



**Clackmannanshire
Council**

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Comhairle Siorrachd
Chlach Mhanann

Kilncraigs, Greenside Street, Alloa, FK10 1EB (Tel.01259-450000)

Partnership and Performance Committee

Thursday 31 January 2019 at 9.30 am

**Venue: Council Chamber, Kilncraigs,
Greenside Street, Alloa, FK10 1EB**



Partnership and Performance Committee

- (1) To determine policies for the resources, risk and governance and strategic support
- (2) To set standards for service delivery in the above mentioned areas
- (3) To secure best value in the provision of these services
- (4) To consider reports and plans from Community Planning Partners and other partnership arrangements and, where appropriate, to monitor the achievement of agreed outcomes, standards and targets
- (5) To monitor performance in the delivery of services including consideration of:
 - quarterly service performance reports
 - inspection or other similar reports
 - financial performance
- (6) To keep under review the impact of the Committee's policies on Clackmannanshire

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23 January 2019

A MEETING of the PARTNERSHIP AND PERFORMANCE COMMITTEE will be held within the Council Chamber, Kilncraigs, Greenside Street, Alloa, FK10 1EB, on THURSDAY 31 JANUARY 2019 at 9.30 am.



STUART CRICKMAR
Strategic Director (Partnership & Performance)

B U S I N E S S

	Page no.
1. Apologies	--
2. Declaration of Interests Members should declare any financial or non-financial interests they have in any item on this agenda, identifying the relevant agenda item and the nature of their interest in accordance with the Councillors' Code of Conduct. A Declaration of Interest form should be completed and passed to the Committee Officer.	--
3. Confirm Minute of Meeting of the Partnership and Performance Committee held on 22 November 2018 (Copy herewith)	05
4. Health and Social Care Partnership– report by Chief Officer, Health and Social Care Partnership (Copy herewith)	09
5. Joint Inspection (Adults) – The Effectiveness of Strategic Planning in the Clackmannanshire and Stirling Partnership - report by the Chief Officer, Health and Social Care Partnership (Copy herewith)	25
6. Financial Performance 2018/19 – October Outturn – report by the Chief Accountant (Interim) (Copy herewith)	83
7. Procurement Strategy Report – report by the Strategic Director, Partnership and Performance	97
8. HR Services Policies – report by the Strategic Director, Partnership and Performance (Copy herewith)	145
9. LGPS Employer's Discretionary Functions Policy 2018 - report by Strategic Director, Partnership and Performance (Copy herewith)	223

Partnership and Performance Committee – Committee Members (Membership 8 - Quorum 4)

Councillors

Wards

Councillor	Phil Fairlie (Convenor)	3	Clackmannanshire Central	SNP
Councillor	Helen Lewis (Vice Convenor)	2	Clackmannanshire North	SNP
Councillor	Dave Clark	2	Clackmannanshire North	LAB
Councillor	Kenneth Earle	4	Clackmannanshire South	LAB
Councillor	Ellen Forson	4	Clackmannanshire South	SNP
Councillor	Craig Holden	4	Clackmannanshire South	SNP
Councillor	Bill Mason	5	Clackmannanshire East	CONS
Councillor	Mike Watson	3	Clackmannanshire Central	CONS



MINUTES OF MEETING of the PARTNERSHIP AND PERFORMANCE COMMITTEE held within the Council Chamber, Kilncraigs, Greenside Street, ALLOA, FK10 1EB, on THURSDAY 22 November 2018 at 9.30 am.

PRESENT

Councillor Phil Fairlie (Convenor)
Councillor Helen Lewis (Vice Convenor)
Councillor Donald Balsillie (S)
Councillor Dave Clark
Councillor Kenneth Earle
Councillor Bill Mason
Councillor Les Sharp (S)
Councillor Mike Watson

IN ATTENDANCE

Stuart Crickmar, Strategic Director (Partnership and Performance)
Shiona Strachan, Chief Officer, Integration Joint Board and Health & Social Care Partnership
Paula Tovey, Chief Accountant (Interim)
Chris Alliston, Service Manager, Human Resources
Murray Sharp, Service Manager, Revenues and Strategy
Elizabeth Hutcheon, Management Accountancy Team Leader
Cherie-Ann Jarvie, Strategy and Performance Manager
Jim Robb, Interim Assistant Head of Social Services (Adult Care)
Mark Duffy, Group Manager, Clackmannanshire and Stirling LSO, Scottish Fire and Rescue Service
Roddie Keith, Area Manager and Clackmannanshire/Stirling LSO, Scottish Fire and Rescue Service
Chief Inspector Drew Sinclair, Area Commander, Clackmannanshire, Police Scotland
Superintendent Mark Lundie, Performance and Partnerships, Police Scotland
Lindsay Thomson, Service Manager, Legal and Democracy (Clerk to the Committee)
Gillian White, Committee Services

PPC(18)07 APOLOGIES

Apologies were received from Councillor Ellen Forson and Councillor Craig Holden.
Councillor Les Sharp acted as substitute for Councillor Forson and Councillor Balsillie acted as substitute for Councillor Holden.

PPC(18)08 DECLARATIONS OF INTEREST

None.

PPC(18)09 MINUTE OF PARTNERSHIP AND PERFORMANCE COMMITTEE HELD ON 27 SEPTEMBER 2018

The minute of the meeting of the Partnership and Performance Committee held on Thursday 27 September 2018 were submitted for approval.

Decision

The Minutes of the meeting of the Partnership and Performance Committee held on Thursday 27 September 2018 were agreed as a correct record and signed by the Convenor.

As the representatives of the Scottish Fire and Rescue Service had been delayed, the Convenor agreed to bring forward the following item of business.

PPC(18)10 POLICE PERFORMANCE REPORT FOR CLACKMANNANSHIRE APRIL 2017 TO 31 MARCH 2018

A report, approved by the Chief Superintendent of Forth Valley Division of Police Scotland , provided the Committee with information on the performance of Police Scotland in the Clackmannanshire local authority area for the period April 2017 to March 2018.

Motion

That the Committee agrees the recommendations as set out in the report.

Moved by Councillor Phil Fairlie. Seconded by Councillor Bill Mason

Decision

Having challenged and commented on the report, the Committee agreed to note the report.

PPC(18)11 FIRE PERFORMANCE REPORT – 2017/18

A report, submitted by the Local Senior Officer, Clackmannanshire and Stirling, Scottish Fire and Rescue Service, provided the Committee with a twelve month report on the performance of the Scottish Fire and Rescue Service (SFRS) in Clackmannanshire covering the period 1 April 2017 to 31 March 2018. The report was based on performance against objectives and targets set out in the Local Fire and Rescue Plan for Clackmannanshire 2014/17. Performance indicators were detailed in the summary report at Appendix 1.

Motion

That the Committee agrees the recommendations as set out in the report.

Moved by Councillor Phil Fairlie. Seconded by Councillor Kenneth Earle.

Decision

Having challenged and commented on the report, the Committee agreed to note the report.

PPC(18)12 FINANCIAL PERFORMANCE 2018/19 – AUGUST OUTTURN

A report, submitted by the Chief Accountant (Interim), provided an update on the financial performance for the Partnership and Performance Division of the Council in respect of revenue spend for the current financial year.

Motion

That the Committee agrees the recommendations as set out in the report.

Moved by Councillor Phil Fairlie. Seconded by Councillor Donald Balsillie.

Decision

Having challenged and commented on the report, the Committee agreed to note:

- The forecast General Fund revenue underspend relating to the Partnership and Performance Division for year of £(0.336)m;
- The forecast centrally held Corporate Services revenue overspend for the year of £0.671m;
- The forecast revenue overspend of the Integration Joint Board (IJB) for the year of £1.542m; and
- Progress on delivering planned savings in the year.

In line with Standing Order 10.24, the Convenor adjourned the meeting at 11.30 am for a 10 minute break. When the meeting resumed at 11.40 am, 8 members remained present.

PPC(18)13 PARTNERSHIP AND PERFORMANCE DIRECTORATE – INTERIM BUSINESS PLAN 2018/19

A report, submitted by the Strategic Director, Partnership and Performance, presented the interim Business Plan for the Partnership and Performance Directorate. The plan provided direction of travel on the key priorities for the directorate for the remainder of 2018/19. The interim Business Plan was provided as appendix 1.

Motion

That the Committee agrees the recommendation as set out in the report.

Moved by Councillor Phil Fairlie. Seconded by Councillor Bill Mason.

Decision

Having challenged and commented on the report, the Committee agreed to note the report.

PPC(18)14 HR SERVICES POLICIES

A report, submitted by the Strategic Director, Partnership and Performance, sought approval of the revised Secondment Policy and Procedure as well as the Corporate Learning and Development Procedure, Occupational Health Policy and Employee Mental Health Policy.

Motion

That the Committee agrees the recommendation as set out in the report.

Moved by Councillor Phil Fairlie. Seconded by Councillor Helen Lewis.

Decision

The Committee agreed the following policies and procedures:

1. Secondment Policy and Procedure;
2. Corporate Learning and Development Procedure;
3. Occupational Health Policy; and
4. Employee Mental Health Policy.

Action

Strategic Director, Partnership and Performance

Ends 1207 hours

Report to Clackmannanshire Council

Performance and Partnership Committee

Date of Meeting: 31 January 2019

Subject: Health and Social Care Partnership

Report by: Chief Officer, Health and Social Care Partnership

1.0 Purpose

- 1.1. This paper provides a summary of the work being undertaken within the Health and Social Care Partnership and raises awareness of any regional, national and UK wide issues which have implications for the Partnership. The report provides an up-date on overall performance of the Partnership.

2.0 Recommendations

- 2.1. Note the content of this paper and the work being undertaken to develop services.
- 2.2. Note the projected overspend within Health and Social Care of £1.152m.

3.0 Considerations

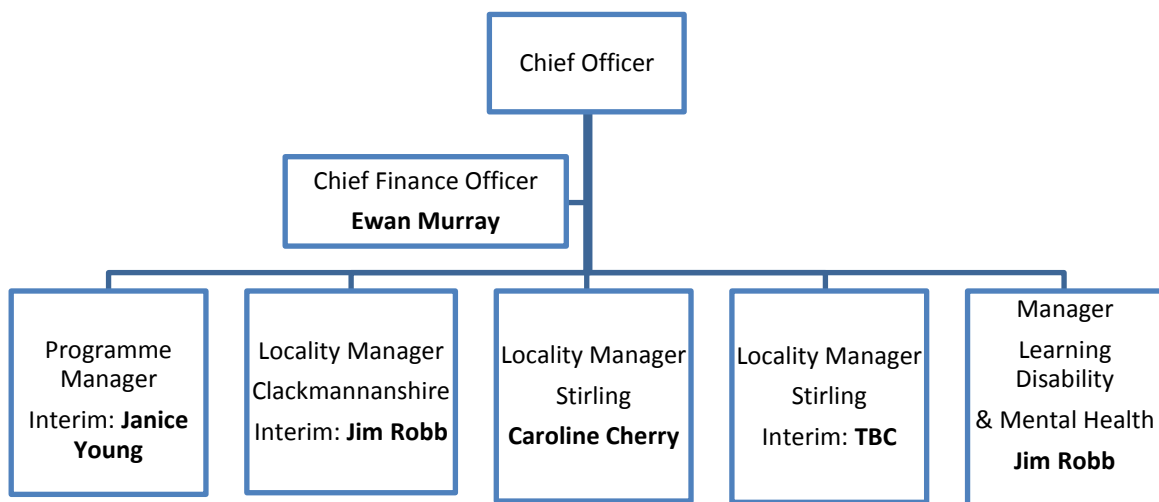
3.1. Delegation of Services, Corporate Service Support Agreement and Interim Management Arrangements

- 3.2. There has been continual work during 2017 and 2018 on the stepped delegation of services to develop the integrated structures which will support the delivery of the Strategic Plan of the Health and Social Care Partnership. The partnership's approach to delegation forms part of the findings of the recently published report arising from the Joint Inspection (Adults) which concludes as follows:

“The partnership needs to strengthen its collaborative leadership, develop collective governance and accountability and commit to a fully integrated approach to the development and delivery of services to improve outcomes for people across the partnership.” [p 36]

- 3.3. All social services in scope within Stirling Council [ie adult social care services; services to women; housing services – grass cutting; aids and adaptations] were delegated on 30 September 2018.

- 3.4.** Work has continued with NHS Forth Valley to clarify the services and their related staff, management structures and professional support across the Forth Valley area. A supported session with voting and professional advisory members of the two Integration Joint Boards and the senior management team of NHS Forth Valley took place on 26 November 2018. This session was supported by the Scottish Government.
- 3.5.** A workshop to agree support services took place on 24 September 2018. This is a positive step forward and was approached as an integrated way with all 3 corporate services represented. The final proposal for support services requires to further develop the support required for the Chief Finance Officer, and to include the support required for any hosted services.
- 3.6.** The first level structure of senior management for this Partnership has been agreed and reflects the discussions to date. It should be reviewed once the hosting arrangements for the Forth Valley wide community based health services have been agreed and the Health and Social Care Partnership is more fully established to ensure it is fit for purpose and in particular the spans of management and professional control are adequate.
- 3.7.** The first level structure is as follows:



- 3.8.** Interim arrangements have been put in place for the following posts:

- Programme Manager – Janice Young
- Locality Manager – Clackmannanshire – Jim Robb

The Clackmannanshire post will be covered by Jim Robb [who is also the senior manager for mental health and learning disability services] until the end of March 2019 to allow time for the advert and appointment to be progressed.

- 3.9.** The Chief Officer will be formally vacant from 31 December 2018, and approval to appoint Mr Ian Aitken as Interim Chief Officer was approved at the Integration Joint Board meeting held on 28 November 2018.
- 3.10.** This is a period of significant change for the Partnership and the period of transition carries a not insignificant risk that the services will have insufficient stability or resources to carry out the range of strategic planning, implementation, operational and financial management tasks required across three constituent parties and the Integration Authority.
- 3.11.** While the steps described above are being taken to mitigate the risks it is important to recognise that these are short term and that as the hosting arrangements across Forth Valley are concluded, the requirements of the management and professional leadership are reviewed in the light of any decisions taken and the outcome of the other corporate re designs are taking place within the constituent partners.
- 3.12. Alcohol and Drug Partnership**
- 3.13.** The Alcohol and Drugs Partnership Plan was submitted in draft to the Scottish Government in October 2018 and has been approved the Forth Valley wide Alcohol and Drugs Partnership. The final plan and implementation update requires to be formally reviewed and approved by the Integration Joint Board. This will be taken to the Board in March 2019.
- 3.14. Transforming Care and Strategic Planning**
- 3.15.** These key areas of service development follow the priorities set out in the Strategic Plan 2016-2019. A full end of year report will be provided to the Integration Joint Board in March 2019 along with the next Strategic Commissioning Plan.
- 3.16. Intermediate Care** – Following a facilitated session to actively develop an action plan for the next phases of Intermediate Care delivery in late August 2018, a draft Implementation Plan has been developed. This will inform a whole systems approach to Intermediate Care services and will encompass a re-design of internal Reablement service, along with appropriate pathways and responses to opening of the Bellfield Centre.
- 3.17. Day Services for Older People** – Day services within the Clackmannanshire locality have been re-designed, with Clackmannanshire Third Sector Interface supporting opportunities to use community based supports for older people. The use of Ludgate House is being considered for continued use for Third Sector organisations with Alzheimer’s Scotland and Active Clacks delivering services from this base.
- 3.18. Model of Neighbourhood Care** – The planning group for this initiative have continued to meet fortnightly, developing appropriate referral pathways, systems and opportunities for information sharing. The team have identified a service base and are moving into an operational phase. Learning from this approach will support implementation of community led

services across localities as part of the next iteration of the Strategic Commissioning Plan 2019-22.

- 3.19. Health and Care Village – Bellfield Centre** – This service is now operational. The service has worked closely with the Care Inspectorate to ensure safe transition of service users, and employees over recent months. Evaluation of the service and lessons learned from this will be carried out in the Spring of 2019.
- 3.20. Learning Disability** – There has been on-going engagement with employees and staff representatives to develop new working patterns to support service delivery over 7 days, while consultation with service users and unpaid carers has been supported via reviews of current users' needs and expectations. It is anticipated that a re-commissioning plan will be developed to allow for appropriate care for all current service users.
- 3.21. Primrose Street** – The Partnership is working closely with Housing colleagues in Clackmannanshire to develop an appropriate core and cluster care model for a new housing with care model for Primrose Street in Alloa. The development of this currently vacant site, is expected to commence in Spring 2019, and will support the transformation of care services and further reduce reliance on traditional models of service support.

4.0 National Up-dates

- 4.1. National Review on Progress of Integration** – The Ministerial review is due in early 2019 and it is expected that it will reflect some of the key messages from the Audit Scotland reports, the NHS in Scotland Report and the three strategic inspections which have been carried out, including this Partnership.
- 4.2. Audit Scotland Health and Social Care Integration: update on progress** - was published on 15 November 2018 and can be accessed on audit-scotland.gov.uk
- 4.3.** The core message is that while some improvements are evident in the delivery of health and social care services, Integration Authorities, councils and NHS Boards need to show a stronger commitment to collaborative working to achieve the long term changes required.
- 4.4.** The report notes that responsibility for the success of integration does not rest with one organisation. It notes that financial planning is not integrated, long term or focused on the outcomes for the population. The Audit Scotland report further notes that:

“Financial pressures across health and care services make it difficult for IA’s to achieve meaningful change. IA’s were designed to control some service provided by acute hospitals and their related budgets. This key part of the legislation has not been enacted in most areas.” [page 5]
- 4.5.** The report highlights the need to get some pace behind the changes and that to do so some significant barriers need to be addressed including a lack of collaborative leadership; a high turnover in Integration Authority

leadership teams; disagreement over governance arrangements; and, an inability or unwillingness to share data with staff and the public.

5.0 Performance

INDICATOR TYPE	RED	AMBER	GREEN	GREY	TOTAL
National Indicators	1	3	0	6	10
Local Self Management Indicators	2	0	0	2	4
Local Community Based Support Indicators	2	0	4	1	7
Local Safety Indicators	0	2	0	5	7
Local Decision Making Indicators	0	0	0	2	2
Local Experience Indicators	3	0	0	3	6
National MSG Indicators	4	6	1	0	11

5.1. The table above shows the summary performance for the Partnership at the end of Q2 September 2018. This information was reported to the last IJB ([link](#) to full report) and highlighted the following:

- The recently published [Joint Inspection](#) (Adults) looking at the effectiveness of strategic planning within the Partnership evaluated key performance outcomes as good. Stating the Partnership demonstrates that it has robust systems in place to collate and analyse data from across the Partnership.
- The Strategic Risk Register was reviewed by Joint Management Team 15 November 2018 and Audit Committee 10 December 2018. There are 12 high level risks, 4 of which have been scored high.
- Locality based performance reporting is now being developed and it is proposed that in line with the wider Partnership performance is monitored by both the Joint Management Team and the multi agency Strategic Planning Group (SPG).
- The Winter Plan focuses on the period from November 2018 to March 2019 highlighting arrangements for the festive holiday periods in December and January. It should be noted however that many of the arrangements described in the plan to deal with peaks in demand and associated capacity are applicable all year round. The plan represents a whole-system approach, incorporating local contingency plans and ensuring formal links with the plans of key stakeholders including the Integration Joint Boards, NHS Board, Local Authorities, Scottish Ambulance Service, NHS 24, the Third and Independent sectors.

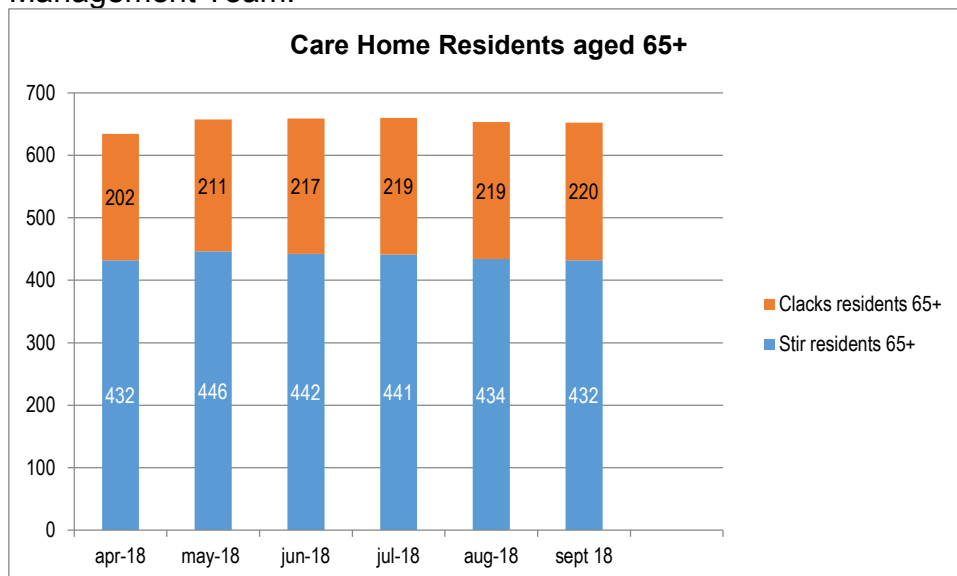
5.2. The challenge for the Partnership is to play its part in ensuring that more residents receive appropriate support and treatment within the community in order to reduce the number of A&E attendances and subsequent admissions to hospital.

5.3. The average monthly Emergency Department attendance rate in Forth Valley has increased by 3.1% in comparison to September 2017. The CS HSCP position has remained relatively static, and attendances are below the Forth Valley average by 31%. A brief look at attendance by postcode shows approximately 82% of all annual C&S attendances at Accident and Emergency originate from the following areas:

- FK10 – 29% Alloa, Cambus, Kincardine, Sauchie, Tullibody, Clackmannan and Kennet
- FK 7 – 28.7% Bannockburn, Cambusbarron, Cowie, Fallin, Plean, South Alloa, St Ninians
- FK8 – 24.4% Stirling, Aberfoyle, Arnprior, Buchlyvie to Ruskie and Thornhill

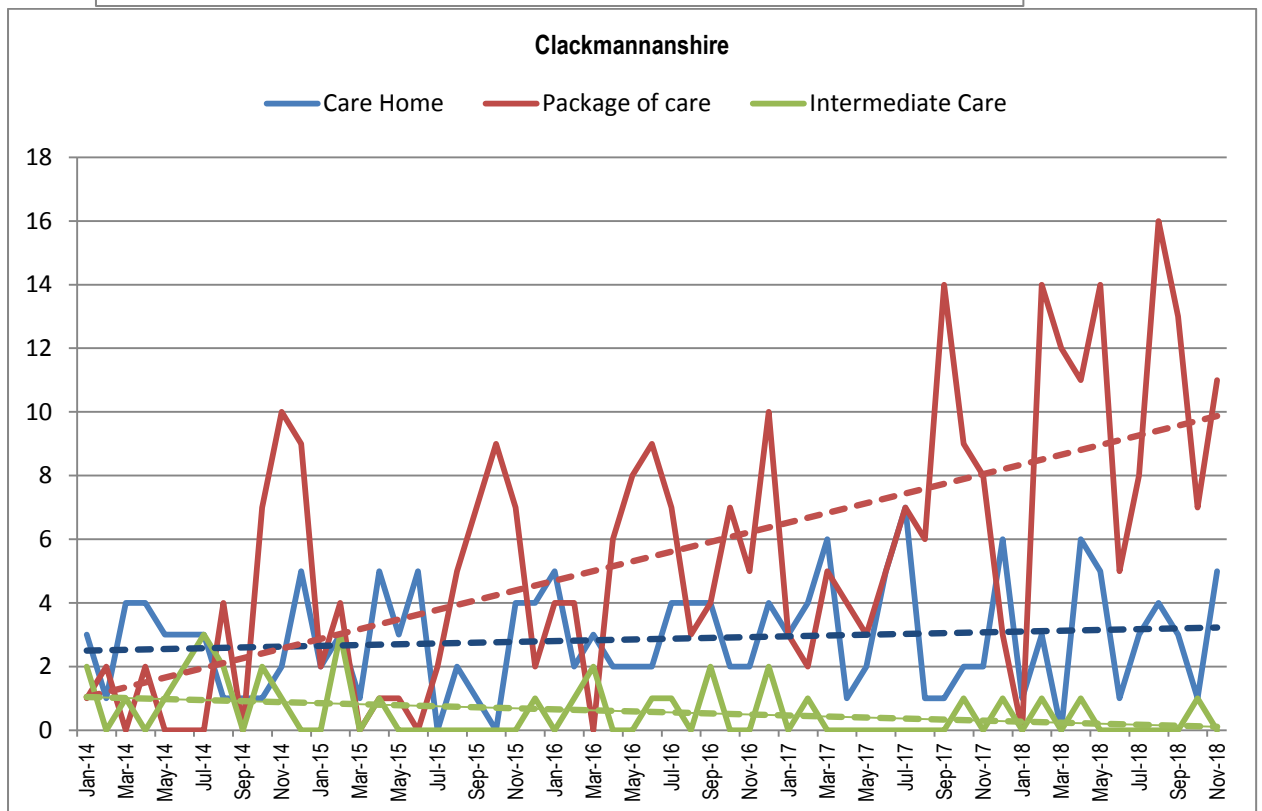
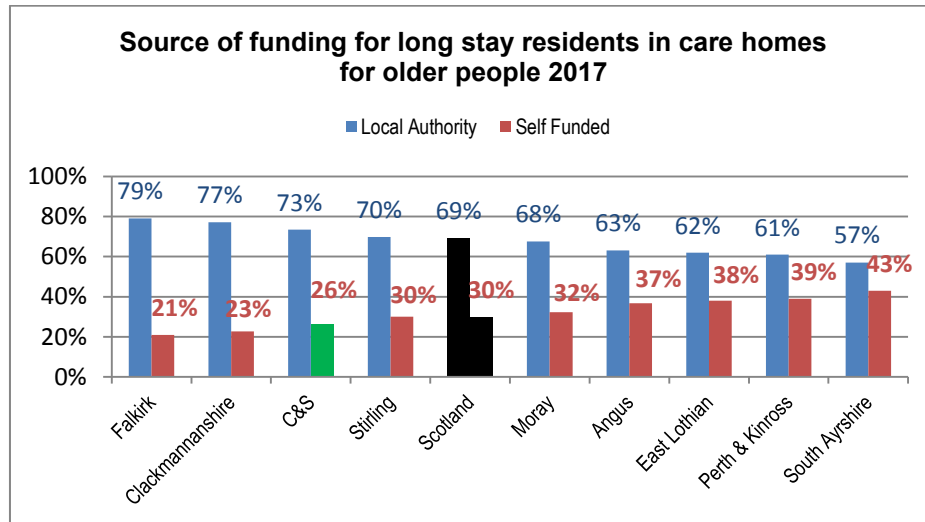
5.4. In Clackmannanshire Adult Support and Protection referrals were down by a third (9 to 6) from previous month. In Clackmannanshire care home referrals were down 2 from August and represent 17% of referrals. However, there was an increase in the number of referrals that led to an investigation with half of referrals received in September progressing to an investigation compared with an average 21% for the previous 3 months.

The performance of operational Social Care is monitored closely in regard to timeliness of response and outcome. This performance is overseen within the Adult Support and Protection Committee, and social Care operational management scorecards and meetings. When performance is below expectations, these are reported as exceptions to the Joint Management Team.



5.5. The biggest increase in Care Home residents aged (65+) since April 2018 has been in the Clackmannanshire locality, 66% of Clackmannanshire care home residents live in nursing homes which have higher fees than residential homes, reflecting the high level of 24 hour health and personal care required for residents which cannot be provided within the community. However more people continue to be returned home from

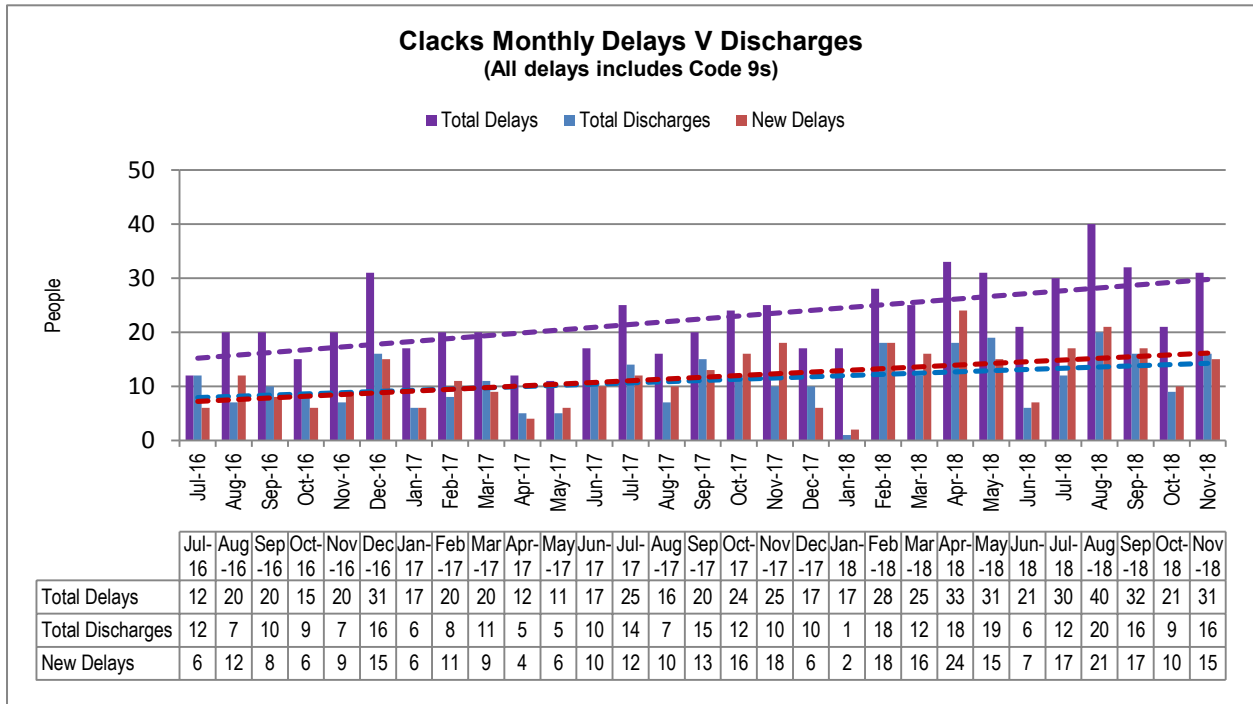
hospital with large packages of care rather than discharge to care home. Discussions are ongoing at a strategic level around appropriateness of budget setting given predicted rise in older people with more complex health conditions. Both areas continue to have more care home residents than budgeted for. Proportionally the Partnership, and in particular Clackmannanshire, are funded by the local authority far higher than the national average and many of our comparators.



5.6. A delayed discharge is experienced by a hospital inpatient who is clinically ready to move on to a more appropriate care setting but is prevented from doing so for various reasons. Delays can occur for a variety of reasons, but are usually due to a lack of appropriate care or services available within the community. For example, there may not be a place available in a local care home, or a person's house may need altered to help them get around. The Partnership position at the September 2018 census was 205 occupied bed days attributed to delayed

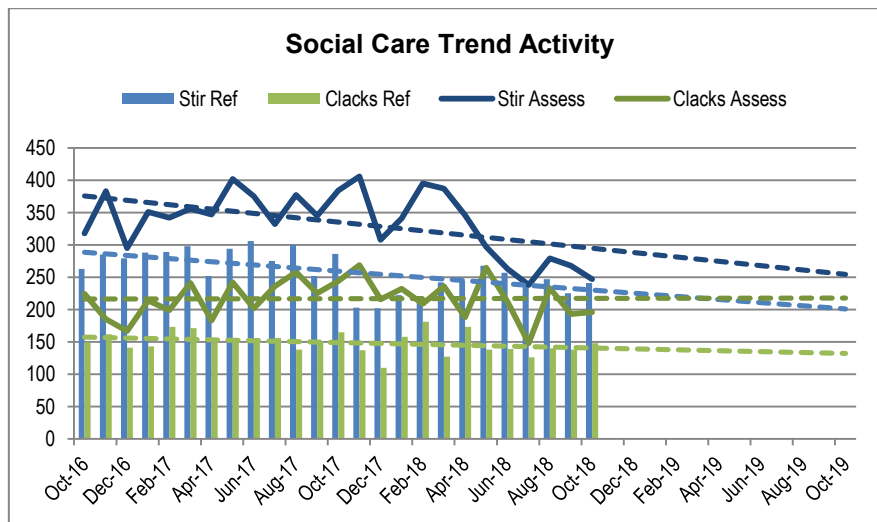
discharges. This is 11% (205/1724) of the occupied bed days within Forth Valley attributed to delayed discharges.

- 5.7.** The chart below shows total activity over the month for Clackmannanshire and not just at the census snapshot. The data includes all delays (standard and code 9) reflecting more of the work undertaken by health and social care within a monthly period. It shows the relationship between those entering hospital (new delays) and those leaving (discharges). The September position shows the overall numbers (total delays) are rising, with the number of new admissions continuing to be higher than the number of people being discharged.



- 5.8.** This data is discussed in detail within the Joint Management Team, and Operational Management meetings. Work is also undertaken through the Discharge Improvement Plan monitored by the Delayed Discharge Steering Group aims which aims to reduce the number of new admissions (new delays) and speed up the number leaving hospital (discharges) through a range of interventions and tests of change.

- 5.9.** Social Care in both local authorities are prioritising review activity which is having a positive impact on budget recovery, however the high level of new service demand means that any impact is mitigated. Demand and capacity is discussed within the Budget Recovery group and in the monthly management meetings. Clackmannanshire has completed a large proportion of the outstanding reviews which is evident in the rising trend in the graph below, Stirling is an ongoing position.



- 5.10. The graph above demonstrates some of the activity and demand on the social care service. Although the trendline for referrals is a reducing one, the number of assessments undertaken continues to increase especially in the Clackmannanshire locality. This suggests that most of the referrals are appropriate requests for service.
- 5.11. Service redesign across the Partnership will look at ensuring a better fit between demand and resources. Vacancy management and absence impacts on the capacity of the service to undertake assessments and other core areas of work. Operational management meetings monitor and ensure that absence management is maximised.
- 5.12. Appendix 1 shows a summary of a range of Health and Social Care data for the Partnership and Clackmannanshire.

6.0 Budget

- 6.1. At the end of October Health and Social Care was projecting total expenditure of £17.193m, an over spend of £1.152 (7.1%) on the budget of £16.041m. This was an improvement of £(0.389m) on the position reported in August.
- 6.2. This projection is subject to a number of uncertainties, the out comes of which could have a significant impact on the final outturn.
- 6.3. The service continues to experience significant pressures within Long Term Care, £0.830m and Community Based Care, including Care at Home, £1.201m.
- 6.4. Overall service levels are relatively stable. The number of people in long term care is 237. However, at the end of October there were 23 service users waiting to be allocated a Nursing Home place that were not included within the outturn forecast on the assumption that numbers will remain stable this financial year. These 23 service users have a potential full year costs of £0.600m.
- 6.5. Within Care at Home commitments have stabilised at around 10,000 hours per week after showing a steady increase in the early part of the

year. It is assumed that this position will continue through to the end of the year.

- 6.6. The above pressures are offset by an under spending on staffing costs on £(0.500)m.
- 6.7. Overall, the staffing position remains fluid with new structures still to be fully implemented. Whilst the impact of the changes has been anticipated within the forecast, the long term position will become clearer once the new structures are fully implemented.
- 6.8. Whilst the Partnership has an agreed additional set of in year savings measures for 2018/19 at this time is little sign of these impacting on the overall level of financial risk facing the Partnership.

7.0 Conclusions

- 7.1. This report provides Clackmannanshire Council Partnership and Performance Committee with an up-date on progress made by the Health and Social Care Partnership over the previous quarter.

8.0 Sustainability Implications

9.0 Resource Implications

9.1. *Financial Details*

- 9.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

- 9.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

9.4. *Staffing- not applicable*

10.0 Exempt Reports

- 10.1. Is this report exempt? No X

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities** (Please double click on the check box)

- The area has a positive image and attracts people and businesses
- Our communities are more cohesive and inclusive
- People are better skilled, trained and ready for learning and employment

- Our communities are safer
- Vulnerable people and families are supported
- Substance misuse and its effects are reduced
- Health is improving and health inequalities are reducing
- The environment is protected and enhanced for all
- The Council is effective, efficient and recognised for excellence

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

- 8.1 Equalities and Human Rights Impact Assessment is not required at this stage in relation to the report, which is for noting. Yes No

9.0 Legality

- 9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

Appendix 1 – Summary of Clackmannanshire locality performance


11.0 Background Papers

- 11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)
Yes (please list the documents below) No

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Janice Young	Interim Programme Manager	01259 226848
John Finn	Accountant	
Carol Johnston	Principal Information Analyst	
Shiona Strachan	Chief Officer	

Approved by

NAME	DESIGNATION	SIGNATURE
Ian Aitken	Interim Chief Officer	

Appendix 1 – HSCP Performance Summary Report

The Partnership focus is across the nine National Outcomes with work on-going to support a balanced approach to measurement and reporting. It should be noted that work is required in terms of developing a Balanced Scorecard to provide a broader range of measures and build upon qualitative and quantitative data which will enable and support quality improvement and assurance.

Key:

Direction of travel relates to previously reported position	
▲	Improvement in period
◀▶	Position maintained
▼	Deterioration in period
—	No comparative data

The tables below highlight local data for a rolling 12 month average as at September 2018 against the average as at September 2017. This also looks at a monthly breakdown of Delayed Discharges as at September 18 census. Performance data pertain to adults aged 18 and over.

At a glance summary:

INDICATOR TYPE	RED	AMBER	GREEN	GREY	TOTAL
National Indicators	1	3	0	6	10
Local Self Management Indicators	2	0	0	2	4
Local Community Based Support Indicators	2	0	4	1	7
Local Safety Indicators	0	2	0	5	7
Local Decision Making Indicators	0	0	0	2	2
Local Experience Indicators	3	0	0	3	6
National MSG Indicators	4	6	1	0	11

TABLE 1 National Indicators 11-23

Ref	Measure	Year	C&S	Scotland	Comparator	Baseline 15/16	Annual Direction of travel	Annual HSCP Status	Clackmannanshire
11	Premature mortality rate for people aged under 75 (per 100,000 population)	2017	379	425	383	425	▲	Amber	410
12	Emergency admission rate for adults (per 100,000 population).	Q1 18	2,447			2,592	▼	Amber	2,746
13	Emergency bed day rate for adults (per 100,000 population)	Q1 18	23,643			29,6945	▲	Amber	27,872
14	Readmission to hospital within 28 days (per 1,000 admissions)	Q1 18	84			103	▼	Red	91
15	Proportion of the last six months of life spent at home or community setting	Q1 18	88%			86%	▲	Grey	87%
16	Falls rate per 1,000 population aged 65+	Q1 18	5			4.5	◀▶	Grey	3.9
17	Proportion of care services graded 'good' (4) or better in Care Inspectorate Inspections (not just LA services)	17/18	94%	85%	86%	82%	◀▶	Grey	98%
18	Percentage of adults with long term care needs receiving care at home	16/17	67%	62%	62%	69%	—	Grey	68%
19	Number of days people aged 75+ spend in hospital when they are ready to be discharged (per 1,000 population)	Q1 18	162			160	◀▶	Grey	159
20	Percentage of health and care resource spent on hospital stays where the patient was admitted in an emergency	17/18	22%	24%	25%	23%	▲	Grey	23%
21	Percentage of people admitted to hospital from home during the year, who are discharged to a care home	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
22	Percentage of people who are discharged from hospital within 72 hours of being ready	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
23	Expenditure on end of life care, cost in last 6 months per death	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Source: ISD

The tables below highlights local data for a rolling 12 month average as at September 2018 against the September 2017 position. This also looks at a monthly breakdown of Delayed Discharges as at September 18 census. Performance data pertains to adults aged 18 and over unless otherwise stated.

TABLE 2 Local Self Management Indicators 24-27

Ref	Measure	September 2017	September 2018	Direction of travel	HSCP Status
24	Emergency department 4 hour wait Forth Valley	91.8%	85%	▼	RED
25	Emergency department 4 hour wait Clackmannanshire & Stirling	92.0%	86.2%	▼	RED
26	Emergency department attendances per 100,000 Forth Valley population	1,822.35	1,828.14	▼	GREY
27	Emergency department attendances per 100,000 Clackmannanshire & Stirling population	1,241.69	1,243.40	▼	GREY

Source: NHS Forth Valley

TABLE 3 Local Community Focussed Supports 28-34

Ref	Measure	September 2017	September 2018	Direction of travel	HSCP Status	Clackmannanshire
28	Number of patients with an Anticipatory Care Plan in Forth Valley	15,231	15,872	◀▶	GREEN	
29	Number of patients with an Anticipatory Care Plan in Clackmannanshire & Stirling	8,225	8,221	◀▶	GREEN	
30	Key Information Summary as a percentage of the Board List size for Forth Valley	4.9%	5.0%	◀▶	GREEN	
31	Key Information Summary as a percentage of the Board List size for Clackmannanshire & Stirling	5.7%	5.7%	◀▶	GREEN	
32	Number of Social Care referrals	403	363	▼	GREY	138
33	Number of Social Care assessments completed	570	461	▼	RED	193
34	Number of Care Home residents aged 65+	—	652	▼	RED	220

Source: NHS Forth Valley & Social Care

TABLE 4 Local Safety Indicators 35-41

Ref	Measure	September 2017	September 2018	Direction of travel	HSCP Status	Clackmannanshire
35	Readmission rate within 28 days per 1,000 Forth Valley population	0.72	0.61	▲	GREY	
36	Readmission rate within 28 days per 1,000 Clackmannanshire & Stirling population	0.60	0.46	▲	GREY	
37	Readmission rate within 28 days per 1,000 Clackmannanshire & Stirling 75+ population	1.17	0.85	▲	GREY	
38	Acute emergency bed days per 1,000 Forth Valley population	782.75	774.49	▲	GREY	
39	Acute emergency bed days per 1,000 Clackmannanshire & Stirling population	697.37	691.93	▲	GREY	
40	Number of Adult Support Protection referrals	62	47	▼	AMBER	6
41	Number of Adult Support Protection investigations	12	9	▼	AMBER	3

Source: NHS Forth Valley

TABLE 5 Local Decision Making Indicators 42-43

Ref	Measure	September 2017	September 2018	Direction of travel	HSCP Status
42	Emergency admission rate per 100,000 Forth Valley population	986	949	▲	GREY
43	Emergency admission rate per 100,000 Clackmannanshire & Stirling population	850	810	▲	GREY

Source: NHS Forth Valley

TABLE 6 Local Experience Indicators 44-49

Ref	Measure	September 2017	September 2018	Direction of travel	HSCP Status	Clackmannanshire
44	Standard delayed discharges	13	17	▼	RED	9
45	Delayed discharges over 2 weeks	5	4	▲	RED	3
46	Bed days occupied by delayed discharges	250	205	▲	RED	216
47	Number of code 9 delays	15	10	▲	GREY	3
48	Number of code 100 delays	7	5	▲	GREY	
49	Delays – including code 9 and Guardianship	28	27	▲	GREY	12

Source: NHS Forth Valley

Report to Partnership & Performance

Date of Meeting: 31 January 2019

Subject: Joint Inspection [Adults]. The effectiveness of strategic planning in the Clackmannanshire and Stirling partnership

Report by: Chief Officer, Health & Social Care Partnership

1.0 Purpose

- 1.1. This report outlines the outcome of the Joint Inspection (Adults) of the effectiveness of the arrangements for strategic planning in this Health and Social Care Partnership and presents the draft improvement actions for the consideration of the Partnership and Performance Committee of Clackmannanshire Council who are one of the constituent authorities of the Partnership.

2.0 Recommendations

The Committee is asked to note the:

- 2.1. the draft improvement actions, which are subject to agreement with the Lead Inspector [appendix 1]
- 2.2. the content of the Joint Inspection (Adults) final report [appendix 2]
- 2.3. the proposal, agreed by the Integration Joint Board at its meeting on 28 November 2018, to hold a hosted seminar in early 2019 to review the actions required to deliver the improvement recommendations arising from the Joint Inspection and requirements to ensure delivery of the Strategic Commissioning Plan

3.0 Considerations

- 3.1. The Joint Inspection took place between January and June 2018, with the final report published on 13 November 2018. The report was prepared by Healthcare Improvement Scotland and the Care Inspectorate, who led the Inspection.
- 3.2. The purpose of the Inspection was to help the Integration Authority answer the question: *“How well do we plan and commission services to achieve better outcomes for people?”*

3.3. This Inspection process and methodology has been applied to two previous Partnerships and the report does acknowledge the early stage of both the integration journey and the potential for further adjustments to be made to the process as the joint inspection teams move through the remaining programme of Joint Inspections (Adults) across Scotland.

3.4. As noted previously to the Integration Joint Board the areas of focus for the inspection were the following Quality Indicators –

What key outcomes have we achieved?	How good is our management of whole systems in the partnership?	How good is our leadership?
1. Key performance outcomes	6. Policy development and plans to support improvement in service.	9. Leadership and direction that promotes partnership.
1.1 Improvements in partnership performance in both healthcare and social care.	6.1 Operational and strategic planning arrangements. 6.5 Commissioning arrangements.	9.1 Vision, values and culture across the partnership. 9.2 Leadership of strategy and direction.

3.5. Quality Indicator 9 has not been fully evaluated – that is, this area has not been given a formal grading but is the subject of commentary in section 4, pp 35-36 of the final report. While Leadership has not been evaluated within this Inspection it is likely that in future Inspections leadership will be fully evaluated.

3.6. The report for this Partnership acknowledges the early stage of the integration journey but seeks to establish progress towards the establishment of effective, efficient and integrated services which are likely to have an impact on people’s experience of services and outcomes over time.

3.7. The detail of the Inspection is contained in sections 2-3. The summary at section 4 contains the Quality Indicators and evaluation

3.8. The key performance outcomes are evaluated as ‘Good’. Using the 6 point scale the evaluation of ‘Good’, means that there are important strengths, with some areas for improvement. Quality Indicator 6 is evaluated as ‘Adequate’ – this means that strengths just outweigh weaknesses or areas for improvement

3.9. The Inspection took place between January and June 2018 and since the end of this period there have a number of areas of significant further development, including further operational delegation and the delivery of the Health and Care Village.

3.10. The report highlights strengths as well as areas for development. In terms of areas for development there is a particular focus on work with housing services; locality planning and the linked delegation of operational services into the Health and Social Care Partnership. The press release which accompanied the Inspection Report highlights that “...There was insufficient demonstration of a wholesale commitment to integrated working to improve

the experiences and outcomes for people in the Clackmannanshire and Stirling and emphasises the need for collaborative leadership”.

- 3.11. Following any inspection process there is a requirement for an improvement plan. The draft improvement actions will be discussed and agreed with the Lead Inspector and the Partnership’s Strategic Link Inspector in early 2019. A copy of the first draft improvement actions is contained at appendix 2 of this report for the consideration of this Committee.
- 3.12. At the meeting on the 28 November 2018 the Integration Joint Board agreed that a supported seminar would be held in early 2019 to review the actions required of all partners to deliver the improvement recommendations arising from the Joint Inspection and clarify the support and actions required to deliver the Strategic Commissioning Plan. Support for the seminar has been secured from Scottish Government, iHUB and the Inspection team.

4.0 Sustainability Implications

- 4.1. The mitigation actions are described within the draft improvement actions laid out within appendix 1
- 4.2. The report and the accompanying press release refer to the need to ‘...improve collaborative leadership, developing the plans and structures currently in place, as well as ensuring a proactive, partnership approach to the management of operational performance...’. The board is aware that work has been taking place to effect the transition of services but it is important to understand and take cognisance of the limitations of the current service delivery model which is unable to deliver the depth and pace of change required and the additional risks to service stability associated with the current period of transition.

5.0 Resource Implications

- 5.1. *Financial Details*
- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. **N/A**
- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report. **N/A**
- 5.4. *Staffing- not applicable*

6.0 Exempt Reports

- 6.1. Is this report exempt? No

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

- | | |
|--|-------------------------------------|
| The area has a positive image and attracts people and businesses | <input type="checkbox"/> |
| Our communities are more cohesive and inclusive | <input type="checkbox"/> |
| People are better skilled, trained and ready for learning and employment | <input type="checkbox"/> |
| Our communities are safer | <input type="checkbox"/> |
| Vulnerable people and families are supported | <input checked="" type="checkbox"/> |
| Substance misuse and its effects are reduced | <input type="checkbox"/> |
| Health is improving and health inequalities are reducing | <input checked="" type="checkbox"/> |
| The environment is protected and enhanced for all | <input type="checkbox"/> |
| The Council is effective, efficient and recognised for excellence | <input type="checkbox"/> |

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

- 8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? No

9.0 Legality

- 9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

Appendix 1 - Draft Improvement Actions

Appendix 2 - Joint Inspection (Adults). The effectiveness of strategic planning in the Clackmannanshire and Stirling Partnership. November 2018.

Appendix 3 - Press Release – Care Inspectorate/Health Improvement Scotland [13/11/2018]

11.0 Background Papers

- 11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)


Yes (please list the documents below) No

Joint Inspection (Adults). The effectiveness of strategic planning in the Clackmannanshire and Stirling Partnership. November 2018.

Author(s)

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Shiona Strachan	Chief Officer	01259 225080

Approved by

NAME	DESIGNATION	SIGNATURE
Ian Aitken	Interim Chief Officer	

Joint Inspection [Adults]. The effectiveness of strategic planning in the Clackmannanshire and Stirling Partnership.

Areas for Improvement @ November 2018

PURPOSE & BACKGROUND:

This paper presents the draft improvement plan relating to the areas for improvement identified in the Joint Inspection (Adults) published on 13 November 2018. The content of the Plan will require agreement with the strategic link Inspector for the Partnership and progress should be reviewed by the Partnership through the Joint Management Team/ Partnership Senior Management Team and a progress report submitted to the Integration Joint Board in March 2019.

The areas of focus for the Inspection were the following Quality Indicators –

What key outcomes have we achieved?	How good is our management of whole systems in the partnership?	How good is our leadership?
1. Key performance outcomes	6. Policy development and plans to support improvement in service.	9. Leadership and direction that promotes partnership.
1.1 Improvements in partnership performance in both healthcare and social care.	6.1 Operational and strategic planning arrangements. 6.5 Commissioning arrangements.	9.1 Vision, values and culture across the partnership. 9.2 Leadership of strategy and direction.

Quality Indicator 9 has not been fully evaluated – that is, this area has not been given a formal grading but is the subject of commentary. The recommendations section of the report did not set them against the relevant QI but this has been done to ensure clear link between the recommendation and the outcome of the evaluation.

Joint Inspection [Adults]. The effectiveness of strategic planning in the Clackmannanshire and Stirling Partnership.					
Areas for Improvement					
	Area for Improvement	QI	Outcome	Lead/s	Timescale
1.	As the Partnership progresses the review of the Strategic Plan and the Strategic Needs Assessment, it should review and update all other related plans to ensure a whole system and collaborative approach is being taken to service planning.	6	Work towards a more integrated approach to strategic and service planning	Chief Officer/JY	March 2019
ACTION					
	<ul style="list-style-type: none"> Review of the Strategic Plan underway and in line with agreed time table. Strategic Planning Group engaged and feedback positive Review of the Strategic Needs Assessment complete Needs assessment for unpaid carers & Carers strategy aligned to Strategic Plan – co produced Consultation time table in place for Strategic Plan – first stage consultation via Big Team Meetings and PPF Housing Needs Assessment will be reviewed when Heads of Housing in place for each Local Authority. Meetings in diary for this purpose – on track Review workforce plan – HR and OD leads progressing this – on track Timetable reviews across 19/20 – dependent on capacity Refresh of Dementia Strategy – to include FV wide work and the dementia friendly communities 			Chief Officer/JY	Update @Nov 2018
EVIDENCE					
	<ul style="list-style-type: none"> Minutes of SPG [November2018] PPF agenda and notes [November2018] Big Team Meeting notes & output charts [October 2018] Carers Implementation Group Minutes/Presentations Draft Dementia Strategy 				

	Area for Improvement	QI	Outcome	Lead/s	Timescale
2.	Greater clarity and clear timescales are need for the stage programme of delegation of operational management. This should allow the IJB and the Chief Officer to exercise their roles and responsibilities more effectively and efficiently. The IJB should be able to demonstrate that they can provide full assurance of all the service legally delegated to them in April 2016.	9	Clarity of the operational management arrangements	CEX group/Chief Officer	Dec 2018
ACTION					
<ul style="list-style-type: none"> • Support service work shop to agree the arrangements for key support functions • Ongoing discussion within each constituent party on support service arrangements • Work shop being planned for November 2018 to clarify hosting arrangement for NHS FV wide services • Job description for Locality Manager finalised and matching process commenced for affected snr staff 					Update @ Nov 2018
EVIDENCE					
<ul style="list-style-type: none"> • Support Service work shop [DATE 2018] • Delegation update papers – IJB – June 2018 • Output from Nov workshop on hosting • Job description and advert for Locality Manager post • Interim management arrangements and supporting report to CEX and snr management teams 					

	Area for Improvement	QI	Outcome	Lead/s	Timescale
3.	The Partnership should ensure that it plans for and develops an integrated framework of accommodation, care and support. This needs to support a whole systems approach to developing care pathways in line with local need and priorities, the national health and wellbeing outcomes and the national health and social care standards. The framework should be sustainable and be evaluated to ensure that improvements in operational performance and personal outcomes are being delivered.	6	Whole systems approach and supported by intermediate care strategy	JY/SH/BL/K O'N/IA/Chief Officer	March 2019
ACTION					
	<ul style="list-style-type: none"> Whole systems approach described in the Rich Picture [2018] Further work being discussed with iHUB in terms of supporting Partnership to deliver on the new Strategic Plan priorities and the areas for improvement arising from this strategic inspection Further development of the frailty pathway and the unscheduled care programme work aligned to the front door development Step into Bellfield Centre within the Health and Care site from November 2018, integrating the health and social care workforce for bed based intermediate care Alignment of models of care closer to home, integrating reablement and enhanced care services to support people in their own homes. Continue this from service modelling work supported by iHUB 			JY/SH/BL/K O'N/IA/Chief Officer	Update @ Nov 18
EVIDENCE					
	<ul style="list-style-type: none"> Rich Picture [2018] Supporting documentation and model of care for the Bellfield Centre [November 2018] Business case front door [JMT] Reports to JMT/SPG/ IJB on model of neighbourhood care; unscheduled care; frailty iHUB reports following improvement work on pathways and intermediate care model [2017/18] – Implementation Plan Rich Picture Action Plan [August 2018] 				

	Area for Improvement	QI	Outcome	Lead/s	Timescale
4.	The Partnership should work with both council housing departments and registered social landlords to produce a coherent and shared strategic plan for accommodation across the Integration Authority. This needs to be responsive to local need and priorities and should include the review of the recommendations within the 'externally' commissioned study on specialist housing for older people published in 2016.	6	Lack of consistency of personnel in housing services [both Council areas] has impacted on ability of the Partnership to fully engage in accommodation with support and wider accommodation agenda/strategic planning	Chief Officer/JY/ Housing	March 2019
ACTION					
	<ul style="list-style-type: none"> Chief Officer to establish links to the chief Housing Officer [Stirling] when they come into post – December 2018 Work with local authority Housing to review the Housing Contribution Group and service links Work with local authority housing services in their role as the strategic housing authority to review the needs assessments for older people and homeless groups and establish links with the RSL groups Delivery of Housing with Care development within Clackmannanshire locality – construction phases planned for Spring 2019 [Primrose Street development] 				Update @ Nov 18
EVIDENCE					
	<ul style="list-style-type: none"> Joint Plan with Housing and University of Stirling for Primrose Street in Alloa Review of housing with care option in Stirling for people with a learning disability [business case – September 2018] Housing reference group established with patient and service user group 				

Appendix 1

	Area for Improvement	QI	Outcome	Lead/s	Timescale
5.	The Partnership needs to accelerate the progress of locality development. It should provide timely and appropriate opportunities for local communities and professionals to meaningfully engage in locality planning in respect of all care groups.	6	Locality Managers in post and working with Locality Co –ordinators, staff, service users/patients, unpaid carers, providers of services and communities to deliver locality based planning and service delivery	Chief Officer/ GP Locality Co ordinators/ Locality Managers	March 2019
ACTION					
	<ul style="list-style-type: none"> Health and social care staff moving to co locate with primary care in the rural area of Stirling as part of the model of neighbourhood care [November 2018] Locality Manager posts being filled in matching process before internal advert [November 2018] – final shape of snr management structure dependent on hosted services Strategic Planning Group meeting during workshop sessions to plan the Strategic Plan priorities in locality groupings Engagement being planned to align with Strategic Commissioning Plan 2019-2022 timeline which will focus on what matters to localities/communities Engagement with local communities as part of model of neighbourhood care and housing with care development The Neighbourhood Care Team has developed a Community Reference Group- comprising local people; third sector and Community Council reps. This group has a focus on discussion of care issues locally and the keeping well approach Neighbourhood Care Team has a Resource Worker post which helps to connect formal services and informal supports 				Update @ Nov 18
EVIDENCE					
	<ul style="list-style-type: none"> SSSC and HIS/IHUB report on model of neighbourhood care Strategic planning Group minutes and priority statements from work shops Engagement and consultation on Mental Health Strategy Engagement and consultation on Learning Disability re-design Engagement and consultation on Day Support re-design Neighbourhood Care Team – minutes of sessions and IJB Board papers Reference group minutes 				

	Area for Improvement	QI	Action	Lead/s	Timescale
6.	The Partnership needs to demonstrate sufficient care at home capacity through the care at home review to sustain new models of care. There should be equity of access to care at home, respite and long stay care home provision allowing people to remain in their local communities.	6	Review of care at home commissioning plan to support the widening out of access to services.		
ACTION					
	<ul style="list-style-type: none"> Model of neighbourhood care for Rural Stirling to support sustainable care at home provision in this area – integrated community based teams, working in and with communities and including volunteering and informal supports Evaluation of model of neighbourhood care will support further implementation in other localities/communities Commissioning Plan for Partnership to be agreed and implemented for Care at Home Working group reviewing access and approach for Respite Care in support of Unpaid Carers Development of pathways to support people who are unwell or require additional short term support at home as an alternative to crisis admission to care homes Commissioning teams working with care homes to support improvement activities and monitor performance Development of Strategic Commissioning Plan 2019-2022 will focus on outcomes of localities Work with Third Sector colleagues in supporting communities to self-manage and provide meaningful support Short Breaks Statement being developed as part of the Carers Implementation Group. The development of approaches for short breaks will be delivered in partnership with unpaid carer representatives. 			Update @ Nov 18	
EVIDENCE					
	<ul style="list-style-type: none"> Care at Home Commissioning Plan JMT papers Provider Forum Minutes – Care at Home, Care Homes, and Learning Disability services Analysis of use of respite across Partnership [ISD outputs] Model of neighbourhood care minutes and evaluation documentation Dementia Friendly Stirling minutes and Action Plan Dementia Friendly Clackmannanshire minutes Short Breaks Statement Neighbourhood Care Team Service Specification 				

DRAFT

JOINT INSPECTION (ADULTS)

The effectiveness of strategic planning
in the **Clackmannanshire and Stirling Partnership**

NOVEMBER 2018

JOINT INSPECTION (ADULTS)

The effectiveness of strategic planning
in the **Clackmannanshire and Stirling Partnership**

NOVEMBER 2018

The Care Inspectorate is the official body responsible for inspecting standards of care in Scotland. That means we regulate and inspect care services to make sure they meet the right standards. We also carry out joint inspections with other bodies to check how well different organisations in local areas are working to support adults and children. We help ensure social work, including criminal justice social work, meets high standards.

Healthcare Improvement Scotland works with healthcare providers across Scotland to drive improvement and help them deliver high quality, evidence-based, safe, effective and person-centred care. It also inspects services to provide public assurance about the quality and safety of that care.

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- in Braille (English only)
- in languages spoken by minority ethnic groups.

Contents

	Page
1. About this inspection	2
2. The Clackmannanshire and Stirling context	4
3. Our inspection of the partnership's strategic planning	6
4. Summary	31
5. Conclusion	36
Appendix 1 – Quality Improvement Framework	
Appendix 2 – Methodology	
Appendix 3 – Leadership group and joint management team memberships	

1. About this inspection

Scottish Ministers have asked the Care Inspectorate and Healthcare Improvement Scotland to report on the effectiveness of the strategic plans prepared by integration authorities. We will report on how integration authorities plan, commission and deliver high-quality services in a co-ordinated and sustainable way. This will include looking at:

- a shared vision
- leadership of strategy and direction
- a culture of collaboration and partnership
- effective governance structures
- a needs analysis on which to plan and jointly commission services
- robust mechanisms to engage with communities
- a plan for effective use of financial resources
- a coherent integrated workforce plan which includes a strategy for continuous professional development and shared learning.

The purpose of our inspection is to help the integration authority answer the question “How well do we plan and commission services to achieve better outcomes for people?” To do this we assess the vision, values and culture across the partnership, including leadership of strategy and direction, the operational and strategic planning arrangements (including progress towards effective joint commissioning) and improvements the partnership is making in health and social care services that are provided for all adults.

Integration is bringing changes in service delivery but we recognise that it takes time for this to work through into better outcomes. Indeed, at this early stage of integration, we would expect to see data showing some room for improvement in the outcomes for people using health and care services, even where leadership is effective and planning robust. So, in this inspection we do not set out to evaluate people’s experience of services in their area. Our aim is to assess the extent to which the health and social care partnership is making progress in its journey towards efficient, effective and integrated services that are likely to lead to better experiences and improved outcomes over time.

Both the Care Inspectorate and Healthcare Improvement Scotland undertake a variety of other scrutiny and improvement activities, in collaboration with other scrutiny bodies, which provides assurance about the quality of services and the difference those services are making to people in communities across the country.

The Clackmannanshire and Stirling Partnership comprises Clackmannanshire council, Stirling council and NHS Forth Valley, and is referred to as the partnership throughout this report. The inspection took place between January and June 2018. The findings within this report reflect our findings during the period of inspection.

So that our joint inspections remain relevant and add value, we may refine our scrutiny methods and tools as we learn from each inspection. The quality indicators and illustrations used to support the joint inspection of the Clackmannanshire and Stirling Partnership are set out in Appendix 1. There is a summary of the methodology in Appendix 2.

2. The Clackmannanshire and Stirling context

Clackmannanshire council, NHS Forth Valley and Stirling council are the only health and social care partnership¹ (HSCP) in Scotland covering two local authority areas. The integration authority and the governing integration joint board² (IJB) became responsible for the strategic planning and oversight of delivery of community-based health and social care services to adults over 18 years of age on 1 April 2016.

The partnership operates over an area of 905.4 square miles and has an estimated population of 142,770, with 64% (91,580) living in Stirling and 36% (51,190) in Clackmannanshire.

The partnership produced a strategic needs assessment³, which provides a comprehensive description of health and social care data that is relevant to the partnership. The following key issues identified come from the partnership needs assessment.

“Both Clackmannanshire and Stirling have an ageing population. The number and proportion of older adults across Clackmannanshire and Stirling is projected to double.

“Older people are generally more intensive users of health and social care services.

“Therefore, this could impact significantly on demand for these services in years to come.

“Clackmannanshire is projected to see an increase in the ratio of people not of working age to people of working age. Stirling is projected to see an increase in the working age population. Clackmannanshire is also projected to experience a decrease in the number of people of working age living in the area. This means that at the same time as demand for services could be increasing, it could be more challenging to employ the workforce to meet this demand.

“It is projected that Clackmannanshire and Stirling will have growing numbers of individuals living with long-term conditions, multiple conditions and complex needs.

“There is a need to rebuild services in such a way to better meet the requirements of people with complex needs. Patients with several complex long-term conditions are currently making multiple trips to hospital clinics to see a range of uncoordinated

¹ Referred to as ‘the partnership’ throughout the report

² Under The Public Bodies (Joint Working) (Scotland) Act 2014, Integrated Joint Boards are responsible for the planning of integrated arrangements and onward service delivery of the functions and resources delegated to it from the Health Board and Local Authorities. (Scottish Government)

³ Clackmannanshire and Stirling HSCP Joint Strategic Needs Assessment 2016 -2019

specialist services which is a national problem. A proposed way forward could be to look at developing new pathways and guidelines away from the current disease-specific models to generic approaches focused on the holistic needs of patients.

“Reducing unplanned, emergency, hospital care will benefit the service as well as the individual. The average monthly attendance at the emergency department has increased by 8.8% over the years 2007-2015 and the rate of emergency hospital admissions in Clackmannanshire and Stirling has remained broadly similar over the past decade.

“However, the older-adult population in Clackmannanshire and Stirling accounts for a growing percentage of emergency admissions. Given the projected increase in the older-adult population, emergency departments could struggle to meet this demand. Early intervention and community-based services could help ease the pressure.

“Supporting unpaid carers is a priority. One of the aims of health and social care integration is to keep people living independently in the community for longer. The projected increase in the older-adult population is likely to mean there will be an increasing need for unpaid carers. In turn, these unpaid carers will need to be supported.

“Reducing risky behaviours such as smoking, alcohol consumption, drug use and poor diet could have a positive effect on an individual’s health. Latest estimates suggest 28.9% of people in Clackmannanshire smoke. The corresponding figure for Stirling is 20% and for Scotland is 23.1%. The alcohol-related mortality rate in Clackmannanshire in 2013 was 38.85 per 100,000 population, which was significantly worse than the average rate of 21.43 for Scotland. The estimated prevalence of those with problem drug use has increased in Clackmannanshire and Stirling when comparing the data from 2009/10 and 2012/13. There is likely to be variation across both Clackmannanshire and Stirling and further work on locality profiles may help to identify these areas.”

3. Our inspection of the partnership's strategic planning

Performance

There is evidence that the partnership has a focus on transformational change and improvement and that this links to the strategic plan⁴. This is seen in recent improvement activity and the development of new models of care, which we talk about later in the report.

A review of the partnership's performance against national outcome measures shows that across a number of social care indicators Clackmannanshire and Stirling has consistently performed well either at or above the Scotland average. The partnership benchmarks itself against comparator authorities and performs well against them. While both local authorities have had to address challenges in their partnership with the NHS Board pre-integration, this has not had an impact on overall performance.

We saw an improvement in the use of performance data. There is a shift beginning in the data being sought and how this is being used. We saw examples of changes to systems to reduce delayed discharges and improve discharge planning by better use of performance data. Use of performance data is also one of the key areas of the partnership's Transforming Care programme. Minutes from IJB meetings showed appropriate reporting on performance activity, the meeting of national targets and its link to performance.

The partnership has developed a good-performance framework. This sits alongside a strategy map that links performance information and data to the strategic plan.

In conjunction with the National Health and Wellbeing Outcomes⁵, the Scottish Government published a core suite of integration indicators⁶ in 2017. The indicators are assessed by asking people who use services how they feel and also by looking at performance indicators such as emergency admission rate. The partnership has good performance generally against these criteria.

The partnership has delivered some positive performance in shifting the balance of care and towards enabling more people to stay at home. This is demonstrated in the partnership performance data.

⁴ The Public Bodies (Joint Working) (Scotland) Act 2014 places a duty on integration authorities to develop a strategic plan for integrated functions and budgets under their control.

⁵ Public Bodies (Joint Working) (National Health and Wellbeing Outcomes) (Scotland) Regulations 2014 provide a strategic framework for the planning and delivery of health and social care services. They focus on the experiences and quality of services for people using those services, carers and their families.

⁶ Criteria that measures the effectiveness of health and social care integration in a partnership area.

- In Clackmannanshire, the rates of population under 65 receiving home care and intensive home care are both higher than the Scotland average.
- In Stirling, the rates of population under 65 receiving home care and intensive home care are both higher than the Scotland average.
- In Clackmannanshire, the length of stay in care homes for those aged over 65 mirrors the Scotland average but for those under the age of 65, it is notably higher than the Scotland average.
- The length of stay in care homes in Stirling for those aged over 65 is lower than the Scotland average however, it is higher for those under 65.
- In the earlier part of 2016/17, there was a notable increase in the number of admissions to care homes providing nursing care within the Clackmannanshire locality.

Length of stay in care homes for those under 65 and admissions to care homes with nursing in Clackmannanshire should be monitored by the partnership to understand the reasons behind these increases.

Compliance with the four-hour accident and emergency waiting target has been stable. However, the most recent data in relation to this shows performance deteriorating. This is recognised by senior staff and a range of options are being considered to reverse this trend. Delayed discharges for Stirling have also been increasing for both the 75+ and 18-74 age categories. The partnership has developed the Six Essential Actions performance improvement action plan⁷. This is helping to stabilise and address these fluctuating trends in performance. It targets actions such as capacity and patient flow realignment, patient management rather than bed management, a seven-day service and ensuring patients are cared for in their own homes. As the implementation of this action plan continues, we would expect to see this supporting better management of the front-door and discharge planning.

We saw an early start towards a more robust approach to anticipatory care planning (ACP). The partnership is involved at a national level in the development of ACP documentation for primary care. Some initial work to assess the impact of anticipatory care planning on readmissions suggests a positive impact on readmissions among a group of people over 75 experiencing frequent admissions to

⁷ The Six Essential Actions to Improve Unscheduled Care is a programme that seeks to share best practice and engage partners across NHSScotland and wider UK, and evaluate impact of 6 essential actions to deliver unscheduled care target. (Scottish Government).

acute services with a pattern of failed discharges. Another impact assessment may be helpful to support the development of anticipatory care planning.

There is positive performance in self-directed support (SDS)⁸ within Clackmannanshire however, this picture is not reflected in Stirling. In 2017, 50 people in Clackmannanshire received SDS (direct payments) which was a 67% increase from 2016. Scotland overall saw an increase of 10%. In 2017, 40 people in Stirling received SDS, which was a 125% decrease from 2016. The partnership should look at these differences in SDS performance and whether performance in Stirling can be improved.

There is a disproportionate number of people in poverty across the partnership in comparison to the Scotland average. There is no evidence that there is a clear strategy to address the balance of inequalities across the two authorities. The partnership acknowledges that this was not an area of focus within the first strategic plan. The partnership says that a targeted approach will now be taken when refreshing the plan, which will recognise certain population groups and align this to measurable outcomes.

We acknowledge that the partnership is undertaking changes within the context of continued demand on services and unprecedented funding constraints. While this situation is similar to the picture nationally, this transformation is taking place at a later stage in Clackmannanshire and Stirling and therefore will be arguably more challenging for this partnership. The approach to partnership working and transformation, as well as the predicted increasingly difficult financial picture, may impact negatively on future performance.

Finance

The partnership has good joint working between finance officers. Finance officers meet and communicate regularly both formally and informally to discuss current and emerging issues about integration. The finance officers group provides briefings to the other integration working groups. The partner finance officers have been providing accurate financial information in a timely manner, allowing the chief finance officer to pull together the monitoring reports for the IJB. This meets with the assessment made by the external auditors around financial performance monitoring/reporting in the 2016/17 annual audit report. IJB members are supported by the chief finance officer in understanding and carrying out their finance role through a programme of seminars covering a wide number of areas including the partnership budget.

⁸ The Scottish Government introduced The Social Care (Self Directed Support) (Scotland) Act 2013, which came into force on April 1 2014. It places a duty on local authority social work departments to offer people who are eligible for social care a range of choices over how they receive their support. (Scottish Government).

Resource allocation is only linked to the agreed strategic priorities at a very high level. The current budget allocation is based on the costs of existing service provision and has yet to be linked to identified, strategic need. This is largely the picture across Scotland. There is a commitment by the partnership to develop medium term financial plans aligned to development of the next strategic commissioning plan. The Transforming Care programme is the underpinning delivery plan. This is a positive step.

The partnership has taken a staged approach to transferring operational control of services to the IJB. The different governance arrangements from the three constituent bodies have created challenges around the understanding of financial accountability by officers and members of the IJB. We observed that the IJB is functioning as three separate financial contributing bodies. This will remain a concern unless the IJB can evidence it has developed a strategy to effectively mitigate this risk.

The partnership should develop financial reporting so that IJB members have an improved understanding of the relationships between performance and investment against the strategic priorities. The delegated IJB budget for 2017/18 is £163.778 million with £19.567 million relating to acute services set-aside⁹. At the start of 2017/18, it was anticipated that there would be a potential year-end overspend of £1.784 million. To address this projected funding gap, a recovery plan was produced in June 2017. Although we found there to be a separate recovery plan in place at each partner body, a budget recovery group had been put in place to coordinate and monitor savings activity and reported back to the joint management team. The Transforming Care group now monitors this.

In February 2018, the estimated year-end budget position projected an overspend of £3.166 million. The split of this overspend by constituent authority was £1.396 million, £0.780 million and £0.990 million for Clackmannanshire, Stirling and NHS Forth Valley respectively. The projected overspends are largely the result of pressures within the nursing homes and care at home budgets, increased respite costs and prescribing-cost pressures.

The partnership planned to use reserves and part of the integrated care fund¹⁰ allocation to offset this overspend and it was anticipated that this would bring down the net year end position to a £1.556 million overspend. Use of the integrated care fund should be underpinned by the six principles set out in the guidance issued by

⁹ Activity based budget for commissioned hospital services used by the integration authority population as set out in the strategic plan. This is the amount required to be set aside by the health board for use by the integration authority (Scottish Government)

¹⁰ The Scottish Government made resources available to integrated authorities to support delivery of improved outcomes from health and social care integration, help drive the shift towards prevention and strengthen their approach to tackling inequalities. (Scottish Government)

the Scottish Government, one of which relates to sustainability. There is a risk to longer-term financial sustainability in the partnership's reliance on the non-recurring integrated care fund ICF and reserves. The purpose of the integrated care fund is to provide service change to shift the balance of care towards early intervention, the prevention of ill health, and care and support for people with complex and multiple conditions. Using the funds to offset overspends will eventually allow this to happen, however a more financially sustainable approach is required.

The risks relating to the financial resilience and sustainability of the IJB are included in the partnership's strategic risk register and are matched against mitigating actions. Risk management arrangements, including the risk management strategy, were concluded to be appropriate by external auditors and are subject to regular review.

Strategic planning and commissioning

The Scottish Government required health and social care partnerships to produce joint commissioning strategies for all delegated functions by April 2016 and their impact to be monitored by scrutiny bodies from April 2017. Progress with strategic planning and commissioning by integration authorities tends to be still at an early stage across the country.

The Clackmannanshire and Stirling partnership has developed a range of strategies to inform service planning. Both the strategic plan¹¹ and the joint strategic needs analysis¹² are currently being updated and refreshed during 2018 for the next three-year planning cycle (2019-2022).

The current strategic plan (2016-19) is a high-level strategic document that links to the strategic needs analysis. This is a well presented, public facing document that outlines the partnership's intentions moving forward. The plan is supported by a high-level financial plan. A due diligence¹³ process was carried out by the partnership on the initial 2016/17 IJB budget, which allowed them to gain assurance over the initial budget allocation.

This plan provides the foundation for the partnership vision, which is "To enable people in the Clackmannanshire and Stirling Health and Social Care partnership area to live full and positive lives within supportive communities". Within the plan there is an emphasis on ensuring that staff are supported to work in an integrated way to enable people to maximise their independence. From our staff survey, we

¹¹ The document setting out the arrangements for carrying out the integration functions and how these are intended to achieve or contribute to the achievement of the relevant national health and wellbeing outcomes for the population of the integration authority. (Scottish Government)

¹² A joint strategic needs assessment analyses the needs of local populations and informs and guides the commissioning of health, wellbeing and social care services within the area.

¹³ A detailed look at the partnership finance to give confidence to the IJB about the budget.

saw that the majority of staff are enthusiastic about the development of integrated working arrangements.

The chief officer presented the IJB with the plans for the next iteration of the strategic plan at the end of March 2018. This next version is to develop the high-level intentions set out in the current plan and provide the detail on how the partnership will achieve these intentions. We would want to see this plan translated into SMART¹⁴ actions, with accompanying detail on how these will be delivered and translated into commissioning plans and procurement activity for each care group.

We would also want there to be updated and revised financial and market facilitation plans as well as alignment with both local authorities' strategic housing investment plans. These will be critical in understanding how the partnership will prioritise and allocate its resources and realise the ambitions of the plan. This should be done in collaboration with stakeholders for the longer-term delivery of affordable and sustainable adult health and social care accommodation and services.

The joint strategic needs analysis for the partnership (2016-19) is detailed and comprehensive and includes rich local data. It is an extensive document that includes detailed information to support service planning in respect of changing demographics, health issues and the areas of specific risk as well as current health and social care provision. This is monitored by the partnership and is updated for the three-year planning cycle. This data will inform longer-term decisions as the partnership develops locality planning and new models of care.

The partnership has developed and produced a market facilitation statement with an accompanying plan. We noted that there has been consultation held with the third and independent sectors in the development of this statement, which is called Creating a foundation for change – market statement for Clackmannanshire and Stirling – 2017-2020. It includes information about the vision for service provision and the partnership area, what the partnership intends to do and a market facilitation plan. It links into the strategic plan and the joint strategic needs analysis. This sets out how the partnership wants to transform care and support. It includes information about the potential opportunities for providers, a commitment to a mixed economy of care and an outline of what will be expected from service providers.

We recognise that this is at an early stage. There are no timescales for the delivery of the actions within the market facilitation plan or information about potential risks if these actions are not delivered. There is no reference to the locality plans or the workforce strategy. There is currently no reference to the financial plan, therefore it is not evident how the partnership intends to fund this programme of change or how it will support the third and independent sectors to develop service innovation. The

¹⁴ Specific, Measurable, Achievable, Realistic and Time-bound

partnership states that the market facilitation plan will be fully costed and they are aware of the direction this plan's development must take.

Further work is now required to develop the market facilitation plan in collaboration with stakeholders. This should be an ongoing and dynamic process in response to market changes and locality profiling.

Delegation of functions

The IJB has all of adult social care services and community-based health services delegated to it and has legal responsibility for the delivery of these services. However, operational management for the bulk of services still lies with NHS Forth Valley and Stirling council.

While this type of arrangement is not unique to Clackmannanshire and Stirling, there is an additional layer of complexity to the role and functions of the IJB and the chief officer. Currently the chief officer only has operational management of the integrated mental health services, learning disability services and Clackmannanshire adult social work and social care services.

The Clackmannanshire and Stirling Integration Scheme states "To ensure that planning and delivery of the Integration Functions are fully integrated, the Integration Joint Board shall direct, oversee and monitor operational delivery of the services included in the Integration Functions by the Parties to ensure cohesion and compliance with the strategic plan". To achieve this, a framework has been put in place to allow the IJB to do this before full delegation of operational responsibility¹⁵.

The partnership has formed a leadership group that provides a core senior management interface across all adult health and social care services. This group's primary focus is on the services for which the IJB has legal responsibility. This group supports and guides the work of the joint management team.

The joint management team provides an operational interface and decision making point for the functions in scope for the IJB. It supports and directs the strategic planning and implementation of the Transforming Care and other change programmes and the delivery of services. It also has a role in supporting the strategic planning group¹⁶ to fulfil its functions to develop and review the strategic plan.

Final delegation of operational management of services to the IJB is due to be completed by September 2018. Significant emphasis has been placed on the preparation of services across NHS Forth Valley and Stirling council to have these

¹⁵ See appendix 3

¹⁶ The Public Bodies (Joint Working) (Scotland) Act 2014 requires each integration authority to establish a strategic planning group, which should be involved in all stages of developing and reviewing plans.

services in the best position for delegation rationalising staff, filling vacancies and so on but, given the lack of evidence of detail for service transfer, we cannot share the partnership's confidence that final delegation will progress as planned. For example, at the time of the inspection proposed job roles to support the delegation were in the early stages of being prepared and the pace of delegation was viewed as slow. Opportunities to develop a more efficient method to support this staged approach have been missed.

The decision to stagger the delegation of operational responsibility for services is not allowing the potential of integration to be fully realised. This decision prolongs a single-agency approach to service delivery rather than a partnership one. The plans in place to develop new models of care, while now underway, could have taken place earlier and with a more strategically defined partnership approach.

While a staggered delegation of function is permissible within the legislation, it is an unusual approach in the wider context of other integration authorities in Scotland. This is having an impact on the role and authority of the chief officer and the IJB. The framework of the leadership group and the joint management team for planning management and decision making adds an unnecessary layer of complexity.

There are risks to the IJB, particularly around governance, that while having legal responsibility for all the services delegated to them in 2016, they have to exercise their operational functions through the leadership group and joint management team.

The integration joint board and the strategic planning group

The IJB is gaining more of a cohesive identity since its inception, despite tensions that exist politically across Clackmannanshire and Stirling administrations.

The IJB is the second largest in Scotland due to representation from both Clackmannanshire and Stirling. As with most IJBs but more evident due to the size and composition of this IJB, agendas are large and have competing priorities. At times, debate can be cut short. Some IJB members told us that sometimes it is difficult to debate and discuss opinions due to time constraints. We observed some challenging debate at the IJB and frustration of members at the lack of time for discussion. We learned from IJB members that agenda items requiring further discussion and agreement can sometimes be towards the end of the agenda, which may reduce the length and comprehensiveness of discussion.

Some of the members we spoke with also felt issues raised are not always reflected in the minute of the meeting. We expect that all IJB members should be made aware of the form and content of IJB minutes so that they know what they should contain. This would mean that they are clear about what should be in the minutes

and can ensure minutes accurately reflect meetings held. This will support increased transparency and accountability of the board.

There is a programme of support and development for both the elected and non-elected members of the IJB to improve its functioning. Healthcare Improvement Scotland's improvement support services (ihub¹⁷) have supported sessions to date and discussion is ongoing about the content and support for future development sessions.

IJB members have found this programme supportive, with sessions providing time and opportunity for greater discussion and debate. The development sessions attempt to promote the partnership vision and its links to the strategic plan through sessions providing service and finance information. This has strengthened members' understanding of the issues presented to the IJB, allowing an approach which is more cohesive and demonstrates a shared purpose and aims.

The development and understanding of the IJB agenda has also been supported through pre agenda meetings with carers, service user representatives, advocacy and the third sector. These meetings allow time for questioning about key issues and for members to develop a greater understanding of IJB issues including finance. Where there are specific meetings for either the voting or non-voting members, all board members are made aware that these are taking place. In addition, each IJB has a development session held before its board meeting.

The changes in membership as elected members are replaced requires this type of positive support to be ongoing.

Members of the strategic planning group describe this group as operating well. Members of the group report positive engagement in an environment where they are generally given the opportunity to discuss concerns and seek clarity on issues. Members feel supported by the current chair and project officer. The chief officer chairs the strategic planning group meetings and the time available is split between business and workshop discussions.

We spoke with providers who are part of the strategic planning group and although they valued the group, some of them told us they did not know how to make representation through the group. They said that they do not consistently have the ability to influence planning.

The strategic planning group has a demanding agenda and like the IJB this at times limits the opportunity for real debate and discussion. We observed

¹⁷ Improvement Hub Healthcare Improvement Scotland provides support for the redesign and continuous improvement of Health and Social Care services.

recommendations being agreed on critical issues such as the development of locality planning, with minimal discussion or debate. This raises the question as to how well informed members of the group are on areas of critical importance in shaping the partnership and delivering on legislative requirements.

The partnership should reflect on how they can achieve a better functioning IJB and strategic planning group that allows for sufficient debate and discussion and ensures that members are fully informed and involved.

Progress towards joint commissioning

The partnership is developing a single approach to commissioning. A proposal paper outlining a service agreement on joint commissioning is likely to be submitted to the IJB in the summer of 2018. It is too early to assess the impact of any changes that may be made to current commissioning approaches.

We were provided with a number of documents by the partnership detailing the processes undertaken for the recent commissioning and procurement of independent advocacy services across the Forth Valley area. It is evident that there has been a thorough approach undertaken that stems from the strategy for advocacy provision 2016-2021.

Strategic planning and service developments

The population in both Clackmannanshire and Stirling aged over 75 years is forecast to increase at a higher rate than the rest of Scotland. This is particularly the case in Clackmannanshire. Clackmannanshire also has significant pockets of deprivation. The development of an affordable and sustainable mixed economy of care that is responsive to local variances will be key to ensuring that the partnership will be successful in delivering integrated care and support in accordance with the ambitions set out in the strategic plan.

Within partnership strategic plans, two of the main service developments underway are the Stirling Health and Care Village and the model of neighbourhood care pilot. The partnership is also reviewing care at home.

Neither the Stirling Health and Care Village nor the model of neighbourhood care pilot were operational at the time of our inspection. We could therefore not gain a real sense of how these might influence future commissioning decisions, in particular the commissioning of care at home provision beyond the extended current contractual arrangements. In addition, as work gets underway to update the strategic plan, the needs analysis and other related strategic documentation, it will be vitally important that the function and purpose of both service developments are reviewed in order to ensure that these continue to align with and respond to local need and priorities.

The Stirling Health and Care Village

This has been a long standing project with an implementation date of December 2018. This care and health village is for the provision of short-stay assessment and rehabilitation for older people and adult frailty. The partnership states this will enable the transformation and integration of health and social care community models. Three Stirling city primary care practices will be co-located at the care and health village along with a minor injuries centre. In the long term, the partnership envisages that the care and health village model will be replicated in the Clackmannanshire community healthcare centre with a view to developing more integrated care provision.

The Stirling Health and Care Village is a central plank of the partnership's strategic plan and a major financial investment for the long term. We noted that the partnership is being supported by the ihub to articulate the model of care to be provided. The partnership has been in negotiation with the Care Inspectorate regarding the appropriate registration for this service. The Care Inspectorate has agreed that a different approach is required for the service initially as it does not fit current statutory guidance for a care home setting. This will allow the partnership operational flexibility as the service delivery model develops and the Care Inspectorate will monitor this.

As this project is developed and implemented, the partnership intends to close care home beds at two care homes releasing some staff to work in the Stirling Health and Care Village. Job titles for the staff in the village are still being reviewed and the partnership is working on job profiles. For the inspectors, this demonstrates a lack of pace to meet the proposed operational start of this initiative. These care homes are two of three remaining council operated care homes. A review of the third remaining care home is being considered along with the developing model of neighbourhood care within this community. With the closure of long-term residential provision, the partnership will need to be able to demonstrate to all stakeholders how they are able to keep people who require long-term care within their own communities.

The model of neighbourhood care

The partnership is undertaking a pilot project to develop a model of neighbourhood care in rural south-west Stirlingshire based on the Buurtzorg¹⁸ principles. A number of community consultations took place on older-adult care followed by a more formal consultation event in April 2017. In line with the ethos of the self-organising team, the usual single-line management arrangements will be reviewed. The service will be hosted by one service manager within the locality rather than line managed

¹⁸ Buurtzorg is a Dutch district nursing system where nurses and other professionals work in small teams with a skills mix based on the needs of the area.

through individual organisational structures. The proposed model will be a multi-disciplinary team that will have a resource worker to provide strong links with informal supports in the community.

The draft outline business case dated May 2017 describes the project and the benefits it is expected to deliver. These include:

- improvement in efficiency and effectiveness, such as a reduction in unnecessary hospital admissions and reduction in delayed discharges
- user value, such as improving independence leading to a reduction in formal support and reduced costs.

The partnership has developed an outcome focused evaluation model. This will look at the outcomes it is hoping to evidence for service users, staff and the community using a logic model. A number of qualitative approaches, including storytelling, will be used. The evaluation model was developed with key managers and will be monitored by the emerging team.

The development of the pilot is ongoing. The delivery date is stated as 2018. Service users need greater clarity on what this model of care and support will entail. It will also be vital to the success of the pilot that the partnership's IT infrastructure is better able to support inter-disciplinary working and that there is a sustainable staff team that buys into this model and the new ways of working it brings.

At the time of our inspection, it was too early to measure the impact or how the learning from the pilot will be used to develop this model and expand it into other localities. Neither was it evident how the learning from this pilot might feed into the care at home review or decisions about future commissioning activity. The partnership should consider how it is able to demonstrate that they do this as their new models of care develop.

Care at home

As in other partnerships across the country, pressure on care at home is evident. The partnership is experiencing growth in both demand and cost of care at home services across all care groups. A significant proportion of care at home is provided by a small number of independent sector providers. In Clackmannanshire in particular, 84% of care at home is provided by the third and independent sector, with the market share in Stirling around 50%. The partnership is heavily reliant upon one provider due to legacy contracting arrangements. A review of care at home is underway, which should result in a wider choice for people using services and lessen the risk that comes with being reliant upon a single provider. The current care at home contract has been extended for a further year to allow for the review to be carried out and the future approach to be established and implemented. The commissioning team has been given the task of leading on this review. This will

include researching and learning from good practice in other authorities and looking at innovative approaches while ensuring coherence with existing elements of the mixed economy of care such as the Stirling Health and Care Village and models of neighbourhood care. We consider this a positive step.

At the time of our inspection, it was too early to measure the impact of each of these three initiatives on the transformation of care and support as they were not operational. The partnership was not able to clearly demonstrate a whole-systems approach to these three developments and their interdependency. The partnership acknowledges the need to develop this into a full strategy and work is underway to do this.

As the Stirling Health and Care Village nears operational implementation, we are concerned that the review of care at home has not been completed. The supporting infrastructure needed for the village may not be in place. The partnership needs to demonstrate how it will ensure there is sufficient capacity in care at home services to meet need at the right time in order to avoid delays in discharge from the intermediate care beds in the village. It should also be borne in mind that as the neighbourhood model of care pilot has not yet started this may create further instability in the infrastructure. The partnership states that data indicates that care at home capacity is being carefully managed. This is within the longer-term objective of ensuring the future requirement for a mixed economy of care to provide the downstream infrastructure to fully support the village. This should be made evident in planning documents with risks highlighted and contingency plans in place to mitigate any risks.

Contracts

There is no shared contract monitoring framework in place as yet for commissioned services. This is in development.

A partnership-wide group including representation from third sector¹⁹ interface²⁰ (TSI) organisations, independent sector providers and officers from the constituent authorities have developed a scoring system for projects funded through the integrated care fund and delayed discharge funding. The scoring system has demonstrated improvement in outcomes. This is to be further developed and refined over time.

The contracts team demonstrated appropriate awareness of the challenges facing care providers and how these might be impacting on quality of provision. In order to ensure that they use information intelligently, they have developed a matrix

¹⁹ **Third sector bodies** includes non-commercial providers of health and social care, representative groups, interest groups, social enterprises and community organisations.

²⁰ Third sector interfaces (TSI) ensure the third sector is supported, developed and represented at local council level.

approach. There has been a change in ethos in tendering and contract development to one of collaboration. Staff indicate that this has been most recently demonstrated in their relationships with learning disability and mental health service providers.

GP clusters²¹

The partnership has established GP clusters that function well. These have been developed to support the delivery of more positive outcomes for individuals and their carers. We spoke with lead GPs and there is a high level of engagement and involvement of clinical staff in supporting the improvements in performance. We observed discussion about the progress and direction of some of the cluster work at the joint management team meeting. We were given examples of some of the work undertaken by the clusters and how this contributes to the integration agenda. There is also an understanding from some staff about where the clusters will sit within a future locality structure and how they will interact and compliment the work of the localities.

Locality structures

There are four GP clusters and three locality areas within Clackmannanshire and Stirling. The GP clusters map into localities with the exception of one practice. The localities are defined as:

1. Rural Stirling
2. City of Stirling
3. Clackmannanshire.

At the time of our inspection, locality arrangements were at a very early stage of development. The partnership had not yet allocated or delegated budget responsibility on a locality basis. There were no locality managers in post or systems in place to enable the delegation of budgets to localities. The partnership was developing financial reporting to allow locality-level financial information to be accurately reflected. To allow the effective and efficient management of resources on a locality basis, it is essential that this budget information is compiled as early as possible.

The partnership is working with a LIST Analyst²² to support the development of locality working. Financial allocations will be based on local need with the effect of delivering better services at lower cost.

²¹ GP clusters are typically groups of five to eight GP practices in a close geographical location. Their purpose is to encourage GPs to take part in quality improvement activity with their peers and contribute to the oversight and development of their local healthcare system. (ihub Scotland)

²² Information Services Division (ISD) Scotland provides Local Intelligence Support Team staff to integrated authorities to help them source, link and interpret data. This helps them understand and project patterns of

A workshop was held with the primary care clinical leads in November 2016 to consider priorities for the three localities. These priorities were taken to a strategic planning group meeting in February 2018 where it was intended that members would consider the priorities identified in 2016. These were to be discussed, with priorities agreed for localities and taken to the IJB in March. This process however did not happen at the strategic planning group and therefore the locality proposals could not be taken to the IJB.

The partnership has advised that this work will be going back to the GP clusters and once in post, the locality managers will build on the currently identified priorities. A job description for locality managers is currently being drawn up. As a starting position, the strategic planning group is to ensure that the locality planning dovetails into the next iteration of the strategic plan. It intends to have an outline of this by early autumn or winter 2018. It is confident that it will have a whole-locality focus. In accordance with Scottish Government guidance, the partnership will need to ensure that the approach it is taking provides opportunities for local communities and professionals to make meaningful and timely contributions to strategic discussions and decision making.

It seems an opportunity missed that progress in locality planning has not developed further. This would have allowed the partnership to capitalise on the rich local data it has collated from the strategic needs analysis and the local outcome improvement plans. It would give an up-to-date understanding of the assets within localities and a dynamic understanding of locality needs as well as demonstrate the strategic decisions behind service delivery decisions in all areas. It would also embed engagement, specifically linked to locality development, within the local communities.

NHS Forth Valley hosted services

One of the key challenges for the partnership in moving forward with integration and the implementation of shared strategic intentions will be to ensure closer and more effective collaboration between the two councils, NHS Forth Valley and all stakeholders. This is essential to maximise the impact of available resources in response to local needs. This is further complicated by the fact that many of the partnership's services delivered by NHS Forth Valley also involve and impact on Falkirk Council.

Some specialist services, such as addictions, have raised concerns that moving to a locality approach might lead to less flexibility than currently afforded by their Forth Valley-wide remit. In terms of the hosted services, the partnership is clear that they don't want to fracture small services. They acknowledge that they have a challenge

service demand. Providing such insight delivers better plans, designing improved service user pathways and health and social care excellence. (ISD Scotland)

with small services and services covering all of the health board area, which will have to be considered when planning services for localities. Work is underway to look at how to split the existing NHS services between the two partnerships and NHS Forth Valley. Once the localities are fully established, the partnership should have clear protocols to address any service shortfalls.

Intermediate care

The models of reablement²³ and intermediate care²⁴ have evolved over time in response to local need and include Clackmannanshire reablement, the Stirling home care assessment and reablement team, and the Stirling rural partnership. Reablement is considered by the partnership to be a key feature of its transformation. However, it is not clear if there is equity of access across the partnership because of the different evolved approaches. The partnership was unable to demonstrate how these different approaches are making best use of shared resources and optimising personal and organisational outcomes. This has the potential to pose a significant risk in terms of service delivery and transformation. The partnership is working with the ihub to evaluate reablement and inform future service design. This should ensure that wherever possible there will be equality of access and most efficient use of resources.

As care models develop, bed-based services for intermediate care will be provided in both Stirling Health and Care Village and in Clackmannanshire Community Healthcare Centre. From the data provided by the partnership for the period 1 April 2016 to the end of March 2017, we noted mixed success in getting people back home from intermediate care beds. In Clackmannanshire, 26 people (27%) returned home compared to 97 (55%) in Stirling. We want to see the partnership demonstrating how it intends to improve on this position and what impact new service developments will have on supporting more people to return home.

Primary care

In common with most of Scotland, there are pressures on a number of GP practices due to recruitment and retention, premises and other issues. Some GP practices moved to NHS board-managed practices (known as 2c practices) rather than practices owned by GPs and the partnership has used this positively to develop a mixed model of care.

²³ Re-ablement is a short and intensive service, usually delivered in the home, which is offered to people with disabilities, those who are frail or recovering from an illness or injury. It is generally given for up to a period of six weeks.

²⁴ An umbrella term describing services that provide a 'bridge' at key points of transition in a person's life, in particular from hospital to home (and from home to hospital) and from illness or injury to recovery and independence.

Good practice example - 2c practices

General practice sustainability is a growing risk within the partnership. Around three years ago, two large practices in Forth Valley became NHS board-managed practices (2C practices) due to GP recruitment and retention challenges, one in Stirling and one in Grangemouth. Both practices served populations of around 10,000 people and an innovative approach was required to sustain services while GP supply was so short.

Primary care is now being seen as being a mixed model with salaried, board-run practices working alongside independent contractors. A new multi-disciplinary primary-care team has been developed in Bannockburn health centre (Stirling) and Kersiebank health centre (Grangemouth). Since NHS Forth Valley took over responsibility for the practices in May 2015, it has put in place a range of additional services and support as well as building a team of GPs to provide care and treatment to local people. Salaried doctors, pharmacists, advanced nurse practitioners, primary care mental health nurses and physiotherapists have been recruited to work at the practice who are supported by a team of locum GPs and a number of GPs from neighbouring practices.

People now receive longer appointments, seeing the most appropriate professional at first appointment.

GP appointments are now 15 minutes and nurses and physiotherapy appointments 20-30 minutes, giving more time to support people with complex needs and their carers with care choices and planning. As a result, they have seen fewer referrals to secondary care, particularly for mental health and orthopaedic conditions, as mental health nurses and physiotherapists can meet more of their needs in the practice.

The partnership is participating in a national pilot implementing a new model for GPs. It is supporting the enhanced community team (known as the closer-to-home team) which aims to prevent unplanned hospital admissions for people who become unwell at home. This is an investment of £278,000 (2017/18) and should be a positive step in supporting the avoidance of hospital admission where possible.

Stakeholder engagement

The Clackmannanshire and Stirling consultation and engagement report of 2016-19 indicates how the partnership has engaged with stakeholders on both the integration scheme and the draft strategic plan. The partnership sought feedback on the plan in a number of ways. The partnership recognises that there are lessons to learn for future consultation exercises, for example starting consultation processes earlier.

The partnership held community engagement events within community settings when consulting on the model of neighbourhood care pilot. There is a commitment to ensuring that community engagement approaches continue to improve as the strategic plan is refreshed. The partnership's participation and engagement strategy (which aligns with the strategic plan and strategic needs analysis) is to be reviewed during 2018. We expect this to be done in close collaboration with all stakeholders and that this engagement will be comprehensive and meaningful.

The Clackmannanshire and Stirling staff engagement report includes an overview of engagement sessions, the current situation, future aspirations and staff fears and hopes. There is no action plan attached to the engagement report in respect of the issues raised and how these will be taken forward. The responses to the staff survey we undertook as part of this inspection indicated the need for the partnership to involve staff to a greater degree in respect of strategic planning. Comments from the survey indicated that a number of staff would like to see a more connected approach to service redesign and a clearer link between the strategic vision and day-to-day priorities. Staff also wanted improved communication and to have greater involvement in making decisions.

Feedback from carers we spoke with during our inspection suggested that the partnership still has work to do to ensure that carers feel like equal partners. Carers indicated that the consultation on the implementation of the Carers Act²⁵ began too late, despite this having been raised at the strategic planning group some months before. Carers recognise that the partnership has made some significant strides in involving carers and carer representatives. The partnership should continue to develop this work to ensure meaningful carer participation and engagement across Clackmannanshire and Stirling.

We would want the partnership to be more proactive about involving carers and thinking about how they are used. This is particularly important given the implications of the Carers Act and the partnership's commitment in the strategic needs assessment to support unpaid carers. This would demonstrate continued investment and ownership of carers' issues.

While it is evident that there is representation from the third and independent sectors on the strategic planning group, it is notable that attendance of the independent sector is limited. The chief officer reported that Scottish Care had sought funding to support independent sector representation but this was not made available. This meant that providers were unable to release staff to be involved in the meetings due to limited capacity. While the partnership clarified that there are other opportunities for the independent sector to be involved, it needs to ensure that the independent

²⁵ The Carers (Scotland) Act 2016 is a key piece of new legislation that promises to 'promote, defend and extend the rights' of adult and young carers across Scotland. — Shared Care Scotland.

sector is as fully engaged in the strategic planning group as other stakeholders. This will be in line with the spirit of the partnership's commitment to engagement and consultation and its stated commitment to developing a mixed economy of care and support.

The partnership continues to develop its provider groups. Positively, efforts are being made to ensure more equitable representation and to encourage all potential providers to have a voice. Meetings take place with individual providers to discuss and review contracts. Providers told us that engagement and involvement has historically been inconsistent but new opportunities for a greater level of dialogue are beginning to emerge. An example of this change is the development of care opportunities across both learning disability and mental health provision. There was a plea from providers for earlier and fuller involvement in service planning. Providers also said they need the partnership to be explicit in its care requirements to allow for proactive planning.

There are two third sector interface (TSI) organisations working with the partnership, one for Stirling and one for Clackmannanshire. They both have dedicated engagement officers funded through the partnership. This appears to provide a constructive link between the TSI and the partnership with associated governance structures and positive working relationships. Both the chief executive and business manager of the two TSI organisations are members of the IJB and the strategic planning group. It is significant and appropriate that both TSI organisations are represented at these levels. Both TSI organisations feel they have a strong voice around the table however, it is proving challenging at times to be truly representative of the wider third sector.

Both TSI organisations have told us they could offer innovative ways for the partnership to attract additional funding methods using the TSI. This could be further developed and supported through the IJB and the strategic planning group. The TSI organisations appear to be engaged in the development of the new strategic plan. This engagement is encouraging and the partnership should continue to enable as much participation as possible.

Housing

We note that there are two housing contribution statements (2016-19) for the partnership, one produced by each council. There is a written commitment within both documents that in future there will be a single statement for the whole of the integration authority. It will be important for this to be developed alongside and in line with the commitments identified within the revised strategic plan and locality plans once these have been developed. It will also be vital that all housing providers are meaningfully engaged from an early stage in the development of a revised statement.

While there appears to be a commitment to working more collaboratively with housing to address local issues and deliver on the strategic priorities, this needs to be directed by the IJB. For example, as part of the advanced information provided by the partnership before our fieldwork, we were provided with a copy of Specialist Housing Needs: Older People. This is a detailed report produced in 2016 of an external study commissioned by the partnership to examine the specialist housing needs of older people. There are a number of recommendations arising from this study. There is no evidence to suggest that these have been progressed in collaboration with stakeholders such as registered social landlords. This is an area that requires further consideration by the IJB, particularly because of the ongoing investment in reablement. Appropriate accommodation that can adapt to individual need will become increasingly important in delivering the partnership's strategic vision of enabling people to live full and positive lives within supportive communities. The IJB and the local authorities should ensure that there is more engagement between them on joint areas of interest such as housing.

We learned that the council housing departments are enthusiastic about the model of neighbourhood care project and the potential opportunities this may provide. They see the main benefit at this stage as gaining a greater level of knowledge about the needs of the population in which the model is developed.

The partnership acknowledges that previously positive collaborative working has slipped recently and engagement with all housing providers needs to be revitalised. The partnership has stated that this will be a priority.

Leadership - vision, values and culture

The high-level vision for Clackmannanshire and Stirling can be articulated at a senior management level. However, below this level we found staff had difficulty in explaining how service developments link together and contribute to realising the partnership's vision.

Our staff survey results indicated that 42% of respondents agreed or strongly agreed that there is a clear vision for adult services with a shared understanding of the priorities - 34% disagreed or strongly disagreed. These results indicate that the partnership has further work to do to ensure there is a shared understanding across the workforce of the vision for the integration of health and social care across Clackmannanshire and Stirling.

Senior managers acknowledge that all stakeholders may not be able to clearly explain the partnership's vision. They attribute this to the scope and range of changes across Clackmannanshire and Stirling as well as the legacy of their previous merging then splitting of social services. This resulted in changes in post

holders, which the partnership states has reduced its ability to establish strong links with external stakeholders and maintain stability and continuity for all stakeholders.

The partnership provided us with a rich picture of the model created in 2011 that indicates the vision for service delivery. While dated, this model remains current to the partnership and links with all relevant legislation requirements pre integration. This is due to be refreshed but the partnership does not expect it to change to any great extent. We acknowledge that at a time of transformation, it will take time for all staff to understand the full picture. As the models are refreshed it is important that staff are able to understand it and are able to articulate what it means for the partnership and for them as staff.

The partnership is confident that it will be improving the quality of conversation it has with staff. It thinks that this will be a complex task given the nature of its vision however, it knows that it needs to ensure that staff are given a clear sense of direction and the role they play.

The continued sharing and embedding of the partnership vision across all staff will need continued engagement and support while the delegation of operational responsibility of services transitions in September 2018.

Staff support

Access to regular supervision is supported at all levels and is seen as integral to the maintenance of professional identities and continued workforce development. The staff survey results reflect this as 71% of respondents agree or strongly agreed that they have effective line management that includes supervision. Senior managers accessed support through their membership of the joint management team. Some senior managers spoke about the benefit gained from attending a programme for leadership that provided a basis for supporting change management.

Staff attendance at engagement workshops has provided an opportunity for sharing of experiences and perspectives. This has been enriched through the involvement of the third sector. Both groups report benefits from sharing knowledge of working together within new models of care and discussing opportunities to do so.

Big team meetings for all staff from social care services are held quarterly. These are described as means of sharing information across staff. We heard that although attempts have been made to make the big team meetings more integrated, some topics are felt to be social work specific. The big-team approach is to be developed by the partnership over 2018.

Staff are uncertain about future roles and management arrangements. Despite an awareness of ongoing work to identify and formalise the management structure,

significant work is still required to increase staff confidence and understanding of their roles in delivering the strategic objectives.

Staff communication and engagement

The partnership states that progress is being made to encourage meaningful engagement and participation. Stakeholders value the involvement and visibility of partnership senior leaders, professionals and senior managers, particularly at service user and carer events. This allows opportunities to challenge and debate key issues.

The level of engagement with staff has increased over the last six to eight months in line with the partnership work programme and delivery. There is an increasing awareness of the development of the partnership and its work, visible through staff consultation, staff briefing sessions, newsletters and internet platforms. Strong foundations are being laid to build on a range of communication methods to promote understanding and involvement within the partnership.

While the value of engagement with staff is evident, the use and impact of this to influence direction is at times not clear or seen to be fully inclusive. At frontline-manager level, it is concerning there some participants do not feel included within the consultations and are not confident that their voice is being heard.

As the new partnership culture develops, communicating changes will be a key way to promote integration. This should include a mechanism for recognising comments and concerns. Organisational workforce development is supporting a full circle of consultation and feedback through a 'you said, we did' style of report and this will be a positive start. It will seek to ensure that staff are made aware of what happens with the feedback gained from these events and what action arises from this.

Management structures

Many staff and managers expressed confidence in the leadership of the partnership and the positive impact of the appointment of the chief officer. The chief officer is seen to provide support and energy to the process of integration and to be supporting and driving the development of the partnership.

The supportive influence of senior post holders has been further strengthened through the appointment of the NHS chief executive. Staff we spoke to saw the visibility and access to professionals and senior managers as good across the partnership with the involvement of these senior managers at staff and public events particularly seen as valuable.

There is regular communication between all three partner agencies at executive level. This appears to be supportive of the current priorities of the IJB.

There have been significant changes in services in the transformation of primary care and the planned introduction of new models of care. However, we consider that the management and leadership to drive these have been diluted through the complex and incomplete management arrangements within the three-body arrangement.

During the inspection, we observed that the agencies in Clackmannanshire and Stirling tended to operate as separate entities, calling into question the commitment by all three partners to genuine partnership. The length of time being taken to delegate operational responsibility of services belies a partnership approach. The partnership's attitude to resourcing has reinforced division rather than creating a partnership operating as a single, integrated body.

We acknowledge the importance of taking time to get the right management structure in place including the restructuring of posts. However this needs to be balanced against the need to have key posts filled as soon as possible to ensure the partnership can function to maximum effectiveness. This will be particularly important when operational responsibilities for the remaining health and social care services are delegated in September 2018. The management arrangements for this workforce need to be in place to support this and allow clear leadership to be effective from the start of full delegation of services.

Workforce

Workforce development for the future partnership workforce is underway. The Integrated Workforce Plan 2016 – 2019 is a comprehensive document that is “specifically targeted at the services in scope for Integration and will provide priorities which compliment Clackmannanshire and Stirling Councils, and NHS Forth Valley’s employer commitments made to their staff within their respective Workforce Plans and Strategies”.²⁶

Work is ongoing to determine the workforce required for delivery of a fully integrated partnership. Efforts to build an integrated workforce for the future are evident. The proactive approach of the partnership through work with colleges, universities and the third sector demonstrates a long-term approach to recruitment. The development of staff professional roles, as part of their registration with relevant professional bodies, is being undertaken with both health and the local authorities. Among other things, this development addresses staff concerns about their professional identity. The importance of retaining professional identities within a partnership is recognised. Acknowledging the concerns raised with team and service managers and feedback from staff engagement demonstrates a positive

²⁶ Clackmannanshire and Stirling Integrated Workforce Plan 2019 -2019

approach to continued assurance of this to staff as they go through the change processes.

The redesign of services has continued within the current working arrangements. The workforce element for Stirling Care and Health Village is supported by an operational core group to ensure that staff learn about the new models of care and are ready to work differently. This core group reports into a multi-agency programme board. There is also a workforce group for the model of neighbourhood care. The involvement of the third sector in this aspect is considered minimal at this point however and further engagement in this would be beneficial.

The integrated workforce plan sets out strategic aims and priorities including management structures. Some progress is evident towards meeting these priorities in the transformation of primary care where there has been recruitment of primary-care mental health workers and the formalising of the advanced nurse practitioner roles.

While changes to community nursing are being considered, the current capacity within district nursing services is highlighted as a risk to short-term aims. There is confidence and a willingness by this group of staff to adopt new models of working but this is dependent on overcoming difficulties in recruitment of qualified nurses. The partnership engagement plan goes some way towards addressing workforce planning. However, the impact of full delegation of services and future links between the integrated workforce and NHS Forth Valley workforce planning will need to be robust to address national and partnership issues and to develop actions to build a sustainable workforce for the future.

There is some evidence of a joint training approach but this appears inconsistent. Where joint training would have been expected, such as with adult support and protection development sessions, these are currently limited to social work staff. Staff told us that there is a willingness to work in an integrated way. Joint training and co-location are both cited as opportunities to strengthen existing working relationships.

The partnership recognises that there are key areas of workforce development needed to support the work of the partnership. These include planning for sustainability and further development of a workforce that works in partnership and is shared and supported across the partnership to deliver service developments that realise the aims of the strategic plan.

Steps are being taken to develop an integrated workforce. However, the realisation of this is dependent on the ability to redesign traditional shared services to deliver new models of care. This work, together with the development of locality teams,

requires further co-ordination, a clearer focus, agreed priorities and clear timescales about how this will be delivered.

Governance

The chief officer is clear that a joint clinical and care governance system is key to providing assurance to the IJB. The integration clinical and care governance group has been formed to do this. It is looking at a whole-system approach, setting out aims and developing a governance framework. This group covers all of Forth Valley and reports to both the Falkirk IJB and the Clackmannanshire and Stirling IJB. While at an early stage, we were given a coherent explanation of how this is to be achieved by the group responsible for taking this forward. The group was also clear about how risk can be identified, mitigated and reported to the IJB as they develop the joint approach.

The pre-integration clinical and care governance structures are well established and there is a high level of confidence expressed in them. There is joint governance across Clackmannanshire and Stirling social work around significant case reviews, mental health officer, and adult support and protection. Wider joint working examples are seen through MAPPA (multi-agency public protection arrangements) and all of the protection agenda. There is joint working and confidence in the reporting to the IJB and some use of performance information such as ASP activity. This is not fully developed but is being worked on. While there is a high level of commitment evident about the need for good governance, there is a lack of clarity about where decisions are being made when risk is identified. An example of this is reducing suicide rates. While it is evident there is discussion at a number of forums about this, the resultant actions are not clear and this is a concern.

A joint clinical and care governance system is being developed. The IJB needs to be confident that they are able to demonstrate awareness and understanding of their responsibilities for all delegated health and social care services whilst the clinical and care governance structures remain separate.

4. Summary

Quality indicator 1: Key performance outcomes

1.1 Improvements in partnership performance in both healthcare and social care

Looking at national and local performance data in respect of key outcome areas for adults, there is evidence that the partnership has sustained and improved performance trends at or above the Scotland average.

The partnership demonstrates that it has robust systems in place to collate and analyse data from across the partnership. The data being collated has become more focused and targeted on improvement and how this can be measured.

The partnership regularly benchmarks its performance against comparator partnerships and performs well against them.

We can see the beginning of a more proactive approach to the use of anticipatory care planning with some research to look at the impact of this. The partnership acknowledges that early intervention and prevention needs to be improved.

We saw good systems being put in place for GP clusters and a move towards a focused quality agenda. There is strong clinical leadership demonstrated with support for a more integrated way of working.

The Six Essential Actions performance improvement action plan helpfully aims to reduce avoidable admissions to hospital and improve hospital discharges.

There is a positive history of engagement with service users and carers. However, this needs to develop as localities develop so that the partnership can clearly demonstrate how this engagement improves outcomes and contributes to the performance agenda.

Evaluation: Good

Quality indicator 6: Policy development and plans to support improvement in service

6.1 Operational and strategic planning arrangements

6.5 Commissioning arrangements

As the strategic plan and the strategic needs analysis are updated and refreshed for the next three-year planning cycle, strategies to inform service planning are also being developed.

Whilst it is at an early stage, the development of a market facilitation statement with an accompanying market facilitation plan is positive. The partnership is aware that the development of this is an ongoing process. The partnership still has to make progress in its commissioning plans and move to an implementation phase. Once this happens, it should allow the partnership to demonstrate more clearly the links between commissioning and service design. Commissioning staff have the necessary skills and expertise to deliver on their responsibilities.

While there were high-level joint strategies across the partnership, there were no locality-specific strategies. Locality arrangements were at a very early stage. The development of localities in relation to the GP clusters was clear however, the pace of development was slow.

The pace and approach to change is concerning. Interviews with some senior staff confirmed a reactive rather than proactive attitude in tackling a transformational change agenda. In the development of new models of care, the partnership is taking a reactive approach to finding solutions for specific issues rather than a tangible, proactive strategic approach. Within the next iteration of the strategic plan, it will be important to see a more robust approach to the linking of need to initiatives developed. This will also need more clarity about how resources are being targeted to ensure the greatest impact on improving outcomes and ensure equality of access.

Delegation of operational management to the IJB has been done in two stages to allow improvement within individual services before delegation. However, the partnership has focused on the improvement in these services rather than the delivery of sustainable step change through integrated working, detracting from the potential of full partnership working.

Evaluation: Adequate

Quality indicator 9: Leadership and direction that promotes partnership

9.1 Vision, values and culture across the partnership

9.2 Leadership of strategy and direction

There is confidence expressed within the partnership about key members of the executive and senior leadership of the partnership. This is beginning to provide more energy to the process of supporting integration and the work of the IJB. The visibility of and access to senior managers in the partnership is valued by staff and other stakeholders, including users of services and their carers.

There is a lack of clarity for staff about the current vision for the partnership with a significant number of them unable to articulate the link between current service developments and the partnership vision. The partnership acknowledges it has further work to do to ensure there is a shared understanding of the vision across the workforce and the impact on staff roles within this.

We saw established systems in place to determine the workforce required for the delivery of a fully integrated partnership. Efforts to build and future proof an integrated workforce for the future are evident.

Staff told us that there is access to regular supervision and this has been critical to the maintenance of professional identities and continued workforce development.

We saw strengths in the leadership of specific initiatives such as the development of GP clusters and the Stirling Care and Health Village. We saw weaknesses in collective and collaborative leadership and in the partnership's approach to embracing all stakeholders. We found that opportunities to demonstrate strong, collective leadership in moving forward with the required transformational change agenda have been missed. For example, this is demonstrated in the length of time taken with locality planning and the lack of involvement of housing providers in the whole-system approach to service change.

With the review of care at home not yet completed, the development of new models of care separately from this reflects a lack of strategic planning.

There are significant positive changes in the transformation of primary care that will be strengthened once management arrangements are completed.

The approach to the delegation of operational management of services has resulted in potentially confusing lines of accountability for the IJB, service managers and staff. Without clear operational management of most of the services, it is difficult for the IJB to demonstrate how they are fulfilling their ultimate responsibility for the delivery of services and the quality of care within these services. This approach has reinforced 'silo' working of the bodies within the partnership.

Currently, while partners individually continue to develop specific health and social care services well, they do not yet function efficiently as a partnership. It is therefore difficult for the IJB to demonstrate collective leadership, accountability and responsibility for leading services. The legacy from previous shared arrangements continues to impact on the culture within the partnership. We observed during the inspection that while the three constituent agencies in the partnership come together to develop the partnership agenda, at times they still operate as separate entities. There is a lack of commitment in key areas to support integration. This will limit the partnership in taking forward a transformational agenda.

The partnership needs to strengthen its collaborative leadership, develop collective governance and accountability and commit to a fully integrated approach to the development and delivery of services to improve outcomes for people across the partnership.

Not subject to evaluation against the six-point scale

Areas for improvement are as follows.

1. As the partnership progresses the review of the strategic plan and strategic needs analysis, it should review and update all other related plans to ensure a whole-system and collaborative approach is being taken to service planning.
2. Greater clarity and clear timescales are needed for the staged programme of delegation of operational management. This should allow the IJB and the chief officer to exercise their roles and responsibilities more effectively and efficiently. The IJB should be able to demonstrate that they can provide full assurance of all the services legally delegated to them in April 2016.
3. The partnership should ensure that it plans for and develops an integrated framework of accommodation, care and support. This needs to support a whole-system approach to developing care pathways in line with local need and priorities, the national health and wellbeing outcomes and the national health and social care standards. The framework should be sustainable and be evaluated to ensure that improvements in operational performance and personal outcomes are being delivered.
4. The partnership should work with both council housing departments and registered social landlords to produce a coherent and shared strategic plan for accommodation across the integration authority. This needs to be responsive to local need and priorities and should include review of the recommendations within the externally commissioned study on specialist housing for older people published in 2016.
5. The partnership needs to accelerate the progress of locality development. It should provide timely and appropriate opportunities for local communities and professionals to meaningfully engage in locality planning in respect of all care groups.
6. The partnership needs to demonstrate sufficient care at home capacity through the care at home review to sustain new models of care. There should be equity of access to care at home, respite and long-stay care home provision allowing people to remain in their local communities.

5. Conclusion

Scottish Ministers have asked the Care Inspectorate and Healthcare Improvement Scotland to assess the progress made by health and social care partnerships in delivering better, more effective and person-led services through integration. In doing so, we have taken into account:

- leaders' commitment to innovation and improvement, and to cultivating a culture of collaboration and shared accountability
- the partnership's ability to identify appropriate priorities and its capacity to drive forward progress at pace.

We expect to see improvements by the partnership in all these areas with approach translated into clear leadership actions. If the partnership takes appropriate action to improve collaborative leadership, develop the plans and structures currently in place and ensure a proactive, partnership approach to the management of operational performance, we can be more confident that the partnership will move forward more effectively and efficiently with the integration of health and social care.

Appendix 1 – Quality Improvement Framework

1. Key performance outcomes	4. Impact on the community	6. Policy development and plans to support improvement in service	7. Management and support of staff	9. Leadership and direction that promotes partnership
We assessed 1.1 Improvements in partnership performance in both healthcare and social care	4.1 Public confidence in community services and community engagement	We assessed 6.1 Operational and strategic planning arrangements	7.1 Recruitment and retention	We assessed 9.1 Vision, values and culture across the partnership
1.2 Improvements in the health and wellbeing and outcomes for people, carers and families	5. Delivery of key processes	6.2 Partnership development of a range of early intervention and support services	7.2 Deployment, joint working and team work	We assessed 9.2 Leadership of strategy and direction
2. Getting help at the right time	5.1 Access to support	6.3 Quality assurance, self evaluation and improvement	7.3 Training, development and support	9.3 Leadership of people across the partnership
2.1 Experience of individuals and carers of improved health, wellbeing, care and support	5.2 Assessing need, planning for individuals and delivering care and support	6.4 Involving individuals who use services, carers and other stakeholders	8. Partnership working	9.4 Leadership of change and improvement
2.2 Prevention, early identification and intervention at the right time	5.3 Shared approach to protecting individuals who are at risk of harm, assessing risk and managing and mitigating risks	We assessed 6.5 Commissioning arrangements	8.1 Management of resources	10. Capacity for improvement
2.3 Access to information about support options including self directed support	5.4 Involvement of individuals and carers in directing their own support		8.2 Information systems	10.1 Judgement based on an evaluation of performance against the quality indicators
3. Impact on staff			8.3 Partnership arrangements	
3.1 Staff motivation and support				

Appendix 2 - Methodology

Our inspection of the Clackmannanshire and Stirling health and social care partnership was carried out over three phases:

Phase 1 – Planning and information gathering

The inspection team collated and analysed information requested from the partnership. The inspection team sourced other information before the inspection started. Additional information was provided during fieldwork.

Phase 2 – Staff survey and fieldwork

We issued a survey to 1,708 staff. Of those, 468 (27%) responded and 326 (70%) completed the full survey. We also carried out fieldwork activity over 7.5 days, during which we interviewed a number of people who hold a range of responsibilities across the partnership. The partnership offered a number of observational sessions, which inspectors attended where they had capacity.

Phase 3 – Reporting

The Care Inspectorate and Healthcare Improvement Scotland jointly publish an inspection report. The report format for this inspection focuses on strategic planning and commissioning and links this to evidence gathered on current performance and the development of the integrated leadership team. Unlike previous joint reports, comment is provided on our level of confidence in respect of the partnership's ability to successfully take forward its strategic plans from intentions to changes in operational delivery.

To find out more visit careinspectorate.com or healthcareimprovementscotland.org.

Appendix 3 – Leadership group and joint management team memberships

The leadership group consists of the general manager for the community services directorate, general managers from acute services, the chief social work officer of Clackmannanshire council and the chief social work officer of Stirling council, the senior manager of communities and people, Stirling council, the chief officer and chief finance officer of the IJB and the programme manager for integration. The leadership group provides a core senior management interface across all adult health and social care services primarily focused on the services in scope for the IJB. This group is chaired by the chief officer and supports and guides the work of the joint management team.

The joint management team includes the GP locality leads, the relevant general managers, senior managers and service managers from the partnership services. Its core function is to provide an operational interface and decision making point for the functions in scope for the IJB, support and direct the strategic planning and implementation of the Transforming Care and other change programmes, and deliver services. It also has a role in supporting the strategic planning group to fulfil its functions to develop and review the strategic plan. It is chaired by the chief officer.



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The Healthcare Environment Inspectorate, the Scottish Health Council, the Scottish Health Technologies Group, the Scottish Intercollegiate Guidelines Network (SIGN) and the Scottish Medicines Consortium are part of our organisation.

Press Release

Joint inspection (adults)

The effectiveness of strategic planning in the Clackmannanshire and Stirling Partnership

Inspection dates: January and June 2018

Scottish Ministers have asked the Care Inspectorate and Healthcare Improvement Scotland to report on the effectiveness of the strategic plans prepared by integration authorities, from April 2017. The integration of health and social care is at an early stage and we aim to ensure that the integration authorities have building blocks in place to plan, commission and deliver high-quality services in a co-ordinated and sustainable way, with:

- a shared vision
- leadership of strategy and direction
- a culture of collaboration and partnership
- effective governance structures
- a needs analysis on which to plan and jointly commission services
- robust mechanisms to engage with communities
- a plan for effective use of financial resources
- a coherent integrated workforce plan which includes a strategy for continuous
- professional development and shared learning.

The purpose of our inspection was to help the integration authority answer the question “How well do we plan and commission services to achieve better outcomes for people?”

To do this we assessed the vision, values and culture across the partnership, including leadership of strategy and direction, the operational and strategic planning arrangements (including progress towards effective joint commissioning) and improvements the partnership was making in health and social care services that were provided for all adults.

The Clackmannanshire and Stirling Partnership comprises Clackmannanshire council, Stirling council and NHS Forth Valley. The inspection took place between January and June 2018.

The findings within this report reflect our findings during the period of inspection.

Downloads

Report to: Partnerships & Performance Committee

Date of Meeting: 31 January 2019

Subject: Financial Performance 2018/19 – October Outturn

Report by: Chief Accountant (Interim)

1.0 Purpose

1.1 This paper provides an update on the financial performance for the Partnerships and Performance Division of the Council in respect of revenue spend for the current financial year, 2018/19.

2.0 Recommendations

2.1 It is recommended that Committee notes the report, commenting and challenging as appropriate:

- The forecast General Fund revenue underspend relating to the Partnership and Performance Division for the year of £(0.300)m
- The forecast centrally held Corporate Services revenue overspend for the year of £0.730m.
- The forecast revenue overspend of the Integration Joint Board (IJB) for the year of £1.152m.
- Progress on delivering planned savings in the year.

3.0 Background

3.1 The following themes are within the remit of the Partnerships & Performance Division:

Table1

PARTNERSHIPS & PERFORMANCE
ENVIRONMENT
PROPERTY & FACILITIES
DEVELOPMENT

Source: General Services Revenue & Capital Budget 2018-19

4.0 General Fund Revenue

- 4.1 The Division's net service expenditure before corporate services is a £(0.300)m underspend. If corporate services is included, the forecast is an overspend of £0.430m for the year. The Integration Joint Board is also forecasting an overspend of £1.152m for the year ended 31st March 2019.
- 4.2 Table 2 below provides an overview of the financial outturn position within each Service Expenditure area.

Table 2: Summary of Service Budget Variances

	<i>Annual Budget 2018/19 £'000</i>	<i>Forecast to March 2019 £'000</i>	<i>Variance Forecast to Budget £'000</i>
Resource & Governance	5,784	5,799	15
Strategy & Customer Services	3,470	3,472	3
Executive Team	230	225	(5)
Development & Environmental	653	603	(50)
Housing & Community Safety	2,273	2,010	(262)
Division Expenditure	12,410	12,110	(300)
			Underspend
Corporate Services			
Corporate Services	(730)	0	730
Misc Services - Non Distributed Costs	1,312	1,312	0
	582	1,312	730
less allocated to non general fund	(1,305)	(1,305)	0
	(723)	7	730
Add Requisitions from Joint Boards			
Central Scotland Valuation	381	381	0
Add/Deduct			
Interest on Revenue Balances	(91)	(91)	0
Loans Fund Contribution	9,773	9,773	0
Contribution to Bad Debt Provision	200	200	0
	9,540	10,270	730
			Overspend
Health & Social Care Partnership	16,041	17,193	1,152
			Overspend

3.3 The table below sets out the main variances:

Table 4 - variance

Service	Over/ (underspend) £000s	Total	Narrative
Resource & Governance			
Employee costs	26		Vacancy management across Accountancy, IT & Legal underspend £(0.162)m, restructure savings not likely to be achieved £188k, resulting in an overspend
Supplies and Services	(11)		Elections
		15	Overspend
Strategy & Customer Services			
Employee costs	(81)		Vacancy management, business support and contact centre staffing underspends
Income	84		Under achieved income Scottish Certificates
		3	Overspend
Exec Team			
Supplies & Services	(5)		Recruitment expenses underspend and other small underspend
		(5)	Underspend
Development & Environmental			
Payment to other LA's	(20)		Reduced costs incurred in trading standards provided by another Local Authority
Income	(19)		Additional income from pest control and sale of gas clams and rigs
Employee costs	(13)		Staffing underspend
Various	2		Various small overspends
		(50)	Underspend
Housing & Community Safety			
Housing benefit	(79)		Revised underspend based on current claimants
Employee costs	(94)		Vacancies
Income	(106)		Subsidy income £(0.089)m higher than budget agency and other income £(0.017)m
Others	17		Various non material overspends
		(262)	Underspend
Division Total		(300)	Underspend
Corporate Services			
Corporate savings	650		Savings assumed not achieved due to slippage in implementation: £0.200m T&C's (assumed from Dec 18), £0.180m Corporate redesign, £0.158m Chief

Service	Over/ (underspend) £000s	Total	Narrative
			officer savings and VS 17/18 unachieved, others centrally held £0.112m.
Service savings held corporately	80		These savings are reflected in services,
		730	Overspend
Health & Social Care Partnership			
Staffing	(500)		This underspend comes as a result of vacancies and improved absence performance with the projected spend falling by £0.028m since August.
Supplies & services	244		Demand led minor adaptations and equipment overspend of £0.197m, premises overspend £0.039m and staff travel overspend of £0.008m
Misc Third party payments	127		Overspend as a result of payments to Stirling Council for shared staff costs and Advocacy being higher than anticipated.
Community based care	1,201		Transfer payments £0.091m overspend , Respite care £0.009m overspend, Care at home £0.988m overspend, Housing with Care £0.042m overspend, Day Care overspend £0.071m,
Long term placements	342		Demand for nursing home placements £0.400m overspend (177 clients in nursing homes), residential homes £0.430m (60 clients in residential homes) offset by income received £(0.488)m. There are 23 service users waiting for nursing home places
Income	(262)		Complex care and shared service income exceeding budget
HSCP total		1,152	Overspend

3.4 The table above is now shown below by the 4 themes within the Partnership & Performance division of: Resources, Strategic Support, Risk & Governance and Partnerships.

Service	Over/ (underspend) £000s	Total	Narrative
Resources			
Employee costs R&G	26		Vacancy management across Accountancy, IT & Legal underspend £(0.162)m, restructure savings not likely to be achieved £188k, resulting in an overspend
S&CS	(81)		Vacancy management, business support and contact centre staffing underspends
H&CS	(94)		Vacancies
Supplies and Services	(11)		Elections
Income S&Cs	84		Under achieved income Scottish Certificates
H&CS	(106)		Subsidy income £(0.089)m higher than budget agency and other income £(0.017)m
Housing benefit	(79)		Revised underspend based on current claimants
Others	17		Various non material overspends
Resources Total		(244)	
Strategic Support			
Supplies & Services	(5)		Recruitment expenses underspend and other small underspend
Strategic Support Total		(5)	
Risk & Governance			
Payment to other LA's	(20)		Reduced costs incurred in trading standards provided by another Local Authority
Income	(19)		Additional income from pest control and sale of gas clams and rigs
Employee costs	(13)		Staffing underspend
Various	2		Various small overspends
Corporate savings	650		Savings assumed not achieved due to slippage in implementation: £0.200m T&C's (assumed from Dec 18), £0.180m Corporate redesign, £0.158m Chief officer savings and VS 17/18 unachieved, others centrally held £0.112m.
Service savings held corporately	80		These savings are reflected in services,
Risk & Governance Total		680	
Performance Total		430	
Partnerships			
Health & Social Care Partnership			

Service	Over/ (underspend) £000s	Total	Narrative
Staffing	(500)		This underspend comes as a result of vacancies and improved absence performance with the projected spend falling by £0.028m since August.
Supplies & Services	244		Demand led minor adaptations and equipment overspend of £0.197m, premises overspend £0.039m and staff travel overspend of £0.008m
Misc Third party payments	127		Overspend as a result of payments to Stirling Council for shared staff costs and Advocacy being higher than anticipated.
Community based care	1,201		Transfer payments £0.091m overspend , Respite care £0.009m overspend, Care at home £0.988m overspend, Housing with Care £0.042m overspend, Day Care overspend £0.071m,
Long term placements	342		Demand for nursing home placements £0.400m overspend (177 clients in nursing homes), residential homes £0.430m (60 clients in residential homes) offset by income received £(0.488)m. There are 23 service users waiting for nursing home places
Income	(262)		Complex care and shared service income exceeding budget
Partnerships Total		1,152	Overspend

4.0 2018/19 Savings Progress

4.1 The 2018/19 budget incorporated approved savings of £7.376m. Of this total, £1.964m is attributable to the Partnership & Performance Division. Based on analysis to date, savings of £1.644m (83.7%) are forecast to be achieved, with up to a further £0.049m (2.5%) likely to be achieved in the year. Table 5 below sets out the position for each of the savings categories.

Table 5: Budgeted 2018/19 savings progress

Savings Category	Savings full year			
	18/19 £000	Green £000	Amber £000	Red £000
Policy Savings	519	314		205
Management Efficiencies	441	425	0	16
Service Redesign	3	3	0	0
Corporate Redesign	289	109	180	0
17-18 cash savings year 2	47	47	0	0
18-19 cash savings	665	665	0	0
Total	1,964	1,563	180	221
		79.6%	9.2%	11.3%

- 4.2 Of the above savings £0.221m (11.3%) are being forecast as possibly unachievable, this relates to project RGP02 staff T&Cs and RGME01 which is a VS saving that will be realised in 2019/20. The forecast assumes that the T&Cs will be not be implemented by March.
- 4.3 Appendices A to F provide further detail of the progress on delivering savings within each service.

5.0 Conclusions

- 5.1 The Partnership & Performance Division revenue spend is anticipated to record an underspend in Performance of £ (0.300)m, an overspend in Corporate of £0.730m and an overspend in Partnerships of £1.152m.
- 5.2 Of the associated approved savings of £1.964m, £1.563m is forecast to be achieved and up to a further £0.180m is likely to be achieved in the year.
- 5.3 Services and the accountancy team are working to ensure the full savings are achieved by the end of the financial year.

6.0 Sustainability Implications

- 6.1 None

7.0 Resource Implications

7.1 *Financial Details*

- 7.2 The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

- 7.3 Finance has been consulted and has agreed the financial implications as set out in the report. Yes

7.4 *Staffing*

- 7.5 None

8.0 Exempt Reports

- 8.1 Is this report exempt? No

9.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities** (Please double click on the check box)

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential
- Our communities will be resilient and empowered so that they can thrive and flourish

(2) **Council Policies** (Please detail)

10.0 Equalities Impact

- 10.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? Yes No

11.0 Legality

- 11.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

12.0 Appendices

- 12.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix A-F Savings Position: Partnership & Performance Division

13.0 Background Papers

- 13.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)
Yes (please list the documents below) No

Author(s)

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Approved by

NAME	DESIGNATION	SIGNATURE
Paula Tovey	Chief Accountant (interim)	
Stuart Crickmar	Director of Partnership & Performance	

Schedules of Savings							
Management Efficiencies							
APPENDIX A							
Service Reference		Description of Saving	2018/19	Achieved	Likely to be achieved	Amber	Red
RGME01	PERF	Release Fraud manager on VR. Backfill governance officer vacancy with fraud skilled officer at G6	52,643	36,067			16,576
RGME02	PERF	Release 1XICT CSO (G6)	34,954	34,954			
RGME03	PERF	Release 2XG6 (ICT Technical Support Officers) and create 1XFTE Project Support Officer (G7)	35,449	35,449			
RGME04	PERF	Release Committee Service officer post (G6) on retirement of post holder	31,345	31,345			
RGME05	PERF	Release unused budget from governance manager post that is not required to fund new L&DSM	10,859	10,859			
RGME07	PERF	NEW Procurement Income	2,000	2,000			
SCSME01	PERF	Reduce Emergency Planning Budget	18,000	18,000			
CORPME02	PERF	Mileage and Expenses efficiencies	78,000		78,000		
CORPME03	PERF	no increase in superann contri 2018/19	178,000		178,000		
			441,250	168,674	256,000	-	16,576

Schedules of Savings

Policy

APPENDIX B

Service Reference		Description of Saving	2018/19	Achieved	Likely to be achieved	Amber	Red
RGP01	PERF	Charge for legal services when advice or work done on behalf of third parties	5,000	-			5,000
RGP02	PERF	Removal/reduction of terms and conditions not prescribed by national agreements	200,000	-			200,000
RGSR01	PERF	Cancel mobile phone insurance.	13,894	-	13,894		
RGSR02	PERF	Reduce corporate training budget	25,000	25,000	-		
DEP04	PERF	Reduce subsidy to Banded stray dog shelter	5,000	5,000			
SCSSR01	PERF	Move to Online - Stop Community Newsletter/Leaflets	4,000	4,000	-		
SCSSR02	PERF	Stop Clacks 1000	8,000	-	8,000		
SCSSR04	PERF	Reduce Business Support Services - Residual/Vacancies	101,033	101,033			
SCSSR05	PERF	Stop Purchase of Corporate Gifts	1,600	1,600	-		
SCSSR06	PERF	Reduce Printing & Photocopying	500	500	-		
SCSSR07	PERF	Reduce Stationary	2,000	2,000	-		
SCSSR08	PERF	Reduce PA Support by 3 FTE	44,143	44,143			
SCSSR09	PERF	Reduce Business Sup in Education by 1.0 FTE	10,000	10,000			
SCSSR10	PERF	Reduce Business Sup in Adult Care by 1.0 FTE	15,000	11,583	3,417		
SCSSR11	PERF	Reduce Contact Centre staffing by 1.8 FTE	49,179	49,179			
SCSSR13	PERF	Remove Community Engagement Budget	9,000	9,000			
SCSSR14	PERF	Stop - Decommission Coalsnaughton Café Society	9,910	9,910			
SCSSR17	PERF	Stop - Decommission Sauchie Active 8	16,000	16,000			
			519,259	288,948	25,311	-	205,000

Schedules of Savings

Redesign

APPENDIX C

Service Reference		0	2018/19	Achieved	Likely to be achieved	Amber	Red
SCSR01	PERFORMANC E	Redesign Member Services Support	3,150	3150			
			3,150	3,150	0	0	0

Schedules of Savings

Cash savings 2018/19

APPENDIX D

Reference		Saving description	2018/19 saving	Achieved	Likely to be achieved	Amber	Red
CASH	PERFORMANCE	Housing budget realignment	650,000		650,000		
CASH	PERFORMANCE	External Audit Fee	4,000	4,000			
CASH	PERFORMANCE	Strategy and Customer Services vacancy management	11,242	-	11,242		
New savings added in year			665,242	4,000	661,242	-	-

Schedules of Savings

Year 2 savings (2018/19 savings agreed in 2017/18)

APPENDIX E

Reference		Saving description	2018/19 saving	Achieved	Likely to be achieved	Amber	Red
Managed contraction R&G	PERFORMANCE		46,843		46,843		
			46,843	0	46,843	0	0

Schedules of Savings

Corporate Redesign

APPENDIX F

Reference		Saving description	2018/19 saving	Achieved	Likely to be achieved	Amber	Red
Appendix A1- Budget paper	PERFORMANCE	Corporate redesign	289,000	109,000		180,000	
TOTAL			289,000	109,000	0	180,000	0

Report to Partnership & Performance Committee

Date of Meeting: 31 January 2019

Subject: Procurement Strategy Report

Report by: Strategic Director Partnership & Performance

1.0 Purpose

- 1.1. The Procurement Reform (Scotland) Act 2014 Section 18 States that the Council must prepare a procurement strategy by 31 December 2016.
- 1.2. Following on from the interim procurement strategy approved by Council on 15th December 2016, approval is sought from the Partnership & Performance Committee to adopt the procurement strategy to cover the period from March 2019 to March 2022 to comply with the requirements of the Procurement Reform (Scotland) Act.

2.0 Recommendations

- 2.1. It is recommended that Committee:
 - 2.1.1. agrees to adopt the Procurement Strategy as attached at Appendix A;
 - 2.1.2. notes that the Procurement Strategy will be subject to an annual review.

3.0 Considerations

- 3.1. This Strategy sets out how the Council will:
 - Make procurement more straightforward for suppliers and the Council alike
 - Increase the professionalism and commercial skill of those carrying out procurements for the Council
 - Provide opportunities to local and SME suppliers, including third sector organisations, to participate by increasing visibility of the Council's procurement plans and opportunities
 - Maximise innovation, sustainability and collaboration in procurement activities

- Work with the Integrated Joint Board(IJB) in the provision of Adult Social Care Services
- 3.2. The Procurement strategy provides a vision for procurement, identifies procurement principles and a work plan to deliver the 6 key themes. Its development followed on from the adoption of an interim strategy which committed to an engagement exercise being carried out with local stakeholders. The engagement exercise was widely promoted amongst stakeholder groups and the feedback is reported in Appendix 2. In total, 3 organisations responded.
- 3.3. Views from the all member briefing, meetings in partnership with the Council leaders, advice sought from senior management within Scotland Excel and comments from external audit has been obtained. Following on from this some changes have been made from the interim strategy to reflect these views namely:
- Spend analysis updated to reflect up to date financial information
 - Additional detail of spend by business sector locally.
 - A additional action considering any of the implications of Brexit across our procurement portfolio
 - A additional action to Increase local procurement expenditure by 2.5% per year from 14% to 21.5% or greater over the life of the strategy
- 3.4. The strategy will be reviewed annually to ensure ongoing alignment with corporate priorities.

4.0 Sustainability Implications

- 4.1. The strategy refers to support to encourage an effective local supplier market including the voluntary sector and the promotion of local social value in contracts
- 4.2. It also demonstrates how the Flexible Framework Self-Assessment Tool (FFSAT) will provide a Sustainable Action Plan to establish the performance level of sustainable procurement across the council and commits to establish systems to record the impact of procurement policies and practices in support of the council's climate change duties.

5.0 Resource Implications

5.1. Financial Details

- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes
- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

5.4. Staffing

6.0 Exempt Reports

6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all	<input checked="" type="checkbox"/>
Our families; children and young people will have the best possible start in life	<input type="checkbox"/>
Women and girls will be confident and aspirational, and achieve their full potential	<input type="checkbox"/>
Our communities will be resilient and empowered so that they can thrive and flourish	<input checked="" type="checkbox"/>

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes NA

9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix A - Procurement Strategy

Appendix B – Procurement Consultation Report

11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at

which the report is considered)

Yes (please list the documents below) No

Author(s)

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Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director Partnership & Performance	
Nikki Bridle	Chief Executive	



Procurement Strategy

2019–2022

Be the
FUTURE



Contents

1	Introduction	
2	Background	
3	Purpose of Strategy	
4	What is Procurement	
5	The Vision for Procurement	
6	Our Procurement Principles	
7	Spend / Finance	
8	Action Plan	

Appendices

A	Glossary of commonly used procurement terms and acronyms	
B	Links to Procurement Policies and Procedures	

Useful Contacts

Please contact me if you have any questions or comments about this Procurement Strategy or about tendering for Council business:

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1 Introduction

This Strategy is aimed at promoting effective procurement across the Council.

This Strategy sets out how the Council will:

- make procurement easier for suppliers and the Council alike
- increase the professionalism and commercial skill of those carrying out procurements for the Council
- give opportunity to local and SME suppliers to participate by increasing visibility of the Council's procurement plans and opportunities
- maximise innovation, sustainability and collaboration in procurement activities

The Council developed an Interim Procurement Strategy covering the latter part of the 2016/17 financial year and the full 2017/18 financial year¹ to comply with the requirement to prepare and publish a procurement strategy by 31 December 2016.

During 2017/18 the Council undertook a consultation exercise in order to prepare the full procurement strategy. The Consultation was undertaken using the Council consultation hub and took place between August and September 2017.

Correspondence was also sent to a number of external stakeholders making them aware of the consultation and seeking views from their members and extended networks.

The purpose of the Consultation was to ensure that the Council's approach and procurement strategy takes account of stakeholders' views and those stakeholders had the opportunity to engage and contribute to development of the strategy.

The Council wanted to gain a better understanding of the needs of the area and tailor the strategy to reflect those needs. One of the key areas that the strategy addresses is the Council's policy on consulting and engaging with those affected by its procurements.

The Council aims to be flexible and to respond to the rapidly changing environment around public sector procurement and to learn from its own experience and the experiences of others. The rapidly changing environment is well illustrated by the pace of technological change currently associated with e-procurement.

The overarching purpose of the Strategy is to support the delivery of high quality public services that offer value for money and, in a sustainable way, take account of best practice and EU and Scottish procurement legislation.

¹ Statutory Guidance under the Procurement Reform (Scotland) Act 2014
<http://www.gov.scot/Topics/Government/Procurement/policy/ProcurementReform/ProcReformAct/statutoryguidance>

2 Background

There have been some significant changes in the last few years, in particular:

- The EU Procurement Directives which aim to ensure that public purchases are made in a transparent and fair manner.
- The Procurement Reform (Scotland) Act 2014 that provides a national legislative framework for sustainable public procurement that supports Scotland's economic growth through improved procurement practice.

As a whole, both the Act and the Directives provide the statutory foundations for the Scottish Model of Procurement illustrated in Figure 1.

Figure 1: Scottish Procurement Model

Scottish Procurement



Scottish Model of Procurement



These important changes to the rules on public procurement in Scotland resulted from:

- Procurement Reform (Scotland) Act 2014
- EU Procurement Directive on public procurement
- EU Procurement Directive on the award of concession contracts
- EU Procurement Directive on the award of contracts by entities operating in the water, energy, transport and postal services sectors
- EU Procurement Directive for electronic invoicing in public procurement

The Scottish Model of Procurement, simplifies, standardises and streamlines procedures for both businesses and public bodies. It places sustainable and socially responsible purchasing at the heart of the process. Some of these changes are mandatory. The Council's key procurement documents, the Procurement Journey, introduced in 2012 and Contract Standing Orders will align with the requirements of the Scottish Model.

3 Purpose of the Strategy

Historically the Council has spent approximately £60 million a year on procuring goods, works and services and it needs to maximise value from this expenditure. The next few years are likely to see further financial pressures so achieving and providing evidence of value for money is paramount.

This Strategy provides a high-level view about the Council's direction of travel, identifies the actions that the Council will take and the principles it will follow to maximise value from its procurement activity.

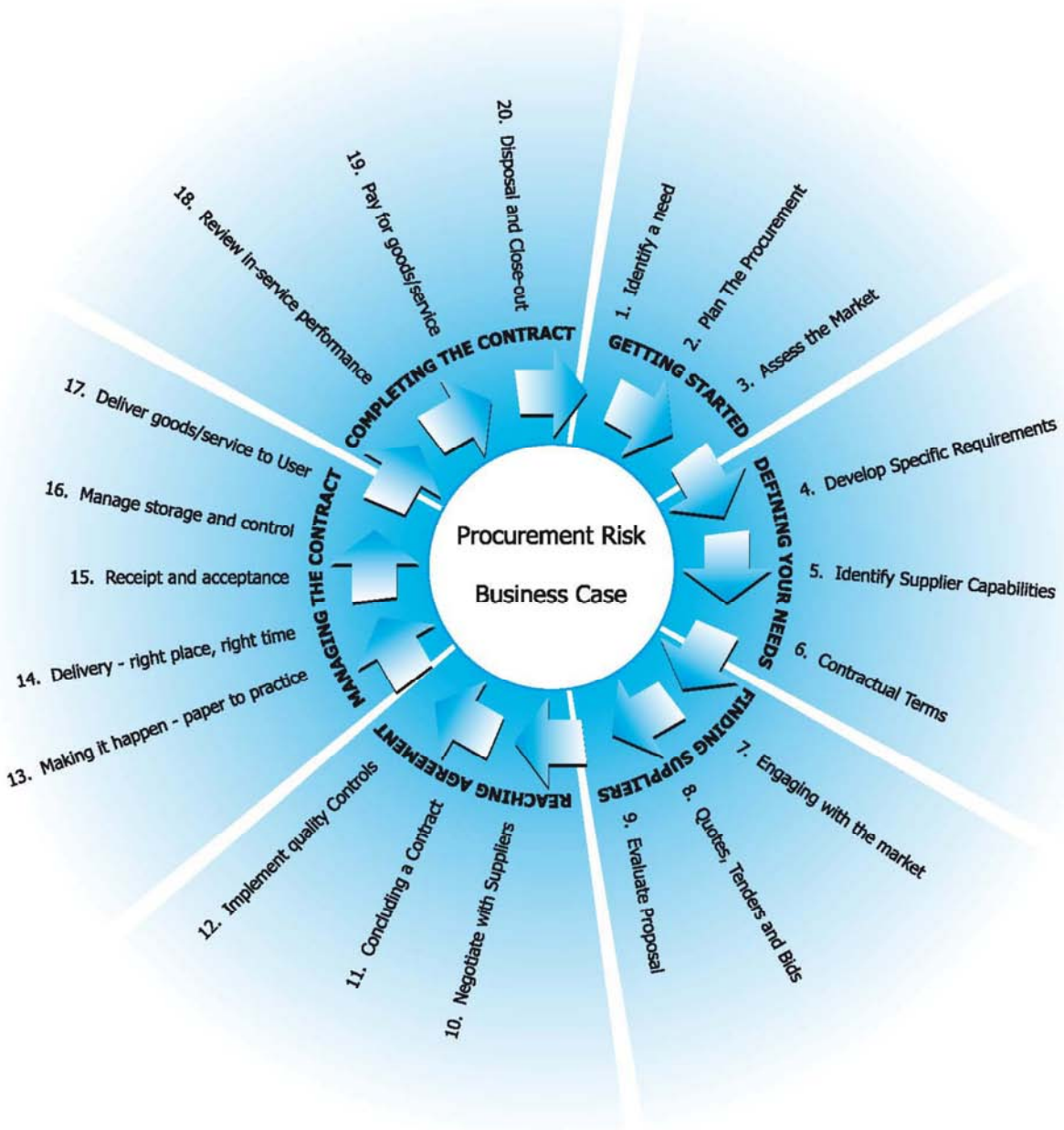
4 What is Procurement?

The Council directly provides some services from in house staff/ resources. Where it needs to acquire goods, services or works that cannot be provided in-house they are procured from external providers which may be a contractor, third sector supplier or another public sector body. Procurement is the process that is used to acquire such goods, services and works from those external providers.

Whilst responsibility for procurement resides in each Council service area, there is advice available from suitably qualified staff in the corporate centre to assist service areas with their procurement responsibilities and provide policy advice and training.

Procurement activity forms a cycle, illustrated in Figure 2, extending from recognising an unmet need right through to management of the end contract, and where appropriate will include authorisations and audit arrangements. Depending on the need being addressed, the procurement cycle may vary from a simple transactional process, such as the on-line ordering of stationery, to the complexity of a multi-year, multi million pound project such as the procurement of a design, build and ongoing facilities management solution for a school. Well-trained procurement practitioners add value to every stage of the procurement cycle, minimising costs and maximising value.

Figure 2 : The Procurement Cycle Source: A Guide to the Procurement Lifecycle in Clackmannanshire Council



5 The Vision for Procurement

The Procurement Strategy aligns with the Corporate Plan and outcomes as expressed in the Clackmannanshire Local Outcomes Improvement Plan

- Clackmannanshire will be attractive to businesses and people and ensure fair opportunities for all.
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential.
- Our communities will be resilient and empowered so that they can thrive and flourish

In particular the strategy aims to support outcomes 1 and 4 by developing capability of businesses in Clackmannanshire to bid for public sector contracts and wherever possible, any opportunities for the Council to retain its procurement spend within Clackmannanshire and deliver wider community benefits will be maximised.

The Council will only procure what it needs to deliver the best services possible within its available resources.

To do this we have adopted the following Strategic Themes for the period covered by the Strategy.

Strategic Theme 1

Straightforward:

To make procurement as straightforward as possible for the Council and potential suppliers, in particular to improve access for local suppliers and SMEs and to eliminate anything that does not add value to the procurement

Strategic Theme 2

Professional:

To continue to embed professional procurement and contract management skills and support the growth of commercial acumen within the Council.

Strategic Theme 3

Maximise local opportunities:

To support and encourage an effective local supplier market including the voluntary sector and the promotion of local social value in contracts.

Strategic Theme 4

Strategic:

To use sound procurement practices and innovative solutions to promote sustainability and value for money, making use of clear and detailed procurement/purchasing data, collaboration and partnership opportunities where appropriate.

Strategic Theme 5

Fair:

To ensure that, where applicable, contractors comply with Living Wage and Blacklisting Policies and to ensure that account is taken of the possible impact that the Council's approach to major projects might have on different groups of people.

Strategic Theme 6

Compliance:

To ensure that all procurement activity across the Council is compliant with procurement regulations, Contract Standing Orders and Financial Regulations.

The actions that we will take to deliver these themes are set out in the work plan for the service at Section 8.

6 The Council's Procurement Principles

Fundamental to this strategy are Procurement Principles that will guide how the Council conducts and develops its procurement activities.

General

- 6.1 Throughout any procurement the Council will be clear about the outcomes and objectives it wants to achieve.
- 6.2 The Council's required outcomes from each procurement project will be properly assessed in relation to the Council's priorities, other statutory requirements and affordability.
- 6.3 The assessment of risk associated with each procurement project will aim to achieve a balance with commercial outcomes and placing risk where it is best managed.
- 6.4 Wherever possible requirements will be expressed in terms of outcome and performance to provide scope for bidder innovation.

Value for money

- 6.5 The Council will aim to increase value for money (defined as the best whole-life cost and quality ratio to fulfil the stated requirements) and reduce processing costs.
- 6.6 The Council will take a long-term strategic view of the procurement of its requirements, including the potential for innovative funding and the opportunity for working with other public authorities especially for goods and services which can be procured more cost-effectively in a collaborative group.

Sustainability

- 6.7 Any procurement decision will aim to minimise harm to the environment and to promote conservation of natural resources.

The local supplier base

- 6.8 The Council will support businesses local to Clackmannanshire through a range of initiatives including:
 - Making it simpler to do business with the Council;
 - Reduce where possible the bidding burden on suppliers;
 - Have regard to the impact on small/local firms in the way in which a procurement is structured; and
 - Providing clear information about selling to the Council on our website.
 - Where possible increase local procurement expenditure by 2.5% each year to 21.5%

Relationships with suppliers

- 6.9 In longer-term contracts, the Council will incorporate provisions for continuous improvement both within the contracted service and to the benefit of the community it is serving.

- 6.10 In higher value contracts the Council will challenge contractors to identify ways in which they can contribute to improving the economic, social and environmental well-being of Clackmannanshire.
- 6.11 In construction contracts the Council will ask potential contractors to self-declare that they have not been and will not be involved in blacklisting and where a potential contractor is unable to do this the Council will carry out a review in a proportionate and reasonable manner to conclude whether or not the organisation should be excluded from the competition.
- 6.12 The Procurement Reform (Scotland) Act 2014 has addressed and defined living wage in national legislation. It provides for Scottish Ministers to issue statutory guidance on how a company's approach to recruitment, remuneration (including living wage), and other terms of engagement should be considered when selecting bidders and awarding public contracts, where such matters will affect the quality of service that the bidder may provide.

Equality

- 6.13 Procurement processes and documentation will reflect the Council's Equalities and Diversity Policy in line with the Equality Act 2010.
- 6.14 Equality legislation places duties on the Council to promote equality through our actions and they must have due regard to whether the award and conditions of a contract should include considerations to enable better performance of the public sector equality duty. In addition human rights standards recognise the right of everyone to just and favourable working conditions; in particular fair and equal pay, safe and healthy working conditions and reasonable working hours.
- 6.15 Section 9 of the Procurement Reform (Scotland) Act 2014 places a sustainable procurement duty on the Council before carrying out a regulated procurement, to consider how in conducting the procurement process it can improve the economic, social, and environmental wellbeing of the Council area. Wellbeing of the Council area includes, in particular, reducing inequality in the area. The Council will contribute towards improving the social wellbeing element of its sustainable procurement duty by adopting a policy to promote fair work practices in relevant public contracts.

Conduct

- 6.16 In all our dealings in the procurement process, the Council will preserve the highest standards of honesty, integrity, impartiality and objectivity and shall comply with the Council's staff conduct policies at all times.
- 6.17 In selecting contractors the Council will evaluate offers received on the basis of the most economically advantageous tender and will take into account, where appropriate, whole life costing seeking an appropriate balance between cost and quality.
- 6.18 In any procurement the Council will ensure that its approach to the market is consistent with these principles.

Health and Social Care Procurement

- 6.19 Section 12 of the Procurement Reform (Scotland) Act provides for a contracting authority, such as the Council to award health and social care contracts or framework agreements between 50,000 GBP and 615,278 GBP without seeking offers in relation to the proposed contract. There are however provisions that still apply if the Council chooses to award a contract without advertising for example Section 23(2) of the Act: The Council must publicise a contract award notice on Public Contracts Scotland. Many health and social care contracts require special consideration because the quality or availability of these services can have a significant impact on the quality of life and health of people who might use these services as well as their carers. Also, services are becoming increasingly personalised to better meet people's needs which, in turn, has implications for how support is planned and purchased.
- 6.20 The Council also has to work with the Integrated Joint Board(IJB) in the provision of Adult Social Care. The IJB is responsible for producing a commissioning strategy but the IJB cannot, as an entity, contract with suppliers. It is for the Council along with the other IJB partners to manage the procurement. Services in regard to children and criminal justice services will also be expected to be procured within the context of a commissioning strategy.
- 6.21 The Council will exercise its responsibilities in compliance with the provisions in Section 12 in a responsible and proportionate way ensuring that the best interests of service users are accommodated within fair and transparent procurement practices.

7 Spend / Finance

This section details historical and projected spend information and spend analysis for the Council covering the financial year 2017/18. Greater detail is provided in the Annual Procurement report which is available on the Council's website.

Total spend with Trade Creditors	£60,230,989
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Suppliers (trade Creditors) used in 2017/18	2,190
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Top 20 suppliers by Trade Classification (Thomson)	Total Spend
Facilities Management	8,384,841
Nursing Homes	5,067,644
Home Care Services	4,095,002
Project Management	2,815,045
Residential Care Home	2,754,067
Civil Engineers	1,880,400
Adoption & Fostering	1,586,403
Construction Contractors - General	1,533,692
Pvc-u Products - Mnfrs & Suppliers	1,520,262
Social Services	1,338,056
Childcare Services	1,189,566
Electricity Companies	1,147,804
Building Refurbishment & Restoration Contractors	1,113,866
Disability & Special Needs - Services	999,537
Electrical Wholesalers	998,621
Waste Disposal Services	831,174
Insurance - Other	795,808
Property Maintenance & Repairs	754,767
Computer Systems & Software (development)	747,439
Car Dealers	718,891

Percentage Spend with Small to Medium Enterprises	66.44%
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Overall, spend is relatively evenly distributed amongst small and medium sized enterprises and performance compares favourably with other Local Authorities.

Percentage of spend by supplier size.

Supplier Size (Composite)	% Of Spend 16/17	% Of Spend 17/18
Large Company	37.38	33.56
Medium Company	34.23	33.75
Small Company	28.40	32.69
SME Total	62.62	66.44

Percentage Spend with Local Suppliers	14.01%
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Whilst the share of spend in the local area is relatively low, it is also recognised that there is a fairly limited local supplier base but work continues with local suppliers to provide opportunities to work with the Council.

The relatively small geographic areas covered by Clackmannanshire and small number of companies within the local area are likely to be key factors in the low share of spend.

Local spend by Clackmannanshire Council is dominated by Social Care & Services where spend is £5,947,282, followed by Travel & Accommodation £882,435, and Construction £595,220

The majority of Social Care & Services is spent on Adult Services £5,207,825 and for Travel & Accommodation the spend is only on Travel - School transport.

Spend Summary by Business Sector Locally.

vCode Business Sector	Total Spend 17/18	vCode Business Sector	Total Spend 16/17	Difference
Social Care & Services	5,947,282	Social Care & Services	4,714,918	£ 1,232,364
Travel & Accommodation	882,435	Travel & Accommodation	1,177,656	-£ 295,221
Construction	595,221	Construction	978,059	-£ 382,838
Waste & Environmental Services	121,898	Waste & Environmental Services	473,796	-£ 351,898
Facilities Management	97,794	Facilities Management	90,199	£ 7,595
Arts, Sport & Leisure	68,615	Arts, Sport & Leisure	132,286	-£ 63,671
Transport	36,921	Transport	26,264	£ 10,657
Animals & Farming	32,139	Animals & Farming	13,944	£ 18,195
Human Resources	30,218	Human Resources	43,322	-£ 13,104
Marketing & Media	25,525	Marketing & Media	49,134	-£ 23,609
Other Goods & Services	17,750	Other Goods & Services	80,228	-£ 62,478
Food, Beverage & Catering	15,245	Food, Beverage & Catering	93,667	-£ 78,421
Retail & Wholesale	12,084	Retail & Wholesale	63,916	-£ 51,833
Clothing	8,719	Clothing	27,697	-£ 18,978
Legal	7,114	Legal	52,990	-£ 45,876
Personal Care	6,000			£ 6,000
ICT	1,900	ICT	13,618	-£ 11,718
Financial Services	1,470	Financial Services	1,030	£ 440
		Vehicles	42,053	-£ 42,053
		Utilities & Energy	4,140	-£ 4,140
				£ -
	7,908,331		8,078,917	-£ 170,586

The Council will pay suppliers promptly, and includes a clause in its standard terms and conditions stating that undisputed invoices will be paid no later than 30 days from receipt.

The Council wish to ensure that this behaviour flows through the supply chain includes a clause stating that:

“where you sub-contract any work under the Contract, that sub-contract must contain a clause requiring you to pay your sub-contractor within 30 days of you receiving a valid invoice from your sub-contractor.”

8 Action Plan

The table below summarises the actions and initiatives planned over the Strategy period to achieve the outcomes set out in the Vision for Procurement at section 5.

A number of these are aspirational and priority will be given to statutory obligations.

Elements of the effectiveness of the procurement strategy will be measured via the [Procurement & Commercial Improvement Programme](#) (PCIP).

Definitions

Responsible	"The person or persons that will undertake the objective"
Accountable	"The person that is answerable and has liability for the objective"
Consult	"Prior to making a decision"
Inform	"After decision is made"

PROCUREMENT ACTION PLAN March 2019 – March 2022		
Strategic Theme 1 Straightforward Procurement		
To make procurement as straightforward as possible for the Council and potential suppliers, in particular to improve access for local suppliers and SMEs and to eliminate anything that does not add value to the procurement		
Action	Responsibility	Target Date
Deliver electronic procurement systems to satisfy new legislative requirements.	TechnologyOne Project Team	Reviewed on an annual basis
	Accountable	
	Chief Accountant	
	Consult	
	Procurement Manager	
Review impact of newly implemented EU Procurement Rules and UK legislation and make necessary changes to existing approaches.	Inform	A per Scottish Procurement policy notes which are published on an ad hoc basis to provide advice on current policy issues.
	Strategic Director (Partnership & Performance)	
	Responsibility	
	Procurement Manager	
	Accountable	
	Strategic Director (Partnership & Performance)	
	Consult	
	CMT	
	Inform	
	CMT	

Guidance produced for local/third sector suppliers and SMEs is clear concise and easy to follow, and includes a section with regard to local and national support bodies, and how they can improve access.	Responsibility	Reviewed on an annual basis
	Procurement Manager	
	Accountable	
	Strategic Director (Partnership & Performance)	
	Consult	
	CMT	
Continue to use Public Contract Scotland portal as our main advertising media for all regulated procurements.	Inform	Ongoing
	Elected members	
	Responsibility	
	All Purchasing staff	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
	Inform	
	All Council staff	

PROCUREMENT ACTION PLAN March 2019 – March 2022

Strategic Theme 2 Embed procurement and contract management Skills

To continue to embed professional procurement and contract management skills across the Council. This goes hand in hand with moves to increase the commercial acumen of the Council

Action	Responsibility	Target Date
Provide strategic professional advice to the corporate review of how to transform the way the Council procures its works, services and supplies and to propose a new model for procurement and purchasing activities across the Council.	Procurement Manager	Ongoing
	Accountable	
	CMT	
	Consult	
	CMT	
	Inform	
Provide support and learning and development opportunities to staff, contractors, stakeholders, unions and elected members engaged in procurement processes to ensure they are able to deliver effectively and are empowered to deal with and understand the impact of any procurement decisions/ issues.	Responsibility	Reviewed on an Annual basis
	Procurement Manager	
	Accountable	
	CMT	
	Consult	
	Inform	
Review the role of the Procurement Matters Group and the terms of reference for the group. The procurement matters group is a management model where employees identified as having responsibility for procurement within their job role would have this aspect of their role managed by the Procurement Manager.	Responsibility	Sept. 2019
	Procurement Manager	
	Accountable	
	CMT	
	Consult	
	Inform	
Assist Clackmannanshire Third Sector Interface (CTSI) in the development and delivery of training with regard to 'Understanding Social Enterprise/Third Sector Legal Structures', and the impact/opportunities re Community Benefit Clauses	Responsibility	Dec. 2019
	Procurement Manager and CTSI	
	Accountable	
	Procurement Manager	
	Consult	
	Inform	

<p>Collaborate with CTSi on the production of a guide for analysing and measuring social value/impact in the assessment of bids.</p>	<p>Responsibility Procurement Manager and CTSI</p> <p>Accountable CTSI</p> <p>Consult CTSI</p> <p>Inform CMT</p>	<p>Dec. 2019</p>
<p>Brexit - Public Procurement Regulations have been implemented to UK law from four European Directives.</p> <p>The principles contained within the directives of equal treatment, non-discrimination, transparency and proportionality are enshrined within the Scottish Procurement Regulations and ultimately our procurement activity. Upon departure from the European Union it is unlikely that there would be any significant impact to procurement legislation and the way in which procurement activity is conducted</p> <p>However we will consider any of the implications of Brexit across our procurement portfolio, with focus on procurement regulations, trade, migrant labour workforce, and take all available practical steps. This will include working with the Scottish Government and Scotland Excel</p>	<p>Responsibility Purchasing staff</p> <p>Accountable Purchasing staff</p> <p>Consult Scottish Government & Scotland Excel</p> <p>Inform Purchasing Staff</p>	<p>April. 2019</p>

PROCUREMENT ACTION PLAN March 2019 – March 2022

Strategic Theme 3 Support and encourage the local supplier market

To support and encourage an effective local supplier market including the voluntary sector and the promotion of local social value in contracts.

Action	Responsibility	Target Date
Revise guidance on Council's website about selling to the Council.	Procurement Manager	Dec. 2019
	Accountable	There after on an annual basis
	Procurement Manager	
	Consult	
	Procurement Matters Group	
	Inform	
	Strategic Director (Partnership & Performance)	
Refresh and publish online schedule of proposed procurements to promote future contract opportunities.	Responsibility	As part of the procurement annual report and as per capital budget as agreed by Council February / March each year
	Procurement Manager	
	Accountable	
	Heads of Service	
	Consult	
	All Services	
	Inform	
	All Stakeholders	
Where possible, utilise the Public Contract regulations to enable Officers to place contracts with supported businesses more readily without having to resort to full tendering exercises, e.g. <ul style="list-style-type: none"> Identify third sector suppliers that meet 'Supported Business' criteria; and Identify opportunities to make use of reserved contracts for local supported businesses at monthly CTSI meetings. 	Responsibility	Ongoing
	Purchasing Staff	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
	Inform	
	Procurement Matters group	
For non regulated procurement exercises officers will purchase via local suppliers and will include at least one local supplier to tender where there is one available.	Responsibility	Every procurement journey route 1 procurement
	Purchasing Staff	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
	Inform	
	Procurement Matters group	

<p>Support businesses local to Clackmannanshire through a range of initiatives including:</p> <ul style="list-style-type: none"> • Making it simpler to do business with the Council; • Reduce to a minimum the bidding burden on suppliers; • Have regard to the impact on small/local firms of the way in which a procurement is structured and how they are paid; • Provide clear information about selling to the Council on the Council's website. • Production of a clear and concise guide for Third Sector suppliers that includes guidance with regard to partnership/consortia bids • Run a series of 'Meet the Supplier' events to encourage greater engagement from the third sector with the procurement process, and to create greater understanding of Third sector suppliers amongst council officers 	<p>Responsibility</p>	<p>Throughout each year and reported in the procurement annual report</p>
	<p>Procurement Manager Supplier Development programme CTSI</p>	
	<p>Accountable</p>	
	<p>Procurement Manager</p>	
	<p>Consult</p>	
	<p>All Stakeholders</p>	
	<p>Inform</p>	
<p>Take in to account and align with the Council's Local Outcome Improvement Plan (LOIP) and that communication of its purpose, priorities and outcomes are better communicated across departments. Where possible align the procurement journey so that procurement exercises are attractive to local businesses and people and ensure fair opportunities for all.</p>	<p>Responsibility</p>	<p>Every procurement exercise</p>
	<p>Purchasing Staff</p>	
	<p>Accountable</p>	
	<p>Heads of Service</p>	
	<p>Consult</p>	
	<p>Procurement Manager</p>	
	<p>Inform</p>	
<p>CMT</p>		
<p>Extend awareness of implications of Public Procurement Reform legislation through;</p> <ul style="list-style-type: none"> • Workshop discussions to brief third sector on Council procurement policy and changes in legislation; and • Establish monthly communication between Council procurement manager and CTSI. 	<p>Responsibility</p>	<p>Sept. 2020</p>
	<p>Procurement Manager CTSI</p>	
	<p>Accountable</p>	
	<p>Procurement Manager CTSI</p>	
	<p>Consult</p>	
	<p>Procurement Manager CTSI</p>	
	<p>Inform</p>	
<p>Procurement Manager CTSI</p>		

<p>Better Align Service Level Agreements with Alliance Priorities by:</p> <ul style="list-style-type: none"> • Mapping grant-aid and commissioned spend from the Council to the local third sector; and • Initiating a review and appropriate changes to Service Level Agreements based on Alliance policy priorities. 	<p>Responsibility Purchasing staff</p> <p>Accountable Heads of service</p> <p>Consult CMT Elected members</p> <p>Inform All grant aid funded suppliers</p>	<p>October 2020</p>
<p>Advise and work in partnership with the Integration Joint Board (IJB) in line with The Public Bodies (Joint Working) (Scotland) Act 2014 as the IJB are not able to contract or hold contracts with third parties as contractual arrangements remain with the local authority.</p>	<p>Responsibility Social Services Commissioning IJB</p> <p>Accountable Social Services Commissioning IJB</p> <p>Consult Procurement Manager</p> <p>Inform CMT</p>	<p>Every adult commissioning exercise</p>
<p>Increase local procurement expenditure by 2.5% per year from 14% to 21.5% or greater over the life of the strategy</p>	<p>Responsibility Purchasing Staff</p> <p>Accountable Procurement Manager</p> <p>Consult All Stakeholders</p> <p>Inform Elected Members</p>	<p>21.5% spend with local suppliers by March 2022</p>

PROCUREMENT ACTION PLAN March 2019 – March 2022

Strategic Theme 4 Sound procurement practices and innovative solutions

To use sound procurement practices and innovative solutions to promote sustainability and value for money, making use of clear and detailed procurement/purchasing data, collaboration and partnership opportunities where this accords with the Council's Principles of partnership working.

Action	Responsibility	Target Date
Ensure that all regulated procurements comply with the sustainable procurement duty and in the case of commissioning ensure these are aligned to the Integration Joint Board joint strategic commissioning plans which pull together the forecast of overall need across the local authority area, together with the availability of services or resources to meet that need and makes recommendations following an option appraisal for how these should be met	Responsibility	All regulated procurement exercises
	Purchasing Officers Social services commissioning	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager IJB	
	Inform	
Establish systems to record the impact of procurement policies and practices on the council's climate change duties.	Responsibility	March 2021
	Procurement Manger	
	Accountable	
	Heads of Service	
	Consult	
	CMT	
	Inform	
Review scope for and deliver further corporate contracts to consolidate spend.	Responsibility	Ongoing agenda item with the Procurement Matters Group
	Procurement Matters Group	
	Accountable	
	Heads of Service	
	Consult	
	CMT	
	Inform	
CMT		

Revise template documents and guidance with intention of promoting scope for innovation by the market in appropriate procurements.	Responsibility	Ongoing agenda item with the Procurement Matters Group
	Procurement Manager	
	Accountable	
	Procurement Manager	
	Consult	
	Procurement Matters Group	
When exploring outsourcing and private partnership solutions, these will not be procured in isolation and consultation with staff, service users, unions and stakeholders will be undertaken when market testing.	Responsibility	When required
	Heads of Service	
	Accountable	
	CMT	
	Consult	
	All Stakeholders	
Utilise the Scottish Government's sustainable prioritisation tool to identify and prioritise procurement activity.	Responsibility	March 2021
	Purchasing Staff	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
Utilise the Flexible Framework Self-Assessment Tool (FFSAT) to provide a Sustainable Action Plan to establish the performance level of sustainable procurement across the council.	Responsibility	September 2010
	Purchasing Staff	
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
Create and manage a sustainable register to capture, monitor and report on the sustainable outcomes achieved via procurement activity, and link to related internal and external reporting requirements.	Responsibility	December 2021
	Procurement Manager	
	Accountable	
	Procurement Manager	
	Consult	
	All stakeholders	
Inform		
CMT		

Explore innovative solutions through greater collaborative approaches between the Council and the local Third sector	Responsibility	September 2020
	Purchasing Staff CTSI	
	Accountable	
	Purchasing Staff CTSI	
	Consult	
	Procurement Matters Group CTSI	
Explore the development of a subcontractor community benefit directory	Inform	December 2020
	CMT	
	Responsibility	
	CTSI	
	Accountable	
	CTSI	
	Consult	
	Procurement Manager	
	Inform	
	Procurement Matters Group	

PROCUREMENT ACTION PLAN March 2019 – March 2022

Strategic Theme 5 Fair procurement

To ensure that, contractors comply with our Living Wage and Blacklisting Policies and to ensure that we take account of the possible impact that our approach to major projects might have on different groups of people.

Action	Responsibility	Target Date
Ensure that all procurement follows the fundamental principles of (transparency, equal treatment and non-discrimination, proportionality and mutual recognition), the legal requirements of the Procurement Reform (Scotland) Act 2014, The Public Contracts (Scotland) Regulations 2015, The Procurement (Scotland) Regulations 2016, statutory guidance issued under the Act and Scottish public procurement policy generally and including the Scottish specific equality duty.	Purchasing Staff	Every Regulated procurement exercise
	Accountable	
	Heads of Service	
	Consult	
	Procurement Manager	
Establish simple methodology for assessing best value case for using the Living Wage requirement in service and works contracts,	Responsibility	December 2019
	Procurement Manager	
	Accountable	
	Procurement Manager	
	Consult	
Procurement will also foster and adopt the Fair Work directive where legally permissible by removing contractors who use Zero Hour Contracts and contractors who do not provide a minimum of pay in line with the living wage	Responsibility	Where Identified
	Procurement Manager	
	Accountable	
	Procurement Manger	
	Consult	
Embed Blacklisting protocols in procurement processes for construction contracts.	Responsibility	Ongoing
	Procurement Manager and Works purchasing officers	
	Accountable	
	Procurement Manger	
	Consult	
Procurement Matters group		
Inform		
Purchasing Staff		

Procurement will encourage, through the tender process and support to contractors, provision of apprenticeships and promote health and safety and utilise environmentally sustainable solutions	Responsibility	Every appropriate regulated procurement exercise
	Purchasing officers	
	Accountable	
	Purchasing officers	
	Consult	
	Procurement Manager	
Ensure that where appropriate EQIA's are completed for regulated procurements.	Inform	Every appropriate regulated procurement exercise
	Procurement Matters group	
	Responsibility	
	Purchasing officers	
	Accountable	
	Purchasing officers	
Consult		
Stakeholders		
Inform		
Procurement Manager		

PROCUREMENT ACTION PLAN March 2019 – March 2022

Strategic Theme 6 Compliance

Procurement will continue to identify, manage and control risk by developing policy and procedures which consider risk, and balance operational effectiveness and compliance.

Action	Responsibility	Target Date
Update Council Contract Standing Orders to support compliance with the new procurement rules and cascade changes to informed clients and key stakeholders.	Responsibility	December 2019
	Procurement Manager	
	Accountable	
	Strategic Director (Partnership & Performance)	
	Consult	
	Elected Members, CMT and procurement Matters group	
Adapt internal procedures, processes and documentation to reflect the required legislative changes.	Responsibility	On going
	Procurement Manager	
	Accountable	
	Procurement Manager	
	Consult	
	Procurement Matters group	
Produce a procurement workforce plan to consider what skills and development requirements will be necessary within the Council to comply with the procurement rules.	Responsibility	March 2020
	Procurement Manager	
	Accountable	
	Procurement Matters Group	
	Consult	
	Purchasing Officers OD Officer	
Inform		
	CMT	

Implement measures in conjunction with Internal Audit to ensure that the opportunity for procurement fraud is minimised	Responsibility	Ongoing
	Procurement Manager and Internal Audit	
	Accountable	
	Heads of Service	
	Consult	
	Heads of Service	
Produce an annual procurement report in line with legislative requirements as soon as possible after the financial year end.	Inform	Quarter 3 Annually
	CMT	
	Responsibility	
	Procurement Manager	
	Accountable	
	Strategic Director (Partnership & Performance)	
	Consult	
	CMT and Elected members	
	Inform	
	Scottish Government	

Appendix A

Glossary of commonly used procurement terms and Acronyms

This list includes some of the commonly used words, acronyms and phrases. It is not comprehensive and will be added to from time to time. If you think there is something that should be added to it please contact Derek Barr, whose contact details are given at the start of this Strategy.

Agreement Another word for “Contract”. The legally binding contract terms and conditions between the parties.
Category Management An approach to procurement within the Council that places projects of a particular type (e.g. construction, IT) with staff that are expert in procurements of that type.
Collaboration In this context, public sector organisations that engage in a joint procurement for works, services or supplies with the intention of obtaining better value for money through economies of scale and reduced tendering costs.
Commissioning The process of specifying, securing and monitoring services to meet people’s needs at a strategic level. It applies to all services, whether they are provided by the local authority, NHS, other public agencies, or by the private and voluntary sectors
Competitive Tendering Awarding contracts following a process to obtain competing tenders.
Contract A binding agreement between two or more parties that is enforceable in law.
Contract Officer An officer of the Council who has been nominated to manage the contract.
Contractor A firm or person who has entered into a contract with the Council to supply works, goods or services.
EU European Union.
ESPD European Single Procurement Document allow businesses to complete one document containing their basic selection and exclusion information and use this in competitions across Europe, building on the progress made in Scotland through the development of the standard pre-qualification questionnaire. Only used for EU procurements.
Evaluation A detailed assessment and comparison by the Council of offers made in response to a request for quotations or tenders in accordance with published criteria.
Framework Agreement An agreement with suppliers which sets out the terms and conditions (including maximum prices) under which specific orders can be made throughout the term of the agreement.
IJB The Integration Joint Board for Clackmannanshire and Stirling Health and Social Care Partnership is made up of representatives from Clackmannanshire Council, Stirling

<p>Council, NHS Forth Valley, Third Sector representatives, service users and carers. The Integration Joint Board*, through its Chief Officer, has the responsibility for the planning, resourcing and the operational oversight of a wide range of health and social care services.</p>
<p>Invitation to Tender A formal document inviting an organisation to tender to provide a service, supply goods or to carry out works for the Council. It will include the instructions for submitting a tender, the specification for the requirement, the criteria against which the tender will be assessed, the proposed terms and conditions for the contract and, in some cases, a business questionnaire.</p>
<p>ITT Invitation to Tender.</p>
<p>KPI Key Performance Indicator. KPIs are placed against certain elements of a contract or service level agreement and indicate the items that are to be measured to see if the contractor has achieved the required contract standard.</p>
<p>Life cycle costing The systematic consideration of all relevant costs and revenues associated with the acquisition and ownership of an asset.</p>
<p>Local Suppliers or Suppliers local to Clackmannanshire – Local suppliers are defined as suppliers based within the boundary of Clackmannanshire to reflect the type of procurement and the maturity of the supplier market within the County, Sub-region is defined as Forth valley</p>
<p>LOIP Local Outcome Improvement Plan</p>
<p>MEAT Most Economically Advantageous Tender</p>
<p>Method Statement A document used in the invitation to quote or to tender which sets out specific questions for the bidder to answer to explain to the Council how a service is to be delivered/works to be carried out. The answers will be evaluated and form a part of the contract.</p>
<p>Most Economically Advantageous Quotation/Tender The quotation or tender offering the Council the greatest benefit in terms of cost and quality.</p>
<p>OJEU Official Journal of the European Union. The on-line publication in which notices advertising Council tenders that fall within the EU thresholds must be placed at the start and end of the procurement.</p>
<p>PQQ Pre-Qualification Questionnaire. A document asking the tenderer to provide information about their business and experience. Used below EU level procurements.</p>
<p>Procurement The process of the acquisition by the Council of the goods, services and works that it needs to deliver its services.</p>
<p>PCS Public Contracts Scotland the Scottish Government advertising portal which local authorities are required to use for the publication of information about contract opportunities worth £50,000 or over.</p>
<p>Quotation An offer by a supplier to supply goods or services or to carry out works requested either</p>

orally or in writing.

Regulations

The Procurement Reform (Scotland) Act 2014
Public Contracts (Scotland) Regulations 2015
Procurement (Scotland) Regulations 2016
Concessions Contracts (Scotland) 2016

Small to Medium Enterprises (SME)

Small

Less than 50 employees, regardless of turnover, or, if the number of employees is unknown, then turnover of less than £5.6m will be taken as an indicator that it is a small enterprise.

Medium

Between 50 and 249 employees, regardless of turnover, or, if the number of employees is unknown, then turnover of greater than or equal to £5.6m and less than £22.8m will be taken as an indicator that it is a medium enterprise.

Large

Greater than or equal to 250 employees, regardless of turnover, or, if the number of employees is unknown, then turnover of greater than or equal to £22.8m will be taken as an indicator that it is a large enterprise.

Specification/Statement of Requirements

A description of the requirements for the service, supply or works to be provided.

Supported Business

Firstly, a supported business' primary aim is the social and professional integration of disabled or disadvantaged persons.

Secondly, at least 30% of the employees of those businesses should be disabled or disadvantaged. The precise proportion of staff may fluctuate over time. However this requirement is underpinned by the main aim of the business being the social and professional integration of disabled and disadvantaged people.

Supplier/Service Provider

Other words for "Contractor".

Tender

The offer submitted by the tenderer in response to the Invitation to Tender.

VFM

Value for money.

Appendix B

Links Procurement Policies and Procedures

- [Contract Standing Orders](#)
- [Corporate Procurement Process](#)
- [Terms and Conditions for Orders and Contracts](#)
- [Doing Business with Clackmannanshire Council - A Suppliers' Guide](#)
- [Procurement Annual Report](#)
- [Focus On Spend](#)
- [Contract Register](#)
- [Public Contracts Scotland](#)



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Clackmannanshire Council Procurement Strategy

Consultation response report



Overview

The Council developed an Interim Procurement Strategy to comply with the requirement to prepare and publish a procurement strategy by 31 December 2016. The first procurement strategy covered the remainder of the Council's 2016/17 financial year and its full 2017/18 financial year

We stated that during the 2017/18 period the Council would undertake relevant and proportionate consultation and engagement when preparing the full procurement strategy before approval by the Council

The Consultation was undertaken using the Council consultation hub and opened on 9th August 2017 and closed on 29th September 2017 seeking views on the interim Procurement Strategy and Action plan. Correspondence was also sent directly to a number external stakeholders making them aware of the consultation and seeking views from their members and extended networks

The council received two responses over this period and one comment after this period that has also been included within this report.

Responses received from:

UNISON

CTSI

NHS – Heath and Social Care Integration

Consultation Questions and Responses

Strategic Context

Question: Are there any strategic issues which the strategy has not considered? If yes please identify them below and give details of how the Procurement Strategy should address them.

Responses:

- 1 Clackmannanshire Council should focus on the local economy through a buy local procurement strategy which would increase the Council's overall sustainability by adding additional finance to the local economy. Environmentally, this will also increase the green credentials of the Council by reducing product delivery/contractors commute and reducing the overall contract delivery miles. Procurement can be used as a viable tool in fostering both economic and environmental goals and as a key policy and planning tool.
- 2 Procurement must also foster and adopt the Fair Work directive by removing contractors who use Zero Hour Contracts, who do not provide a minimum of pay in line with the living wage and who do not pay for travelling time and expenses. Procurement should also be weighted in favour of companies which provide apprenticeships, promote health and safety and utilise environmental sustainable policies.
- 3 Outsourcing and private partnerships have time and time again been shown to cost more in the long run when compared to keeping services and staff in house. For instance, PPP used to procure new schools; there are numerous examples in UK public sector of IT Services being outsourced only to be brought back in house due to spiralling costs or the outsourcer going bust. Don't procure in isolation; consult with staff, service users, unions and stakeholders prior to testing the market. Often business cases are blinkered and all the facts are not known until after contracts are awarded.
- 4 In the spirit and ethos of this procurement consultation process, there should be recognition of the fact that if procurement contracts have a high proportion of their costs coming from the revenue budget, this will directly impact the Council's ability to employ staff and thereby support the local economy. It is, therefore, in the spirit of this consultation to adopt a procurement strategy that favours Capital expense over Revenue.
- 5 Any outsourcing/framework companies should recognise Trade Unions, protect workers rights in line with the internal corporate policies and maintain pay awards at a minimum in line with local government awards. No employees should be disadvantaged through being out-sourced. When considering any out sourcing options, the contract should include an insolvency clause or Performance Bond in case the company becomes insolvent, ceases trading or is taken over.
- 6 UNISON has already submitted a procurement agreement covering a lot of these points and more, including consultation with stakeholders. We would ask that this paper should also be considered in formulating this strategy as well as being subject to further discussion with UNISON

On reading I found no reference to the Health and Social Care Partnership or the Integration Authority and that councils will require to procure services for the Partnership as

directed by the Integration Authority (Integration Joint Board). This is an important strategic development locally that should be referenced.

How Clackmannanshire Council Carries Out Procurement

Question: The Interim Procurement Strategy has been put in place to ensure the Council procures only what it needs to deliver the best services possible within its available resources

Are there any specific issues which relate to the way in which the Council carries out procurement which you would like to see covered by the new policy?

Responses.

1 Answered previously

Strategic Themes

Question: Six priority themes have been identified in the Strategy:

Straightforward:

Professional:

Maximise local opportunities:

Strategic:

Fair:

Compliance:

What are your views on the themes identified?

Responses.

1 This can't be answered until I have read your definitions provided on the next pages.

Question: Would you propose an additional or alternative theme(s)?

Responses.

1 Local Economy
Fair Work
Protecting Service Delivery
Safe Work
Protecting Futures
No to outsourcing"

Strategic Theme 1 Straightforward Procurement
To make procurement as straightforward as possible for the Council and potential suppliers, in particular to improve access for local suppliers and SMEs and to eliminate anything that does not add value to the procurement
Action
Deliver electronic procurement systems to satisfy new legislative requirements.
Review impact of newly implemented EU Procurement Rules and UK legislation and make necessary changes to existing approaches.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response Yes:

Question: Do you have any views on the actions we have set for these themes?

Response

- 1 CTSi comment/recommendation: Any guidance produced for local/third sector suppliers and SMEs is clear concise and easy to follow, and includes a section with regard to local and national support bodies, and how they can improve access.

Strategic Theme 2 Embed professional and contract management Skills
To continue to embed professional procurement and contract management skills across the Council. This goes hand in hand with moves to increase the commercial acumen of the Council
Action
Provide strategic professional advice to the corporate review of how to transform the way the Council procures its works, services and supplies and to propose a new model for procurement and purchasing activities across the Council.
Provide support and learning and development opportunities to staff engaged in procurement processes to ensure they are able to deliver effectively and are empowered to deal with procurement issues.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response Yes:

Question: Should we include any more actions (please detail).

Response

- 1 Don't look at procurement as they only training and development action.
- 2 Training and procurement need to involve the professionals in that service, stakeholders, unions, staff at the coal face, and elected officials to ascertain what the impact of any procurement decision will have. Do not procure in isolation.
- 3 CTSi comment/recommendation: The development and delivery of training with regard to 'Understanding Social Enterprise/Third Sector Legal Structures', and the impact/opportunities re Community Benefit Clauses could be offered via CTSi. CTSi and the Council could collaborate on the production of a guide for analysing and measuring social value/impact in the assessment of bids.

Question: Do you have any views on the actions we have set for these themes?

Response

- 1 Procurement must also foster and adopt the Fair Work directive by removing contractors who use Zero Hour Contracts, who do not provide a minimum of pay in line with the living wage and who do not pay for travelling time and expenses.
- 2 Procurement should also be weighted in favour of companies which provide apprenticeships, promote health and safety and utilise environmental sustainable policies

Strategic Theme 3 Support and encourage the local supplier market
To support and encourage an effective local supplier market including the voluntary sector and the promotion of local social value in contracts.
Action
Revise guidance on Council's website about selling to the Council.
Refresh and publish online schedule of proposed procurements to promote future contract opportunities.
Continue to use Public Contract Scotland portal as our main advertising media.
Where possible, utilise the Public Contract regulations to enable Officers to place contracts with supported businesses more readily without having to resort to full tendering exercises, e.g. <ul style="list-style-type: none"> • Identify third sector suppliers that meet 'Supported Business' criteria; and • Identify opportunities to make use of reserved contracts for local supported businesses at monthly CTSI meetings.
For non regulated procurement exercises officers will include at least one local supplier to tender where possible
Support businesses local to Clackmannanshire through a range of initiatives including: <ul style="list-style-type: none"> • Making it simpler to do business with the Council; • Reduce to a minimum the bidding burden on suppliers; • Have regard to the impact on small/local firms of the way in which a procurement is structured and how they are paid; and • Provide clear information about selling to the Council on the Council's website.
Extend awareness of implications of Public Procurement Reform legislation through; <ul style="list-style-type: none"> • Workshop discussions to brief third sector on Council procurement policy and changes in legislation; and • Establish monthly communication between Council procurement manager and CTSI.
Better Align Service Level Agreements with Alliance Priorities by: <ul style="list-style-type: none"> • Mapping grant-aid and commissioned spend from the Council to the local third sector; and • Initiating a review and appropriate changes to Service Level Agreements based on Alliance policy priorities.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response No:

Question: Should we include any more actions (please detail).

1. Third sector should not be at the cost of Council Staff.
2. Procurement must also foster and adopt the Fair Work directive by removing contractors who use Zero Hour Contracts, who do not provide a minimum of pay in line with the living wage and who do not pay for travelling time and expenses.
3. Procurement should also be weighted in favour of companies which provide apprenticeships, promote health and safety and utilise environmental sustainable policies.

4. CTSi comment/recommendation: We would propose lowering the threshold to £5K with regard to tender exercises to meet the needs of smaller local Third Sector suppliers.
5. We would also recommend that the Procurement Strategy take in to account and align with the Council's Local Outcome Improvement Plan (LOIPs) and that communication of its purpose, priorities and outcomes are better communicated across departments.
6. Production of a clear and concise guide for Third Sector suppliers that includes guidance with regard to partnership/consortia bids.
7. CTSi is working towards mapping social enterprise trading activity within the county, with a view to producing a directory of social enterprise suppliers. We also feel it may be useful to run a series of 'Meet the Supplier' events to encourage greater engagement from the third sector with the procurement process, and to create greater understanding of Third sector suppliers amongst council officers

Question: Do you have any views on the actions we have set for these themes?

Response

- 1 Any outsourcing/framework companies should recognise Trade Unions, protect workers rights in line with the internal corporate polices and maintain pay awards at a minimum in line with local government awards. No employees should be disadvantage through being out-sourced.
- 2 When considering any out sourcing options, the contract should include an insolvency clause or Performance Bond in case the company becomes insolvent, ceases trading or is taken over.

Strategic Theme 4 Sound procurement practices and innovative solutions
To use sound procurement practices and innovative solutions to promote sustainability and value for money, making use of clear and detailed procurement/purchasing data, collaboration and partnership opportunities where this accords with the Council's Principles of partnership working.
Action
Review scope for and deliver further corporate contracts to consolidate spend.
Revise template documents and guidance with intention of promoting scope for innovation by the market in appropriate procurements.
Utilise the Scottish Government's sustainable prioritisation tool to identify and prioritise procurement activity.
Utilise the Flexible Framework Self-Assessment Tool(FFSAT) to provide a Sustainable Action Plan to establish the performance level of sustainable procurement across the council.
Create and manage a sustainable register to capture, monitor and report on the sustainable outcomes achieved via procurement activity, and link to related internal and external reporting requirements.
Establish systems to record the impact of procurement policies and practices on the council's climate change duties.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response Yes:

Question: Should we include any more actions (please detail).

Response

- 1 CTSi comment/recommendation: We believe that innovative solutions can be found through greater collaborative approaches between the Council and the local Third sector. Social Enterprises have long been a source of social and economic innovation, and opportunities exist to harness this locally, for example, the development of community benefit clause subcontracting to third sector organisations or consortia, and/or the development of a subcontractor community benefit directory.

Question: Do you have any views on the actions we have set for these themes?

Response No

Strategic Theme 5 Fair procurement
To ensure that, contractors comply with our Living Wage and Blacklisting Policies and to ensure that we take account of the possible impact that our approach to major projects might have on different groups of people.
Action
Establish simple methodology for assessing best value case for using the Living Wage requirement in service and works contracts,
Embed Blacklisting protocols in procurement processes for construction contracts.
Ensure that where appropriate EQIA's are completed for regulated procurements.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response Yes:

Question: Should we include any more actions (please detail).

Response

- 1 Procurement must also foster and adopt the Fair Work directive by removing contractors who use Zero Hour Contracts, who do not provide a minimum of pay in line with the living wage and who do not pay for travelling time and expenses.
- 2 Procurement should also be weighted in favour of companies which provide apprenticeships, promote health and safety and utilise environmental sustainable policies.

Question: Do you have any views on the actions we have set for these themes?

Response No

Strategic Theme 6 Compliance
Procurement will continue to identify, manage and control risk by developing policy and procedures which consider risk, and balance operational effectiveness and compliance.
Action
Update Council Contract Standing Orders to support compliance with the new procurement rules and cascade changes to informed clients and key stakeholders.
Adapt internal procedures, processes and documentation to reflect the required legislative changes.
Produce a procurement workforce plan to consider what skills and development requirements will be necessary within the Council to comply with the new procurement rules.
Implement measures in conjunction with Internal Audit to ensure that the opportunity for procurement fraud is minimised
Produce an annual procurement report in line with legislative requirements as soon as possible after the financial year end.

Question: Are these the right Actions for this theme? (Please tick Yes or No below.)

Response Yes:

Question: Should we include any more actions (please detail).

Response No

Question: Do you have any views on the actions we have set for these themes?

Response No

Comments

Question: Are there any other comments you would like to make about the interim Strategy?

Response None

Report to Partnership and Performance Committee

Date of Meeting: 31 January 2019

Subject: HR Services Policies

Report by: Strategic Director, Partnership and Performance

1.0 Purpose

- 1.1 This paper seeks Committee approval of the undernoted policies and procedures.
- 1.2 All the policies and procedures have been developed by a management and trade union policy group.
- 1.3 It is intended that these policies and associated procedures shall apply to all Council staff.

2 Recommendations

- 2.1 The Partnership & Performance Committee is invited to approve the attached policies and procedures as appended.
 - 2.1.1 Cons Fixed Term Employee
 - 2.1.2 Fixed Term Worker procedure
 - 2.1.3 Job Evaluation
 - 2.1.4 Taking on Volunteers
 - 2.1.5 Professional Registration
 - 2.1.6 Professional Registration procedure
 - 2.1.7 Under/Over Payments
 - 2.1.8 Under/Over Payments procedure

3 Considerations

- 3.1 HR Services continues, as part of its rolling programme, to review and update the Council's policies and procedures related to HR, H&S, OD and Payroll.
- 3.2 In order to ensure collaborative and partnership working the policy group which comprises representatives from management and Trade Unions meet regularly to review and agree proposed policies and procedures.

- 3.3 Once consultation has concluded at Policy Group policies are thereafter tabled at Tripartite prior to final formal approval been sought from Committee.
- 3.4. The policy on Temporary and Fixed Term Employees was developed to provide clearer and more comprehensive guidance to managers and employees on managing staff on these contracts where there is a genuine need to recruit on this basis.
- 3.5. The policy on Job Evaluation was developed to clearly outline what Job Evaluation is and how the process of Job Evaluation works to ensure managers and employees understand Job Evaluation and the process that is followed when jobs are evaluated or re-evaluated.
- 3.6. The policy on Taking on Volunteers has been developed to clarify and simplify the approach to involving volunteers in the work of the Council and to clearly set out the procedures and guidance required in achieving best practice.
- 3.7. Professional Registration policy and procedure outlines Clackmannanshire Council's approach to ensuring that, where necessary, employees achieve and maintain the appropriate professional registration either in line with statutory requirements, or outlined as a requirement of the job role. This is to ensure the safety of our citizens, colleagues and customers through professional registration of relevant employees within Clackmannanshire Council.
- 3.8 Under and Over Payments policy and procedure was developed as an action arising from internal audit review and applies to all current and former employees/workers and outlines the procedure on how recovery of overpayments or payment of underpayments will be made.

4. Sustainability Implications

- 4.1 There are no sustainability implications arising from this report.

5 Resource Implications

5.1 Financial Details

- 5.2 There are no financial implications arising from the recommendations set out in the report.

5.3 Staffing

- 5.4 There are no implications of additional staff resource arising from the recommendations set out in this report.

6 Exempt Reports

- 6.1 Is this report exempt? Yes (please detail the reasons for exemption below) No

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential
- Our communities will be resilient and empowered so that they can thrive and flourish

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

- 8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?
Yes No

9.0 Legality

- 9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

- 10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix 1 - Fixed Term and Temporary Employees Policy

Appendix 2 - Fixed Term and Temporary Employees Procedure

Appendix 3 – Job Evaluation Procedure

Appendix 4 – Volunteering Policy

Appendix 5 - Professional Registration Policy

Appendix 6 – Professional Registration Procedure

Appendix 7 - Over Under Payment Policy

Appendix 8 – Over Under Payment Procedure

11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Diana Kerr	HR Business Partner	2180

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director Partnership & Performance	
Nikki Bridle	Chief Executive	

Appendix 1



**Clackmannanshire
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Comhairle Siorrachd
Chlach Mhanann

FIXED TERM & TEMPORARY EMPLOYEES POLICY

Date:

Version: Final Version

DOCUMENT CONTROL SHEET:

Key Information:

Title:	Fixed Term & Temporary Employees policy
Date Issued:	
Date Effective From:	
Version Number:	0.1
Document Type:	Policy
Document Status:	Final Version
Author:	Claire McHardy
Owner:	Stephen Coulter
Approver:	Council
Approved by and Date:	
Contact:	
File Location:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
0.1	09.07.18	Draft	C McHardy	

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:
Policy Group		July 2018	0.1

1. Introduction

1.1 The policy sets out Clackmannanshire Council's approach to fixed term and temporary employees, aiming to ensure the Council meets its commitment to the fair, equal and consistent treatment under the Fixed Term Employees (Prevention of Less Favourable Treatment Regulations 2002).

2. Policy Statement

2.2 Fixed term and temporary workers are recruited to meet the specific needs of the organisation and are required to support and maintain effective service provision.

3. Scope and Responsibilities

3.1 This policy applies to the engagement and use of all fixed term and temporary employees within the Council.

3.2 There is a Code of Practice detailed on the SNCT website for teachers and associated professionals, (part 2 appendix 2.8) on the use of fixed term and temporary contracts.

4. Processing of Personal Data

4.1 The Council processes personal data collected as part of this procedure in accordance with its data protection policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to, individuals only for the purposes necessary to action and manage this procedure.

4.2 The processing of personal data will be in line with the Council's privacy statement.

5. Monitoring and Review

5.1 HR will monitor the effectiveness of the policy on an ongoing basis.

5.2 Revisions and updates will be implemented by the Council following, if appropriate, consultation with recognised Trade Unions.

6. Equality Impact Assessment

Policy Name	Fixed Term and Temporary Employees Policy
Department	HR
Policy Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* In no please provide rationale Policy applies equally to all Council employees and does not negatively impact on any group which falls within any of the 9 protected characteristics	
Date Full EQIA complete	N/A
Date Approved	
Review Date	

Appendix 2



**Clackmannanshire
Council**

FIXED TERM & TEMPORARY EMPLOYEES PROCEDURE

Date:

Version: Final

DOCUMENT CONTROL SHEET:

Key Information:

Title:	Fixed Term & Temporary Employees Procedure
Date Issued:	
Date Effective From:	
Version Number:	0.1
Document Type:	Procedure
Document Status:	Final
Author:	Claire McHardy
Owner:	Stephen Coulter
Approver:	Council
Approved by and Date:	
Contact:	
File Location:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
0.1	09.07.18	Draft	C McHardy	

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:
Policy Group			July 2018	0.1

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

1. Purpose

1.1 Fixed term and temporary workers are recruited to meet the specific needs of the organisation and are required to support and maintain effective service provision.

1.2 The Council recognises the need to use fixed term and temporary workers to provide an element of flexibility within the workforce to enable the smooth delivery of services.

1.3 Fixed term or temporary contracts should only be used for approved vacancies, these contracts should not be used to cover for a post that is awaiting approval / funding.

2. Introduction

2.1 This procedure provides guidance for managers and employees on the use of fixed term and temporary contracts and where there is a genuine need to recruit on this basis.

2.2 The Fixed Term Employees (Prevention of Less Favourable Treatment Regulations 2002) afford fixed term and temporary employees important employment rights, namely not to be treated less favourably than a comparable employee on a permanent contract in respect of pay, contractual terms / conditions, the opportunity to receive training and not subjected to any other detriment on grounds of contractual status.

2.3 These Regulations limit the use of successive fixed term contracts to no more than 4 years, after which a fixed term or temporary contract should become permanent, unless the continued use of a fixed term contract can be justified on objective grounds.

2.4 Fixed term employees have the right to be informed and understand how to access information regarding permanent employment opportunities within the Council.

2.5 The Council reserves the right when applying equal treatment to objectively justify different terms and conditions for employees on fixed term or temporary contracts, in discussion with the relevant HR Business Partner.

2.6 Line managers are responsible for the recruitment of fixed term and temporary workers providing prior approval has been given in line with the relevant policies and procedures.

3. Scope

3.1 This policy applies to the engagement and use of all fixed term and temporary employees within the Council.

3.2 There is a Code of Practice detailed on the SNCT website for teachers and associated professionals, (part 2 appendix 2.8) on the use of fixed term and temporary contracts.

4. Principles and Definitions

4.1 This policy provides guidance for management on the appropriate use of fixed term and temporary employees.

4.2 Fixed term

A fixed term contract is one which ends on a specific date (with a termination date stated in the contract) or on the occurrence of a specific event (such as employee returning from maternity / sick leave) or on the completion of a task (such as a specific project or period of research). This type of contract will be issued to an individual when the end date or length of the contract is known.

The contract of employment must clearly state the reason why a fixed term contract is required.

The employee should not expect their employment to last beyond the duration of the initial contract. Should the contract end early (before the end date stipulated) then a dismissal will occur and the relevant notice period will apply. Fixed term contracts will include the relevant notice periods.

4.3 Temporary

A temporary contract is one where there is no expectation of permanence and when the end date or length of the contract is unknown. However the contract will indicate the anticipated end date of the contract. The contract of employment will also state the reason why a temporary contract is required. Should the contract be ended early (before the anticipated end date stipulated) then a dismissal will occur and the relevant notice period will apply. Temporary contracts will include the relevant notice periods.

5. Benefits

5.1 All other terms and benefits will apply as for permanent employees particularly in relation to maternity leave and sick pay.

5.2 Fixed term / temporary employees should receive such proportion of pay or benefits that permanent employees are entitled to, as is reasonable in the circumstances, having regard to the length of the contract and the terms on which the pay or benefit is offered.

5.3 Fixed term employees must be offered access to occupational pension schemes on the same basis as permanent staff.

5.4 It is important to ensure fixed term / temporary employees have the opportunity to apply for vacancies in the same way as other staff as well as providing appropriate opportunities to enhance skills and career development.

6. Managers' responsibilities

- To be aware of their responsibilities as determined by the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002.
- To ensure there is a justifiable and demonstrable reason for appointing to a post on a fixed term or temporary basis and this is fully contained within the recruitment approval request and in any subsequent correspondence relating to the post / contract.
- To ensure that all fixed term or temporary employees understand the nature of their contracts and are routinely advised of the likelihood of extension / renewal / conclusion of the contract and the reasons for this within the timescales outlined in this procedure.
- To liaise with employees, Trade Union representatives and the relevant HR Business Partner as appropriate regarding formal procedures and meeting arrangements.
- To ensure the correct process is followed when ending a fixed term or temporary contract with advice from the relevant HR Business Partner.
- On an ongoing basis monitor and review the use of temporary / fixed term contracts in their areas.
- To ensure fixed term employees have access to and are notified of any available (not just suitable) vacancies at work.

7. Employees' responsibilities

- To ensure a clear understanding of the fixed term or temporary nature of their employment and reasons for this.
- Have no expectations that their employment will be extended unless they receive formal written notification.

- Ensure any issues relating to their fixed term or temporary employment are raised with their manager at the earliest opportunity.
- To attend meetings as necessary in relation to their fixed term or temporary contract, noting their right to be accompanied by a work colleague or trade union representative.
- An understanding and awareness of how to access vacancies.

8. Extension of a fixed term or temporary contract / transfer to permanent contracts

8.1 Fixed term / temporary contracts may be extended or renewed for a variety of reasons, for example:

- The task / project is not yet completed
- Extension of time-limited external funding
- Other work has arisen for which the employee would be suitable (renewal)

8.2 Where fixed term or temporary contracts are extended, all continuous fixed term or temporary periods of employment will count towards an employee's continuity of service.

8.3 Where an employee has been continuously employed on a series of fixed term contracts totalling 4 years they will automatically become a permanent employee, unless the Council can show there is a genuine business reason not to do so.

8.4 A fixed term contract is normally automatically converted by law into a contract of indefinite duration (a permanent contract) once the employee has completed 4 years continuous employment under it or renewals of it. This includes individuals who have worked continuously across various service

areas within the council and includes for example renewal of contracts in relation to external funding.

8.5 Where an extension to the fixed term / temporary contract is agreed in line with the Council's approval process, the line manager must ensure they complete and return an employee change form to Human Resources, following the normal process, to ensure the change is processed accordingly.

8.6 HR will write to the fixed term employee, providing details of the new termination date as well as asking the individual to complete and sign the confirmation of change form.

8.7 If an offer to extend or renew a fixed term contract is made and accepted before notice of termination has been given, this is a mutual variation of the employee's contract and there is no dismissal. The only term that has been varied is the termination date (unless agreement is also reached to change some other contractual terms).

8.8 It is difficult to objectively justify the use of fixed term contracts over and above a 4 year period. However it may be justified where an employee has been employed on fixed term contracts for 4 years in order to complete a particular project and a brief extension past the 4 year period is required in order to complete the project. Advice in this situation should be sought from the relevant HR Business Partner.

8.9 The date that the fixed term contract will become permanent is the latest of the two following dates:

- The date on which that contract was entered into or last renewed
- The date on which the employee acquired 4 years continuous employment

8.10 Where the fixed term / temporary contract becomes permanent, the line manager must ensure they complete and return an employee change form to Human Resources. The employee will be provided with written confirmation from HR that they are now a permanent employee.

8.11 All decisions relating to the continuation of a fixed term contract or the transfer to a permanent contract should be made in consultation with the relevant HR Business Partner in line with the current approval process.

8.12 If an employee continues working beyond the end of a contract without it being formally renewed, there can be an implied agreement that the end date has changed and managers are advised to contact the relevant HR Business Partner to discuss.

9. Non-renewal / Termination of fixed term contracts

9.1 Within the law, a fixed term contract will terminate on a specified date or on the occurrence of a specified event such as:

- The requirement for the specialist knowledge/expertise ceases to exist
- End of a need for staff absence cover
- End of a secondment / career development opportunity
- Changing or the end of staff resource requirements to meet business requirements
- No foreseeable prospect of securing further funding

9.2 The termination of a fixed term or temporary contract is regarded as a dismissal. The reason for dismissal will be one of the fair reasons for dismissal in line with employment law.

9.3 Where a fixed term or temporary contract is brought to an end earlier than the original end date stated, the employee will be eligible to the appropriate notice, in line with the contract of employment.

9.4 If an employee has over 2 year's service they will have a claim for unfair dismissal if the Council fails to renew the contract without a fair reason or does not follow a fair procedure when terminating the fixed term / temporary contract.

10. Termination of fixed term / temporary contracts process

10.1 At least 8 weeks prior to the expiry of the fixed term / temporary contract, or at the earliest opportunity, the line manager should write to the employee inviting them to a meeting to discuss the non-renewal of the fixed term or temporary contract and the reasons for this and as such will result in the termination of employment. Managers must contact the relevant HR Business Partner to discuss further.

10.2 The employee should be given a minimum of 5 working days notice of this meeting and given the opportunity to be accompanied by a trade union representative or work colleague.

10.3 The meeting should be held prior to the commencement of the required notice period to ensure the appropriate notice is issued taking into account the employee's continuous service. The relevant HR Business Partner can attend the meeting if required.

10.4 If the fixed term / temporary contract has gone beyond 2 years, during the period of notice the employee will be offered the opportunity to join the redeployment register. If any suitable vacancies arise the fixed term / temporary employee will be required to apply for the post. At this stage the manager must adhere to the redeployment procedure and associated templates.

10.5 Appendix one details what must be discussed at the meeting.

10.6 Following the meeting the line manager should confirm the above in writing including the date of expiry of contract / setting out any other decisions reached. A template letter (appendix 2) is available on Connect. The letter must also outline the employee's right of appeal.

10.7 An employee who wishes to appeal against a decision not to renew their fixed term / temporary contract must do so in writing within 10 days of receiving written confirmation of the decision the letter must specify the grounds of the appeal.

10.8 A meeting will be arranged with the relevant Council Officer and the process should, wherever possible, be concluded prior to the expiry date of the contract. Any delays must be communicated to the employee.

10.9 The line manager must complete and submit the leaver form to Human Resources if the contract is not renewed, as well as following the council's leaver process.

11. Processing of Personal Data

11.1 The Council processes personal data collected as part of this procedure in accordance with its data protection policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to, individuals only for the purposes necessary to action and manage this procedure.

11.2 The processing of personal data will be in line with the Council's privacy statement.

12. Implementation and Review

12.1 This policy is effective from (date)

12.2 Both HR and Trade Union representatives shall monitor the effectiveness of the procedures on an on-going basis. Changes may result from employee, management and union feedback and/or from changes in employment legislation.

12.3 Revisions and updates will be implemented by the Council following consultation with recognised Trade Unions.

Policy Name	Procedure
Department	HR
Policy Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* In no please provide rationale	
Date Full EQIA complete	N/A
Date Approved	
Review Date	

Appendix 3

DOCUMENT CONTROL SHEET:

Key Information:

Title:	Job Evaluation Procedure
Date Issued:	
Date Effective From:	
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Author:	Dawn Goodwin and Kevin McIntyre
Owner:	Stephen Coulter
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Version:	Date:	Summary of Changes	Name:	Changes Marked:
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<u>0.3</u>	<u>04.09.18</u>	<u>Policy Group comments</u>	<u>D Goodwin</u>	

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

Content:

<u>1.0</u> <u>Introduction</u>	3
<u>2.0</u> <u>Requests for Re-Evaluation of Existing Posts</u>	3
<u>3.0</u> <u>The Process for Re-Evaluating Existing Posts</u>	4
<u>4.0</u> <u>The Process for Evaluating New Posts</u>	5
<u>5.0</u> <u>Job Evaluation Appeals - Grounds for Appeal</u>	6
<u>6.0</u> <u>Job Evaluation Appeals - Appeal Process</u>	7
7.0 <u>Processing Personal Data</u>	7
8.0 <u>Monitoring and Review</u>	8
 <i>Appendix A</i>	 9
 <i>Appendix B</i>	 10
 <i>Appendix C</i>	 11
 <i>Appendix D</i>	 12
 <i>Appendix E</i>	 15

1 INTRODUCTION

1.1 Job Evaluation (JE) is a method of comparing different posts to provide a basis for a grading and pay structure. Its aim is to provide a systematic and consistent approach to defining the relative worth of posts within the workplace.

Job evaluation does not determine actual pay, the post is evaluated, not the post holder. It provides an objective means of assessing the demands of a post and is a mechanism for establishing agreed differentials within organisations.

1.2 Situations where the scheme would apply include:

- Individual or group grading review of existing posts;
- Restructuring of Council Services;
- Grading of a new post.

1.3 This procedure sets out the Council's approach to ensuring consistency in the evaluation of new posts and in the re-evaluation of existing posts.

1.4 Job Evaluation and its implementation is a complex process. Managers and employees should seek guidance from HR Services before agreeing/confirming any changes to roles or grades with employees.

The Job Evaluation Scheme used by the Council is called the Scottish Joint Councils Job Evaluation Scheme. It is used by the Council's analysts to evaluate each Single Status post under 13 factors including Working Environment, Mental Skills and Knowledge. Each of these factors has a number of levels which incur points. These add up to a final score which is then considered along with the pay model. The grade is allocated according to the cumulative points for each evaluation.

This procedure does not refer to promoted teaching posts which are evaluated/sized separately.

2 Requests for Re-Evaluation of Existing Posts

2.1 Requests for re-evaluation of current posts can be requested by either post holders or line managers.

2.2 To be considered for re-evaluation the following criteria must be met:

- At least 12 months have passed since the last evaluation/review of the post.
- The change(s) are a necessary part of the post remit and will be permanent change(s). Where any change is proposed, the Manager must give consideration as to whether this merits a grade review.

- The change arises directly from a change in service requirements and is not determined by the ability of the post holder(s). (e.g., the post now requires post holders to process purchase orders and invoices.)
- The change is likely to impact on the level(s) of at least one of the factors. One example of a factor change is where a post holder will be required to manage a budget where they haven't previously done so.
- Clear evidence of the changes can be provided in support of the application for re-evaluation, including any impact of new duties on existing duties (i.e. what is no longer being done or done to a lesser degree/frequency.)

- 2.3 Managers must make a decision on all requests for post re-evaluations within one month of receiving them to ensure that the date of any change in grade is reasonable and to prevent any unreasonable delay in payment of new salary, if a change in grade is agreed.
- 2.4 It should be noted that the Council's Grievance Procedure cannot be used to resolve issues relating to grading. **The appeal process in this Procedure should be used instead.**

3 The Process for Re-Evaluating Existing Posts

- 3.1 The process for re-evaluating an existing post is outlined below and summarised in Appendix A.
- 3.2 Where it has been agreed that the post has or will change a revised job profile must be prepared. When revising a current profile, the original and revised job profiles should be provided with the differences clearly highlighted. An up to date structure chart showing the post and any subordinate posts reporting into it should also be provided.
- 3.3 The line manager should complete the Grade Review Request form, highlighting and evidencing where it is thought JE factors may have changed. The line manager is required to verify the accuracy of the information provided in order for this request to be progressed.
- 3.4 Once the post holder and line manager agree that the change meets all of the above criteria and Section A of the Grade Review Request form has been completed, approval should be sought from the appropriate senior Council Officer, currently Service Manager, who will be asked to agree to the review of the post by signing Part B of the Grade Review Request form.
- 3.5 If the post holder and line manager don't agree that the post should be reviewed the employee(s) will be informed that the request should be referred to the Service Manager who will make the decision as to whether this should be progressed or not. These decisions will be assisted by discussing the post with a job analyst.

- 3.6 Where the Service Manager determines the request should not be progressed the employee(s) will be informed, given reasons and informed of the right to appeal.
- 3.7 On receipt of an authorised request the Job Analyst will re-evaluate the post. They may come back to the post holder or line manager for further information. The manager will be asked to verify the accuracy of any factor description changes made prior to finalisation of the Job Overview document. If the JE factor scores of the re-evaluated post result in a new grade, then the evaluation documentation and the Grade Review Request form will be sent to the appropriate signatory for approval, currently Head of Service. All post grades currently also require to be authorised by the Chief Executive, as per the Scheme of Delegation before any change is implemented. Finally, when everything is agreed the Manager will be required to fill out a Change Form detailing the name of each post holder allocated to the post.
- 3.8 Where the line manager, appropriate officer or appropriate Chief Officer(s) do not agree that changes have occurred within a post and/or that the change does not merit a review of the post, the post holder has the right to appeal the decision. The line manager should therefore write to the employee by letter or email informing them of the decision, the reasons for it and inform the employee of their right to appeal the decision.
- 3.9 Managers should ensure that where a grading review is refused that employees are not asked to perform duties over and above their current Job Overview levels.
- 3.10 The effective date of any change in grade will be the date the Job Grading request was lodged, by the post holder(s) with the Manager as per Part A of the Grading Review request form
- 3.11 Where a requested review involves more than one staff member, the staff members affected should nominate one person to act as the spokesperson for the group.
- 3.12 The timescales for re-evaluating an existing post will vary due to the complexity of the proposed or agreed changes and the availability of staff to deal with them. They may also be delayed due to the appeals process for this procedure. Normally initial results will be provided within 6 weeks.

4 The Process for Evaluating New Posts

- 4.1 The process for evaluating a new post is outlined below and summarised in Appendix B.

- 4.2 The line manager should complete a Grade Review Request form as fully as possible, giving clear business reasons for the new post. The Manager should also prepare a new job profile detailing the main tasks, responsibilities and accountabilities for the post and an up to date structure chart showing where the new post fits within the Service. Where guidance is required on preparing these documents the manager should contact their Human Resources Business Partner for advice. Templates are also available in the Recruitment Procedure on CONNECT. The Line Manager should highlight where a new post is replacing one currently on the establishment.
- 4.3 Once all documentation is complete, Section B of the Grading Review Request form should be signed off by the appropriate officer, currently Service Manager, for approval to proceed, and finally all documents should be forwarded to Human Resources for evaluation.
- 4.4 The Job Analysts will assess the information provided and determine whether or not additional information is required. Where necessary this will be sought. The team will analyse the post using the Scottish Councils' Job Evaluation Scheme and the initial result will be forwarded to the manager for consideration in the form of a Job Overview document.
- 4.5 Once the content of the Job Overview document is agreed between the Analyst and the Manager, the Manager will be informed of the grade. The Analyst will organise confirmation of the grade from the appropriate signatories prior to it being finalised and approved. All post grades require to be authorised by the Chief Executive, as per the Scheme of Delegation. The appropriate Manager will ensure that there is sufficient finance to proceed.
- 4.6 Where new posts are created as part of a restructuring exercise, the Service Manager should ensure that all consultation procedures are followed, including consulting with Trade Unions, prior to these posts being implemented in their Service. Human Resources Business Partners will be available to offer guidance on these procedures where Managers are unclear.

5 Job Evaluation Appeals - Grounds for appeal

- 5.1 Post holders considering an appeal should initially discuss the matter with their Line Manager. Managers should be aware that a post holder does not require the support of management to submit an appeal. All appeals should be made in writing to the Human Resources Service Manager.
- 5.2 Appeals on the grounds of comparability with other posts (either within or out with the Council), or appeals seeking to restore previous JE Factor scores or salary levels are inadmissible.
- 5.3 Employees should be aware that a review may alter JE factor scores in either direction as the review process takes all factors into account. It should also be noted that a change of a JE factor score may not have an impact on the grade for the post. This needs a better explanation.
- 5.4 A post holder may appeal where they can demonstrate the following:

- 1) Failure to apply the agreed local job evaluation procedure
- 2) Factual inaccuracy in either the inputs or outputs of the evaluation process. This would include, for example an error or omission in the information entered into or generated by the Cosla Gauge Evaluator software.
- 3) Misapplication of the factor definitions, levels and guidance of the Scottish Joint Councils Job Evaluation Scheme as applied by Clackmannanshire Council.
- 4) The duties or responsibilities required for the post have not been taken into account in the evaluation of the post or the evaluation no longer reflects the post being undertaken.

6 Job Evaluation Appeals - Appeal Process

- 6.1 The process for a Job Evaluation Appeal is outlined below and summarised in Appendix C.
- 6.2 A Job Evaluation Appeal Panel will be established as and when required. The panel will be comprised of a Chair who is not from the employee's Service, a Trade Union representative and a Management representative. The panel will be advised throughout the process by a Job Analyst who will provide technical information on the JE scheme.
- 6.3 Employees should fill out the JE Appeal Form (see appendix D) and include any relevant documentation as evidence for their appeal.
- 6.4 The employee has the right to be accompanied by a Trade Union representative or work colleague of their choice.
- 6.5 If the JE Appeal Panel upholds the appeal they will refer the case to the Job Analysts, making reference to the relevant documentation. The Analyst will consider all aspects of the post in light of the evidence and advise the panel of the outcome of their review, having made changes to the evaluation where appropriate. Any changes to post grades as a consequence of an appeal will then need to be approved by appropriate Chief Officer. This is in line with Council Scheme of Delegation.
- 6.6 The appeal may also be upheld in part where a case for some but not all the factors appealed has been made.
- 6.7 The JE Appeal Panel should reach its conclusion within one month of the Human Resources Service Manager receiving appeal documentation.
- 6.8 The decision of the Appeals Panel is final and there are no further rights of appeal within the Council.

7 Processing Personal Data

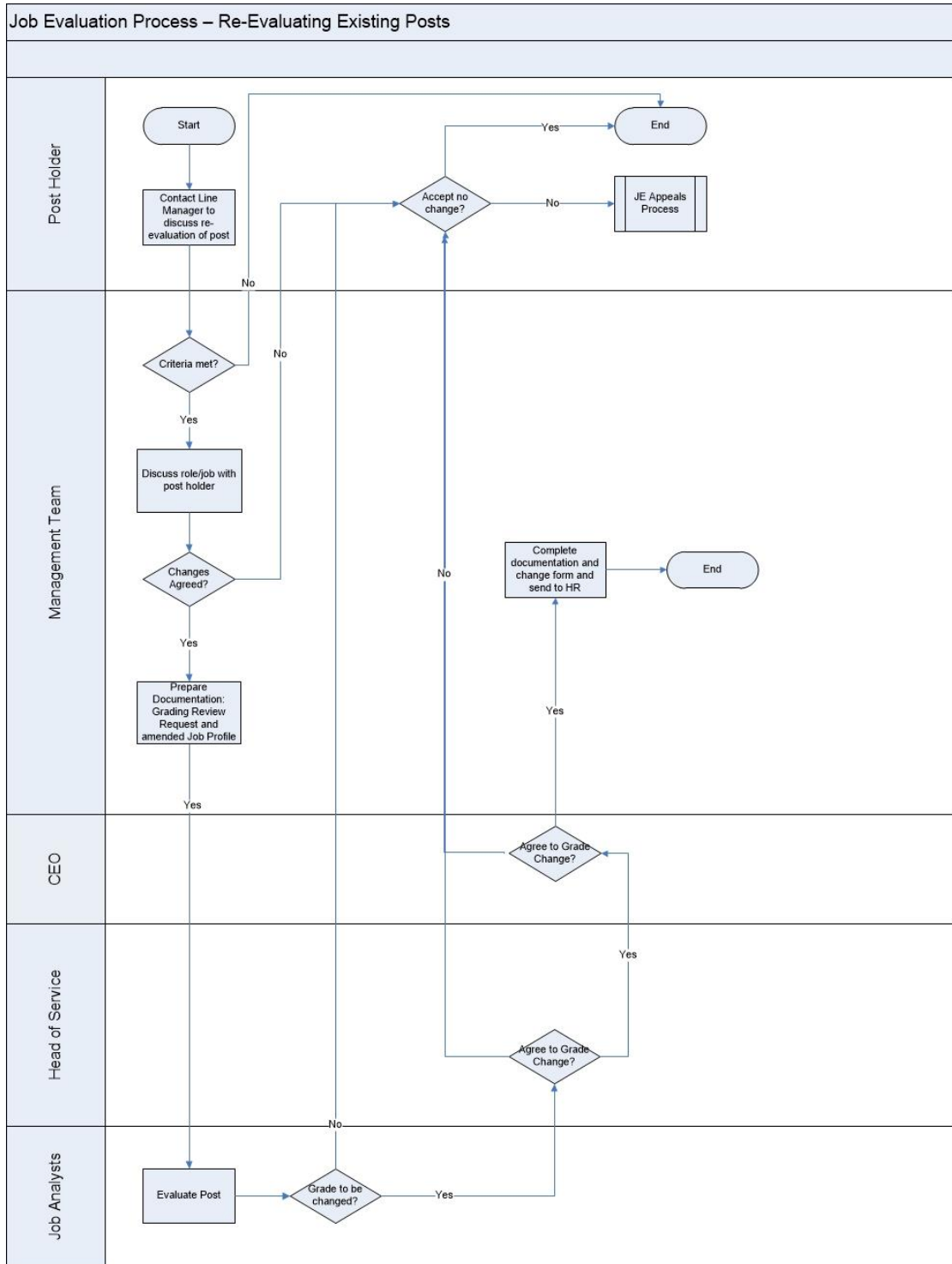
- 7.1 The Council processes personal data collected as part of the Job Evaluation Procedure in accordance with its data protection policy. In particular, data

collected as part of this process is held securely and accessed by, and disclosed to individuals only for the purposes necessary to action and manage this procedure.

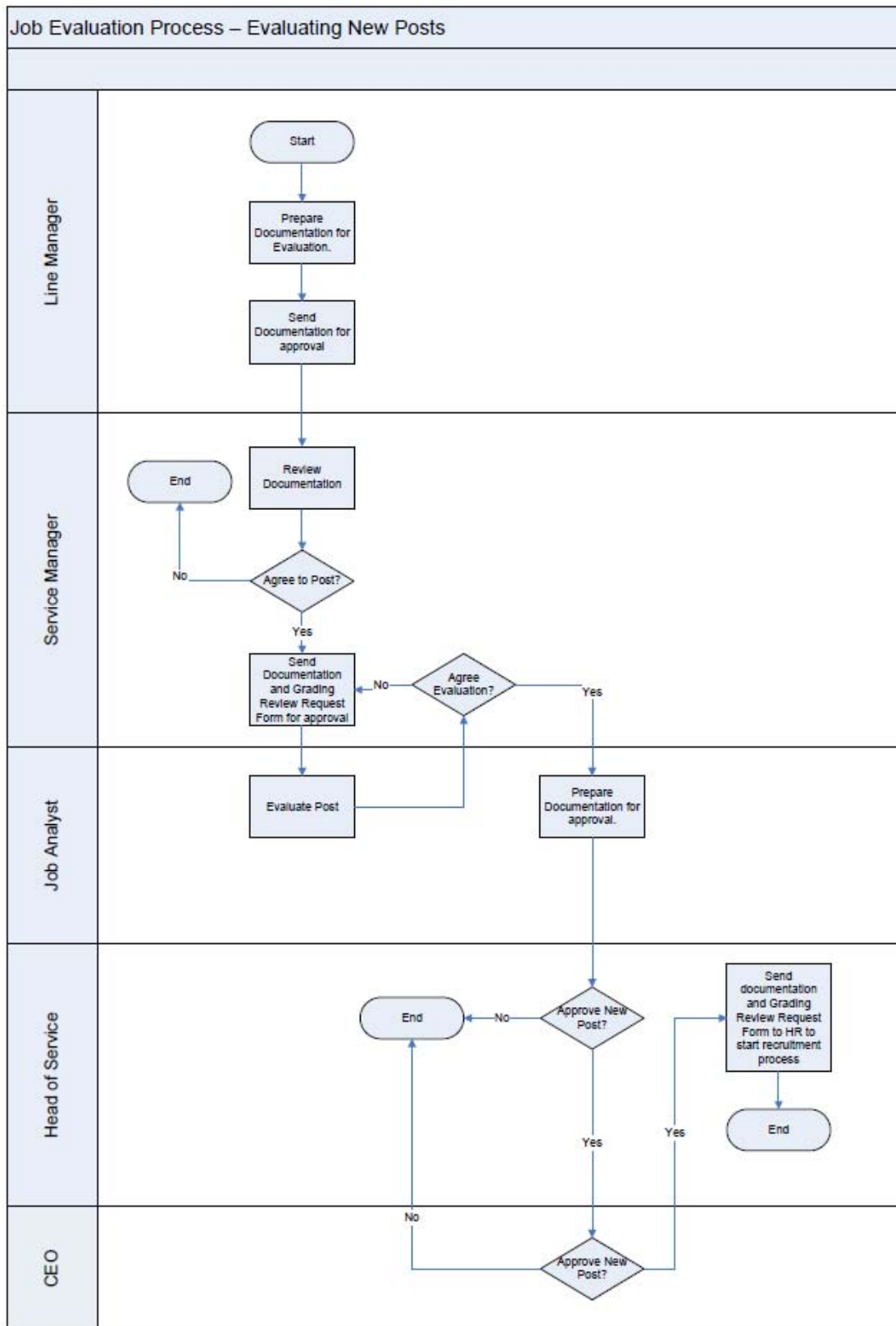
8 Monitoring and Review

- 8.1 HR shall monitor the effectiveness of these procedures on an ongoing basis. Amendments will be made as and when deemed necessary and, where appropriate, after consultation with recognised trade unions.

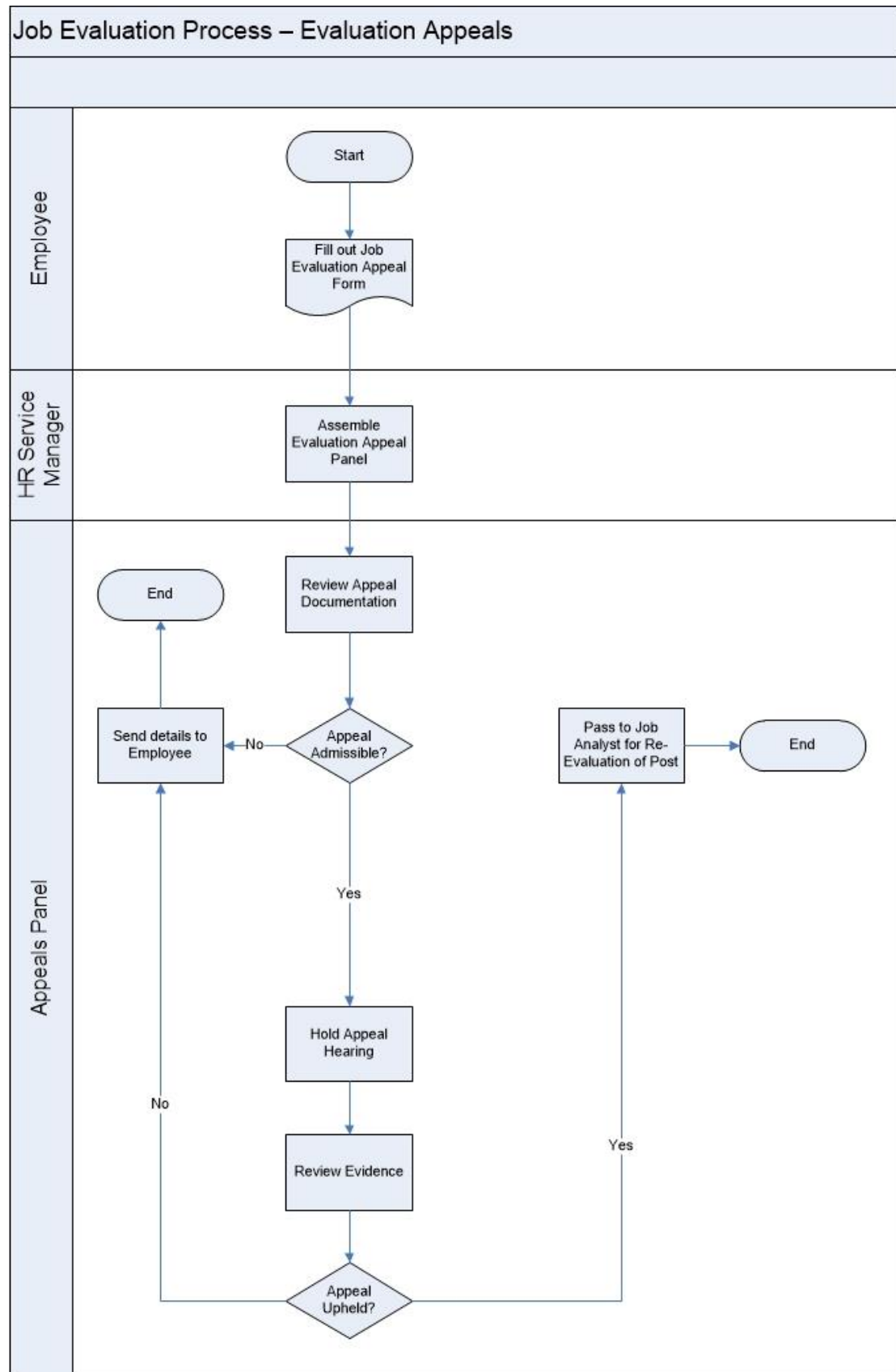
Appendix A



Appendix B



Appendix C



Appendix D

Job Evaluation Appeal Form.

Please fill out this form and e mail it to:

Human Resources Service Manager
Kilncraigs
Greenside Street
ALLOA
FK10 1EB

Section 1 - Employee Details

Name	
Post Title	
Service	
Grade	
Name of Line Manager	

Trade Union Details (if appropriate)

Name of Trade Union	
Name of Trade Union Representative (if Known)	

Employee Signature:		Date:	
---------------------	--	-------	--

Section 2 - Reason for Grade Review Appeal

Please delete as appropriate:

Failure to apply the agreed local job evaluation procedure

Factual inaccuracy in either the inputs or outputs of the evaluation process. This would include, for example an error or omission in the information entered into or generated by the Cosla Gauge Evaluator software.

Misapplication of the factor definitions, levels and guidance of the Scottish Joint Councils Job Evaluation Scheme as applied by Clackmannanshire Council.

The duties or responsibilities required for the post have not been taken into account in the evaluation of the post or the evaluation no longer reflects the post being undertaken.

Section 2 - Reason for Grade Review Appeal - Continued

Please write in the box below the reason for the Grade Review Appeal. If you wish to submit further information or evidence please feel free to do so.

Element of Work		Details
1	Change to Working Environment	
2	Change to Physical Co-ordination	
3	Change to Physical Effort	
4	Change to Mental Skills	
5	Change to Concentration	
6	Change to Communication Skills	
7	Change to Dealing with Relationships	
8	Change to Responsibility for Employees	
9	Change to Responsibility for Services to Others	
10	Change to Responsibility for Financial Resources	
11	Change to Responsibility for Physical and Info Resources	
12	Change to Initiative and Independence	
13	Change to Knowledge	



HUMAN RESOURCES GRADING REVIEW REQUEST FORM (revised April 2018)

HR Ref	JG/	Job No:
--------	-----	---------

PART A (To be completed by Post holder, if regrading request)			
Service: Place/Partnership & Performance/People/HSCI			
Job Title:		Current job profile Revised job profile	YES/NO YES/NO
Changes to job tasks / level	Please attach this separately		
Location:		Current Grade:	
Date:			
Signature Please note – if there is more than 1 postholder in this job this form should be signed by the spokesperson			
PART B (To be completed by Service)			
Service: Resources & Governance/ Housing & Community Safety/Social Services/Education/Development & Environment/Strategy & Customer Services/HSCI			
Job Title:		New Job - Profile via e-mail: Current job profile via email with track changes:	YES/NO YES/NO
If Current Job Key significant/ substantial changes to job tasks / level			
Location:		Current Grade: (if applicable)	
Suggested Internal Comparator(s)/Posts:			
Any other Information: . Please also attach Service/Section structure chart:			
I agree this meets with the terms of the Grading Scheme Signature of Service Manager:			Date:
PART C (To be completed by Human Resources)			
Date Documents received:		Job Profile (new) / Current Job Profile (email with track changes)	
HR Job Analyst Check/Verified:	YES/NO	Date / Signature:	
Date Registered:		Date of Grading:	
Comments:			
Grade Recommended:		HR Service Manager:	
PART D (To be authorised by Head of Service and returned to Human Resources) if grade has changed			
I agree with the recommendations: Signature:			Date:
If NO, Please state reasons:			
PART E (To be authorised by Chief Executive and returned to Human Resources)			
Approved:	YES/NO		
Signature:	Date:		



**Clackmannanshire
Council**

www.clacks.gov.uk

Comhairle Siorrachd
Chlach Mhanann

VOLUNTEERING POLICY

Date: August 2018

Version: 4

Review Date: August 2020

Appendix 4

DOCUMENT CONTROL SHEET:

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Document Status:	Draft
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Owner:	Stephen Coulter
Approver:	Chris Alliston
Approved by and Date:	
Contact:	Dawn Goodwin (Ext 2617)

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
0.1	01/08/2018	Draft	DG	N/A
0.2	18/09/2018	Incorp HR comment	DG	
0.3	26/09/18	Incorp comments from C Alliston, D Cherry and M MacFarlane	DG	
0.4	05/11/18	Incorp changes agreed by Policy Group	DG	

Appendix 4

1.0 VOLUNTEERING POLICY

1.1 The purpose of this policy is to clarify and simplify the approach to involving volunteers in the work of the Council and to clearly set out the procedures and guidance required in achieving best practice.

1.2 It is designed to make volunteering a simple and transparent process for those wishing to enter into any volunteering agreement through sensible application of the policy and its guidelines.

1.3 The Council supports and promotes volunteering within the work of all departments. Volunteers are valued as a key community resource in helping to strengthen citizenship involvement and in turn, improve the quality of life for everyone in Clackmannanshire.

1.4 This Policy should be used by Managers who are taking on volunteers. In addition to this, a Volunteer Application Form, Agreement letter, and Medical Declaration have also been developed. The Volunteer Agreement letter (Appendix 2) will provide details about the voluntary activity to be undertaken, rights and responsibilities and commitment required by both the Council and volunteer.

2.0 POLICY STATEMENT

2.1 The Council supports and promotes volunteering within the work of all departments. Volunteers are valued as a key community resource in helping to strengthen citizenship involvement and in turn, improve the quality of life for everyone in Clackmannanshire.

3.0 AIMS

3.1 The overall aim of the Volunteering Policy is to develop and promote best practice in the involvement and support of volunteers in the work of the Council. This policy statement aims to:

- encourage the development of volunteering in all areas of the Council
- recognise and promote the importance of volunteering to the work of the Council
- ensure support, training and supervision for Council volunteers
- identify the standards to which Council staff and volunteers are expected to adhere
- provide guidance and best practice to Council staff in working with volunteers and ensure the application of the Council's Equal Opportunities *Policy* to volunteering
- ensure that volunteering with the Council is an enjoyable and rewarding experience

3.2 This policy applies to volunteers who help the Council by supporting the work of Council staff in delivery of its services. It does not apply to the

Appendix 4

following: services delivered by agents of the council, including contractors, service delivery organisations and, community groups co-ordinated in an emergency, nor to work experience, apprenticeships and student placements, where separate arrangements will apply.

3.3 A volunteer is not an employee of Clackmannanshire Council and there is no binding contractual relationship between volunteers and the Council. The involvement of volunteers should complement and supplement the work of paid staff. They will be unpaid.

4.0 PRINCIPLES

The Council:

- recognises that volunteers have a positive contribution to make in supporting activities in a number of areas. Voluntary work can also be beneficial to an individual's personal and professional development giving them the opportunity to develop skills and gain experience.
- recognises that voluntary work brings benefits to volunteers themselves, to service users and to employees
- will ensure that volunteers in the Council are properly inducted into the Council and that appropriate mechanisms are in place for them to contribute to the work of the Council
- will not introduce volunteers to replace Council employees
- acknowledges the need to identify and make appropriate resources available to support volunteers working in the Council
- recognises that volunteers require satisfying work and personal development and will seek to help volunteers meet these needs, as well as providing induction and on job training for them to do their work effectively as set within the objectives of the Council and its services
- will only reimburse expenses incurred by volunteers who abide by the Council's expenses claims process
- recognises that the management of volunteers requires designated responsibilities within specific posts
- is committed to offering the opportunity to enhance existing life skills and to develop new ones through volunteering

5.0 SCOPE OF THE POLICY

5.1 The volunteering policy applies to all Council staff; Volunteers and Elected Members. It doesn't apply to Parent Council members who are dealt with under separate arrangements.

5.2 At the time of writing this policy separate work is being done by a policy group established by the Scottish Government to develop consistent practice throughout Scotland for dealing with Parent Volunteers. Advice should be sought from HR Business Partners on the current situation.

Appendix 4

5.2 The rights of volunteers:

- to know what is expected of them
- to have clearly specified lines of support and supervision
- to be shown appreciation
- to have safe working conditions
- to be insured
- to know what their rights and responsibilities are if something goes wrong
- to have access to appropriate training
- to experience personal development through participation
- to confidentiality
- not to be bullied in any way
- not to experience discrimination

5.3 Volunteers are expected to:

- carry out their tasks in a way that corresponds to the aims, values and policies of the Council
- operate within agreed guidelines and remits relating to their task
- follow health and safety regulations and instructions
- adhere to the Council's policies and procedures
- respect confidentiality and adhere to any policies and procedures associated with information sharing protocols that the Council may have entered into
- attend training and support sessions where required
- be reliable
- be honest

5.4 Promotion, placement and selection

5.4.1 All volunteers should be provided with a volunteer agreement letter and information sheet/role description which will provide details of the voluntary work they will be doing and their rights and responsibilities as volunteers. See Appendix 2

5.4.2 All volunteers should be provided with an ID badge, particularly if they are dealing with the public. The ID badge should clearly state that they are a volunteer.

- Volunteering with the Council should be promoted widely, to make it accessible to all sections of the community
- Individual volunteering opportunities should be publicised as appropriate and should draw attention to the benefits and experience to be gained from participation in volunteering

Appendix 4

- Volunteering opportunities may be advertised through appropriate avenues such as the myjobscotland portal
- Advertisements will state clearly if the volunteer post requires a *disclosure check/PVG* Scheme membership and what level is required. If there are costs incurred in this, the Service taking on the volunteer will meet these.
- The Service the volunteer is applying to will respond to prospective volunteers within 10 days of receipt of any application.
- Volunteering opportunities will, as far as possible, be open and accessible to all sections of the community
- The Service will respond as quickly as possible to enquiries from potential volunteers
- Placements will match the volunteer's availability, skills, talents and interests with the Council's needs
- Where appropriate (not applicable for one off or occasional volunteering, unless thought necessary) prospective volunteers should go through a selection process which may include an application (not necessarily written), a selection interview, references taken where appropriate and a written notification of the outcome
- Where the volunteers are asked to complete the Volunteer Application form ([see Appendix 1](#)) this should be held on file with any other relevant information by the Service the volunteer will be working with.
- References – where taken up should be satisfactory and obtained from people who can comment on the individual's experience and competence for the voluntary work they will be doing, prior to them starting.
- Disclosure Scotland - where appropriate, the volunteer will comply with the requirements for Disclosure Scotland checks
- The Volunteers Risk Assessment form which has been developed for use in schools should be used to determine whether or not PVG membership is necessary ([see Appendix 2](#))
- Volunteers will not be permitted to start until all the necessary checks are complete

5.4.3 Remit - a basic remit/role description should be drawn up and given to the volunteer by the Service they are going to be working with.

5.4.4 Volunteers will not be required to sign Volunteer Agreements, as this might appear to create a contract, suggesting worker or employee status. They should however be issued with an Agreement ([see Appendix 3](#)). If Managers require any assistance they should contact the appropriate Service HR Business Partner

6.0 Induction and training

- The Council will offer all volunteers suitable and adequate induction training within an agreed timescale

Appendix 4

- The Council will provide a review session to assess the progress of the placement and to resolve any problems at an early stage
- Council volunteers will have access to relevant training opportunities and are encouraged to participate in a programme of personal and skills development training as provided by the Council to its staff, where appropriate
- Council employees with responsibility for the placement and support of volunteers will be provided with training in the management of volunteers

7.0 Support and supervision

- Each volunteer will have a named Council representative. That representative will be responsible for the supervision of the volunteer as well as to provide information, encouragement and support on a regular basis. Any issues or problems should be discussed between the named contact and the volunteer
- The Council will provide, within the available resources, financial, personnel and other resources for the adequate management of volunteers
- The content of the supervision should be educational, supportive and on a task management basis

8.0 Insurance

- All appointed volunteers will be covered by the Council's public liability insurance when working on agreed tasks and in approved premises
- Volunteers will be given information on other legislation or policies as is relevant

9.0 Expenses

- Volunteer expenses should be funded by whichever departmental budget the volunteer is working with
- The Council will re-imburse volunteers for approved out of pocket expenses (this does not include lunch).

10.0 Health and safety

- Council employees should be aware that their legal responsibilities and obligations under health and safety legislation extend to volunteers
- Volunteers will receive a basic health and safety briefing as part of their induction, which should include emergency procedures, machinery operation, and use of hazardous materials and manual handling techniques where appropriate
- Tasks undertaken by volunteers should be subject to risk assessment and appropriate safe systems of work put into operation

Appendix 4

- Volunteers have personal responsibility for following health and safety regulations and instructions and to comply with Working Time Regulations

11.0 Equal opportunities

- The Council's volunteering policy will adhere to the Council's Equal Opportunities Policies
- The Council will ensure that employees at all levels are clear about the role of volunteers, and that good relationships are fostered between employees and volunteers

12.0 Confidentiality

- Volunteers should not normally have access to information maintained on Council systems.
- Volunteers should regard all information they are given as a result of their volunteering as being confidential unless advised otherwise
- No information should be released to a third party without first seeking the agreement of their supervisor where an information sharing protocol has been entered into by the Council
- Volunteers should not disclose personal details (home address, telephone number etc) to clients but should use their business address when an address has to be given
- The Council will fulfil its duty to safeguard the information contained within application forms and records
- Volunteers have the right to access their own records, including personal training records and application forms which can be arranged by giving the Service contact they are working with 24 hours notice

13.0 Absence

- Volunteers are asked to inform their supervisors if they will not be available due to illness, holidays or for any other reason
- The Council respects that there may be occasions when volunteers may wish to take a break for a period of time and are asked to give as much notice as possible

14.0 Conclusion

- All volunteer placements are subject to regular review, looking at the quality of the experience
- Volunteers with the Council will have the right to request a reference
- Volunteers will be supported to move onto other options

Appendix 4

A copy of the volunteer letter and agreement should be retained on file and a record of all volunteers held within each area/Service.

15.0 Processing Personal Data

15.1 The Council processes personal data collected as part of their Procedures, in accordance with its Data Protection Policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to individuals only for the purposes necessary to action and manage this policy.

16.0 Monitoring and Review

16.1 HR shall monitor the effectiveness of this guidance on an ongoing basis. Amendments will be made as and when deemed necessary and, where appropriate, after consultation with recognised trade unions.

Associated Documents

Appendix 1 - Volunteer Application Form

Appendix 2 - Volunteer Risk Assessment form

Appendix 3 - Volunteer Agreement

Appendix 4

Appendix 1

VOLUNTEER APPLICATION FORM

Please read notes for volunteers on the back of this form before completing

Recd.
Ack.

THE POST

Voluntary Work applied for:
.....
Location:
How did you hear about the Project/Activity:

PERSONAL INFORMATION

Surname:	Forename:
Address:	
.....	
Home Tel. No.	Work Tel. No.
Mobile No.	Email address
Do you hold a current full driving licence Yes No Use of car	

REFERENCES

Names and addresses of two people who can comment on your experience and competence for the voluntary work. Do not include relatives or close friends.	
Name:	Name:
Position:	Position:
Address:	Address:
.....	
Tel No:	Tel No:
Email:	Email:

Appendix 4

--

EMPLOYMENT/VOLUNTARY WORK EXPERIENCE

Present or Most Recent Employment

Name and Address of Employer:	Job Title:	
	Length of Time in Job:	
	Length of time with Employer:	
Brief Description of Duties and Responsibilities, etc.		

Voluntary work/experience (Please include dates, Organisation(s), main duties)

Relevant education, qualifications and training

Subject/Title	Date	Relevance to the activity volunteered for

Any other relevant information

Please use this section to outline why you're interested in this project and to provide any other relevant information. (Please expand on a separate page if necessary).

--

Appendix 4

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Rehabilitation of Offenders Act 1974 by the Exclusions and Exceptions (Scotland) Order 2003

Applicants for specific posts within Clackmannanshire Council are advised that the Rehabilitation of Offenders Act 1974 by the Exclusions and Exceptions (Scotland) Order 2003, requires disclosure of all spent convictions (see attached notes).

Without prejudice, have you at any time been convicted of a criminal offence?

YES NO If yes, state when, the court, the offence and disposal in the space provided below

Date:	Court:
Offence:		
Disposal:		

Do you have a disability or medical condition which requires special arrangements for interview or for acting as a volunteer?

Yes No

If so, please advise what arrangements would be required:

.....

I certify that the foregoing is true in all respects to the best of my knowledge and belief.

Signature:

Date:

NOTES FOR VOLUNTEERS

All information provided by volunteers will be treated as confidential. Additional information may be attached on extra sheets if it is necessary and strictly relevant to the consideration of your application – do not enclose your CV. Any inaccuracy or omission in the information supplied may compromise any arrangement. If not typewritten, please complete clearly in BLACK ink for photocopying purposes.

Appendix 4

Interview:	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>	Interview Date:	Time:
If no – Reason							
PVG Clearance required:	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>				
Outcome of PVG check:								

Appendix 4

Appendix 2

Volunteers Risk Assessment Form

Volunteers Risk Assessment Form

1. Applicant's Name
- Position (e.g. Parent Helper)
- School

Head Teachers and Establishment Managers have a responsibility for ensuring that all people in schools are **appropriately** vetted and supervised, however it is an offence to require someone to be a member of the PVG Scheme if they are not doing "Regulated Work". The following form will help you assess whether a volunteer needs to be a member of the PVG Scheme to work in your school.

2. Please provide a brief overview of what the volunteer will be doing in the school – **please note that volunteers must not be used to replace paid members of staff.**

The following questions relate to things volunteers are expected to do as a **normal** part of their duties on a **regular** basis.

Yes No

- Will they be caring for any individuals?
- Will they be teaching, instructing or supervising children?
- Will they be in sole charge of children?
- Will they be in unsupervised contact with children?
- Will they be providing advice or guidance to children?

If you have answered yes to any of the above questions, it is likely that a PVG check is necessary. However, this is only the case if it is a normal part of their duties. The following questions will help you decide whether this is the case.

3. Would carrying out these duties only happen in response to an emergency?

Would these duties only be arranged at the last minute, to stand in for someone else?

Is this just a one-off activity of short duration?

Yes No

If you can answer Yes to any of the questions in section 3, a PVG check may not be necessary. Please seek further advice from the IO Engagement Officer, Kilncraigs.

If you have answered No to any question in section 3, you should have the volunteer complete the PVG application process.

4. PVG required Yes No

Appendix 4

You should complete Page 2 of this form for all volunteers, whether or not the individual needs to be PVG checked.

5 For what duration will the volunteer be working within the school?
Start date End date

6 **Identification check**

You should check the identity of every volunteer within your school, whether they need to be a member of the PVG scheme or not. Disclosure Scotland recommend that **3 pieces of original identification** be checked. One must have a photograph and one must have their current home address. A list of acceptable forms of identification can be found on the PVG form.

Please complete the following as appropriate:

Birth Certificate Certificate No

Passport Passport No
Country of issue if not UK

Driving Licence Driving Licence No
Photo licence Paper licence

Other (please include account/certificate number)

I confirm that the above form(s) of original identification for the applicant have been seen.

Signature of a member of the Senior Management Team
Name (in capitals) Date

If a PVG check is required, please submit a copy of this form, along with copies of the original identification, budget code and a completed PVG scheme application form, to the IO Business Manager, Kilncraigs.

The original of this form, whether a PVG check is required or not, must be retained by the school for as long as the individual is volunteering within the school and for at least a year thereafter.

When confirmation that a PVG check has been completed is received it should be noted below

PVG confirmation received Date

Appendix 4

Appendix 3

Kilncraigs, Greenside Street, Alloa, FK10 1EB
Telephone: 01259 450000

Direct Contact:

Telephone:

Email:

Our Ref:

Your Ref:

Date:

STRICTLY PRIVATE & CONFIDENTIAL

Dear

Volunteer Agreement

This letter sets out what we expect to happen when you volunteer to work for Clackmannanshire Council.

The tasks that you will be asked to do as a volunteer are **[details]**. As we agreed, you will start volunteering for us from **[date]** and you will be based initially at (location)

This agreement is binding in honour only, is not intended to be a legally binding contract between us and may be cancelled at any time. Neither of us intends any employment relationship to be created either now or at any time in the future.

What you can expect from us

- We will provide an induction explaining what we do and how volunteers fit within our organisation.
- We will also provide training to assist you to meet the standards we expect from volunteers and to ensure your health and safety.
- Your main point of contact is **[name]**. They will supervise you and will be available to discuss any issues you may have while volunteering for us.

Appendix 4

- We will reimburse **[any relevant agreed expenditure]**. All expense claims must be submitted to **[name]** with receipts within **[one month]** of being incurred.
-
- We will provide adequate insurance cover for you while you are undertaking voluntary work approved and authorised by us.
- If we have no work for you to do, we will let you know as soon as possible.

What we expect from you

- We will discuss with you how much time you can commit to volunteering and when and where you would prefer to work.
- If at any time you cannot volunteer as we have agreed please let **[name]** know as early as possible.
- We expect you to work to the best of your ability and to follow our procedures and standards, including our health and safety, equal opportunities and data protection policies.
- In the course of providing your volunteering services, you may have access to confidential information relating our clients, customers, suppliers and employees. We expect you not to use or disclose this information to any person either during your volunteering experience with us or at any time afterwards.
- Please give us as much notice as possible if you want to stop volunteering with us.

We really appreciate you volunteering to work for us and hope that you find it an enjoyable and rewarding experience.

Yours sincerely

[name]

On behalf of Clackmannanshire Council

Appendix 4

VOLUNTEER AGREEMENT

This Agreement details the rights, responsibilities and commitment required by both the Council and volunteer.

Between..... and Clackmannanshire Council.

Volunteers will be expected to:

- Be reliable
- Be honest
- Respect confidentiality
- Attend training and support sessions where agreed and as far as can reasonably be expected
- Carry out tasks in a way which corresponds to the goals and values of the Council
- Work within agreed guidelines and remits
- Comply with Council Policies on Health and Safety and Equal Opportunities

Clackmannanshire Council commits itself to:

- Provide clear information about the task that a volunteer is asked to do
- Provide clearly specified lines of support and supervision
- Provide training where appropriate
- Provide a safe working environment
- Be free from discrimination
- Be adequately insured

Failure to comply with the terms of this agreement could result in a placement being terminated.



**Clackmannanshire
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Chlach Mhanann

Appendix 5

Professional Registration Policy

Date: June 2018

Version: Draft

Review Date: TBC

DOCUMENT CONTROL SHEET:

Key Information:

Title:	Professional Registration Policy
Date Issued:	
Date Effective From:	
Version Number:	0.1
Document Type:	Policy
Document Status:	Draft
Author:	Carole Docherty
Owner:	HR
Approver:	Council
Approved by and Date:	
Contact:	<u>Carole Docherty x2182</u>
File Location:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
0.1	June 2018	Draft	CD	N/A

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

1. POLICY STATEMENT

- 1.1 This policy outlines Clackmannanshire Council's approach to ensuring that, where necessary, employees achieve and maintain the appropriate professional registration either in line with statutory requirements, or outlined as a requirement of the job role.
- 1.2 There are a range of professional groups for whom professional registration is a statutory requirement for employment in the Council. This includes Teachers, Health and Social Care Professionals, Nursing and Allied Health Professionals such as Occupational Therapists, Social Workers and Mental Health Officers, Solicitors and Accountants. Professional registration also confirms level of expertise in other occupations such as Engineers, Human Resources and Health & Safety (this list is not exhaustive).
- 1.3 Registration checks ensure that an employee is recognised by the appropriate regulatory body, and that they have the required qualifications to do the job. This can take the form either of a statutory requirement, where the employee has a legal obligation to maintain their professional registration, or as a requirement of the job role outlined by Clackmannanshire Council.
- 1.4 Professional registration establishes an individual's knowledge, understanding, and competence, and demonstrates a commitment to professional standards and to developing and enhancing standards.

2. SCOPE OF THE POLICY

- 2.1 The purpose of this policy is to ensure the safety of our citizens, colleagues and customers through professional registration of relevant employees within Clackmannanshire Council.
- 2.2 This policy applies to all professional staff employed with Clackmannanshire Council for whom professional registration is either a statutory or role requirement and should be read in conjunction with the Council's Professional Registration Procedure
- 2.3 To ensure that employees who require professional registration for employment are fully aware of their contractual obligation to achieve and maintain professional registration with the relevant regulatory body.
- 2.4 This policy must be used in conjunction with national guidance as well as Clackmannanshire Council policies on Recruitment, Performance Capability and Disciplinary.
- 2.5 This policy also applies to third party contractors.

3. REQUIREMENTS AND RESPONSIBILITIES

- 3.1 As an employer, Clackmannanshire Council has an obligation, sometimes statutory, to ensure employees maintain registration with the relevant professional bodies.

- 3.2 The Council reserves the right to check the professional registration status of an employee at any time.
- 3.3 Registration renewal is required by both the professional body and the contract of employment with the Council
- 3.4 Responsibility for maintaining professional registration rests with the employee as the practitioner.
- 3.5 Employees will be responsible for ensuring that any required professional registration fees are paid.
- 3.6 Where an employee fails to pay any annual or renewal fees and/or fails to return any renewal documentation as required by the professional body, registration will be deemed to have lapsed. Consequently the employee will have to re-apply for registration potentially impacting their ability to operate in any role requiring registration and disciplinary procedures may be invoked.
- 3.7 Failure of an employee to inform the Council of anything that would potentially affect registration, or their ability to carry out the requirements of the post, may result in disciplinary action, up to and including dismissal.
- 3.8 If registration has not been renewed or maintained the Council is required to take steps to prevent an employee from operating without valid registration.
- 3.9 On request by their line manager, an employee must provide evidence that their professional registration has been renewed in accordance with relevant regulations.
- 3.10 Managers of registered professional employees will apply this policy and the related procedures fairly and equitably.
- 3.11 Managers will report, as required, to the relevant professional body if the employee is subject to Disciplinary or Criminal Proceedings.
- 3.12 The Council will hold appropriate and adequate records of professional registration information of employees. These records will be stored securely and be subject to **General Data Protection Regulations**.

4. PROCESSING OF PERSONAL DATA

- 4.1 The Council processes personal data collected as part of this procedure in accordance with its data protection policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to, individuals only for the purposes necessary to action and manage this policy.

5. MONITORING AND REVIEW

- 5.1 Both Senior Management and Trade Union Representatives shall monitor the effectiveness of this policy on an ongoing basis. Amendments will be made as and when deemed necessary and, where appropriate, after consultation with recognised trade unions.

Equality Impact Assessment

Policy Name	Professional Registration Policy
Department	HR
Policy Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* If no please provide rationale Policy applies equally to all Council employees in posts that have professional or statutory registration requirements and does not negatively impact on any group which falls within any of the 9 protected characteristics	
Date Full EQIA complete	
Date Approved	
Review Date	



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Appendix 6

Professional Registration Procedure

Date: June 2018

Version: Draft

Review Date: TBC

DOCUMENT CONTROL SHEET:

Key Information:

Title:	Professional Registration Procedure
Date Issued:	
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Version Number:	0.1
Document Type:	Procedure
Document Status:	Draft
Author:	Carole Docherty
Owner:	HR
Approver:	Council
Approved by and Date:	
Contact:	<u>Carole Docherty x2182</u>
File Location:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
0.1	June 2018	Draft.	CD	N/A

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

1. INTRODUCTION

- 1.1 This procedure should be read in conjunction with the Council's Professional Registration Policy.

2. PURPOSE

- 2.1 To provide guidance on the required actions and responsibilities of the Council, line managers and employees to ensure that professional registration of employees is maintained to comply with professional and statutory requirements.
- 2.2 To set out the procedural steps necessary for checking the professional registration status of employees at various stages of employment to ensure the safety of our citizens, colleagues and customers through professional registration of relevant employees within Clackmannanshire Council.
- 2.3 This procedure applies to all professional staff employed with Clackmannanshire Council for whom professional registration is either a statutory or role requirement.
- 2.4 To set out the implications for an employee if they allow their professional registration to 'lapse'.
- 2.5 This Procedure must be used in conjunction with national guidance as well as Clackmannanshire Council policies on Professional Registration, Recruitment, Performance Capability and Disciplinary.
- 2.6 This procedure also includes third party contractors.

3. MAINTAINING PROFESSIONAL REGISTRATION

- 3.1 Registration renewal is required by both the professional body and the contract of employment with the Council.
- 3.2 Each employee is responsible for maintaining their registration with the appropriate professional/regulatory body.
- 3.3 Responsibility for maintaining their registration and payment of fees associated with new/renewal of registration rests with the employee as the practitioner.
- 3.4 Where an employee fails to pay any annual or renewal fees and/or fails to return any renewal documentation as required by the professional body, registration will be deemed to have lapsed.
- 3.5 Failure to inform the Council of anything that would potentially affect registration, or ability to carry out the requirements of post, may result in disciplinary action, up to and including dismissal.
- 3.6 Clackmannanshire Council will confirm, as appropriate, proof of registration using the employer confirmation services of the relevant professional body. Please note the following list of examples is not exhaustive.
- 3.7 Where the professional body requires PVG registration and it is not a requirement of the post, the Council will facilitate the application but the employee must pay the fee by completing the mandate at Appendix 1.

4. EMPLOYER RESPONSIBILITIES

- 4.1 As an employer, Clackmannanshire Council has an obligation, sometimes statutory, to ensure employees maintain registration with the relevant professional bodies.
- 4.2 The Council has a duty to ensure that new and existing employees are registered with a relevant regulatory/professional body in order to comply where this is legally required.
- 4.3 If registration has not been renewed the Council is required to take steps to prevent an employee from operating without valid registration.

5. EMPLOYEE RESPONSIBILITIES

All employees, for whom professional registration is a statutory/essential requirement for employment within the Council, have a duty to comply with the following procedures.

- 5.1 To provide appropriate evidence of registration at interview/appointment including for internal posts.
- 5.2 To ensure they maintain such professional registration, as is necessary for them to practice their profession in line with the requirements of the post/job profile, during the course of their employment.
- 5.2 Ensure that documentary evidence relating to registration/re-registration is kept in a safe place.
- 5.3 On receipt of or renewal of registration, ensure that their line manager and/or professional lead is shown original documentation so that the registration can be verified and copies taken for their personal file.
- 5.4 On request by their line manager, an employee must provide evidence that their professional registration has been renewed in accordance with relevant regulations.
- 5.5 On request, an employee must provide evidence of additional qualifications necessary to undertake specialist/expanded roles and provide evidence that the professional register has been annotated accordingly.
- 5.6 Employees must keep the relevant statutory/professional body informed of changes of address, status, etc., in order that internal records are accurate and up to date and routine renewal advice is received.
- 5.7 Employees must report any information to their employer which could be relevant to their continued registration i.e. being subject to an investigation or criminal proceedings.
- 5.8 Any failure to re-register with their professional body must be reported to their line manager immediately.
- 5.9 Evidence of re-registration must be provided to the employee's manager in accordance with local procedures.

6. LINE MANAGER'S RESPONSIBILITY

It is a key responsibility of line managers to ensure relevant employees are professionally registered during employment and to comply with the following procedures.

- 6.1 To ensure that local arrangements are in place for systematic, regular review and checking of registration and renewal documents for the relevant employees
- 6.2 That the Professional Registration Policy and Procedures are fairly and equitably applied.
- 6.3 Undertake visual scrutiny of registration documentation and confirmation of registration status with the relevant professional body and retain a copy of the registration documentation in the employee's personal file.
- 6.4 Ensure employees have access to appropriate time and resources to fulfil professional development requirements.
- 6.5 Record appropriate and adequate details of the registration number and date of expiry on HR systems. These records, which could include the Performance, Review and Development (PRD), will be regularly reviewed and such action as the Manager feels appropriate taken to seek/obtain evidence of renewal of registration. These records will be stored securely and be subject to General Data Protection Regulations.
- 6.6 Report any incidence where a member of staff has failed to re-register or maintain professional registration to the appropriate HR Business Partner, Service Manager and Head of Service.
- 6.7 To seek guidance from HR and report, as required, to the relevant professional body if the employee is subject to any formal internal or external investigations that could impact on their professional registration e.g. grievance, disciplinary or criminal proceedings.

7 MANAGEMENT OF LAPSED PROFESSIONAL REGISTRATION

- 7.1 In circumstances where employees allow their registration with their professional body to lapse, it is essential that line managers required to deal with such situations adopt a consistent approach.
- 7.2 Where professional registration is a condition of employment, and an employee allows their registration to lapse, they are consequently then unable to work in the capacity for which they are employed for the period of time that their registration is invalid.
- 7.3 Managers will support individuals whose registration has lapsed, to help them to redress this, whilst at the same time, secure the safety and legal compliance of the service by ensuring staff do not work in a professional capacity without appropriate valid registration.
- 7.4 When it comes to the attention of a manager that an individual member of professional staff may not be appropriately registered, this must be fully investigated immediately. If it is established that the employee's registration has indeed lapsed, it must be explained to the member of staff that until they are restored to the appropriate register, they cannot continue with their current duties.

- 7.5 During the course of investigating the circumstances, the line manager will fully explore the reason for the registration having lapsed. Where appropriate this may be progressed via the Council's Disciplinary or Capability Procedures.
- 7.6 The subsequent return to normal duties will be subject to the individual producing evidence of satisfactory registration.
- 7.7 In all cases of lapsed registration, a full report of the circumstances and action taken will be submitted by the Line Manager to the appropriate Service Manager, Head of Service or Chief Officer.

8 WHERE AN EMPLOYEE FAILS TO RE-REGISTER

- 8.1 This procedure states that it is the responsibility of each individual employee to ensure their own registration remains current at all times and that employees who allow their registration to lapse are ineligible to practice in their relevant speciality, and may be in breach of their contract of employment.
- 8.2 Where a member of staff fails to maintain their registration, or to re-register on the required date, they will be interviewed by their line manager or another appropriate manager as soon as the issue has been identified.
- 8.3 If the employee is unable to produce evidence of current valid registration they will be informed by their line manager that they cannot be allowed to continue working in their current role as it is required by the relevant professional body.
- 8.4 The employee may be given alternative duties which do not require professional registration. It is then the responsibility of the employee to contact the relevant professional body and rectify the issue with their professional registration as soon as possible. The employee should provide their line manager with evidence of registration as soon as this is available.
- 8.5 An investigation may be initiated under the Council's Disciplinary Procedure, one outcome of which may be that the employees' pay will be altered to reflect the salary grade of the alternative/redeployed duties they carry out during the period of non-registration. In extreme cases dismissal may also be an option.

9 FAILURE TO MAINTAIN CONDITIONS FOR PROFESSIONAL REGISTRATION

- 9.1 In circumstances where an employee's professional registration is revoked due to a breach of the relevant professional code of conduct, for example, as a result of conduct or practice in the employee's professional or personal life, an investigation will take place in line with the Council's Disciplinary Procedure. Dependent upon the level of risk involved, this may involve the employee being suspended from duty during the investigation or being given alternative duties during the period of the investigation.
- 9.2 In a situation where an employee fails to maintain the requirements for professional registration an investigation will take place under the Council's Disciplinary Procedure.
- 9.3 The Council reserves the right to check the professional registration status of an employee at any time.

10 PROCESSING OF PERSONAL DATA

- 10.1 The Council processes personal data collected as part of this procedure in accordance with its data protection procedure. In particular, data collected as part of this process is held securely and accessed by, and disclosed to, individuals only for the purposes necessary to action and manage this procedure.

11 MONITORING AND REVIEW

- 11.1 Both Senior Management and Trade Union Representatives shall monitor the effectiveness of this procedure on an ongoing basis. Amendments will be made as and when deemed necessary and, where appropriate, after consultation with recognised trade unions.

Equality Impact Assessment

Procedure Name	Professional Registration Procedure
Department	HR
Procedure Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* If no please provide rationale Procedure applies equally to all Council employees in posts that have professional or statutory registration requirements and does not negatively impact on any group which falls within any of the 9 protected characteristics	
Date Full EQIA complete	
Date Approved	
Review Date	

Appendix 7



SALARY OVER AND UNDER PAYMENTS POLICY

Date: 2018

Version: Draft

Version Control

Key Information:

Title:	Salary Over and Under Payments
Date Issued:	
Date Effective From:	
Version Number:	
Document Type:	Policy
Document Status:	Draft
Author:	Donna Perrie
Owner:	HR
Approver:	Council
Approved by and Date:	
Contact:	<u>Donna Perrie</u>
File Location:	

Revision History:

Version:	Date:	Author:	Changes:
0.1	2018	D Perrie	Draft 1

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Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

SALARY OVER AND UNDER PAYMENTS

1.0 Introduction

- 1.1 Clackmannanshire Council has a duty to take reasonable care to ensure that staff receive the appropriate rates of pay, allowances and benefits in accordance with the terms of their contracts of employment.
- 1.2 To assist the Council in complying with this duty staff should regularly check that they are receiving their correct contractual entitlements and report any unusual or unexpected variances to their line manager as soon as possible. Line managers must in turn, notify Payroll within the pay processing deadlines, any changes to the terms and conditions or working arrangements of employees that are likely to affect their rates of pay.
- 1.3 In the event that an overpayment or underpayment occurs, the Council aims to remedy the matter in a manner that is reasonable and fair to the member of staff affected whilst at the same time, fulfilling the Council's duty to exercise care in administering public funds.
- 1.4 Under the terms of this policy, the Council undertakes to remedy any underpayment at the earliest opportunity, normally the next available pay run.
- 1.5 Equally the Council will timeously and effectively recover in full, all overpayments made in error or as a consequence of fraudulent actions. Recovery will be affected either by deduction from salary or by other appropriate measures arranged through the Council's revenues Sundry debtors department.

- 1.6 Under the Employment Right Act 1996 the Council is entitled to recover, without agreement, an overpayment of salary or an overpayment in respect of expenses incurred by the member of staff carrying out their employment. The Council will, wherever possible, agree a reasonable period of recovery and by default recover over the same period any overpayment was received. In exceptional circumstances recovery periods may be extended.
- 1.7 Whilst the primary aim of this policy is to deal with salary underpayments and overpayments, the Council acknowledges the importance of having robust human resources and payment systems and procedures in place to prevent or minimise the likelihood of those errors occurring.

2.0 Scope

- 2.1 The policy covers current and former employees/Workers

3.0 Key Principles

- 3.1 All incidences of salary underpayment or overpayment will be dealt with according to the merits of each individual case.
- 3.2 Incidents of underpayments will be addressed quickly and repayment of outstanding monies normally made in the next available pay run.
- 3.3 Where a payment is required to be processed outwith the normal payrun as a result of an error made within the service a £25.00 charge for each transaction will be chargeable to the service.
- 3.4 Where incidences of overpayment are identified, the employee affected and other relevant parties will be notified as soon as possible and arrangements will be made to timeously recover any monies owed to the council.
- 3.5 An employee who knowingly fails to notify of an overpayment situation in accordance with the terms of this policy and in circumstances where it is

reasonable to conclude that they would have been aware of the overpayment, may be subject to the Council's disciplinary procedures.

4.0 Processing of Personal Data

4.1 The council processes personal data in accordance with its data protection policy. In particular, data collected as part of payroll processing is held securely and accessed by, and disclosed to, individuals only for the purposes of processing over/under payments in line with the agreed policy outlined above.

5.0 Monitoring and Review

5.1 Both HR and Trade Union Representatives shall monitor the effectiveness of the policy on an ongoing basis. Changes may result from employee, management and union feedback and/or from changes in employment legislation. Revisions and updates will be implemented by the Council following consultation with recognised Trade Unions

Policy Name	Over and Under Salary Payments
Department	HR
Policy Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* In no please provide rationale Policy applies equally to all Council employees and does not negatively impact on any group which falls within any of the 9 protected characteristics	
Date Full EQIA complete	N/A
Date Approved	
Review Date	

Appendix 8



SALARY OVER AND UNDER PAYMENTS PROCEDURE

Date: 2018

Version: Draft

Version Control

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Title:	Salary Over and Under Payments
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Date Effective From:	
Version Number:	
Document Type:	Procedure
Document Status:	Draft
Author:	Donna Perrie
Owner:	HR
Approver:	Council
Approved by and Date:	
Contact:	<u>Donna Perrie</u>
File Location:	

Revision History:

Version:	Date:	Author:	Changes:
0.1	2018	D Perrie	Draft 1

Approvals: This document requires the following signed approvals.

Name:	Signature:	Title:	Date:	Version:

Distribution: This document has been distributed to

Name:	Title/Service:	Date of issue:	Version:

SALARY OVER AND UNDER PAYMENTS

1.0 Introduction

- 1.1 Clackmannanshire Council has a duty to take reasonable care to ensure that staff receive the appropriate rates of pay, allowances and benefits in accordance with the terms of their contracts of employment.
- 1.2 The Council is required to recover public money which has been paid out incorrectly, regardless of reason.
- 1.3 This procedure outlines how recovery of overpayments or payment of underpayments will be made.

2.0 Definitions

Overpayment

- 2.1 An overpayment is where an employee is paid an amount in excess of contractual entitlement. The causes of overpayment may include, but are not exclusively limited to:
 - Late or no notification of a leaver, Family related leave, sickness absence, change of contractual hours.
 - Placed on incorrect salary scale.
 - An error being made by the Service, HR or Payroll.
 - Error in Self Service.

Underpayment

- 2.2 An underpayment is where an employee is not paid all of their contracted pay in the month. The causes of underpayment may include, but are not exclusively limited to:
 - Late or no notification of a new start, return from Family related leave, return from sickness absence or change to contracted hours.
 - Timesheets, expenses and other claims not completed, received or processed in time.
 - Placed on incorrect salary scale.

- Error in Self Service.
- An error being made by the Service, HR or Payroll.

3.0 Roles and Responsibilities

Line Managers

- 3.1 Where it is discovered that an overpayment of salary has occurred managers are responsible for informing their member of staff.
- 3.2 Managers are responsible for ensuring that all relevant forms (new starts, leavers, changes) affecting staff pay are completed and passed to HR at the earliest opportunity and in line with the payroll deadlines.
- 3.3 Payroll will undertake initial validation checking each month and where any staff member's pay differs from the previous month and cannot be explained through such things as increment date or pay awards the information will be sent to the line manager for checking. Managers are responsible for ensuring any such queries are checked immediately and undertake any corrective action.
- 3.4 Line managers approving any payroll claims must assure themselves that they have the delegated authority, in line with the Council's Scheme of Delegation/Financial regulations to undertake this action.
- 3.5 Authorised signatories are responsible for ensuring that monthly payroll returns, timesheets, expenses/mileage claims are completed, checked and verified. The Council has moved to electronic submission via the iTrent System however the same principles apply prior to approving.
- 3.6 In the event that an employee is overpaid the line manager is responsible for meeting with the staff member and advising them of what has occurred.
- 3.7 Services are responsible for ensuring they review payroll establishment reports and payroll budget via Tech1 to confirm accuracy of payments.

Employees and Ex- Employees

- 3.8 Whilst every effort will be made to ensure that payment of salary is made accurately, there may be occasions when information on a change of circumstances is not made available in time to make an automatic adjustment and an overpayment of salary may result. Staff should ensure they check their pay slip each week/month to ensure their pay is accurate.
- 3.9 A leaver from the Council is responsible for checking that their final payment is correct and that they do not continue to receive payments from the Council after they have left.
- 3.10 Failure to declare an obvious overpayment may lead to formal disciplinary action in line with the Council's Disciplinary Policy and Procedure..

Payroll and HR

Overpayments

- 3.11 Payroll and HR will be responsible for ensuring that any overpayments identified are corrected to ensure that no continuation of the overpayment can occur.
- 3.12 The Payroll Supervisor will liaise with the line manager, staff member and HR Business Partner (where appropriate) to agree an overpayment recovery plan.
- 3.13 Payroll will ensure that, for existing staff, recovery is deducted from the individual's salary.
- 3.14 In the case of former employees Payroll will liaise with Sundry Debtors in order that recovery can be made.
- 3.15 Recovery of an overpayment will normally be by agreement and will be referred to as the "Repayment Plan". The repayment plan is underpinned by the following principles:
- One lump sum payment recovery for an overpayment which occurred in a single amount; or
 - Payment to be made within the same financial year; or
 - Monthly instalments over at least the same number of months as the overpayment occurred.
- 3.16 Repayment may be extended in exceptional circumstances at the discretion of the lead Council Officer responsible for payroll functions.

- 3.17 Where an employee leaves the service of the Council and the overpayment amount has not been recovered this will be deducted from the staff member's final salary with any residual amounts advised to Debt Recovery.

Underpayments

- 3.18 Should an underpayment of salary occur, any underpayment will normally be rectified in the next available pay period after the underpayment has been identified.

4.0 Processing of Personnel Data

- 4.1 The council processes personal data collected as part of this procedure in accordance with its data protection policy. In particular, data collected as part of payroll processing is held securely and accessed by, and disclosed to, individuals only for the purposes of processing over/under payments in line with the agreed procedure outlined above.

5.0 Monitoring and review

- 5.1 Both HR and Trade Union Representatives shall monitor the effectiveness of the procedure on an ongoing basis. Changes may result from employee, management and union feedback and/or from changes in employment legislation. Revisions and updates will be implemented by the Council following consultation with recognised Trade Unions.

Clackmannanshire Council
Salary Over and Under Payments

Policy Name	Over and Under Salary Payments
Department	HR
Policy Lead	HR
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
<p>* In no please provide rationale</p> <p>Policy applies equally to all Council employees and does not negatively impact on any group which falls within any of the 9 protected characteristics</p>	
Date Full EQIA complete	N/A
Date Approved	
Review Date	

Report to: Partnership and Performance Committee

Date of Meeting: 31 January 2019

Subject: LGPS Employer's Discretionary Functions Policy 2018

Report by: Strategic Director Partnership & Performance

1.0 Purpose

- 1.1. This paper seeks approval of the revised LGPS Employer's Discretionary Functions policy.

2.0 Recommendations

- 2.1. The Partnership and Performance Committee is invited to approve the revised LGPS Employer's Discretionary Functions Policy 2018 as attached..

3.0 Considerations

- 3.1. A new version of the Local Government Pension Scheme (LGPS) came into effect on 1st June, 2018 in the form of the Local Government Pension Scheme (Scotland) Regulations 2018.
- 3.2. As with previous regulations, employers are required to prepare and publish a written statement indicating how they intend to exercise the discretionary powers that are contained in the scheme rules.
- 3.3. It is mandatory that a discretions policy covers the undernoted 4 matters plus the Rule of 85.
- Award of additional annual pension (regulation 30)
 - Funding of additional pension (regulations 16(2)(e) and 16(4)(d))
 - Flexible retirement (regulation 29(7))
 - Waiving of actuarial reduction (regulation 29(9))
- 3.4. In addition, as the new version of the Scheme allows members to retire voluntarily from age 55 (when previously the minimum age was 60), the discretion under Paragraph 2(2) of Schedule 2 to the LGPS (Transitional Provisions and Savings)(Scotland) Regulations 2014 which protects longer standing members from suffering actuarial penalties (either in full or in part) if they retire early, requires to be reviewed and updated.

3.5. As well as the five areas where it is compulsory for employers to publicise a policy, there are other areas of the LGPS where, for operational purposes, it is sensible for employers to have a policy. These are as follows:

- Members' Contribution Rates (Regulation 9(4))
- Internal Disputes Resolution Procedure (Regulation 68(5)(c))
- Acceptance of Late Transfer Payments (Regulation 95(6))
- Extension of 30 Day Deadline for Shared Cost APCs (Regulation 16(16))

3.6. The draft policy mirrors the discretions adopted by Falkirk Council in its capacity as a Fund employer.

4.0 Sustainability Implications

4.1. There are no sustainability implications arising from this report.

5.0 Resource Implications

5.1. Financial Details

5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

5.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

5.4. Staffing

6.0 Exempt Reports

6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential
- Our communities will be resilient and empowered so that they can thrive and flourish

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes No Statutory requirement

9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

LGPS Employer's Discretionary Functions Policy 2018

11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No

Falkirk Pensions Discretions 2018

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Chris Alliston	HR Service Manager	2184

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director Partnership & Performance	
Nikki Bridle	Chief Executive	



**Clackmannanshire
Council**

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Comhairle Siorrachd
Chlach Mhanann

Local Government Pension Scheme Employer's Discretionary Functions Policy

Version Control

Version	Date	Author	Changes
0.1		C Alliston	
0.2	Feb 2015	S Coulter	Comments from working group added
1.0	Feb 2015	S Coulter	Procedure formally agreed by Council
1.1	October 2018	C Alliston	Amendments following introduction of The Local Government Pensions Scheme (LGPS) 2018

1. Introduction

1.1. The Local Government Pensions Scheme (LGPS) came into effect on 01st June 2018 in the form of the Local Government Pension Scheme (Scotland) Regulations 2018.

1.2. Under the regulations employers are required to publish and keep under review a policy statement in relation to the exercise of a number of discretions under the LGPS.

1.3. It is mandatory that a discretions policy covers the following matters:

- Award of additional annual pension (regulation 30)
- Funding of additional pension (regulations 16(2)(e) and 16(4)(d))
- Flexible retirement (regulation 29(7))
- Waiving of actuarial reduction (regulation 29(9))
- Rule of 85 Protection (para 1(1)(c))

1.4. In addition it is compulsory for employers to publicise a policy in relation to:

- Members' Contribution Rates (Regulation 9(4))
- Internal Disputes Resolution Procedure (Regulation 68(5)(c))
- Acceptance of Late Transfer Payments (Regulation 95(6))
- Extension of 30 Day Deadline for Shared Cost APCs (Regulation 16(16))

1.5. Appendix 1 and Appendix 2 outline the compulsory and non compulsory discretions as adopted by Clackmannanshire Council and are in line with those adopted by Falkirk Council in its capacity as a Fund employer.

APPENDIX 1 - COMPULSORY ITEMS

Awarding Additional Pension : Regulation 30 LGPS (Scotland) Regulations 2018
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Summary of Discretion:

Consider whether at full cost to the employer, to grant extra annual pension of up to £5,000 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) to an active scheme member or within 6 months of leaving to a member whose employment was terminated on the grounds of redundancy or business efficiency.
--

Proposed Discretion:

Additional pension may be awarded up to a maximum of £5000 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) to an active scheme member or within 6 months of leaving to a member whose employment was terminated on grounds of redundancy or business efficiency, however this limit must also include any additional pension contributions funded.
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The Chief Financial Officer, Strategic Director (Partnership and Performance) and employing Service will consider all relevant factors and only where it can be demonstrated to be in the interests of the Council will additional annual pension be granted. Additional pension will not be granted if the scheme member has been granted Compensatory Added Years.
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Previous Policy:

The proposed policy under the 2018 regulations is the same as the policy under regulation 30 of the 2014 regulations, although annual inflation linking for the maximum amount has now been included.

**Funding of Additional Pension :
Regulations 16(2e) 16(4d) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

Consider whether, where an active scheme member wishes to purchase extra annual pension of up to £6,500 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) by making Additional Pension Contributions (APCs), to voluntarily contribute towards the cost of purchasing that extra pension via a Shared Cost Additional Pension Contribution (SCAPC).

Proposed Discretion:

Where an active scheme member wishes to purchase extra annual pension of up to £6,500 ((figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) by making APCs, Clackmannanshire Council will not contribute towards the cost of purchasing that extra pension via SCAPCs.

Previous Policy:

The proposed policy under the 2018 regulations is the same as the policy under regulations 16(2e) and 16(4d) of the 2014 regulations, although annual inflation linking for the maximum amount has now been included.

**Flexible Retirement :
Regulation 29(7) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

Consider whether to permit flexible retirement for staff aged 55 or over who, with the agreement of the employer, reduce their working hours or grade.

Proposed Discretion:

The Chief Financial Officer, Strategic Director (Partnership and Performance) and employing Service will consider all relevant factors including costs and changes to the employee's contract of employment, and only where it can be demonstrated to be in the best interests of the Council will benefits be released.

Any flexible retirement request will only be approved where there is no financial benefit to the employee from their continued employment with Clackmannanshire Council in the new role/hours. Any application to reduce hours must be reasonable and not merely a token or cosmetic reduction to allow scheme benefits to be activated.

Where a flexible retirement request has been approved, the employee will be required to take all accrued benefits in relation to that employment. This does not apply to benefits for second/additional posts.

Previous Policy:

The proposed policy under the 2018 regulations is the same as the policy under regulation 29(6) of the 2014 regulations.

**Waiving of Actuarial Reduction :
Regulation 29(9) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

Members after age 55 and before Normal Pension Age (including those released on flexible retirement grounds) can choose to access their benefits but may incur an early payment penalty (actuarial reduction). Consideration has to be given to the circumstances in which the early payment penalty would be waived and the costs borne by the employer.

Proposed Discretion:

Clackmannanshire Council will not, as a matter of course, waive in whole or in part any reduction that would be applied under Regulations 29(6) or 29(7). The Chief Finance Officer, Strategic Director (Partnership and Performance) and employing Service will consider all relevant factors and only where it can be demonstrated to be in the interests of the Council will a variation be made to the general policy.

Previous Discretion:

The proposed policy replaces the policy under regulation 29(8) of the 2014 regulations:

The Chief Financial Officer, Head of Resources and Governance and employing Service will consider all relevant factors and only where it can be demonstrated to be in the interests of Clackmannanshire Council or where exceptional compassionate circumstances exist will any early payment penalty be waived.

**Rule of 85 Protection:
Para 1(1)(c) of Schedule 2 to the LGPS (Transitional Provisions, Savings and
Amendment) Regulations 2014**

Summary of Discretion:

The above Regulation makes provision for scheme members **who joined LGPS (Scotland) before 1/12/2006 and who retire before Normal Retirement Age** to be protected against the early payment penalties that would otherwise apply in such cases. This is commonly referred to as “Rule of 85” protection.

The protections already in place **for members who retire on or after age 60** are as follows:

- i) For members born before 1/4/1960 who have **met** the Rule of 85(2) at their date of leaving, no actuarial penalty is applied to benefits arising from membership up to 1/4/2020. Benefits accrued from 1/4/2020 will attract a penalty reduction based on the period of time from the member’s date of leaving until their Normal Pension Age (1).

- ii) For members born before 1/4/1960 who have **not met** the Rule of 85(2) at their date of leaving, then benefits arising from membership up to 1/4/2020 will only attract a penalty based on the period from date of leaving to the date on which the Rule of 85 (or age 65 at the latest) is met. Benefits accrued from 1/4/2020 will attract a penalty reduction based on the period of time from the member’s date of leaving until their Normal Pension Age(1).

 -

- iii) For members born on or after 1/4/1960 who have **met** the Rule of 85(2) at their date of leaving, no actuarial penalty is applied to benefits arising from membership up to 1/4/2008. Benefits accrued from 1/4/2008 will attract a penalty reduction based on the period of time from the member’s date of leaving until their Normal Pension Age (1).

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- iv) For members born on or after 1/4/1960 who have **not met** the Rule of 85(2) at their date of leaving, benefits arising from membership up to 1/4/2008 will only attract a penalty reduction based on the period of time from the member’s date of leaving to the date on which the Rule of 85 (or age 65 at the latest) is met. Benefits accrued from 1/4/2008 will attract a penalty reduction based on the period of time from the member’s date of leaving until their Normal Pension Age(1).

Under the 2018 Regulations, scheme members can retire voluntarily once they attain age 55. This requires a consideration as to how the Rule of 85 protections should be updated for persons retiring between ages 55 and 60.

1. Normal Pension Age is different depending on the period of membership it relates to.
2. For the Rule of 85 to be satisfied, a person's age and calendar length of scheme membership with both elements calculated in complete years must add up to at least 85.

Proposed Discretion:

For members who retire between age 55 and 60

The protections described in paragraphs i) to iv) above will apply with the modification that the actuarial penalty based on the period of time from date of leaving until age 60 will not be waived. The Chief Finance Officer, Strategic Director (Partnership and Performance) and employing Service will consider all relevant factors and only where it can be demonstrated to be in the interests of the Council will a variation be made to the general policy.

This is on the basis that voluntary retirement between 55 and 60 is a new provision from 2018 not envisaged when the original protections were introduced in 2008.

Previous Discretion:

The Chief Financial Officer, Head of Resources and Governance and employing Service will consider all relevant factors and only where it can be demonstrated to be in the interests of the Council will rule of 85 protection be set aside either in full or in part.

APPENDIX 2 - NON COMPULSORY ITEMS

Early Payment of Pension: Regulation 29(5) & (13) LGPS (Scotland) Regulations 2014
Summary of Discretion: <p>This applies to those who left the scheme before 1st June 2018 and have deferred rights under former regulations (ie not 2018). If the option to access benefits from age 55 becomes an automatic right for former members then this discretion will cease to apply.</p> <p>Consider whether to agree to a request for early voluntary payment of benefits on or after age 55 and before age 60.</p>
Proposed Discretion: <p>The Chief Financial Officer in conjunction with the Strategic Director (Partnership and Performance) and the employing Service, will consider all relevant factors and only where it can be demonstrated that compassionate grounds and exceptional circumstances exist will benefits be authorised for release on or after age 55 and before age 60.</p> <p>In determining compassionate grounds, financial reasons alone will not be considered sufficient to justify the release of benefits.</p>
Previous Discretion: <p>This policy is unchanged bar replacement of Head of Resources and Governance with Strategic Director (Partnership and Performance)</p>

**Members' Contribution Rates :
Regulation 9(4) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

Consider whether member's contribution rates will be reassessed where there is a permanent material change to a member's employment.

Proposed Discretion:

Contribution rates will be reassessed where there is a permanent material change to a member's employment eg on promotion, demotion, re-grading or a part-time member's contractual hours change. The new rate will be communicated to the individual along with the date from which it is to be applied and they will be informed of the right of appeal under the Council's grievance procedure.

Previous Discretion:

The proposed policy under the 2018 regulations is the same as the policy under regulation 9(3) of the 2014 regulations.

**Internal Disputes Resolution Procedure :
Regulation 68(5)(c) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

The Local Government Pension Scheme contains its own disputes resolution procedure. This involves appeals being heard by the Principal Pensions Officer of Strathclyde Pension Fund with whom the Falkirk Council Pension Fund has a reciprocal arrangement. Some appeals require to be considered by the employer in question (e.g. a dispute over the member's rate of pension contribution or the failure of the employer to grant ill health retirement). Consequently, consideration should be given as to who should be responsible for adjudicating on such "employer related" disagreements.

Proposed Discretion:

Where the appeal concerns "employer related disagreements" the specified person to hear an appeal is the Strategic Director (Partnership and Performance), or alternatively the Chief Financial Officer.

Previous Discretion:

The proposed policy under the 2018 regulations is the same as the policy under Regulation 71(5c) of the 2014 regulations. Head of Resources and Governance replaced with Strategic Director (Partnership and Performance)

**Acceptance of Late Transfer Payments :
Regulation 98(6) LGPS (Scotland) Regulations 2014**

Summary of Discretion:

Consider whether to extend the normal time limit for acceptance of a transfer value beyond 12 months from joining the LGPS.

Proposed Discretion:

Unless there have been administrative delays or omissions as determined by the Accountant/Pensions Manager, transfer payments will only be accepted where the request to transfer has been made within 12 months of participating in the Falkirk Council Pension Fund.

Previous Discretion:

The proposed policy under the new scheme is the same as the policy under Regulation 98(6) of the 2014 regulations.

**Extension of 30 Day Deadline for Shared Cost APCs:
Regulation 16(16) LGPS (Scotland) Regulations 2014**

Summary of Discretion:

Consider whether to extend the 30 day deadline for a member to elect for a shared cost APC upon return from a period of absence from work with permission with no pensionable pay (otherwise than because of illness or injury, relevant child-related leave or reserve force service leave).

Proposed Discretion:

In the event of authorised leave of absence, the scheme member will be allowed to elect to buy-back the amount of "lost" pension within three months of the individual returning from that leave of absence, provided they have requested and received details of the cost of the buy-back from Payroll. The employee should allow up to one month for Payroll to administer the calculation within the 3 month period.

Previous Discretion:

The proposed policy under the new scheme is the same as the policy under Regulation 16(16) of the 2014 regulations.

Any other discretions arising under the regulations of the LGPS 2018 regulations will be considered and determined by the Chief Finance Officer, Strategic Director (Partnership and Performance) and employing Service on a case by case basis.

Policy Name	Discretionary Elements
Department	HR Services
Policy Lead	Chris Alliston
Equality Impact Assessment	
Full EQIA required	Yes <input type="checkbox"/> No* <input checked="" type="checkbox"/>
* In no please provide rationale Statutory requirement to have in place	
Date Full EQIA complete	N/A
Date Approved	
Review Date	

