 2023/24 £000</u>	<u>Total Budget Adjustments £000</u>	<u>Revised Capital Budget 2023/24 £000</u>	<u>Actual Spend 2023/24 £000</u>	<u>Projected Outturn 2023/24 £000</u>	<u>Variance £000</u>	<u>Actual Spend to 31.12.2023 as a % of Revised Budget</u>
GENERAL SERVICES							
<u>Capital Expenditure</u>							
Reduce Child Poverty & Inequalities in Income, Education & Health	37,962	(8,331)	29,631	19,309	29,631	0	65%
Deliver Inclusive Economic Growth	15,300	(9,169)	6,131	2,209	6,131	0	36%
Tackle Climate Change and reach Net Zero carbon emissions by 2045	17,543	(659)	16,884	12,142	16,884	0	72%
Build Resilient and Empowered Communities	8,379	450	8,829	4,893	8,829	0	55%
Design a Modern Council	24,108	(11,431)	12,677	9,017	12,677	0	71%
Capital Expenditure 2023/24	103,292	(29,140)	74,152	47,570	74,152	0	64%
<u>Capital Resources</u>							
Expenditure Funded from Borrowing	64,159	(28,035)	36,124	22,114	36,124		
General Capital Grant	13,150	1,772	14,922	12,180	14,922		
Capital Grants & Contributions - corporate		337	337	337	337		
Capital Grants & Contributions - project specific	12,146	6,449	18,595	8,864	18,595		
Capital Receipts - Sale of Assets	3,000	(1,952)	1,048	1,009	1,048		
Capital Financed from Current Revenue	1,401	(270)	1,131	1,071	1,131		
Capital Fund	2,436	(441)	1,995	1,995	1,995		
Capital Resources 2023/24	96,292	(22,140)	74,152	47,570	74,152		
Capital Expenditure as % of Capital Resources	107%		100%		100%		

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Appendix 2

REDUCE CHILD POVERTY AND INEQUALITIES IN INCOMES, EDUCATION AND HEALTH

Project/Nature of Expenditure	Approved Budget	Total Adjusts	Revised Budget	Expenditure to	Projected Outturn	Note 1				
	2023/24 £000	£000	2023/24 £000	31/12/2023 £'000	2023/24 £000	Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
MAJOR PROJECTS - Reduce Child Poverty and Inequalities										
Harris Academy Extension	4,356	(970)	3,386	3,370	3,386	4,608	5,174	4,824	Dec-23	Aug-24
(Less External Funding)	(4,356)	970	(3,386)	(3,347)	(3,386)	(3,350)	(5,174)	(4,824)		
School Estate Investment-East End Community Campus	32,580	(6,880)	25,700	15,674	25,700	18,686	100,800	100,800	Jul-25	Jul-25
OTHER PROJECTS - Reduce Child Poverty and Inequalities	1,026	(481)	545	265	545	16,834	18,959	18,800		
Net Expenditure	33,606	(7,361)	26,245	15,962	26,245	36,778	119,759	119,600		
Receipts	(4,356)	970	(3,386)	(3,347)	(3,386)	(3,350)	(5,174)	(4,824)		
Gross Expenditure	37,962	(8,331)	29,631	19,309	29,631	40,128	124,933	124,424		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

Appendix 2

DELIVER INCLUSIVE ECONOMIC GROWTH

Project/Nature of Expenditure	Approved Budget 2023/24 £000	Total Adjusts £000	Revised Budget 2023/24 £000	Expenditure to 31/12/2023 £'000	Projected Outturn 2023/24 £000
MAJOR PROJECTS - Deliver Inclusive Economic Growth					
Site 6 South Development - Offices	14,000	(8,406)	5,594	2,135	5,594
Demolition of Properties & Remediation Works	1,300	(900)	400	112	400
OTHER PROJECTS - Deliver Inclusive Economic Growth		137	137	(38)	137
(Less External Funding)		(30)	(30)	(10)	(30)
Net Expenditure	15,300	(9,199)	6,101	2,199	6,101
Netted Off Receipts		(30)	(30)	(10)	(30)
Gross Expenditure	15,300	(9,169)	6,131	2,209	6,131

Note 1

Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
3,123	26,202	26,202	Feb-25	Mar-25
239	533	533	Mar-24	Mar-24
67,504	66,240	68,733		
(9,851)	(7,830)	(10,138)		
61,015	85,145	85,330		
(9,851)	(7,830)	(10,138)		
70,866	92,975	95,468		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

TACKLE CLIMATE CHANGE AND REACH NET ZERO CARBON EMISSIONS BY 2045

Note 1

Project/Nature of Expenditure	Approved Budget 2023/24 £000	Total Adjusts £000	Revised Budget 2023/24 £000	Expenditure to 31/12/2023 £'000	Projected Outturn 2023/24 £000	Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
MAJOR PROJECTS - Tackle Climate Change and Reach Net Zero Emissions by 2045										
Broughty Ferry to Monifieth Active Travel Improvements	4,047	5,866	9,913	8,372	9,913	13,801	9,067	18,031	Aug-24	Mar-25
(Less External Funding)	(4,047)	(5,866)	(9,913)	(4,880)	(9,913)	(10,309)	(9,067)	(17,281)	Mar-24	Mar-25
Cycling, Walking & Safer Routes		1,235	1,235	627	1,235	1,316	1,924	1,924	Mar-24	Mar-24
(Less External Funding)		(1,235)	(1,235)	(627)	(1,235)	(1,316)	(1,924)	(1,924)	Mar-24	Mar-24
DCA Lifecycle plant replacement programme	4,355	(4,255)	100	27	100	35	4,550	4,550	Tender not yet approved	
Low Carbon Transport (Green Transport Hub & Spokes - Bell Street)	850	480	1,330	504	1,330	524	16,000	16,000	Main Tender not yet approved	
(Less External Funding)		(1,330)	(1,330)	20	(1,330)	20	(14,400)	(14,400)		
Vehicle Fleet & Infrastructure	2,398	(1,093)	1,305	1,198	1,305	2,375	2,483	2,483	Mar-24	Mar-24
(Less Sale of Vehicles & Equipment)		(69)	(69)	(35)	(69)	(35)	(69)	(69)	Mar-24	Mar-24
OTHER PROJECTS - Tackle Climate Change and Reach Net Zero Carbon Emissions by 2045	5,893	(2,892)	3,001	1,414	3,001	24,279	27,314	27,273		
(Less External Funding)	(3,000)	1,598	(1,402)	408	(1,402)	(1,972)	(2,877)	(2,877)		
Net Expenditure	10,496	(7,561)	2,935	7,028	2,935	28,718	33,001	33,710		
Receipts	(7,047)	(6,902)	(13,949)	(5,114)	(13,949)	(13,612)	(28,337)	(36,551)		
Gross Expenditure	17,543	(659)	16,884	12,142	16,884	42,330	61,338	70,261		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

Appendix 2

BUILD RESILIENT AND EMPOWERED COMMUNITIES

Project/Nature of Expenditure	Approved Budget	Total	Revised Budget	Expenditure to	Projected	Note 1				
	2023/24 £000	Adjusts £000	2023/24 £000	31/12/2023 £'000	Outturn 2023/24 £000	Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
MAJOR PROJECTS - Build Resilient and Empowered Communities										
Road Maintenance Partnership	3,460		3,460	2,350	3,460	2,350	3,460	3,460	Mar-24	Mar-24
Street Lighting Renewal	1,000	100	1,100	727	1,100	727	1,100	1,100	Mar-24	Mar-24
City Improvement/Investment Fund	500	23	523	344	523	423	1,217	1,217	Mar-24	Mar-24
(Less External Funding)	(500)	(23)	(523)	(344)	(523)	(423)	(717)	(717)	Mar-24	Mar-24
Parks & Open Spaces	2,026	(622)	1,404	429	1,404	3,283	4,261	4,261	Mar-24	Mar-24
(Less External Funding)	(243)	68	(175)	(20)	(175)	(1,743)	(1,750)	(1,729)	Mar-24	Mar-24
OTHER PROJECTS/PROGRAMMES - Build Resilient and Empowered Communities	1,393	949	2,342	1,043	2,342	19,034	21,642	20,295		
(Less External Funding)		(531)	(531)	(29)	(531)	(1,687)	(2,860)	(2,860)		
Net Expenditure	7,636	(36)	7,600	4,500	7,600	21,964	26,353	25,027		
Receipts	(743)	(486)	(1,229)	(393)	(1,229)	(3,853)	(5,327)	(5,306)		
Gross Expenditure	8,379	450	8,829	4,893	8,829	25,817	31,680	30,333		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

DESIGN A MODERN COUNCIL

Project/Nature of Expenditure	Approved Budget 2023/24 £000	Total Adjusts £000	Revised Budget 2023/24 £000	Expenditure to 31/12/2023 £'000	Projected Outturn 2023/24 £000
MAJOR PROJECTS/PROGRAMMES - Design a Modern Council					
Baldovie Depot Redevelopment	5,052	(5,021)	31	11	31
Depot Rationalisation Programme	2,500	(2,250)	250	140	250
Dundee Ice Arena Plant & Upgrade	1,200	(300)	900	820	900
Olympia Refurbishment Works	3,332	(340)	2,992	2,732	2,992
Property Lifecycle Development Programme	7,608	(2,984)	4,624	3,387	4,624
Purchase Computer Equipment	1,758	(321)	1,437	952	1,437
(Less External Funding)		(1)	(1)		(1)
Schools Connectivity	1,200	(910)	290	10	290
OTHER PROJECTS/PROGRAMMES - Design a Modern Council	1,458	695	2,153	949	2,153
Net Expenditure	24,108	(11,432)	12,676	9,017	12,676
Netted Off Receipts		(1)	(1)		(1)
Gross Expenditure	24,108	(11,431)	12,677	9,017	12,677

Note 1

Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/Actual Completion Date
200	5,200	5,200		Tender not yet approved
311	3,063	3,063		Tender not yet approved
963	9,100	9,100		Main Tender not yet approved
6,004	6,163	6,163	Oct-23	Oct-23
6,437	7,674	7,674	Mar-24	Mar-24
2,302	2,997	2,997	Mar-24	Mar-24
(648)	(650)	(649)	Mar-23	Mar-23
20	2,600	2,600		
41,455	42,031	45,731		
57,044	78,178	81,879		
(648)	(650)	(649)		
57,692	78,828	82,528		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

Appendix 2

TACKLE CLIMATE CHANGE AND REACH NET ZERO EMISSIONS BY 2045 - HOUSING REVENUE ACCOUNT ELEMENT

Project/Nature of Expenditure	Approved Budget 2023/24 £000	Total Adjusts £000	Revised Budget 2022/23 £000	Expenditure to 31/12/2023	Projected Outturn 2023/24 £000
Energy Efficient	8,586	(7,130)	1,456	532	1,456
Net Expenditure	8,586	(7,130)	1,456	532	1,456
Receipts					
Gross Expenditure	8,586	(7,130)	1,456	532	1,456

Note 1

Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
2,115	10,432	10,381	Mar-25	Mar-25
2,115	10,432	10,381		
2,115	10,432	10,381		

BUILD RESILIENT AND EMPOWERED COMMUNITIES - HOUSING REVENUE ACCOUNT ELEMENT

Project/Nature of Expenditure	Approved Budget 2023/24 £000	Total Adjusts £000	Revised Budget 2023/24 £000	Expenditure to 31/12/2023	Projected Outturn 2023/24 £000
Free from Serious Disrepair	4,550	588	5,138	2,413	5,138
Modern Facilities & Services	500	(250)	250		250
Healthy, Safe and Secure	2,550	391	2,941	1,638	2,941
Miscellaneous	1,777	(362)	1,415	750	1,415
Increased Supply of Council Housing	11,562	(4,432)	7,130	693	7,130
(Less External Funding)	(4,265)	2,392	(1,873)		(1,873)
Demolitions	10	23	33	25	33
Sheltered Lounge Upgrades	200		200	131	200
Net Expenditure	16,884	(1,650)	15,234	5,650	15,234
Receipts	(4,265)	2,392	(1,873)		(1,873)
Gross Expenditure	21,149	(4,042)	17,107	5,650	17,107

Note 1

Actual Project Cost to 31/12/2023 £000	Current Approved Project Cost £000	Projected Total Cost £000	Approved Completion Date	Projected/ Actual Completion Date
3,737	6,491	6,491	May-24	Jul-24
	490	250	Mar-24	Mar-24
6,121	7,696	7,696	Mar-24	Mar-24
2,065	2,733	2,733	Mar-24	Mar-24
17,693	24,130	24,130	Mar-21	Jan-24
(7,867)	(7,098)	(7,867)		
25	33	33	Mar-24	Mar-24
131	200	200	Mar-24	Mar-24
21,906	34,676	33,667		
(7,867)	(7,098)	(7,867)		
29,773	41,774	41,534		

Note 1: The Current approved project cost is either the approved cost as per the tender price, or the revised budgeted figure as per the Capital Plan 2023-28

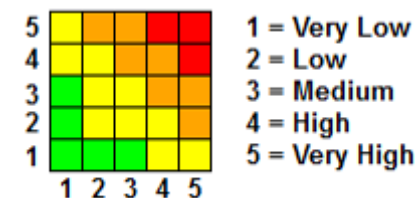
DUNDEE CITY COUNCIL CAPITAL EXPENDITURE MONITORING 31 DECEMBER 2023

	<u>Approved Capital Budget 2023/24 £000</u>	<u>Total Budget Adjustments £000</u>	<u>Revised Capital Budget 2023/24 £000</u>	<u>Actual Spend to 31 Dec 2023 £000</u>	<u>Projected Outturn 2023/24 £000</u>	<u>Variance £000</u>	<u>Actual Spend to 31.12.2023 as a % of Revised Budget</u>
<u>Capital Expenditure 2023/24</u>							
<u>Tackle Climate Change and reach Net Zero carbon emissions by 2045</u>							
Energy Efficiency	8,586	(7,130)	1,456	532	1,456	-	37%
<u>Build Resilient and Empowered Communities</u>							
Free from Serious Disrepair	4,550	588	5,138	2413	5,138	-	47%
Modern Facilities and Services	500	(250)	250		250	-	0%
Healthy, Safe & Secure	2,550	391	2,941	1,638	2,941	-	56%
Miscellaneous	1,777	(362)	1,415	750	1,415	-	53%
Increase Supply of Council Housing	11,562	(4,432)	7,130	693	7,130	-	10%
Demolitions	10	23	33	25	33	-	76%
Community Care - Sheltered Lounge Upgrades	200		200	131	200	-	66%
Capital Expenditure 2023/24	29,735	(11,172)	18,563	6,182	18,563	-	33%
<u>Capital Resources 2023/24</u>							
Expenditure Funded from Borrowing	22,997	(7,646)	15,351	5,900	15,351	-	
Capital Receipts, Grants & Contributions - project specific							
Scottish Government Grants	4,265	(2,392)	1,873	234	1,873	-	
Capital Funded from Current Revenue							
Council Tax discount reductions used to fund affordable housing	450		450		450	-	
Capital Receipts, Grants & Contributions							
Receipts from Owners	450		450	(5)	450	-	
Capital Receipts:-							
Sale of Assets - Land	1,573	(1,134)	439	53	439	-	
	29,735	(11,172)	18,563	6,182	18,563		
Capital Expenditure as % of Capital Resources	100%		100%		100%		


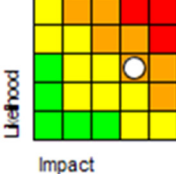
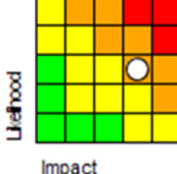
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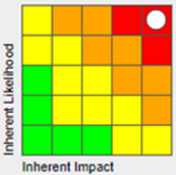
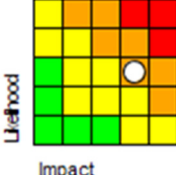
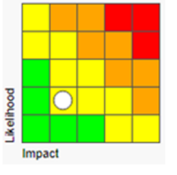
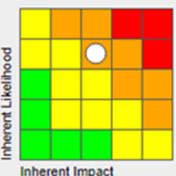
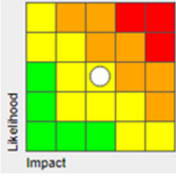

APPENDIX 4

Pentana Risk Matrix



Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Previous Qtr)	Residual Risk (Current)
1.General Price inflation may be greater than contingencies already built into figures in capital monitoring/plan.	<ul style="list-style-type: none"> Lasting effect of Brexit The war in Ukraine Labour shortages pushing up labour costs. 	<ul style="list-style-type: none"> Increased financial cost of projects. Potential Overspends as allowance in Capital Plan is insufficient to cover increased cost. 	<ul style="list-style-type: none"> Changes to the scope of projects to accommodate additional costs. Delays to project progressing due to rescoping of project. Changes to Capital Plan to accommodate the additional costs by reallocation of resources from other projects 		<ul style="list-style-type: none"> Robust Capital Monitoring processes in place to enable any potential issues to be highlighted as soon as they arise, and any necessary action taken. 		
2.Additional Costs once Project has started and works on-going	<ul style="list-style-type: none"> Unforeseen circumstances such as ground conditions leading to delay and /or additional cost. Under performance in the materials supply chain. 	<ul style="list-style-type: none"> Increased financial cost of projects. Potential Overspends as allowance in Capital Plan is insufficient to cover increased cost. 	<ul style="list-style-type: none"> The estimated completion of the project is delayed Changes to the scope of the ongoing project, if possible, to accommodate the increased costs. Changes to Capital Plan to accommodate the 		<ul style="list-style-type: none"> Robust monitoring of the project by professional Project Managers means potential issues are highlighted and remedial action taken to resolve as soon as possible. Specific Risk registers exist for major capital 		

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Previous Qtr)	Residual Risk (Current)
			additional costs by reallocation of resources from other projects		projects contained within the capital monitoring, and they are continually reviewed as the project progresses, and corrective action taken where necessary. <ul style="list-style-type: none"> Capital monitoring processes ensure overspends are highlighted as soon as known and corrective action taken. 		
3.Estimated Completion date for the Project	<ul style="list-style-type: none"> Extreme weather conditions can delay progress Unforeseen issues can arise once project starts e.g. ground conditions Under performance in the materials supply chain. 	<ul style="list-style-type: none"> Delay in the asset becoming operational. Negative press coverage for Council Service delivery impacted due to delays in completing works. 	<ul style="list-style-type: none"> Potential additional revenue costs as asset not operational and ready to be used, Delay In achieving revenue savings from the project. Knock on effect of not being able to progress subsequent projects, as staff engaged on delivery of current project. Potential additional capital costs where equipment has been hired. Potential claim from contractors for extension of time. 		<ul style="list-style-type: none"> Robust monitoring of the project by professional Project Managers means when potential delays to the project are highlighted and remedial action taken to resolve as soon as possible to minimise any delays to the completion date. 		

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Previous Qtr)	Residual Risk (Current)
<p>4.Capital Receipts from Sale of Assets not achieved</p>	<ul style="list-style-type: none"> Uncertain market conditions, e.g. level of interest rates and inflation, means housing developers are not purchasing sites for development. Abnormals can reduce the value of the site being marketed. Brownfield sites have higher level of abnormals due to contamination etc. Uncertain economic/world means businesses are not expanding 	<ul style="list-style-type: none"> Less funding available to fund current capital programme 	<ul style="list-style-type: none"> Alternate capital resources identified to compensate for the shortfall, if possible. Capital programme is reprioritised to take account of the funding shortfall 		<ul style="list-style-type: none"> Robust monitoring of the projected capital receipts by officers from City Development and Support services, means any shortfalls are identified and remedial action taken. 		
<p>5.Delays in Capital Receipts being Received</p>	<ul style="list-style-type: none"> Uncertain market conditions, e.g. level of interest rates and inflation, means housing developers are delaying purchasing sites for development, in anticipation that interest rates and rate of inflation will come down Businesses are delaying applying for business loans for expanding etc 	<ul style="list-style-type: none"> Less funding available to fund current capital programme in the short term 	<ul style="list-style-type: none"> Capital programme is slipped to take account of the delays in receiving the capital receipts 		<ul style="list-style-type: none"> Robust monitoring of the projected capital receipts by officers from City Development and Support services, means any short-term delays are identified and remedial action taken. The capital expenditure programme naturally slips due to external factors, so any delays in 		

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Previous Qtr)	Residual Risk (Current)
	in anticipation that interest rates will come down				receiving receipts can be matched against the expenditure slippage.		

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: REVENUE MONITORING 2023/2024

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 25-2024

1 PURPOSE OF REPORT

1.1 To provide Elected Members with an analysis of the 2023/24 projected revenue outturn as at 30 November 2023 and the impact on the Council’s overall balances position.

2 RECOMMENDATIONS

2.1 It is recommended that the Committee:

- (a) note that as at 30 November 2023 the General Fund is projecting an overall overspend of £1.849m against the adjusted 2023/2024 Revenue Budget and the impact this has on the projected Council’s General Fund Balances;
- (b) note the budget adjustments totalling £13.265m and detailed in second column of Appendix A as virements to the previously approved Revenue Budget;
- (c) note that as at 30 November 2023 the Housing Revenue Account (HRA) is projecting an overspend of £2.298m against the adjusted HRA 2023/24 Revenue Budget and the impact this has on the element of the projected Renewal & Repair Fund balance earmarked to HRA;
- (d) note the position on ring-fenced grants expenditure outlined in Appendix B;
- (e) note that the Chief Executive, in consultation with Executive Directors, will continue to take appropriate steps to manage current and recurring revenue expenditure, including reviewing all vacancies within the Council, reduce discretionary expenditure where possible and limit any new recurring commitments. Executive Directors will work with Corporate Finance to develop recovery plans to identify options to reduce the projected in year overspend;
- (f) note the key strategic, operational and financial risks being faced by the Council outlined in Appendix C; and
- (g) notes the current position in relation to Leisure and Culture Dundee (LACD), as set out in paragraph 7.3.

3 FINANCIAL IMPLICATIONS

3.1 The unallocated portion of the General Fund as at 30 November 2023 is projecting an overspend of £1.849m against the adjusted 2023/24 Revenue Budget. The impact this would have on the Council’s General Fund Balances is outlined below:

General Fund	Opening Balance 1 April 2023 £000	(Surplus) / Deficit for the Year £000	Transfers (In) / Out £000	Projected Balance 31 March 2024 £000
Earmarked Carry-forwards*	5,962	1,794		4,168
Children Services pressures	4,300	4,300		0
Organisational Change Fund	2,532	109		2,423
Covid cost related pressures*	14,647	2,481		12,166
Covid recovery measures	1,280	875		405

Service change initiatives	5,000			5,000
Roof Remedial Works	3,707	1,393		2,314
Inflationary Pressures	3,800	3,255	500	45
Cost of Living pressures			(500)	500
Contribution to 2023/24 budget	1,750	1,750		0
Other earmarked Funds	4,443	788		3,655
Total earmarked funds	47,421	16,745	0	30,676
Unallocated Balance	9,226	1,849		7,377
Total General Fund	56,647	18,594	0	38,053

* These balances will be drawn down as required.

- 3.2 At the meeting of CoSLA leaders on 3 November 2023, it was agreed to implement the LGE pay offer made on 21 September 2023 in two phases. Phase 1 was applied to salaries in November 2023, backdated to 1 April 2023. Phase 2 will follow in January 2024. The estimated cost of Phase 1 is £8.648m as detailed below which will be fully met from the contingency budget. This will be reflected in the December 2023 revenue monitor report, once budget virements have been processed.

Service	£000
Children & Families Service	3,530
City Development	862
Neighbourhood Services	1,702
Chief Executive	100
Corporate Services	1,614
Subtotal	7,808
Dundee Health & Social Care Partnership	840
Total	8,648

- 3.3 The Scottish Government operate the Bellwin Scheme as emergency funding arrangements for local authorities to fund any response to emergencies or disasters. Under the terms of the scheme, a claim can be made if eligible losses exceed the annual threshold level set by the Scottish Government, which for Dundee City Council is £753,196. This means that the first £753,196 of eligible losses incurred during 2023-2024 will be met from existing resources. Any costs in relation to responding to recent storms are included with service outturns, for the current financial year these are below the above threshold although officers will continue to monitor this throughout the remainder of the year.

The Scottish Government has established a Ministerial Workforce in response to the Storm Babet and funding has now been provided to individuals and business directly affected by the flooding.

- 3.4 Above projections will continue to be monitored by officers throughout the remainder of the year and reported to Members. It should be noted that a report to City Governance Committee highlighted a potential budget deficit of £26.1m for 2024/25 (Report No:9-2024 to City Governance Committee on 8 January 2024, refers).
- 3.5 Based on the financial information available as at 30 November 2023 the HRA outturn position for 2023/24 is projecting an overspend of £2.298m. Further details are provided in section 8 of this report.

4 BACKGROUND

- 4.1 Following approval of the Council's 2023/24 Revenue Budget by the Policy and Resources Committee on 23 February 2023, this report provides the projected revenue outturn position as at 30 November 2023, against the adjusted 2023/24 Revenue Budget.

- 4.2 The total 2023/24 Revenue Budget is £423.963m. For revenue monitoring purposes, the Council Tax Reduction Scheme budget of £14.072m is moved from expenditure to income and netted off against Council Tax income. This results in total budgeted expenditure of £409.891m for revenue monitoring purposes, as set out in Appendix A.
- 4.3 This report provides a detailed breakdown of service revenue monitoring information along with explanations of material variances against adjusted budgets. Where services are projecting a significant (underspend) or overspend against adjusted budget, additional details have been provided. Where service expenditure is on target and no material variances are anticipated, additional information has not been provided.
- 4.4 The forecast position 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 service of the Council.

Appendix B shows the financial performance against ring-fenced funding to date.

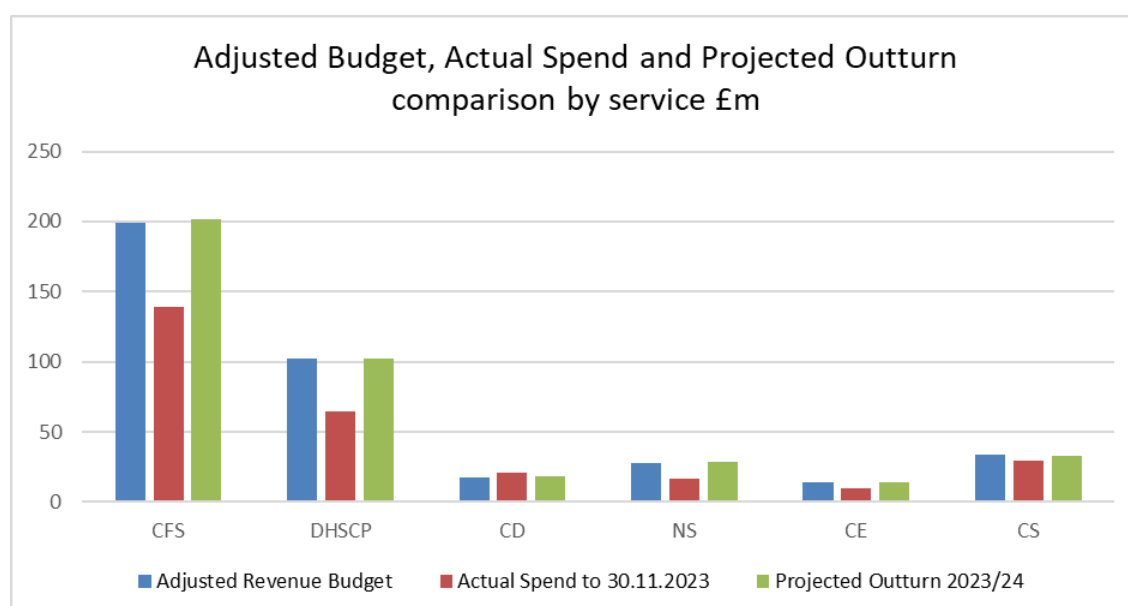
Appendix C lists the key strategic, operational and financial risks being faced by the Council.

5 GENERAL FUND SERVICES - MONITORING POSITION AS AT 30 NOVEMBER 2023

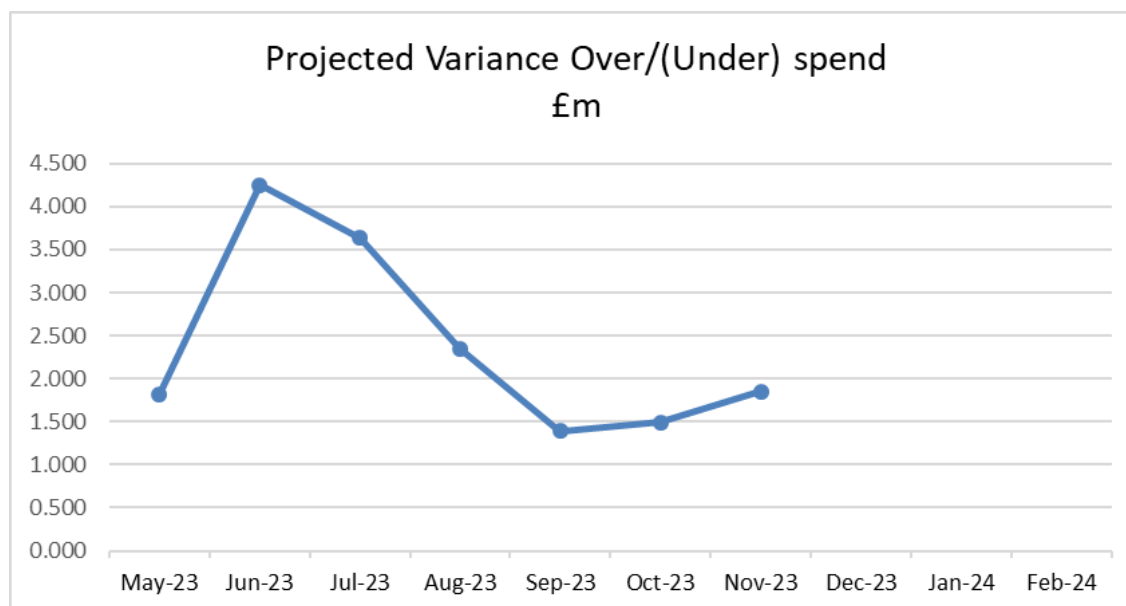
- 5.1 The forecast position as at 30 November 2023 for General Fund services is summarised below.

	(Under)/ Over Spend as at 30 November £m	(Under)/ Over Spend as at 31 October £m	Movement (from previous month) £m
Net Expenditure	3.522	3.160	0.362
Sources of Income	(1.673)	(1.667)	(0.006)
Net over/ (underspend) on unallocated portion of General Fund	1.849	1.493	0.356

The graph below details the comparison between each service's actual spend and projected outturn.



The graph below shows the projected variance over the reported periods.



5.2 The table below details the key factors which contributed to the movement from previous month.

	£m
Projected increase in fleet vehicle hire costs	0.828
Anticipated overspend in staff costs within Children and Families	0.687
Projected overspend in other property costs due to increased cost for repair and maintenance in schools	0.284
Reduction in projected overspend on third party payments for Children and Families mainly due to review of payments to other organisations and an additional funding for Kinship and Foster Carers	(0.786)
Corporate provision set aside for pay pressures that is no longer required	(0.700)

6 DETAILED ANALYSIS

The following paragraphs summarise the main areas of variance by service along with appropriate explanations. These figures reflect movements for the full year to date.

6.1 Children & Families Services: £2.228m overspend

	£m
Children's Services third party payments due to a higher than anticipated number of children who have been placed into secure care of £1.614m offset against additional grant funding for unaccompanied asylum-seeking children of £0.606m	1.008
PPP unitary charges (reflecting greater RPI than budgeted)	0.450
Projected overspend on energy costs	0.728
Less: Planned transfers from earmarked reserves to meet energy pressures	(0.728)
Projected overspend in property costs due to rates anticipated to be higher than budget	0.161
Projected overspend in other property costs due to increased cost for repair and maintenance in schools	0.284
Income received in respect of Ukrainian Refugees expenditure already incurred	(0.135)
Additional income from SEN, departmental recharges, early years childcare fees	(0.364)
Projected overspend in staff costs (teacher's element £0.384m and LGE	0.687

£0.303m element) partially offset by savings arising from planned industrial action

Third party payments for placements within Children Services remain a significant cost pressure although the service is implementing a plan to reduce these costs. Since April, the number of children and young people placed in external residential and secure accommodation has reduced from 43 to 32. In addition, there continues to be a reduction in the number of internal foster placements available, which means that children and young people returning to the city are either placed in Young Person's Houses, with kinship carers or their own parents. Finally, shift changes have also been implemented within Young Person's Houses to increase the room capacity available and reduce reliance on expensive external placements outwith the city.

The adjusted net overspend reflected within this report after applying reserves of £4.3m is £1.6m. The projected overspend is £0.786m lower than the previously reported position of £2.4m overspend, which is mainly due to review of payments to other organisations and an additional funding for SRA Kinship and Foster Carers. This area is under ongoing review to ensure that appropriate steps are taken to bring overall spend in line with the approved budget level before the end of the financial year.

6.2 Dundee Health & Social Care Partnership: Breakeven

The latest Financial monitoring report presented to Dundee IJB projects an overspend of £6.606m for 2023/24 (utilising actual info to end October), with this information presented to Dundee IJB at its meeting on 13th December 2023. This projected overspend now exceeds 2023/24 IJB Financial Plan where up to £3m has been identified and set aside in IJB Reserves to cover the anticipated shortfall. The projection also recognises an element of anticipated winter demand pressures which will be funded from further £1m identified IJB Reserves. The position also includes provision for an increased pay award for Council-employed staff (based on the agreed offer) but excludes funding towards this cost pressure.

DHSCP is continuing to respond to significant operational challenges in demand and demographics (notably in Care at Home provision to help mitigate against hospital delayed discharges and reduce social care unmet need), and in particular staffing challenges (both recruitment and retention, sickness absence and premium cost of back-fill cover), complexity of needs in community settings, and the wider impact of deferred treatments on health and wellbeing following the pandemic period, all of which are impacting on the projected financial position. In addition, within GP Prescribing, pricing, volume and short supply of pharmaceuticals are all driving the cost pressure. Operational and financial management continue work to explore ways of mitigating the overspend through efficiencies, cost reduction, transformation and savings opportunities and any impact of these actions will be reported in due course.

Under the risk sharing arrangement reflected in the Integration Scheme, the Integration Joint Board (IJB) retains any underspend within its reserve balances for investment in integrated health and social care services in future years. Sufficient Reserves are held by Dundee IJB to cover the projected 2023/24 shortfall therefore there is no additional contribution requirement or financial risk forecast in 2023/24 for Dundee City Council.

6.3 City Development: £0.945m overspend

	£m
Anticipated health and safety repair costs within Dundee House and City Square properties and additional security staff at Dundee House	0.461
Projected overspend on energy costs, including Street Lighting	1.235
Less: Planned transfers from earmarked reserves to meet energy costs pressures	(1.235)
Projected increase in fleet vehicle hire costs	0.828
Shortfall in income generated from Building Warrants	0.342
Projected underspend on third party payments due to anticipated underspend on	(0.119)

No None Left Behind Employability Funding which is partly offset against increase in costs for Roads Maintenance and Dundee Science Centre payments

Forecasted shortfall in income from off-street car parking	0.745
Less: Planned transfers from Covid earmarked reserves to meet associated loss of income	(0.745)
Increase in projected rental income from commercial property portfolio	(0.497)

The service continues to review this area to ensure any non-essential repairs can be deferred to enable them to contain this budget pressure. In addition, the service is reviewing all other discretionary spend in particular vacant posts and identifying areas that could bring additional income, for example from projects or commercial activities to assist in offsetting the projected overspend.

The cost of the Council's fleet remains a budget pressure due to rising expenditure in relation to the external hire of vehicles used by services. A review is underway to ensure the overall fleet utilised by services is in line with the budget provision available and that the true cost of fleet managed on behalf of external bodies is recovered accordingly.

During the year, significant work has been undertaken in Electric Vehicle (EV) charging infrastructure. A review of EV budget is underway that will ensure the cost associated with this will be fully recovered, EV charges will be set accordingly to achieve this.

6.4 Neighbourhood Services: £0.847m overspend

	£m
Mainly reflects that additional income expected to be gained from excess revenue share for the waste to energy contract has not materialised partly due to falling energy prices	1.488
Less: Planned transfers from earmarked reserves to meet energy and inflationary pressures associated with waste to energy plant.	(1.292)
Increased property costs within Neighbourhood Services relating to additional expenditure on Network flats, lost rents and repairs and maintenance	0.381
Projected overspend within supplies and services, mainly due to anticipated expenditure on Bed & Breakfast and additional removal costs	0.410
Increase in fleet hire charges forecasted to be higher than budget. The fleet overspend is mainly attributable to increased, unbudgeted fleet charges.	0.416
Streetscene & Land Management: income mainly from projects, interment fees and ground maintenance activities are forecasted to be lower than budgeted	0.610
Projected increase in income from recharges, additional service charges and Housing Benefit income from temporary accommodation	(0.832)
Additional income from the NHS and staff recharges	(0.116)
Anticipated staff cost underspend due to vacancies	(0.227)

As noted at 6.3, a technical review is underway on fleet budgets and recharges to ensure adequate provision is allocated to managing this resource in future fleet management budgets related to waste and environmental operations.

6.5 Corporate Services: (£0.311m) underspend

	£m
Projected underspend in staff costs due to vacancies and action taken to postpone recruitment process	(0.469)
Projected overspends in supplies & services expenditure mainly due to increased costs of Computer Hardware, Software and Licences	0.349
Projected additional income mainly relating to estimated Superannuation Fund recharge, additional government funding and other internal recharges, offset by income shortfall in relation to the ongoing closure of the Underground Garage	(0.239)

6.6 Construction Services: £1.292m overspend

	£m
Projected net shortfall in the recovery of fixed and indirect overheads due to a reduction in productive hours that has been partly impacted by industrial action earlier this year and staff absence levels being greater than anticipated	1.042
One-off set up costs associated with the implementation on total mobile repairs management system	0.250

A review has been organised on cost recharges and any movement to the above projection as a consequence of this will be reflected in future reports.

6.7 Contingencies: (£0.700m) underspend

	£m
Corporate provision set aside for pay pressures that is no longer required	(0.700)

6.8 Capital Financing Costs: (£1.294m) underspend

	£m
Savings due to slippage in 2022/23 capital programme resulting in lower loan repayments in 2023/24 and deferral of any new long-term borrowing until later in the financial year	(1.294)

The concurrent capital monitoring report for the period to date identifies further slippage and a forecasted reduction in planned expenditure. The position will continue to be monitored closely in the coming months and officers will report any movement to the above projection as a consequence of this.

6.9 Council Tax: (£1.673m) underspend

	£m
Projected over-recovery of Council Tax income	(1.363)
Projected underspend on Council Tax Reduction	(0.310)

6.10 Bad Debt Provision: £0.236m overspend

	£m
Projected increase in bad debts in the year	0.236

This position will continue to be monitored closely in the coming months.

6.11 Miscellaneous Items: (reduced income £0.193m)

	£m
Reduction in Tayside Contacts' distributable surplus	0.193

7 ONGOING ACTIONS

- 7.1 This report identifies projections based on the first 8 months of the financial year. The figures are therefore indicative at this stage and are used by the Council Leadership Team to identify variances against budget and enable corrective action to be taken as appropriate. Each service is working closely with Corporate Finance staff, firstly to ensure that these projections are met and then to identify scope to improve the outcome.

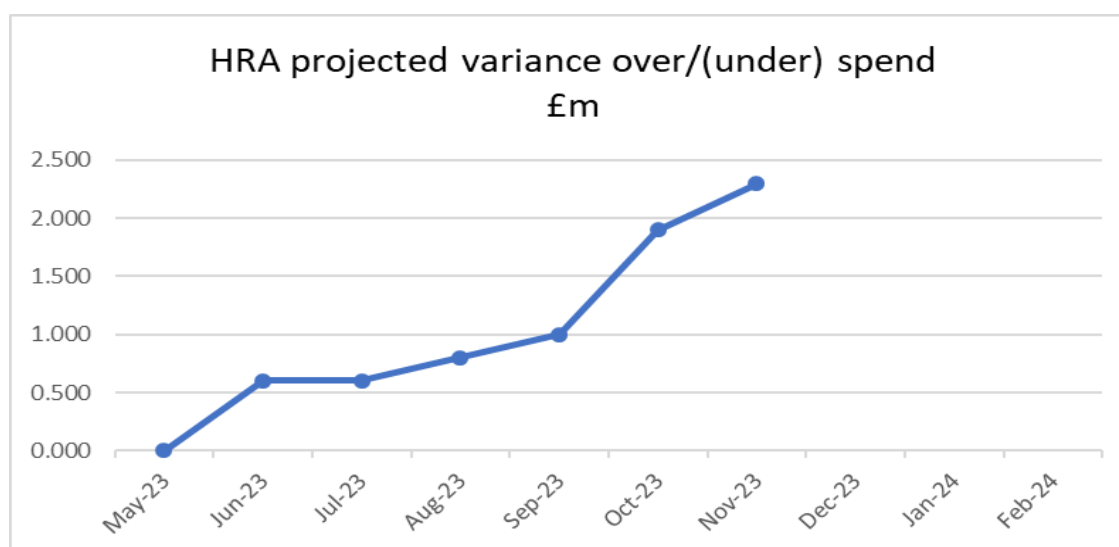
- 7.2 In addition, further Council-wide initiatives are underway to help manage existing and emerging cost pressures. These include reviewing the requirements for overtime working, a focus on absence rates and increased vacancy control over the remainder of the financial year. There is an ongoing review of discretionary spend and other opportunities for efficiencies and budget savings.
- 7.3 In October 2022 the Council agreed to authorise the Chief Executive to issue a letter of comfort to Leisure and Culture Dundee confirming the Council's continuing financial support in financial year 2022/23 and for a period of at least 12 months beyond the date of the signing of Leisure and Culture Dundee's 2021/22 accounts whilst setting out an expectation that from 2023/24 Leisure and Culture Dundee will operate with a balanced budget (Article III of the minute of Policy and Resources Committee on 31 October 2022 refers). Leisure and Culture Dundee have been provided with additional financial support of £2.914m over the past two years to mitigate the impact of Covid 19 with the expectation that this support will cease this year. The expected cost of financial support to LACD for 2023/24 of £1.586m will be met from Covid earmarked reserves. To provide certainty, stability and time for Leisure and Culture Dundee to develop a balanced budget from 2024/25 onwards the Council further agreed (Article VI of the minute of the meeting of City Governance on 21 August 2023 refers) to extend this support to 31 March 2024. It was further agreed at the City Governance meeting on 4 December 2023 that the Chief Executive be authorised to extend the support to LACD to 30 June 2024 should this be necessary.
- 7.4 The cost pressures experienced by the Council is of course also experienced by partner organisations, notably Tayside Contracts where the effects of food inflation is an additional pressure that is keenly felt. Please note that additional food cost pressures will be covered though existing budget provisions.

8 HOUSING REVENUE ACCOUNT - MONITORING POSITION AT 30 NOVEMBER 2023

- 8.1 The forecast position as at 30 November 2023 for the HRA is summarised below:

	(Under)/ Over Spend as at 30 November £m	(Under)/ Over Spend as at 31 October £m	Movement (from previous month) £000
Net Expenditure	2.485	2.310	0.175
Sources of Income	(0.307)	(0.410)	0.103
Net over/ (underspend)	2.298	1.900	0.398

The graph below shows the projected variance over the reported periods.



- 8.2 The key variances that make up the November position are shown in the table below. These figures reflect movements for the full year to date.

	£m
Additional expenditure on relets to work through the backlog of properties and void losses is greater than budgeted. In addition, higher than budgeted electricity costs for stair lighting and additional expenditure on timber treatment and asbestos works.	2.585
Savings due to slippage in the 2022/23 capital plan resulting in lower loan repayments in 2023/24 and deferral of new long-term borrowing until later in the year	(0.307)
Anticipated underspend in staff costs due to delays in filling vacant posts	(0.100)
Projected overspend in Supplies and Services due to additional professional fees and special collections	0.120

- 8.3 Any final variance will be adjusted against Renewal & Repair Fund, the housing element of which amounted to £11.392m as at 31 March 2023. This adjustment would be in addition to the £0.500m that was agreed as part of the 2023/24 HRA Revenue Budget that would be taken from the Renewal & Repair Fund to fund a one-off increase in the Hardship Fund (Report No: 33-2023 to Policy & Resources Committee on 23 January 2023, refers). A system of perpetual detailed monitoring will continue to take place up to 31 March 2024 with the objective of the HRA achieving a final outturn which is below or in line with the adjusted 2023/24 HRA Revenue Budget.

9 RISK ASSESSMENT

- 9.1 In preparing the Council's 2023/24 Revenue Budget, the key strategic, operational and financial risks faced by the Council over this period were considered. To alleviate the impact these risks may have if they occur, a number of general risk mitigation factors are utilised by the Council.
- 9.2 The key risks in 2023/24 have 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 are included in Appendix C to this report.
- 9.3 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.

10 POLICY IMPLICATIONS

- 10.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

11 CONSULTATIONS

- 11.1 The Council Leadership Team were consulted in the preparation of this report.

12 BACKGROUND PAPERS

- 12.1 None

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DUNDEE CITY COUNCIL										
2023/2024 REVENUE OUTTURN MONITORING										
PERIOD 1 APRIL 2023 - 30 NOVEMBER 2023										
	Approved		Adjusted		Projected		Previous	Movement	Actual	Actual
	Revenue	Total	Revenue	Actual	Projected	Variance	Month	since	Spend to	Spend to
	Budget	Budget	Budget	Spend to	Outturn	Over/(under)	Projected	Previous	30.11.2023	30.11.2022 as
	2023/24	Adjustments	2023/24	30.11.2023	2023/24	spend	Variance	Month	Adjusted	Adjusted
	£m	£m	£m	£m	£m	£m	£m	£m	Budget	Budget
General Fund Services										
Children & Families	185.991	13.074	199.065	138.824	201.293	2.228	1.909	0.319	70%	64%
Dundee Health & Social Care Partnership	102.437		102.437	64.971	102.437	0.000	0.000		63%	61%
City Development	15.449	2.274	17.723	20.861	18.668	0.945	0.146	0.799	118%	88%
Neighbourhood Services	26.251	1.431	27.682	16.526	28.529	0.847	0.831	0.016	60%	58%
Chief Executive	14.015	0.270	14.285	9.778	14.285	0.000	0.000		68%	54%
Corporate Services	31.964	1.437	33.401	29.292	33.090	(0.311)	(0.273)	(0.038)	88%	98%
Construction Services	0.000		0.000	1.674	1.292	1.292	1.242	0.049		
	376.107	18.486	394.593	281.926	399.594	5.001	3.855	1.146	71%	67%
Capital Financing Costs / Interest on Revenue Balances	19.796		19.796	17.889	18.502	(1.294)	(1.272)	(0.022)		
Contingencies:										
- General	0.500	(0.288)	0.212		0.212	0.000	0.000			
- Budget growth/Cost Pressures	12.051	(4.933)	7.118		6.418	(0.700)		(0.700)		
- New monies	0.428		0.428		0.428					
- Pay award funding through capital	(3.444)		(3.444)		(3.444)					
Miscellaneous Items	(2.322)		(2.322)	(1.548)	(2.129)	0.193	0.265	(0.072)	67%	67%
Bad Debt Provision	0.000		0.000		0.236	0.236	0.236			
Discretionary Non Domestic Rates (NDR) Relief	0.392		0.392	0.478	0.478	0.086	0.076	0.011	122%	107%
Supplementary Superannuation Costs	2.708		2.708	1.321	2.708	0.000	0.000		49%	49%
Tayside Valuation Joint Board	0.878		0.878	0.525	0.878				60%	55%
Empty Property Relief Devolution	2.798		2.798	1.865	2.798				67%	0%
Total Expenditure	409.891	13.265	423.156	302.456	426.679	3.522	3.160	0.363	71%	63%
Sources of Income										
General Revenue Funding	(269.139)	(5.399)	(274.538)	(183.191)	(274.538)				67%	62%
Contribution from National Non Domestic Rates (NNDR) Pool	(73.704)		(73.704)	(49.136)	(73.704)				67%	67%
Council Tax	(61.698)		(61.698)	(13.762)	(63.371)	(1.673)	(1.667)	(0.006)	22%	23%
Use of Balances -										
Balance on Covid Recovery Fund	(1.750)		(1.750)		(1.750)				0%	
Committed Balances c/f	0.000	(1.794)	(1.794)		(1.794)					
Earmarked funds	0.000	(5.963)	(5.963)		(5.963)					
Service concessions	(3.600)		(3.600)		(3.600)				0%	
Change Fund	0.000	(0.109)	(0.109)		(0.109)					
(Surplus)/Deficit for the year	0.000	0.000	0.000	56.368	1.849	1.849	1.493	0.356		
(Surplus)/Deficit for Housing Revenue Acct	0.000	0.000	0.000	(15.168)	2.298	2.298	1.900	0.398		

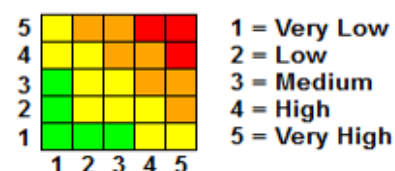
**DUNDEE CITY COUNCIL
2023/2024 RING FENCED GRANTS
PERIOD 1 APRIL 2023 - 30 November 2023**

Ring-fenced grants	Income Carry Forward from 22/23	Budget		Actuals		Projected Outturn for year		Projected (Surplus)/ Deficit
		Expenditure	Income	Expenditure	Income	Expenditure	Income	
	£000	£000	£000	£000	£000	£000	£000	£000
Early Learning and Childcare Expansion (ELC)	(1,767)	14,351	(14,351)	8,925	(16,111)	16,118	(16,118)	0
Pupil Equity Fund (PEF)	(1,986)	5,107	(5,107)	4,539	(1,986)	6,093	(7,093)	(1,000)
Scottish Attainment Challenge (SAC)	(205)	3,764	(3,764)	2,949	(314)	3,969	(3,969)	0
Criminal Justice Social Work (Incl covid) (CJS)	0	5,412	(5,350)	3,450	(3,062)	5,350	(5,350)	0
Overall Total	(3,958)	28,634	(28,572)	19,863	(21,473)	31,530	(32,530)	(1,000)

Budget for CJS includes the mainstream budget provision of £62k.

Risks - Revenue Assessment

Corporate Risk Matrix



Risk Title	Causes	Impact	Inherent Risk	Controls	Residual Risk (Previous Month)	Residual Risk (Current Month)
1. General price inflation may be greater than anticipated.	<ul style="list-style-type: none"> Government policies and regulations Poor economic conditions Impact of rising price rises e.g. energy 	<ul style="list-style-type: none"> Increased financial cost / rising prices Potential budget overspends Potential for interest rate rises through intervention measures 		<ul style="list-style-type: none"> Corporate Procurement strategy in place, including access to nationally tendered contracts for goods and services Fixed price contracts agreed for major commodities i.e. gas and electricity. Budgetary controls are in place, to identify potential overspends and take remedial action as required or possible, for example by utilising budget virements. 		
2. Capital Financing Costs - level of interest rates paid will be greater than anticipated.	<ul style="list-style-type: none"> Substantial decline of global financial market Economic factors impacting on interest rates 	<ul style="list-style-type: none"> Increased borrowing costs Greater return on investments / cash balances 		<ul style="list-style-type: none"> Treasury Management Strategy. Limited exposure to variable rate funding. Budgetary controls are in place, to identify potential overspends and take remedial action as required or possible. 		
3. Unforeseen new cost pressures arising during the course of the financial year.	<ul style="list-style-type: none"> Financial constraints Demand pressures Cost of Living 	<ul style="list-style-type: none"> Potential overspends 		<ul style="list-style-type: none"> Budgetary controls are in place, to identify potential overspends and take remedial action as required or possible, for example by utilising budget virements. 		
4. Chargeable income budget not achieved.	<ul style="list-style-type: none"> Reduced demand for chargeable services, for example due to cost of living crisis Market competition 	<ul style="list-style-type: none"> Loss of income Revision of budgeted income collection levels required 		<ul style="list-style-type: none"> Budgetary controls are in place, to identify potential overspends and take remedial action as required or possible, for example by utilising budget virements. 		

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ITEM No ...7.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: CAPITAL PLAN 2024-29

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES REPORT

REPORT NO: 18-2024

1 PURPOSE OF REPORT

- 1.1 To enable Members to consider proposed changes to the 2023-28 Capital Plan (as agreed by the Council on 21 November 2022 - Report 309-2022, Article VIII refers) to prioritise projects within the available resources and to recommend the allocations for 2028-29.

2 RECOMMENDATIONS

- 2.1 It is recommended that the Council:
- (a) notes the impact of the current financial environment on the Capital Plan 2023-28
 - (b) agrees the revised Capital Plan for 2024-29, as detailed in Appendix A;
 - (c) notes the risks outlined in Appendix B of the Report and that a further report on the Capital Plan will be presented to the Committee should there be any material change in circumstances.

3 FINANCIAL IMPLICATIONS

- 3.1 The Capital Plan 2023-28, agreed by the Council in November 2022, comprised £381m of investment over its five-year period.
- 3.2 The Capital Plan 2024-29 has been prepared within the backdrop of decreasing resources. From period 2027/28, no new borrowing can be incurred, unless revenue budget is identified to cover the capital financing costs. Any borrowing shown is solely on named projects where the budget has been reprofiled.
- 3.3 The general capital grant allocation, from Scottish Government, for 2024/25 has been confirmed. Certain ringfenced capital allocations of grant for 2024/25 have not yet been distributed. Where an assumption has been made for the level of capital grant for these projects, and the actual award is different, the Capital Plan will be adjusted accordingly so that resources match expenditure.
- 3.4 The volatility in the housing market, due to interest rates and building costs, alongside the current economic uncertainties, both domestically and worldwide, have led to less demand for development sites. In addition, higher levels of abnormalities, are reducing any potential capital receipts. The overall level of capital receipts included in the plan has been reviewed, and a decision has been made to show more realistic levels, based on the aforementioned, and fact that potential available sites to sell, are also reducing.
- 3.5 As a result of the above, savings of £3.8m are required in order to deliver the General Services programme as planned. Officers undertook a detailed review of the Plan and identified where potential savings could be made, that would have least impact on the delivery of the Council's core Services. Details of these are set out in Appendix C.
- 3.6 The Council is therefore recommended to agree a revised plan with the reduction in discretionary investment of £3.8m to deliver a balanced plan for General Services, as shown in Appendix A.
- 3.7 Whilst the impact of rising costs has also had an impact on the HRA capital programme this has been partly mitigated through the reprioritisation of the current programme which is possible given the cyclical nature of these investments. It should be noted that the overall additional borrowing that would be required over the period of the 5-year plan amounts to circa £8.6m and this has been factored into the latest rent increase agreed (Report 20-2024, City Governance Committee 22 January

2024, Article VI refers).

- 3.8 Budgets for 2028/29 have been added, for block programmes only, and these are shown within the Capital Plan 2024-29. These are funded by the General Capital Grant from Scottish Government. There is no scope to fund expenditure in 2028/29 from borrowing, unless a revenue budget can be identified to fund the capital financing costs, associated with any additional borrowing.

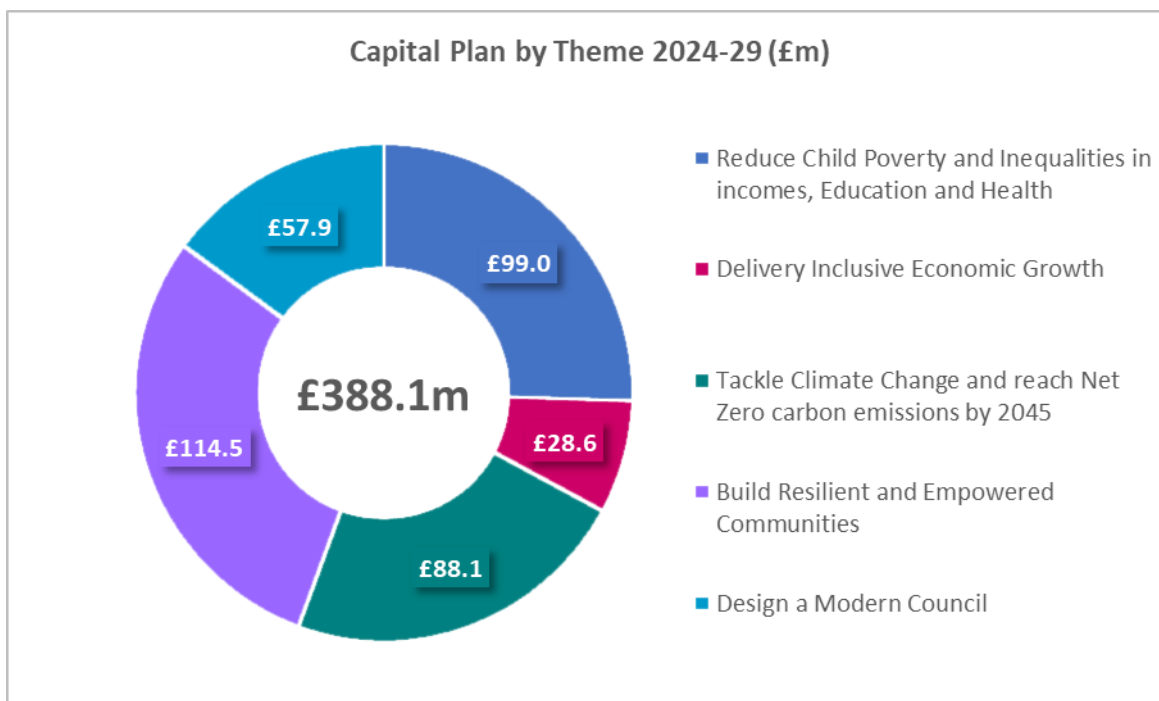
4 COUNCIL PRIORITIES

- 4.1 The Capital Plan takes account of the Council priorities as set out in the Council Plan 2022-27, with the capital budgets aligned to the strategic themes.
- 4.2 Sustainability is a key focus for the Council with the investment of £88m in tackling climate change to help deliver the Councils Net Zero ambitions making up nearly a quarter of the Capital Plan. This includes
- Green Transport Hub & Spokes at Bell Street Multi Storey Car Park
 - Energy efficiency measures in Council Housing
 - Low carbon projects
- 4.3 The new East End Community Campus commenced work on site April 2022 as planned. Steady progress has been made on site, with the superstructure now progressing through the winter months. Although a nominal amount of time was lost due to Storm Babet, this will be managed through the overall construction programme with the project maintaining the target for August 2025 opening. The building is being constructed to meet Passivhaus certification standard, creating a building that is highly insulated, air tight and well ventilated providing a low energy building, ensuring the council have a sustainable low carbon energy efficient building.
- 4.4 Following the unsuccessful outcome of the bid for Learning Estate Improvement Programme (LEIP) funding, provision for the full cost of the proposed Western Gateway Primary School has been included in the plan at a revised overall cost of £25m reflecting the latest estimated cost and timescales for this project. It is assumed that circa £4m will be funded by developer contributions with the balance being met from borrowing. It should be noted that there remain external factors outwith the Council's control that will require to be resolved before this project can be completed. These include planning consent for the next phase of development (which is predicated on delivery of the traffic network upgrades required in and around the Swallow roundabout), the timing of the transfer of ownership of the proposed site, and site servicing.
- 4.5 The HRA Capital Plan is committed to investment for increasing the supply of new build Council Housing to meet the housing needs within Dundee. The recent Scottish Government announcement outlining a 26% reduction to the Affordable Housing Supply Programme Budget which is used to augment our investment will have an impact on our ability to deliver on the priorities set out within the Strategic Housing Investment Plan (SHIP) 2023-2028.

The specific impact is not yet known until further information is provided from Scottish Government. Projects currently on site or which already have a funding commitment will not be affected, however the impact is anticipated to be on developments which were planned to commence next year and in subsequent years that don't already have the financial commitment. Any changes that arise during the year will be reflected in the established monitoring process and advised to members at that point.

The capital plan is being reviewed to ensure capital spend is being utilised in the most effective way and discussions are ongoing with partners how to manage.

- 4.6 The table below provides a summary of the Capital plan broken down by the themes of the Council Plan over the period from April 2024 to March 2029.



5 PRUDENTIAL FRAMEWORK

- 5.1 The Prudential Framework has been developed as a professional code of practice to support local authorities in taking decisions on capital investment. Local authorities are required by Regulation to comply with the Prudential Code under Part 7 of the Local Government in Scotland Act 2003. The Capital Plan 2024-29 has been prepared in compliance with the Prudential Code.
- 5.2 Under the Prudential Code Local Authorities are obliged to introduce a system of option appraisal for capital projects and to develop asset management plans to assist in determining capital expenditure priorities.
- 5.3 Option appraisal guidelines have been developed which allow services to consider systematically whether individual capital projects provide value for money. An option appraisal report will be completed for all projects of £1m or above being considered for inclusion in the Council's Capital Plan. All Option Appraisals must be presented to the Capital Governance Group in the first instance.
- 5.4 The Prudential Code requires the Executive Director of Corporate Services to prepare a set of indicators that demonstrate that the Council's Capital Plan 2024-29 is affordable, prudent and sustainable, via the level of Council's borrowing for General services and Housing HRA. The Prudential Indicators are shown in Appendix D of this report.

6 RISK ASSESSMENT

- 6.1 Appendix B sets out the principal risks to the delivery of the Capital Plan. These will be kept under review by the Capital Governance Group and any material change in circumstances that affect the delivery of the plan will be reported to Committee.

7 CONSULTATION

- 7.1 The Council Leadership Team has been consulted in the preparation of the report.

8 POLICY IMPLICATIONS

- 8.1 This report has been subject to an Integrated Impact Assessment to identify impacts on Equality & Diversity, Fairness & Poverty, Environment and Corporate Risk. An impact, positive or negative, on one or more of these issues was identified. An appropriate senior manager has checked and agreed with this assessment. A copy of the Integrated Impact Assessment showing the impacts and accompanying benefits of/ mitigating factors for them is included as an Appendix E to this report.

9 **BACKGROUND PAPERS**

9.1 None

**ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES
09 FEBRUARY 2024**



CAPITAL PLAN 2024-29

FOR

GENERAL SERVICES

&

HOUSING HRA

Feb-24

Executive Director of Corporate Services

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DUNDEE CITY COUNCILCAPITAL PLAN 2024-29PROJECTED CAPITAL RESOURCES

		<u>2023/24</u>	<u>2024/25</u>	<u>2025/26</u>	<u>2026/27</u>	<u>2027/28</u>	<u>2028/29</u>
		<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>	<u>£000</u>
1 Capital expenditure funded from borrowing	General Services	35,552	99,115	31,533	7,642	17,268	
	Housing HRA	15,351	22,864	20,750	28,635	20,182	23,494
2 Capital Element of General Capital Grant less PSHQ	General Services	14,983	11,551	12,578	13,000	13,000	12,578
3 Capital grants & contributions - corporate	General Services	337					
	Housing HRA	450	450	450	450	450	450
4 Capital grants & Contributions - project specific	General Services	18,595	17,212	2,289	3,180	482	
	Housing HRA	1,873	1,209	6,452	1,133	200	2,988
5 Capital Receipts - Sale of Assets	General Services	1,048	2,000	2,000	2,000	1,000	
	Housing HRA	439	731	104			
6 Capital Fund	General Services	1,995	426				
7 Capital Financed from Current Revenue	General Services	1,131					
	Housing HRA	450	450	450	450	450	450
8 Over Programming	General Services		6,000				
	Housing HRA						
TOTAL PROJECTED GROSS CAPITAL RESOURCES		92,204	162,008	76,606	56,490	53,032	39,960
TOTAL PLANNED GROSS CAPITAL EXPENDITURE		92,204	162,008	76,606	56,490	53,032	39,960

DUNDEE CITY COUNCIL

CAPITAL PLAN 2024-29

PRICE BASE : OUTTURN PRICES

SUMMARY

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Reduce Child Poverty and Inequalities in incomes, Education and Health	149,782	21,176	29,631	64,217	9,758	7,500	17,500	-
Delivery Inclusive Economic Growth	59,741	24,949	6,131	19,232	6,050	1,700	1,279	400
Tackle Climate Change and reach Net Zero carbon emissions by 2045	138,119	31,670	18,340	31,267	17,205	14,537	12,300	12,800
Build Resilient and Empowered Communities	184,569	44,157	25,936	27,423	26,911	23,092	16,043	21,007
Design a Modern Council	84,187	14,146	12,166	19,869	16,682	9,661	5,910	5,753
<i>Total Gross Expenditure</i>	616,398	136,098	92,204	162,008	76,606	56,490	53,032	39,960

DUNDEE CITY COUNCIL

CAPITAL PLAN 2024-29

PRICE BASE: OUTTURN PRICES

REDUCE CHILD POVERTY AND INEQUALITIES IN INCOMES, EDUCATION AND HEALTH

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Harris Academy Extension (Less External Funding)	4,824 (4,824)	1,238 (1,238)	3,386 (3,386)	200 (200)				
School Estate Investment - East End Community Campus	100,800	3,011	25,700	63,657	8,432			
School Estate Investment - Western Gateway (Less External Funding)	25,000 (3,662)					7,500 (3,180)	17,500 (482)	
Young Person House (Fairbairn Street Replacement)	3,290	3,003	287					
Young Persons Homes Refurbishments	500	499	1					
Early Learning & Childcare 1140 Expansion (Less External Funding)	12,839 (8)	12,834 (8)	5					
Free School Meals Expansion - Primary Schools	635	147	128	360				
Social Care Prov of Accom for Adults with Learning Disabilities	694	444	124		126			
Learning Disability Accommodation	1,200				1,200			
Net Expenditure	141,288	19,930	26,245	64,017	9,758	4,320	17,018	
Netted Off Receipts	(8,494)	(1,246)	(3,386)	(200)		(3,180)	(482)	
Gross Expenditure	149,782	21,176	29,631	64,217	9,758	7,500	17,500	

DUNDEE CITY COUNCIL

PRICE BASE: OUTTURN PRICES

CAPITAL PLAN 2024-29

DELIVER INCLUSIVE ECONOMIC GROWTH

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Central Waterfront (Less External Funding)	8,968 (947)	8,821 (947)	107	40				
Site 6 South Development - Offices	26,202	988	5,594	18,620	1,000			
Vacant & Derelict Land Fund (Less External Funding)	15,304 (14,913)	14,963 (14,572)	10 (10)	331 (331)				
Tay Cities	4,050				4,050			
Tay Cities - 5G Testbeds (Less External Funding)	84 (84)	44 (44)	20 (20)	20 (20)				
Demolition of Properties & Remediation Works	5,133	133	400	221	1,000	1,700	1,279	400
Net Expenditure	43,797	9,386	6,101	18,881	6,050	1,700	1,279	400
Netted Off Receipts	(15,944)	(15,563)	(30)	(351)				
Gross Expenditure	59,741	24,949	6,131	19,232	6,050	1,700	1,279	400

DUNDEE CITY COUNCIL

CAPITAL PLAN 2024-29

PRICE BASE: OUTTURN PRICES

TACKLE CLIMATE CHANGE AND REACH NET ZERO EMISSIONS BY 2045

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Coastal Protection Works (Less External Funding)	17,106 (562)	16,178 (562)	85	535	308			
Broughty Ferry to Monifieth Active Travel Improvements (Less External Funding)	17,922 (17,172)	5,429 (5,429)	9,913 (9,913)	2,580 (1,830)				
Flood Risk Management	849		50	699	100			
St Marys Drainage	200	1	8	191				
Active Travel Infrastructure (Less External Funding)	915 (265)	179 (50)	706 (215)	30				
Low Emission Zone (Less External Funding)	1,663 (1,624)	1,025 (1,025)	638 (599)					
Cycling, Walking & Safer Streets (Less External Funding)	2,576 (2,576)	689 (689)	1,235 (1,235)	652 (652)				
Parks & Open Space (Less External Funding)	629 (627)	318 (456)	204 (171)	107				
DCA Lifecycle plant replacement programme	4,550	8	100	500	3,942			

DUNDEE CITY COUNCIL

CAPITAL PLAN 2024-29

PRICE BASE: OUTTURN PRICES

TACKLE CLIMATE CHANGE AND REACH NET ZERO EMISSIONS BY 2045

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Low Carbon Transport - Green Transport Hub & Spokes - Bell Str (Less External Funding)	16,000 (14,400)	20 (20)	1330 (1,330)	12170 (11,870)	2,480 (1,180)			
Recycling Initiatives	697	70	461	166				
Riverside Recycling Site	628	10	100	518				
Low Carbon Projects	3,655	3,444	194	17				
Transport & Infrastructure (Less External Funding)	1,142 (186)	185 (41)	166 (145)	591	200			
Vehicle Fleet & Infrastructure (Less External Funding)	10,940 (395)	1,232 (54)	1,680 (341)	2,828	1,300	1,300	1,300	1,300
Smart Cities - Mobility Innovation Living Laboratory Ph 2 (Less External Funding)	2,896 (1,363)	2,882 (1,363)	14					
HOUSING HRA ELEMENT								
Energy Efficient	55,751		1,456	9,683	8,875	13,237	11,000	11,500
Net Expenditure	98,949	21,981	4,391	16,915	16,025	14,537	12,300	12,800
Netted Off Receipts	(39,170)	(9,689)	(13,949)	(14,352)	(1,180)			
Gross Expenditure	138,119	31,670	18,340	31,267	17,205	14,537	12,300	12,800

DUNDEE CITY COUNCIL

PRICE BASE: OUTTURN PRICES

CAPITAL PLAN 2024-29

BUILD RESILIENT AND EMPOWERED COMMUNITIES

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
NON HOUSING HRA ELEMENT								
Community Regeneration Fund	2,380	71	547	598	308	308	308	240
Community Choices - Participatory Budget	233		233					
Menzieshill - Community Provision (Less External Funding)	12,886 (1,320)	12,881 (1,320)	5					
Gypsy Traveller Site, Balmuir Wood (Less External Funding)	238 (84)	230 (84)	8					
Bridge Assessment Work Programme (Less External Funding)	3,496 (563)	523 (120)	749 (119)	724 (324)	400	400	400	300
Council Roads and Footpaths - Other	2,100		400	400	400	300	300	300
Road Reconstructions/Recycling	15,000		2,500	2,500	2,500	2,500	2,500	2,500
Road Safety (Less External Funding)	862 (199)		284 (199)	98	90	150	150	90
Traffic signal upgrades	155		28	67	60			
Footway Upgrades	2,830		560	560	560	400	400	350
LED Street Lighting Installations	3,838	3,769	69					
Street Lighting Renewal	6,197		1,100	1,117	1,000	1,000	1,000	980
District Shopping (Less External Funding)	633 (157)	366 (135)	172 (22)	95				

DUNDEE CITY COUNCIL

PRICE BASE: OUTTURN PRICES

CAPITAL PLAN 2024-29

BUILD RESILIENT AND EMPOWERED COMMUNITIES

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
City Improvement Fund	500			250	250			
City Investment Fund	2,217	79	523	1,115	500			
Levelling Up - UK Shared Prosperity Fund (Less External Funding)	532 (2,749)	(79)	150 (673)	382 (1,497)	(500)			
Parks & Open Space (Less External Funding)	8,700 (2,872)	2,930 (1,723)	1,404 (175)	2,408 (365)	1,112 (609)	203	353	290
Sports Facilities Less External Funding	1,597 (164)	207	77 (41)	838 (123)	150	150	100	75
LACD Projects	1,150	130	20	250	250	250	250	
HOUSING HRA ELEMENT								
Free from Serious Disrepair	29,138	738	5,138	4,550	4,550	5,062	4,750	4,350
Modern Facilities and Services	6,750		250	1,000	1,000	1,500	1,500	1,500
Healthy, Safe and Secure	16,389	4,498	2,941	2,710	1,310	1,310	1,810	1,810
Miscellaneous	7,312	412	1,415	1,437	1,012	1,012	1,012	1,012
Increased Supply of Council Housing - See note 1 below (Less External Funding)	57,827 (21,722)	16,997 (7,867)	7,130 (1,873)	6,114 (1,209)	11,249 (6,452)	8,337 (1,133)	1,000 (200)	7,000 (2,988)
Demolitions	409	326	33	10	10	10	10	10
Sheltered Lounge Upgrades	1,200		200	200	200	200	200	200
Net Expenditure	154,739	32,829	22,834	23,905	19,350	21,959	15,843	18,019
Netted Off Receipts	(29,830)	(11,328)	(3,102)	(3,518)	(7,561)	(1,133)	(200)	(2,988)
Gross Expenditure	184,569	44,157	25,936	27,423	26,911	23,092	16,043	21,007

DUNDEE CITY COUNCIL

PRICE BASE: OUTTURN PRICES

CAPITAL PLAN 2024-29

DESIGN A MODERN COUNCIL

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Cemeteries	625	27	98	100	100	100	100	100
Contaminated Land	310		70	70	70	50		50
Recycling & Waste Management	931		181	150	150	150	150	150
Baldovie Depot Redevelopment	5,200	164	31	3,071	1,934			
Purchase Computer Equipment (Less External Funding)	8,214 (649)	1,560 (648)	1,437 (1)	1,258	1,258	1,108	835	758
Purchase Desktop Collaboration Platform	6,493	1,985	710	719	729	700	850	800
Smart Cities Digital/ICT Investment	443	306	137					
Desktop Management Software	1,500			1,500				
Schools Connectivity	1,400	10	290	1,100				
Asset Management System Replacement	350				350			

DUNDEE CITY COUNCIL

PRICE BASE: OUTTURN PRICES

CAPITAL PLAN 2024-29

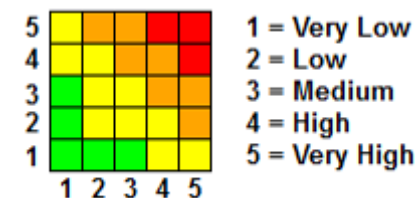
DESIGN A MODERN COUNCIL

ALL FIGURES £'000

Project/Nature of Expenditure	Total Cost of Project	Actual prior to 31-Mar-23						
			2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Property Lifecycle Development Programme (Less External Funding)	32,538 (6)	3,316 (6)	4,771	6,425	5,923	4,793	3,695	3,615
Property Rationalisation Programme	3,947	3,192	149	268	338			
Depot Rationalisation Programme	3,063	171	250	2092	550			
Capitalisation of Borrowing Costs	1,400			280	280	280	280	280
Contingency Capital Expenditure	2,409		150	2,259				
Dundee Ice Arena Plant & Upgrade	9,100	143	900	577	5,000	2480		
Olympia Refurbishment Works	6,264	3272	2,992					
Net Expenditure	83,532	13,492	12,165	19,869	16,682	9,661	5,910	5,753
Netted Off Receipts	(655)	(654)	(1)					
Gross Expenditure	84,187	14,146	12,166	19,869	16,682	9,661	5,910	5,753


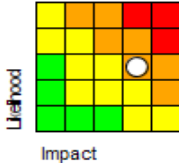
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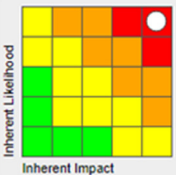
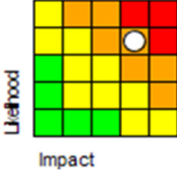

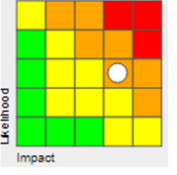
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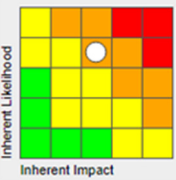
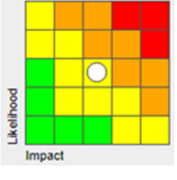
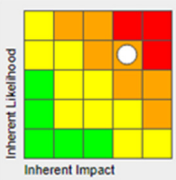
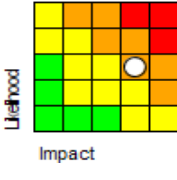


Risk Report
Report Type: Capital Plan 2024-29
Report Author: Executive Director of Corporate Services

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Current)
1.General Price inflation may be greater than contingencies already built into capital plan.	<ul style="list-style-type: none"> Lasting effect of Brexit The war in Ukraine and uncertainties in the Middle East Labour shortages pushing up labour costs. 	<ul style="list-style-type: none"> Increased financial cost of projects. Potential Overspends as allowance in Capital Plan is insufficient to cover increased cost. 	<ul style="list-style-type: none"> Changes to the scope of projects to accommodate additional costs. Delays to project progressing due to rescoping of project. Changes to Capital Plan to accommodate the additional costs by reallocation of resources from other projects 		<ul style="list-style-type: none"> Robust Capital Monitoring processes in place to enable any potential issues to be highlighted as soon as they arise, and the Capital Plan is adjusted to account for any remedial action required. 	
2.Additional Costs once Project has started and works on-going	<ul style="list-style-type: none"> Unforeseen circumstances such as ground conditions leading to delay and /or additional cost. Under performance in the materials supply chain. 	<ul style="list-style-type: none"> Increased financial cost of projects. Potential Overspends as allowance in Capital Plan is insufficient to cover increased cost. 	<ul style="list-style-type: none"> The estimated completion of the project is delayed Changes to the scope of the ongoing project, if possible, to accommodate the increased costs. Changes to Capital Plan to accommodate the 		<ul style="list-style-type: none"> Robust monitoring of the project by professional Project Managers means potential issues are highlighted and remedial action taken to resolve as soon as possible. Specific Risk registers exist for major capital 	

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Current)
			<p>updated cost projections costs by reallocation of resources from other projects or make savings to Plan</p>		<p>projects contained within the capital monitoring, and they are continually reviewed as the project progresses, and corrective action taken where necessary.</p> <ul style="list-style-type: none"> In year Capital monitoring processes ensure overspends are highlighted as soon as known and corrective action taken. 	
<p>3.Estimated Completion date for the Project</p>	<ul style="list-style-type: none"> Extreme weather conditions can delay progress Unforeseen issues can arise once project starts e.g. ground conditions Under performance in the materials supply chain. 	<ul style="list-style-type: none"> Delay in the asset becoming operational. Negative press coverage for Council Service delivery impacted due to delays in completing works. 	<ul style="list-style-type: none"> Potential additional revenue costs as asset not operational and ready to be used, Delay In achieving revenue savings from the project. Knock on effect of not being able to progress subsequent projects, as staff engaged on delivery of current project. Potential additional capital costs where equipment has been hired. 		<ul style="list-style-type: none"> Robust monitoring of the project by professional Project Managers means when potential delays to the project are highlighted and remedial action taken to resolve as soon as possible to minimise any delays to the completion date. 	

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Current)
4.Capital Receipts from Sale of Assets not achieved	<ul style="list-style-type: none"> Uncertain market conditions, e.g. level of interest rates and inflation, means housing developers are not purchasing sites for development. Abnormals can reduce the value of the site being marketed. Brownfield sites have higher level of abnormals due to contamination etc. Uncertain economic/world means businesses are not expanding 	<ul style="list-style-type: none"> Less funding available to fund current capital programme 	<ul style="list-style-type: none"> Potential claim from contractors for extension of time. Alternate capital resources identified to compensate for the shortfall, if possible. Capital programme is reprioritised/savings identified to cover funding shortfall 		<ul style="list-style-type: none"> Robust monitoring of the projected level of capital receipts, over the period covered in the Capital plan, by officers from City Development and Support services, means any shortfalls are identified and remedial action taken. 	
5.Delays in Capital Receipts being Received	<ul style="list-style-type: none"> Uncertain market conditions, e.g. level of interest rates and inflation, cost of raw materials, means housing developers are delaying purchasing sites for development, in anticipation that economic outlook 	<ul style="list-style-type: none"> Less funding available to fund current capital programme in the short term 	<ul style="list-style-type: none"> Capital Plan expenditure programme is re profiled to take account of the delays in receiving the capital receipts 		<ul style="list-style-type: none"> Projected capital receipts projected over period of Capital Plan reviewed, and adjustments made for any short-term delays and remedial action taken. The capital expenditure programme naturally slips due to external factors, so 	

Risk Title	Causes	Impact	Consequence	Inherent Risk	Controls	Residual Risk (Current)
	<p>will improve in future.</p> <ul style="list-style-type: none"> Businesses are delaying applying for business loans for expanding etc in anticipation that interest rates will come down 				<p>any delays in receiving receipts can be matched against the expenditure slippage.</p>	
6.Capital Financing Costs	<ul style="list-style-type: none"> External economic factors out with control of council pushing up interest rates. 	<ul style="list-style-type: none"> Potential overspend of the Capital Financing costs budget. 	<ul style="list-style-type: none"> Level of borrowing used to finance the capital programme reduces. Capital expenditure programme reduced to take account for the reduction in borrowing resources 		<ul style="list-style-type: none"> Treasury Management Strategy. Limited exposure to variable rate funding 	
7.Uncertainty over future levels of Capital Grants from Scottish Government. – only 2024/25 confirmed	<ul style="list-style-type: none"> Scottish Government overall funding shortfalls Funding diverted from Local Authorities into other areas e.g. NHS Funding diverted from Capital to fund Pay awards Funding priorities of Scottish Government changing 	<ul style="list-style-type: none"> Money diverted into specific grants away from General Capital Grants Overall level of Capital Grant received reduces 	<ul style="list-style-type: none"> Capital grant ringfenced on areas not necessarily priority of Council, away from General Capital Grant (where Council controls the spend on local priorities) Shortfall in resources available to fund the capital programme Capital plan reviewed and expenditure plans reduced to account for reduction in capital grant 		<ul style="list-style-type: none"> Rolling five-year capital plan approved each year Realistic assumptions on future levels of Capital grants included in Capital Plan, taking account of Scottish Government forward planning 	

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1. CAPITAL EXPENDITURE INDICATORS**1.1 Level of Capital Expenditure**

This indicator measures affordability and gives a basic control of the Council's capital expenditure. To provide an accurate indicator of capital expenditure all receipts are excluded from the calculation, so figures are based on gross expenditure.

1.2 Ratio of Financing Costs to Net Revenue Stream

This also measures affordability. The measure includes both current and future commitments based on the Capital Plan and shows the revenue budget used to fund the capital financing costs associated with the capital expenditure programme.

Variations to the ratio imply that the proportion of loan charges has either increased or decreased in relation to the total funded from Government Grants and local taxpayers.

2. TREASURY MANAGEMENT INDICATORS

The Annual Treasury Management Activity for 2022/23 including Prudential Indicators covering period 2022/23 to 2027/28 was reported to City Governance Committee on 25 September 2023 (Report No 256-2023 Article VI refers). These have now been updated to reflect projected expenditure included in the 2024-29 Capital Plan.

PRUDENTIAL CODE INDICATORS - TREASURY MANAGEMENT INDICATORS

Adoption of Revised CIPFA Treasury Management Code of Practice

Yes

Upper limit for variable and fixed rate exposure

	Net principal re variable rate borrowing / investments	Net principal re fixed rate borrowing / investments
2023/24	30%	100%
2024/25	30%	100%
2025/26	30%	100%
2026/27	30%	100%
2027/28	30%	100%
2028/29	30%	100%

Actual External Debt

	31/03/2022	31/03/2023
	£'000	£'000
Actual borrowing	542,657	516,161
Actual other long term liabilities	168,748	164,096
Actual external debt	711,405	680,257

Maturity structure of fixed rate borrowing 2023/24

Period	Lower %	Upper %
Under 12 months	0	10
12 months & within 24 months	0	15
24 months & within 5 years	0	25
5 years & within 10 years	0	25
10 years +	50	95
Upper limit for total principal sums invested for over 364 days	n/a	No sums will be invested longer than 364 days

External debt, excluding investments, with limit for borrowing and other long term liabilities separately identified

	Authorised Limit			Operational Boundary		
	Borrowing £000	Other £000	Total £000	Borrowing £000	Other £000	Total £000
2023/24	603,000	160,000	763,000	573,000	160,000	733,000
2024/25	705,000	154,000	859,000	675,000	154,000	829,000
2025/26	734,000	148,000	882,000	704,000	148,000	852,000
2026/27	747,000	142,000	889,000	717,000	142,000	859,000
2027/28	761,000	135,000	896,000	731,000	135,000	866,000
2028/29	760,000	129,000	889,000	730,000	129,000	859,000

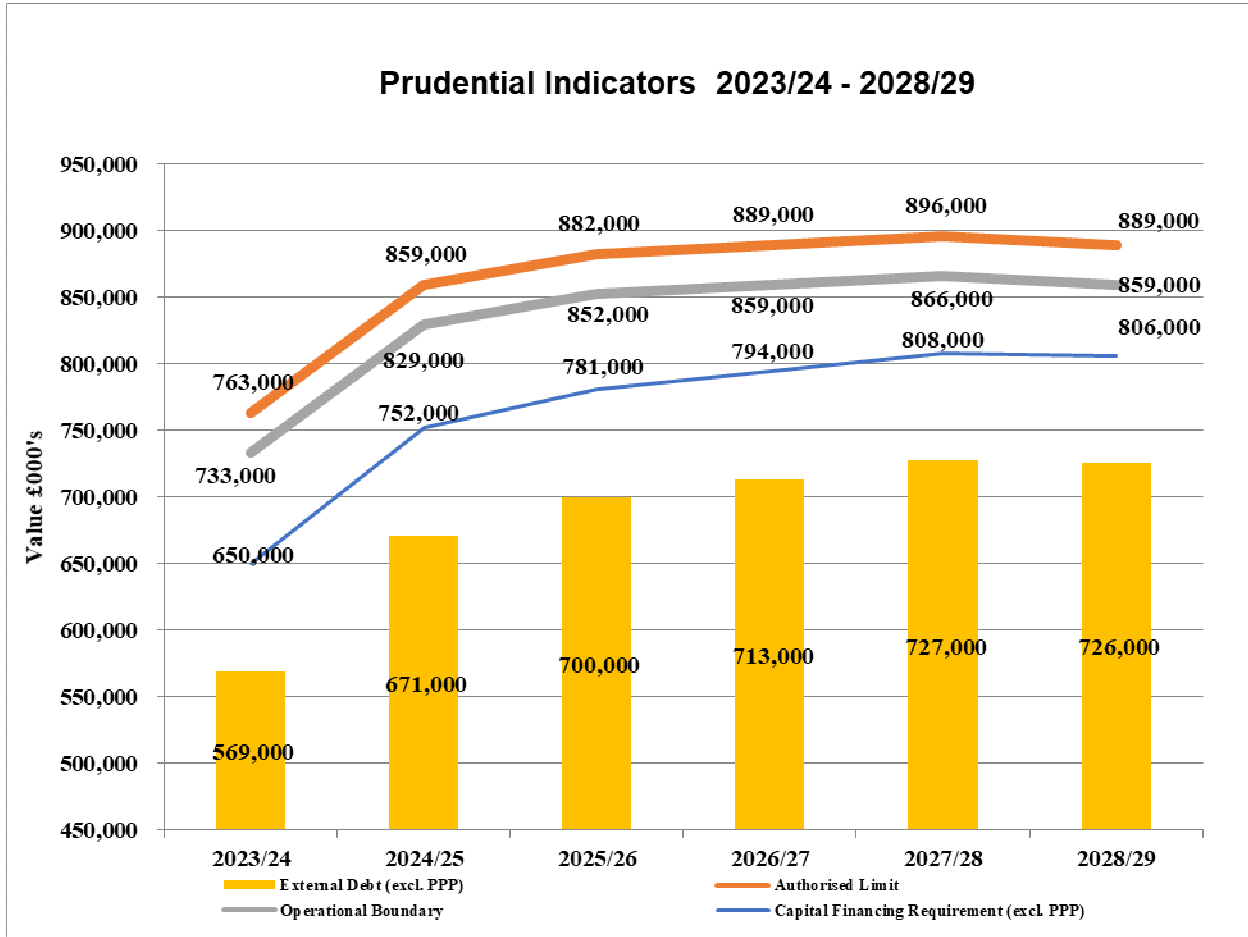
PRUDENTIAL CODE INDICATORS - PRUDENTIAL INDICATORS

	Capital Expenditure		
	Non-HRA £000	HRA £000	Total £000
2023/24	73,641	18,563	92,204
2024/25	136,304	25,704	162,008
2025/26	48,400	28,206	76,606
2026/27	25,822	30,668	56,490
2027/28	31,750	21,282	53,032
2028/29	12,578	27,382	36,960

	Ratio Commercial & Service Income to Net Revenue Stream	Ratio of financing costs to Net Revenue Stream	
	Non HRA %	Non-HRA %	HRA %
2023/24	1.4	5.1	34.8
2024/25	1.4	5.8	34.6
2025/26	1.3	7.3	34.4
2026/27	1.3	7.3	33.5
2027/28	1.3	7.4	34.9
2028/29	1.3	7.1	36.2

	Net Borrowing Requirement (NBR)			Capital Financing Requirement (CFR)			
	1 April £000	31 March £000	Movement £000	Non-HRA £000	HRA £000	Total £000	Movement £000
2023/24	504,439	569,000	64,561	468,000	182,000	650,000	35,058
2024/25	569,000	671,000	102,000	560,000	192,000	752,000	102,000
2025/26	671,000	700,000	29,000	581,000	200,000	781,000	29,000
2026/27	700,000	713,000	13,000	578,000	216,000	794,000	13,000
2027/28	713,000	727,000	14,000	585,000	223,000	808,000	14,000
2028/29	727,000	725,000	(2,000)	574,000	232,000	806,000	(2,000)

	NBR v CFR Difference
	Total £000
2023/24	81,000
2024/25	81,000
5162025/ 26	81,000
2026/27	81,000
2027/28	81,000
2028/29	81,000





Integrated Impact Assessment

Committee Report Number: 18-2024

Document Title: Capital Plan 2024-29

Document Type: Other

Description:

This report sets out the Capital Plan for both General Fund and HRA for 2024-29.

Intended Outcome:

The Plan will support the delivery of the Council Plan.

Period Covered: 19/02/2024 to 31/03/2029

Monitoring:

Capital monitoring reports to the City Governance Committee

Lead Author:

Paul Thomson, Head of Corporate Finance, Corporate Services,
paul.thomson@dundee.gov.uk , 01382 433359,
Corporate Services, Dundee House

Director Responsible:

Robert Emmott, Executive Director Corporate Services, City Development
robert.emmott@dundee.gov.uk, 01382 433633
Corporate Services, Dundee House

Equality, Diversity and Human Rights

Impacts & Implications

Age: Positive

The Plan includes investments in a range of projects that support the delivery a range of services that benefit specific groups including the provision of new schools and social care services.

Disability: Positive

The investments delivered in the capital plan will improve accessibility of services.

Gender Reassignment: No Impact

Marriage & Civil Partnership: No Impact

Pregenancy & Maternity: No Impact

Race / Ethnicity: No Impact

Religion or Belief: No Impact

Sex: No Impact

Sexual Orientation: No Impact

Are any Human Rights not covered by the Equalities questions above impacted by this report?

No

Fairness & Poverty

Geographic Impacts & Implications

Strathmartine:	Positive
Lochee:	Positive
Coldside:	Positive
Maryfield:	Positive
North East:	Positive
East End:	Positive
The Ferry:	Positive
West End:	Positive

Positive Implications: The capital plan will bring improvements in infrastructure across the whole city. Some projects will have a more direct impact in their immediate locality whilst others will provide services to all residents.

Household Group Impacts and Implications

Looked After Children & Care Leavers: No Impact

Household Group Impacts and Implications

Carers: No Impact

Lone Parent Families: No Impact

Single Female Households with Children: No Impact

Greater number of children and/or young children: No Impact

Pensioners - single / couple: No Impact

Unskilled workers or unemployed: Positive

The investment in the capital plan will create employment and training opportunities in Dundee.

Serious & enduring mental health problems: No Impact

Homeless: Positive

Investment in new Council Housing will help provide homes for more people in the city.

Drug and/or alcohol problems: No Impact

Offenders & Ex-offenders: No Impact

Socio Economic Disadvantage Impacts & Implications

Employment Status: Positive

The investment in the capital plan will create employment opportunities in Dundee.

Education & Skills: Positive

The investment in educational facilities will help provide the best start for young people in the city. The scale of the programme will support the provision of training.

Income: No Impact

Caring Responsibilities (including Childcare): No Impact

Affordability and accessibility of services: No Impact

Fuel Poverty: Positive

The energy efficiency measures planned for the HRA will have a positive impact on fuel poverty.

Cost of Living / Poverty Premium: No Impact

Connectivity / Internet Access: No Impact

Income / Benefit Advice / Income Maximisation: No Impact

Employment Opportunities: Negative

Whilst the removal of resources for specific projects such as the fit out of economic development retail units may have a potential negative impact for employment opportunities it is noted that there are currently no commitments for this. Should these plans be confirmed at a later date then these projects could be reinstated and subject to the borrowing being met from the rental income generated from these units. It should also be noted that further direct and indirect employment opportunities will be created through investment elsewhere in the plan.

Education: Positive

The investment in the capital plan will create training opportunities in Dundee. Specific projects will help deliver improved schools that will help drive improvements in attainment.

Health: No Impact

Life Expectancy: No Impact

Mental Health: No Impact

Overweight / Obesity: No Impact

Child Health: No Impact

Neighbourhood Satisfaction: Positive

Investment in Council assets and infrastructure will improve local neighbours.

Transport: Positive

Investment in roads and sustainable transport projects will improve transportation links and accessibility.

Environment

Climate Change Impacts

Mitigating Greenhouse Gases: Positive

The projects in the capital plan will make a significant contribution to the shift to Net Zero. Whilst in isolation the removal of resources such as low carbon projects will have a negative impact, subject to the full evaluation of any specific projects these can be reinstated in the plan if the savings these projects make can fund the cost of borrowing to meet these investments.

Adapting to the effects of climate change: Positive

The plan includes a number of measures to offset the impact of climate change including building improvements and flood defences.

Resource Use Impacts

Energy efficiency & consumption: Positive

All new investment will have a positive impact on energy usage.

Prevention, reduction, re-use, recovery or recycling of waste: Positive

The plan includes plans that will help ensure the sustainable management of waste in the city.

Sustainable Procurement: No Impact

Transport Impacts

Accessible transport provision: No Impact

Sustainable modes of transport: Positive

The Capital Plan includes investment in a number of sustainable transportation initiatives.

Natural Environment Impacts

Air, land & water quality: No Impact

Biodiversity: Positive

The Capital Plan includes investment in the Councils Parks and Open Spaces.

Open & green spaces: Positive

The Capital Plan includes investment in the Councils Parks and Open Spaces.

Built Environment Impacts

Built Heritage: Positive

The investment in both existing and new property will help support a sustainable Build environment.

Housing: Positive

The investment in the HRA and new build will help support a sustainable Build environment

Is the proposal subject to a Strategic Environmental Assessment (SEA)?

No further action is required as it does not qualify as a Plan, Programme or Strategy as defined by the Environment Assessment (Scotland) Act 2005.

Corporate Risk

Corporate Risk Impacts

Political Reputational Risk: Positive

The 5-year Capital Plan sets out a structured investment in Council Services to deliver the Council Plan.

Economic/Financial Sustainability / Security & Equipment: Positive

The investment in assets and infrastructure will support the local economy. The Plan has been assessed for affordability.

Social Impact / Safety of Staff & Clients: No Impact

Technological / Business or Service Interruption: Positive

Planned investment in assets reduces the risk on unexpected maintenance.

Environmental: No Impact

Legal / Statutory Obligations: No Impact

Organisational / Staffing & Competence: No Impact

Corporate Risk Implications & Mitigation:

There are considerable risks associated with the subject matter of this report. This is due either to a significant departure from the previous norm of Council activity, the nature of the proposals or the potential for substantial financial or other impact to be sustained. The report incorporates the potential for losses in excess of £250,000 should the downside risk materialise and / or there is potential for the Council's decision to be challenged and for significant reputational damage.

The delivery of the Capital Plan will be monitored through the Capital Governance Group and regularly reported to the Policy and Resources Committee.

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REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024
REPORT ON: TREASURY MANAGEMENT ACTIVITY 2023/2024 (MID-YEAR REVIEW)
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 21-2024

1 PURPOSE OF REPORT

To review the Treasury Management activities for the period 1 April to 30 September 2023.

2 RECOMMENDATION

The Committee is asked to note the information contained herein.

3 FINANCIAL IMPLICATIONS

The Treasury Management activity during the first half of the current financial year indicates that the Loans Fund interest rate of 3.40%, assumed when setting the 2023/2024 Revenue Budget, will be achieved. A saving of around £1.6m against budget provision for capital financing costs in HRA and General Services is being projected. Capital financing costs are continually monitored throughout the financial year.

4 BACKGROUND

The Council operates a balanced budget, which broadly means cash raised during the year will meet its revenue cash expenditure. An integral part of the treasury management operations is to ensure this cash flow is adequately planned, with surplus monies being invested in low risk counterparties, providing adequate liquidity initially before considering optimising investment return.

The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning to ensure the Council can meet its capital spending operations. This management of longer-term cash may involve arranging long or short-term loans, or using longer term cash flow surpluses, and on occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

At its meeting on 6 March 2023, the Policy and Resources Committee approved the Council's Treasury Policy Statement (Report no. 66-2023, article VI of minute refers) setting out the policies which would govern all borrowing and lending transactions carried out by the Council.

The Treasury Policy Statement requires that the Policy and Resources Committee will receive and consider the Treasury Management Strategy at the beginning of each new financial year. On 6 March 2023, the Policy and Resources Committee approved the Council's Treasury Management Strategy for 2023/2024 (Report no. 68-2023, article VII of minute refers). This monitoring report covers the Treasury Management activity over the first six months of 2023/2024 financial year.

5 DEBT POSITION

The Council's gross debt position at the beginning and mid-point of the financial year was as follows:

Funding type		1 April 2023		30 September 2023	
		Principal £m	Average Rate %	Principal £m	Average Rate %
Long-term Fixed Rate	PWLB	473.9	3.9	466.3	3.9
	Market	30.0	4.2	30.0	4.2
Long-term Variable Rate	PWLB	-	-	-	-

	Market	10.0	4.9	5.0	5.0
Total Long-term Debt					
		513.9	3.9	501.3	3.9
Short-term Fixed Rate	Market	2.3	3.3	12.3	5.1
Total Debt					
		516.2	3.9	513.6	3.9

6 ACTUAL BORROWING

6.1 Long-Term - Public Work Loans Board

No long-term borrowing was undertaken in the report period.

6.2 Short-Term - Market

In order to indicate the level of short-term borrowing, shown below are the lowest and highest daily amounts outstanding each month, together with the short-term borrowing position at the end of every month and the range of interest rates at which borrowing was undertaken:

Month	Lowest Amount Outstanding £m	Highest Amount Outstanding £m	End of month Amount Outstanding £m	Interest Rate Range %	
				Min	Max
2023					
April	2.3	17.3	17.3	3.50	4.30
May	17.3	17.3	17.3	3.50	4.30
June	17.3	17.3	17.3	3.75	4.60
July	2.3	17.3	12.3	4.25	5.00
August	2.3	12.3	2.3	4.25	4.25
September	2.3	12.3	12.3	4.50	5.25

The Council's Treasury Strategy document provides that the amount of the overall borrowing which may be outstanding by way of variable rate exposure should be no greater than 30% of net borrowings included in Prudential Code Indicators (circa £151m). All borrowing is in accordance with the Council's Treasury Policy & Strategy, ensuring that borrowing activities are undertaken as required, and at the most advantageous rates.

7 ACTUAL LENDING

Balances on reserves and variations in cash flow requirements mean that there will be surplus funds which will be invested for short periods (maximum of 364 days). Short-term investments will be restricted only to those institutions identified in the Council's Approved Counterparties list provided they have maintained a suitable credit rating.

The lending figures shown include funds held on behalf of Tay Road Bridge Joint Board, Tayside Valuation Joint Board and Tayside Contracts.

An analysis of the lending position to 30 September 2023 below shows:

Month	Lowest Amount Lent £m	Highest Amount Lent £m	End of month Amount Lent £m	Interest Rate Range %	
				Min	Max
2023					
April	7.0	18.1	12.9	4.10	4.24
May	4.6	25.5	8.8	4.21	4.46
June	5.1	31.8	11.8	4.42	4.83
July	8.4	28.1	8.4	4.73	4.96
August	3.3	30.1	3.3	4.93	5.27
September	3.5	20.8	6.9	5.24	5.36

All of the above investments are with external counterparties, in compliance with the approved Treasury Policy Statement.

8 SPECIFIED INVESTMENTS

In accordance with the Treasury Management Strategy, in specific circumstances, specified funds identified by the Executive Director of Corporate Services are invested in longer term investment vehicles. These funds are Common Good; General Insurance; and Maintenance and Perpetuity of Lairs. These investments may have a higher risk threshold and can be subject to market fluctuation. Investment activity in the current financial year is summarised as follows:

Value of funds invested at 1 April 2023	£5,935,503
Withdrawals made within period	-
Value of funds invested at end of period	£5,935,503
Value of funds at 30 September 2023	£5,774,153
Unrealised Capital Gain / (Loss) on Investments	(161,349)
Income from Investments	147,598
Total Unrealised Gain / (Loss) on Investments	(13,751)

These investments are long-term in nature and thus temporary volatility should be noted, but as there is no intention to sell, the loss in value is not crystallised. These investments continue to provide the required budgetary income.

9 OUTLOOK FOR THE SECOND HALF OF 2023/2024

The Council's appointed treasury advisors (Link Group) assist the Council in formulating a view on interest rates. Link Group provided the following forecasts on 7 November 2023. These interest rate forecasts are for various terms, PWLB certainty rates are gilt yields plus 80bps:

	Dec-23	Mar-24	Jun-24	Sep-24	Dec-24	Mar-25
Base Rate View	5.25%	5.25%	5.25%	5.00%	4.50%	4.00%
3m average earnings	5.30%	5.30%	5.30%	5.00%	4.50%	4.00%
6m average earnings	5.60%	5.50%	5.40%	5.10%	4.60%	4.10%
12m average earnings	5.80%	5.70%	5.50%	5.20%	4.70%	4.20%
5yr PWLB Rate	5.00%	4.90%	4.80%	4.70%	4.40%	4.20%
10yr PWLB Rate	5.10%	5.00%	4.80%	4.70%	4.40%	4.20%
25yr PWLB Rate	5.50%	5.30%	5.10%	4.90%	4.70%	4.50%
50yr PWLB Rate	5.30%	5.10%	4.90%	4.70%	4.50%	4.30%

	Jun-25	Sep-25	Dec-25	Mar-26
Base Rate View	3.50%	3.25%	3.00%	3.00%
3m average earnings	3.50%	3.30%	3.00%	3.00%
6m average earnings	3.60%	3.40%	3.10%	3.10%
12m average earnings	3.70%	3.50%	3.30%	3.30%
5yr PWLB Rate	4.00%	3.80%	3.70%	3.60%
10yr PWLB Rate	4.00%	3.80%	3.70%	3.70%
25yr PWLB Rate	4.30%	4.20%	4.10%	4.10%
50yr PWLB Rate	4.10%	4.00%	3.90%	3.90%

Bank of England Monetary Policy Committee has increased interest rates on three occasions this financial year which is their highest level since the Global Financial Crisis. The interest rate forecast table above shows base rate is expected to plateau at 5.25% during 2023 then begin to fall to 4.50% during 2024. A full economic update is available within appendix 2 of this report.

10 PRUDENTIAL CODE INDICATORS

The Treasury Management activity at mid year was maintained within the prudential code limits. Updated indicators are shown in Appendix 1. Limits for future years have been amended to take account of current expectations.

11 RISK

The Treasury Risks have been reviewed and note no changes to the Treasury Risk Register since last assessment in September 2023 (attached in Appendix 3).

12 POLICY IMPLICATIONS

This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

13 CONSULTATIONS

The Council's Leadership Team have been consulted in the preparation of this report.

14 BACKGROUND PAPERS

None.

ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

08 FEBRUARY 2024

PRUDENTIAL CODE INDICATORS - TREASURY MANAGEMENT INDICATORS

Adoption of Revised CIPFA Treasury Management Code of Practice

Yes

Upper limit for variable and fixed rate exposure

	Net principal re variable rate borrowing / investments	Net principal re fixed rate borrowing / investments
2023/24	30%	100%
2024/25	30%	100%
2025/26	30%	100%
2026/27	30%	100%
2027/28	30%	100%
2028/29	30%	100%

Actual External Debt

	31/03/2022	31/03/2023
	£'000	£'000
Actual borrowing	542,657	516,161
Actual other long- term liabilities	168,748	164,096
Actual external debt	711,405	680,257

Maturity structure of fixed rate borrowing 2023/24

Period	Lower %	Upper %
Under 12 months	0	10
12 months & within 24 months	0	15
24 months & within 5 years	0	25
5 years & within 10 years	0	25
10 years +	50	95
Upper limit for total principal sums invested for over 364 days	n/a	No sums will be invested longer than 364 days

External debt, excluding investments, with limit for borrowing and other long term liabilities separately identified

	Authorised Limit			Operational Boundary		
	Borrowing £000	Other £000	Total £000	Borrowing £000	Other £000	Total £000
2023/24	603,000	160,000	763,000	573,000	160,000	733,000
2024/25	705,000	154,000	859,000	675,000	154,000	829,000
2025/26	734,000	148,000	882,000	704,000	148,000	852,000
2026/27	747,000	142,000	889,000	717,000	142,000	859,000
2027/28	761,000	135,000	896,000	731,000	135,000	866,000
2028/29	760,000	129,000	889,000	730,000	129,000	859,000

PRUDENTIAL CODE INDICATORS - PRUDENTIAL INDICATORS

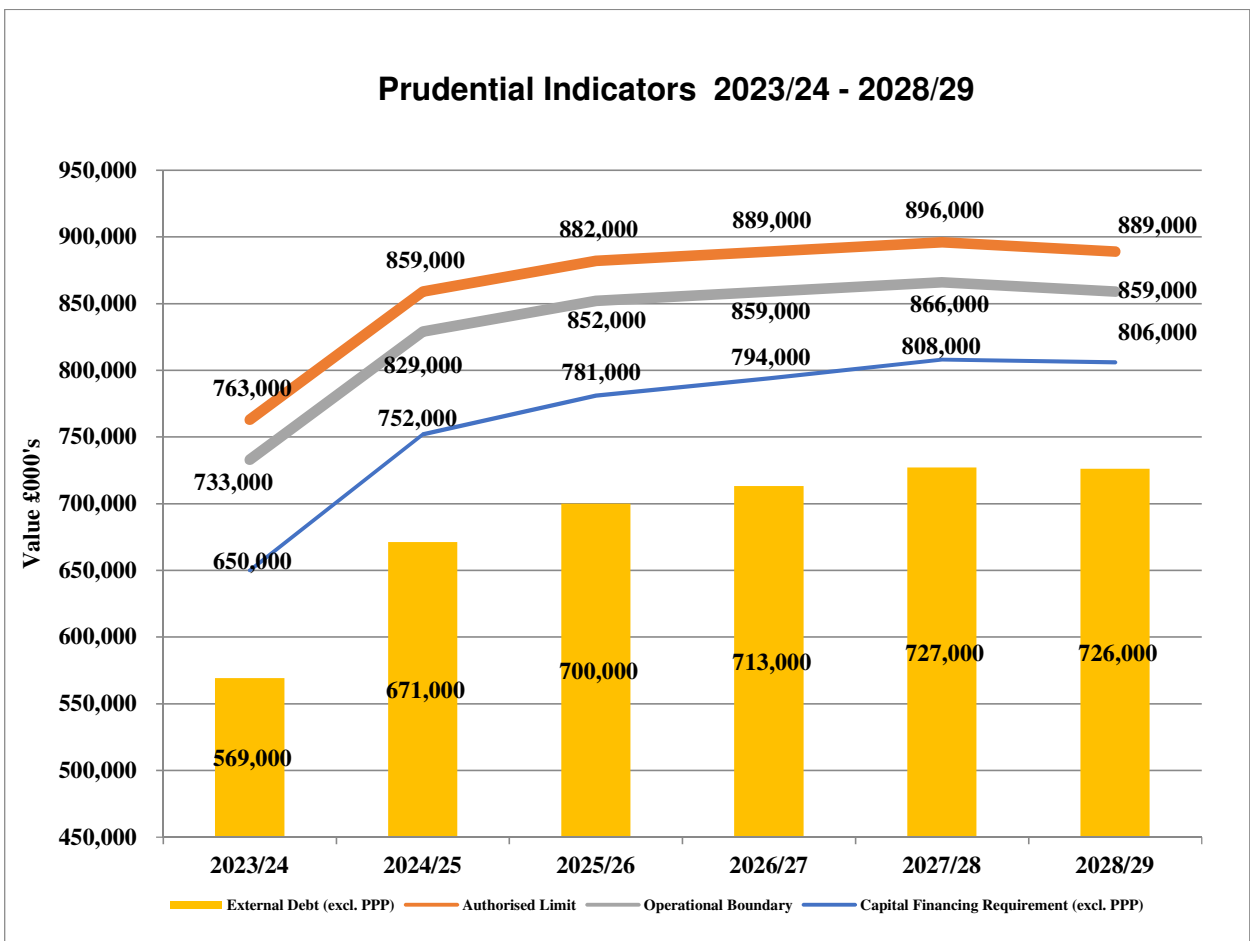
	Capital Expenditure		
	Non-HRA £000	HRA £000	Total £000
2023/24	73,641	18,563	92,204
2024/25	136,304	25,704	162,008
2025/26	48,400	28,206	76,606
2026/27	25,822	30,668	56,490
2027/28	31,750	21,282	53,032
2028/29	12,578	27,382	36,960

	Ratio Commercial & Service Income to Net Revenue Stream	Ratio of financing costs to Net Revenue Stream	
	Non HRA %	Non-HRA %	HRA %
2023/24	1.4	5.1	34.8
2024/25	1.4	5.8	34.6
2025/26	1.3	7.3	34.4
2026/27	1.3	7.3	33.5
2027/28	1.3	7.4	34.9
2028/29	1.3	7.1	36.2

	Net Borrowing Requirement (NBR)			Capital Financing Requirement (CFR)			
	1 April £000	31 March £000	Movement £000	Non-HRA £000	HRA £000	Total £000	Movement £000
2023/24	504,439	569,000	64,561	468,000	182,000	650,000	35,058
2024/25	569,000	671,000	102,000	560,000	192,000	752,000	102,000
2025/26	671,000	700,000	29,000	581,000	200,000	781,000	29,000
2026/27	700,000	713,000	13,000	578,000	216,000	794,000	13,000
2027/28	713,000	727,000	14,000	585,000	223,000	808,000	14,000
2028/29	727,000	725,000	(2,000)	574,000	232,000	806,000	(2,000)

NBR v CFR Difference	
Total £000	
2023/24	81,000
2024/25	81,000
2025/26	81,000
2026/27	81,000
2027/28	81,000
2028/29	81,000

The following provides a graphical representation of the 5 year projection of External Debt, Capital Financing Requirement, Authorised Limit and Operational Boundary :



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Economics Update – September 2023

- The first half of 2023/24 saw:
 - Interest rates rise by a further 100bps, taking Bank Rate from 4.25% to 5.25% and, possibly, the peak in the tightening cycle.
 - Short, medium and long-dated gilts remain elevated as inflation continually surprised to the upside.
 - A 0.5% m/m decline in real GDP in July, mainly due to more strikes.
 - CPI inflation falling from 8.7% in April to 6.7% in August, its lowest rate since February 2022, but still the highest in the G7.
 - Core CPI inflation declining to 6.2% in August from 7.1% in April and May, a then 31 years high.
 - A cooling in labour market conditions, but no evidence yet that it has led to an easing in wage growth (as the 3myy growth of average earnings rose to 7.8% in August, excluding bonuses).
- The 0.5% m/m fall in GDP in July suggests that underlying growth has lost momentum since earlier in the year. Some of the weakness in July was due to there being almost twice as many working days lost to strikes in July (281,000) than in June (160,000). But with output falling in 10 out of the 17 sectors, there is an air of underlying weakness.
- The fall in the composite Purchasing Managers Index from 48.6 in August to 46.8 in September left it at its lowest level since COVID-19 lockdowns reduced activity in January 2021. At face value, it is consistent with the 0.2% q/q rise in real GDP in the period April to June, being followed by a contraction of up to 1% in the second half of 2023.
- The 0.4% month on month rebound in retail sales volumes in August is not as good as it looks as it partly reflected a pickup in sales after the unusually wet weather in July. Sales volumes in August were 0.2% below their level in May, suggesting much of the resilience in retail activity in the first half of the year has faded.
- As the growing drag from higher interest rates intensifies over the next six months, advisors think that the economy will continue to lose momentum and soon fall into a mild recession. Strong labour demand, fast wage growth and government handouts have all supported household incomes over the past year. And with CPI inflation past its peak and expected to decline further, the economy has got through the cost-of-living crisis without recession. But even though the worst of the falls in real household disposable incomes are behind us, the phasing out of financial support packages provided by the government during the energy crisis means real incomes are unlikely to grow strongly. Higher interest rates will soon bite harder too. We expect the Bank of England to keep interest rates at the probable peak of 5.25% until the second half of 2024. Mortgage rates are likely to stay above 5.0% for around a year.
- The tightness of the labour market continued to ease, with employment in the three months to July falling by 207,000. The further decline in the number of job vacancies from 1.017m in July to 0.989m in August suggests that the labour market has loosened a bit further since July. That is the first time it has fallen below 1m since July 2021. At 3.0% in July, and likely to have fallen to 2.9% in August, the job vacancy rate is getting closer to 2.5%, which would be consistent with slower wage growth. Meanwhile, the 48,000 decline in the supply of workers in the three months to July offset some of the loosening in the tightness of the labour market. That was due to a 63,000 increase in inactivity in the three months to July as more people left the labour market due to long term sickness or to enter education. The supply of labour is still 0.3% below its pre-pandemic February 2020 level.
- The cooling in labour market conditions still has not fed through to an easing in wage growth. While the monthly rate of earnings growth eased sharply from an upwardly revised +2.2% in June to -0.9% in July, a lot of that was due to the one-off bonus payments for NHS staff in June not being repeated in July. The headline rate rose from 8.4% (revised up from 8.2%) to 8.5%, which meant UK wage growth remains much faster than in the US and in the Euro-zone. Moreover, while the Bank of England's closely watched measure of regular private sector wage growth eased a touch in July, from 8.2% in June to 8.1%, it is still well above the Bank of England's prediction for it to fall to 6.9% in September.
- CPI inflation declined from 6.8% in July to 6.7% in August, the lowest rate since February 2022. The biggest positive surprise was the drop in core CPI inflation, which declined from 6.9% to 6.2%. That reverses all the rise since March and means the gap between the UK and elsewhere has shrunk (US core inflation is 4.4% and in the Euro-zone it is 5.3%). Core goods inflation fell from 5.9% to 5.2% and the further easing in core goods producer price inflation, from 2.2% in July to a 29-month low of 1.5% in August, suggests it will eventually fall close to zero. But the really positive development was the fall in services inflation from

7.4% to 6.8%. That also reverses most of the rise since March and takes it below the forecast of 7.2% the Bank of England published in early August.

- In its latest monetary policy meeting on 20 September, the Bank of England left interest rates unchanged at 5.25%. The weak August CPI inflation release, the recent loosening in the labour market and the downbeat activity surveys appear to have convinced the Bank of England that it has already raised rates far enough. The minutes show the decision was “finely balanced”. Five MPC members voted for no change and the other four voted for a 25bps hike.
- Like the US Fed, the Bank of England wants the markets to believe in the higher for longer narrative. The statement did not say that rates have peaked and once again said if there was evidence of more persistent inflation pressures “further tightening in policy would be required”. Governor Bailey stated, “we’ll be watching closely to see if further increases are needed”. The Bank also retained the hawkish guidance that rates will stay “sufficiently restrictive for sufficiently long”.
- This narrative makes sense as the Bank of England does not want the markets to decide that a peak in rates will be soon followed by rate cuts, which would loosen financial conditions and undermine its attempts to quash inflation. The language also gives the Bank of England the flexibility to respond to new developments. A rebound in services inflation, another surge in wage growth and/or a further leap in oil prices could conceivably force it to raise rates at the next meeting on 2nd November, or even pause in November and raise rates in December.
- The yield on 10-year Gilts fell from a peak of 4.74% on 17th August to 4.44% on 29th September, mainly on the back of investors revising down their interest rate expectations. But even after their recent pullback, the rise in Gilt yields has exceeded the rise in most other Developed Market government yields since the start of the year. Looking forward, once inflation falls back, Gilt yields are set to reduce further. A (mild) recession over the next couple of quarters will support this outlook if it helps to loosen the labour market (higher unemployment/lower wage increases).
- The pound weakened from its cycle high of \$1.30 in the middle of July to \$1.21 in late September. In the first half of the year, the pound bounced back strongly from the Truss debacle last autumn. That rebound was in large part driven by the substantial shift up in UK interest rate expectations. However, over the past couple of months, interest rate expectations have dropped sharply as inflation started to come down, growth faltered, and the Bank of England called an end to its hiking cycle.
- The FTSE 100 has gained more than 2% since the end of August, from around 7,440 on 31st August to 7,608 on 29th September. The rebound has been primarily driven by higher energy prices which boosted the valuations of energy companies. The FTSE 100’s relatively high concentration of energy companies helps to explain why UK equities outperformed both US and Euro-zone equities in September. Nonetheless, as recently as 21st April the FTSE 100 stood at 7,914.

APPENDIX 3
Six Monthly Risk Report

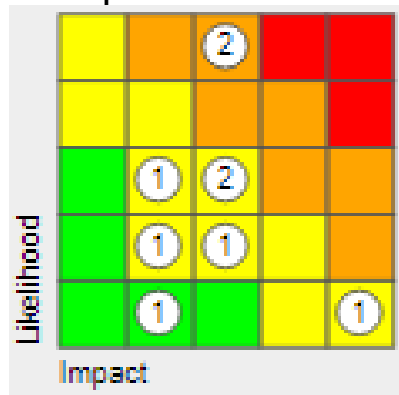
Treasury Risk Register Report

Report Author: Executive Director of Corporate Services

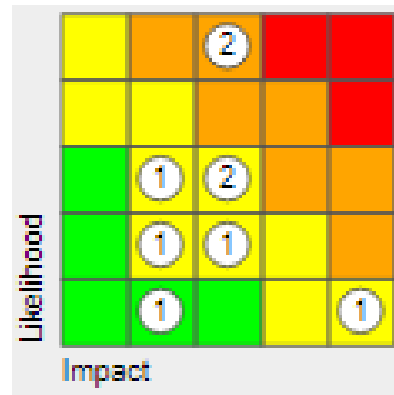
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Total Risk Summary

Residual risk at last report
September 2023



Residual risk at
December 2023



Six Monthly Risk Report

Treasury Risk Register Report

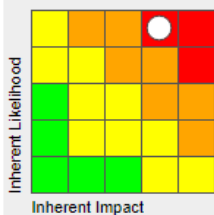
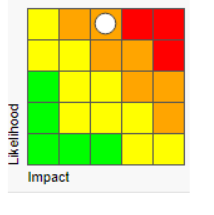
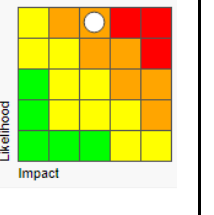
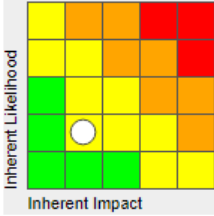
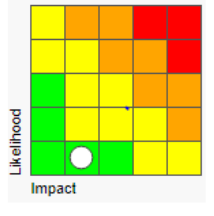
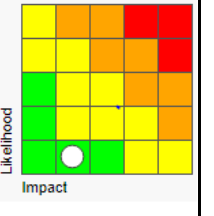
Report Author: Executive Director of Corporate Services

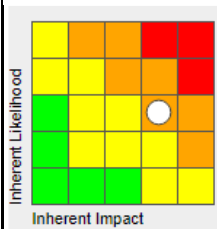
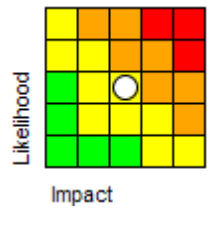
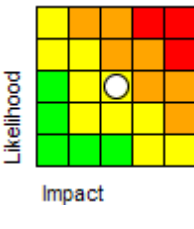
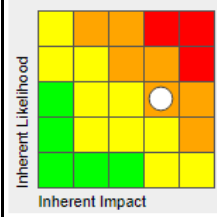
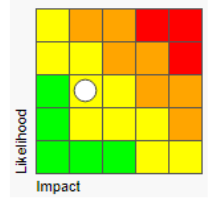
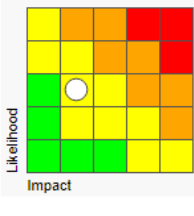
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Risk Title	Risk Factors	Potential Effect	Potential Outcome	Inherent Risk at Sept 2022	Control Measures/Mitigation	Residual Risk Sep 2023	Residual Risk at Dec 2023
1. Loss of capital due to counterparty collapse	The Council loses its principal investment or investment becomes impaired	Counterparty collapses or faces a financial crisis rendering it unable to repay investments	<ul style="list-style-type: none"> . The Council may suffer financial loss . The repayment of funds from the counterparty could be significantly delayed or impaired Either of these outcomes could have an adverse impact on operational funding levels 		<p>Per the Treasury Management Strategy:</p> <ul style="list-style-type: none"> . Maximum investment value on approved counterparties in order to spread and reduce risk. . Controls and procedures are in place to ensure investment and durations limits with approved counterparties are not exceeded. . Counterparties are also monitored and reviewed on a weekly basis at least or more regularly if considered necessary to do so. . Limited threshold rating for approval of counterparties. 		
2. Decline / rise in interest rates	The Council may not achieve its target level of interest payable / receivable for budgetary purposes.	Impact on revenue budget resulting in mandatory efficiencies affecting service delivery	<ul style="list-style-type: none"> . Base rate rising affecting associated market borrowing rates. . Lower risk counterparties not offering competitive rates in low rate environment affecting deposits. 		<ul style="list-style-type: none"> . Arranging longer term investments where investment objectives and criteria allows in order to capitalise on higher rate of returns without risk of opportunity cost. . Offsetting the loss of interest income / cost of borrowing by undertaking refinancing loans at lower rates than previously undertaken as opportunities arise. 		

Risk Title	Risk Factors	Potential Effect	Potential Outcome	Inherent Risk at Sept 2022	Control Measures/Mitigation	Residual Risk Sep 2023	Residual Risk at Dec 2023
					The Council continually monitors base rate and rates being achieved against budget to ensure it has secured the best value possible in the challenging economic climate.		Increased Likelihood
3. Fraudulent activity (now incorporating cybercrime)	<ul style="list-style-type: none"> . Financial loss to the Council as a direct consequence of fraudulent activity . Loss of money for the Council . Disciplinary action for the staff involved . Reputational damage 	Potential fraud by staff	Fraudulent activity	<p>Inherent Likelihood</p> <p>Inherent Impact</p>	<ul style="list-style-type: none"> . Segregation of staff duties. . Review and monitor of internal controls to ensure the correct protocol across all relevant areas is being followed. . Ensure all insurance policies and relevant guarantees (Fidelity £2m per individual circumstance) are fully up to date. 	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>
4. Money laundering	<ul style="list-style-type: none"> . Fine and/or imprisonment . Reputational damage 	Money laundering by external parties	External parties pay a transaction by cash and subsequently request a refund	<p>Inherent Likelihood</p> <p>Inherent Impact</p>	<ul style="list-style-type: none"> . Ensure the money laundering policy is reviewed and up to date. . Reconcile refunds back to source of income. . Raise awareness of this issue amongst staff . Review requirements of financial regulations. 	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>
5. Network Failure / banking system being inaccessible	Daily Treasury functions will not be carried out	The Council is unable to carry out its daily treasury functions due to a network failure	RBS Bankline is unavailable or the Council's network has failed	<p>Inherent Likelihood</p> <p>Inherent Impact</p>	Invoke the business continuity plan to minimise the effects of a network issue.	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>

Risk Title	Risk Factors	Potential Effect	Potential Outcome	Inherent Risk at Sept 2022	Control Measures/Mitigation	Residual Risk Sep 2023	Residual Risk at Dec 2023
6. Revenue Budgets	The Council may not be able to execute some desired projects	Revenue budgets are unable to meet borrowing costs of capital schemes	Revenue budgets come under pressure from restricted government funding or non-delivery of programmed savings		<ul style="list-style-type: none"> . Revenue budgets monitored on monthly basis and future year forecasts undertaken. . Reserve some capital receipts to cover borrowing costs in the short term. . Ensure monthly financial reports and Forecasts are produced and analysed . All borrowing decisions are made based on prudential indicators and are planned based on long term projections. . Capital Plans and borrowing is reviewed annually before the revenue budget is set to ensure that the costs are affordable. 		
7. Lack of suitable counterparties	Use of counterparties not paying best value rates.	The Council does not have enough "space" with approved counterparties to place investments/deposit surplus cash balances.	Rising cash balances and a restricted counterparty list		<p>The Council continually monitors its approved counterparty listing in conjunction with cash balances. Any potential new investment opportunities are discussed at Treasury Management performance meetings. The Council uses call accounts and money market funds to deposit surplus cash balances However, there are also limits on the amounts deposited to such funds. The Council has a facility to deposit cash with the Debt Management Office should all other investment options be exhausted.</p>		

Risk Title	Risk Factors	Potential Effect	Potential Outcome	Inherent Risk at Sept 2022	Control Measures/Mitigation	Residual Risk Sep 2023	Residual Risk at Dec 2023
8. Lack of expertise of Committee or amongst officers	Financial consequence	Lack of training and continuous professional development.	Detrimental decisions made in relation to financial investment management.		<ul style="list-style-type: none"> . Provision of training . External investment advice . Consultation with peer groups. 		
9. Over reliance on key officers	Detrimental decisions made in relation to financial investment management.	Specialist nature of work means there are relatively few experts in this field	If an officer leaves or falls ill knowledge gap may be difficult to fill.		<ul style="list-style-type: none"> . Key officers transfer specialist knowledge to colleagues. . Procedures & guidance available. . In the short-term advice can be sought from external investment adviser and/or peer support. 		

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REPORT TO: CITY GOVERNANCE COMMITTEE - 19 FEBRUARY 2024

REPORT ON: ACCOUNTS COMMISSION'S FINDINGS ON BEST VALUE IN DUNDEE CITY COUNCIL

REPORT BY: CHIEF EXECUTIVE

REPORT NO: 37-2024

1. PURPOSE OF REPORT

To advise members of the Accounts Commission's findings following the Controller of Audit's Statutory Report on Best Value in Dundee City Council.

2. RECOMMENDATIONS

2.1 It is recommended that Committee:

- (i) considers the Accounts Commission's findings into the Controller of Audit's Statutory Report on Best Value in Dundee City Council, attached as Appendix 1; and
- (ii) notes that officers will advise the Commission of the steps that the Council has agreed to take in response to the findings and will publish the required notice.

3. FINANCIAL IMPLICATIONS

None.

4. BACKGROUND

- 4.1 The Accounts Commission's approach to Best Value has evolved since Best Value was introduced 20 years ago and is now fully integrated within annual audit work. Best Value at the Council will be assessed comprehensively over the period of the audit appointment and will include an annual evaluation of the Council's approach to demonstrating improvement in the effective use of resources and public performance reporting.
- 4.2 In addition to the annual work on Best Value, thematic reviews as directed by the Accounts Commission are undertaken, and in 2022/23 the focus was on the effectiveness of Council leadership in developing new local strategic priorities following the elections in May 2022.
- 4.3 At least once every five years, the Controller of Audit will report to the Accounts Commission on the Council's performance in meeting its Best Value duties. The programme of Controller reports commenced in October 2023 with Dundee City Council being the second Council considered by the Accounts Commission in November 2023.
- 4.4 The Council's thematic report was based on fieldwork carried out by Audit Scotland in 2023 and the report was considered by the City Governance Committee on 25 September 2023 (Article II refers) and subsequently by the Scrutiny Committee on 6 December 2023 (Article IX refers). The Council's annual audit report was also considered by the City Governance Committee on 20 November 2023 (Article III refers). The recommendations made in both reports were accepted and timescales for completion agreed as set out in Appendix 1 of the [Annual Audit Report](#).

5. ACCOUNTS COMMISSION'S FINDINGS

- 5.1 The Controller of Audit's report was considered by the Accounts Commission at its meeting on 9 November 2023. Subsequently, the Accounts Commission's findings was published on 30 November 2023 and is attached as Appendix 1.
- 5.2 The Council is required to consider the findings and respond within three months after publication of the report, as set out in the letter from the Accounts Commission which is attached as Appendix 2.
- 5.3 In summary, the Accounts Commission commended Dundee City Council for its performance. Endorsing the Controller of Audit's report, the Commission noted that all the recommendations made following an earlier Best Value Assurance Report in September 2020 had been implemented.
- 5.4 Other key findings by the Commission included:
- Effective leadership provided by officers and elected members is an area of strength for the Council. The Commission noted the clarity and coherence of the Council's vision and planning, its alignment of resources with priorities, and its fair and balanced public performance reporting.
 - A commitment to community empowerment and engagement comes through strongly in the Council Plan and in the evidence of how this is being delivered in practice.
 - Financial management and planning are sound. Challenges remain around delivery of the capital programme, but this is also showing signs of progress.
 - The Council has a commitment to continuous improvement, and the Commission encouraged elected members and officers to share their approach to this with other councils.
- 5.5 The Commission recognised that there are high levels of deprivation and child poverty in Dundee, along with long-standing challenges around educational attainment and drug deaths. The Council has acknowledged that there are areas where more needs to be done to improve the lives of people in the city and is working hard with partners and communities to deliver change. The Commission said it was assured that the City Council is taking action in response to these priority issues and acknowledged it will take time to determine the impact of this work.
- 5.6 The findings by the Accounts Commission represent a strong validation of the work that is being carried out by the Council in a number of areas. This independent assessment and scrutiny should give people who live and work in the city confidence that their local authority is well led, delivering quality services, and providing Best Value.
- 5.7 Group Leaders and the Council Leadership Team were invited to meet with representatives of the Accounts Commission on 1 February 2024. The positive findings were welcomed and endorsed at this meeting.

6.0 POLICY IMPLICATIONS

This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

7.0 CONSULTATIONS

The Council Leadership Team were consulted in the preparation of this report.

8.0 BACKGROUND PAPERS

None.

GREGORY COLGAN
CHIEF EXECUTIVE

8 February 2024

ANDREA CALDER
HEAD OF CHIEF EXECUTIVE'S SERVICE'S

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Best Value

Dundee City Council



ACCOUNTS COMMISSION 

Prepared by the Controller of Audit
November 2023

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Key facts	3
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Accessibility

You can find out more and read this report using assistive technology on our [website](#).

For information on our accessibility principles, please visit: www.audit-scotland.gov.uk/accessibility.

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Key facts

	20	Square miles (Smallest council area in Scotland)
	147,720	Population
	5,973	Workforce (FTE)
	29	Elected members 29 councillors in total; 15 Scottish National Party, 9 Scottish Labour, 4 Scottish Liberal Democrat, 1 Conservative and Unionist (SNP majority administration)
	£38m	Savings required by 2026/27 Cumulative funding gap of £38 million projected for the period 2024-27
	£392m	Net revenue budget 2022/23 including £56.5 million HRA budget
	£99m	Capital budget 2022/23 £75 million for general fund projects and £24 million for HRA projects

Commission findings

- 1** The Commission welcomes and endorses the Controller of Audit's report on Best Value in Dundee City Council.
 - 2** Overall, we commend the council for the progress it has made since the Best Value Assurance Report in September 2020, and are pleased to note that it has implemented all our recommendations.
 - 3** It is clear that the effective leadership provided by officers and elected members is an area of strength for the council. This is demonstrated in the clarity and coherence of the council's vision and planning, its alignment of resources with its priorities, and its fair and balanced public performance reporting, which we welcome.
 - 4** We are also impressed by the commitment to community empowerment and engagement that comes through strongly in the Council Plan and by the evidence of how this is being delivered in practice.
 - 5** We recognise that there are high levels of deprivation and child poverty in Dundee, and long-standing challenges around educational attainment and drug deaths. The Commission is assured that the council is taking action in response to these issues, as in other areas of policy.
 - 6** The council's financial management and planning is sound and again should be commended. We note that challenges remain around delivery of the capital programme, but that this is also showing signs of progress.
 - 7** We welcome the council's commitment to continuous improvement, and encourage elected members and officers to share their approach to this with other councils. It will be essential to sustain this year on year and we look forward to following the council's progress in future Annual Audit Reports.
-

Controller of Audit report

- 1.** This report is made by the Controller of Audit to the Commission under Section 102(1) of the amended Local Government (Scotland) Act 1973.
- 2.** This report draws the Commission's attention to the findings set out in the [2022/23 Annual Audit Report \(AAR\), \(Appendix 1\)](#), including the [Best Value thematic report](#), on how effectively Dundee City Council demonstrates Best Value ([Appendix 2](#)) through continuous improvement in how it delivers its strategic priorities. It reflects the new audit approach to Best Value whereby it is fully integrated with the annual audit at each council and includes detailed work each year focusing on a national theme.
- 3.** The Best Value Assurance Report (BVAR) September 2020 noted that the council had demonstrated a steady pace of improvement since the last Best Value audit in 2010. Since then, the council has continued to make progress and has implemented all of the BVAR recommendations.
- 4.** The chief executive and leadership team have worked together with elected members to provide effective leadership for the council over the last three years. The overall vision of the council remains clear. The Council Plan has been revised, in consultation with citizens, community planning partners and staff, and sets out the council's priorities. Strategic service plans are being updated. The council had a good communication strategy to raise awareness of the new plan and clearly set out how the Council Plan links to other key strategies and plans.
- 5.** The council has an established performance framework which aligns with the Council Plan and its priorities. The council's first Annual Performance Report on the new plan was issued in June 2023 and presented a fair and balanced assessment of performance. Performance is reported internally, and a clear and accessible summary is available on the council website. The council has demonstrated good compliance with the [Statutory Performance Information Direction](#), with clear and focused improvement targets on council priorities, and balanced reporting with easily accessible reports on its website.
- 6.** The council uses the Public Service Improvement Framework on a risk-based approach to drive improvement in specific performance areas. Over the last two years the council's focus has been on revising its plans and it recognises that self-evaluation exercises have been limited during this time. The council is reviewing its Performance Management Framework, which it has committed to do by spring 2024, and will set out its updated approach to self-assessment and improvement.

7. In June 2023, the council reported mixed progress against its first year of the new Council Plan. Performance compared to other councils has improved overall with 41 per cent of indicators in the top two quartiles in 2021/22, but, despite relative improvements, educational attainment measures have remained in the bottom quartile.

8. Community empowerment is strongly reflected within the Council Plan. While the council has historically progressed community asset transfers, no community asset transfers were completed during 2021/22 or 2022/23. The council has though supported community groups and charities to take on responsibility for operating council owned assets for the benefit of local residents.

The council should consider what more can be done to encourage and support increased community ownership.

9. The council has a strong focus on community engagement and is working with community groups to support residents struggling with rising living costs and has some good examples of this work.

The council is not yet achieving its participatory budgeting target of one per cent and should identify further areas where participatory budgeting can be used effectively.

10. The new Council Plan and the Community Partnership Plan (City Plan) were both revised in 2022 and share a common vision for the city of Dundee. The council and its partners know that they need to do more to tackle the high levels of child poverty across the city. Inequality is a clear focus of the City Plan. Local Fairness Initiatives exist to address persistent and enduring issues with inequality, and the council is working with the DWP and Scottish Government on a child poverty pathfinder project. Dundee is making good progress, with further activity planned to the end of 2024/25. The Dundee Partnership continues to work to address drug deaths. Recent data demonstrates some improvement in this area.

11. The council has several plans and strategies that are focused on tackling climate change and reaching net zero by 2045. The council and partners have formed a Climate Leadership Group to coordinate and collaborate on the city's Climate Action Plan. The council is due to publish a Net Zero Transition plan in 2023 which will outline the council's organisational approach to emissions reduction. The Capital Plan includes £96 million of projects to help tackle climate change and reach net zero.

12. Future financial plans show a cumulative funding gap of £38 million for the period 2024-27.

The council's long-term financial strategy needs to be updated to show how resources will be targeted towards priority areas over the next ten years.

13. The council has reported savings of over £147 million through its transformational programme since 2008. The council is embarking on the sixth phase of its transformational programme, which is now integrated within the Council Plan as part of the 'Design a Modern Council' priority. This focuses on property rationalisation, digital service provision, service re-design, shared services and payments and income generation. Officers are currently working up realistic estimates of the savings that can be achieved on the various projects within the transformation programme, which will feed in to future budgets and longer-term financial plans.

14. The council's capital programme is aligned with the priorities in the Council Plan. However, the council has reported slippage of 46 per cent against its 2022/23 capital plan. The council also reported high levels of slippage against its capital programme in 2020/21 and 2021/22. While some of this was Covid-related, some represents over-optimism in the capital plan, and the overall level of year-on-year slippage in the capital programme needs to be managed.

Management should continue to monitor the affordability and deliverability of the five-year capital plan and clearly report to members on emerging overspends, or slippage against key milestones and completion dates.

15. The council has appropriate and effective governance arrangements in place and operates in an open and transparent manner. The council has approved a new committee structure to better reflect priorities.

16. Services were often slow to respond to draft internal audit reports during 2022/23. This led to delays in actions to address recommendations for improvement being agreed, and the reports being issued for consideration by elected members.

Management should ensure that draft internal reports are cleared and reported in a timely manner so that recommendations for improvement can also be actioned within an appropriate timescale.

17. A Strategic Workforce Plan 2023-28, which sets out the workforce transformation and planning required at a corporate level, was approved in July 2023. A Strategic Asset Management Plan and Digital Strategy are also in place.

18. I look forward to seeing the progress the council makes in taking forward the recommendations from the Best Value thematic report and the recommendations from the annual audit, outlined in [Appendix 1](#) of the AAR, in due course.

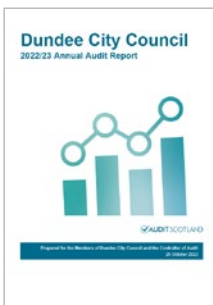
Appendix 1

2022/23 Annual Audit Report

This report summarises the findings from the 2022/23 annual audit of Dundee City Council.

This Annual Audit Report comprises:

- significant matters arising from the audit of the council's Annual Accounts
- conclusions on the council's performance in meeting its Best Value duties
- conclusions on the following wider scope areas that frame public audit as set out in the Code of Audit Practice 2021:
 - Financial management
 - Financial sustainability
 - Vision, leadership and governance
 - Use of resources to improve outcomes.



2022/23 Annual Audit Report Dundee City Council October 2023



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Appendix 2

Best Value

The Local Government in Scotland Act 2003 introduced a statutory framework for Best Value for local authorities. The Best Value duties set out in the Act are:

- to make arrangements to secure continuous improvement in performance (while maintaining an appropriate balance between quality and cost); and, in making those arrangements and securing that balance, to have regard to economy, efficiency, effectiveness, the equal opportunities requirement and to contribute to the achievement of sustainable development
- to achieve break-even trading accounts, subject to mandatory disclosure
- to observe proper accounting practices
- to make arrangements for the reporting to the public of the outcome of the performance of functions.

Best Value

Dundee City Council



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www.audit-scotland.gov.uk

ISBN 978 1 915839 28 2

Greg Colgan
Chief Executive
Dundee City Council
City Chambers
21 City Square
Dundee
DD1 3BY

22 November 2023

Dear Mr Colgan,

Statutory Report: Best Value in Dundee City Council

Further to my letter of 1 November, and our meeting on 10 November, I am writing to confirm that, at its meeting on 09 November, the Accounts Commission agreed to make findings on the Controller of Audit's Statutory Report on Best Value in Dundee City Council. I enclose a copy of the findings.

The Commission intends to publish the findings together with the report on the morning of 30 November 2023. I understand that Audit Scotland's communications team are contacting your communications colleagues about the publication arrangements. Please note that the findings and the report are embargoed for use by the media until then, and the Commission will not make any comment in response to media enquiries before that.

At our meeting we also discussed the Council's statutory obligations in how it is required to deal with the report. These obligations are also attached. Essentially, the Council is required to consider the Commission's findings at a meeting of the Council within three months of receiving them, or within such a period as the Commission may specify in writing. If you think the Council will require more time for this, please let me know and we can discuss.

As we also discussed at our meeting, it's the Commission's practice to seek a meeting to discuss the findings directly with representatives of the Council, which would preferably take place before the meeting of the Council at which it considers the findings referred to above. The Commission would be happy to come to Dundee for the meeting and the Commission Support Team can take forward arrangements for this with your office.

Yours sincerely



Allan Campbell
Secretary to the Commission

ACCOUNTS COMMISSION**STATUTORY REPORT: Best Value in Dundee City Council****30 November 2023****FINDINGS**

The Commission welcomes and endorses the Controller of Audit's report on Best Value in Dundee City Council.

Overall, we commend the Council for the progress it has made since the Best Value Assurance Report in September 2020, and are pleased to note that it has implemented all our recommendations.

It is clear that the effective leadership provided by officers and elected members is an area of strength for the Council. This is demonstrated in the clarity and coherence of the Council's vision and planning, its alignment of resources with its priorities, and its fair and balanced public performance reporting, which we welcome.

We are also impressed by the commitment to community empowerment and engagement that comes through strongly in the Council Plan and by the evidence of how this is being delivered in practice.

We recognise that there are high levels of deprivation and child poverty in Dundee, and long-standing challenges around educational attainment and drug deaths. The Commission is assured that the Council is taking action in response to these issues, as in other areas of policy.

The Council's financial management and planning is sound and again should be commended. We note that challenges remain around delivery of the capital programme but that this is also showing signs of progress.

We welcome the Council's commitment to continuous improvement and encourage elected members and officers to share their approach to this with other councils. It will be essential to sustain this year on year and we look forward to following the Council's progress in future Annual Audit Reports.

**SELECTED STATUTORY PROVISIONS FOR REPORTS BY THE CONTROLLER OF AUDIT
AND PROCEDURE OF THE ACCOUNTS COMMISSION**

**AN AMALGAMATION OF EXCERPTS FROM THE LOCAL GOVERNMENT (SCOTLAND)
ACT 1973 AND THE LOCAL GOVERNMENT IN SCOTLAND ACT 2003**

S102 1973 Act - Reports by the Controller of Audit

- (1) The Controller of Audit may, and if so required by the Commission, shall make reports to the Commission with respect to -
- (a) the accounts of local authorities audited under this part of this Act;
 - (b) any matters arising from the accounts of any of those authorities or from the auditing of those accounts being matters that the Controller considers should be considered by the local authority or brought to the attention of the public;
 - (c) the performance by a local authority of their duties under Part 1 (best value and accountability) and Part 2 (community planning) of the Local Government in Scotland Act 2003.
- (2) The Controller of Audit shall send a copy of a report made under subsection (1) above to
- (a) any local authority named in the report; and
 - (b) any other person the Controller thinks fit.
- (2A) A local authority shall, forthwith upon their receiving a copy of a report sent to them under subsection (1) or (2) above, supply a copy of that copy report to each member of the authority and make additional copies available for public inspection.

S3 2003 Act - Action by Accounts Commission following report by Controller of Audit

On a report being made to it by the Controller of Audit under section 102(1) of the Local Government (Scotland) Act 1973 the Accounts Commission may do, in any order, all or any of the following, or none of them -

- (a) direct the Controller of Audit to carry out further investigations;
- (b) hold a hearing;
- (c) state its findings.

S4(2)(b) 2003 Act

Findings which do not follow a hearing shall be treated as the findings of the members of the Commission holding a hearing.

- (3) Findings may include recommendations and the persons to whom those recommendations may be made include the Scottish Ministers.
- (4) The Accounts Commission shall give a copy of findings so made to any member or officer of a local authority who was named in the report upon which proceeded the hearing to which the findings relate.

S103E 1973 Act - Action by local authorities

- (1) A local authority receiving a copy of findings shall consider those findings at a meeting of the authority within three months of receiving them or within such longer period as the Commission may specify in writing.

- (2) The duty imposed on a local authority by subsection (1) above shall be discharged only by that authority and not by a committee or sub committee or an officer.
- (3) Where findings received by a local authority contain recommendations, the authority shall decide -
 - (a) whether to accept any or all of those recommendations;
 - (b) what, if any, action to take in response to those recommendations.
- (4) A meeting under subsection (1) above shall not be held unless, at least seven clear days before the meeting, there has been published, in a newspaper circulating in the area of the local authority concerned, a notice which -
 - (a) states the time and place of the meeting;
 - (b) indicates that the meeting is to be held in order to consider the findings of the Commission and any recommendations in those findings; and
 - (c) describes the nature of those findings and of any such recommendations.
- (5) The local authority shall, as soon as practicable after that meeting -
 - (a) notify the Commission of any decisions made in pursuance of subsection 3 above; and
 - (b) publish, in a newspaper circulating in the area of the local authority, a notice containing a summary, approved by the Commission, of any such decisions.
- (6) A notice under subsection 5(b) above shall not need to summarise any decision made while the public were excluded from the meeting -
 - (a) under section 50A (2) of this Act (confidential matters) or in pursuance of a resolution under section 50A (40) of this Act (exempt information); but
 - (b) in a case where section 50C and 50D of this Act (availability for inspection after meetings of minutes, background papers and other documents) apply in relation to the meeting, shall indicate the documents which, in relation to that meeting, are open for inspection in accordance with those sections.

ITEM No ...10.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: LEISURE & CULTURE DUNDEE - PERFORMANCE AND IMPACT REPORT FOR 2022-23

REPORT BY: CHIEF EXECUTIVE AND MANAGING DIRECTOR OF LEISURE & CULTURE DUNDEE

REPORT NO: 51-2024

1. PURPOSE OF REPORT

To provide the annual report for financial year 2022-23 setting out financial and performance information on Leisure & Culture Dundee to meet the guidance on Following the Public Pound.

2. RECOMMENDATIONS

It is recommended that Committee note the attendance performance across the range of services undertaken by Leisure & Culture Dundee in section 5 and in more detail in Appendix 1.

3. FINANCIAL IMPLICATIONS

- 3.1 In 2022-23 the Council paid a management fee to Leisure & Culture Dundee of £8,476,000. In addition to this, the Council also provided additional revenue support of £1,298,974 to offset lost income due to the COVID-19 pandemic (the agreed additional revenue support budget for the year was £2,618,217). Leisure & Culture Dundee also absorbed the additional cost of the 2022-23 pay award of £703,560. The gross turnover (unaudited) for Leisure & Culture Dundee for the same financial year was £17,045,468. The Management Fee and additional revenue support is 57% of the turnover.
- 3.2 There are further fees paid to Leisure & Culture Dundee by Dundee City Council of £1,149,761 for a variety of other services (see section 4.5).
- 3.3 The Council also provides circa £7.3m to support property and buildings maintenance, IT and support costs, and loan charges in relation to facilities managed by Leisure & Culture Dundee.
- 3.4 As a Scottish Charitable Incorporated Organisation (SCIO) the Scottish Government provides relief of rates to Dundee City Council for the properties operated by Leisure & Culture Dundee, the value of which for 2022-2023 was £3,116,626.
- 3.5 During 2022-2023, Leisure & Culture Dundee raised £1.391m (£1.554m in 2021/22) to support programmes and services provided in Dundee from Sport Scotland (Active Schools included in para 3.2 above), and Macmillan, EventScotland, Creative Scotland, various trusts and private sector sponsorship.
- 3.6 The closure of Olympia for remedial works was expected to have a financial impact on Leisure & Culture Dundee in financial years 2022/23 and 2023/24, but any gap would be offset by staff redeployment and vacancies and anticipated additional income at other leisure facilities throughout the city. It has now reopened on 18 December 2023.
- 3.7 In October 2022 the Council agreed to authorise the Chief Executive to issue a letter of comfort to Leisure and Culture Dundee confirming the Council's continuing financial support in financial year 2022/23 and for a period of at least 12 months beyond the date of the signing of Leisure and Culture Dundee's 2021/22 accounts whilst setting out an expectation that from 2023/24 Leisure and Culture Dundee will operate with a balanced budget (Article III of the minute of Policy and Resources Committee on 31 October 2022 refers). Leisure and Culture Dundee have been provided with additional financial support of £2.914m over the past two years to mitigate the impact of Covid 19 with the expectation that this support will cease this year. The

expected cost of financial support to LACD for 2023/24 of £1.586m will be met from Covid earmarked reserves. To provide certainty, stability and time for Leisure and Culture Dundee to develop a balanced budget from 2024/25 onwards the Council further agreed (Article VI of the minute of the meeting of City Governance on 21 August 2023 refers) to extend this support to 31 March 2024. It was further agreed on City Governance meeting on 4 December 2023 that the Chief Executive was authorised to extend the support to LACD to 30 June 2024 should this be necessary.

4. BACKGROUND

- 4.1 Reference is made to Article VII of the minute of the Policy and Resources Committee of 7 December 2015, (report 425-2015), where approval was given for updating the Council's guidance on Following the Public Pound. As the Council provides substantial funding to Leisure & Culture Dundee to deliver a range of services on its behalf, an annual report is brought to Committee and made publicly available to ensure scrutiny and accountability.
- 4.2 Leisure & Culture Dundee is a Scottish Charitable Incorporated Organisation established in 2011 with responsibility for delivery of the following services on behalf of Dundee City Council:
- Library and Information Services
 - Cultural Services
 - Leisure and Sports Services
- 4.3 Leisure & Culture Dundee is a key partner and in the joint City Plan and Council Plan Progress Report (Article III of the minute of the Policy and Resources Committee of 23 August 2021, Report 211-2021 refers) progress was noted on 11 priority actions and 4 Council Key Performance Indicators where Leisure & Culture Dundee are responsible for delivery. Leisure & Culture Dundee are also essential to the delivery of the City Council's Physical Activity Strategy adopted at the Policy and Resources Committee 31 October 2016 (Report 345-2016, Article III of the minute refers) and the Cultural Strategy 2015-2025 (Article VI of the minute of the meeting of the Policy and Resources Committee on 12 January 2015, report 7-2015 refers).
- 4.4 In addition to its three core service areas listed above, Leisure & Culture Dundee is funded to deliver or oversee a variety of initiatives and agreements on behalf of the Council and Dundee Partnership e.g. Active Schools, Outdoor Education, the School Library Service.
- 4.5 An Annual Report is also submitted to the Office of the Scottish Charity Regulator, and each service produces an annual report, copies of which are available through Dundee's Public Libraries or online at <http://www.leisureandculturedundee.com/who-we-are>. This report is ahead of that timetable and is based on monitoring information shared with the Council for 2022/23.
- 4.6 The Chief Executive and Director of Leisure & Culture Dundee are working on a review of the agreements in place between the Council and Leisure & Culture Dundee to bring forward any necessary amendments. This will include updating the service levels agreements and refreshing the performance management framework.

5. PERFORMANCE DATA AND HIGHLIGHTS FOR 2022/23

- 5.1 The following performance highlights are taken from the public service obligation report (as described in the agreement between the Council and Leisure & Culture Dundee) in Appendix 1, which gives a comparison with the previous year and includes the statutory performance indicators included in the Local Government Benchmarking Framework.
- 5.2 The table gives a summary of the total number of attendances/visits to facilities operated by Leisure & Culture Dundee on behalf of the City Council during 2022/23 compared to 2021/22 and also 2019/2020 (Pre-Pandemic). In person attendance has increased significantly and showing recovery from the restrictions caused by the pandemic. However, to show there is still some way to go to recover to pre COVID levels, the second % Change column gives the

comparison between the latest year compared with the pre Covid year of 2019 – 2020. Museums and Leisure and Sport activity have almost recovered to pre-covid levels.

In Person Attendance	2019/20	2021/22	2022/23	% Change 2022/23 on previous year	% Change 2022/23 on pre-Covid year (2019/20)
Library	997,467	244,702	517,463	111%	-48%
Museums	215,596	104,644	178,956	71%	-17%
Halls/venues	270,175	172,310	134,814	-22%	-50%
Leisure & Sport	1,523,035	1,064,620	1,356,431	27%	-11%
Active Schools	229,424	74,974	124,073	65%	-46%
Wildlife Centre	73,757	85,233	77,827	-9%	6%
TOTAL	3,309,454	1,746,483	2,389,564	37%	-28%
Digital Products					
Library	45,288	124,829	159,410	29%	252%
Culture	371,257	1,351,514	495,318	-63%	33%
TOTAL	416,545	1,476,343	159,410	-89%	-62%

5.3 Leisure & Culture Dundee achievements during 2020/23 include:

- Increased attendance to all leisure and culture premises as recovery from COVID commenced.
- Caird Hall is now moving to full use pre-Covid levels, and event programme continues to expand to attract new audiences.
- The McManus is performing well, with visitor numbers almost back to pre-Covid levels, significantly different to reports from the wider cultural attractions and museum sector.
- A digital strategy is currently being completed to support the service to become more responsive to digital technologies and apply this into organisational culture. This will support creating a digitally upskilled workforce that supports the introduction of advancing technologies into our organisational model.
- Introduced the new membership COMMUNITYFIT which makes the most of existing community facilities which we already have and offer customers a new type of fitness membership that is full-service, affordable, and locally accessible.
- The priorities for Active for Life in 2023 kicked off with a focus to increase referrals getting back to previous pre-Covid levels. A 6-month project plan, working on promotion within the healthcare professionals in the city, has been developed. Active for Life referrals were up 50% in February on January figures.
- Partnership Agreement with sportscotland – agreements have been signed off by sportscotland, Dundee City Council and LACD, confirming the next 4 four years of investment for Active Schools and Community Sports Hubs.
- New partnerships have been entered into with the Community Empowerment team for the Lochee Ward to provide targeted swim access for families and children and has resulted in increased attendances during the year.
- Over the past year, Ancrum Outdoor Centre has moved from strength to strength with more customers than ever before accessing services.

- The Regional Performance Centre has hosted a large number of key national events, local festivals and training sessions.
- Central Library is now a registered 'Data Bank' with the Good Things Foundation, the first in Dundee. Digital Support Volunteers based in the Opportunities department of central library participated in the launch of the initiative and have widely promoted this resource with partners across Dundee.

6. POLICY IMPLICATIONS

- 6.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

7. CONSULTATIONS

- 7.1 The Council Leadership Team and Leisure & Culture Dundee's management team have been consulted in the preparation of this report.

8. BACKGROUND PAPERS

None.

GREGORY COLGAN
CHIEF EXECUTIVE

8 FEBRUARY 2024

JUDY DOBBIE
MANAGING DIRECTOR LEISURE & CULTURE DUNDEE

SERVICE AGREEMENT PART 2 - SPECIFICATION OF PSO SERVICES SUMMARY – Reporting Period: 01/04/2021 to 31/03/2022

Cultural Services

Cultural Services will provide the operation, management development and promotion of the arts, heritage, culture and science services throughout the City. The section will provide access to high quality educational resources and promote inclusion and deliver outreach activities to adults.

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per visit to museums and galleries (LGBF Family Group Average)	£115.12 (£119.65)	£1.34 (£14.26)	-£113.78 (105.39)	-98.8% (-88%)
% of adults satisfied with museums and galleries	No data	No data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
Total visitors in person	215,596	209,288	354,784	145,496	70%
McManus	167,391	104,644	178,956	+74,312	+71%
Broughty Castle Museum	42,149	88,766	132,891	+44,125	+49.7%
Mills Observatory	5,601	11,008	35,513	+24,505	+222.6%
Collections Unit / Steeple	455	4,870	7,424	+2,554	+52.4%
Digital Engagement	371,257	1,351,514	495,318	-856,196	-63%
Halls and Music Development Venues	270,175				
Caird Hall (per 1,000)	132,113	147,886	103,514	+55,628	+116%
Burgh Hall	5,879	946	3,189	+3,143	+68%
Box Office	123,085	23,478	28,111	+24,663	+71%

Leisure and Sport Services

Leisure and Sport Services will provide the operation, management and development of indoor and outdoor sports facilities, the development and delivery of sports activities and events directed towards wider participation in sports and the delivery of services focused on social renewal and the needs of young people on behalf of Dundee City Council in the manner following:

1. Leisure Facility Management
2. Sports Development
3. Golf Course Management and Maintenance
4. Camperdown Wildlife Centre Management
5. Active Schools

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per attendance of sport and leisure facilities (including swimming pools) (LGBF Family Group Average)	£23.47 (£68.69)	£5.61 (£6.81)	-£17.86 (-61.88)	-76.1% (-90.1%)
% of adults satisfied with leisure facilities	71.1%	No Data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
All Sports (incl. Pools and Golf)	1,523,035	1,064,219	1,356,030	+291,911	27%
Olympia	463,141	113,671	12,130	-101,541	-89.3%
Lochee	65,316	44,581	95,253	+50,672	+113.6%
Craigie	4,742	14,652	17,490	+2,838	+19.3%
Grove	34,912	24,938	40,351	+15,413	+61.8%
Harris	40,066	20,174	34,065	+13,891	68.8%
St. John's	7,718	23,752	22,793	-959	-4%
St. Paul's	36,674	25,487	53,066	+27,579	+108.2%
Ancrum	33,612	32,537	37,952	+5,415	+16.6%
DIA	132,524	129,320	174,161	+44,841	+34.6%
DISC	218,355	114,449	141,812	+27,363	+23.9%
Douglas	81,800	50,098	84,638	+34,540	+68.9%
Fintry	2,164	4,320	6,260	+1,940	+44.9%
McTaggart	95,118	51,868	64,333	+12,565	+24%
Menzieshill Community Hub	26,877	27,528	50,163	+22,635	+82.2%
Baldrigon	26,833	33,584	49,193	+15,609	+46.4%
Craigowl	3,440	7,000	11,190	+4,190	+59.8%
St. Andrew's	1,750	5,180	6,730	+1,550	+29.9%
RPC	154,220	274,402	400,161	+125,759	+45.8%
Development (Health & Wellbeing)	36,098	11,951	10,687	-1,264	-10.5%
Sports Development	30,560	9,556	6,140	-3,416	-35.7%
Golf Rounds Caird 9 Hole	5,965	13,179	8,195	-4,984	-37.8%
Golf Rounds Caird 18 Hole	21,150	31,992	29,267	-2,725	-8.5%
Golf Members	1,192	1,202	1,135	-67	-5.5%
LeisureActive Members	4,842	3,681	3,130	-551	-14.9%
Performance Sport DAPP – Institute of Sport & Exercise*	-	-	401	N/A	N/A
Wildlife Centre	73,757	85,233	77,827	-7,406	-8.6%
Active Schools	229,424	74,974	124,073	+49,099	+65.4%

* LACD has been responsible for DAPP since 16th August 2022.

Library and Information Services

Library and Information Services will provide the operation, management and development of library and information services throughout the City. This service will provide access to high quality resources for reading and writing as well as high quality information, as well as an access to high quality educational resources. Services provided will promote inclusion and deliver outreach activities to adults, children and families.

Local Government Benchmarking Framework (LGBF)				
	2020-21	2021-22	+/-	%
Cost per visit to libraries (LGBF Family Group Average)	£21.73 (£13.22)	£9.63 (£6.29)	-£12.10 (-6.93)	-55.7% (-47.6%)
% of adults satisfied with libraries	74.3%	No Data		

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022-23 (Apr-Mar)	+/-	%
Library visits per 1,000 of population	6,547	1,639	3,503	+1,864	+113.7%

Attendance Indicators	Actual 2019-20 (Apr-Mar)	Actual 2021-22 (Apr-Mar)	Actual 2022- 23 (Apr-Mar)	+/-	%
Loans of e-books	8,672	12,929	10,286	-2,643	-20.4%
Loans of e-audio books	8,510	11,234	10,884	-350	-3.1%
Loans of e-magazines	13,101	92,997	129,358	+36,361	+39%
Digital literacy sessions	15,005	6,703	8,882	+2,179	+32.5%
Activities promoting reading	3,941	966	3,510	+2,544	+263.3%

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ITEM No ...11.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024
REPORT ON: ANTISOCIAL BEHAVIOUR – OCTOBER – DECEMBER 2023
REPORT BY: EXECUTIVE DIRECTOR OF NEIGHBOURHOOD SERVICES
REPORT NO: 33-2024

1 PURPOSE OF REPORT

1.1 The purpose of this report is to provide an overview on the reporting figures to the Neighbourhood Services - Antisocial Behaviour (ASB) Team for the period 1/10/23 - 31/12/23.

2 RECOMMENDATION

2.1. It is recommended that Committee notes the report.

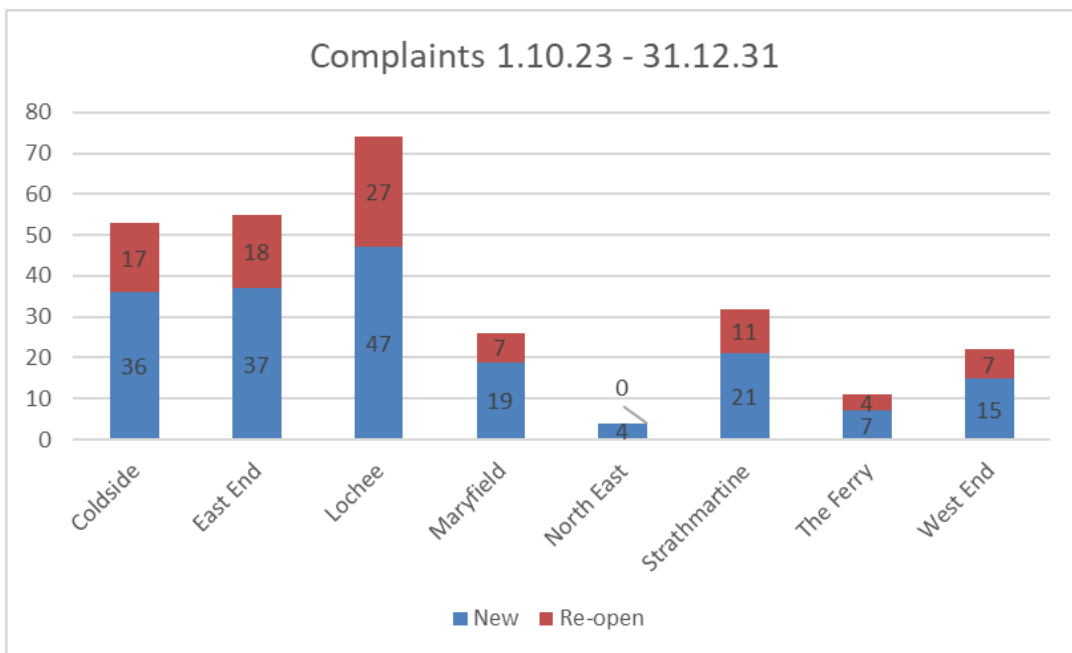
3 FINANCIAL IMPLICATIONS

3.1 There are no financial implications associated with this report.

4 DATA RELATING TO REPORTING PERIOD

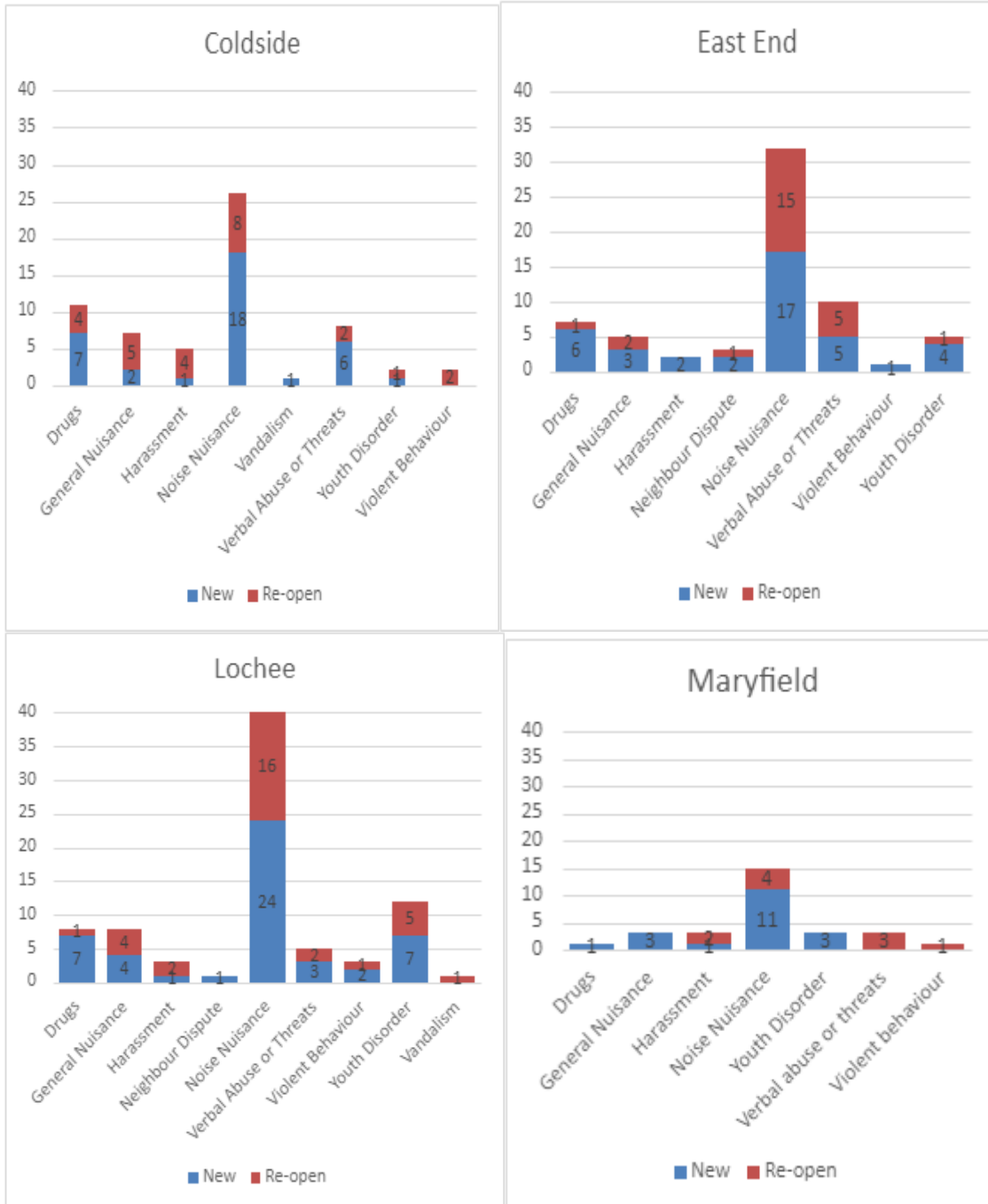
A total of 279 cases of antisocial behaviour have been recorded during the reporting period. Of these 279 cases, 186 are new cases and 91 have been re-opened and 2 cancelled. The cases re-opened are not necessarily cases which had been raised initially during this quarter and also from previous reporting periods. This compares to 347 cases last quarter (225 new and 22 re-opens). This is a sizeable reduction on last period (-68) and a slight reduction compared with the same period last year (-20).

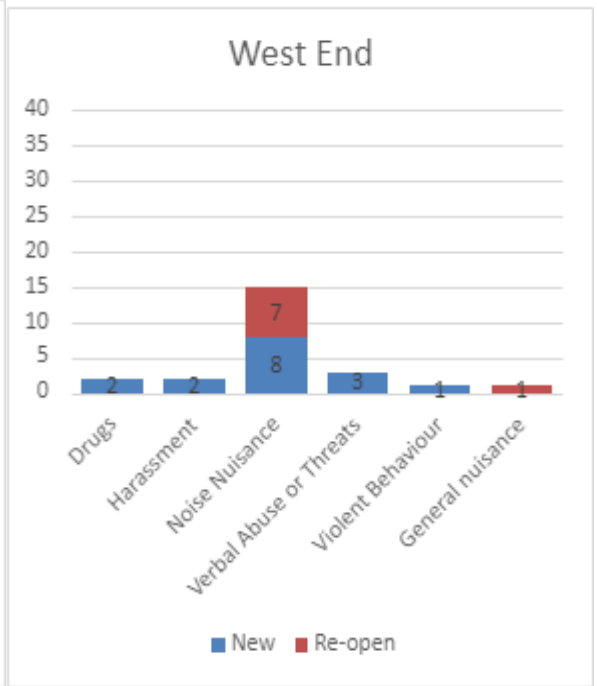
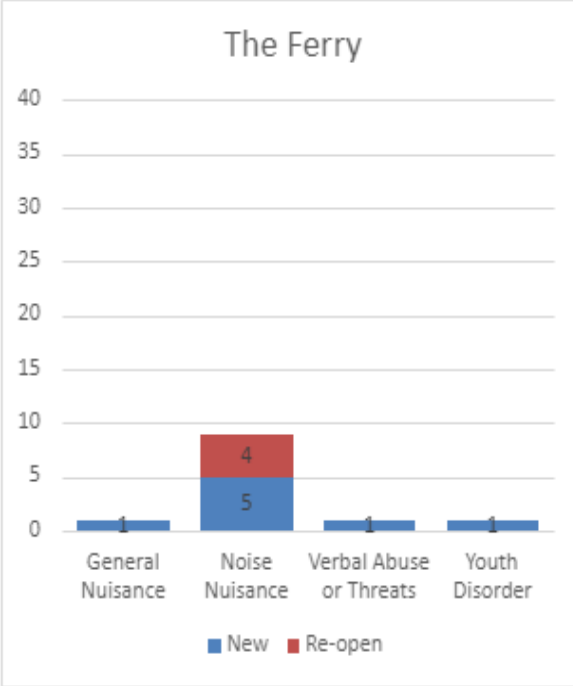
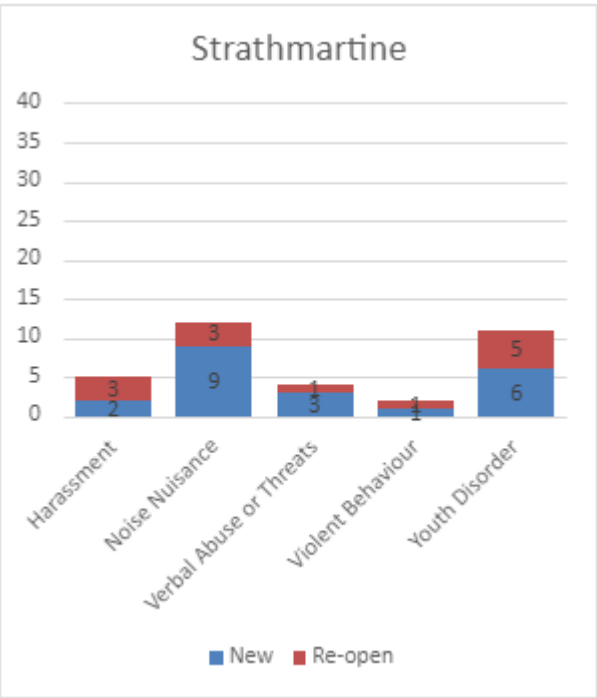
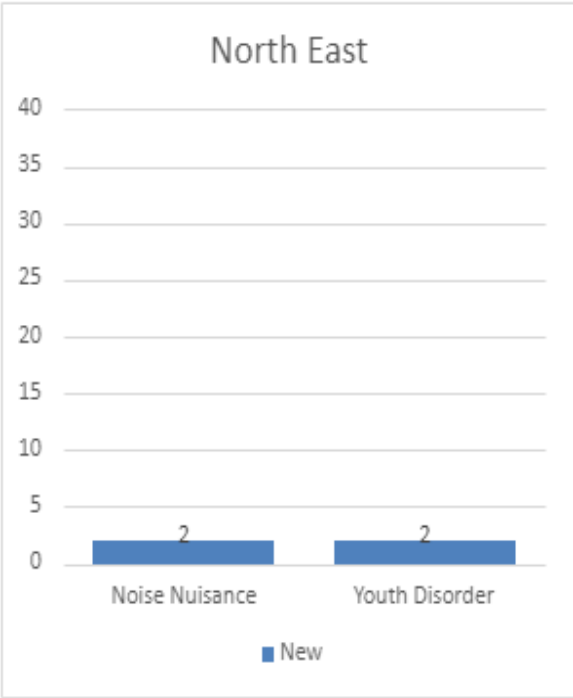
4.1 Number of cases recorded per multi member ward area between 1/10/23 - 31/12/23:



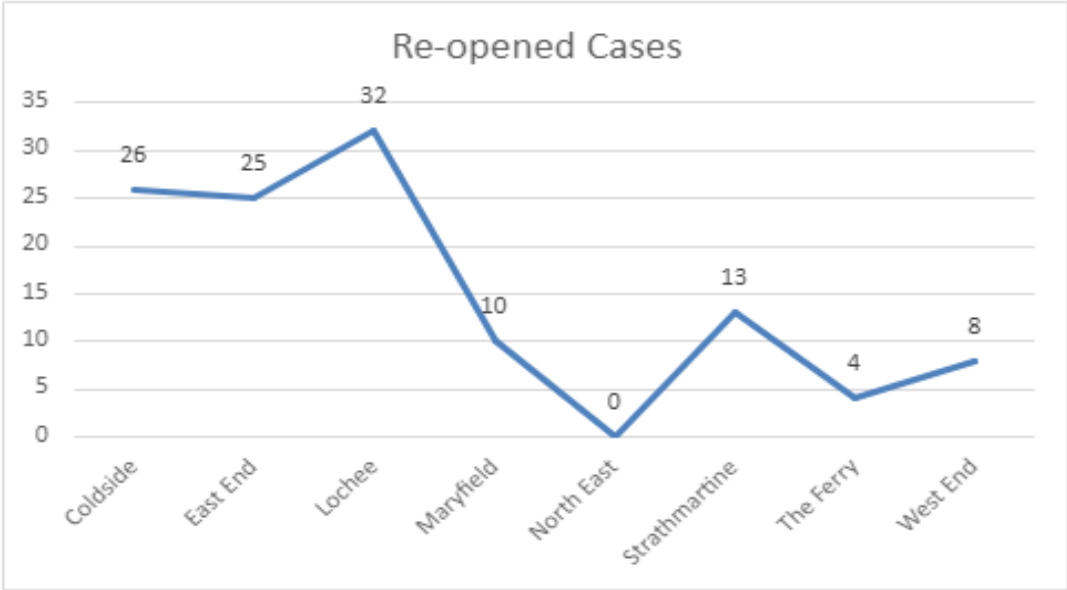
The above graph shows the number of new cases together with the number of re-opened cases reported. Two cases cancelled are not included in these numbers, as cancellations were after the reporting period.

4.2 Types of complaints (new and re-opened) per multi member ward area between 1/10/23 - 31/12/23. Please note some cases have multiple categories applied, therefore the total numbers of categories may be slightly higher than the number of cases.



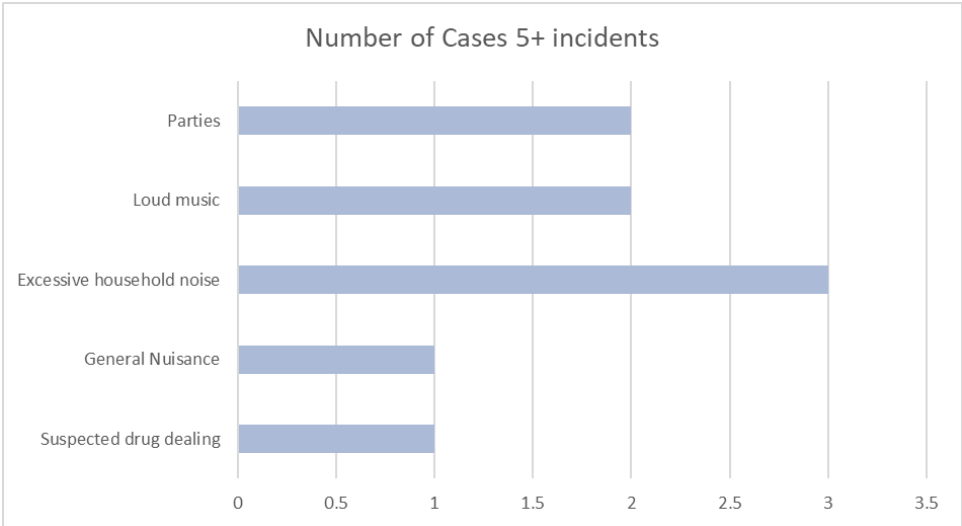


4.3 The graph below shows the categories for which cases were re-opened in each ward area:

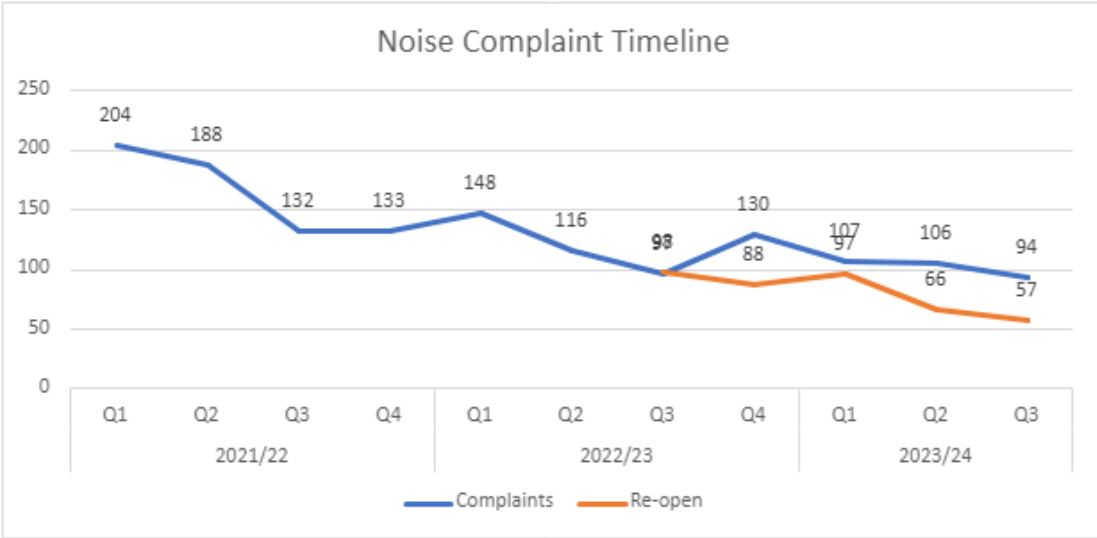


As with the ward specific graphs above, this shows most re-opened cases are in the areas with the highest number of overall complaints. Noise complaints account for 48% of re-opened cases. These figures count the categories, and some cases have multiple categories, therefore the total number of categories reported may exceed the number of actual cases opened.

Below are the cases received during the reporting period, where 5 or more incidents have been reported. This shows where there are repeated issues, this is due to noise related complaints.

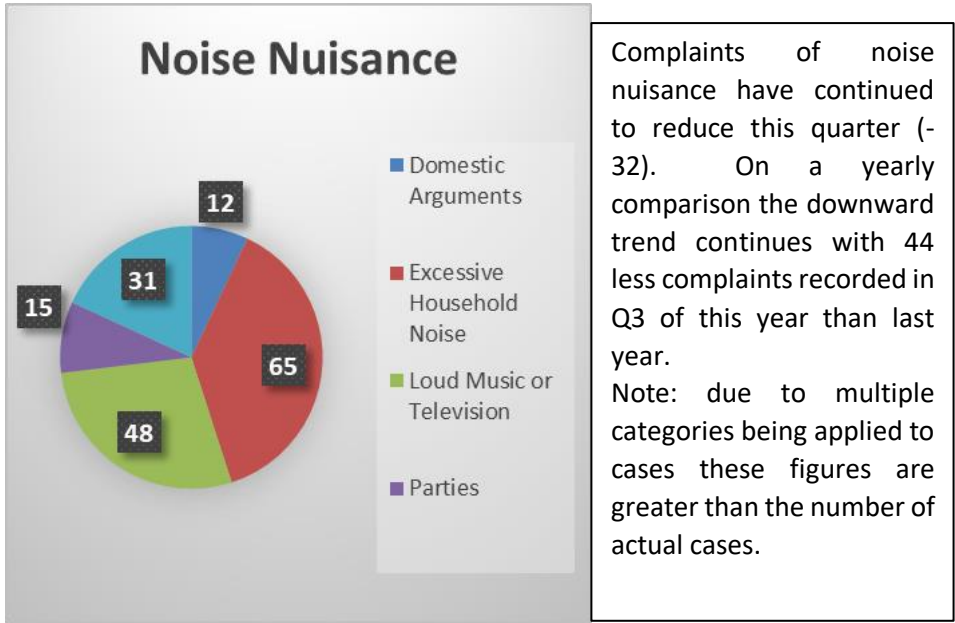


4.4 Consistent with previous reports, noise nuisance has been the highest reported complaint overall. The noise timeline below shows the current pattern for noise complaints. It should be noted that data up to Q2 of 2022/23 did not illustrate how many complaints were new and this was applied from Q3 of that year onwards. Noise complaints have reduced this quarter, with a total of 151 reported between 1/10/23 and 31/12/23.

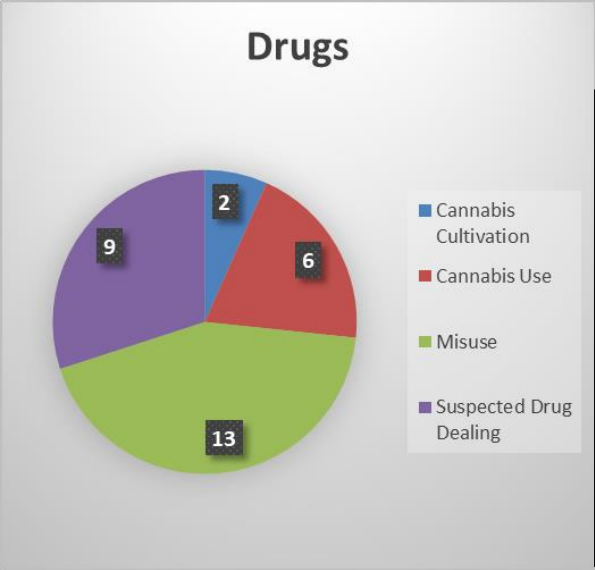


NB at Q3 of 2022/23 the figures are 98 new complaints and 97 re-opens.

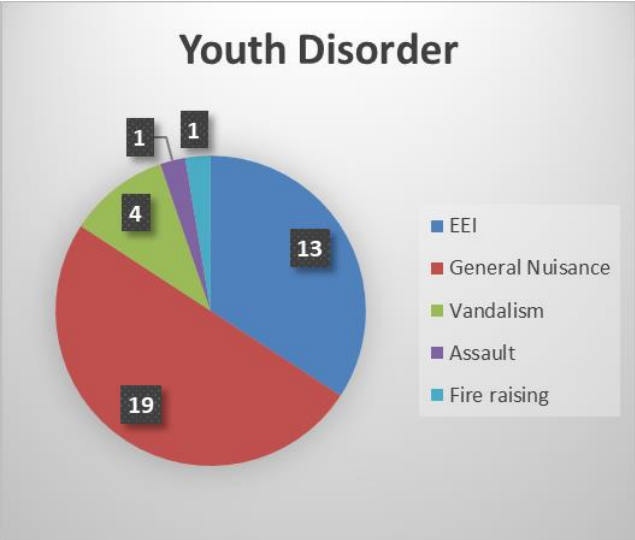
4.5 The graphs below show further breakdowns of complaint and sub-categories:



Complaints of noise nuisance have continued to reduce this quarter (-32). On a yearly comparison the downward trend continues with 44 less complaints recorded in Q3 of this year than last year. Note: due to multiple categories being applied to cases these figures are greater than the number of actual cases.



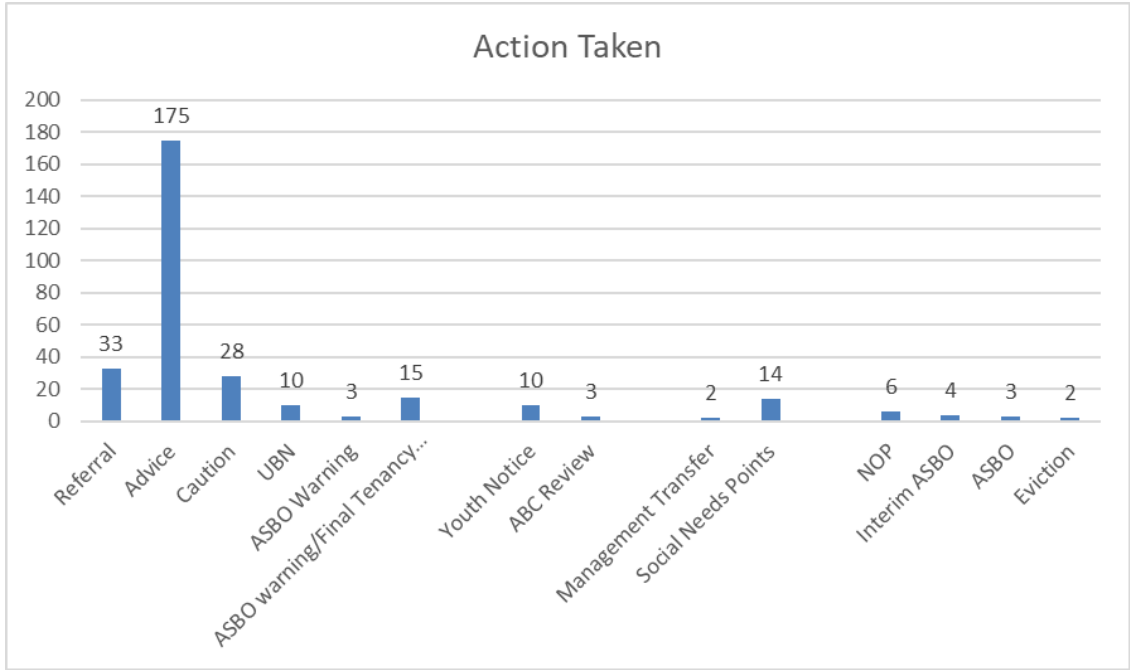
Numbers of reported drugs cases are down this quarter (-23). As with previous reports, suspected drug dealing is the highest reported concern. Compared with the same period last year, reports have reduced (-8).



Reports of youth disorder have significantly reduced this period (-33). This is a positive response to the partnership work dedicated to dealing with youth disorder across the city. Compared with 22-23 this shows an increase (+14), however, it is encouraging to see a reduction for this reporting year.

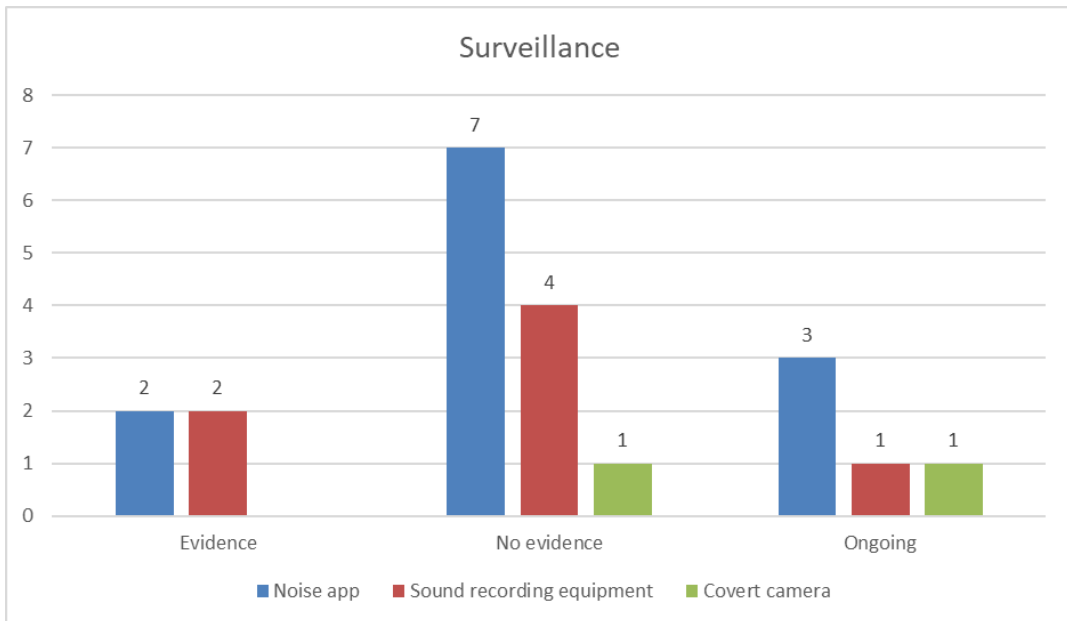
4.6 Actions taken:

Given the small number of legal actions required, this report will provide figures on a citywide basis to ensure anonymity.



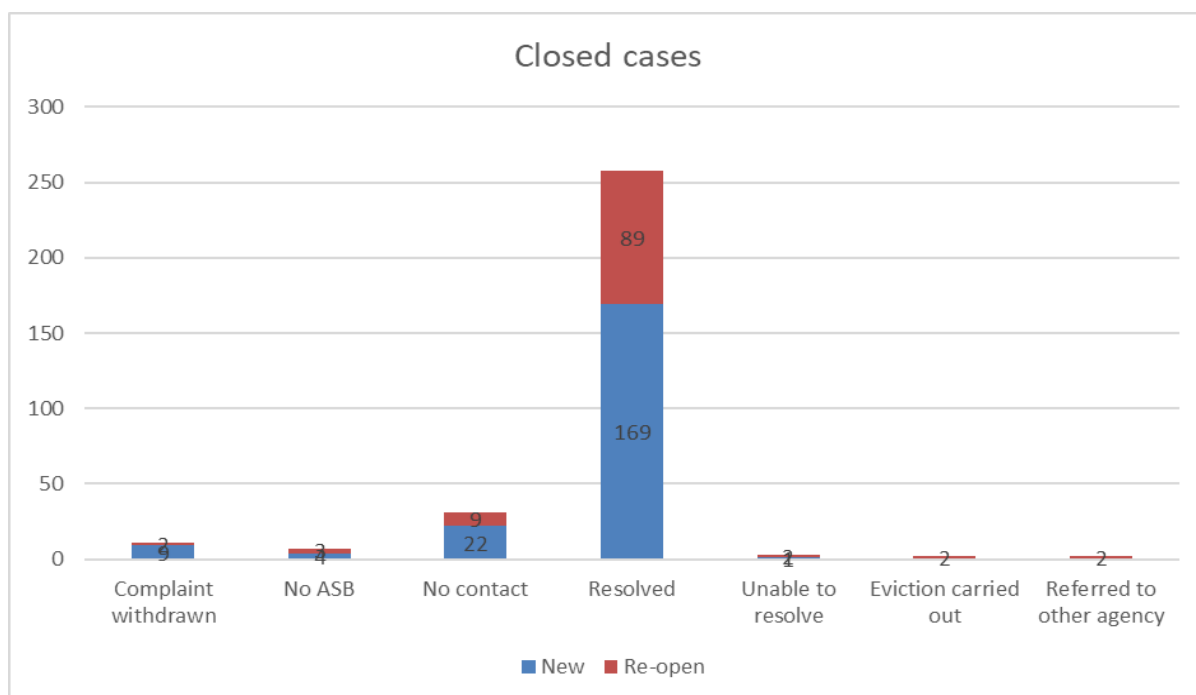
4.7. Surveillance:

To assist with investigating complaints of antisocial behaviour, the team has access to various surveillance options. The table below shows the use of surveillance over the reporting period and outcomes:



All outcomes provide a resolution to the case. Use of surveillance will either allow the team to progress appropriate action or to feedback that the complaint does not constitute antisocial behaviour.

- 4.8 314 cases have been closed within the reporting period. The graph below shows the case closure reasons.



- 4.9 Quarterly update:

This quarter's update will focus on the partnership work which was undertaken across the city in the lead up to Halloween and Bonfire Night.

Preparations for managing this started several months ago, led by colleagues in Scottish Fire & Rescue. Regular partnership meetings were held to go over plans and preparations to limit the number of incidents across Dundee. These included representation from Police Scotland, Communities, Environment, Housing, Education, City Development and Leisure and Culture.

The work undertaken by the partnership involves large scale waste uplifts across the city, speedy removal of any debris left by bonfires, engagement with council tenants on safe presentation of waste, increased patrols by SARC (Safety & Alarm Response Centre) and Community Safety Wardens in areas of concern, engagement with local schools around being safe, engagement with young people and their families to encourage positive behaviour and a high level of intelligence fed in to Police Scotland and the Fire Related Antisocial Behaviour Working Group for appropriate deployment of resources.

This year additional work was undertaken. The Police Scotland Youth Volunteers were keen to focus on a positive event for the Community in the Strathmartine ward. Their pro-social behaviour event was held at Downfield Football Club on Sunday 29th October offering a range of activities to residents in the Kirkton area including a BBQ, free food parcels, clothing bank, free hygiene packs, free bike marking, football, dance and more. There was also attendance from many other organisations offering advice and assistance on their services. This event was aimed at offering the community reassurance.

Our Communities Team also responded to the incidents which occurred last year with an offering of a football tournament which took place on Monday 30th October at Baldragon Academy. This was highly promoted around the local area and the event received a good turnout. Both Dundee Community Trust and Dundee West Football Club attended and facilitated the tournament.

A Halloween party was hosted at Kirkton Community Centre on Tuesday 31st October for younger members of the community and their families. The Communities team had around 200 guests at the party and well received in the local area.

Despite some antisocial behaviour occurring on the evening of 31st October, this was significantly less than what was reported last year. The excellent work by all involved will continue to be built upon to prevent this behaviour and keep communities safe.

5 POLICY IMPLICATIONS

- 5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services, or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6 CONSULTATIONS

- 6.1 The Council Leadership Team were consulted on the preparation of this report and agree with its contents.

7 BACKGROUND PAPERS

- 7.1 None.

Elaine Zwirlein
Executive Director of Neighbourhood Services

Tom Stirling
Head of Communities, Safety & Protection

16 January 2024

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REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024
REPORT ON: IT ASSET MANAGEMENT PLAN
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 10-2024

1.0 PURPOSE OF REPORT

1.1 This report requests approval of the IT Asset Management Plan for 2024-29.

2.0 RECOMMENDATIONS

2.1 It is recommended the Committee approves the IT Asset Management Plan.

3.0 FINANCIAL IMPLICATIONS

3.1 There are no direct financial implications arising from this report.

4.0 BACKGROUND

4.1 With reference to Article IV of the Minute of Meeting of the Policy and Resources Committee of 26 June 2023 (Report 177-2023 refers). The Committee approved the Council's Corporate Asset Management Plan for the period 2023-28.

4.2 The IT Asset Management Plan outlines the priorities and strategies required to develop and support the IT assets, technology and infrastructure that are in place and or required to support the business objectives of the Council and is designed to be read in conjunction with the overarching Corporate Asset Management Plan which provides the strategic context for the management of Council Assets.

5.0 POLICY IMPLICATIONS

5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6.0 CONSULTATIONS

6.1 The Council Leadership Team were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

7.1 None.

JACQUI KOPEL
HEAD OF CUSTOMER SERVICES & IT

DATE: 25 JANUARY 2024

ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES.

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REPORT TO: CITY GOVERNANCE COMMITTEE – 19 FEBRUARY 2024

REPORT ON: CLOUD COMPUTING MIGRATION

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 41-2024

1.0 PURPOSE OF REPORT

1.1 To gain approval for the migration of applications, desktops, and IT services to cloud computing.

2.0 RECOMMENDATIONS

It is recommended that the Committee:

- (a) agrees to the purchase of cloud computing.
- (b) approves the procurement exercise in respect of the project described, based on the sourcing strategy, summarised in this report.
- (c) delegates authority to the Executive Director of Corporate Services to direct award this to Amazon Web Services accredited partner Cloudbridge, through the Crown Commercial Services Framework, carried out in compliance with the Public Contracts (Scotland) Regulations of 2015.

3.0 FINANCIAL IMPLICATIONS

3.1 The overall cost of this contract will be £1,200,000 over a 3-year period. The net annual costs of this will be met from the existing Customer Services & IT Revenue Budget. Any material deviation from this cost, will require further approval from this Committee, prior to the contract being awarded.

4.0 BACKGROUND

4.1 This report supports the Council's IT Strategy which was approved at Policy and Resources Committee on 18 February 2019 (Report 81-2019). The Council's IT strategy sets out to deliver digital services, mobile and flexibly accessible services through cost effective solutions.

4.2 At the City Governance Committee in December 2023, report 364-2023 was approved for the Council's IT desktop transformation project. Following further analysis of the market solutions a decision has been taken to utilise cloud computing to replace the current Citrix platform. This approach aligns with the future strategy of migrating IT services to cloud computing. The scope of this project will be extended to include all IT infrastructure, applications, and services.

4.3 Cloud computing offers the Council many benefits including reducing license costs, maintenance of IT infrastructure, data centre hosting costs and future hardware replacement costs. The flexibility offered by cloud computing will allow us to increase or decrease capacity on demand, which avoids extra cost for over provisioning capacity when we purchase hardware.

4.4 The time required for support and maintenance of IT infrastructure is significantly reduced. In addition, the cost of running IT infrastructure will also be reduced. Time and resource will be freed up to focus on other work that adds value to applications and services.

4.5 Cloud computing provides a secure environment that can be accessed by staff from anywhere on any device. This will enhance the capabilities for using laptops to support hybrid working and more mobile and flexible ways of working.

- 4.6 Cloud computing has a portfolio of services available on demand. These can be easily accessed and integrated with current applications and services if necessary. These additional cloud services will enhance current capabilities and provide a platform for developing new applications and services. Cloud will also support future digital transformation projects by providing access to new technologies and capabilities not currently available in the on-premises environment. The most notable of these are Artificial Intelligence and machine learning capabilities of cloud computing.
- 4.7 Migrating to a cloud computing platform will make the IT service more energy efficient. Cloud computing can help reduce the Council's carbon footprint as we stop using on-premises hardware and data centre cooling. The flexibility of cloud allows us to easily reduce capacity and running costs during quiet periods, such as overnight and weekends, which will reduce energy consumption.
- 4.8 Cloud computing is a robust, resilient platform that will enhance the Council's IT disaster recovery and business continuity capabilities. It provides a cost-effective approach to protect critical Council applications from failure, reducing system outages and downtime. It also allows the transformation of IT services, applications, desktop, and infrastructure, improving the overall service for staff.
- 4.9 Following market evaluation the cloud platform selected will be from Amazon Web Service (AWS). AWS are one of the leaders in cloud services and have worked closely with the Council to carry out testing and proof of concept. AWS offer discounted pricing through the One Government Value Agreement (OGVA), which the Council will use for this project. This is a Crown Commercial Services agreement offering 3 years of discounted pricing for public sector organisations to achieve better value for money.
- 4.10 There is a tried and tested cloud adoption framework available from AWS that will assist with the migration of services. AWS offer free and paid training support for Council IT staff to help develop the necessary skills. AWS have extensive experience carrying out cloud migrations with local government. AWS services comply with a series of UK, EU, and global data protection standards, including International Organization for Standardization (ISO) 27001, 27017, 27018, 9001, Cyber Essentials Plus, GDPR/Data Protection Act 2018, National Cyber Security Centre Cloud Security Principles.
- 4.11 The operating cost for cloud services will increase as more services are migrated. Through cost optimisation and management tools provided by AWS we will monitor and manage the consumption of cloud services. This will allow costs to be minimised and controlled. It is expected that annual costs will not exceed £400,000 once all services are migrated and optimisation is carried out.
- 4.12 The use of cloud computing means the need for Council owned and operated IT infrastructure will be significantly reduced. Cloud computing costs are based on a consumption model. Some costs can be fixed based on capacity that is known in advance. This requires a change from capital expenditure on hardware and licenses to a revenue model. This will mean a reduction in IT capital expenditure for purchase of computer equipment.
- 4.13 The cost for cloud migration will be partially offset by reduction and removal of current costs for licenses, hardware maintenance and data centre hosting, including electricity costs. These savings are estimated to be around £100,000 in the first 12 months and increasing to around £150,000 once the migration is fully complete. Further cost savings from capital budgets will also be achieved because hardware refresh is no longer required. These adjustments will be updated in future plans and submitted to members for approval in due course.

5.0 SOURCING STRATEGY SUMMARY

- 5.1 In order to drive maximum benefits from the contract, the Council will use the discounted One Government Value Agreement (OGVA) and G-Cloud services framework.
- 5.2 The Council's aim is to extract best value from this contract.

5.3 The OGVA will be contracted with a certified and approved AWS partner. An evaluation of the partners will be carried out through Crown Commercial Services G-Cloud framework.

6.0 RISK ANALYSIS

6.1 There are four standard risks in any procurement and for public sector regulated procurements, a fifth is added, that of the procurement exercise itself breaching the public contract regulations and leaving the Council open to a legal challenge:

Key Risks			
Description of Risk	Probability (L/M/H)	Impact on DCC (L/M/H)	Actions required to manage Risk
Commercial Risk – That either the price objectives are not achieved up front or there are other costs that arise during the contract and diminish the overall benefits.	Low	Low	Tender Specification very clear expectations. Many suppliers available that creates competition.
Technical Risk – This concerns the difficulty in being able to specify the desired outcome and on the market being unable to deliver to the specification	Low	Low	Tender Specification sets requirements clearly. Technical solutions are already proven within the sector.
Performance Risk – This concerns the ability of suppliers to perform consistently over the life of the contract to deliver the planned benefits	Low	Low	Clear projects goals specified in the tender. Suppliers will be assessed on ability to deliver and support service offered.
Contractual Risk – Being able to remedy the 's shortcomings in the contractor's performance without severely damaging the contract and about avoiding reliance on the contracted supplier as the contract develops.	Low	Low	Clearly stated in the tender specification and evaluated as part of the procurement. Suppliers support service will be assessed.
Procurement Risk – where a procurement is found unsound in law, through the public procurement rules	Low	Low	Clear set of requirements stated and use of a procurement framework.
Overall Contract Risk			

7.0 CONCLUSION

7.1 The approval of this report will allow the procurement process to be carried out for Cloud Computing.

8.0 POLICY IMPLICATIONS

8.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services, or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

9.0 CONSULTATIONS

9.1 The Council Leadership Team were consulted in the preparation of this report.

10.0 BACKGROUND PAPERS

10.1 None.

**JACQUI KOPEL
HEAD OF CUSTOMER SERVICES AND IT**

**ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES**

DATE: 30 JANUARY 2024