

SHR REGULATORY REQUIREMENT/STANDARD		INDICATOR	SOURCES OF ASSURANCE	EVIDENCE PROVIDED	INDICATOR MET?
Assurance and Notification	AN1	Prepare an Annual Assurance Statement in accordance with SHR published guidance, submit it to us between April and the end of October each year, and make it available to tenants and other service users.	Timetable has been developed for preparation and submission of AAS.	AN1 1 Timetable for submission of Annual Assurance Statement	Actions; Hold workshops for Elected Members Make AAS available to tenants via multiple channels including website
			We have considered the SHR guidance on Annual Assurance Statements when preparing our AAS and referenced relevant sources of assurance throughout this assessment document.	AN1 2 SHR Assurance Statement Statutory Guidance Feb 2019	
			A Charter update report was provided to HACC August 2019 highlighted the introduction of the AAS as part of the regulatory framework and a further update report to HACC November 2019 will include the detail of our AAS.	AN1 3 HACC 14 Aug 2019 document pack	
			A workshop for Elected Members arranged to ensure member involvement in effectively assessing compliance with the Regulatory Framework. Session will include a generic briefing outlining the introduction of the AAS and	AN1 4 Elected Member AAS workshop - Presentation	

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			<p>the role of Elected Members, as well as an assessment of compliance to provide members with assurance via an evidence base so that the AAS can be signed-off.</p> <p>Our initial AAS will be made available to tenants when signed off by Convenor on behalf of the Housing and Communities Committee following two workshops in September and October 2019</p>		
	AN2	<p>Notify us during the year of any material changes to the assurance in its Assurance Statement.</p>	<p>A report to the HIB in July 2019 advised Strategic Lead and senior managers of this requirement, highlighting definition of “material change” and tasking each service area to highlight any changes which represent a material breach to the SHR via the Housing Development and Homelessness Manager.</p> <p>This ensures that we monitor ongoing compliance with the requirements of the Regulatory Framework and that any changes in compliance will be</p>	<p>AN2 1 HIB 29 Jul 2019 Annual Assurance Statement</p>	<p>Yes</p>

			communicated.		
	AN3	Have assurance and evidence that it is meeting all of its legal obligations associated with housing and homelessness services, equality and human rights, and tenant and resident safety.	<p>We have an effective arrangement of ensuring that we are aware of changes in legislation by providing reports to either the HACC or briefing notes to Elected Members, outlining implications and actions being taken. We also contribute to Scottish Government consultations.</p> <p>Our policies refer to the relevant legislative framework and requirements.</p> <p>We carry out an annual assessment of compliance with the Standards and Outcomes outlined in the Scottish Social Housing Charter and report this annually to the Housing and Communications Committee. This assessment highlights any areas of weakness and informs an annual action plan.</p> <p>Via this assessment process, we assure ourselves that we meet our legal obligations including the following;</p>	<p>AN3 1 HACC Nov 2018 RRTP position paper</p> <p>AN3 2 EM briefing May 2019 – SHR's new Regulatory Framework</p> <p>AN3 3 WDC response to SG consultation on Local connections and Intentionality</p> <p>AN3 4 Allocation Policy approved by HACC Nov 2017 provided as an example (Section 2)</p> <p>AN3 5 HACC 14 Aug 2019 SSHC Annual Update Report</p> <p>AN3 6 HIB Jul 2019 SSHC update</p>	

		<ul style="list-style-type: none"> • our allocations policy and practice are compliant with the law and good practice • ASB is being tackled effectively and that our legal responsibilities are being met • we are meeting our legal obligations to people who are homeless? • We continue to work toward full compliance with the Scottish Government's HRA Guidance <p>Our Committee reports include consideration of equalities issues by having a EIA section included as part of the standard report template used.</p> <p>The legal implications of each Committee Report are considered by asking Legal Services for comments as part of the pre-agenda process</p>	<p>AN3 7 Charter Outcome 10 Access to social housing</p> <p>AN3 8 Charter Outcome 6 Est Man and ASB</p> <p>AN3 9 Anti-social Behaviour Strategy</p> <p>AN3 10 Charter Outcome 12 Homeless people</p> <p>AN3 11 Charter Outcome 14 15 Rents and service charges</p> <p>AN3 12 HACC 14 Aug 2019 Document Pack</p>	
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	AN4	Notify us of any tenant and resident safety matters which have been reported to, or are being investigated by the Health and Safety Executive, or reports from regulatory or statutory authorities, or insurance providers, relating to safety concerns.	Report to HIB in July 2019 advising Strategic Lead and senior managers of this requirement, highlighting that the Regulator should be notified of any incidents reported to or being investigated by the Health and Safety Executive.	AN4 1 HIB 29 Jul 2019 Annual Assurance Statement	Yes
	AN5	Make its Engagement Plan easily available and accessible to its tenants and service users, including online.	Our Engagement Plan is easily accessible via our website	AN5 1 WDC Engagement Plan	Yes
	AN6	Register all requirements for providing data to us with the Information Commissioner's Office as a purpose for which they are acquiring data under the Data Protection Act 2018.	This requirement has been removed from the Regulatory Framework as per communication from SHR 20 June 2019.	AN6 1 SHR letter 20 June 2019	N/A
SHR REGULATORY REQUIREMENT / STANDARD		INDICATOR	NOTES	SOURCES OF ASSURANCE (EVIDENCE PROVIDED)	INDICATOR MET?
Scottish Social Housing Charter Performance	CH1	Submit an Annual Return on the Charter to us each year in accordance with our published guidance.	An action is included within H&E Delivery Plan which outlines this requirement. Progress is reported regularly to Council, PAMG and monitored closely by the	CH1 1 H&E Delivery Plan 2019/20	Yes

		<p>HIB which are provided with regular briefing notes highlighting any concerns.</p> <p>Milestones include;</p> <ul style="list-style-type: none"> the submission to the Regulator of our Annual Return on the Charter by the end of May each year a report to the HACC in August each year outlining performance a report to the HACC in November each year outlining benchmarking data and how this data is used to influence service delivery (i.e. inform improvement plan) <p>To ensure accuracy of all data submitted, both internal and external validation checks are carried out and Data Dictionaries confirming compliance with the SHR's Technical Guidance and full evidence base are held in a central folder for audit purposes</p> <p>We engage with tenants about our performance via the WDTRO liaison meetings and also support the West Dunbartonshire Scrutiny</p>	<p>CH1 2 WDC ARC submission 2018/19</p> <p>CH1 3 HIB Charter update report confirming ARC submission</p> <p>CH1 4 HACC 7 Nov 2018 SSHC progress report</p> <p>CH1 5 SHN WDC ARC validation 2018/19</p> <p>CH1 6 Charter Indicator 18 Data Dictionary</p>	
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			<p>panel which scrutinizes performance and carries out activities in areas of weakness..</p> <p>Scottish Social Housing Charter April 2017</p> <p>SHR Scottish Social Housing Charter Indicators Statutory Guidance</p> <p>SHR Charter Technical Guidance (Feb 2019)</p>		
	CH2	<p>Involve tenants, and where relevant other service users, in the preparation and scrutiny of performance information. It must:</p> <ul style="list-style-type: none"> • agree its approach with tenants • ensure that it is effective and meaningful – that the chosen approach gives tenants a real and demonstrable say in the assessment of performance • publicise the approach to tenants 	<p>We agreed our approach to tenant scrutiny with tenants via the development of a Terms of Reference for the West Dunbartonshire Scrutiny Panel, which was developed in conjunction with panel members and approved by Committee. Panel members also sign a agreed Code of Conduct.</p> <p>The Scrutiny Panel determine their scrutiny priorities via an assessment of our performance and understanding of where improvements are required.</p> <p>We gain assurance that tenant views inform and influence the delivery of our</p>	<p>CH2 1 Scrutiny Panel Terms of Reference</p> <p>CH2 2 Scrutiny Panel Code of Conduct</p> <p>CH2 3 SP Aug 2016 – SSHC performance briefing</p> <p>CH2 4 HIB 26 Aug 2019 Agenda</p>	Yes

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	<ul style="list-style-type: none"> • ensure that it can be verified and be able to show that the agreed approach to involving tenants has happened • involve other service users in an appropriate way, having asked and had regard to their needs and wishes. 	<p>services, as the recommendations made are monitored via the HIB.</p> <p>In addition to our annual report, performance information is part of our on-going engagement with the WDTRO and Scrutiny Panel.</p> <p>Tenants more broadly are involved in monitoring our performance via regular updates via the Housing News and published via the WDC website. This informs regular queries and feedback and also the annual scrutiny activities of the Scrutiny Panel.</p> <p>We are confident that we provide appropriate support to tenants to enable them to exercise their scrutiny role effectively.</p> <p>We include information about how tenants can become involved in helping to assess our performance on our website, social media platforms and in our publications.</p>	<p>CH2 5 WDTRO liaison 22 Aug 2019 Agenda</p> <p>CH2 6 HN insert Autumn 2019</p>	
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	CH3	<p>Report its performance in achieving or progressing towards the Charter outcomes and standards to its tenants and other service users (no later than October each year). It must agree the format of performance reporting with tenants, ensuring that it is accessible for tenants and other service users, with plain and jargon- free language.</p>	<p>Tenants were central in the development of our Annual Charter Performance Report, in terms of style content and layout. The Scrutiny Panel are involved in the annual assessment of performance and play a key role in ensuring that it is accessible in terms of using plain, jargon-free language.</p> <p>Opportunities are provided every year to provide comments and changes have been made over the initial 5-year period as a result. We carried out a more in depth review exercise with tenants in terms of the report in August and September 2019. This exercise has shaped our report due to be published in October 2019.</p> <p>We have therefore consulted with tenants about the format of our annual Charter Report and their views have influenced the style and content of the report.</p> <p>We will publish our annual Charter report by October for the period covered by this Annual Assurance</p>	<p>Copy of Annual Charter Report to tenants and other customers</p> <p>Copy of Consultation Toolkit outlining review of format, style and content of report</p> <p>Report to HIB seeking approval for action plan</p> <p>Report to HACC advising of report</p>	Yes
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		Statement. We make the report available via our website, provide hard copies to Elected Members, members of the WDTRO, members of the Scrutiny panel and members of our Interested Tenants list. We will also provide a summary of the report to all tenants via an insert in the Winter edition of Housing News.			
	CH4	<p>When reporting its performance to tenants and other service users it must:</p> <ul style="list-style-type: none"> • provide them with an assessment of performance in delivering each of the Charter outcomes and standards which are relevant to the landlord • include relevant comparisons – these should include comparisons with previous years, with other landlords and with national performance • set out how and when 	Our annual Charter report meets all of these requirements.	<p>CH4 1 Charter Performance Report 2017/18</p>	Yes

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		<p>the landlord intends to address areas for improvement</p> <ul style="list-style-type: none"> • give tenants and other service users a way to feed back their views on the style and form of the reporting 			
	CH5	<p>Make our report on its performance easily available to its tenants, including online.</p>	<p>Publication of the annual report is publicised widely and is available online via the WDC website. Hard copies of the full report are provided to all TRA members, Scrutiny Panel members, our interested tenants list, partner agencies and Elected Members. In addition, a summary of the full report is provided to all tenants via an insert provided with the Housing News.</p> <p>Our report is therefore easily accessible from our website and we have promoted our report on our social media platforms.</p>	<p>CH5 1 Link to where annual report is published on the website http://www.west-dunbarton.gov.uk/council/performance-and-spending/housing-services-performance-information/charter-performance-report-201718/</p>	<p>Yes</p>

SHR REGULATORY REQUIREMENT/STANDARD		INDICATOR	NOTES	SOURCES OF ASSURANCE (EVIDENCE PROVIDED)	INDICATOR MET?
Tenant and Service User Redress	TS1	Make information on reporting significant performance failures, including our leaflet, available to its tenants.	<p>This leaflet is available on the WDC website and has been highlighted to tenants (can we show we sent to WDTR0 etc.?)</p> <p>SHR Significant Performance Failure Leaflet for Tenants</p>	<p>TS1 1 Link to where leaflet is on the website http://www.west-dunbarton.gov.uk/council/performance-and-spending/housing-services-performance-information/scottish-housing-regulator-significant-performance-failures/</p>	Yes
	TS2	Provide tenants and other service users with the information they need to exercise their right to complain and seek redress, and respond to tenants within the timescales outlined in its service standards, in accordance with guidance from the Scottish Public Services Ombudsman (SPSO).	<p>This information is available on the WDC website so that tenants and other service users are able to complain.</p> <p>Performance relating to response times are reported as part of our ARC submission and also internally to each Strategic Lead.</p> <p>Complaints are handled by a centralised Council team who follow SPSO guidance.</p>	<p>TS1 2 Link to where leaflet is on the website http://www.west-dunbarton.gov.uk/council/performance-and-spending/housing-services-performance-information/complaints/ http://www.west-dunbarton.gov.uk/media/401311/shr_complaints_factsheet.pdf</p>	Yes

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	TS3	Ensure it has effective arrangements to learn from complaints and from other tenant and service user feedback, in accordance with SPSO guidance	Complaints are handled by a corporate Team and assessment of performance and improvement actions are developed on an annual basis.	TS3 1 Communication assessment 2018/19	
SHR REGULATORY REQUIREMENT / STANDARD		INDICATOR	NOTES	SOURCES OF ASSURANCE (EVIDENCE PROVIDED)	INDICATOR MET?
Whistleblowing	WB1	Have effective arrangements and a policy for whistleblowing by staff and governing body/elected members which it makes easily available and which it promotes.	We have effective arrangements and a policy for whistleblowing by staff and elected members which is easily available via our intranet and includes a Public Interest Disclosure Policy. SHR Whistleblowing Fact Sheets	WB1 1 link to intranet page outlining our Whistleblowing policy http://intranet.west-dunbarton.gov.uk/chief-executive/resources/audit-fraud/whistleblowing/	Yes

SHR REGULATORY REQUIREMENT / STANDARD		INDICATOR	NOTES	SOURCES OF ASSURANCE (EVIDENCE PROVIDED)	INDICATOR MET?
Equality and Human Rights	EH1	Have assurance and evidence that it considers equality and human rights issues properly when making all of its decisions, in the design and review of internal and external policies, and in its day-to-day service delivery.	We have a legal obligation to assess the impact of our policies and services on the well-being of "equalities" groups. The purpose of Equality	EH1 1 Link to website referred to in notes; http://www.west-dunbarton.gov.uk/council/strategies-plans-and-policies/council-wide-plans-and-	Yes

		<p>Impact Assessment (EIA) is to work out how a policy or function will affect the wellbeing of different groups of people, with particular needs, or who are disadvantaged in some way. EIA is an opportunity to drive fairness and good business practice.</p> <p>Our guidance was revised to take account of the Equality Act 2010 and relevant guidelines.</p> <p>Equality Impact Assessment Guidance (PDF 45KB)</p> <p>An EIA is used for any new and developing policies, while a system of review for existing policies is used to ensure that relevant services are not discriminating in how they deliver services. Reports to Council and its committee's are required to provide information on whether an impact assessment has been carried out.</p> <p>Recent summary reports are available to read on the strategies/equality-diversity-and-fairness/equality-impact-assessments/</p>	
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			WDC website.		
	EH2	To comply with these duties, landlords must collect data relating to each of the protected characteristics for their existing tenants, new tenants, people on waiting lists, governing body members and staff. Local authorities must also collect data on protected characteristics for people who apply to them as homeless. Landlords who provide Gypsy/Traveller sites must collect data on protected characteristics for these service users.	Data is collected and has been submitted as part of our ARC.	EH2 1 Charter Indicator 2 Equalities	Pending further guidance being issued, compliance with this requirement will not be measured by the SHR until April 2021. In the meantime, it is recommended that landlords continue to collect the equalities data that was previously submitted in the Annual Return on the Charter (ARC) – i.e. Ethnic origins and disability details of service users, staff and governing body/committee members.